

# **Oracle Financial Services Know Your Customer**

## **Administration Guide**

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**ORACLE**  
Financial Services

## OFS Know Your Customer Administration Guide

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# Document Control

Table 1: Document Control

Version Number	Revision Date	Change Log
8.1.1.0.0	July 2021	Added a section for configuring the relationship type for primary customers in the <i>KYC Onboarding</i> section.
8.0.8.0.0	October 2019	<ul style="list-style-type: none"><li>• Added a new web service, Questionnaire Response Service URL, in the Configuring the Onboarding Service Parameters section in Chapter KYC Onboarding.</li><li>• Removed the Configuring the Common Gateway Service Parameters section in Chapter KYC Onboarding.</li><li>• Removed the DIM_RA_PRIORITY Excel in Chapter Maintenance Activities and Configuring Setup Parameters (KYC Batch).</li></ul>

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# 1 About This Guide

This guide provides information related to risk assessments being performed on a customer to adhere to the norms of Oracle Financial Services Know Your Customer (KYC). It also covers different risk models with the parameters considered for assessing the risk a customer poses to a financial institution.

## Topics:

- [Intended Audience](#)
- [Access to Oracle Support](#)
- [How this Guide is Organized](#)
- [Where to Find More Information](#)
- [Conventions Used in This Guide](#)

## 1.1 Intended Audience

The Know Your Customer Risk Assessment Guide is designed for a variety of Oracle Financial Services KYC users. Their roles and responsibilities, as they operate within the Oracle Financial Services KYC application, include the following:

- **Business Analyst:** A user in this role analyses and disposes the risk assessments. This user understands how risk assessments are calculated and which risk score attributes contribute to the risk score. This user can also manually promote the risk assessments to a case and review the KYC Cases if KYC is integrated with Enterprise Case Management. A Business Analyst guides the Administrator to fine-tune the parameters required for risk assessments.
- **KYC Administrator:** This user is a manager for data center activities and application administration activities in a financial institution. This user has access to configuration functionalities and is responsible for configuring the required details for the KYC process to execute. This user also has in-depth knowledge of all modules of KYC to perform the necessary administration and maintenance.

## 1.2 Access to Oracle Support

Oracle customers have access to electronic support through [My Oracle Support \(MOS\)](#). For information, visit <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=info>

Or visit <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=trs> if you are hearing-impaired.

## 1.3 How this Guide is Organized

The Oracle Financial Services Know Your Customer 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 process and its components.
- [Getting Started](#) explains common elements of the interface, includes instructions on how to configure your system, access Know Your Customer, and exit the application.



- [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.
- [Integration with Enterprise Case Management](#) explains the configurations that must be performed in the Enterprise Case Management (ECM) UI.
- [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-based assessments, rule-based assessments, and accelerated rereview parameters.
- [APPENDIX A KYC Batches](#) provides information on the KYC batches.
- [APPENDIX B Creating Highlights](#) provides information on how to create highlights for risk assessments.
- [APPENDIX C Configuration Steps for Customer Screening Delta Updates](#) provides information on the configuration steps.

## 1.4 Where to Find More Information

For more information about Oracle Financial Services Know Your Customer, see the following Know Your Customer application documents, which can be found on the [Oracle Help Center](#) page:

- Know Your Customer Risk Assessment Guide
- Data Interface Specification (DIS) Guide
- Data Model Reference (DMR) Guide
- Service Guide
- API Data Elements Guide
- Utilities Guide
- Enterprise Case Management User Guide

To find additional information about how Oracle Financial Services solves real business problems, see our website at [Oracle for Financial Services home page](#).

## 1.5 Conventions Used in This Guide

The following table mentions the conventions used in this guide.

**Table 2: Conventions Used**

Conventions	Meaning
<i>Italics</i>	Names of books as references Emphasis Substitute input values

Conventions	Meaning
<b>Bold</b>	Menu names, field names, options, button names Commands typed at a prompt User input
Monospace	Directories and subdirectories File names and extensions Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<a href="#">Hyperlink</a>	Hyperlink type indicates the links to external websites, internal document links to sections.
Asterisk (*)	Mandatory fields in User Interface
<Variable>	Substitute input value

