Oracle Financial Services Know Your Customer Administration Guide

Release 8.0.7.0.0 December 2020





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# **Revision History**

The following table describes the revision history of the Administration Guide.

Date	Edition	Description
August 2021	8.0.7.1.7	• Added the FCC_OB_RSKPRMS_JRSDCUST_MAP_ST.xls Excel type in the <i>Excel</i> Upload of Data section.
March 2021	8.0.7.0.133	• Added the run scripts for the EDQ and CS servers in the <i>Switching between CS and EDQ Servers for Screening</i> appendix.
December 2020	Third Edition of 8.0.7	• Added a section for configuring the relationship type for primary customers in the <i>KYC Onboarding</i> section.
March 2019	Third Edition of 8.0.7	• Updated the Regular Processing and Deployment Initiation Processing tasks in <i>Appendix A, KYC Batches</i> .
March 2019	8.0.7.0.2	• Added an appendix which mentions how to run daily and deployment initiation batches and how to map watch list assessments for accelerated rereviews for screening delta customers.
Jan 2019 Second edition of 8.0.7	edition of	• Updated the Enterprise Case Management integration section in Chapter 4, Maintenance Activities and Configuring Setup Parameters (KYC Batch).
	• Removed the Customer Screening integration section in Chapter 4, Maintenance Activities and Configuring Setup Parameters (KYC Batch).	
		<ul> <li>Updated the chapter for KYC Onboarding.</li> </ul>
		Updated Appendix D, BDF Datamaps.
Dec 2018	First edition	<ul> <li>Removed all instances of negative news.</li> </ul>
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		• Removed the Setting up KYC Onboarding section in Chapter 4, Maintenance Activities and Configuring Setup Parameters (KYC Batch).
		• Removed the <i>Real-time Account Onboarding Risk Assessment</i> section in <i>Chapter 4, Maintenance Activities and Configuring Setup Parameters (KYC Batch).</i>
		• Removed the <i>Questionnaire</i> chapter.
		• Removed the Setting up KYC Onboarding Service chapter.

#### **Revision History**

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# About this Guide

This guide explains the concepts behind the Oracle Financial Services Know Your Customer (OFS KYC) application and provides comprehensive instructions for proper system administration, as well as daily operations and maintenance. This section focuses on the following topics:

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

#### Who Should Use this Guide

This *Administration Guide* is designed for use by the Administrators and Implementation consultants. Their roles and responsibilities, as they operate within OFS KYC, include the following:

- Implementation Consultants: Installs and configures OFS KYC at a specific deployment site. The consultant also installs and upgrades any additional Oracle Financial Services solution sets, and requires access to deployment-specific configuration information. For example, machine names and port numbers).
- System Administrator: Configures, maintains, and adjusts the system. The System Administrator maintains user accounts and roles, monitors data management, archives data, loads data feeds, and performs post-processing tasks. In addition, the System Administrator can reload cache.

# Scope of this Guide

This guide describes the physical and logical architecture of OFS KYC. It also provides instructions for maintaining and configuring OFS KYC, its subsystem components, and any third-party software required for operation.

OFS KYC provides an open and scalable infrastructure that supports rich, end-to-end functionality across all Oracle Financial Services solution sets. OFS KYC's extensible, modular architecture enables a customer to deploy new solution sets readily as the need arises.

# How this Guide is Organized

The Administration Guide includes the following chapters:

- *About Oracle Financial Services Know Your Customer (KYC)* provides a brief overview of the Oracle Financial Services Know Your Customer and its components.
- *Getting Started* provides step-by-step instruction to login to the Know Your Customer (KYC) application and different features of the Oracle Financial Services Analytical Applications (OFSAA) Application page.
- *Managing User Administration and Security Configuration* covers the required day-to-day operations and maintenance of OFS KYC users, groups, and organizational units.
- *Maintenance Activities and Configuring Setup Parameters (KYC Batch)* describes how to configure the KYC application.
- Managing KYC Batches provides information on how to manage the different KYC batches.
- *KYC Onboarding* provides information on the different processes involved in Know Your Customer (KYC) Onboarding.
- *Adding Risk Parameters and Rules (KYC Batch)* describes how to add risk parameters for algorithm and rule based assessments and accelerated rereview parameters.
- *Parameter Details* provides information on the parameters for KYC.
- KYC Batches provides information on the KYC batches.
- *Creating Highlights* provides information on how to create highlights in KYC.
- BDF Datamaps provides information on the BDF datamaps used in KYC.
- The *Index* provides an alphabetized cross-reference list that helps you locate information quickly.

# Where to Find More Information

For more information about OFS KYC, refer the following documents:

- KYC Risk Assessment Guide
- KYC Service Guide
- KYC API Data Elements Guide
- KYC Utilities Guide

These documents can be found at the following OHC documentation library:

#### http://docs.oracle.com/cd/E60570\_01/homepage.htm:

You can find additional information in the following link: http://docs.oracle.com/cd/E60058\_01/homepage.htm:

- Oracle Financial Services Analytical Applications Infrastructure (OFS AAI) User Guide
- Oracle Financial Services Analytical Applications Infrastructure (OFS AAI) Security Guide

## Conventions Used in this Guide

This table lists the conventions used in this guide and their associated meanings.

 Table 1. Conventions Used in this Guide

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

## Abbreviations Used in this Guide

This table lists the abbreviations used in this guide and their associated descriptions.

Abbreviation	Description
AML	Anti-Money Laundering
T2T	Table to Table
AAI	Analytical Applications Infrastructure
OFS	Oracle Financial Services
BD	Behavior Detection
CS	Customer Screening
KYC	Know Your Customer
EDQ	Enterprise Data Quality

#### Table 2. Abbreviations Used in this Guide

## CHAPTER 1

# About Oracle Financial Services Know Your Customer (KYC)

This chapter provides a brief overview of the Oracle Financial Services Know Your Customer (KYC) in terms of its architecture and operations.

This chapter discusses the following topics:

- KYC Overview
- KYC Workflow

## **KYC** Overview

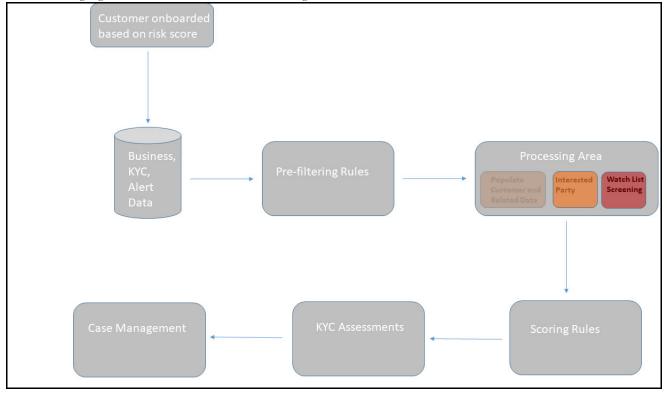
KYC assesses the risk a customer poses to the bank or financial institution. It is not a one-time assessment, but is a continuous process of assessing customers. Customers are assessed in different stages of their relationship with the bank. The different stages of the relationship are described in the following sections:

- Onboarding
- Deployment Initiation
- Real Time Account on Boarding
- Account on Boarding or Default Review
- Rereviewx

The Oracle KYC risk assessment application is built using the OFS AAI framework. The application functions are divided in to the following areas:

- Reference Data Management (Internal and External)
- On-line interface with account opening system
- Risk Assessment Engine
- Interface with Third Party Services
- System Maintenance

# KYC Workflow



The following figure shows the workflow for existing customers:

#### Figure 1. KYC Process Flow for Existing Customers

The following section describes the process flow:

- 1. Customer is onboarded based on the risk score. For more information on the Onboarding process, see *KYC Onboarding*.
- 2. Customer data is moved from the data warehouse to the processing area using BDF or T2T. This data can be account data, information related to alerts, or information specific to KYC cases.
- 3. All data is not moved to the processing area. It is moved using certain prefiltering rules, such as accelerated rereviews, periodic reviews, and account Onboarding. The prefiltering rules identify a set of customer who are due for reivew depending on these rules.
- 4. The processing area contains the data of all customers for whom the prefiltering rules apply and for whom risk scoring needs to be done.
- 5. The prefiltered customers are scored using two risk assessments to get the risk score on the customer attributes: Algorithm-based risk assessments and Rule-based risk assessments. The risk score is the maximum of the Algorithm-based risk score and Rule-based risk score.
- 6. A risk assessment record is created for each customer who is scored. The risk assessment contains data such as the risk score, risk assessment history, and customer review details. Based on the risk score, the risk assessment can either be closed or promoted to a case.
- 7. A risk assessment is considered for a promotion to a case under the following conditions:

- The customer effective risk score, or the risk score, is beyond the threshold defined for due diligence.
- The watch list score of a customer is beyond the limit defined.
- The customer matches a rule defined for Rule-based risk assessments irrespective of the risk score.

Note: If the effective risk score of a customer is 0 or 0.5, a risk assessment is not created.

The cases are investigated in Enterprise Case management (ECM). The KYC system moves the risk assessments which meet the above criteria as Events to the ECM layer along with the risk scoring data, the interested party identified for the customer, and the rules met by the customer with the details of the customer and account which is used for risk scoring.

# CHAPTER 2 Getting Started

This chapter provides step-by-step instruction to login to the Know Your Customer (KYC) application and different features of the Oracle Financial Services Analytical Applications (OFSAA) Application page.

This chapter discusses the following topics:

- Accessing OFSAA Applications
- Managing OFSAA Application Page
- Troubleshooting Your Display

# Accessing OFSAA Applications

Access to the Oracle Financial Services KYC application depends on the Internet or Intranet environment. The system administrator provides the intranet address Uniform Resource Locator (URL), User ID, and Password. Login to the application through the Login page. You will be prompted to change your password on your first login. You can change your password whenever required by logging in. For more information, see the *Troubleshooting Your Display* section.

To access the Oracle Financial Services Analytical Application, follow these steps:

1. Enter the URL in your browser using the following format:

<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/login.jsp
For example: https://myserver:9080/ofsaaapp/login.jsp
The OFSAA Login page is displayed.

**Oracle Financial Services Know Your Customer Administration Guide** 

<b>ORACLE</b> * Financial Services Analytical Applications		
3		
	Language User ID Password	US-English
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- 2. Select the Language from the Language drop-down list. This allows you to use the application in the language of your selection.
- 3. Enter your User ID and Password in the respective fields.
- 4. Click Login. The Oracle Financial Services Analytical Applications page is displayed.

# Managing OFSAA Application Page

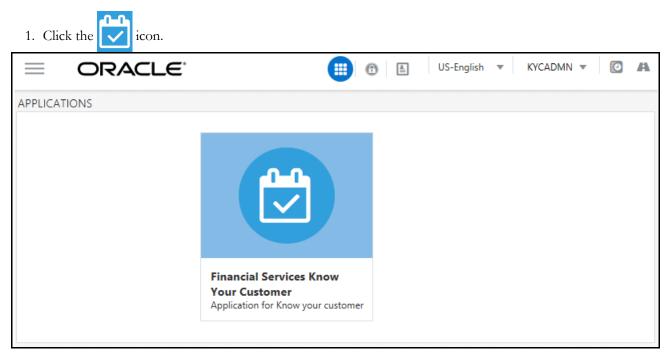
This section describes the options available for system configuration in the OFSAA Application page. The OFSAA Application page has the following tabs:

- Behavior Detection KYC Tab
- Common Tasks Tab

#### **Behavior Detection - KYC Tab**

The Behavior Detection - KYC tab allows the KYC administrator to do security administration for users, configure KYC application and risk assessment parameters, and configure questionnaires.

To do this, follow these steps:



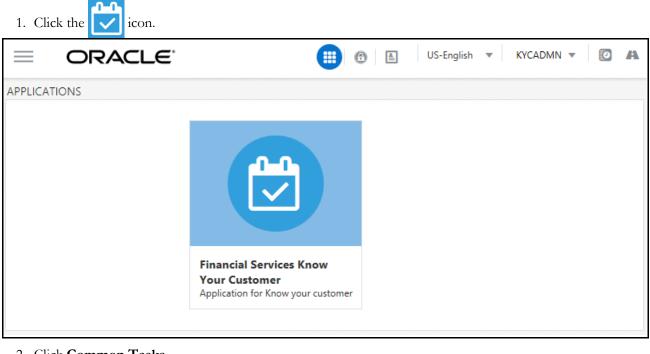
#### 2. Click Behavior Detection - KYC.

A Home	$\equiv$ oracle
Navigation List	
Behavior Detection - KYC	
Common Tasks	

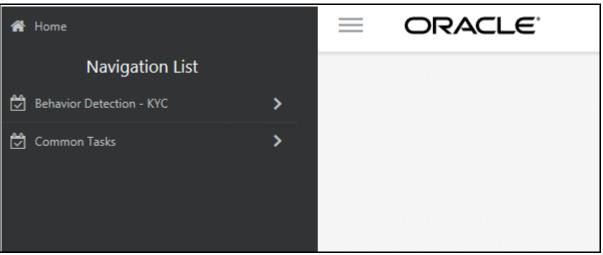
#### **Common Tasks Tab**

The Common Tasks tab allows the system administrator to configure the KYC metadata, Rule Run Framework, and KYC batches.

To do this, follow these steps:



#### 2. Click Common Tasks.



# Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services Transaction Filtering or with your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions for setting your Web display options for OFSAA applications within IE.

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

This section covers the following topics:

• Enabling JavaScript

- Enabling Cookies
- Enabling Temporary Internet Files
- Enabling File Downloads
- Setting Printing Options
- Enabling Pop-Up Blocker
- Setting Preferences

# **Enabling JavaScript**

This section describes how to enable JavaScript.

To enable JavaScript, follow these steps:

- 1. Navigate to the Tools menu, click Internet Options. The Internet Options dialog box is displayed.
- 2. Click the Security tab and click the Local Intranet icon as your Web content zone.
- 3. Click Custom Level. The Security Settings dialog box displays.
- 4. In the Settings list and under the Scripting setting, enable all options.
- 5. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

# **Enabling Cookies**

Cookies must be enabled. If you have problems troubleshooting your display, contact your System Administrator.

## **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. Navigate to the Tools menu, click Internet Options. The Internet Options dialog box is displayed.
- 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**

This section describes how to enable file downloads.

To enable file downloads, follow these steps:

- 1. Navigate to the Tools menu, click Internet Options. The Internet Options dialog box is displayed.
- 2. Click the Security tab and then click the Local Intranet icon as your Web content zone.
- 3. Click **Custom Level**. The Security Settings dialog box displays.

- 4. Under the Downloads section, ensure that **Enable** is selected for all options.
- 5. Click **OK**, then click **OK** again to exit the Internet Options dialog box.

# **Setting Printing Options**

This section explains the how to enable printing background colors and images must be enabled.

To enable this option, follow these steps:

- 1. Navigate to the Tools menu, click Internet Options. The Internet Options dialog box is displayed.
- 2. Click the **Advanced** tab. In the Settings list, under the Printing setting, click **Print background colors and images**.
- 3. Click **OK** to exit the Internet Options dialog box.

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

## **Enabling Pop-Up Blocker**

You may experience difficulty running the Oracle Financial Services Transaction Filtering application when the IE Pop-up Blocker is enabled. It is recommended to add the URL of the application to the *Allowed Sites* in the Pop-up Blocker Settings in the IE Internet Options.

To enable Pop-up Blocker, follow these steps:

- 1. Navigate to Tools menu, click Internet Options. The Internet Options dialog box is displayed.
- 2. Click the **Privacy** tab. In the Pop-up Blocker setting, select the **Turn on Pop-up Blocker** option. The **Settings** enable.
- 3. Click Settings to open the Pop-up Blocker Settings dialog box.
- 4. In the Pop-up Blocker Settings dialog box, enter the URL of the application in the text area.
- 5. Click Add. The URL appears in the Allowed site list.
- 6. Click **Close**, then click **Apply** to save the settings.
- 7. Click **OK** to exit the Internet Options dialog box.

#### **Setting Preferences**

The Preferences section enables you to set your OFSAA Home Page.

To access this section, follow these steps:

1. Click **Preferences** from the drop-down list in the top right corner, where the user name is displayed. The Preferences page is displayed.

Preferences - Windows Internet Exp	plorer	
	Preferences	
⊡ Home Page		
Property Name	Property Value	
Set My Home Page	Default Screen 👻	
	Save Cancel	
		🔍 100% 🔻

- In the Property Value drop-down list, select the application which you want to set as the Home Page.
   Note: Whenever new application is installed, the related value for that application is found in the drop-down list.
- 3. Click **Save** to save your preference.

# CHAPTER 3

# Managing User Administration and Security Configuration

This chapter provides instructions for setting up and configuring the Know Your Customer (KYC) application. This chapter discusses the following topics:

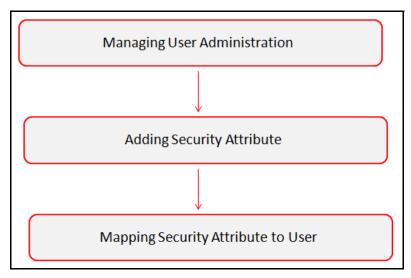
- About User Administration
- User Provisioning Process Flow
- Managing User Administration
- Adding Security Attributes
- Mapping Security Attributes to Users

# About User Administration

User administration involves creating and managing users and providing access rights based on their roles. This section discusses the following:

- Administrator permissions
- Creating and mapping users and user groups
- Loading and mapping security attributes

# **User Provisioning Process Flow**



The following table lists the various actions and associated descriptions of the user administration process flow:

#### Table 3. User Provisioning Process Flow

Action	Description
Managing User Administration	Create users and map users to user groups. This allows Administrators to provide access, monitor, and administer users.
Adding Security Attributes	Load security attributes. Security attributes are loaded using either Excel or SQL scripts.
Mapping Security Attributes to Users	Map security attributes to users. This is done to determine which security attributes control the user's access rights.

# Managing User Administration

This section allows you to create, map, and authorize users defining a security framework which has the ability to restrict access to the KYC application.

#### Managing Identity and Authorization

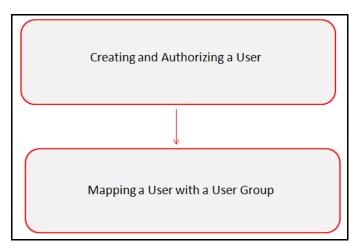
This section explains how to create a user and provide access to the KYC application.

This section covers the following topics:

- Managing Identity and Authorization Process Flow
- Creating and Authorizing a User
- Mapping a User with a User Group

#### Managing Identity and Authorization Process Flow

The following figure shows the process flow of identify management and authorization:



The following table lists the various actions and associated descriptions of the user administration process flow:

#### Table 4. Administration Process Flow

Action	Description
Creating and Authorizing a User	Create a user. This involves providing a user name, user designation, and the dates between which the user is active in the application.
Mapping a User with a User Group	Map a user to a user group. This enables the user to have certain privileges that the mapped user group has.

#### **Creating and Authorizing a User**

The sysadmn user creates a user and the sysauth user authorizes a user in the KYC application. For more information on creating and authorizing a user, see *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

#### Mapping a User with a User Group

This section explains how to map Users and User Groups. With this, the user has access to the privileges as per the role. The sysadm user maps a user to a user group in the KYC application. The following table describes the predefined KYC User Roles and corresponding User Groups.

 Table 5. KYC Roles and User Groups

Role	User Group
KYC Administrator User	KYC Administrator User Group
	OB KYC Administrator Group
	IPEADMN
KYC Investigator User	KYC Investigator User Group
	OB KYC Investigator Group

Table 5 describes the predefined KYC User Groups and the corresponding user activities.

 Table 6. KYC User Groups and User Activities

User Group	User Activities
KYC Administrator User Group	The users belonging to this group will be able to perform all the KYC batch related configurations.
OB KYC Administrator Group	The users belonging to this group will be able to perform all the KYC real-time onboarding related configurations.
IPEADMN	The users belonging to this group will be able to perform all the IPE related configurations.
KYC Investigator User Group	The users belonging to this group will be able to investigate all the KYC batch risk assessments.
OB KYC Investigator Group	The users belonging to this group will be able to investigate all the KYC onboarding risk assessments.

# Adding Security Attributes

This section explains about security attributes, the process of uploading security attributes, and mapping security attributes to users in the KYC application.

#### **About Security Attributes**

Security Attributes are those attributes which help an organization classify their users based on their geographical location, jurisdiction, and business domain in order to restrict access to the data that they can view.

You must first provide the user with access privileges, so the user can perform activities throughout various functional areas in the KYC application.

The following security attribute is applicable for KYC:

- Jurisdiction: KYC applications use Jurisdictions to limit user access to data in the database. Records from the Oracle client that the Ingestion Manager loads must be identified with a jurisdiction, users of the application must be associated with one or more jurisdictions. In the KYC application, users can only view assessments associated with jurisdictions to which they have access. You can also use a jurisdiction to divide data in the database. For example:
  - **Geographical:** Division of data based on geographical boundaries, such as countries and states.
  - **Organizational:** Division of data based on different legal entities that compose the client's business.
  - Other: Combination of geographic and organizational definitions. In addition, it is client driven and can be customized.

#### Loading Security Attributes through SQL Scripts

This section covers the following topics:

- Loading Jurisdictions
- Loading Business Domains
- Loading Scenario Groups
- Loading Scenario Group Memberships
- Loading Organizations

#### **Loading Jurisdictions**

To load jurisdictions in the database, follow these steps:

1. Add the appropriate record to the KDD JRSDCN database table as mentioned in *Table 7*.

Table 7. KDD JRSDCN Table Attributes

Column Name	Description
JRSDCN_CD	Code (one to four characters) that represents a jurisdiction (For example, N for North, or S for South).
JRSDCN_NM	Name of the jurisdiction (For example, North or South).

Column Name	Description
JRSDCN_DSPLY_NM	Display name of the jurisdiction (For example, North or South).
JRSDCN_DESC_TX	Description of the jurisdiction (For example, Northern US or Southern US).

Note: The data in the KDD\_JRSDCN database table is loaded through the ATOMIC schema.

2. Add records to the table by using a SQL script similar to the sample script in following figure:

```
INSERT INTO KDD_JRSDCN (JRSDCN_CD,
JRSDCN_NM,JRSDCN_DSPLY_NM,JRSDCN_DESC_TX)
VALUES ('E', 'East', 'East', 'Eastern')
```

**Note:** The KDD\_JRSDCN table is empty after application initialization and requires populating before the application can operate.

#### Loading Business Domains

To load a business domain, follow these steps:

1. Add the appropriate user record to the KDD BUS DMN database table as mentioned in the *Table 8*.

Column Name	Description
BUS_DMN_CD	Single-character code that represents a business domain (For example, a, b, or c).
BUS_DMN_DESC_TX	Description of the business domain (For example, Institutional Broker Dealer or Retail Banking).
BUS_DMN_DSPLY_NM	Display name of the business domain (For example, INST or RET).
MANTAS_DMN_FL	Flag that indicates whether Oracle Financial Services Behavior Detection Framework specified the business domain (Y). If a BD client specified the business domain, you must set the flag to N.

Table 8. KDD\_BUS\_DMN Table Attributes

Note: The KDD BUS DMN table already contains predefined business domains for the Oracle client.

2. Add more records to the table by using a SQL script similar to the sample script in the following figure:

```
INSERT INTO KDD_BUS_DMN (BUS_DMN_CD, BUS_DMN_DESC_TX,
BUS_DMN_DSPLY_NM, MANTAS_DMN_FL) VALUES (`a', `Compliance
Employees', `COMP', `N');
INSERT INTO KDD_BUS_DMN (BUS_DMN_CD, BUS_DMN_DESC_TX,
BUS_DMN_DSPLY_NM, MANTAS_DMN_FL) VALUES (`b', `Executives'
`EXEC', `N');
```

3. Update the KDD\_CENTRICITY table to reflect access to all focuses within the business domain with the following command:

update KDD\_CENTRICITY set bus\_dmn\_st = 'a' where KDD CENTRICITY. CNTRY TYPE CD = 'SC'

#### Loading Scenario Groups

To load a Scenario Group, follow these steps:

1. Add the appropriate user record to the KDD\_SCNRO\_GRP database table as mentioned in the *Table 9*.

#### Table 9. KDD\_SCNRO\_GRP Table Attributes

Column Name	Description
SCNRO_GRP_ID	Scenario group identifier.
SCNRO_GRP_NM	Scenario Group Name

2. Add more records to the table by using a SQL script similar to the sample script in the following figure.

```
INSERT INTO KDD_SCNRO_GRP(SCNRO_GRP_ID,SCNRO_GRP_NM) VALUES
(66,'BEX');
INSERT INTO KDD_SCNRO_GRP(SCNRO_GRP_ID,SCNRO_GRP_NM) VALUES
(77,'CST');
COMMIT;
```

#### Loading Scenario Group Memberships

To load a Scenario Group Membership, follow these steps:

1. Add the appropriate user record to the KDD\_SCNRO\_GRP\_MEMBERSHIP database table as mentioned in *Table 10*.

Table 10. KDD\_SCNRO\_GRP\_MEMBERSHIP Table Attributes

Column Name	Description
SCNRO_ID	Scenario Identifier
SCNRO_GRP_ID	Scenario Group Identifier
SCNRO_GRP_NM	Scenario Group Name

2. Add more records to the table by using a SQL script similar to the sample script in the following figure.

```
INSERT INTO KDD_SCNRO_GRP_MEMBERSHIP
(SCNRO_ID,SCNRO_GRP_ID,SCNRO_GRP_NM) VALUES (113000016,66,'BEX') ;
INSERT INTO KDD_SCNRO_GRP_MEMBERSHIP
(SCNRO_ID,SCNRO_GRP_ID,SCNRO_GRP_NM) VALUES (113000016,77,'CST') ;
```

#### Loading Organizations

To load an organization in the database, follow these steps:

1. Add the appropriate user record to the KDD ORG database table as mentioned in Table 11.

#### Table 11. KDD\_ORG Table Attributes

Column Name	Description
ORG_CD	Unique identifier for this organization.
ORG_NM	Short name for this organization that is used for display purposes.
ORG_DESC_TX	Description of this organization.
PRNT_ORG_CD	Parent organization of which this organization is considered to be a child. <b>NOTE:</b> This must reference an ORG_CD in the KDD_ORG table.
MODFY_DT	Last modified date and time for this organization record.
MODFY_ID	User ID of the user who last modified this organization data. <b>NOTE:</b> This must reference a user in the Investigation Owner table (KDD_REVIEW_OWNER.OWNER_SEQ_ID).
COMMENT_TX	Additional remarks added by the user.

2. Add more records to the table by using a SQL script similar to the sample script in the following figure.

INSERT INTO KDD_ORG
(ORG_CD,ORG_NM,ORG_DESC_TX,PRNT_ORG_CD,MODFY_DT,MODFY_ID,COM
MENT_TX) VALUES ('ORG1','COMPLIANCE ORG','DEPARTMENT FOR
INVESTIGATION', 'ORG1 PARENT ORG', '01-JUN-2014', 1234, 'ADDING

# Mapping Security Attributes to Users

You can determine which security attribute controls the user's access permissions. Using this UI, an Administrator can map both Organizations and Users to different Security attributes.

To map a Security Attribute, follow these steps:

- 1. Login as the KYC Administrator. The KYC application home page is displayed.
- 2. Click User Security Administration, and then click Security Attribute Administration. The Anti Money Laundering page is displayed.
- 3. Hover over the Administration menu, select the User Administration sub-menu, and click **Security Attribute Administration**. The Security Attribute Administration page is displayed.
- 4. Select user type from Choose User Type drop-down list (Organization or User).

#### Note:

- Before proceeding with providing a user access through this UI, all necessary data must be available in the appropriate database tables and the user must be created.
- To view the Onboarding users, map the Onboarding role to the OB KYC Administrator group.

inistration >> User Administration >> Security A	ttribute Administration			
Choose User Type:	User	~	Choose User:	✓

Based upon your User Type selection, the Choose User drop-down list changes. Select the user from Choose User drop-down list. The relevant Security Attribute Administration page is displayed.

Administration >> User Administration >> Security	Attribute Administration	
Choose User Type:	Organization V	Choose User: RetailOrg
User/Pool:		
Line Organization:		
Parent Organization:		
Own Case Flag:	No	
Own Alert Flag:	No	
Email Address:	==	
Jurisdiction:	AMEA,DOM	×
Jurisdiction (2)   <a>2</a> Remove		
😤 🔄 Jurisdiction Code	Jurisdiction Name	
AMEA	AMEA	
DOM	DOM	
Business Domain:	GEN,INST,RB/PC,RET,C/WS,EMP,DEFAULT	~
Business Domain (7)   🙆 Remove		
Business Domain Code	Business Domain Name	Business Domain Description
a	GEN	General
b	INST	Institutional Broker Dealer
□ c	RB/PC	Retail Brokerage/Private Client
d	RET	Retail Banking
e	C/WS	Corporate/Wholesale Banking
Scenario Group:	TC,BEX,ML,IML,CST,MF,TRA,ET,IA,FR,AM,CR,ECTC	×
Scenario Class Code	Scenario Class Name	
AM	Asset Management	
CR CR	Control Room	
ET ET	Employee Trading	
FR	Fraud	
	Investment Advisor	
Case Type Subtype:	Access/Online Fraud,Account and Product Fraud,AML Surveillance,Enhanced E	Due Diligence, Terrorist Financing, Patriot Act - CIP Exceptions, Employ
😑 Case Type Subtype (11)   🕅 Expand All 🛛 🚳	Remove	
🕮 🔄 Case Type Subtype Code	Case Type Subtype Name	
FR_ON	Access/Online Fraud	
FR_AC	Account and Product Fraud	
AML_SURV	AML Surveillance	
AML_DD	Enhanced Due Diligence	
AML_TER	Terrorist Financing	
Correlation Rule:		×
Correlation Rule (0)        Remove		
		Save Cancel

**Note:** In order to update the user profiles before proceeding with mapping any security attributes, select **User** from the **Choose User Type** drop-down list. When chosen, all the updates made to all the user profiles through User Maintenance UI are imported from the CSSMS\_USER\_PROFILE table of the OFS AAI ATOMIC schema to the KDD\_REVIEW\_OWNER table of the ATOMIC schema.

If you delete a user through the Security Management application screen, you must come back to the Security Attribute Administration screen and select the value **User** from the **Choose User Type** drop-down list. Then the deleted user is updated in the KDD\_REVIEW\_OWNER table against the column actv\_flg as N, and that user is inactive.

#### Table 12. Security Attributes

Fields	Description
Organization	Select an organization from the drop-down list. A User or Organization's access to other Organizations depends on the selection(s) made for this organization parameter. For example, if a user is mapped to Org1 and Org2, it implies that this user can access alerts and cases which belong to these two organizations, provided other security attributes are also matching.
Own Case Flag	Select whether this user type owns a case flag from the drop-down list.
Own Alert Flag	Select whether this user type owns a alert flag from the drop-down list.

**Note:** The Own Alert and Case flag is required for taking ownership of the alerts and cases. If an alert user must perform a Promote To Case action, then the following prerequisites must be fulfilled.

The user must be mapped to any one of the following user groups:

- Case Supervisor
- Case Analyst1
- Case Analyst2

Business Organization	The default Business Organization is displayed, but you can select the business organization from the drop-down list.
Jurisdictions	Select the jurisdictions from the drop-down list. Mapping of one or more jurisdictions to a user or organization allows this user or organization to access cases, alerts, watch lists, and watch list members that belong to the mapped jurisdiction. The selected jurisdictions are displayed in Jurisdictions section after you save your selection.
Business Domain	Select the business domains from the drop-down list. Mapping of one or more business domains to a user or organization allows this user or organization to access cases, alerts, watch lists, and watch list members that belong to the mapped business domains. The selected jurisdictions are displayed in Jurisdictions section after you save your selection.
Scenario Group	Select the scenario group from the drop-down list. Mapping of one or more Scenario Groups to a user or organization allows this user or organization to access alerts that belong to the mapped scenario Group. The selected jurisdictions are displayed in Jurisdictions section after you save your selection.
Case Type	Select the case type from the drop-down list. Mapping of one or more Case Types to a user or organization allows this user or organization to access cases that belong to the mapped Case Type. The selected jurisdictions are displayed in Case Types section after you save your selection.
Correlation Rule	Select the correlation rule from the drop-down list. Mapping of one or more correlation rules allows the user to view the correlations generated based on the mapped correlation. The selected jurisdictions are displayed in correlation section after you save your selection.

- 5. Click Save. The following confirmation message is displayed: Would you like to save this action?
- 6. Click **OK**. The following confirmation message is displayed: The update operation successful.
- 7. Click **OK**. The updated Security Attribute page is displayed.

## **Removing Security Attributes**

This section allows you to delete the mapped security from the Users.

To remove security attributes, follow these steps:

- 1. Navigate to the Security Attributes page.
- 2. Select one or more check boxes in the respective security attributes such as Business Domain and Jurisdictions. Click Remove. The following confirmation message is displayed: *Are you sure you want to delete this records*?
- 3. Click **OK**. The selected record is deleted from the list.
- 4. Click **Save**. The changes are updated.

# CHAPTER 4

# Maintenance Activities and Configuring Setup Parameters (KYC Batch)

This chapter provides information on the maintenance and configuration activities to be done for the KYC system. This chapter discusses the following topics:

- Prerequisite
- Maintenance and Configuration Activities
- Integration with Enterprise Case Management

## Prerequisite

The OFS BD application pack must be installed. For information on pack installation, see Behavior Detection Application Pack Installation Guide.

## Maintenance and Configuration Activities

Oracle Financial Services KYC activities are classified into the following types:

- Initial or One time Activities
- Daily Activities

## Initial or One time Activities

These are maintenance activities that need to be done only once.

This section covers the following topics:

- Managing Users
- Uploading Data using Excel
- Moving Country Data in KDD\_CODE\_SET\_TRNLN table
- Configuring Application Parameters
- Configuring Application Installation Parameters
- Configuring Rule Based Risk Values
- Defining the Rereview Rule Details
- Configuring Algorithm Based Risk Parameters
- Configuring Scores for Values in KYC Risk Assessment

- Populating Data in the KDD\_CODE\_SET\_TRNLN Table
- Setting up KYC On-Boarding Service
- Scheduling KYC Batches
- Listing Holidays in the OFS AAI Administration User Interface
- Deployment Initiation Processing Based on the Implementation Requirement
- Partitioning IPE Tables

#### **Managing Users**

Users need to be created in KYC for KYC-related processing. For information on the users that need to created, see *Mapping a User with a User Group*.

For information on how to create users, see Managing User Administration and Security Configuration.

## **Uploading Data using Excel**

Excel upload helps you to upload all ready-to-use metadata for multiple jurisdictions across different rules or risk parameters. If there is data for one jurisdiction from the UI, you can copy data from one jurisdiction to the other. You can upload the following Excel sheets in the LU:

You can upload the following Excel sheets in the UI:

- APPLN\_REREVIEW\_PARAMS: Enter the appropriate values in all the columns.
- APPLN\_RISK\_RATING\_PARAMS: Ensure that the total weight of all the risk parameters that you have uploaded are equal to 100.
- DIM\_RISK\_CATEGORY: Ensure that the minimum range of consecutive rows is equal to the previous maximum range. For example, if the value in one row is 5-10, the value in the next row must be 10-15.

**Note:** The value in the N\_RISK\_CATEGORY\_KEY column must be a unique value across jurisdictions and customer type codes.

- DIM\_RA\_PRIORITY: Ensure that the minimum range of consecutive rows is equal to the previous maximum range. For example, if the value in one row is 5-10, the value in the next row must be 10-15.
- DIM\_ACCT\_CUST\_ROLE\_TYPE: Ensure that the value in the F\_CONTROLLING\_ROLE column is Y in order to consider the risk parameter for interested party calculations.
- APPLN\_PARAMS
- APPLN\_RB\_PROCESSING
- DIM\_WLS\_FEEDBACK

**Note:** After uploading data, you can modify the values in the columns of all the excels except for the DIM\_ACCT\_CUST\_ROLE\_TYPE and DIM\_RA\_PRIORITY excels through the UI. All column values must be according to the data types and expected character length. Refer the sample values shown for the default jurisdiction to know what values must be provided.

You can also add a new rule, rule value, or risk parameter through the UI. For more information see *Adding Risk Parameters and Rules (KYC Batch)*.

## Moving Country Data in KDD\_CODE\_SET\_TRNLN table

KYC has multiple risk parameters which are country-based values. KYC uses the code set translation table for all code sets and their values. The country data is already available in the Geography table. The same data must also be available in the kdd\_code\_set\_trnln table. To do this, run the following script:

```
insert into kdd_code_set_trnln select distinct 'ISOCountryCode', g.geo_cntry_cd, null,
g.geo_nm, null from GEOGRAPHY g;
Commit;
```

#### **Configuring Application Parameters**

The parameter values can be fine tuned through the User Interface provided by logging into the application as the KYC Administrator. The entries in the Application Parameters (Appln\_Params) are used to control the flow of the application. These parameters are Jurisdiction-specific.

The values of these parameters have an impact on the various services invoked by the application, and the work flow of the application. Multiple entries can be made for each parameter, one for each jurisdiction. For more information on how to navigate the UI and populate values for all jurisdictions, see *Adding Risk Parameters and Rules (KYC Batch)*.

#### **Configuring Application Installation Parameters**

The Application Installation Parameters contain information about installation specific parameters which do not vary with the jurisdiction. This table has only one set of parameters for a particular installation. You can modify the values in the UI. For more information, see *Adding Risk Parameters and Rules (KYC Batch)*.

#### **Configuring Rule Based Risk Values**

Rule Based Risk Assessment Parameters contains information about the rules which are pre-defined and the parameter values (which can vary according to the jurisdiction). It is mandatory to update rules values for all the jurisdictions for which Rule Based Risk Assessment is used. For more information, see *Adding Risk Parameters and Rules (KYC Batch)*.

#### **Defining the Rereview Rule Details**

The OFS KYC comes with pre-packaged rules based on which the Accelerated Rereview is triggered. These rules are available in the Application Rereview Parameters Table (Appln\_ReReview\_Params). Each record contains a rule number with which it is associated in the Rereview Rules. Each rule can be enabled or disabled depending on the site-specific requirement. The Appln\_ReReview\_Params table specifies details such as Look Back Period, Count of Alerts, and Alert Score for the Rule.

For more information, see Adding Risk Parameters and Rules (KYC Batch).

## **Configuring Algorithm Based Risk Parameters**

The weights for each parameter of the Algorithm-Based Risk Model are populated into the Appln\_Risk\_Rating\_Params table in the DB during Excel upload.

The sample values must be fine tuned to suit the site specific requirements in the Excel data files before the Excel upload or modifying the parameter values after the Excel upload process by the KYC Administrator. For more information, see *Adding Risk Parameters and Rules (KYC Batch)*.

#### **Configuring Scores for Values in KYC Risk Assessment**

The PARAM\_RISK\_SCORE\_JRSDN table contains the risk parameter values for algorithm-based and rule-based risk parameters for all jurisdictions.

Before you configure scores, algorithm-based and rule-based parameters must be uploaded. Each risk parameter or rule must have a corresponding code set and the same code set must be available in the KDD\_CODE\_SET\_TRNLN table.

## Populating Data in the KDD\_CODE\_SET\_TRNLN Table

The data from the KDD\_CODE\_SET\_TRNLN table is available in the UI when you click the Auto-Populate button in the *Risk Score for Parameter*/Rule Value page.

Every code set has one or more seeded code values. You can add a code value in a code set or modify an existing code value in a code set.

To add a code value in a code set, execute the following script:

```
insert into KDD_CODE_SET_TRNLN (CODE_SET, CODE_VAL, SRC_SYS_CD, CODE_DISP_TX)
values ('', '', null, '');
```

To modify an existing code value in a code set, execute the following script:

```
update kdd_code_set_trnln set code_val='', code_disp_tx = '' where code_val = '' and
code_set='';
```

## Setting up KYC On-Boarding Service

KYC has a feature called Real-Time Account On-Boarding Risk (RAOR). This feature allows you to gather additional information from a customer and calculate the risk score of a customer.

The following parameters in appln\_install\_params are related to the Onboarding Service and must be configured in the KYC UI for executing a real time-service request:

- QUESTIONNAIRE\_INFODOM: If the Questionnaire Infodom and the Application Infodom on which the Onboarding Service is deployed are not the same, then the infodom must be changed accordingly.
- QUESTIONNAIRE\_URI: Replace the placeholders for <PROTOCOL>, <HOST\_NAME>, <PORT> and <OFSAA\_DOMAIN> in the v\_attribute1\_value field with the appropriate values.
- RAOR\_URI: Replace the placeholders for <PROTOCOL>, <HOST\_NAME>, and <PORT> in the v\_attribute1\_value field with the appropriate values.
- QUESTIONNAIRE\_APP\_ID: The value must be OFS\_KYC.

**Note:** Depending on whether KYC and ECM are installed in the same infodom or different infodom and the same machine or a different machine, synonyms for database links must be created. The list of Synonyms for database links are available in an SQL file post installation. Depending on the setup, the appropriate link muts be executed.

## **Scheduling KYC Batches**

After the installation is complete, the user must login to the OFS KYC as the KYC Administrator and perform the steps mentioned in *Managing KYC Batches*.

Note: The batches are not visible in the Batch execution screen after the KYC installation is complete.

#### Table 13. Scheduling Batches

Criteria	Remarks
Timing of Execution of KYC batches	The KYC batches must be executed only after Oracle Financial Services Behavior Detection application has completed the day's ingestion and alert generation process. This ensures that KYC has the latest customer or account and alert information available for Risk Assessment reference. All the processing batches are EOD processing. The default review execution must be scheduled as an EOD activity.
Sequence of Execution of KYC batches	<ul> <li>The Processing of batch is in the following sequence:</li> <li>Deployment Initiation Processing - For processing the Existing customers.</li> </ul>
	<ul> <li>Regular Processing - For daily processing.</li> </ul>
	<ul> <li>EOD Processing (Feedback Processing) - For processing after the entire regular processing batch is complete.</li> </ul>
	Note: After the KYC batch ends, the files are generated at EOD. These files can then be used by the AML system when the AML batch runs. The feedback processing creates feeds for the account opening system and Oracle Financial Services Behavior Detection application. Note: Ensure that the feeds are scheduled as part of the data ingestion process in the account opening system and Oracle Financial Services Behavior Detection application.

#### Listing Holidays in the OFS AAI Administration User Interface

Use the OFS AAI Administration UI (Administration>Security Management>System Administrator >Holiday Maintenance) to setup and maintain the holiday list for the financial institution.

#### **Deployment Initiation Processing Based on the Implementation Requirement**

After installing KYC, the existing customers are to be risk assessed and processed through KYC for which Deployment Initiation is required. The Deployment Initiation Process helps the financial institution process the risk assessment of an existing customer once as a start-up process and mark them for periodic review based on the CER score.

Deployment Initiation Processing can be done in a single slot or can be executed in multiple slots (for example, Number of Customers to be processed) for managing the performance due to volume. The prerequisite for triggering the process execution involves setting up the KYC related parameters correctly using the application parameter configuration UI. The multiple slots are to be decided only if the system requirements are unable to meet the volume of data.

Note: Slicing of data is not recommended. If it is required, you can add batch or hierarchy filters.

#### **Partitioning IPE Tables**

Partitioning of IPE tables are done in order to prevent the IPE batch from continuously running and thus help with performance. Since IPE tables add up data quickly, the batches run continuously.

To partition IPE tables, follow these steps:

1. Execute the following statements to Drop and Recreate (with partition) the 3 IPE results tables

Drop Table RTI\_ASSMNT\_EVAL\_RESULT;

CREATE TABLE RTI\_ASSMNT\_EVAL\_RESULT

```
(
N_RUN_ID
                NUMBER(22),
N_BATCH_ID
                  NUMBER(22),
N_TASK_ID
                 VARCHAR2(100 CHAR),
N_START_TIME
                  TIMESTAMP,
N_ASSMNT_EVAL_RESULT_ID VARCHAR2(3800 CHAR),
N_ASSMNT_RESULT_ID
                      NUMBER(22),
N_EVAL_ID
                NUMBER(22),
                       NUMBER(22) DEFAULT 0,
N_EVAL_VERSION
N_EVAL_SCORE
                      NUMBER(22, 2) ,
V_EVAL_FLAG
                  VARCHAR2(100 CHAR),
D_EVAL_TM
                 TIMESTAMP ,
N_ENTITY_SEQ_ID
                        VARCHAR2(3500 CHAR),
N_ACTIVITY_BUS_ID
                        NUMBER(22),
N_ASSMT_ID
                    NUMBER(22),
                     VARCHAR2(100 CHAR),
V_THRESHOLD
V_INFODOM
                    VARCHAR2(100 CHAR),
V BATCH RUN ID
                     VARCHAR2(200 CHAR),
                         VARCHAR2(4000 CHAR),
V_BATCH_ASSMNT_RES_ID
N_ASSMT_RES_EXT_REF_ID_NUMBER(22),
V APP ID VARCHAR2 (20 CHAR) DEFAULT 'OFS IPE' NOT NULL
)PARTITION BY LIST (V_APP_ID)
SUBPARTITION BY LIST (V_BATCH_RUN_ID)
(
PARTITION DEFAULT_PART VALUES (DEFAULT)
(
SUBPARTITION DEFAULT_SUBPART VALUES (DEFAULT)
)
);
Drop Table RTI_ASSMNT_RESULT;
CREATE TABLE RTI_ASSMNT_RESULT
(
N_RUN_ID
                NUMBER(22),
N_BATCH_ID
                  NUMBER(22),
N_TASK_ID
                 VARCHAR2(100 CHAR),
N_START_TIME
                  TIMESTAMP,
N_ASSMNT_RESULT_ID NUMBER(22),
N ASSMT ID
                NUMBER(22) NOT NULL,
```

```
N_ASSMNT_VERSION NUMBER(22) DEFAULT 0,
N_ASSMNT_SCORE
                  NUMBER(22, 2),
N_ENTITY_SEQ_ID
                  VARCHAR2(3500 CHAR),
D_ASSMNT_EXEC_TM
                    TIMESTAMP,
V_ERROR_CODE
                  VARCHAR2(10 CHAR),
V_ERROR_MSG
                 VARCHAR2(500 CHAR),
N_ACTIVITY_BUS_ID NUMBER(22) ,
V_ASSMNT_EXEC_MODE
                        VARCHAR2(10 CHAR),
V_ASSMNT_EXEC_RESULT
                        VARCHAR2(10 CHAR),
N ALERT ID
                 NUMBER(22),
V_THRESHOLD
                    VARCHAR2(100 CHAR),
V_INFODOM
                   VARCHAR2(100 CHAR),
V_BATCH_RUN_ID
                     VARCHAR2(200 CHAR),
V_BATCH_ASSMNT_RES_ID
                         VARCHAR2(4000 CHAR),
N_ASSMT_RES_EXT_REF_ID NUMBER(22),
V_APP_ID VARCHAR2 (20 CHAR) DEFAULT 'OFS_IPE' NOT NULL
)PARTITION BY LIST (V_APP_ID)
SUBPARTITION BY LIST (V_BATCH_RUN_ID)
(
PARTITION DEFAULT PART VALUES (DEFAULT)
(
SUBPARTITION DEFAULT SUBPART VALUES (DEFAULT)
)
);
```

```
Drop Table RTI_ASSMNT_EVAL_EXPORT_DATA;
CREATE TABLE RTI_ASSMNT_EVAL_EXPORT_DATA
(
N_RUN_ID NUMBER(22,0),
N_BATCH_ID NUMBER(22,0),
N_TASK_ID VARCHAR2(100 CHAR),
N_EVAL_ID NUMBER(22,0),
N_EVAL_VERSION NUMBER(22,0) DEFAULT 0,
N_ENTITY_SEQ_ID VARCHAR2(3500 CHAR),
N_ACTIVITY_BUS_ID NUMBER(22,0),
N_ASSMT_ID NUMBER(22,0),
V_INFODOM VARCHAR2(100 CHAR),
V_BATCH_RUN_ID VARCHAR2(200 CHAR),
V_APP_ID VARCHAR2(20 CHAR) DEFAULT 'OFS_IPE' NOT NULL ,
```

```
v_export_DATA clob
PARTITION BY LIST (V_APP_ID)
SUBPARTITION BY LIST (V_BATCH_RUN_ID)
(
PARTITION DEFAULT_PART VALUES (DEFAULT)
(
SUBPARTITION DEFAULT_SUBPART VALUES (DEFAULT)
)
);
```

To Create and Drop partition tasks as part of Regular Processing Batch, follow these steps:

- 1. Open the RUN 'IPEKYCRun' in Edit mode, Click 'Selector' Drop down and select 'Job'.
- 2. On the LHS of the pop-up, look for 'KYC\_IPE\_TABLE\_CREATE\_PARTITION' under 'Processes' and move that component to RHS
- 3. Select the KYC\_IPE\_TABLE\_CREATE\_PARTITION component check box in the RHS and Move it up to make it the first task.
- 4. On the LHS of the pop-up, look for 'KYC\_IPE\_DROP\_PARTITION' under 'Processes' and move that component to RHS
- 5. Select the KYC\_IPE\_DROP\_PARTITION component check box in the RHS and Move it down to make it the last task.
- 6. Click Ok to close the pop-up and then SAVE then RUN.

To Create and Drop partition tasks as part of Deployment Initiation Batch, follow these steps:

- 1. Open the RUN 'IPEKYCRunDI' in Edit mode, Click 'Selector' Drop down and select 'Job'.
- 2. On the LHS of the pop-up, look for 'KYC\_IPE\_TABLE\_CREATE\_PARTITION' under 'Processes' and move that component to RHS
- 3. Select the KYC\_IPE\_TABLE\_CREATE\_PARTITION component meta data in the RHS and Move it up to make it the first task.
- 4. On the LHS of the pop-up, look for 'KYC\_IPE\_DROP\_PARTITION' under 'Processes' and move that component to RHS
- 5. Select the KYC\_IPE\_DROP\_PARTITION component check box in the RHS and Move it down to make it the last task.
- 6. Click Ok to close the pop-up and then SAVE then RUN.

## **Daily Activities**

These are maintenance activities that must be done on a daily basis.

This section covers the following topics:

• Regular Processing - Account Opening Review

- Regular Processing- Accelerated Review
- Regular Processing Rereview or Periodic
- Feedback or Application EOD Processing

#### **Regular Processing - Account Opening Review**

All the accounts which were opened the previous x days and are in *Active* status are picked for risk assessment. The accounts which were opened in the last 7 days and activated the previous day are also selected. The look back period is set to x days, where x is configurable. The Account Range for Regular Processing parameter can be modified from the Application Parameters UI screen under the KYC Administration option by the KYC Administrator. For more information, see *Configuration Guide*.

#### **Regular Processing-Accelerated Review**

An Accelerated Review is used to identify the customers who must be assessed. This depends on the changes in customer and account information as well the alerts behavior. The Accelerated Review Processing is executed, along with Default or Account Opening review, after the Oracle Financial Services Behavior Detection Framework alert generation is complete.

#### **Regular Processing - Rereview or Periodic**

After every review (Account Opening Review, Deployment Initiation, or Accelerated Rereview), the next review date is set for the customer based on the risk assessed. Thus, customers are periodically subjected to Risk Assessment, which is essential as the risk associated with each customer may change over time.

After a case is closed, the customer's next review date is determined by adding the time period (specified for the current risk category of the case) to the processing date in line with the holiday list definition.

Rereview Processing checks whether the Next Rereview Date falls between the processing date and the number of days specified for the attribute in the KYC\_PERIODIC\_REVIEW parameter.

**Note:** The table used to specify the number of days is the APPLN\_PARAMS table and the column where the number is provided is V\_ATTRIBUTE1\_VALUE.

A Risk Assessment is created for customers whose next review date matches with the current day's processing date. This batch is executed once every day.

#### Feedback or Application EOD Processing

During the execution of the regular processing batches, the risk scores at customer levels are sent to the Oracle Financial Services Alert Management application and the account opening system. The feedback batch achieves this goal by consolidating customers and their risk scores on whom the risk assessment was created, analyzed, and closed for the processing date.

The application also creates a KYC watch list feed for the Oracle Financial Services Alert Management application for the customers whose review is completed.

## Integration with Enterprise Case Management

KYC is integrated with ECM in order to:

- Investigate KYC events
- Promote KYC events to cases

- Close the cases
- Edit the KYC risk scores
- Execute the batches
- View the customer dashboard

## Configurations in the ECM UI:

You must make the following configurations in the ECM UI. For more information, see Enterprise Case Management Administrator Guide.

- Updating the URL for the KYC Close Service
- Updating the KYC Get Overridden Risk Details URL
- Updating the BD Application URL for the KYC Customer Dashboard
- Updating the User Name and Password for the Common Gateway Service
- Updating the User Name and Password for the Create JSON Service
- Updating the User Name and Password for the KYC Risk Score UI Service
- Updating the User Name and Password for the JSON To Table Service

#### Updating the URL for the KYC Close Service

To update the user name and password, follow these steps:

- 1. Login as the ECM Administrator.
- 2. Navigate to Case Management Configuration > Manage Common Parameters.
- 3. In the Parameter Category field, select Deployment Based.
- 4. In the Parameter Name field, select **KYC Deployment**.
- 5. Replace 'KYC Rest Service URL' with the BD Application URL till the context name in the Attribute 1 Value field. For example: POTOCOL:/HOSTNAME:PORT/CONTEXT NAME>/restapi/kycrest/AutoCloseService
- 6. Click **Save** to update the details in the database.

#### Updating the KYC Get Overridden Risk Details URL

To update the user name and password, follow these steps:

- 1. Login as the ECM Administrator.
- 2. Navigate to Case Management Configuration > Manage Common Parameters.
- 3. In the Parameter Category field, select Deployment Based.
- 4. In the Parameter Name field, select **KYC Deployment**.
- 5. Replace the ##BD\_APPLICATION\_URL## placeholder with the BD Application URL till the context name in the Attribute 3 Value field. For example: <PROTOCOL:/HOSTNAME:PORT/CONTEXT\_NAME>
- 6. Click Save to update the details in the database.

#### Updating the BD Application URL for the KYC Customer Dashboard

To update the user name and password, follow these steps:

- 1. Login as the ECM Administrator.
- 2. Navigate to Case Management Configuration > Manage Common Parameters.
- 3. In the Parameter Category field, select Deployment Based.
- 4. In the Parameter Name field, select **KYC Deployment**.
- 6. Click **Save** to update the details in the database.

#### Note:

- To know how to manually promote KYC risk assessments to cases, see *Know Your Customer Risk* Assessment Guide.
- To view the KYC OBI reports, see FCCM Analytics Guide.
- During case closure, you can do the following in the ECM system:
  - View information about the users who close the cases
  - Edit the risk scores which are displayed on the case closure dates
  - Override the risk expiration dates
  - Update the next re-review dates

For information on the above, see Know Your Customer Risk Assessment Guide.

#### Updating the User Name and Password for the Common Gateway Service

To update the user name and password, follow these steps:

- 1. Login as the ECM Administrator.
- 2. Navigate to Case Management Configuration > Manage Common Parameters.
- 3. In the Parameter Category field, select **Deployment Based**.
- 4. In the Parameter Name field, select Common Gateway Deployment.

The Attribute 1 Value field is pre-populated with the Common Gateway Service URL during the installation process with content from the InstallConfig.xml file. In cases where the deployment URL is not mentioned during the installation process or if the deployment URL has changed after installation, you will need to provide the new service URL.

- 5. Enter the KYC Administrator user name in the Attribute 2 Value field.
- 6. Click Save to update the details in the database.
- 7. To update the password, navigate to the **Configuration of Web Service** screen and enter the password for the above entered KYC Administrator user in the Enter Password for Common Gateway Service field.
- 8. Click Encrypt to save the password in the database.

#### Updating the User Name and Password for the Create JSON Service

To update the user name and password, follow these steps:

- 1. Login as the ECM Administrator.
- 2. Navigate to Case Management Configuration > Manage Common Parameters.
- 3. In the Parameter Category field, select Deployment Based.
- 4. In the Parameter Name field, select **T2J Deployment**.

The Attribute 1 Value field is pre-populated with the Create JSON Service URL during the installation process with content from the InstallConfig.xml file. In cases where the deployment URL is not mentioned during the installation process or if the deployment URL has changed after installation, you will need to provide the new service URL.

The Attribute 2 Value field is pre-populated. This value must not be updated.

- 5. Enter the ECM Administrator user name in the Attribute 3 Value field.
- 6. Click **Save** to update the details in the database.
- 7. To update the password, navigate to the **Configuration of Web Service** screen and enter the password for the above entered ECM Administrator user in the Enter Password for Create JSON Service field.
- 8. Click Encrypt to save the password in the database.

To update the user name and password in ECM, follow these steps:

- 1. Login to the ECM config schema.
- 2. Update the placeholder in the below script and execute the same in the config schema.

```
update aai_wf_application_api_b SET V_PARAM_1 =
'##BASE64ENCODED_ECMADMINUSERNAME:ECMADMINPASSWORD##' where V_APP_API_ID ='1543401257828';
/
commit
```

/

## Updating the User Name and Password for the KYC Risk Score UI Service

To update the user name and password, follow these steps:

- 1. Login as the ECM Administrator.
- 2. Navigate to Case Management Configuration > Manage Common Parameters.
- 3. In the Parameter Category field, select Deployment Based.
- 4. In the Parameter Name field, select **KYC Deployment**.

The Attribute 5 Value field is pre-populated with the KYC Service URL during the installation process with content from the InstallConfig.xml file. In cases where the deployment URL is not mentioned during the installation process or if the deployment URL has changed after installation, you will need to provide the new service URL.

- 5. Enter the KYC Administrator user name in the Attribute 6 Value field.
- 6. Click **Save** to update the details in the database.

- 7. To update the password, navigate to the **Configuration of Web Service** screen and enter the password for the above entered KYC Administrator user in the Enter Password for KYC Onboarding Risk Score Service URL field.
- 8. Click Encrypt to save the password in the database.

#### Updating the User Name and Password for the JSON To Table Service

To update the user name and password in PMF, follow these steps:

- 1. Login to the ECM config schema.
- 2. Update the placeholder in the below script and execute the same in the config schema.

```
update aai_wf_application_api_b SET V_PARAM_1 =
'##BASE64ENCODED_KYCADMINUSERNAME:KYCADMINPASSWORD##' where V_APP_API_ID ='1543401605699';
/
commit
/
```

#### Integration with Enterprise Case Management Chapter 4–Maintenance Activities and Configuring Setup Parameters

# CHAPTER 5 Managing KYC Batches

This chapter provides information on how to manage the different KYC batches.

This chapter discusses the following topics:

- About KYC Batches
- Deployment Initiation Processing
- End of Day Processing
- Regular Processing
- Running KYC Batches
- Running a Single Task Using a Batch
- Scheduling a Batch
- KYC Batch Execution Logs

**Note:** Before you Create a batch, ensure that all the necessary batch uploads mentioned in Adding Risk Parameters and Rules (KYC Batch) are completed.