## 2 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](#)

### 2.1 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:

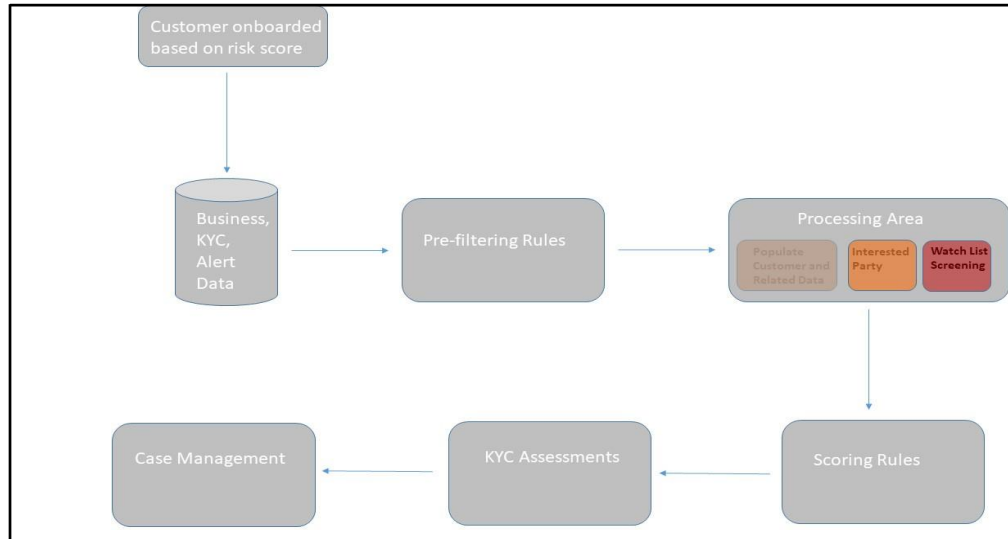
- Onboarding
- Deployment Initiation
- Real Time Account on Boarding
- Account on Boarding or Default Review
- Rereview

The Oracle KYC risk assessment application is built using the OFS AAI framework. The application functions are divided into 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

### 2.2 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. The 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.

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 customers who are due for review depending on these rules.

3. The processing area contains the data of all customers for whom the prefiltering rules apply and for whom risk scoring needs to be done.
4. 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.
5. 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.
6. A risk assessment is considered for a promotion to a case under the following conditions:
  - The customer's 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.

## 3 Getting Started

This chapter provides step-by-step instructions 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](#)

### 3.1 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. Log in 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:

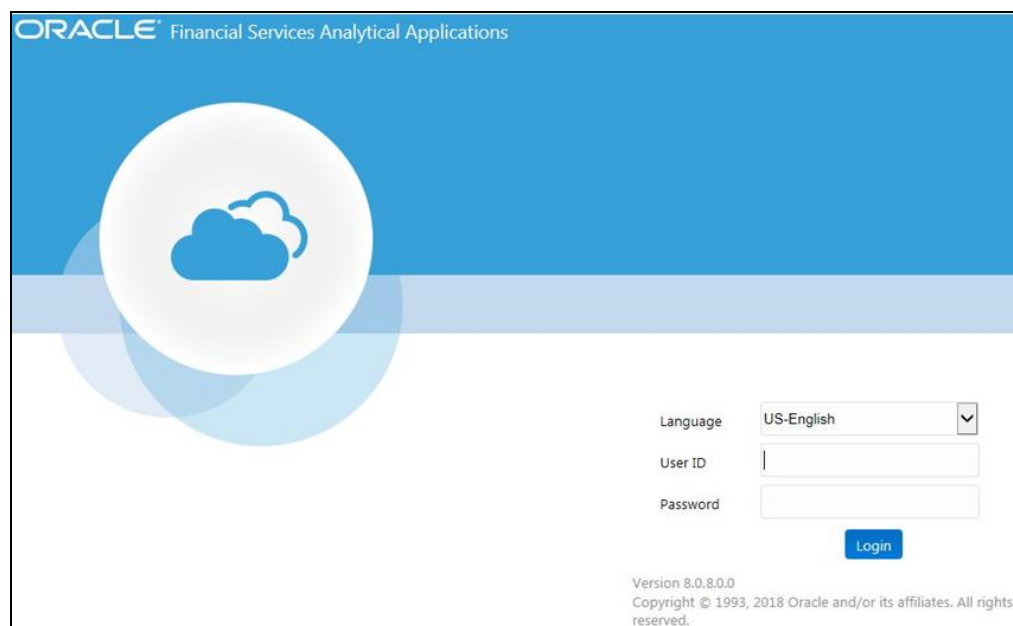
1. Enter the URL in your browser using the following format:

```
<scheme/ protocol>://<ip address/ hostname>:<port>/<context-name>/login.jsp
```

For example: <https://myserver:9080/ofsaapp/login.jsp>

The OFSAA Login page is displayed.