Note: A prerequisite for KYC batches is to run ingestion first.

# About KYC Batches

KYC batches are run using two processes:

- Regular processes, which are run daily
- Deployment Initiation processes, which are run once

Note: With relation to 8.0.2 KYC, the equivalent batches in 8.0.4 KYC for Deployment Initiation Processing, Regular Processing, and End Of the Day Processing are 'IPEKYCRunDI', 'IPEKYCRun' and 'IPEKYCEODDI'.

## **Deployment Initiation Processing**

This batch is to be executed only once at the time the KYC application goes live. All the sections listed under this batch are part of the Re-Review Processing Batch also. The batch is split into the following sections:

- Customer Identification for Risk Assessment
- Watch List screening
- Risk Assessment
- Auto Closure
- Promote to Case
- Customer Risk Assessment History population

Customers are picked for processing based on the following:

- Jurisdiction: Oracle Financial Services clients can process the deployment workflow based on specific jurisdiction.
- Customer Type: Oracle Financial Services clients can also process data based on customer type.
- Length of Relationship: Oracle Financial Services clients can also process data based on length of relationship of the customer and this is configurable.

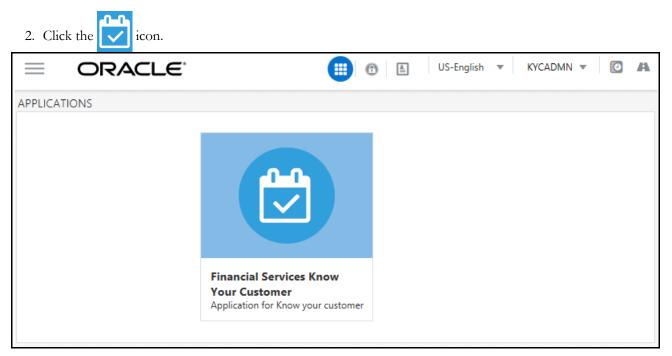
Note: All the above criteria for processing can be done separately or by combining them.

Refer to the KYC\_DEPLOYMNT\_INIT\_WF parameter under the application parameter.

## Adding the Beneficial Owner Process to the Deployment Initiation Processing Batch

The KYC\_PopulateBeneficialOwner process is not available in the ready-to-use Deployment Initiation Processing Batch. To add the process:

1. Login to the KYC Application.



3. Click Common Tasks > Rule Run Framework > Run.

🛱 Behavior Detection - KYC	>	Unified Metadata Manager	>	Rule
🖨 Common Tasks	>	Rule Run Framework	>	Process
Processing Modelling Framework	>	Operations	>	Manage Run Execution
		Financial Services Inline Processing Engir	ne >	

- 4. In the Run screen, select the IPEKYCRunDI code and click Edit.
- 5. Click **Selector** > **Job**.

6. In the List section, expand Processes > FCCMSEGMNT and double-click the KYC PopulateBeneficialOwner task.

The task moves to the Tasks section.

- 7. Move the KYC\_PopulateBeneficialOwner process to below the KYC\_DI\_Interested\_Party:SD process and above the KYC\_DI\_Watchlist\_Scan process.
- 8. Click **Ok.**
- 9. Resave the run and trigger a fresh run. This ensures that the changes are saved and displayed.

#### Setting the Interested Party Level

This parameter allows the user to set the customer's level of relationship with the interested parties. By default, it is 1.

• If the interested party relationship is not required for the customer, the user can set the value to 0. There are two ways to set the interested party level.

1. To set the interested party level using the database, update the value of the following parameter.

Parameter Name: LVL\_IDF\_IP

Table Name: APPLN\_INSTALL\_PARAMS

- 2. To set the interested party level using UI, follow these steps.
  - a. Login to the KYC application as KYC Administrator.
  - b. Click Behavior Detection KYC. Select Manage KYC Configuration and click Manage KYC Installation Parameters.
  - c. On the Manage KYC Installation Parameters page, Select KYC as Parameter Category and Manage KYC Installation Parameters as Parameter Name.
  - d. Update the Attribute 1 Value and provide your comments.

#### Figure 2. Setting the Interested Party Level

Attribute 1 Name:	LVL_IDF_IP	Attribute 1 Description:	Level of Identification : Default and allowed value is 2	Attribute 1 Value: 1	Comments:

e. Click Save to save the changes.

This action updates the Interested Party Level.

# End of Day Processing

This topic covers the following sections:

- Feedback to the Oracle Financial Services Behavior Detection Framework or Account Opening System
- Customer Risk Assessment Details
- Customer Risk Assessment History

• Renaming and Transferring Feedback files

# Feedback to the Oracle Financial Services Behavior Detection Framework or Account Opening System

At the end of each day, risk scores for risk assessments that are auto-closed or closed by the compliance officer after investigation are sent to Oracle Financial Services Behavior Detection Framework and the Account Opening System through Feedback files. Watch List files and Feedback files to the Account Opening System are available after KYC End of Day (EOD) processing is complete. These files must then be scheduled for loading into Oracle Financial Services Behavior Detection Framework and the Account Opening System. The processing date is the date of KYC EOD Processing. The following files are available:

- CBS Feedback (incremental dump of processing day for Oracle Financial Services Alert Management application)
- Watch List Entry Feedback (full dump as of processing day)
- Customer Risk Assessment Details (Incremental dump as of processing day for the Account Opening System) The delimiter for the extract file can be defined under Unified Metadata Data Integrator.

## **CBS Feedback**

This file contains the Customer ID and the risk score computed by the risk assessment engine. The file name is obtained by appending the processing date to GenCustDetails\_ED. The Feedback Flag is updated in the FCT\_CUST\_RVWDTLS table. Customer Feedback is not sent unless the Business schema is present. This file is sent in the batch which runs in the subsequent days.

SL No.	Business Name	Data Type
1	Risk Assessment ID	String
2	Customer ID	String
3	Customer Name	String
4	Customer Effective Risk Score	Number
5	Risk Assessment Closed Date	Date
6	Next Re-review Date	Date

#### Table 14. CBS Feedback

#### Watch List Entry Feedback

The Watch List is generated for closed cases and where closure is recommended for the Account. The records populated in the Watch List results table for a processing date are dumped into this file. The file name is obtained by appending the processing date to GenWLSFeedback\_ED.

#### Table 15. Watch List Feedback

SL No.	Business Name	Data Type
1	Entity Identifier Type	String
2	Entity Identifier	String
3	Watch List Identifier(Referred from Application parameter KYC_WLS_ENTRY_FILE_ID)	String
4	Watch List Entry Description Text	String

## **Customer - Risk Assessment Details**

This file contains the Customer ID and the Risk assessment details computed by the risk assessment engine. The file name is obtained by appending the processing date to GenCustDetails\_ED. This file is created for the Oracle Financial Services Behavior Detection Framework and placed in the path defined by the Configuring Customer

Feedback Files parameter in the Application Parameter UI. A schedule must be created to load this file in the Customer Supplemental Attribute table of the Behavior Detection Framework application. The data provided in this file is used for calculating the Entity Risk of a customer, where the KYC Risk is one component of Entity Risk. The file contains the KYC risk score provided when a risk assessment is closed by the application or closed by the investigation officer on every processing date.

SL No.	Business Name	Data Type
1	Customer ID	String
2	Customer Effective Risk Score	Number
3	Custom1Date	String
4	Custom2Date	String
5	Custom3Date	String
6	Custom1Real	String
7	Custom2Real	String
8	Custom3Real	String
9	Custom1Text	String
10	Custom2Text	String
11	Custom3Text	String
12	Custom4Text	String
13	Custom5Text	String
14	Source System	String

Table 16. Risk Assessment Details

## **Customer - Risk Assessment History**

The KYC application captures the history of all the risk assessments created on all the customers within a period of 12 months and would retain for x period of months. 12 months is configured by default, the administrator can update this parameter based on the client requirement. The value can be updated from the UI for the 'V\_ATTRIBUTE1\_VALUE' for the 'KYC\_RISK\_ASSESSMENT\_HISTORY' parameter of the Application Install Parameters. A partition is created on the table based on the value which is updated.

## **Renaming and Transferring Feedback files**

When a KYC review for a new account request is complete, KYC informs the Account On-Boarding System about the disposition of the review. At the disposition of a periodic or accelerated KYC review, the KYC application communicates the results of the review to the appropriate banking application used within the financial institution, such as an Account Management application. The parameters required for renaming and transferring feedback files must be configured in the appn\_install\_params table.

The Oracle Financial Services KYC application is also responsible for sharing Account, Customer, and Watch List feedback to the Oracle Financial Services Alert Management application and Oracle Flexcube application at the disposition of the KYC review.

The extract names are not compatible with the Oracle Financial Services Behavior Detection Framework file naming convention. This utility completes the following activities based on the configurations set for the implementation:

- 1. Moves the files to the different location in the same server.
- 2. Renames the files with the extension defined.
- 3. Maintain a copy of the extract in the history directory with its original name.
- 4. The utility covers the following extracts in KYC 2.0:
- GenCustDetails\_ED<YYYYMMDD>
- GenWLSFeedback\_ED<YYYYMMDD>

# **Regular Processing**

The Default Account Review workflow is triggered upon request from the following external account opening system:

This section covers the following topics:

- Prefilter Rules
- Risk Assessment Initiation
- Promote to Case

OFS KYC requires an online batch interface to facilitate Watch List Scanning and successful execution of the default review.

The Account Opening Review is executed at the end of the day and the results are computed.

There are two ways to execute the batch for Account Opening

- Regular Processing on daily basis (Combined batch with Re-Review)
- Weekly Processing on weekly basis (Combined batch with Re-Review)

#### **Prefilter Rules**

These rules comprise of accelerated re-review, periodic review, and new accounts. For more information, see *Daily Activities* section and Chapter 5 and 6 of the *Configuration Guide*.

#### **Risk Assessment Initiation**

Based on the reasons generated in the previous module, risk assessments are created for the corresponding customers. The type of risk assessment source is specified as *Accelerated Re-Review*.

Then the next Re-Review Date for each customer is compared to the day's processing date. If the two match, then a risk assessment is created for the customer with the risk assessment source specified as *Periodic Re-Review*.

There are two types of Risk Assessments:

- Rule-based Risk Assessment
- Algorithm-based Risk Assessment

#### Rule-based Risk Assessment

Rule-based assessment calculates a risk score based on client configurable rules. For more information about the Rule-based assessment model parameters, see *Configuration Guide*.

Rule-based assessment model supports a business process framework, which allows the bank or FI to provide different values for the predefined rules. All customers are first assessed using the Rule-based Assessment Model and then assessed using the Algorithm-based Assessment Model.

For Rule-based assessment, the values for each rule are provided by the Admin user. For more information about providing values for rule-based assessment, see *Adding Rules for Rule-based Risk Assessments*.

A customer can fall under one or more rules during rule-based assessment. When a customer has been matched to multiple rules, the application considers the maximum score of the matched rules.

For example, a customer has matched the Country of Citizenship and Country of Residence rules, with the values being Afghanistan and India, with a score of 45 and 60 respectively. In this case, the application considers the risk score as 60 for the customer. It also captures and displays all the rules matched.

Risk assessments created using this work flow are promoted to a case based on the risk score mentioned in the **DIM\_RISK\_CATEGORY** table. The values in the **F\_USR\_REVIEW\_REQ\_FLAG** and

F\_HIGH\_RISK\_WATCH\_LIST\_FLAG parameter must always be set to N; if you set the

**F\_HIGH\_RISK\_WATCH\_LIST\_FLAG** parameter to Y, then a case is generated irrespective of the risk score. For more information on the columns, see Appendix B in the *KYC Risk Assessment Guide*.

#### Algorithm-based Risk Assessment

Algorithm-based Assessment Model calculates the risk of customers based on different parameters which are based on customer type.

For each parameter the application checks the value provided by the customer who is being risk assessed, and retrieves the score of that value from the PARAM\_RISK\_SCORE\_JRSDN table. If the value provided by the customer for a parameter is not available, then the application considers it as DEFAULT which would have a corresponding score in the PARAM\_RISK\_SCORE\_JRSDN table. If the value provided by the customer is not available or the value is not provided at all, then a value of DEFAULT is assigned.

## **Closure Updates**

After Risk Assessment, some risk assessments are eligible for Auto-Closure based on the following criteria:

- The User Review Flag of the risk category to which the risk score belongs is set to N.
- The High Risk Watch List Flag of the Risk assessment is set to N.

• The difference between the present risk score and previous risk score is less than the value specified in the parameter KYC\_CHG\_IN\_CUST\_RSK\_TOLERANCE.

For all the risk assessments that satisfy the above set of conditions, the records of the risk assessed customers in the KYC Master Customer Table (Fct\_Cust\_Rvwdtls), is updated with all the parameters pertaining to the risk score calculation. Subsequently, the records of all the accounts associated with the risk assessed customer are also updated with the risk scores. The threshold values for Auto-Closure can be altered by changing the value of the Application parameter mentioned above.

## **Promote to Case**

Whenever risk assessments are promoted to cases based on certain criteria, there may be a few risk assessments which are not promoted due to non-availability of data, system issues, server problems etc.

The error for the Risk Assessment not being promoted to a case is captured in the table RA\_TO\_CASE\_ERROR. This table is available in the KYC Atomic schema. The user must identify the cause of the error and resolve the same. Once the error is rectified, these Risk Assessments are promoted to a case during the next KYC batch processing.

## **Running KYC Batches**

For the first time after installation, you need to create batches in KYC by running a fire run.

To do a fire run, follow these steps:

- 1. Login as the KYC Administrator. The KYC application home page is displayed.
- 2. Click Common Tasks.
- 3. Click Rule Run Framework.
- 4. Click Run. The Run page is displayed.

Click to expand the page.

5.	Select the pa	articular	batch that	vou want to	run and	click Fire	Run.	The Fire l	Run nage	is dis	plave
<i>J</i> .	beneet the pa	articular	Daten unat	you want to	run and	CHCK I HC	ILGII.	I HC I HC I	nun page	10 ano	pray

							Q Search D Res
	Code	2		Version	0		
r	Name	21		Active	Yes	~	
E	olde	r	~	Туре		~	
	orac			21-			
		View 🕝 Edit 🖣	🗎 Copy 🗎 Rem	6.61	Authorize 🖳 Export	🔅 Fire Run	]
+	Vew		Copy 🖻 Rem	6.61	Authorize 😽 Export	Fire Run Version	Active
+	Vew			iove 🗝 /	Folder		Active Yes
	New	Code 🔺	Name	nove 😰 ,	Folder FCCMSEGMNT	Version	

6. In the Fire Run page, provide the required values.

∼Run Definition		ОК	Close
• Kur Delinition	Name Request Type	IPEKYCEODDI Single	
~Execution Mode			
Batch	Create	$\checkmark$	
Wait	No	$\checkmark$	
~ Others			
	Parameters	n	
	Filters		

7. Click **OK**.

# Running a Single Task Using a Batch

From the Batch Execution page, you can run a single task from a batch.

**Note**: Running a single task using a batch is not a recommended approach and must be done only for debugging a particular task.

To run a single task using a batch, follow these steps:

- 1. Login as the KYC Administrator. The KYC application home page is displayed.
- 2. Click Common Tasks.
- 3. Click Operations.
- 4. Click **Batch Execution**. The Batch Execution page is displayed.
- 5. From the Batch Details section, select the particular batch that you want to execute.
- 6. From the Task Details section, click . The Task Mapping window is displayed.

Exclude/Include					?
<u>Batch Execution</u> > Exclude/Include					
				ОК	Close
∼Task Details					_
Available Tasks			Set Tasks		
Task1:Customer	~				
Task2:BD_POPULATE_LAST_RUN_BATCH:NA					
Task3:Populate_Cust_Prscng:NA		>			
Task4:PopulateProcessedNewAcct:NA					
Task5:Populate_Cust_Addr_Prscng:NA		>>			
Task6:Populate_Cust_Cntry_Prscng:NA					
Task7:Populate_Cust_Id_Doc_Prscng:NA		<			
Task8:Populate_Cust_Mkt_Served_Prscng:NA					
Task9:Populate_Cust_Phon_Prscng:NA					
Task10:Populate_Cust_Prod_Prscng:NA					
Task11:Populate_Cust_to_Cust_Prscng:NA	U				
Task12:Populate_Cust_Acct_Prscng:NA	Ŧ				

- 7. Retain the tasks that you want to execute under the Available Tasks section and move the rest to the Set Tasks section.
- 8. Click **OK**. The following warning message is displayed: If you exclude a task, it will be skipped when executing the batch but, the precedence will not be altered. Do you want to exclude the selected task(s)?
- 9. Click **OK**.
- 10. Click Execute Batch.

# Scheduling a Batch

This section covers the following topics:

- Scheduling a Batch Once
- Scheduling a Daily Batch
- Scheduling a Weekly Batch
- Scheduling a Monthly Batch

## Scheduling a Batch Once

To schedule a batch that you want to run only once, follow these steps:

- 1. Login as the KYC Administrator. The KYC application home page is displayed.
- 2. Click Common Tasks.
- 3. Click Operations.
- 4. Click **Batch Scheduler**. The Batch Scheduler page is displayed.

Batch Scheduler				0
			Q Sea	arch 🔊 Reset
Batch ID Like INFOFCCM11_	Batch Description Like			
Module	Last Modification Date Betw	ween	And And	<b>m</b>
~Server Time				D Refresh
	Current Server Time: 25/04/20	018 15:12:50		
∼Batch Name	Current Server Time: 25/04/20	)18 15:12:50		
∨Batch Name Batch ID ≜	Current Server Time: 25/04/20		h Description	
	Current Server Time: 25/04/20	Batc	h Description 9Run_1469444745341	_Description
Batch ID 🔺	Current Server Time: 25/04/20	Batci		
Batch ID ▲ INFOFCCM11_1524479149689	Current Server Time: 25/04/20	Batci Auto Auto	oRun_1469444745341	_Description
Batch ID ▲           INFOFCCM11_1524479149689           INFOFCCM11_1524479356237	Current Server Time: 25/04/20	Batci Auto Auto	oRun_1469444745341 oRun_1469444745341 oRun_1469444745341	_Description

- 5. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
- 6. Click New Schedule.
- 7. Set the frequency of the new schedule as **Once**.
- 8. Enter the schedule time of the batch by specifying the Start Date and the Run Time.

atch Scheduler			0
			Q Search D Rese
Batch ID Like INFOFCCM11_	Batch De	scription Like	
Module	✓ Last Mod	ification Date Between	And D
~Server Time			D Refres
	Current Serv	er Time: 25/04/2018 15:12:50	
- Batch Name			
Batch ID 🔺			Batch Description
✓ INFOFCCM11_1524479149689			AutoRun_1469444745341_Description
INFOFCCM11_1524479356237			AutoRun_1469444745341_Description
INFOFCCM11_1524479623424			AutoRun_1469444745341_Description
-> Batch Scheduler Domain:	INFOFCCM11	Batch:	INFOFCCM11_1524479149689
Schedule	New Schedule      Existing Schedul	e	
New Schedule	o na su de grande a construigenden - na su de metro de la construigende 🚽 a construigende		
Schedule Name			
Once O Daily O Weekly O Monthly O Add	100		
~Schedule Time			
Dates	Start Date 🛗 End Da	te	
Run Time	00 Hours	00 Minutes	Lag 0 Days
			Save Cancel

9. Click Save.

## Scheduling a Daily Batch

To schedule a batch that you want to run daily, follow these steps:

- 1. Login as the KYC Administrator. The KYC application home page is displayed.
- 2. Click Common Tasks.
- 3. Click Operations.
- 4. Click Batch Scheduler. The Batch Scheduler page is displayed.
- 5. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
- 6. Click New Schedule.
- 7. Set the frequency of the new schedule as **Daily**.
- 8. Enter the schedule time of the batch by specifying the Dates, Run Time, and Every information.

#### Scheduling a Batch Chapter 5–Managing KYC Batches

Batch Scheduler						?
					Q Search D R	leset
Batch ID Like INFOFCCM11_		Batch Description I	Like			
Module	~	Last Modification D	ate Between	<b>^</b>	And	Ê
✓Server Time					"D Ref	frest
	c	urrent Server Time:	25/04/2018 15:12:50			
∨Batch Name						
Batch ID 🔺				Batch Des	scription	
☑ INFOFCCM11_1524479149689				AutoRun_	1469444745341_Descrip	tion
INFOFCCM11_1524479356237				AutoRun_	1469444745341_Descrip	tion
INFOFCCM11_1524479623424				AutoRun_	1469444745341_Descrip	tior
Page 1 of 1 (1-3 of 3 items) K <>> > VBatch Scheduler Domain:	INFOFCCM11		Batch:	INFOFCCM	v11_1524479149689	
Schedule	● New Schedule ○ Existi	ing Schedule				
~New Schedule						
Schedule Name						
○ Once   Daily ○ Weekly ○ Monthly ○ Ad	hoc					
~ Schedule Time						
Dates	Start Date	End Date	<b>##</b>			
Run Time	00 Hou	rs (	00 Minutes	Lag	0 D	ays
Every	Day	s	s	ave Ca	ncel	

9. Click Save.

## Scheduling a Weekly Batch

To schedule a batch that you want to run weekly, follow these steps:

- 1. Login as the KYC Administrator. The KYC application home page is displayed.
- 2. Click Common Tasks.
- 3. Click Operations.
- 4. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
- 5. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
- 6. Click New Schedule.
- 7. Set the frequency of the new schedule as **Weekly**.
- 8. Enter the schedule time of the batch by specifying the **Dates**, **Run Time**, **Every**, **Working days of the Week** information.

#### Scheduling a Batch Chapter 5–Managing KYC Batches

atch Scheduler									?
								Q Search D R	lese
Batch ID Like INFOFCCM11_			Batch Description	Like					
Module	~	L	Last Modification	Date	Between	Ê	And		ľ
Server Time								D Ref	free
		Curi	rent Server Time:	25/0	4/2018 15:12:50				
✓Batch Name						Patch D	escription		
✓ INFOFCCM11_1524479149689								4745341_Descript	tio
INFOFCCM11_1524479356237								4745341_Descript	
INFOFCCM11_1524479623424								4745341_Descript	
age 1 of 1 (1-3 of 3 items) K < > > > > > > > > > > > > > > > > > >					0-1-1-1	This of con		Records Per Page	
Domain:	INFOFCCM11				Batch:	INFOFCCM	11_15244	/9149689	
Schedule	● New Schedule 〇 I	Existing	g Schedule						
Schedule Name									
○ Once ○ Daily	hoc								
Schedule Time									
	Start Date		End Date						
Run Time	00	Hours		00 Mii	autos	La		0 Da	-
Kun nine	00	HOUIS		00 1011	lutes	Ld	9	000	ay
Every		Weeks							
Working days of the Week	🗆 Sunday 🗆 Monda	y 🗆 Tu	esday 🗌 Wednes	iday 🗌	] Thursday 🗌 Friday [	Saturday			

9. Click Save.

## Scheduling a Monthly Batch

To schedule a batch that you want to run monthly, follow these steps:

- 1. Login as the KYC Administrator. The KYC application home page is displayed.
- 2. Click Common Tasks.
- 3. Click Operations.
- 4. Click **Batch Scheduler**. The Batch Scheduler page is displayed.
- 5. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
- 6. Click New Schedule.
- 7. Set the frequency of the new schedule as **Monthly**.
- 8. Enter the schedule time of the batch by specifying the Dates, Run Time, and Occurrence information.

#### Scheduling a Batch Chapter 5–Managing KYC Batches

Batch Scheduler						0
					Q Search D R	leset
Batch ID Like INFOFCCM11_		Batch Description Like				
Module	~	Last Modification Date	Between	Ê	And	Ê
~Server Time					"O Ref	fresh
	Cur	rent Server Time: 25/	04/2018 15:12:50			
∨Batch Name						
Batch ID 🔺				Batch De	scription	
✓ INFOFCCM11_1524479149689				AutoRun	_1469444745341_Descript	tion
INFOFCCM11_1524479356237				AutoRun	_1469444745341_Descript	tion
INFOFCCM11_1524479623424				AutoRun	_1469444745341_Descript	tion
Page 1 of 1 (1-3 of 3 items) K < > ≫ →Batch Scheduler					Records Per Page	15
Domain:	INFOFCCM11		Batch:	INFOFCCM	11_1524479149689	
	New Schedule      Existing	g Schedule				
~New Schedule						
Schedule Name						
○ Once ○ Daily ○ Weekly ● Monthly ○ Ad	hoc					
Dates	Start Date	End Date	曲			
Run Time	00 Hours	00 Mi	inutes	Lag	0 Days	
Interval Every	Month	(5)				
○ Random	□ Jan □ Feb □ Mar □ Api □ Jul □ Aug □ Sep □ Oct					
Dates	of the	month (comma delimit	ed) 🗌 include month'	s last date		
		✓ of the weekday		~		
				Save Ca	ancel	

9. Click Save.

## Scheduling an Adhoc Batch

To schedule an adhoc batch, follow these steps:

- 1. Login as the KYC Administrator. The KYC application home page is displayed.
- 2. Click Common Tasks.
- 3. Click Operations.
- 4. Click Batch Scheduler. The Batch Scheduler page is displayed.
- 5. Select a batch that you want to schedule from the list of available batches. The Batch Scheduler section is expanded and displays additional options.
- 6. Click New Schedule.
- 7. Set the frequency of the new schedule as Adhoc.
- 8. Click + . A new row is added in the Schedule Time section.
- 9. Provide the information date, run date, and run time.

				-	
				Q	Search <sup>1</sup> Rese
Batch ID Like INFOFCCM11_		Batch Description Like			
Module	$\checkmark$	Last Modification Date	etween	And	Ê
∽Server Time					" Refres
		Current Server Time: 25/04	/2018 15:12:50		
~Batch Name					
Batch ID ▲				Batch Description	
✓ INFOFCCM11_1524479149689				AutoRun_1469444745	341_Description
INFOFCCM11_1524479356237				AutoRun_1469444745	341_Description
INFOFCCM11_1524479623424				AutoRun_14694447453	341_Description
Page 1 of 1 (1-3 of 3 items) K <>>>				Recor	ds Per Page 1
~Batch Scheduler					
Domain	INFOFCCM11		Batch:	INFOFCCM11_152447914	49689
Domain.					
Schedule	New Schedule      Exis	ting Schedule			
	● New Schedule ○ Exis	ting Schedule			
Schedule	● New Schedule ○ Exis	ting Schedule			
Schedule ~New Schedule Schedule Name		ing Schedule			
Schedule		ing Schedule			
Schedule ~New Schedule Schedule Name		ing Schedule			+
Schedule ~ New Schedule Schedule Name Once O Daily O Weekly O Monthly O Ad		ing Schedule	Run Time		+

10. Click Save.

## KYC Batch Execution Logs

Logs are created only after the batches are executed. The following types of tasks are present in the batches:

- Table 2 Table (T2T)
- Transform Data (Data transformation or DT logs)
- Promote to Case

Batch Execution Logs are based on the types of rule. The following sections describe the types of task present in the batches.

## Table 2 Table (T2T)

The logs for this type of task are created in the path as follows:

```
<FIC_HOME>/ficdb/log/ t2t/KYC12DOM_1221824179931_20121122_1_Task1_ttl.log
```

The following table describes the log file:

#### Table 17: Table 2 Table (T2T)

Component	Description
KYC12DOM	This is the INFODOM on which the batch was executed
1221824179931	This is the ID of the RUN (batch is created once the RUN is saved)
20121122	This is the date on which the Batch was executed
1	The batch is executed for the first time on the same day
Task1	This log file is for the Task1 of the batch

## Transform Data (Data transformation or DT logs)

The logs for this type of task are created in the path as follows.

The following types of definitions can be defined under data transformations:

- Executing a Stored procedure
- Executing a Shell script

The following log files are created for the Stored Procedure execution type of Transform data. The definition name is available in these log files.

- <FIC\_HOME>/ficdb/log/date/DT\_KYC12DOM\_1221824179931\_20121123\_1\_Task23.log
- <FIC\_HOME>/ficdb/log/date/RunProc\_KYC12DOM\_1221824179931\_20121123\_1\_Task23.log
- /ftpshare/<DT\_Definition\_name>.log /

The following logs are created for the Shell script type of Transform data:

<FIC\_HOME>/ficdb/log/date/DT\_KYC12DOM\_1221824179931\_20121123\_1\_Task23.log

Information related to the failure is inserted into the <code>am\_log\_file.logfile</code> which is present in the path <FIC\_HOME>/ficdb/log/

Component	Description
DT	This is a product indication for the Data transformation type of log
RunProc	This indicated that the log is for running a procedure (function)
KYC12DOM	This is the INFODOM on which the batch was executed
1263964041287	This is the ID of the RUN (batch is created once the RUN is saved)
20121120	This is the date on which the Batch was executed
2	The batch is executed for the second time on the same day
Task23	This log file is for the Task23 of the batch
DT_Definition_name	A log file is created with the name of the DT definition created.

#### **Promote to Case**

If any of the risk assessments are not promoted to a case, refer to the table RA\_TO\_CASE\_ERROR present in the KYC Atomic schema for the reasons for not being promoted.

## CHAPTER 6 KYC Onboarding

This chapter provides information on the different processes involved in Know Your Customer (KYC) Onboarding. This chapter discusses the following topics:

- Moving Country Data in KDD\_CODE\_SET\_TRNLN table
- Configuring the Service Parameters through the User Interface
- Performing Assessments on Related Customers
- Excel Upload of Data
- Adding Rule Values for Rule-based Risk Assessments
- Modifying the Algorithm-based Risk Assessments
- Modifying the Risk Scores and Viewing the Risk Categories
- Mapping KYC Rules to Customer Evaluation Names
- Modifying Risk Scores for KYC Risk Models
- Modifying and Adding the Mapping Codes within KYC

## Moving Country Data in KDD\_CODE\_SET\_TRNLN table

Note: Ignore this step if this is already performed for Chapter 4.

KYC has multiple risk parameters which are country-based values. KYC uses the code set translation table for all code sets and their values. The country data is already available in the Geography table. The same data must also be available in the kdd\_code\_set\_trnln table. To do this, run the following script: insert into kdd\_code\_set\_trnln select distinct 'ISOCountryCode', g.geo\_cntry\_cd, null, g.geo\_nm, null from GEOGRAPHY g; Commit;

## Configuring the Service Parameters through the User Interface

The following UIs are used for configuring the service parameters of the KYC Onboarding services. This is done so that the Onboarding system knows the service parameter values which need to be hit during the Onboarding process.

- Configuring the Onboarding Service Parameters
- Configuring the Common Gateway Service Parameters

#### **Configuring the Onboarding Service Parameters**

Use the Configure Service Parameters UI to configure the service URL, service user name, and service password for all services.

The service URLs are pre-populated during the installation process with content from the InstallConfig.xml file. In cases where the deployment URL is not mentioned during installation, or if the deployment URL has changed after installation, you will need to provide the new service URL.

The service user name and password must be updated for all services except the AAI Authorization Service and the Initiate OB URL.

Note:

- Ensure that all service user names and service passwords provided are of valid OFSAA KYC Administrator users.
- For the ECM Case Creation URL service, the service user name and service password provided must be of a valid OFSAA ECM Administrator user.

To view the UI:

- 1. Log in to the KYC application as a KYC Administrator. For more information, see Getting Started.
- 2. Click Behavior Detection KYC > Manage KYC OB Configuration > Configure Service Parameters.

🛱 Behavior Detection - KYC	>	< Behavior Detection	< Manage KYC OB Confi
💆 Common Tasks	>	KYC Assessments	Rule Based Assessment
		Onboarding KYC Assessments	Algorithm Based Assessment
		User Security Administration	Risk Score Definition
		Manage KYC Configuration	Risk Assessment Category
		Manage KYC OB Configuration	Configure Service Parameters
		KYC Risk Assessment Configurati	Configure Common Gateway Service Paramete
		Questionnaire	Map Evaluation for Real Time
			Configure Source to Destination Code Mappin

The Configure Service Parameters UI appears. You can select one of the following services:

- AAI Authorization Service
- Initiate OB URL
- Process Modeling Framework Service
- Table to JSON Mapping Utility
- ECM Case Creation URL
- Generate Case Input URL
- Common Gateway Service URL

#### Modifying the Web Service Parameter Details

The fields shown in the image are displayed when you select Initiate OB URL as the Service Name.

√ Search			
	* Service Name	nitiate OB URL 💌	
			Search
~ Edit Service Details			
Service Name : Initiate OB URL		* Service URL	http://whf00bls:5009/InitiateOnboardingService/OB/Initiate
Service User Name :		Service Password	
			Save
~ Edit Service Parameters	Servi	ce Name: Initiate OB URL	
Save Add Parameter			▼
Parameter Name	Paran	neter value	
aa	56g		

- In the Service Name field, select the web service for which you want to edit the service parameters.
- In the **Service URL** field, update the service URL if the deployment URL is not mentioned during installation, or if the deployment URL has changed after installation.
- For any service apart from the *Initiate OB URL* or *AAI Authorization Service* services, update the service user name in the **Service User Name** field with a valid KYC Administrator user name.
- For any service apart from the *Initiate OB URL* or *AAI Authorization Service* services, update the service password in the **Service Password** field with a valid KYC Administrator password.
- Click **Save** to save the details.

The Edit Service Parameters section is applicable only for the Process Modeling Framework service.

The three applicable parameters and their corresponding values are shown:

- PMF\_PROCESS: KYC\_ONBOARDING
- INFODOM: Installation Specific
- LOCALE: en\_US

All the three parameters are pre-populated and should be changed only if there is a change in these values post Installation.

#### **Configuring the Common Gateway Service Parameters**

Use the Common Gateway Service Parameters UI to edit the service parameters related to the common gateway service.

To view the UI:

- 1. Log in to the KYC application as a KYC Administrator. For more information, see Getting Started.
- 2. Click Behavior Detection KYC > Manage KYC OB Configuration > Configure Common Gateway Service Parameters.

Behavior Detection - KYC	>	< Behavior Detection	< Manage KYC OB Confi
🛱 Common Tasks	>	KYC Assessments	Rule Based Assessment
		Onboarding KYC Assessments	Algorithm Based Assessment
		User Security Administration	Risk Score Definition
		Manage KYC Configuration	Risk Assessment Category
		Manage KYC OB Configuration	Configure Service Parameters
		KYC Risk Assessment Configurati	Configure Common Gateway Service Paramete
		Questionnaire	Map Evaluation for Real Time
			Configure Source to Destination Code Mappin

The Configure Common Gateway Service Parameters UI appears. You can select one of the following services:

- AAI Authorization Service
- Internal Watch List Service
- Process Modeling Framework

#### Modifying the Web Service Parameter Details

The fields shown in the image are displayed when you select AAI Authorization Service as the Service Name.

∼ Search						
	* Service Name	AAI Authorization S	ervice 🔻			
				Search	Reset	
✓ Edit Service Details						
Service Name :	AAI Authorization Se	ervice	* Service URL	: http://mum00ctl:500	9/BD807KYC/res	st-api/idm/servi
Service User Name :			Service Password			
					S	ave Cance

- In the Service Name field, select the web service for which you want to edit the service parameters.
- In the **Service URL** field, update the service URL if the deployment URL is not mentioned during installation, or if the deployment URL has changed after installation.
- For any service apart from the *AAI Authorization Service* service, update the service user name in the **Service User Name** field with a valid KYC Administrator user name.
- For any service apart from the *AAI Authorization Service* service, update the service password in the **Service Password** field with a valid KYC Administrator password.

• Click **Save** to save the details.

Note: Once you have made the above changes, you must restart the web server.

## **Performing Assessments on Related Customers**

Note: Ensure that you perform the following configuration for all relationship types before running batch and onboarding jobs.

Full KYC is performed on primary customers. Both Full or Partial KYC can be performed on related customers. For example, a primary customer, Mark, has two related customers, one with the Authorized Signatory (AUS) and relationship type, and the other as a Parent relationship type. Full KYC is performed on Mark and the related customer who is the Parent, while only name and address matching is performed on the related customer who is the Authorized Signatory. A case is generated on the customer who has the highest score.

For related customers, you can choose which related customer must be scored using the **RelationshipCode** field. When the request JSON is sent to the KYC system, full KYC or partial KYC is done on related customers based on the values in the columns. For example, a full KYC is done on customers for whom the jurisdiction code is AMEA and relationship code is DIR, and a partial KYC (name and address verification) is done on customers for whom the jurisdiction code is AMEA and relationship code is CEO.

Use the **Relationship Type Definition** UI to choose the mode of assessment based on the Relationship Type and for a specific jurisdiction.

To view the UI:

- 1. Log in to the KYC application as a KYC Administrator. For more information, see Getting Started.
- 2. Click Behavior Detection KYC > Manage KYC OB Configuration > Relationship Type Definition.

Behavior Detection - KYC	< Behavior Detection	
🛱 Common Tasks	KYC Assessments	
	Manage KYC OB Configuration	>
	Onboarding KYC Assessments	A Home
	User Security Administration	< Manage KYC OB Confi
	Manage KYC Configuration	Risk Assessment Category
	KYC Risk Assessment Configuration	Configure Service Parameters
	Questionnaire	Configure Common Gateway Service Paramete
		Map Evaluation for Real Time
		Configure Source to Destination Code Mappin
		Relationship Type Definition

The **Relationship Type Definition** UI is displayed. In the **Search** section, select the jurisdiction of the primary customer. Based on the jurisdiction selected, the relationship type of the related party and the type of KYC performed on the related party are displayed.

Home > Relationship Type Definition			
✓ Search			
	* Jurisdiction	APAC	•
✓ Relationship Type List		Juris	diction: APAC
Add Edit Delete			
Relationship Type			Assessment Mode
Beneficial Owner			Full KYC
Chief Executive Officer			Name and Address Screening
Director			Name and Address Screening
Page 1 of 1 (1-3 of 3 items) K < > >			

If a new related customer, Beneficiary Owner, is added to the primary customer, you can click **Add** to add a new relationship type. Provide the relationship type and assessment mode and click **Save**.

To change the assessment mode of the related customer who is the Authorized Signatory from name and address screening to full KYC screening, click **Edit** to change the assessment mode. Provide the new assessment mode and click **Save**.

To remove on the related customers, click **Delete** and click **Yes** in the dialog box which appears.

## Excel Upload of Data

Excel upload is a process where in the data for a particular table is uploaded in to the system as the base data according to the configurations. Once the data is uploaded, the data can be modified using the user interface.

- FCC\_OB\_RISK\_CATEGORY.xls: This Excel has the configurations for risk category and case creation for a range of scores for the customer type and Jurisdiction. Once the data is uploaded into the system the data can be modified using the user interface.
- FCC\_OB\_RSK\_PRMS\_JRSD\_CUST\_MAP.xls: This Excel has the Risk Parameter configurations applicable to Customer Type and Jurisdiction. Once the data is uploaded into the system the data can be modified using the user interface.
- FCC\_OB\_RSKPRMS\_JRSDCUST\_MAP\_ST.xls: This Excel has the Risk Parameter configurations applicable to Customer Type and Jurisdiction along with config\_id to track changes made to risk parameters. Whenever data is uploaded using the FCC\_OB\_RSK\_PRMS\_JRSD\_CUST\_MAP.xls, the same data has to be uploaded in this excel along with a new column config\_id. If the

"FCC\_OB\_RSKPRMS\_JRSDCUST\_MAP\_ST" table has data, then update the column config\_id with the max(config\_id)+1. If there is no data in the "FCC\_OB\_RSKPRMS\_JRSDCUST\_MAP\_ST" table, update the column 'config\_id' as 1.

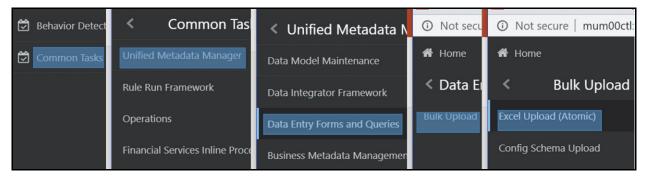
• FCC\_OB\_RISK\_PARAMS.xls: This Excel allows the user to add new rules or parameters. The application is pre-packaged with ready-to-use rules and parameters which are available once you install the KYC application. This excel can be used only to add any new rules or parameters if required for the specific installation.

Note: Any new parameter id must begin with '500..

To view the Excel sheet, go to FIC\_HOME/ftpshare/STAGE/ExcelUpload/TEMPLATE.

To upload the Excel sheet:

- 1. Log in to the KYC application. For more information, see Getting Started.
- 2. Click Common Tasks > Unified Metadata Manager > Data Entry Forms and Queries > Bulk Upload > Excel Upload (Atomic).



3. Click **Excel Upload** to select the Excel sheet that you want to upload.

Excel Upload Excel Upload ~Excel File to Upload						0
Excel File	Choose File No file chosen			Sheet :	•	
Select Mapping						
		Upload	View Log			

4. In the Excel File to Upload section, click Choose File to select the file that you want to upload.

Note: During the upload, the name of the Excel must be the same as the name provided in the template. If there is any discrepancy, the upload will fail.

- 5. In the **Excel-Entity Mappings** section, click the arrow and select the file that you want to upload. A few of the fields are displayed as a preview.
- 6. Click Upload.

The selected Excel sheet is now uploaded. To view the Excel upload logs, click View Log.

## Adding Rule Values for Rule-based Risk Assessments

Use the Rule-based risk assessment UI to add a rule value and to enable or disable the risk parameter during the risk assessment.

To view the UI:

1. Log in to the KYC application. For more information, see Getting Started.

#### 2. Click Behavior Detection - KYC > Manage KYC OB Configuration > Rule Based Assessment.

🕏 Behavior Detection - KYC	>	Sehavior Detection	< Manage KYC OB Confi
🗭 Common Tasks	>	KYC Assessments	Rule Based Assessment
		Onboarding KYC Assessments	Algorithm Based Assessment
		User Security Administration	Risk Score Definition
		Manage KYC Configuration	Risk Assessment Category
		Manage KYC OB Configuration	Configure Service Parameters
		KYC Risk Assessment Configurati	Configure Common Gateway Service Paramete
		Questionnaire	Map Evaluation for Real Time
			Configure Source to Destination Code Mappin

The Rule-based risk assessment UI appears with the Search section displayed.

~ Search									0
* Jurisdiction	Select a Jurisdiction	*	Applicant Type	Select an Applicant Type	=	Rule Name	Select a Rule Name		-
								Search	Reset

In the **Jurisdiction** field, select the jurisdiction applicable to the risk assessment. All rules defined for the selected jurisdiction appear. You can further filter your search based on an applicant type or rule name.

✓ Rule Name List		Jurisdiction: APAC					
View Rule Value List A	dd Rule Values Save						
Applicant Type	Rule Name	Active					
Financial Institution	Watch List Risk	Y					

## Adding a Rule

To add a rule:

- 1. Click the rule name for which the rule value must be modified.
- 2. Click Add Rule Value.
- 3. Provide a new rule value for the rule.
- 4. Click Save.

To view the rule values for all rules, click View Rule Value List.

### Enabling or Disabling the Risk Parameter during Risk Assessments

To enable or disable the risk parameter:

- 1. Click inside the **Active** field and click the **drop-down arrow**.
- 2. Select **N** to disable the risk parameter during the risk assessment. Select **Y** to enable the risk parameter during the risk assessment.

Note: By default, the value is set to Y.

3. Click Save.

## Modifying the Algorithm-based Risk Assessments

In the Algorithm-based risk assessment UI, you can modify the weight assigned to a risk parameter and enable or disable the risk parameter during the risk assessment.

To view the UI:

1. Log in to the KYC application. For more information, see Getting Started.

#### 2. Click Behavior Detection - KYC > Manage KYC OB Configuration > Algorithm Based Assessment.

🛱 Behavior Detection - KYC	>	Sehavior Detection	< Manage KYC OB Confi
🖒 Common Tasks	>	KYC Assessments	Rule Based Assessment
		Onboarding KYC Assessments	Algorithm Based Assessment
		User Security Administration	Risk Score Definition
		Manage KYC Configuration	Risk Assessment Category
		Manage KYC OB Configuration	Configure Service Parameters
		KYC Risk Assessment Configurati	Configure Common Gateway Service Paramete
		Questionnaire	Map Evaluation for Real Time
			Configure Source to Destination Code Mappin

The Algorithm-based risk assessment UI appears with the Search section displayed.

✓ Search						
	* Jurisdiction	Select a Jurisdiction	•	* Applicant Type	Select an Applicant Type	•
					Search	Reset

Select the jurisdiction and applicant type of the risk assessment.

∼ Risk Parameters List	Jurisdiction: APAC	Applicant Type: Fir	nancial Institution				
Save					-	Ę,	10
Risk Parameter Name			Weight	Active			
On Boarding Geo Risk - Country of Head Quarters			50	Y			
On Boarding Watch List Risk for Primary Customer			50	Y			

## Modifying the Weight of the Risk Parameter

To modify the weight:

- 1. Double-click the **weight value** and provide the new weight value.
- 2. Click Save.

Note: The weights of all parameters, when added, must equal 100.

## Enabling or Disabling the Risk Parameter during Risk Assessments

To enable or disable the risk parameter:

- 1. Click inside the **Active** field and click the **drop-down arrow**.
- 2. Select **N** to disable the risk parameter during the risk assessment. Select **Y** to enable the risk parameter during the risk assessment.

Note: By default, the value is set to Y.

3. Click Save.

## Modifying the Risk Scores and Viewing the Risk Categories

Use the Risk Assessment Category UI to modify the risk scores and view the risk category assigned for a jurisdiction and applicant type.

To view the UI:

- 1. Log in to the KYC application. For more information, see Getting Started.
- 2. Click Behavior Detection KYC > Manage KYC OB Configuration > Risk Assessment Category.

Behavior Detection - KYC	>	< Behavior Detection	< Manage KYC OB Confi
🗭 Common Tasks	>	KYC Assessments	Rule Based Assessment
		Onboarding KYC Assessments	Algorithm Based Assessment
		User Security Administration	Risk Score Definition
		Manage KYC Configuration	Risk Assessment Category
		Manage KYC OB Configuration	Configure Service Parameters
		KYC Risk Assessment Configurati	Configure Common Gateway Service Paramete
		Questionnaire	Map Evaluation for Real Time
			Configure Source to Destination Code Mappin

The Risk Assessment Category UI appears with the Search section displayed.

✓ Search						
	* Jurisdiction	APAC 🔹		* Applicant Type	Financial Institution	
					Search	Reset

Select the jurisdiction and applicant type of the risk assessment.

Save					C · 6 2
Applicant Type	Risk Category	Minimum Score	Maximum Score	Onboard Flag	User Review Flag
Financial Institution	VERY Low	0	55	N	N
Financial Institution	VERY Mid	55	75	Y	N
Financial Institution	VERYNew	75	85	Y	Y
Financial Institution	VERY High	85	100	Y	Y

The risk scores and risk category for the applicant types appear.

### **Modifying the Risk Scores**

To modify the minimum and maximum risk scores:

- 1. Select the row for which you want to modify the risk scores using the check box.
- 2. Double-click the score value and provide the new score value.
- 3. Click Save.

Scores must be provided in such a way that the maximum score of a particular applicant type must be equal to the minimum score of the applicant type in the next row.

In the above image, the maximum score of the Financial Institution applicant type in the first row is 55 and the minimum score of the Financial Institution applicant type in the second row is also 55.

**Note:** The minimum score of the first row must always be equal to or more than zero. The maximum score of the last row must always be 100.

## Mapping KYC Rules to Customer Evaluation Names

Use the Map Evaluation for Real Time UI to map the rule name or the parameter name from the Excel template to the evaluation name provided by the customer.

To view the UI:

- 1. Log in to the KYC application. For more information, see Getting Started.
- 2. Click Behavior Detection KYC > Manage KYC OB Configuration > Map Evaluation for Real Time.

🛱 Behavior Detection - KYC	>	< Behavior Detection	< Manage KYC OB Confi
🗭 Common Tasks	>	KYC Assessments	Rule Based Assessment
		Onboarding KYC Assessments	Algorithm Based Assessment
		User Security Administration	Risk Score Definition
		Manage KYC Configuration	Risk Assessment Category
		Manage KYC OB Configuration	Configure Service Parameters
		KYC Risk Assessment Configurati	Configure Common Gateway Service Paramete
		Questionnaire	Map Evaluation for Real Time
			Configure Source to Destination Code Mappin

The rule names and associated evaluations for Algorithm-based and Risk-based assessments appear.

✓ Rule Based Assessment	
Map Rule	
Rule Name	Evaluation Name
Country of Head Quarters	On Boarding Customer: Geo Risk - Country of Head Quarters
Country of Operation	On Boarding Customer: Geo Risk - Country of Operation
Country of Residence	On Boarding Customer: Geo Risk - Country Of Residence
Industry	On Boarding Customer: Industry Risk
<ul> <li>Algorithm Based Assessment</li> </ul>	
Map Parameter	
Parameter Name	Evaluation Name
Account Opening Method	Onboarding Customer - Method of Account Opening Weighted Risk
Account Type	Onboarding Customer - Account Type Weighted Risk
Country of Head Quarters	Onboarding Customer - Country of Headquarters - Weighted Score
Country of Operation	Onboarding Customer - Country of Operations - Weighted Risk

## Mapping Rules to Evaluations

To map the rules to their respective evaluation names:

p Rule to Eval	uation				
* Rule	Select a Rule	•	* Evaluation	Select an Evaluation	•
					Save Cance

- 1. Click Map Rule.
- 2. Select the rule and the associated evaluation name which needs to be mapped to the rule.
- 3. Click Save.

#### **Mapping Parameters to Evaluations**

To map the parameters to their respective evaluation names:

Map Parameter to Evaluation										
* Parameter	Select a Parameter	v	* Evaluation	Select an Evaluation	¥					
					Save	Cancel				

- 1. Click Map Parameter.
- 2. Select the **parameter** and the **associated evaluation name** which needs to be mapped to the parameter.
- 3. Click Save.

## Modifying Risk Scores for KYC Risk Models

Use the Risk Score Definition UI to provide the risk scores for the KYC risk models. To view the UI:

- 1. Log in to the KYC application. For more information, see Getting Started.
- 2. Click Behavior Detection KYC > Manage KYC OB Configuration > Risk Score Definition.

Behavior Detection - KYC	>	< Behavior Detection	< Manage KYC OB Confi
🗭 Common Tasks	>	KYC Assessments	Rule Based Assessment
		Onboarding KYC Assessments	Algorithm Based Assessment
		User Security Administration	Risk Score Definition
		Manage KYC Configuration	Risk Assessment Category
		Manage KYC OB Configuration	Configure Service Parameters
		KYC Risk Assessment Configurati	Configure Common Gateway Service Paramete
		Questionnaire	Map Evaluation for Real Time
			Configure Source to Destination Code Mappin

The Risk Assessment Category UI appears with the **Search** section displayed. In the **Search** section, provide the following values:

- Jurisdiction: The jurisdiction values are made available once you upload the KDD\_JRSDCN Excel file.
- **Risk Scoring Model Type:** The model type can be Algorithm-based or Rule-based. These values are populated from the fcc\_ob\_rsk\_prms\_jrsd\_cust\_map table.

Note: The model types appear only after you select a jurisdiction.

• Applicant Type: The applicant type can be Individual, Financial Institution or Organization. These values are populated from the kdd\_code\_set\_trnln table.

Note: The applicant types appear only after you select a model type.

• **Parameter/Rule Name**: The risk parameters and rules that are defined in the fcc\_ob\_rsk\_params table appear.

Note: The parameter/rule names appear only after you select an applicant type.

∽ Search					Auto	o-Populate	e
* Juris	diction APAC	v	* Risk Scoring Model Type	Algorithm Based Assessment	Ŧ		
* Applicar	nt Type Individual	T	* Parameter/Rule Name	On Boarding Risk Associated with So			
<ul> <li>Risk Score for Parameter</li> <li>Save Copy</li> </ul>	er/Rule Value	Jurisdiction: APAC Model	Type: Algorithm Based Assessment		Se	arch ▼ Ř	
<ul> <li>Risk Score for Parameter</li> <li>Save Copy</li> <li>Applicant Type</li> </ul>	er/Rule Value Parameter/Rule Name	Jurisdiction: APAC Model	Type: Algorithm Based Assessment Parameter Value		Risk Sco	· 1	Rese
Save Copy Applicant Type	Parameter/Rule Name	Jurisdiction: APAC Model				· 1	
Save Copy	Parameter/Rule Name On Boarding Risk Associa		Parameter Value		Risk Sco	· 1	

The Applicant type, Parameter /rule name, Parameter value, and Risk score associated with the selected Jurisdiction and Model type appear in a tabular format. To modify the Risk score, double-click the value. The score is displayed up to two decimal places. The maximum value is 100 and the minimum value must be greater than or equal to 0.

#### Note:

- To populate any parameters or rules which have been added, click Auto-Populate. This button populates the new risk parameters and rules added for all jurisdictions, risk models, and applicant types.
- In case no new rules or parameters have been added, a message is displayed when you click Auto-Populate "Auto Populate was not performed as there are no new risk parameter values."

### **Copying Risk Scores across Jurisdictions**

You can copy risk scores only for the Algorithm-based model type. To copy risk scores from one jurisdiction to another:

1. Click **Copy**.

Copy Risk Scores						
Model Type:	Algorithm Based Assessment	Applicant Type:	Other Organization		Parameter Name:	On Boarding Geo Risk - Country of I
Source Jurisdiction:	DN of AMEA	* Destination Jurisdiction:	Select Jurisdictions	Ш		
						Save Cancel

- 2. Select one or more **jurisdictions**. Only jurisdictions which have the same model type, applicant type, and parameter name as the source jurisdiction are shown.
- 3. Click Save.

## Modifying and Adding the Mapping Codes within KYC

Use the Configure Source to Destination Code Mapping menu UI to view the mappings from source to destination. To view the UI:

- 1. Log in to the KYC application. For more information, see Getting Started.
- 2. Click Behavior Detection KYC > Manage KYC OB Configuration > Configure Source to Destination Code Mapping.

Behavior Detection - KYC	>	< Behavior Detection	< Manage KYC OB Confi
🛱 Common Tasks	>	KYC Assessments	Rule Based Assessment
		Onboarding KYC Assessments	Algorithm Based Assessment
		User Security Administration	Risk Score Definition
		Manage KYC Configuration	Risk Assessment Category
		Manage KYC OB Configuration	Configure Service Parameters
		KYC Risk Assessment Configurati	Configure Common Gateway Service Paramete
		Questionnaire	Map Evaluation for Real Time
			Configure Source to Destination Code Mappin

The Risk Assessment Category UI appears with the **Search** section displayed. In the **Search** section, select an option and click **Search**.

	* Source to Destination Link Name	Assessment to Risk Model Mapp 🔻	Search Reset
<ul> <li>Source to Destination Values</li> </ul>	Source to Destination Link Name: Assessm	nent to Risk Model Mapping	
Save Map Values			
Source Code		Destination Code	
		RB	
20469			

The Source Code and Destination Code values appear in a tabular format.

#### **Downloading the Code Values**

To download the code values, click *reference*. You can select between **.XLSX** or **.CSV** formats.

### Modifying the Code Values

To modify the code values, follow these steps:

- 1. Double-click the code value and provide the new code value.
- 2. Click Save.

To refresh the UI, click Reset.

## Adding New Code Values

To add new code values:

#### 1. Click Map Values.

Add New Source and Destina	on Code >
* Source Code :	* Destination Code :
	Save Cancel

- 2. Add a **Source code** and a **Destination code**.
- 3. Click Save.

## CHAPTER 7

# Adding Risk Parameters and Rules (KYC Batch)

This chapter provides information on adding risk parameters, rules, risk scores, and mapping evaluations to assessments.

This chapter discusses the following topics:

- Adding Risk Parameters for Algorithm-based Risk Assessments
- Adding Rules for Rule-based Risk Assessments
- Adding Rules for Accelerated Rules
- Mapping an Evaluation to an Assessment
- Adding Risk Scores for Parameter/Rule Values

## Adding Risk Parameters for Algorithm-based Risk Assessments

Before you add risk parameters, you need to:

- 1. Prepare the metadata in the application. For more information, see Maintenance Activities and Configuring Setup Parameters (KYC Batch).
- 2. Update the sequence ID for IPE. To do this, execute the following script in the Config schema as a post installation step:

Begin p\_set\_sequence\_value('TASKS','5000000','Y'); end;

For information on the post installation activities, see Installation Guide.

To add risk parameters for algorithm-based risk assessments, follow these steps:

- 1. Navigate to the OFSAA login page.
- 2. In the KYC home page, click **Behavior Detection KYC**.
- 3. Click KYC Risk Assessment Configuration.

Click to expand the page.

#### 4. Click Algorithm Based Risk Assessment. The Algorithm Based Risk Assessment page appears.

Administration					
Administration >> KYC Configuration >> Algorithm Based Risk Assessment					
∨ Search ➡Go					
Jurisdiction			~	Model Type	$\checkmark$
Individual Other Organization Financial Institution					
V Algorithm Based Parameters - Individual (0) Expand All	🖹 Save 📲 Co	ору			
🖧 🗆 Risk Parameter	Jurisdiction	Weight	Comments		
No Data Found					
<					

#### 5. To add a new parameter, click Add Parameter. The Add New Parameter dialog box displays.

Add New Parameter	er		
Jurisdiction*	•	Model Type*	~
Parameter Code*		Parameter Name*	
Code Set*	<b>v</b>	Customer Type*	T
Active Flag*	~	Range Flag*	~
Consider For Reassesment* 🕐	✓		
Re-review Rule Name*			
Comments*			
		Save Cancel	

#### The fields are described in the following table:

Field Name	Description
Jurisdiction	Select the jurisdiction that the parameter belongs to. All the jurisdictions that are available in the kdd_jrsdcn table display.
Model Type	Select the model type as Algorithm-based Risk Assessment. <b>Note:</b> The Model type RAOR Risk Assessment is not supported from this user interface from 8.0.7.
Parameter Code	Enter the parameter code. This is unique for each parameter.
Parameter Name	Enter the parameter name.
Code Set	Select the code set applicable for the parameter. All the jurisdictions that are available in the kdd_code_set_trnln table display.
Customer Type	Select the customer type. Based on the customer type, the parameter is displayed in the Indi- vidual, Other Organization, or Financial Institution tabs.

Field Name	Description
Active Flag	Select Yes to enable the parameter for the current assessment. Select No to disable the parameter for the current assessment.
Range Flag	Select Yes to enable the parameter as range-based.
Consider For Reas- sessment	Select Yes to reasses the impacted customer. <b>Note:</b> If you select Yes, see the steps mentioned in <i>Adding a Risk Parameter or Rule for</i> <i>Reassessments</i> .
Re-review Rule Name	Enter the value APPLN_REREVIEW_PARAMS.
Comments	Enter any comments related to the parameter.

To save the parameter, click **Save**.