**Figure 2: OFSAA Login page**



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.

## 3.2 Managing OFSAA Application Page

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

- [Behavior Detection - KYC Tab](#)
- [Common Tasks Tab](#)

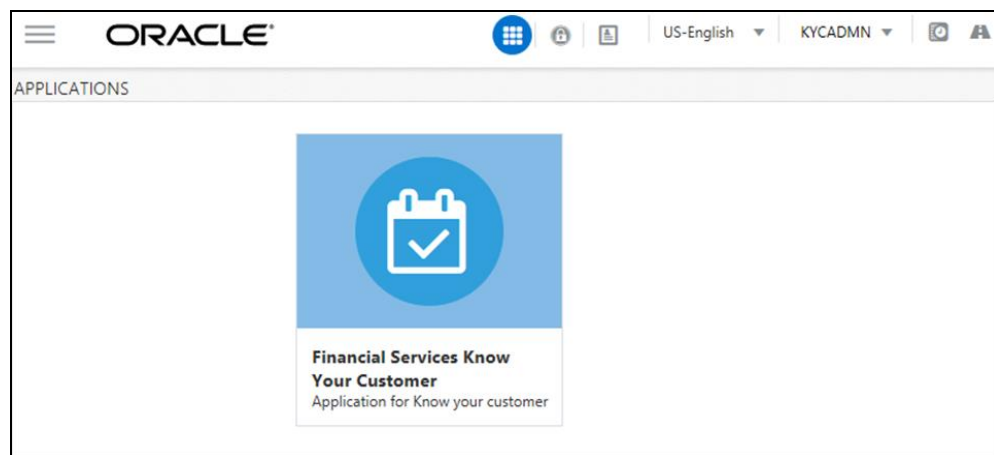
### 3.2.1 Behavior Detection - KYC Tab

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:

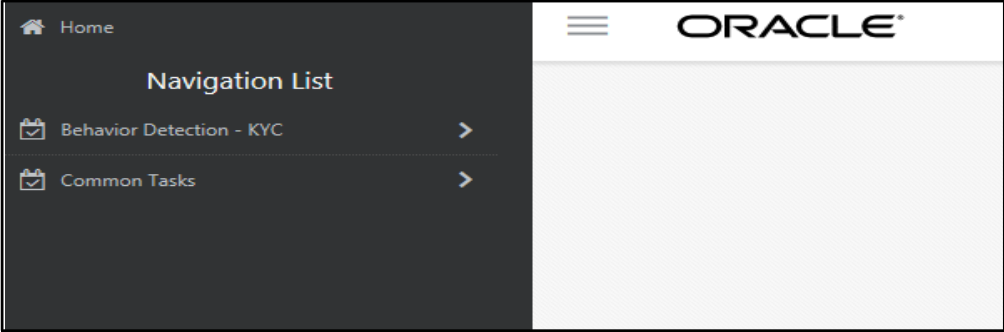
1. Click the  icon.

**Figure 3: Oracle Financial Services Analytical Applications Know Your Customer Landing Page**



2. Click **Behavior Detection - KYC**.

Figure 4: Behavior Detection – KYC Link



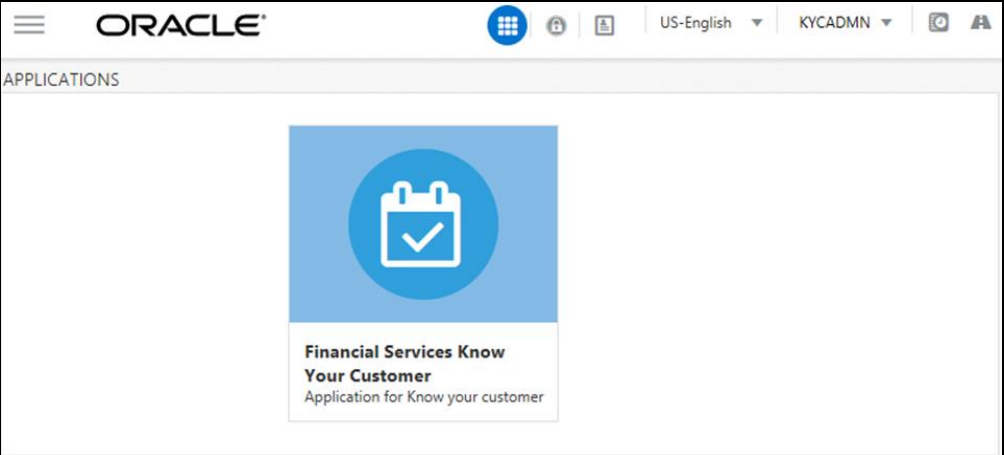
### 3.2.2 Common Tasks Tab

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:

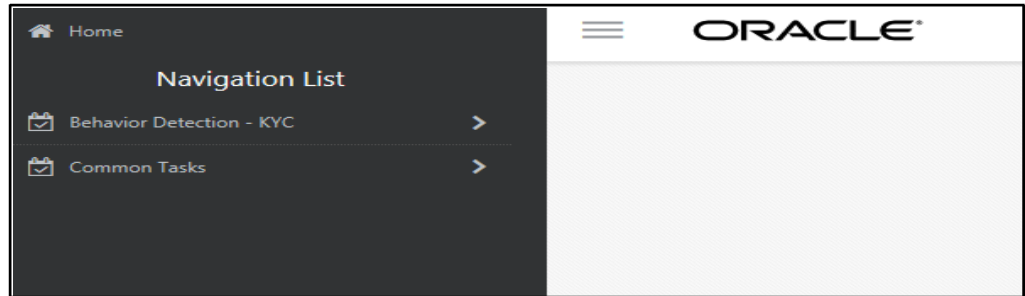
1. Click the  icon.

Figure 5: Oracle Financial Services Analytical Applications Know Your Customer Landing Page



2. Click **Common Tasks**.



**Figure 6: Common Tasks**

## 3.3 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.

This section covers the following topics:

- [Enabling JavaScript](#)
- [Enabling Cookies](#)
- [Enabling Temporary Internet Files](#)
- [Enabling File Downloads](#)
- [Setting Printing Options](#)
- [Enabling the Pop-Up Blocker](#)
- [Setting Preferences](#)

### 3.3.1 Enabling JavaScript

This section describes how to enable JavaScript.

To enable JavaScript, follow these steps:

1. Navigate to the **Tools** menu.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. Click the **Security** tab and then click **Local Intranet**.
4. Click **Custom Level**. The **Security Settings** dialog box is displayed.
5. In the **Settings** list and under the **Scripting** setting, select **all options**.
6. Click **OK**, then click **OK** again to exit the **Internet Options** dialog box.

### 3.3.2 Enabling Cookies

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

### 3.3.3 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.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. On the **General** tab, click **Settings**. The **Settings** dialog box is displayed.
4. Click **Every visit to the page**.
5. Click **OK**, then click **OK** again to exit the **Internet Options** dialog box.

### 3.3.4 Enabling File Downloads

This section describes how to enable file downloads.

To enable file downloads, follow these steps:

1. Navigate to the **Tools** menu.
2. Click **Internet Options**. The **Internet Options** dialog box is displayed.
3. Click the **Security** tab and then click **Local Intranet**.
4. Click **Custom Level**. The **Security Settings** dialog box is displayed.
5. Under the **Downloads** section, ensure that **Enable** is selected for all options.
6. Click **OK**, then click **OK** again to exit the **Internet Options** dialog box.

### 3.3.5 Setting Printing Options

This section explains how to enable printing background colors and images.

To enable this option, follow these steps:

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

#### NOTE

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

### 3.3.6 Enabling the Pop-Up Blocker

You may have trouble 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** menu.

To enable the Pop-up Blocker, follow these steps:

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

### 3.3.7 Setting Preferences

Use the Preferences section to enable you to set your OFSAA home page.

To access this section, follow these steps:

1. In the **Financial Services Analytical Applications Transactions Filtering** landing page, select **Preferences** from the username drop-down list. The **Preferences** page is displayed.

**Figure 7: Preferences Page**

Property Name	Property Value
Set My Home Page	Default Screen ▼
Date Format	-- Select -- ▼

Save Cancel

2. In the **Set My Home Page** drop-down list, select the window that you want to view when you log in.  
 When a new application is installed, the related window for that application is found in the drop-down list.
3. In the **Date Format** drop-down list, select the date format that you want to see. The options available are dd/MM/yyyy or M/dd/yyyy.
4. Click **Save** to save your preferences.