Note: To close the dialog box, click **Cancel**. This refreshes the screen with the new parameter.

**Note:** After the initial preparation of the metadata, such as creating a new risk parameter, defining the risk weights, and defining the risk scores, you need to define a rule for the new risk parameter.

#### 6. In the KYC home page, click Financial Services Inline Processing Engine in the Common Tasks tab.

🕋 Home		ORACLE
< Common Tasks		
Unified Metadata Manager	>	
Rule Run Framework	>	
Operations	>	
Financial Services Inline Processing Engine	>	

	Expressions	Post Processing Actions	Profiles	Virtual Pro	ofiles Evaluations	Assessments	
Reset							
		Activity		✓ Proc	essing Segment		~
	$\checkmark$						
dd 💿 Del	ete						
	Activity	Processing Segmen	t Stat	us U	pdated By	Updated On	History
icious Account /	Alert Custom	er Pre-filtering of Cust	omers VAL	ID K	YCADMN		ð
icious Customei	Alert Custom	er Pre-filtering of Cust	omers VAL	ID K	YCADMN		<u>I</u>
ent Account Ale	ert Custom	er Pre-filtering of Cust	omers VAL	ID K	YCADMN		7
ient Customer A	lert Custom	er Pre-filtering of Cust	omers VAL	ID K	YCADMN		<u>7</u>
Score Account	Alert Custom	er Pre-filtering of Cust	omers VAL	ID K	YCADMN		<u>7</u>
Score Custome	r Alert Custom	er Pre-filtering of Cust	omers VAL	ID K	YCADMN		<u>I</u>
	dd ODel icious Account / icious Customer uent Account Ale uent Customer A Score Account /	dd  Customer Alert Customer Alert Customer Custom uent Account Alert Custom Score Account Alert Custom Customer Alert Customer	Activity Processing Segmen Activity Activity Activity Pre-filtering of Cust Customer Activity	Activity Processing Segment Stat Customer Pre-filtering of Customers VAL Usent Account Alert Customer Pre-filtering of Customers VAL Usent Account Alert Customer Pre-filtering of Customers VAL Score Account Alert Customer Pre-filtering of Customers VAL Customer Pre-filtering of Customers VAL Customer Pre-filtering of Customers VAL Customer Cus	Activity       Activity       Processing Segment       Status       U         dd       @ Delete       Activity       Processing Segment       Status       U         icious Account Alert       Customer       Pre-filtering of Customers       VALID       K         icious Customer Alert       Customer       Pre-filtering of Customers       VALID       K         uent Account Alert       Customer       Pre-filtering of Customers       VALID       K         uent Customer Alert       Customer       Pre-filtering of Customers       VALID       K         Score Account Alert       Customer       Pre-filtering of Customers       VALID       K	Activity       Processing Segment         Activity       Processing Segment         Image: Contract of the second seco	Activity       Processing Segment         Image: Construction of the second segment       Image: Construction of the second segment         Image: Construction of the second segment       Image: Construction of the second segment         Image: Construction of the second segment       Activity         Image: Construction of the second segment       Status         Image: Construction of the second segment       Status         Image: Construction of the second segment       Status         Image: Construction of the second segment       Valip         Image: Construction of the second segment segment and second segment and segment and second segment and second segment and segment a

7. Click Inline Processing. The Inline Processing page is displayed.

8. Add a business entity on top of the PARAM\_RISK\_SCORE\_JRSDN table in IPE. For example, Country of Birth. This is required because for every new risk parameter, you must indicate the source from where the risk score is derived or picked.

To add a business entity, follow these steps:

- a. Click the Business Entities sub-menu in the Association and Configuration menu.
- b. Select the Entity Name as PARAM\_RISK\_SCORE\_JRSDN.

#### Adding Risk Parameters for Algorithm-based Risk Assessments Chapter 7–Adding Risk Parameters

Association and Configuration Expression	Post Processing Actions	Profiles	Virtual Profiles	Evaluations	Assessments					
Home>>Association and Configuration>>Business Entities										
Entity Nam	e* PARAM_RISK_SCORE_JRSDN		~							
∨ Business Entities (18) 📇 Add 🛛 🖉 E	lit 💿 Delete 🔊 Syncl	hronize								
Rame Name	Processing Segments				Score Attribute					
Account Type Value	Algorithm Based Risk Model,Rea	al Time Account	On-Boarding							
Citizenship Value	Algorithm Based Risk Model,Rea	al Time Account	On-Boarding							
Corporate Age Value	Algorithm Based Risk Model,Rea									
Country of Head Quarters Value	Algorithm Based Risk Model,Rea									
□ Country of Operations Value	Algorithm Based Risk Model, Rea									
Country of Residence Value	Algorithm Based Risk Model,Rea	al Time Account	On-Boarding							
Country of Taxation Value	Algorithm Based Risk Model,Rea	al Time Account	On-Boarding							
Default Risk Score	Algorithm Based Risk Model,Rea	al Time Account	On-Boarding							
Industry Value	Algorithm Based Risk Model,Rea	al Time Account	On-Boarding							
Legal Structure Value	Algorithm Based Risk Model,Rea	al Time Account	On-Boarding							

- c. Click Add.
- d. Enter the name, processing segment, and score attribute for the business entity.

**Note:** For Algorithm-based parameters, select Algorithm Based Risk Model as the Processing Segment and N\_RISK\_SCORE as the set score attribute.

Name*	Country of Birth	
Processing Segment*	Algorithm Based Risk Model	•
Set Score Attribute	N_RISK_SCORE	~
	Add Cancel	

e. Click Add. The new parameter is added to the list of Business Entities in the Business Entities page.

- 9. Add the following joins in IPE from the Inline Datasets sub-menu in the Association and Configuration menu:
  - Accelerated Review Parameter to Country of Head Quarters Value: This is required to associate the risk parameter column of these two tables.
  - Customer Processing to Country of Birth: This is required to associate the customer data of the new parameter to the risk score parameter table.

To create a join for Algorithm-based Risk Scoring to Country of Birth, follow these steps:

a. In the Inline Datasets page, click Add.

#### Adding Risk Parameters for Algorithm-based Risk Assessments Chapter 7–Adding Risk Parameters

Asso	ciation and Configuration Ex	pressions	Post Processing Actions	Profiles	Virtual Profiles	Evaluations	Assessments	
Home	>>Association and Configuration>:	>Inline Da	atasets					
✓ Sea	arch ➡Go							
	Inline Dataset Name							
	Start Table				$\sim$	End Table	$\checkmark$	
√ Inli	ne Datasets (258) 🗂 Add	🔘 Del	ete					
0 <u>00</u>	Inline Dataset Name	*	Start Table	End Table		Associat	ations	
	Account Processing - Risk Score of	of Accou	Account Processing	Account Type	e Value	ACCT_TY	TYPE1_CD = V_CODE_VALUE1 ; JRSDCN_CD = V_JRSDCN_CD	
	Account Processing - Risk Score of	of Metho	Account Processing	Method of A	ccount Opening Valu	e MTHD_A	ACCT_OPNG = V_CODE_VALUE1 ; JRSDCN_CD = V_JRSDCN_CD	
	Algorithm Based Risk Scoring - R	isk Score	Algorithm Based Risk Scoring	Country of H	ead Quarters Value	V_RISK_	_PARAM_CODE = V_PARAM_RULE_CODE ; V_IRSDCN_CD = V_IRSDCN_CD ; V	>>
	Algorithm Based Risk Scoring - Ri	isk Score	Algorithm Based Risk Scoring	Industry Valu	e	V_RISK_	_PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V	>>
	Algorithm Based Risk Scoring - Ri	isk Score	Algorithm Based Risk Scoring	Method of A	ccount Opening Valu	e V_RISK_F	PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V	>>
	Algorithm Based Risk Scoring - Ri	isk Score	Algorithm Based Risk Scoring	Products Offe	ered Value	V_RISK_	PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V	>>
	Algorithm Based Risk Scoring - R	isk Score	Algorithm Based Risk Scoring	Source of We	alth Value	V_RISK_	_PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V	>>

- b. Enter a name for the inline dataset.
- c. In the Start Table field, select Algorithm Based Risk Scoring.
- d. In the End Table field, select Country of Head Quarters Value.

Inline Dataset Details								
Inline Dataset Name*	Rule Score - Country of Birth							
Start Table*	Algorithm Based Risk Scoring	~	/	I	End Ta	able*	Country of Head Quarters Value	$\checkmark$
■ Inline Dataset Condition	🚰 Add 🛛 😰 Delete							
Start			Operator	r		End		
Attribute V_RISK_	PARAM_CODE	<b>v</b>		Attribute	~	V_PA	ARAM_RULE_CODE	~
Attribute V_JRSD	CN_CD	<b>v</b>		Attribute	~	V_JR	SDCN_CD	~
	s	Save	Ca	ncel				

- e. Click Add.
- f. Select the values for the dataset condition as shown in the figure.
- g. Click Save. The new dataset is added to the list of Inline Datasets in the Inline Datasets page.

Note: To view the results of the newly added values, use Search.

10. Add a traversal path for each join defined in the Inline Datasets sub-menu. For example, Customer Processing to Customer Account Processing through Algorithm Based Risk Scoring.

To add a traversal path, follow these steps:

- a. Click the Traversal Paths sub-menu in the Association and Configuration menu.
- b. In the Traversal Paths page, click Add.

As	sociation and Configuration Express	ions Post Processing Actions	Profiles Virtual Profiles Evaluat	ions Assessments								
Hom	ome>>Association and Configuration>>Traversal Paths											
~ S	✓ Search ➡ Go ↓ Reset											
	Traversal Path Name											
	Start Table		✓ End Table	<b>v</b>								
~ T	raversal Paths (73) 🗂 Add 🛛 🚳 🛛	Delete										
0-00	Traversal Path Name	Start Table	End Table	Traversal Path Flow								
[	Customer - Accelerated Re-review Par	ame Customer	Accelerated Review Parameter	Customer : Accelerated Review Parameter								
[	Customer - Account	Customer	Account	Customer : Customer To Account , Customer To Account : Account								
[	Customer - Application Parameters	Customer	Application Parameters	Customer : Application Parameters								
[	Customer - Change Log	Customer	CHG_LOG	Customer : CHG_LOG								
[	Customer - Customer Address	Customer	CUST_ADDR	Customer : CUST_ADDR								

- c. Enter a name for the traversal path.
- d. In the Start Table field, select Customer Processing.
- e. In the End Table field, select Account Processing.

Traversal Path Details					
Traversal Path Name	Customer Processing - Account Processing		]		
Start Table	Customer Processing	~	End Table Account Processing		~
🗏 Traversal Path Flow 🖾	Add 🔯 Delete				
Source Entity			Destination Entity		Sequence ID
Customer Processing		<b>~</b>	Algorithm Based Risk Scoring	~	1
Customer Processing		<b>~</b>	Customer Account Processing	$\checkmark$	2
Customer Account Pro	ocessing	<b>~</b>	Account Processing	~	3
		Sav	Cancel		

- f. Click Add.
- g. Select the values for the traversal path flow as shown in the figure.
- h. Click Save. The new path is added to the list of traversal paths in the Traversal Paths page.

For more information on the datasets and traversal paths used in KYC, see Parameter Details.

Note: The first two rows (joins) are mandatory. The remaining joins differ based on where the new parameter is stored.

**Note:** If the start table is Customer Processing, as in the above figure, there are usually three joins. More joins may need to be added based on how many tables data is spread across.

- 11. Add an Expression on the risk score column of the newly created business entity which is to be scored as a risk parameter from the Expressions menu. Two expressions need to be created:
  - The first expression is for the column which holds the value of the new risk parameter
  - The second expression is for the calculations that are needed to derive the risk score

Note: The business entity used in this example is Method of Account Opening.

To add an expression, follow these steps:

- a. Click the Expressions menu.
- b. In the *Expressions* page, click Add.

Association and Configuration Expressions Post Proc	essing Actions Profiles	Virtual Profiles	Evaluations	Assessments							
Home>>Expressions											
∨ Search ➡Go											
Expression Name	Activity			~	Processing Segm	ent		~			
Status	$\checkmark$										
∨ Expressions (168) 🖽 Add 🛛 🕲 Delete 🛛 🖹 Save											
🙇 Expression Name 🔺 Description				Status		Activity	Processing Segme	ent			
Accelerated Re review Parameter ( Accelerated Review Pa	rameter:F_ENABLE)			VALID		Customer	Pre-filtering	20			
Accelerated Re review Parameter ( Accelerated Review Pa	rameter:N_RULE_ID)			VALID		Customer	Pre-filtering (	»			
Accelerated Re review Parameter ( Accelerated Review Pa	rameter:N_ALERT_SCORE)			VALID		Customer	Pre-filtering	»			
Accelerated Rereview Params - C ( Accelerated Review Pa	rameter:N_COUNT_OF_ALERTS)			VALID		Customer	Pre-filtering	22			
Account - Account Open Date (Account:ACCT_OPEN_	)т)			VALID		Customer	Pre-filtering (	»			
Account - Account Status Code (Account:ACCT_STAT_C	D)			VALID		Customer	Pre-filtering li	»			

#### c. For the first expression, enter a name for the expression and select the values as shown in the figure.

Expression Name*	Country of birth	Activity*	Customer Pro	ocessing	>
Processing Segment	Algorithm Based Risk Model				
∨Variables <b>⊞</b> Add <sup>®</sup> D	elete 🖾 Apply Function To Group 🖽 Rem	ove Functio	n From Group	Σx Apply Fι	unction to Expression
Group Order Op	perator Business Property (Business Ent	ity. Busines	s Attribute)	Function	Function Paramete
Variable					🖩 Save 🐼 Cancel
Operator					
Business Entity*	Algorithm Based Risk Scoring				~
Business Attribute*	V_RISK_PARAM_CODE				~
	O Add to Current Group	<ul> <li>● Create</li> </ul>	New Group		

- d. To add a variable for the first expression, click Add.
- e. Select the business entity and the business attribute where the value of the new parameter resides.
- f. Click Save. The variable is displayed.
- g. For the second expression, enter a name for the expression and select the values as shown in the figure.

Expression Name*	Country of birth	Activity*	Customer Pr	ocessing	~
Processing Segment *	Algorithm Based Risk Model				
∨Variables⊞ Add® D	elete 🖾 Apply Function To Group 🖽 Remo	ve Functior	From Group	∑× Apply Fu	inction to Expression
😤 Group Order O	perator Business Property (Business Entit	y. Busines	Attribute)	Function	Function Paramete
Variable					🖥 Save 🀼 Cancel
Operato	r 🗸				
Business Entity*	Method of Account Opening Value				
Business Attribute*	N_RISK_SCORE				
	O Add to Current Group	● Create N	ew Group		
	Submit	Close			

h. To add a variable for the second expression, click **Add**. For the second expression, we need to add two variables: one variable is the column which holds the risk score of the parameter, and the other variable is the column which holds the risk weight for the parameter.

i. For the first variable, select the values according to the Variable section in the above figure and click **Save**. The variable is displayed. For the second variable, select the values according to the following figure and click **Save**. The variable is displayed.

	E	xpressi	on Nam	e* Metho	d Of Account Opening - Weighed Score	Activity*	Customer Proc	essing
		essing S		Algori Pre-fil Real 1 Rule B	thm Based Risk Model tering of Customers Time Account On-Boarding Based Risk Assessment Model	Status ∨		
V	/aria	1	1	1	Exe Apply Function To Group			ly Function to Expression Function Parameter
	0	1	1		Method of Account Opening Value : N_RI	SK_SCORE	Replace Null	Default Risk Score for Missing Data
	0	2	1		Algorithm Based Risk Scoring : N_RISK_F	PARAM_WEIGH	п	
ri	able	22	0					📓 Save 🐼 Car
		Busine	Operat ss Entit		~			
	B	usiness	Attribut	ie*				
				(	Add to Current Group	Create New Gr	oup	

- j. Select the Group 1 radio button.
- k. Click Apply Function To Group.

 In the Apply Function To Group section, select the values according to the following figure and click Save.

Expression Name*	Country of birth Activity* Customer Processing
	Algorithm Based Risk Model
∨Variables⊞ Add® De	elete 🖂 Apply Function To Group 🕮 Remove Function From Group 🔀 Apply Function to Expression
😤 Group Order (	Operator Business Property (Business Entity. Business Attribute) Function Function Parameter
0 1 1	Method of Account Opening Value : N_RISK_SCORE
0 2 1 *	* Algorithm Based Risk Scoring : N_RISK_PARAM_WEIGHT
Variable	🗟 Save 🐼 Cancel
Operator	r 🔽
Business Entity*	*
Business Attribute*	
Dusiness Attribute	
	○ Add to Current Group ● Create New Group
Apply Function to Ex	xpression 🖾 Cancel
Select Function	Replace Null
Literal value to be	e applied
$^{\bigcirc}$ Literal Value	Expression
Default Risk Score	re for Missing Data
	Submit Close

m. Select the Group 1 radio button.

n. Click Apply Function To Group.

o. In the Apply Function To Group section, select the values according to the following figure and click **Save**.

Expression Name*	Country of birth	Activity*	Customer Processing	~
Processing Segment *	Algorithm Based Risk Model			
tie faith the state of the	Delete         Apply Function To Group         Remo           Operator         Business Property (Business En           Method of Account Opening Value :         *           *         Algorithm Based Risk Scoring : N_RIS	tity. Busin N_RISK_SCO	ess Attribute) Function	1
Variable				🗟 Save 🐱 Cancel
Operato	or 🔽			
Business Entity	r*			~
Business Attribute	*			~
	O Add to Current Group	● Create N	lew Group	
Apply Function to E	Expression			🐼 Cancel
Select Function	n Divide			~
Denominator				
Literal Value	○ <sub>Expression</sub>			
100		×		
	Submit	Close		

- p. Click Submit. The new expression is added to the list of expressions in the Expressions page.
- 12. Create an evaluation for the new risk parameter from the Evaluations Menu, with the same filter conditions as that of the other parameters, such as the filter details and the score type.

To add an evaluation, follow these steps:

- a. Click the **Evaluations** menu.
- b. In the *Evaluations* page, click Add.

ome>>Evaluations								
Search 🗭 Go 🛛 🕊 Reset								
Evaluation Name		Activity			♥ Pro	ocessing Segment		
Status		~						
Evaluations (93) 📇 Add 🛛 🕲 Delete	🖹 Save 📲 Copy							
Evaluation Name	Score	Activity		C1-1-1-1	Undefend Do.	Under diese		
craidedon realize	30010	Activity	Processing Segment	Status	Updated By	Updated On	History	
Change In Risk Model - Account Type	10	Customer	Processing Segment Pre-filtering of Custome		KYCADMN	09/13/2017 10:27:23	History 퀭	
				VALID				
Change In Risk Model - Account Type	10	Customer	Pre-filtering of Custome	VALID VALID	KYCADMN	09/13/2017 10:27:23	ð	
Change In Risk Model - Account Type Change In Risk Model - Corporate Age	10 10 Inters	Customer Customer	Pre-filtering of Custome	VALID VALID VALID	KYCADMN KYCADMN	09/13/2017 10:27:23 09/13/2017 10:27:25	2010 2010	
Change In Risk Model - Account Type      Change In Risk Model - Corporate Age      Change In Risk Model - Country Of Head Ouar	10 10 10 10 10 10	Customer Customer Customer	Pre-filtering of Custome Pre-filtering of Custome Pre-filtering of Custome	VALID VALID VALID VALID	KYCADMN KYCADMN KYCADMN	09/13/2017 10:27:23 09/13/2017 10:27:25 09/13/2017 10:27:25	බ           බ           බ           බ	
Change In Risk Model - Account Type      Change In Risk Model - Corporate Age      Change In Risk Model - Country Of Head Quar      Change In Risk Model - Country Of Residence	10           10           11           11           12           13           14           15           16           17           18           19           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10           10	Customer Customer Customer Customer	Pre-filtering of Custome Pre-filtering of Custome Pre-filtering of Custome Pre-filtering of Custome	VALID VALID VALID VALID VALID	KYCADMN       KYCADMN       KYCADMN       KYCADMN       KYCADMN	09/13/2017 10:27:23 09/13/2017 10:27:25 09/13/2017 10:27:25 09/13/2017 10:27:25	ම ම ම ම ම ම ම	

- c. Enter a name for the evaluation.
- d. Select the Activity and Processing Segment field according to the following figure.

**Note:** For algorithm-based risk evaluations, the join type is always left. This allows the application to provide a default risk score.

V Evaluation Details  Add Expression						
Name* Country of birth	Activity*	Customer Processing	~	Processing Segment*	Algorithm Based Risk Model	T
Join Type* O Inner						
> Filters (0) 🖬 Add 🔣 Edit 🚳 Delete						
<ul> <li>Evaluation Scoring</li> </ul>						
Score Type*						
> Associated Assessments (0)						
> Associated Profiles (0)						
> Associated Virtual Profiles (0)						
Change Description						
*						
		Save Cance	21			

e. To add filters for the evaluation, click Add. You need to add two filters.

f. For the first filter, select the values according to the following figure and click Save:

Filter Details				Save	🐼 Close
Filter Name*	ActiveFlag				
			Comparator Type* O Expression	Literal Value	
Source Expression*	Algorithm Based Risk Scoring - ActiveFlag	Operator* =	<b>∨</b>	×	

**Note:** In the Literal Value field, select the same value as provided in the F\_ENABLE parameter of the APPLN\_RISK\_RATING\_PARAMS excel sheet during upload.

g. For the second filter, select the values according to the following figure and click Save:

Filter Details					Save Save	🐼 Close
Filter Name*	Parameter Code					
			Cor	nparator Type* O Expression	• Literal Value	
Source Expression*	Algorithm Based Risk Scoring - Parameter (	Operator* =	~	""MB_CCR_MAO_RSK	×	

**Note:** In the Literal Value field, select the same value as provided in the V\_RISK\_PARAM\_CODE parameter of the APPLN\_RISK\_RATING\_PARAMS excel sheet during upload.

- h. Select the expression that you have created for the calculation of the risk score.
- i. Select the expression which holds the data for the risk parameter in the Highlights section. This is required to get the actual value for every customer.

Note: To know how to add a highlight for an evaluation, see IPE User Guide.

- j. Click Save.
- 13. Map the evaluation to the existing assessment of the added parameter. To do this, run the following insert script:

```
insert into MAP_EVAL_RISK_ASSMNT_MODEL (N_EVAL_ID, N_EVAL_VRSN_NB, N_CNTRY_ID,
N_TABLE_BUS_ID, V_TABLE_PHY_NM, V_TABLE_BUS_NM, V_RISK_ASSMNT_MODEL, N_ASSMT_ID, V_AP-
P_ID, V_EVAL_NM, V_ACTV_FL, V_PARAM_RULE_CODE, V_CUST_TYPE_CD
```

The following are the expected values for the above script:

Parameter Name	Expected Value
N_EVAL_ID	The expected value can be retrieved by querying the MAP_EVAL_RISK_ASSMNT_MODEL table.
N_EVAL_VRSN_NB	0
N_CNTRY_ID	Null
N_TABLE_BUS_ID	Null
V_TABLE_PHY_NM	Null
V_TABLE_BUS_NM	Null
V_RISK_ASSMNT_MODEL	MB
N_ASSMT_ID	8000
V_APP_ID	OFS_KYC
V_EVAL_NM	<name evaluation="" of="" the=""></name>
V_ACTV_FL	Null
V_PARAM_RULE_CODE	<rule appl_risk_rating_params="" code="" from=""></rule>
V_CUST_TYPE_CD	Null

14. Click Save.

## Adding Rules for Rule-based Risk Assessments

To add risk parameters for rule-based risk assessments, follow these steps:

- 1. Navigate to the OFSAA login page.
- 2. In the KYC home page, click Behavior Detection KYC.
- 3. Click KYC Risk Assessment Configuration.
  - Click to expand the page.

### 4. Click Rule Based Risk Assessment. The Rule Based Risk Assessment page appears.

Administration				
Administration >> KYC Configuration >> Rule Based Risk Assessment				
∨ Search 🔿 Go 🛛 🕂 Reset 🖾 Add Rule				
Jurisdiction	✓ Mo	del Type	$\checkmark$	
Rule Name	•			
Individual Other Organization Financial Institution				
∨ Rule Based Parameters - Individual (0)  Save  Save  Copy	t⊒Add			
초 🗆 Jurisdiction	Rule Name	Rule Value	Active	
No Data Found				
<				

5. To add a new rule, click Add Rule. The Add New Rule dialog box displays.

> Add New Rule		
Jurisdiction*	<ul> <li>Model Type*</li> </ul>	$\checkmark$
Rule Code*	Rule Name*	
Code Set*	✓ Rule Value*	Ŧ
Active Flag*	Customer Type*	v
Range Flag*	Consider for Reassessment*	~
Re-review Rule Name*		
Comments		
	Save Cancel	

Field Name	Description
Jurisdiction	Select the jurisdiction that the parameter belongs to. All the jurisdictions that are available in the kdd_jrsdcn table display.
Model Type	Select the model type as Algorithm-based Risk Assessment. <b>Note:</b> The Model type RAOR Risk Assessment is not supported from this user interface from 8.0.7.
Rule Code	Enter the rule code. This is unique for each rule.
Rule Name	Enter the rule name.
Code Set	Select the code set applicable for the rule. All the jurisdictions that are available in the kdd_code_set_trnln table display.
Customer Type	Select the customer type. Based on the customer type, the rule is displayed in the Individual, Other Organization, or Financial Institution tabs.
Active Flag	Select Yes to enable the parameter for the current assessment. Select No to disable the parameter for the current assessment.
Range Flag	Select Yes to enable the length of relationship for the current assessment. Select No to disable the length of relationship for the current assessment.
Consider For Reas- sessment	Select Yes to whether the parameter is considered for reassessment or not. <b>Note:</b> If you select Yes, see the steps mentioned in <i>Adding a Risk Parameter or Rule for</i> <i>Reassessments</i>
Re-review Rule Name	Enter the value APPLN_REREVIEW_PARAMS.
Comments	Enter any comments related to the rule.

The fields are described in the following table:

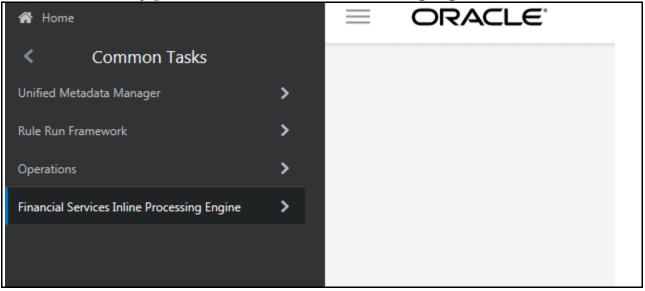
To save the rule, click Save.

Note: To close the dialog box, click Cancel. This refreshes the screen with the new rule.

6. Click **Auto-Populate** to get all the code values for the new parameter with the minimum risk score. To change the risk score, select the check box of the parameter that you want to change and enter the new risk score.

**Note:** After the initial preparation of the metadata, such as creating a new risk parameter, defining the risk weights, and defining the risk scores, you need to define a rule for the new risk parameter.

7. In the KYC home page, click Financial Services Inline Processing Engine in the LHS menu.



8. Click Inline Processing in the RHS menu. The Inline Processing page is displayed.

Association and Cor	nfiguration Expres	sions Pos	Processing Actions	Profiles	Virtual Profiles	Evaluations	Assessments	
Home>>Profiles	Reset		_					
✓ Search ➡ Go	- Keset							
Profile Name		Acti	vity		✓ Processing	Segment		~
Status		~						
∨ Profiles (6) 🖽 A	dd 💿 Delete							
Profile Name		Activity	Processing Segment	Sta	itus Updateo	ву	Updated On	History
Count Of Susp	vicious Account Alert	Customer	Pre-filtering of Custome	ers VA	LID KYCADN	1N		1
Count Of Susp	vicious Customer Alert	Customer	Pre-filtering of Custome	ers VA	LID KYCADN	IN		1
Count of Freq	uent Account Alert	Customer	Pre-filtering of Custome	ers VA	LID KYCADN	1N		@
Count of Freq	uent Customer Alert	Customer	Pre-filtering of Custome	ers VA	LID KYCADN	IN		@
Count of High	Score Account Alert	Customer	Pre-filtering of Custome	ers VA	LID KYCADN	1N		1
Count of High	Score Customer Alert	Customer	Pre-filtering of Custome	ers VA	LID KYCADN	1N		1
<								

- 9. Add a business entity on top of the PARAM\_RISK\_SCORE\_JRSDN table in IPE. For example, Country of Birth. To add a business entity, follow these steps:
  - a. Click the Business Entities sub-menu in the Association and Configuration menu.
  - b. Select the Entity Name as PARAM\_RISK\_SCORE\_JRSDN.

Association and Configuration Expressio	ns Post Processing Actions	Profiles Virtual Profil	es Evaluations	Assessments
Home>>Association and Configuration>>Busin ~ Choose Entity @Import Entity	ss Entities Delete			
Entity Na	ne* PARAM_RISK_SCORE_JRSDN	N .	<b>~</b>	
∨ Business Entities (18) 📇 Add 🛛 📓	dit 💿 Delete 🔊 Sync	hronize		
当 Name	Processing Segments			Score Attribute
Account Type Value	Algorithm Based Risk Model,Re	al Time Account On-Boarding		
Citizenship Value	Algorithm Based Risk Model,Re	al Time Account On-Boarding		
Corporate Age Value	Algorithm Based Risk Model,Re	al Time Account On-Boarding		
Country of Head Quarters Value	Algorithm Based Risk Model,Re	al Time Account On-Boarding		
Country of Operations Value	Algorithm Based Risk Model,Re	al Time Account On-Boarding		
Country of Residence Value	Algorithm Based Risk Model,Re	al Time Account On-Boarding		
Country of Taxation Value	Algorithm Based Risk Model,Re	al Time Account On-Boarding		
Default Risk Score	Algorithm Based Risk Model,Re	al Time Account On-Boarding		
Industry Value	Algorithm Based Risk Model,Re	al Time Account On-Boarding		

c. Click Add.

d. Enter the name, processing segment, and score attribute for the business entity.

**Note:** For Rule-based risk parameters, select Rule Based Risk Assessment Model as the Processing Segment and N\_RISK\_SCORE as the set score attribute.

Name*	Country of Birth	
Processing Segment*	Rule Based Risk Assessment Model	~
Set Score Attribute	N_RISK_SCORE	~
	Add Cancel	

e. Click Add. The new parameter is added to the list of Business Entities in the Business Entities page.

10. Add the following joins in IPE from the Inline Datasets sub-menu in the Association and Configuration menu:

- Rule-based Risk Scoring to Country of Birth (New Parameter virtual table). This is required to associate the risk parameter column of these two tables.
- Customer Processing to Country of Birth (New Parameter virtual table). This is required to associate the customer data of the new parameter to the risk score parameter table.

To create a join for Rule-based Risk Scoring to Country of Birth, follow these steps:

a. In the Inline Datasets page, click Add.

Asso	ociation and Configuration Expr	ession	s Post Processing Actions	Profiles	Virtual Profiles	Evaluations	Assessments
Home	>>Association and Configuration>>I	nline D	atasets				
∨ Se	arch 🗭 Go 🛛 🖨 Reset						
	Inline Dataset Name						
	Start Table				~	End Table	~
$\sim$ Inl	ine Datasets (258) 🗂 Add	🔘 De	ete				
000 000	Inline Dataset Name	*	Start Table	End Table		Associati	tions
	Account Processing - Risk Score of	Accou	Account Processing	Account Type	e Value	ACCT_TY	YPE1_CD = V_CODE_VALUE1 ; JRSDCN_CD = V_JRSDCN_CD
	Account Processing - Risk Score of	Metho	Account Processing	Method of A	ccount Opening Value	MTHD_A	ACCT_OPNG = V_CODE_VALUE1 ; JRSDCN_CD = V_JRSDCN_CD
	Algorithm Based Risk Scoring - Risk	c Score	Algorithm Based Risk Scoring	Country of H	ead Quarters Value	V_RISK_P	PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V
	Algorithm Based Risk Scoring - Risk	<u>c Score</u>	Algorithm Based Risk Scoring	Industry Valu	e	V_RISK_P	PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V
	Algorithm Based Risk Scoring - Risk	<u>c Score</u>	Algorithm Based Risk Scoring	Method of A	ccount Opening Value	v_RISK_P	PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V
	Algorithm Based Risk Scoring - Risk	<u>c Score</u>	Algorithm Based Risk Scoring	Products Offe	ered Value	V_RISK_P	PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V
	Algorithm Based Risk Scoring - Risk	c Score	Algorithm Based Risk Scoring	Source of We	ealth Value	V_RISK_P	PARAM_CODE = V_PARAM_RULE_CODE ; V_JRSDCN_CD = V_JRSDCN_CD ; V

- b. Enter a name for the inline dataset.
- c. In the Start Table field, select Rule Based Risk Assessment.
- d. In the End Table field, select **Country of Birth**. This is the new business entity that we have created in step 19.

Inline Dataset Det	tails							
Inline Dataset	Name*	Rule Score-Country of Birth						
Start	Table*	Rule Based Risk Assessment		~	•			End Table* Country of Birth V
🗏 Inline Dataset Cond	lition 🔤	Add 🐵 Delete						
St	tart			Op	oerato	r		End
Attribute V	RISK_PA	RAM_CODE	~	=	~	Attribute	~	V_PARAM_RULE_CODE V
Attribute V	JRSDCN	CD	~	=	<b>~</b>	Attribute	~	V_JRSDCN_CD V
				Sav	e	Cancel		

- e. Click Add.
- f. Select the values for the dataset condition as shown in the figure.
- g. Click Save. The new dataset is added to the list of Inline Datasets in the Inline Datasets page.

Note: To view the results of the newly added values, use Search.

11. Add a traversal path for each join defined in the Inline Datasets sub-menu. For example, Customer Processing to Rule Based Risk Assessment through the Country of birth.

To add a traversal path, follow these steps:

- a. Click the Traversal Paths sub-menu in the Association and Configuration menu.
- b. In the Traversal Paths page, click Add.

Ass	ociation and Configuration Expressio	ns Post Processing Actions	Profiles Virtual Profil	es Evaluations	Assessments
Hom	e>>Association and Configuration>>Trave	sal Paths			
∨ Se	earch ➡Go				
	Traversal Path Name				
	Start Table			<ul> <li>End Table</li> </ul>	$\checkmark$
~ Tr	raversal Paths (73) 📩 Add 🛛 💿 De	lete			
2	Traversal Path Name	Start Table	End Table		Traversal Path Flow
	Customer - Accelerated Re-review Parar	ne Customer	Accelerated Review	w Parameter	Customer : Accelerated Review Parameter
	Customer - Account	Customer	Account		Customer : Customer To Account , Customer To Account : Account
	Customer - Application Parameters	Customer	Application Param	eters	Customer : Application Parameters
	Customer - Change Log	Customer	CHG_LOG		Customer : CHG_LOG
	Customer - Customer Address	Customer	CUST ADDR		Customer : CUST_ADDR

- c. Enter a name for the traversal path.
- d. In the Start Table field, select Customer Processing.
- e. In the End Table field, select Rule Based Risk Assessment.

Traversal Path Details	l.				
Traversal Path Name	Customer Processing - Account Proce	essing	]		
Start Table	Customer Processing	~	End Table	Account Processing	~
_					
Traversal Path Flow	🔄 Add 🐵 Delete				
Source Entity			Destination Entity		Sequence ID
Customer Processi	ng	×	Rule Based Risk Assessment	~	1
Customer Processi	ng	~	Customer Account Processing	~	2
Customer Account	Processing	~	Account Processing	~	3
		Save	Cancel		

f. Click Add.

- g. Select the values for the traversal path flow as shown in the figure.
- h. Click Save. The new path is added to the list of traversal paths in the Traversal Paths page.

For more information on the datasets and traversal paths used in KYC, see Parameter Details.

- 12. Add an Expression on the risk score column of the newly created business entity which is to be scored as a risk parameter from the Expressions menu. Two expressions need to be created:
  - The first expression is for the column which holds the value of the new risk parameter
  - The second expression is for the calculations that are needed to derive the risk score

Note: The business entity used in this example is Method of Account Opening.

To add an expression, follow these steps:

- a. Click the **Expressions** menu.
- b. In the *Expressions* page, click Add.

As	sociation and Configuration	Expressions	Post Processing Actions	Profiles	Virtual Profiles	Evaluations	Assessments				
Hom	ne>>Expressions										
$\sim s$	earch 🔿 Go 🛛 🕂 Reset										
	Expression Name			Activit	ty		~	Processing Segm	nent		~
	Status			~							
~ E	xpressions (168) 📩 <sub>Add</sub>	Ø Delete	Save								
0.20	Expression Name	<ul> <li>Description</li> </ul>	I				Status		Activity	Processing Segr	nent
[	Accelerated Re review Param	neter ( Accelerate	ed Review Parameter:F_ENABL	E)			VALID		Customer	Pre-filtering	
[	Accelerated Re review Param	neter ( Accelerate	ed Review Parameter:N_RULE_	ID)			VALID		Customer	Pre-filtering	>>
[	Accelerated Re review Param	neter ( Accelerate	ed Review Parameter:N_ALERT	_SCORE)			VALID		Customer	Pre-filtering	>>
[	Accelerated Rereview Param	<u>s - C</u> ( Accelerate	ed Review Parameter:N_COUN	T_OF_ALERTS	5)		VALID		Customer	Pre-filtering	33
[	Account - Account Open Da	te ( Account:A	CCT_OPEN_DT)				VALID		Customer	Pre-filtering	>>
[	Account - Account Status Co	de (Account:A	CCT_STAT_CD)				VALID		Customer	Pre-filtering	>>

c. For the first expression, enter a name for the expression and select the values as shown in the figure.

Expression Nam	e* Acco	unt Processing - Account Opening Metho	Activity*	Customer Pro	ocessing	~
Processing Segmen	Algor Pre-f Real Rule	rithm Based Risk Model iltering of Customers Time Account On-Boarding Based Risk Assessment Model (2x= Apply Function To Group		VALID	Σx Apply F	unction to Expressio
Group Order	Operat	or Business Property (Business I	Entity. Busines:	Attribute)	Function	Function Paramet
riable						🗟 Save 🐱 Cancel
	-					
Oper	ator	~				
Oper Business En		ule Based Risk Assessment Model				~
	tity* R	ule Based Risk Assessment Model				<b>~</b>

- d. To add a variable for the first expression, click Add.
- e. Select the business entity and the business attribute where the value of the new parameter resides.
- f. Click Save. The variable is displayed.

g. For the second expression, enter a name for the expression and select the values as shown in the figure.

Expression Name* Processing Segment *	Method Of Account Opening - Weighed Score       Activity*       Customer Processing         Algorithm Based Risk Model       Pre-filtering of Customers       Real Time Account On-Boarding         Rule Based Risk Assessment Model       Nodel       Nodel	~
<b>q</b>	Delete 🖅 Apply Function To Group 🖾 Remove Function From Group 🔀 Apply F	
Variable	perator Business Property (Business Entity. Business Attribute) Function	Save Save Cancel
		Save 🖙 Cancel
Operator	$\sim$	
Business Entity*	Method of Account Opening Value	~
Business Attribute*	N_RISK_SCORE	~
	O Add to Current Group O Create New Group	
	Submit Close	

- h. To add a variable for the second expression, click **Add**. For the second expression, we need to add two variables: one variable is the column which holds the risk score of the parameter, and the other variable is the column which holds the risk weight for the parameter.
- i. For the first variable, select the values according to the Variable section in the above figure and click **Save**. The variable is displayed. For the second variable, select the values according to the following figure and click **Save**. The variable is displayed.

								? Help
	Express	ion Nam	e* Method	Of Account Opening - Weighed Score	Activity*	Customer Pr	ocessing	~
	ocessing ables±		Algorithr Pre-filter Real Tin Rule Ba	n Based Risk Model ing of Customers ie Account On-Boarding sed Risk Assessment Model Apply Function To Group	Status V		< Apply Fur	nction to Expression
0-20	Group	Order	Operator	Business Property (Business E	ntity. Business	Attribute)	Function	Function Paramet
0	1	1		Method of Account Opening Value				
0	2	1	*	Algorithm Based Risk Scoring : N_R	ISK_PARAM_WEIG	SHT		
Varia	ble							📓 Save 🐼 Cancel
		Operat	ог	~				
	Busin	ess Entit	y*					~
	Business	Attribut	e*					~
			0	Add to Current Group	Create New G	oup		

- j. Select the Group 1 radio button.
- k. Click Apply Function To Group.

1. In the Apply Function To Group section, select the values according to the following figure and click **Save**.

Expression Name*	Method Of Account Opening - Weighed Score Activity* Cus	tomer Proces	sing 🗸
Processing Segment*	Algorithm Based Risk Model Pre-filtering of Customers Real Time Account On-Boarding Rule Based Risk Assessment Model lete	Crown 2. A	naly Sunction to Synroccion
	erator Business Property (Business Entity, Business Attribute)	Function	Function Parameter
<ul> <li>I 1</li> </ul>	Method of Account Opening Value : N_RISK_SCORE	Replace	Default Risk Score for Missing Data
0 2 1 *	Rule Based Risk Assessment : N_RISK_PARAM_WEIGHT		-
Variable			📓 Save 🐼 Cancel
Operator Business Entity*	* V Rule Based Risk Assessment		
Business Attribute*	N_RISK_PARAM_WEIGHT		* 
Buomooo Attributo	O Add to Current Group © Create New Group	)	•
Apply Function To Group			📓 Save 🐼 Cancel
Select Function	Replace Null		~
Literal value to be ap O Literal Value Default Risk Score for	Expression		
	Submit Close		

- m. Select the Group 1 radio button.
- n. Click Apply Function To Group.

o. In the Apply Function To Group section, select the values according to the following figure and click **Save**.

Expression Name*	Method Of Account Opening - Weighed Score Activity* Custo	omer Process	sing 🗸
Processing Segment *	Method of Account Opening - Weighed Score Source Custo	mer Process	ang 🗸
	Algorithm Based Risk Model Pre-filtering of Customers		
	Real Time Account On-Boarding		
	Rule Based Risk Assessment Model		
✓Variables  Add  D	elete 🖂 Apply Function To Group 🕮 Remove Function From	Group ∑× A	pply Function to Expression
Group Order O	perator Business Property (Business Entity. Business Attribute)	Function	Function Parameter
① 1 1	Method of Account Opening Value : N_RISK_SCORE	Replace Null	Default Risk Score for Missing Data
0 2 1 *	Rule Based Risk Assessment : N_RISK_PARAM_WEIGHT		
Variable			🔚 Save 🐼 Cancel
Operator	* V		
Business Entity*	Rule Based Risk Assessment		~
Business Attribute*	N_RISK_PARAM_WEIGHT		~
	O Add to Current Group O Create New Group		
Apply Function To Group			📓 Save 🐼 Cancel
Select Function	Divide		~
Denominator			
Literal Value	Expression		
100			
	Submit Close		

- p. Click Submit. The new expression is added to the list of expressions in the Expressions page.
- 13. Create an evaluation for the new risk parameter from the Evaluations Menu, with the same filter conditions as that of the other parameters, such as the filter details and the score type.

To add an evaluation, follow these steps:

- a. Click the **Evaluations** menu.
- b. In the *Evaluations* page, click Add.

Association and Configuration Expressions	Post Processing Actions	Profiles Virtual Profiles	Evaluations Assess	ments			
lome>>Evaluations							
Search 🖶 Go 🛛 🕊 Reset							
Evaluation Name		Activity			✓ Proce	essing Segment	
Status		~					
Evaluations (93) 📇 Add 🛛 🔘 Delete 🛛	🖹 Save 📲 Copy						
Evaluation Name	Score	Activity	Processing Segment	Status	Updated By	Updated On	History
Change In Risk Model - Account Type	10	Customer	Pre-filtering of Customer	VALID	KYCADMN	09/13/2017 10:27:23	Ð
Change In Risk Model - Corporate Age	10	Customer	Pre-filtering of Custome	VALID	KYCADMN	09/13/2017 10:27:25	Ð
Change in Kisk Wodel - Corporate Age							
Change In Risk Model - Corporate Age     Change In Risk Model - Country Of Head Quar	ters 10	Customer	Pre-filtering of Custome	VALID	KYCADMN	09/13/2017 10:27:25	1
Change In Risk Model - Country Of Head Quar		Customer Customer	Pre-filtering of Customer Pre-filtering of Customer		KYCADMN KYCADMN	09/13/2017 10:27:25 09/13/2017 10:27:25	1 10
Change In Risk Model - Country Of Head Quar Change In Risk Model - Country Of Residence			-	VALID			
	10 10	Customer	Pre-filtering of Customer	VALID VALID	KYCADMN	09/13/2017 10:27:25	Ð

c. Enter a name for the evaluation.

d. Select the Activity and Processing Segment field according to the following figure.

**Note:** For algorithm-based risk evaluations, the join type is always left. This allows the application to provide a default risk score.

✓ Evaluation Details <sup>™</sup> Add Expression						
Name <sup>*</sup> Country of birth	Activity*	Customer Processing	~	Processing Segment*	Rule Based Risk Assessment Model	•
Join Type* ○Inner ●Left						
> Filters (0) 🖻 Add 🛛 🖾 Edit 🚳 Delete						
~ Evaluation Scoring						
Score Type*						
> Associated Assessments (0)						
> Associated Profiles (0)						
> Associated Virtual Profiles (0)						
<ul> <li>Change Description</li> </ul>						
*						
		Save Cancel				

e. To add filters for the evaluation, click Add. You need to add two filters.

f. For the first filter, select the values according to the following figure and click Save:

Filter Details							🖬 Save	🐼 Close
Filter Name*	ActiveFlag							
				Comparator Type*	O Expression	Literal Value		
Source Expression*	Rule Based Risk Assessment - Rule Active Flag	Operator*	= 🗸	Υ		×		

**Note:** In the Literal Value field, select the same value as provided in the F\_ENABLE parameter of the APPLN\_RB\_PROCESSING excel sheet during upload.

g. For the second filter, select the values according to the following figure and click Save:

Filter Details					l	Save 🖬	🐼 Close
Filter Name*	Parameter Code						
				Comparator Type* O Expression	<ul> <li>Literal Value</li> </ul>		
Source Expression*	Rule Based Risk Assessment - Rule Code 🗸	Operator*	= 🗸	'MB_CCR_MAO_RSK'	×		

**Note:** In the Literal Value field, select the same value as provided in the V\_RB\_RULE\_CODE parameter of the APPLN\_RB\_PROCESSING excel sheet during upload.

- h. Select the expression that you have created for the calculation of the risk score.
- i. Select the expression which holds the data for the risk parameter in the Highlights section. This is required to get the actual value for every customer.
- j. Click Save.
- 14. Map the evaluation to the existing assessment of the added parameter. To do this, run the following insert script:

```
insert into MAP_EVAL_RISK_ASSMNT_MODEL (N_EVAL_ID, N_EVAL_VRSN_NB, N_CNTRY_ID,
N_TABLE_BUS_ID, V_TABLE_PHY_NM, V_TABLE_BUS_NM, V_RISK_ASSMNT_MODEL, N_ASSMT_ID, V_AP-
P_ID, V_EVAL_NM, V_ACTV_FL, V_PARAM_RULE_CODE, V_CUST_TYPE_CD
```

**Parameter Name Expected Value** N EVAL ID <Evaluation ID> N EVAL VRSN NB 0 N\_CNTRY\_ID Null N TABLE BUS ID Null V\_TABLE\_PHY\_NM Null V TABLE BUS NM Null V RISK ASSMNT MODEL RB 6684 N ASSMT ID V\_APP\_ID OFS KYC V\_EVAL\_NM <Name of the Evaluation> V\_ACTV\_FL Null <RULE CODE from APPL\_RISK\_RATING\_PARAMS> V\_PARAM\_RULE\_CODE V\_CUST\_TYPE\_CD Null

The following are the expected values for the above script:

15. Click Save.

#### Adding a Risk Parameter or Rule for Reassessments

For every risk parameter or rule that you add, a corresponding evaluation is created.

**Note:** It is recommended that you look at the predefined values for an existing evaluation when you create a new evaluation.

The following steps are applicable if you select Consider for Reassessment as Yes:

1. Create an evaluation. While creating the evaluation, you can reuse the expressions available in the filters and provide the appropriate values for each filter.

You need to add three filters to the evaluation:

• The first filter is called Rule code. In this filter, you need to provide the risk parameter or rule code in the evaluation filter as defined for the newly added parameter.

- The second filter is called Processed Flag. In this filter, you must provide the same values that are defined in the ready-to-use product.
- The third filter is named according to the new risk parameter or rule which you add for the evaluation. This filter is applicable for the new risk parameter or rule which you add for the evaluation.
- 2. Map the new evaluation to the Change in Risk Model Assessment.

## Adding Rules for Accelerated Rules

To add a rule which is of rule type Alert Re-review or Risk Re-assess, follow the steps mentioned. To add a rule for any other rule type, contact Oracle Support.

- 1. Navigate to the KYC home page.
- 2. In the KYC home page, click **KYC Risk Assessment Configuration** in the LHS menu.
- 3. Click Accelerated Rules in the RHS menu. The Accelerated Re-review Rules page is displayed.

Reports	Preferences	Administration	About	Cases-KTC	KYC Assessments	
Administratio	on >> KYC Config	uration >> Accelerat	ted Re-revie	w Rules		
Search G	🔷 Go 🛛 🌙 Reset	Add Revreview	Rule			
Jurisdicti	on				T	Rule Name

4. To add a new rule, click Add Rereview Rule. The Add New Rule dialog box displays.

Jurisdiction*	Rule Type*	<b></b>
Rule Name*	Count of Alerts	
Alert Score	Rule Score	
Active*	×	
Rule Description		
Comments*		
	Save Cancel	

The fields are described in the following table:

Field Name	Description
Jurisdiction	Select the jurisdiction that the parameter belongs to. All the jurisdictions that are available in the kdd_jrsdcn_table display.
Rule Type	Select the rule type. The options are Alert Rereview or Change Log.
Rule Name	Enter the rule name.
Count of Alerts	Enter the number of alerts. This indicates the number of alerts after which reassessment happens. <b>Note:</b> This field is applicable only for alert rereviews and if KYC is integrated with FCCM Alert Management (AM).

Field Name	Description
Alert Score	Enter the alert score. This indicates the alert score threshold after which reassessment happens. <b>Note:</b> This field is applicable only if KYC is integrated with FCCM Alert Management (AM). <b>Note:</b> To know how to post external alerts, see OFS BD Administration Guide.
Rule Score	Enter the rule score. This is the rule score for a specific parameter. <b>Note:</b> This parameter is not applicable for 805.
Active	Select Yes to enable the rule for the current assessment. Select No to disable the rule for the current assessment.
Rule Description	Enter a description for the rule.
Comments	Enter any comments related to the rule.

To save the rule, click **Save**. To close the dialog box, click **Cancel**. This refreshes the screen with the new rule.

## Mapping an Evaluation to an Assessment

To map an evaluation to an assessment, follow these steps:

- 1. In the KYC home page, click KYC Risk Assessment Configuration.
- 2. Click Association of Rule/Risk Parameter to Evaluation. The Map Evaluation page is displayed.

Administration				
Administration >> KYC Configuration >> Key not Found				
🖃 Search 📫 Go 🖌 💫 Reset				
Mo	odel Type	~		
Add New Evaluation				
Evaluation Name*		<b>v</b>	Rule Name*	~
		Save Cancel		

3. Select the Model Type as *Accelerated Re-review Based Assessment*. and click **Go**. The Association of Rule/Risk Parameter to Evaluation grid is populated with the available evaluations.

Model Typ	De Accelerated	Re-review Based Assessment
Association of Rule/Risk Parameter to Evaluation (7)	Save	
此 Evaluation Name		Rule Name
Suspicious Customer Alert		Suspicious Customer Alert
Frequent Customer Alert		Frequent Customer Alert
Suspicious Account Alert		Suspicious Account Alert
Frequent Account Alert		Frequent Account Alert
High Score Account Alert		High Score Account Alert
Regulatory Report action/s on a Customer Alert		Regulatory Report action/s on a Customer Alert
High Score Customer Alert		High Score Customer Alert

4. Select the evaluation and click Save. The evaluation is now mapped to the assessment and the selected rule.

## Adding Risk Scores for Parameter/Rule Values

To view the risk scores after the risk assessment of parameters or rules, follow these steps:

- 1. Navigate to the KYC home page.
- 2. Click KYC Risk Assessment Configuration.
- 3. Click **Risk Score for Parameter/Rule Value**. The *Risk Score for Parameter/Rule Value* page is displayed.

Reports	Preferences	Administration	About	Cases-KYC	KYC Assessments	
Administratio	n >> KYC Config	guration >> Accelerat	ted Re-revie	w Rules		
Search	🔷 Go 🛛 🌙 Resef	t 🛛 🛗 Add Revreview	Rule			
Jurisdictio	on				•	Rule Name

4. Select the jurisdiction, model type used for risk scoring, and the parameter or rule name and click **Go**. The risk scores are displayed on the page.

Preferences Administratio	n						
	ation >> Risk Score for Parameter/Rule	Value					?
∃ Search 🛱 Go 🛛 🎝 Reset 🗍							
			~		Risk Scoring Model Type	Algorithm Based Assessment	~
	Parameter/Rule Name	Geo Risk - Country of Citizenship	~				
E Risk Score for Parameter/Re	ule Value (11) 🖾 Expand All 📓 Sav	ve 🛙 🔩 Copy					🔊 History
🚊 🗌 Jurisdiction	Parameter/Rule Nam	e Parameter/Rule Va	lue Risk Score	Customer Type	Comments	Condition 3	Condition 3 Value
DN of AMEA	Geo Risk - Country of Citizenship	BA	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	CF	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	DZ	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	Default Score	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	EC	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	FR	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	GA	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	IE	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	IL	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	UK	1	Individual			
DN of AMEA	Geo Risk - Country of Citizenship	US	1	Individual			

Note: For Algorithm-based risk parameters, select Algorithm Based Assessment as the risk scoring model type.

Note: For Rule-based risk parameters, select Rule Based Assessment as the risk scoring model type.

5. Click **Auto-Populate** to generate the risk scores following the risk assessment. To change the risk score, select the check box of the parameter that you want to change and enter the new risk score.

## APPENDIX A KYC Batches

This appendix covers the KYC Batch and the tasks within the batches. This appendix discusses the following topics:

- Regular Processing
- Deployment Initiation Processing
- End of Day Processing

#### NOTE:

- If you also have Enterprise Case Management (ECM) installed, ensure that you execute the ECM batches after running the KYC batches. This is necessary because if you do not execute the ECM batches, no assessments appear on the screen.
- Some of the tasks mentioned may be descoped in the future.
- KYC uses watch lists only for name matching. As a part of the KYC process, if you do not want to run the watch list tasks for primary customers and their interested parties, then you must unmap the watch list tasks.

## **Regular Processing**

The following table provides details about regular processing:

NOTE: To process watch list data, run the following data maps:

- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WLMProcessingLock
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WatchListEntry\_WatchListEntryCurrDayInsert
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WatchListAudit\_StatusUpd
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WatchList\_WatchListSourceAuditInsert
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WatchList\_WatchListSourceAuditUpd
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WatchList\_WatchListSourceUpd
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WatchListEntry\_WatchListAuditUpd
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WatchListEntryAudit\_WatchListEntryUpdate
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WatchListStagingTable\_WatchList
- runjob \$MANTAS\_HOME/bdf/scripts/execute.sh WLMProcessingUnlock

	Rule Name			
Task ID	(As configured)	Description	Component ID	Precedence
Task1	Customer	This is an IPE prefiltering task that is used to run the Accelerated Rere- view, New Accounts and Periodic Rereview Assessments and to find the eligible customers for risk Assessment.	INLINE PROCESSING	Task2
Task2	BD_POPU- LATE_LAST_R UN_BATCH	This is a task that populates the kdd_ex- trl_batch_last_run table and is used to keep track of the cur- rent batch that is being run.	TRANSFORM DATA	START
Task3	Populate Cust_Prcsng	This is a task that populates the prefiltered Customer Data in to the Cust_Prcsng table when run.	LOAD DATA	Task1, Task2
Task4	Populate- Processed- NewAcct	This is a task that populates the new accounts processed in the sys- tem in to the processing table when run.	TRANSFORM DATA	Task3
Task5	Populate Cust_Ad- dr_Prcsng	This is a task that populates the prefiltered Customer Data in to the Cust_Addr_Prcsng table when run.	LOAD DATA	Task3
Task6	Populate Cust_Cn- try_Prcsng	This is a task that populates the prefiltered Customer Data in to the Cust_Cntry_Prcsng table when run.	LOAD DATA	Task3

	Rule Name			
Task ID	(As configured)	Description	Component ID	Precedence
Task7	Populate Cust_Id_Doc _Prcsng	This is a task that populates the prefiltered Customer Data in to the Cust_Id_Doc_Prcsng table when run.	LOAD DATA	Task3
Task8	Populate Cust_Mkt Served_Prcs ng	This is a task that populate the pre- filtered Customer Data in to the Cust_Mkt_Served_Prcsng table when run.	LOAD DATA	Task3
Task9	Populate Cust_Phon_P rcsng	This is a task that populates the pre- filtered Customer Data in to the Cust_Phon_Prcsng table when run.	LOAD DATA	Task3
Task10	Populate Cust_Prod_P rcsng	This is a task that populates the pre- filtered Customer Data in to the Cust_Product_Prcsng table when run.	LOAD DATA	Task3
Task11	Populate Cust_to Cust_Prcsng	This is a task that populates the pre- filtered Customer Data in to the Cust_Cust_Prcsng table when run.	LOAD DATA	Task3
Task12	Populate Cust_Acct_P rcsng	This is a task that populates the pre- filtered Customer Data in to the Cust_Acct_Prcsng table when run.	LOAD DATA	Task3
Task13	Popu- late_Acct_P rcsng	This is a task that populates the pre- filtered Customer Data in to the Acct_Prcsng table when run.	LOAD DATA	Task12
Task14	POPU- LATE_IP_KYC	This is a task that populates the Intrested Party Customers and Accounts when run.	TRANSFORM DATA	Task10, Task11, Task12, Task13, Task3, Task4, Task5, Task6, Task6, Task7, Task8, Task9
Task15	t2t_PAR- TY_AD- DRESS_PRCNG _IP	This is a task that populates the party address in to the pricing table when run.	LOAD DATA	Task14
Task16	t2t_PARTY DETAILS_PRC NG_IP	This is a task that populates the party details in to the pricing table when run.	LOAD DATA	Task14

#### Table 19: Regular Processing

	Rule Name			
Task ID	(As configured)	Description	Component ID	Precedence
Task17	t2t_PAR- TY_ID_DOC_P RCNG_IP	This is a task that populates the party doc ID in to the pricing table when run.	LOAD DATA	Task14
Task18	t2t_PAR- TY_PAR- TY_RLSHP_PR CSNG_BO	This is a task that populates the beneficial owner details in to the PARTY_PARTY_RLSH- P_PRCSNG_BO table when run.	LOAD DATA	Task14, Task15, Task16, Task17
Task19	t2t_PARTY DETAILS_PRC NG_BO_INT	This is a task that populates the internal beneficial owner details in to the PARTY_DE- TAILS_PRCNG_BO_INT table when run.	LOAD DATA	Task18
Task20	t2t_PARTY DETAILS_PRC NG_BO_EXT	This is a task that populates the external beneficial owner details in to the PARTY_DE- TAILS_PRCNG_BO_EXT table when run.	LOAD DATA	Task18
Task21	t2t_PAR- TY_AD- DRESS_PRCNG _BO_INT	This is a task that populates the internal beneficial owner details in to the PARTY_AD- DRESS_PRCNG_BO_INT table when run.	LOAD DATA	Task18
Task22	t2t_PAR- TY_AD- DRESS_PRCNG _BO_EXT	This is a task that populates the external beneficial owner details in to the PARTY_AD- DRESS_PRCNG_BO_EXT table when run.	LOAD DATA	Task18
Task23	t2t_PAR- TY_ID_DOC_P RCNG_BO_INT	This is a task that populates the internal beneficial owner details in to the PAR- TY_ID_DOC_PRCNG_BO_INT table when run.	LOAD DATA	Task18
Task24	t2t_PAR- TY_ID_DOC_P RCNG_BO_EXT	This is a task that populates the external beneficial owner details in to the PAR- TY_ID_DOC_PRCNG_BO_EXT table when run.	LOAD DATA	Task18
Task25	t2t_FCT_T- P_WLS_RE- QUESTS_PRCN G	This is a task that populates Requests in to the watch list Pro- cessing table for the prefiltered Cus- tomers when run.	LOAD DATA	Task18, Task19, Task20, Task21, Task22, Task23, Task24

Table	19:	Regular	Processing
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	Rule Name			
Task ID	(As configured)	Description	Component ID	Precedence
Task26	t2t_FCT_T- P_WLS_RE- SULTS_PRCNG	This is a task that populates the watch list Score in the FCT_T- P_WLS_RESULTS_PRCNG table when run.	LOAD DATA	Task27
Task27	Watchlist FuzzyMatch	This is a task that calls the watch list Fuzzy Match to calculate the watch list Score when run.	TRANSFORM DATA	Task25
Task28	UPDATE_WLS_ STATUS	This is a task that updates the Sta- tus of the watch list Request to Closed when run.	TRANSFORM DATA	Task26
Task29	Customer Processing	This is a task that is used to run the IPE assessment for Rule-based Rules and generate the scores when run.	INLINE PROCESSING	Task25, Task26, Task27, Task28
Task30	Customer Processing	This is a task that is used to run the IPE assessment for Model-based Rules and generate the scores when run.	INLINE PROCESSING	Task29
Task31	t2t_POPU- LATE_FCT_RA	This is a task that generates the Risk Assessment IDs for each Cus- tomer and populates the FCT_RA table when run.	LOAD DATA	Task30
Task32	t2t_POPU- LATE_FCT_RA _RISK_SUM- MARY	This is a task that populates the FCT_RA_RISK_SUMMARY table with the final MB and RB scores for each Customer when run.	LOAD DATA	Task31
Task33	t2t_POPU- LATE_FCT_RA _RISK_REA- SONS	This is a task that populates the FCT_RA_RISK_REASONS table with the scores of each Parameter for every Customer when run.	LOAD DATA	Task31
Task34	t2t_FCT_RA_ RISK_DE- TAILS	This is a task that populates the FCT_RA_RISK_DETAILS table with the actual values of each Parameter for every Customer when run.	LOAD DATA	Task31
Task35	t2t_FCT CUST_RA_HIS TRY	This is a task that populates the FCT_CUST_RA_HISTRY table with the names of the prefiltered customers when run.	LOAD DATA	Task36
Task36	F_CLO- SURE_UP- DATES	This is a task that updates the RA once they are closed.	TRANSFORM DATA	Task37
Task37	t2t_FCT CUST_RVWDTL S	This is a task that populates the FCT_CUST_RVWDTLS table when run.	LOAD DATA	Task31

#### Table 19: Regular Processing

	Rule Name			
Task ID	(As configured)	Description	Component ID	Precedence
Task38	t2t_FCT_T- P_WLS_RE- QUESTS	This is a task that populates the FCT_TP_WLS_REQUESTS table when run.	LOAD DATA	Task31
Task39	t2t_FCT_T- P_WLS_RE- SULTS	This is a task that populates the FCT_TP_WLS_RESULTS table when run.	LOAD DATA	Task21
Task40	t2t_FCT_RA_ RISK_RAT- ING_HISTORY	This is a task that populates the FCT_RA_RISK_RATING_HIS- TORY table when run.	LOAD DATA	Task31
Task41	t2t_FCT CUST_RE- VIEW_REASON S	This is a task that populates the customer review reasons in to the FCT_CUST_REVIEW_REASONS table when run.	LOAD DATA	Task31
Task42	KYC_PURGE_L AST_RUN_TAB	This is a task that purges or trun- cates the kdd_ex- trl_batch_last_run table when run.	TRANSFORM DATA	Task31, Task32, Task33, Task34, Task35, Task36, Task36, Task37, Task38, Task39, Task40, Task41
Task43	t2f_Gen- CustDe- tails_ED	This is a task that generates the Customer details flat file.	EXTRACT DATA	Task42
Task44	t2f_GenWLS- Feedback_ED	This is a task that generates the watch list feedback details flat file.	EXTRACT DATA	Task42
Task45	t2f GenCBSFeed- back_ED	This is a task that generates the GenCBSFeedback details flat file.	EXTRACT DATA	Task42
Task46	KYC File_Rename	This is a task that generates the new KYC file name.	TRANSFORM DATA	Task43, Task44, Task45

## **Deployment Initiation Processing**

The following table provides details about deployment initiation processing:

Table 20: Deployment I	nitiation Processing
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Task ID	Rule Name (As configured)	Description	Component ID	Precedence
Task1	FN_IPE_LAST_BA TCH_RUN_KY	This is a task that captures the current batch ID when run.	TRANSFORM DATA	START
Task2	Populate Cust_Prcsng_DI	This is a task that populates the prefiltered Customer Data in to the Cust_Prcsng table when run.	LOAD DATA	Task1
Task3	GathrStats CUST_PRCSNG	This is a task that is used to gather statistics for the Cust_Prcsng table.	TRANSFORM DATA	Task2
Task4	Populate Cust_Ad- dr_Prcsng	This is a task that populates the prefiltered Customer Data in to the Cust_Addr_Prcsng table when run.	LOAD DATA	Task3
Task5	Populate Cust_Cn- try_Prcsng	This is a task that populates the prefiltered Customer Data in to the Cust_Cntry_Prcsng table when run.	LOAD DATA	Task4
Taskó	Populate Cust_Id_Doc_Pr csng	This is a task that populates the prefiltered Customer Data in to the Cust_Id_Doc_Prcsng table when run.	LOAD DATA	Task5
Task7	Populate Cust_Mkt Served_Prcsng	This is a task that populate the prefiltered Customer Data in to the Cust_Mkt_Served_Prcsng table when run.	LOAD DATA	Task6
Task8	Populate Cust_Phon_Prcs ng	This is a task that populates the prefiltered Customer Data in to the Cust_Phon_Prcsng table when run.	LOAD DATA	Task7
Task9	Populate Cust_Prod_Prcs ng	This is a task that populates the prefiltered Customer Data in to the Cust_Product_Prcsng table when run.	LOAD DATA	Task8
Task10	Populate Cust_to Cust_Prcsng	This is a task that populates the prefiltered Customer Data in to the Cust_Cust_Prcsng table when run.	LOAD DATA	Task9
Task11	Populate Cust_Acct_Prcs ng	This is a task that populates the prefiltered Customer Data in to the Cust_Acct_Prcsng table when run.	LOAD DATA	Task10
Task12	GathrStats CUST_ACCT_PRC	This is a task that is used to gather statistics for the Cust_acct_Prc table.	TRANSFORM DATA	Task11
Task13			LOAD DATA	Task12

#### Table 20: Deployment Initiation Processing

Task14	POPU- LATE_IP_KYC	This is a task that populates the Intrested Party Customers and Accounts when run.	TRANSFORM DATA	Task1,Tas k10,Task1 1, Task12, Task13,Ta sk2,Task3 ,Task4,Ta sk5,Task6 ,Task7,Ta sk8, Task9
Task15	GathrStats_IP	This is a task that is used to gather statistics for the FCT_CUST_i- INTERESTED_PARTY table.	TRANSFORM DATA	Task14
Task16	t2t_PARTY_DE- TAILS_PRCNG_IP	This is a task that populates the party details in the PARTY_DE- TAILS_PRCNG_IP table when run.	LOAD DATA	Task15
Task17	t2t_PARTY_AD- DRESS_PRCNG_IP	This is a task that populates the party address in the PARTY_AD- DRESS_PRCNG_IP table when run.	LOAD DATA	Task15
Task18	t2t_PAR- TY_ID_DOC_PRCN G_IP	This is a task that populates the party doc ID in the PAR- TY_ID_DOC_PRCNG_IP table when run.	LOAD DATA	Task15
Task19	t2t_FCT_T- P_WLS_RE- QUESTS_PRCNG	This is a task that populates the watch list Score in the FCT_T- P_WLS_REQUESTS_PRCNG table when run.	LOAD DATA	Task14, Task15, Task16, Task17, Task18
Task20	GathrStats_WL- SREQUESTS_P	This is a task that is used to gather statistics for the FCT_T- P_WLS_REQUESTS and FCT_TP_WLS_RE- QUESTS_PRCNG tables.	TRANSFORM DATA	Task19
Task21	Watchlist_Fuz- zyMatch	This is a task that calls the watch list Fuzzy Match to calculate the watch list Score when run.	TRANSFORM DATA	Task20
Task22	GathrStats_WL- SRESULT_STG	This is a task that is used to gather statistics for the FCT_T- P_WLS_RESULTS and FCT_TP_WLS_RE- SULTS_PRCNG tables.	TRANSFORM DATA	Task21
Task23	t2t_FCT_T- P_WLS_RE- SULTS_PRCNG	This is a task that populates the watch list Score in the FCT_T- P_WLS_RESULTS_PRCNG table when run.	LOAD DATA	Task22

Task24	UPDATE_WLS_STA TUS	This is a task that updates the Sta- tus of the watch list Request to Closed when run.	TRANSFORM DATA	Task 23
Task25	GathrStats_KY- CPRCSNG_TAB	This is a task that is used to gather statistics for all the KYC process-ing tables.	TRANSFORM DATA	Task 24
Task26	Customer Pro- cessing	This is a task which generates rule or model-based scores when run.	INLINE PROCESSING	Task19, Task20, Task21, Task22, Task23, Task24, Task25
Task27	Customer Pro- cessing	This is a task which generates rule or model-based scores when run.	INLINE PROCESSING	Task26
Task28	t2t_FCT_RA_DI	This is a task that is used to populate the FCT_RA_DI table.	LOAD DATA	Task27
Task29	GathrStats_FCT _ <sup>RA</sup>	This is a task that is used to gather statistics for the FCT_RA table for Regular Processing.	TRANSFORM DATA	Task28
Task30	t2t_POPU- LATE_FCT_RA_RI SK_SUMMARY	This is a task that populates the FCT_RA_RISK_SUMMARY table with the final MB and RB scores for each Customer when run.	LOAD DATA	Task29
Task31	t2t_POPU- LATE_FCT_RA_RI SK_REASONS	This is a task that populates the FCT_RA_RISK_REASONS table with the scores of each Parameter for every Customer when run.	LOAD DATA	Task30
Task32	t2t_FCT_RA_RIS K_DETAILS	This is a task that populates the FCT_RA_RISK_DETAILS table with the actual values of each Parameter for every Customer when run.	LOAD DATA	Task31
Task33	t2t_FCT CUST_RVWDTLS_A UTO_CLOSED_DI	This is a task that stores the details of the assessments that are auto-closed.	LOAD DATA	Task32
Task34	t2t_FCT CUST_RVWDTLS_P TC_DI	This is a task that stores the details of the assessments that are promoted to a case through the batch.	LOAD DATA	Task33
Task35	t2t_FCT_T- P_WLS_REQUESTS	This is a task that populates the watch list score in the FCT_T- P_WLS_REQUESTS table when run.	LOAD DATA	Task 34
Task36	t2t_FCT_T- P_WLS_RESULTS	This is a task that populates the watch list score in the FCT_T- P_WLS_RESULTS table when run.	LOAD DATA	Task 35

#### Table 20: Deployment Initiation Processing

Task37	t2t_FCT_RA_RIS K_RATING_HIS- TORY	This is a task that populates the FCT_RA_RISK_RAT- ING_HISTORY table when run.	LOAD DATA	Task 36
Task38	t2t_FCT CUST_RA_HISTRY	This is a task that populates the FCT_CUST_RA_HISTRY table with the names of the prefiltered customers when run.	LOAD DATA	Task 37
Task39	KYC_PURGE_LAST _RUN_TAB	This is a task that purges or trun- cates the kdd_ex- trl_batch_last_run table when run.	TRANSFORM DATA	Task28, Task 29, Task 30, Task 31, Task 32, Task 33, Task 33, Task 34, Task 35, Task 36, Task 37, Task 38

#### Table 20: Deployment Initiation Processing

## End of Day Processing

The following table provides details about end of day processing:

Table 21: End of Day Processing

Task No	Rule Name (As configured)	Description	Component Id	Precedence
Task1	t2f_GenCustDetails_ED	Extract the customer feedback details	EXTRACT DATA	
Task2	t2f_GenWLSFeedback_ED	Extract the watch list scanning feedback details	EXTRACT DATA	
Task3	t2f_GenCBSFeedback_ED	Extract customer details for CBS	EXTRACT DATA	
Task4	KYC_File_Rename	Renaming of the extracted files according to the AML needs	TRANSFORM DATA	Task1, Task2, Task3
Task5	FN_REREVIEW_DATE_DI	Splitting of the customers pro- cessed through the DI processing back for periodic rereview	TRANSFORM DATA	Task1, Task2, Task3, Task4

## APPENDIX B Creating Highlights

This appendix provides the steps to create highlights for Risk and Algorithm-based assessments in KYC.

To create a highlight, follow these steps:

1. Add a virtual table for every risk factor in which the description of risk factors is required.

To add a Business Entity, navigate to the Association and Configuration menu in the Inline Processing page and click **Business Entities**.

In the following example, a Business Entity called Residence is created.
Association and Configuration Expressions Post Processing Actions Profiles Virtual Profiles Evaluations Assessments

ELLOOSE ENtr	🖌 🕾 Import Entity 🛛 🥥	Detete						
	Entity Name*	KDD_CODE_SET_TRM	NLN *					
Business En	tities (5) 🖾 Add 🛙 🜌	Edit 🛛 🧶 Delete 🖓 S	kynchronize					
A	Name		P	rocessing Segments		Score Attribute		
Industry	Code Translation	Algorithm B	lased Risk Model, Rule Based	Risk Assessment Model				
KDO_CO	DOE_SET_TRNLN	Algorithm B	lased Risk Model, Rule Based	Risk Assessment Model		**		
Cocupat	ion	Algorithm B	lased Risk Model, Rule Based	Risk Assessment Model		-		
Resi Shi	irang	Algorithm B	lased Risk Model Rule Based	ed Risk Assessment Model				
Residen	ce	Algorithm B	lased Risk Model, Rule Based	Risk Assessment Model	2			
Entity Details	Save							
Set	Primary Key Attribute*	CODE_SET	•	Entity 1	ype Reference	•		
Set	Sequence ID Attribute		* DB Sequer		e Name			
Set Proce	ssing Status Attribute		*	Set Processing Period Attril	oute	+		
Attributes (	5) 1 📶 Edit							
A	Physical Na	ume	Busin	ess Name	Pro	cessing Segments	Display as Standard Measu	
CODE_0	DISP_TX		CODE_DISP_TX	DE DISP TX AR		k Model, Rule Based Risk Ass	No	
			CODE_SET	,	Ugorithm Based Risk	k Model, Rule Based Risk Ass	No	
	CODE SET DISP NM CODE SET DISP NA							

2. Add two Inline Datasets, one for the start table and one for the end table.

To add an Inline Dataset, navigate to the Association and Configuration menu in the Inline Processing page and click **Inline Datasets**.

In the following example, Inline Datasets are created for Country of Residence Value as the start table and Residence as the end table.

Associ	iation and Configuration	Expressions	Post Processing Actions	Profiles	Virtual Profiles	Evaluations	Assessments
Home	>> Association and Config	uration 🔛 Inline D	slasets				T Help
Sear	rch 📫 Go 🗐 🎝 Reset						
	Inline Dataset Name	isidence					
	Start Table				nd Table		•
E Inlia	ne Datasets (5) 🖾 Add	Delete					
à.	Inline Dataset N	ame .	Start Table			End Table	Associations
-0	Alogrithm Based Risk Sco	ring - Risk Score of	Algorithm Based Risk Scoring		Country of Resid	ience Value	V_RISK_PARAM_CODE = V_PARAM_RULE_CODE : V_JRSDCN_CD =
0	Customer Processing - Ris	k Score of Country	Customer Processing		Country of Resid	ence Value	RES_CNTRY_CD = V_CODE_VALUE1 : JRSDCN_CD = V_JRSDCN_CD
0	Onboarding Customer - R	sk Score of Country	Onboarding Customer		Country of Resid	ence Value	Jurisdiction Code = V_JRSDCN_CD : Country Of Residence = V_CODE_V
	ResidenceID		Country of Residence Value		Residence		V_CODE_VALUE1 = CODE_SET
0	Residence/D2		Customer Processing		Residence		RES_CNTRY_CD = CODE_VAL

3. Add a Traversal Path for each join defined in Inline Datasets.

#### **Appendix B—Creating Highlights**

To add a Traversal Path, navigate to the Association and Configuration menu in the Inline Processing page and click **Traversal Paths**.

In the following example, a Traversal path is created from the Country of Processing table to the Algorithm Based Risk Scoring table.

Association and Configurat	tion Expressions	Post Processing Actions	Profiles	Virtual Profiles	Evaluations	Assessments
Home 🍽 Association and C	onfiguration 🍋 Inline.	Datasets				17 Help
Search 📫 Go 🎝 Rese			_			
Start Table	for the second sec		• End	i Table		•
E Inline Datasets (5)	Add 1 Delete					
🚔 Inline Data	set Name 🔺	Start Table			End Table	Associations
Alogrithm Based Risk	Scoring - Risk Score o	Algorithm Based Risk Scoring		Country of Resid	ience Value	V_RISK_PARAM_CODE = V_PARAM_RULE_CODE : V_JRSDCN_CD =
Customer Processing	- Risk Score of Countr	Customer Processing		Country of Resid	ence Value	RES_CNTRY_CD = V_CODE_VALUE1 : JRSDCN_CD = V_JRSDCN_CD
Conboarding Custome	r - Risk Score of Count	y Onboarding Customer		Country of Resid	ence Value	Jurisdiction Code = V_JRSDCN_CD ; Country Of Residence = V_CODE_V
ResidenceID		Country of Residence Value		Residence		V_CODE_VALUE1 = CODE_SET
Residence/D2		Customer Processing		Residence		RES_CNTRY_CD = CODE_VAL

4. Add an expression on the risk score column of the Business Entity which is to be scored as a risk parameter. To add an Expression, navigate to the Expressions menu in the Inline Processing page.

In the following example, an Expression called ResidenceEPR is created for the Residence Business Entity.

Expression Name* Processing Segment*	ResidenceEPR Activity* Algorithms Based Risk Model Pre-Barring of Customers Real Time Account On-Boarding Rule Based Risk Accessment Model	Customer Proces	using
La	Delete 1 200 Apply Function To Group 1 200 Remove Function rator Business Property (Business Entity, Business Attrib		
Variable			Save 🍻 Can
Operator Business Entity* Business Attribute*		roup	

5. Map an evaluation to the existing assessment of the added parameter.

To map an evaluation, navigate to the Evaluations menu in the Inline Processing page.

In the following example, an Evaluation is created for the Rule Based Risk Assessment.

Evalu	ation Name	Activity		Processing S	ogment		
	Status	•					
E Eve	luations (52) 🖾 Add 🗐 Delete					1/4 40	( ) »
à.	Evaluation Name	Score	Activity	Processing Segment	Status	Updated By	U
8	Account Country Change	10	Customer	Pre-filtering of Customers	VALID	-	06/08/2017
0	Account State Change	10	Customer	Pre-fitering of Customers	VALID	+	06/08/2017
0	Change in Customer's Citizenship	10	Customer	Pre-filtering of Customers	VALID		06/08/2017
8	Customer Country Change	10	Customer	Pre-fitering of Customers	VALID	-	06/08/2017
0	Customer State Change	10	Customer	Pre-filtering of Customers	VALID		05/08/2017
- 0	Eresuent Account Alert	10	Customer	Pre-filtering of Customers	VALID		06/08/2017
0	Erequent Customer Alert	10	Customer	Pre-filtering of Customers	VALID		06/08/2017
6	Geo Risk - Country of Head Quarters	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessm	VALID		01/24/2017
0	Geo Risk - Country of Operations	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessm	VALID		01/24/2017
8	Geo Risk - Country of Primary Citizenship	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessm	VALID	+	01/24/2017
2	Geo Risk - Country of Residence	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessm	VALID	SUPERVISOR	07/16/2018
0	Geo Risk - Country of Secondary Citizenship	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessm	VALID		01/24/2017
.0	Geo Risk - Country of Taxation	Country of Taxation - Weighted Sco	Customer Processing	Algorithm Based Risk Mod	A VALID	SUPERVISOR	02/12/2018
8	Geo Risk -Country of Citizenship	Countr of Citizenship - Weighted Sci	Customer Processing	Algorithm Based Risk Mod	WALID		01/24/2017
8	Geo Risk -Country of Head Quarters	Country of Head Quarters - Weighe	Customer Processing	Algorithm Based Risk Mod	WALID		01/24/2017

6. Add an Assessment. To add an Assessment, navigate to the Assessments menu in the Inline Processing page. In the following example, an Assessment is created for Rule Based Risk Assessment.

Home	>> Assessments							T Help
Sear	ch 📫 Go 💷 Reset							
Ass	essment Name			Activity	•	Processing Segment		•
	Status							
E Ass	essments (7)	Delete 🛛 🛶 Export	t					
A.	٨	ssessment Name		Activity	Processing Segment	Status	Updated By	U
8	Accelerated Rereview			Customer	Pre-filtering of Customers	VALID	-	06/22/2017 1
. 63	Algorithm Based Risk A	asessment		Customer Processing	Algorithm Based Risk Model	VALID	SUPERVISOR	07/02/2018 0
0	New Accounts Opened	by Customers		Customer	Pre-filtering of Customers	VALID	**	06/08/2017 15
8	On Boarding Algorithm	Based Risk Assessment		Onboarding Customer	Real Time Account On-Boarding	VALID	**	01/30/2017 20
0	On Boarding Rule Base	d Assessment		Onboarding Customer	Real Time Account On-Boarding	VALID	-	01/30/2017 21
	Periodic Re-review of C	ustomers		Customer	Pre-filtering of Customers	VALID	-	06/08/2017 15
				the second se	Rule Based Risk Assessment M	Contraction of the Contraction o	and a party in the second se	And in case of the local division of the loc

#### Appendix B—Creating Highlights

## **APPENDIX C**

# Configuration Steps for Customer Screening Delta Updates

This appendix provides the configuration steps needed to view the delta updates when customers are screened for matches against the Customer Screening Watch list. If there is a match, then an accelerated rereview is generated.

**NOTE:** The latest matches are picked when the cust\_watchlist\_mtchs batch is run.

This appendix discusses the following topics:

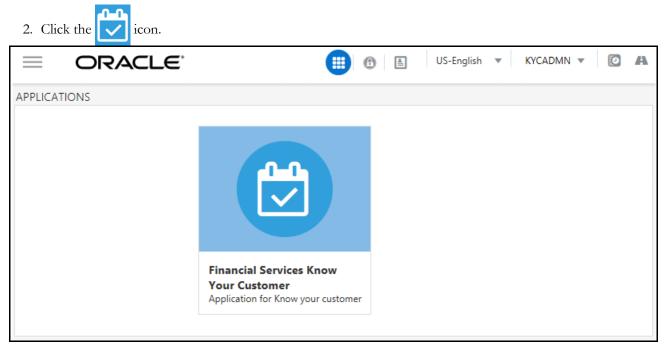
- Adding the Customer Screening Task to the KYC Daily Batch
- Mapping the Watch List evaluation to the Accelerated Rereview Assessment

## Adding the Customer Screening Task to the KYC Daily Batch

To add the customer screening task to the KYC daily batch, follow these steps:

NOTE: Before you run the batch, ensure that you have completed data ingestion in all relevant tables.

1. Login to the KYC Application.



3. Click Common Tasks >> Rule Run Framework >> Process.

🛱 Behavior Detection - KYC	>	Unified Metadata Manager	>	Rule
🗭 Common Tasks	>	Rule Run Framework	>	Process
Processing Modelling Framework	>	Operations	>	Manage Run Execution
		Financial Services Inline Processing Engin	ie >	

#### **Running the Daily Batch**

To run the Daily batch, follow these steps:

1. In the Process screen, provide the value IPEPREProcess in the Name field and click Search.

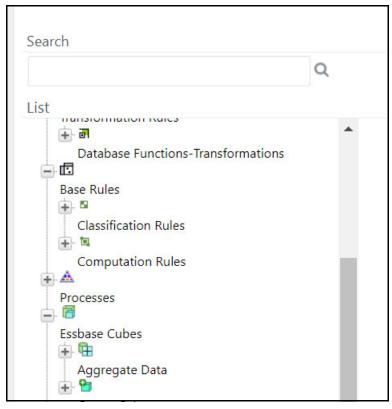
Pro	cess							
		Со	de					
Name			ne	IPEPREProcess				
Folder			ler			•		
	+ 1	New 📑 View 🕜 Edit ြ Co	ру	💼 Remove J	Authorize	- (71 E	xport 👻 🕞	Trace Definitior
000		Code	Nan	ne				
		IPEPREProcess	IPEF	PREProcess				
Page	Page 1 of 1 (1-15 of 1 items) K < > >							

2. Select the IPEPREProcess check box and click Edit. The Process Definition (Edit Mode) screen appears.

3. In the Process Definition (Edit Mode) screen, click Component.

Process					
Process Definition(Edit Mode)					
Folder	FCCMSEGMNT		6		
∼ Master Information 💣 Properties					
ID	1461724461468				
Code	IPEPREProcess				
Name	IPEPREProcess				
Executable					
🗸 🖓 Subprocess 🗟 Component 👜 Precedence 🛛 🖉 Move 💼 Remove 🔲 Show Details 🦉 Merge Rules					
Process			Object		
Customer			Customer		
BD_POPULATE_LAST_RUN_BATCH	CS		BD_POPULATE_LAST_RUN_BATCH		
			Load Customer Match Data from Oracle CS		

4. On the Component selector screen, search for the Processes node in the List window on the left.



- 5. Expand the Processes node, and then the FCCMSEGMNT node.
- 6. Search for the **Load Customer Match Data from Oracle CS** process and double-click the process. It moves to the Tasks window on the right.

Adding the Customer Screening Task to the KYC Daily Batch Appendix C—Screening Delta Customers

Search		S	ort		Ok	
	Q	50		scending Descending		
List		Ta	asks	In ROOT [3]		
	KYC_DI_Watchlist_Scan:SD	C		Object		
				Customer	▽	
	KYC_IPE_DROP_PARTITION:SD			BD_POPULATE_LAST_RUN_BATCH	$\bigtriangledown$	
	KYC_IPE_TABLE_CREATE_PARTITION:SD			Load Customer Match Data from Oracle CS		
	KYC_PopulateBeneficialOwner:SD					
	Load Customer Matches	>				
	Load Customers where there are New Matc					
	Process to get the Customers Watch List sc					
	START_CS_KYC					

- 7. Click **Ok**.
- 8. In the Process Definition (Edit Mode) screen, click Precedence.
- 9. On the Precedence Selector screen, select Load Customer Match Data from Oracle CS in the Available Precedence window and BD\_POPULATE\_LAST\_RUN\_BATCH in the Existing Precedence window.

ROOT	Γ,		Sort		
	Auto Map				Ascending [
Tasks	In ROOT				
		Customer			
Avail	able Precedence		Exis	ting Preced	ence
	Dbject			Object	
	BD_POPULATE_LAST_RUN_BATCH			BD_POPULA	TE_LAST_RUN_BATCH
	Load Customer Match Data from Oracle CS				

10. Click **Ok**.

- 11. Click Save to save the process.
- 12. Recreate the Batch corresponding to this RUN.

### **Running the Deployment Initiation Batch**

To run the Deployment Initiation batch, follow these steps:

1. In the Process screen, provide the value KYC\_DI\_Populate\_Processing in the Name field and click **Search**.

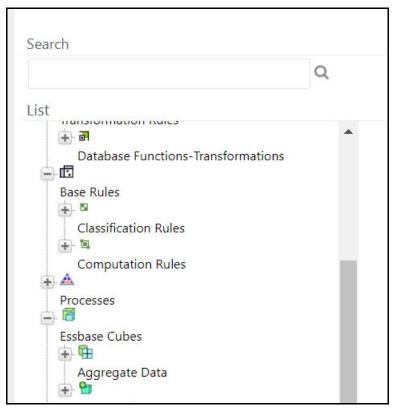
Pro	cess				
		Со	ode		
Name			me		
		Fold	der 🗸		
	+ 1	New ष View 🕜 Edit ြ Co	opy 💼 Remove 💄 Authorize 🖵 🥿 Export 🖵 🗔 Trace Definition		
10-01		Code	Name		
		IPEPREProcess	IPEPREProcess		
Page	Page 1 of 1 (1-15 of 1 items) K < > >				

2. Select the KYC\_DI\_Populate\_Processing check box and click **Edit**. The Process Definition (Edit Mode) screen appears.

3	In the Process	Definition	(Edit Mode)	screen	click Com	nonent
J.	In the 110ccss	Demnuon	(Lat moue)	sciecii,	CHCK COIII	ponent

Process				
Process Definition(Edit Mode) ~Linked to				
Folder	FCCMSEGMNT		6	
∼Master Information 🖻 Properties				
ID	1461724461468			
Code	IPEPREProcess			
Name	IPEPREProcess			
Executable				
∨∑Subprocess 🖯 Component 🖷 Preceden	ce 📝 Move	Î R	emove 🔲 Sho	w Details 🏾 🖉 Merge Rules
Process			Object	
			Customer	
BD_POPULATE_LAST_RUN_BATCH	CS		BD_POPULATE_	LAST_RUN_BATCH
			Load Customer	Match Data from Oracle CS

4. On the Component selector screen, search for the Processes node in the List window on the left.



- 5. Expand the Processes node, and then the FCCMSEGMNT node.
- 6. Search for the Load Customer Match Data from Oracle CS process and double-click the process. It moves to the Tasks window on the right.

Search			Sort		Ok
	Q			Ascending Descending	
List			Task	ts In ROOT [3]	
	KYC_DI_Watchlist_Scan:SD			Object	
				Customer	
	KYC_IPE_DROP_PARTITION:SD			BD_POPULATE_LAST_RUN_BATCH	
	KYC_IPE_TABLE_CREATE_PARTITION:SD			Load Customer Match Data from Oracle CS	
	KYC_PopulateBeneficialOwner:SD				
	Load Customer Matches				
	Load Customers where there are New Matc	>			
	Process to get the Customers Watch List sc				
	START_CS_KYC				

7. Click **Ok**.

Г

- 8. In the Process Definition (Edit Mode) screen, click **Precedence**.
- 9. On the Precedence Selector screen, select Load Customer Match Data from Oracle CS in the Available Precedence window and FN\_IPE\_LAST\_BATCH\_RUN\_KY in the Existing Precedence window..

ROC	Т		Sort	Ok
	Auto Map		Ascending Descending	
Task	is In ROOT			
		Customer		•
Ava	ilable Precedence		Existing Precedence	
	Object		☑ Object	
	FN_IPE_LAST_BATCH_RUN_KY		FN_IPE_LAST_BATCH_RUN_KY	
	Load Customer Match Data from Oracle CS			

10. Click **Ok**.

- 11. Click **Save** to save the process.
- 12. Recreate the Batch corresponding to this RUN.

# Mapping the Watch List evaluation to the Accelerated Rereview Assessment

To map the evaluation, follow these steps:

1. Login to the KYC Application.

2. Click the con.			
		US-English 🔻	KYCADMN 🔻 🙋 🗛
APPLICATIONS	Financial Services Know Your Customer Application for Know your customer		

3. Click Common Tasks >> Financial Services Inline Processing Engine >> Inline Processing >> Assessments.

		< Common Tasks		
		Unified Metadata Manager	>	
		Rule Run Framework	>	
Behavior Detection - KYC	>	Operations	>	Financial Services Inlin
🔁 Common Tasks	>	Financial Services Inline Processing Engi	ne >	Inline Processing
Processing Modelling Framework	>			Inline Processing Reports

#### Mapping the Watch List evaluation to the Accelerated Rereview Assessment Appendix C—Screening Delta Customers

Д	sso	ciation and Configuration	Expressions	Post Processing Ad	ctions Profil	es Virtual Profiles	Evaluations	Assessments
Hc	me	>>Assessments						
>	Sea	arch 🔿 Go 🏷 Reset						
		Assessment Name				Activity		
		Status			,			
>	Ass	sessments (11) 🕂 Add	💼 Delete 🦰 Ex	port				
000		Assessment Name		*	Activity	Processing S	egment	Status
		Accelerated Rereview			Customer	Pre-filtering	of Customers	VALID
		Algorithm Based Risk Asses	<u>ssment</u>		Customer Proce	ssing Algorithm Ba	sed Risk Model	VALID
		Change in Risk Model			Customer	Pre-filtering	of Customers	VALID

#### 4. Click Accelerated Rereview and then click MAP.

$\sim$	Assessment Details 🔸 Define KYC Attributes						
	Name* Accelerated Rereview		Accelerated Rereview	Activity*	Customer		
Status VALID		VALID E	xecution mode	● Live ○ Test			
	Updated By KYCADMN			Updated On 10/20/2017 07:14:10			
$\sim$	Ass	sociated Evaluatio	ons (14) 📝 Map				
🕹 Evaluation Name				Score			
	Customer Address Change Log			10			
	Customer Change Log			10			
		Customer Country	Change Log	10			
		Customer Market S	erved Change Log	10			

5. In the Assessment Evaluation Mapping screen, select **New Watch List Matches** from the Available Evaluations window and move it to the Included Evaluations window.

Available Evaluations	Included Evaluations	
Change In Risk Model - Occupation Periodic Re-review of Customers Change In Risk Model - Product Risk Change In Risk Model - Corporate Age Change In Risk Model - Industry Risk Change In Risk Model - Country Of Residence Change In Risk Model - Country Of Head Quar Change In Risk Model - Markets Risk New Watch List Matches Change In Risk Model - Secondary Citizenship	<ul> <li>Customer Country Change Log</li> <li>High Score Customer Alert</li> <li>Frequent Account Alert</li> <li>Frequent Customer Alert</li> <li>Suspicious Account Alert</li> <li>High Score Account Alert</li> <li>Customer Change Log</li> <li>Customer Alert</li> <li>Customer Customer Alert</li> <li>Customer Customer Alert</li> <li>Customer to Customer Change Log</li> </ul>	×
	Save Close	

- 6. Click Save.
- 7. Restart the servers.

## **APPENDIX D**

## Switching between CS and EDQ Servers for Screening

This appendix provides the run scripts you must execute if you want to use the EDQ server for the screening process. By default, the CS server is enabled. It discusses the following topics:

- Script for the EDQ Server
- Script for the CS Server

#### Script for the EDQ Server

To switch to the EDQ server, use the following script:

MERGE INTO AAI WF TRANSITION B T USING (

```
SELECT 'KYC ONBOARDING' V PROCESS ID, '1612765003317' V TRANSITION ID,
'Job 1569914716746' V FROM ACTIVITY ID, 'Job 1612420416740' V TO ACTIVITY ID,
'1533703981393' V CONDITION EXPR, '1' V CONDITION TYPE, '1' V PRECEDENCE, 'L'
V TRANSITION TYPE, ' ' V TRANSITION STROKE FROM DUAL) S
 ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID )
WHEN MATCHED THEN UPDATE SET T.V_FROM_ACTIVITY_ID = S.V_FROM_ACTIVITY_ID,
T.V TO ACTIVITY ID = S.V TO ACTIVITY ID, T.V CONDITION EXPR = S.V CONDITION EXPR,
T.V CONDITION TYPE = S.V CONDITION TYPE, T.V PRECEDENCE = S.V PRECEDENCE,
T.V TRANSITION TYPE = S.V TRANSITION TYPE, T.V TRANSITION STROKE =
S.V TRANSITION STROKE
WHEN NOT MATCHED THEN INSERT
(V PROCESS ID, V TRANSITION ID, V FROM ACTIVITY ID, V TO ACTIVITY ID, V CONDITION EXPR
,V CONDITION TYPE,V PRECEDENCE,V TRANSITION TYPE,V TRANSITION STROKE)
VALUES
(S.V PROCESS ID, S.V TRANSITION ID, S.V FROM ACTIVITY ID, S.V TO ACTIVITY ID, S.V COND
ITION_EXPR,S.V_CONDITION_TYPE,S.V_PRECEDENCE,S.V_TRANSITION TYPE,S.V TRANSITION ST
ROKE)
/
MERGE INTO AAI WF TRANSITION B T USING (
SELECT 'KYC ONBOARDING' V PROCESS ID, '1612765856141' V TRANSITION ID,
'Job 1612420416740' V FROM ACTIVITY ID, 'Job 1569914839756' V TO ACTIVITY ID, '-1'
V CONDITION EXPR, '1' V CONDITION TYPE, '1' V PRECEDENCE, 'L' V TRANSITION TYPE, '
' V TRANSITION STROKE FROM DUAL) S
ON ( T.V_PROCESS_ID = S.V_PROCESS_ID AND T.V_TRANSITION_ID = S.V_TRANSITION_ID )
WHEN MATCHED THEN UPDATE SET T.V FROM ACTIVITY ID = S.V FROM ACTIVITY ID,
T.V TO ACTIVITY ID = S.V TO ACTIVITY ID, T.V CONDITION EXPR = S.V CONDITION EXPR,
T.V CONDITION TYPE = S.V CONDITION TYPE, T.V PRECEDENCE = S.V PRECEDENCE,
```

```
T.V TRANSITION TYPE = S.V TRANSITION TYPE, T.V TRANSITION STROKE =
S.V TRANSITION STROKE
WHEN NOT MATCHED THEN INSERT
(V_PROCESS_ID,V_TRANSITION_ID,V_FROM_ACTIVITY_ID,V_TO_ACTIVITY_ID,V_CONDITION_EXPR
,V_CONDITION_TYPE,V_PRECEDENCE,V_TRANSITION_TYPE,V_TRANSITION STROKE)
VALUES
(S.V PROCESS ID, S.V TRANSITION ID, S.V FROM ACTIVITY ID, S.V TO ACTIVITY ID, S.V COND
ITION_EXPR,S.V_CONDITION_TYPE,S.V_PRECEDENCE,S.V_TRANSITION_TYPE,S.V_TRANSITION_ST
ROKE)
MERGE INTO AAI WF TRANSITION B T USING (
SELECT 'KYC_ONBOARDING' V_PROCESS_ID, '1612765986197' V_TRANSITION_ID,
'Job 1569914716746' V FROM ACTIVITY ID, 'Job 1612420546036' V TO ACTIVITY ID,
'1533704236345' V CONDITION EXPR, '1' V CONDITION TYPE, '1' V_PRECEDENCE, 'L'
V TRANSITION TYPE, ' ' V TRANSITION STROKE FROM DUAL) S
ON ( T.V_PROCESS_ID = S.V_PROCESS_ID AND T.V_TRANSITION_ID = S.V_TRANSITION_ID )
WHEN MATCHED THEN UPDATE SET T.V FROM ACTIVITY ID = S.V FROM ACTIVITY ID,
T.V TO ACTIVITY ID = S.V TO ACTIVITY ID, T.V CONDITION EXPR = S.V CONDITION EXPR,
T.V CONDITION TYPE = S.V CONDITION TYPE, T.V PRECEDENCE = S.V PRECEDENCE,
T.V TRANSITION TYPE = S.V TRANSITION TYPE, T.V TRANSITION STROKE =
S.V TRANSITION STROKE
WHEN NOT MATCHED THEN INSERT
(V_PROCESS_ID,V_TRANSITION_ID,V_FROM_ACTIVITY_ID,V_TO_ACTIVITY_ID,V_CONDITION_EXPR
,V CONDITION TYPE,V PRECEDENCE,V TRANSITION TYPE,V TRANSITION STROKE)
VALUES
(S.V PROCESS ID, S.V TRANSITION ID, S.V FROM ACTIVITY ID, S.V TO ACTIVITY ID, S.V COND
ITION EXPR,S.V CONDITION TYPE,S.V PRECEDENCE,S.V TRANSITION TYPE,S.V TRANSITION ST
ROKE)
/
MERGE INTO AAI WF TRANSITION B T USING (
SELECT 'KYC ONBOARDING' V PROCESS ID, '1612766020389' V TRANSITION ID,
'Job 1612420546036' V FROM ACTIVITY ID, 'Job 1569914839756' V TO ACTIVITY ID, '-1'
V CONDITION EXPR, '1' V CONDITION TYPE, '1' V PRECEDENCE, 'L' V TRANSITION TYPE, '
' V TRANSITION STROKE FROM DUAL) S
 ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID )
WHEN MATCHED THEN UPDATE SET T.V FROM ACTIVITY ID = S.V FROM ACTIVITY ID,
T.V TO ACTIVITY ID = S.V TO ACTIVITY ID, T.V CONDITION EXPR = S.V CONDITION EXPR,
T.V CONDITION TYPE = S.V CONDITION TYPE, T.V PRECEDENCE = S.V PRECEDENCE,
T.V TRANSITION TYPE = S.V TRANSITION TYPE, T.V TRANSITION STROKE =
S.V TRANSITION STROKE
 WHEN NOT MATCHED THEN INSERT
```

(V PROCESS ID, V TRANSITION ID, V FROM ACTIVITY ID, V TO ACTIVITY ID, V CONDITION EXPR ,V CONDITION TYPE,V PRECEDENCE,V TRANSITION TYPE,V TRANSITION STROKE) VALUES (S.V\_PROCESS\_ID, S.V\_TRANSITION\_ID, S.V\_FROM\_ACTIVITY\_ID, S.V\_TO\_ACTIVITY\_ID, S.V\_COND ITION EXPR,S.V CONDITION TYPE,S.V PRECEDENCE,S.V TRANSITION TYPE,S.V TRANSITION ST ROKE) / MERGE INTO AAI WF TRANSITION TL T USING ( SELECT 'KYC ONBOARDING' V PROCESS ID, '1612765003317' V TRANSITION ID, 'Transition Line to Service-Task for Individual Screening via EDQ' V TRANSITION NAME, '' V TRANSITION DESC, 'en US' V LOCALE CODE FROM DUAL) S ON ( T.V\_PROCESS\_ID = S.V\_PROCESS\_ID AND T.V\_TRANSITION\_ID = S.V\_TRANSITION\_ID AND T.V LOCALE CODE = S.V LOCALE CODE ) WHEN MATCHED THEN UPDATE SET T.V TRANSITION NAME = S.V TRANSITION NAME, T.V\_TRANSITION\_DESC = S.V\_TRANSITION\_DESC WHEN NOT MATCHED THEN INSERT (V\_PROCESS\_ID, V\_TRANSITION\_ID, V\_TRANSITION\_NAME, V\_TRANSITION\_DESC, V\_LOCALE\_CODE) VALUES (S.V PROCESS ID, S.V TRANSITION ID, S.V TRANSITION NAME, S.V TRANSITION DESC, S.V LOCA LE CODE) / MERGE INTO AAI WF TRANSITION TL T USING ( SELECT 'KYC ONBOARDING' V PROCESS ID, '1612765856141' V TRANSITION ID, 'Transition Line from Service-Task for Individual Screening via EDQ' V TRANSITION NAME, '' V TRANSITION DESC, 'en US' V LOCALE CODE FROM DUAL) S ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID AND T.V\_LOCALE\_CODE = S.V\_LOCALE\_CODE ) WHEN MATCHED THEN UPDATE SET T.V TRANSITION NAME = S.V TRANSITION NAME, T.V TRANSITION DESC = S.V TRANSITION DESC WHEN NOT MATCHED THEN INSERT (V\_PROCESS\_ID, V\_TRANSITION\_ID, V\_TRANSITION\_NAME, V\_TRANSITION\_DESC, V\_LOCALE\_CODE) VALUES (S.V PROCESS ID, S.V TRANSITION ID, S.V TRANSITION NAME, S.V TRANSITION DESC, S.V LOCA LE CODE) / MERGE INTO AAI WF TRANSITION TL T USING (

SELECT 'KYC ONBOARDING' V PROCESS ID, '1612765986197' V TRANSITION ID, 'Transition Line to Service-Task for Non-Individual Screening via EDQ' V TRANSITION NAME, '' V TRANSITION DESC, 'en US' V LOCALE CODE FROM DUAL) S ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID AND T.V LOCALE CODE = S.V LOCALE CODE ) WHEN MATCHED THEN UPDATE SET T.V\_TRANSITION\_NAME = S.V\_TRANSITION\_NAME, T.V TRANSITION DESC = S.V TRANSITION DESC WHEN NOT MATCHED THEN INSERT (V PROCESS ID, V TRANSITION ID, V TRANSITION NAME, V TRANSITION DESC, V LOCALE CODE) VALUES (S.V PROCESS ID, S.V TRANSITION ID, S.V TRANSITION NAME, S.V TRANSITION DESC, S.V LOCA LE CODE) / MERGE INTO AAI WF TRANSITION TL T USING ( SELECT 'KYC ONBOARDING' V PROCESS ID, '1612766020389' V TRANSITION ID, 'Transition Line from Service-Task for Non-Individual Screening via EDQ' V\_TRANSITION\_NAME, '' V\_TRANSITION\_DESC, 'en\_US' V\_LOCALE\_CODE FROM DUAL) S ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID AND T.V LOCALE CODE = S.V LOCALE CODE ) WHEN MATCHED THEN UPDATE SET T.V TRANSITION NAME = S.V TRANSITION NAME, T.V\_TRANSITION\_DESC = S.V\_TRANSITION\_DESC WHEN NOT MATCHED THEN INSERT (V PROCESS ID, V TRANSITION ID, V TRANSITION NAME, V TRANSITION DESC, V LOCALE CODE) VALUES (S.V PROCESS ID, S.V TRANSITION ID, S.V TRANSITION NAME, S.V TRANSITION DESC, S.V LOCA LE CODE) / delete from AAI WF TRANSITION B where v process id='KYC ONBOARDING' and V TRANSITION ID in ('1569914778656','1569914846233','1569914782899','1569914849735'); delete from AAI WF TRANSITION TL where v process id='KYC ONBOARDING' and V TRANSITION ID in ('1569914778656','1569914846233','1569914782899','1569914849735');

commit;

#### Script for the CS Server

MERGE INTO AAI\_WF\_TRANSITION\_B T USING (

SELECT 'KYC\_ONBOARDING' V\_PROCESS\_ID, '1569914778656' V\_TRANSITION\_ID, 'Job 1569914716746' V FROM ACTIVITY ID, 'Job 1569914731139' V TO ACTIVITY ID,

```
'1533703981393' V CONDITION EXPR, '1' V CONDITION TYPE, '1' V PRECEDENCE, 'C'
V TRANSITION TYPE, ' ' V TRANSITION STROKE FROM DUAL) S
ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID )
WHEN MATCHED THEN UPDATE SET T.V FROM ACTIVITY ID = S.V FROM ACTIVITY ID,
T.V_TO_ACTIVITY_ID = S.V_TO_ACTIVITY_ID, T.V_CONDITION_EXPR = S.V_CONDITION_EXPR,
T.V_CONDITION_TYPE = S.V_CONDITION_TYPE, T.V_PRECEDENCE = S.V_PRECEDENCE,
T.V TRANSITION TYPE = S.V TRANSITION TYPE, T.V TRANSITION STROKE =
S.V TRANSITION STROKE
WHEN NOT MATCHED THEN INSERT
(V PROCESS ID, V TRANSITION ID, V FROM ACTIVITY ID, V TO ACTIVITY ID, V CONDITION EXPR
,V_CONDITION_TYPE,V_PRECEDENCE,V_TRANSITION_TYPE,V_TRANSITION_STROKE)
VALUES
(S.V PROCESS ID, S.V TRANSITION ID, S.V FROM ACTIVITY ID, S.V TO ACTIVITY ID, S.V COND
ITION EXPR, S.V CONDITION TYPE, S.V PRECEDENCE, S.V TRANSITION TYPE, S.V TRANSITION ST
ROKE)
MERGE INTO AAI WF TRANSITION B T USING (
SELECT 'KYC ONBOARDING' V PROCESS ID, '1569914846233' V TRANSITION ID,
'Job 1569914731139' V FROM ACTIVITY ID, 'Job 1569914839756' V TO ACTIVITY ID, '-1'
V CONDITION EXPR, '1' V CONDITION TYPE, '1' V PRECEDENCE, 'C' V TRANSITION TYPE, '
' V TRANSITION STROKE FROM DUAL) S
ON ( T.V_PROCESS_ID = S.V_PROCESS_ID AND T.V_TRANSITION_ID = S.V_TRANSITION_ID )
WHEN MATCHED THEN UPDATE SET T.V FROM ACTIVITY ID = S.V FROM ACTIVITY ID,
T.V_TO_ACTIVITY_ID = S.V_TO_ACTIVITY_ID, T.V_CONDITION_EXPR = S.V_CONDITION_EXPR,
T.V CONDITION TYPE = S.V CONDITION TYPE, T.V PRECEDENCE = S.V PRECEDENCE,
T.V_TRANSITION_TYPE = S.V_TRANSITION_TYPE, T.V_TRANSITION_STROKE =
S.V TRANSITION STROKE
WHEN NOT MATCHED THEN INSERT
(V PROCESS ID, V TRANSITION ID, V FROM ACTIVITY ID, V TO ACTIVITY ID, V CONDITION EXPR
,V CONDITION TYPE,V PRECEDENCE,V TRANSITION TYPE,V TRANSITION STROKE)
VALUES
(S.V PROCESS ID, S.V TRANSITION ID, S.V FROM ACTIVITY ID, S.V TO ACTIVITY ID, S.V COND
ITION EXPR, S.V CONDITION TYPE, S.V PRECEDENCE, S.V TRANSITION TYPE, S.V TRANSITION ST
ROKE)
MERGE INTO AAI_WF_TRANSITION_B T USING (
SELECT 'KYC ONBOARDING' V PROCESS ID, '1569914782899' V TRANSITION ID,
'Job_1569914716746' V_FROM_ACTIVITY_ID, 'Job_1569914762385' V_TO_ACTIVITY ID,
'1533704236345' V CONDITION EXPR, '1' V CONDITION TYPE, '1' V PRECEDENCE, 'C'
V TRANSITION TYPE, ' ' V TRANSITION STROKE FROM DUAL) S
 ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID )
```

```
WHEN MATCHED THEN UPDATE SET T.V FROM ACTIVITY ID = S.V FROM ACTIVITY ID,
T.V TO ACTIVITY ID = S.V TO ACTIVITY ID, T.V CONDITION EXPR = S.V CONDITION EXPR,
T.V CONDITION TYPE = S.V CONDITION TYPE, T.V PRECEDENCE = S.V PRECEDENCE,
T.V TRANSITION TYPE = S.V TRANSITION TYPE, T.V TRANSITION STROKE =
S.V TRANSITION STROKE
 WHEN NOT MATCHED THEN INSERT
(V PROCESS ID, V TRANSITION ID, V FROM ACTIVITY ID, V TO ACTIVITY ID, V CONDITION EXPR
,V_CONDITION_TYPE,V_PRECEDENCE,V TRANSITION TYPE,V TRANSITION STROKE)
 VALUES
(S.V_PROCESS_ID, S.V_TRANSITION_ID, S.V_FROM_ACTIVITY_ID, S.V_TO_ACTIVITY_ID, S.V_COND
ITION EXPR,S.V CONDITION TYPE,S.V PRECEDENCE,S.V TRANSITION TYPE,S.V TRANSITION ST
ROKE)
/
MERGE INTO AAI WF TRANSITION B T USING (
 SELECT 'KYC ONBOARDING' V PROCESS ID, '1569914849735' V TRANSITION ID,
'Job_1569914762385' V_FROM_ACTIVITY_ID, 'Job_1569914839756' V_TO_ACTIVITY_ID, '-1'
V CONDITION EXPR, '1' V CONDITION TYPE, '1' V PRECEDENCE, 'C' V TRANSITION TYPE, '
' V TRANSITION STROKE FROM DUAL) S
 ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID )
 WHEN MATCHED THEN UPDATE SET T.V FROM ACTIVITY ID = S.V FROM ACTIVITY ID,
T.V TO ACTIVITY ID = S.V TO ACTIVITY ID, T.V CONDITION EXPR = S.V CONDITION EXPR,
T.V CONDITION TYPE = S.V CONDITION TYPE, T.V PRECEDENCE = S.V PRECEDENCE,
T.V TRANSITION TYPE = S.V TRANSITION TYPE, T.V TRANSITION STROKE =
S.V TRANSITION STROKE
 WHEN NOT MATCHED THEN INSERT
(V PROCESS ID, V TRANSITION ID, V FROM ACTIVITY ID, V TO ACTIVITY ID, V CONDITION EXPR
,V CONDITION TYPE,V PRECEDENCE,V TRANSITION TYPE,V TRANSITION STROKE)
 VALUES
(S.V PROCESS ID, S.V TRANSITION ID, S.V FROM ACTIVITY ID, S.V TO ACTIVITY ID, S.V COND
ITION EXPR,S.V CONDITION TYPE,S.V PRECEDENCE,S.V TRANSITION TYPE,S.V TRANSITION ST
ROKE)
/
MERGE INTO AAI WF TRANSITION TL T USING (
 SELECT 'KYC ONBOARDING' V PROCESS ID, '1569914778656' V TRANSITION ID, 'Gateway
To CSIND' V TRANSITION NAME, '' V TRANSITION DESC, 'en US' V LOCALE CODE FROM
DUAL) S
ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID AND
T.V LOCALE CODE = S.V LOCALE CODE )
 WHEN MATCHED THEN UPDATE SET T.V TRANSITION NAME = S.V TRANSITION NAME,
```

WHEN NOT MATCHED THEN INSERT

(V\_PROCESS\_ID, V\_TRANSITION\_ID, V\_TRANSITION\_NAME, V\_TRANSITION\_DESC, V\_LOCALE\_CODE) VALUES

(S.V PROCESS ID, S.V TRANSITION ID, S.V TRANSITION NAME, S.V TRANSITION DESC, S.V LOCA LE CODE) / MERGE INTO AAI\_WF\_TRANSITION\_TL T USING ( SELECT 'KYC ONBOARDING' V PROCESS ID, '1569914846233' V TRANSITION ID, 'Job 1569914731139 Job 1569914839756' V TRANSITION NAME, '' V TRANSITION DESC, 'en US' V LOCALE CODE FROM DUAL) S ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID AND T.V LOCALE CODE = S.V LOCALE CODE ) WHEN MATCHED THEN UPDATE SET T.V TRANSITION NAME = S.V TRANSITION NAME, T.V TRANSITION DESC = S.V TRANSITION DESC WHEN NOT MATCHED THEN INSERT (V\_PROCESS\_ID, V\_TRANSITION\_ID, V\_TRANSITION\_NAME, V\_TRANSITION\_DESC, V\_LOCALE\_CODE) VALUES (S.V PROCESS ID, S.V TRANSITION ID, S.V TRANSITION NAME, S.V TRANSITION DESC, S.V LOCA LE CODE) / MERGE INTO AAI\_WF\_TRANSITION\_TL T USING ( SELECT 'KYC ONBOARDING' V PROCESS ID, '1569914782899' V TRANSITION ID, 'Gateway To CSNONIND' V TRANSITION NAME, '' V TRANSITION DESC, 'en US' V LOCALE CODE FROM DUAL) S ON ( T.V PROCESS ID = S.V PROCESS ID AND T.V TRANSITION ID = S.V TRANSITION ID AND T.V LOCALE CODE = S.V LOCALE CODE ) WHEN MATCHED THEN UPDATE SET T.V TRANSITION NAME = S.V TRANSITION NAME, T.V TRANSITION DESC = S.V TRANSITION DESC WHEN NOT MATCHED THEN INSERT (V\_PROCESS\_ID, V\_TRANSITION\_ID, V\_TRANSITION\_NAME, V\_TRANSITION\_DESC, V\_LOCALE\_CODE) VALUES (S.V PROCESS ID, S.V TRANSITION ID, S.V TRANSITION NAME, S.V TRANSITION DESC, S.V LOCA LE CODE) / MERGE INTO AAI WF TRANSITION TL T USING ( SELECT 'KYC ONBOARDING' V PROCESS ID, '1569914849735' V TRANSITION ID,

'Job\_1569914762385\_Job\_1569914839756' V\_TRANSITION\_NAME, '' V\_TRANSITION\_DESC, 'en US' V LOCALE CODE FROM DUAL) S

ON ( T.V\_PROCESS\_ID = S.V\_PROCESS\_ID AND T.V\_TRANSITION\_ID = S.V\_TRANSITION\_ID AND T.V\_LOCALE\_CODE = S.V\_LOCALE\_CODE ) WHEN MATCHED THEN UPDATE SET T.V\_TRANSITION\_NAME = S.V\_TRANSITION\_NAME, T.V\_TRANSITION\_DESC = S.V\_TRANSITION\_DESC WHEN NOT MATCHED THEN INSERT (V\_PROCESS\_ID,V\_TRANSITION\_ID,V\_TRANSITION\_NAME,V\_TRANSITION\_DESC,V\_LOCALE\_CODE) VALUES (S.V\_PROCESS\_ID,S.V\_TRANSITION\_ID,S.V\_TRANSITION\_NAME,S.V\_TRANSITION\_DESC,S.V\_LOCA LE\_CODE)

/

delete from AAI\_WF\_TRANSITION\_B where v\_process\_id='KYC\_ONBOARDING' and V\_TRANSITION\_ID in ('1612765003317','1612765856141','1612765986197','1612766020389'); delete from AAI\_WF\_TRANSITION\_TL where v\_process\_id='KYC\_ONBOARDING' and V\_TRANSITION\_ID in ('1612765003317','1612765856141','1612765986197','1612766020389');

commit;

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