## 4 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](#)
- [Removing Security Attributes](#)

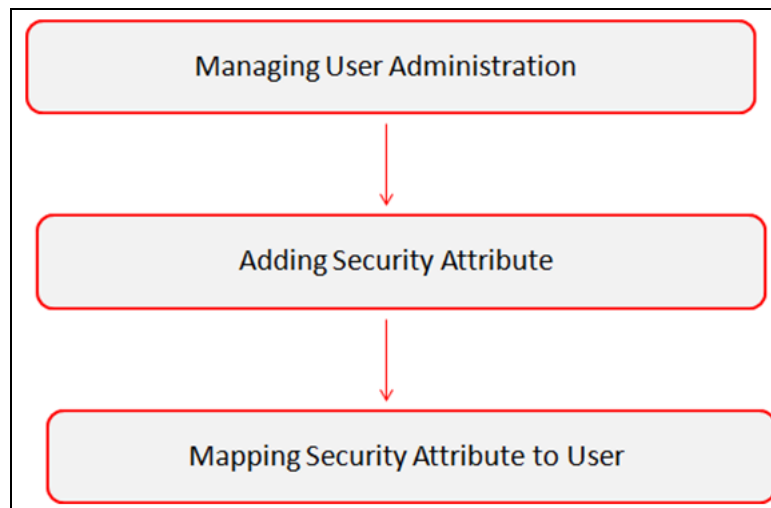
### 4.1 About User Administration

User administration involves creating and managing users and providing access rights based on their roles.

### 4.2 User Provisioning Process Flow

The following image shows the process flow for user provisioning:

**Figure 8: 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
<a href="#">Managing User Administration</a>	Create users and map users to user groups. This allows Administrators to provide access, monitor, and administer users.
<a href="#">Adding Security Attributes</a>	Load security attributes. Security attributes are loaded using either Excel or SQL scripts.
<a href="#">Mapping Security Attributes to Users</a>	Map security attributes to users. This is done to determine which security attributes control the user's access rights.

## 4.2.1 Managing User Administration

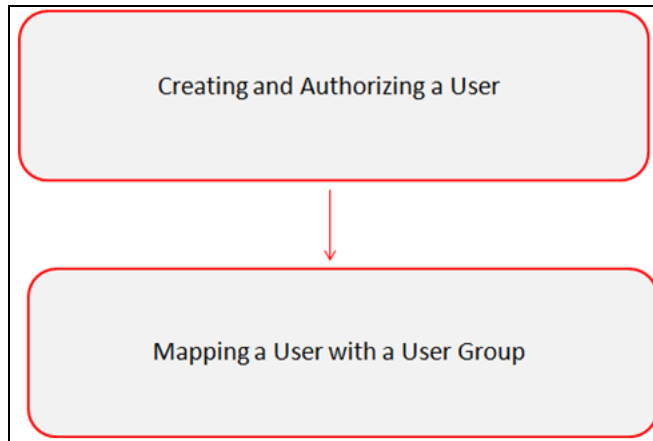
This section allows you to create, map, and authorize users defining a security framework that restricts access to the KYC application.

### 4.2.1.1 Managing Identity and Authorization

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

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

**Figure 9: Managing Identity and Authorization Process Flow**



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

**Table 4: Administration Process Flow**

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

#### 4.2.1.1.1 Creating and Authorizing a User

The sysadm 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.

#### 4.2.1.1.2 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	<ul style="list-style-type: none"> <li>KYC Administrator User Group</li> <li>OB KYC Administrator Group</li> <li>IPEADMN</li> </ul>
KYC Investigator User	<ul style="list-style-type: none"> <li>KYC Investigator User Group</li> <li>OB KYC Investigator Group</li> </ul>

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

**Table 6: KYC Roles and User Groups**

Role	User Group
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.

## 4.3 Adding Security Attributes

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

### 4.3.1 About Security Attributes

Security Attributes are those attributes which help an organization classify their users based on their geographical location, jurisdiction, and business domain 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 attributes are 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. You can customize this attribute.

### 4.3.2 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](#)

#### 4.3.2.1 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 the following table.

**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 an SQL script similar to the following sample script:

```
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.

### 4.3.2.2 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 shown in the following table:

**Table 8: KDD\_BUS\_DMN Table Attributes**

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.

**NOTE** The `KDD_BUS_DMN` table already contains predefined business domains for the Oracle client.



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

```
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:
4. update KDD\_CENTRICITY set bus\_dmn\_st = 'a' where KDD\_CENTRICITY.CNTRY\_TYPE\_CD = 'SC'

### 4.3.2.3 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 shown in the following table:

**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 following sample script:

```
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;
```

### 4.3.2.4 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 shown in the following table:

**Table 10: KDD\_SCNRO\_GRP\_MEMBERSHIP Table Attributes**

Column Name	Description
SCNRO_ID	Scenario Identifier

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 following sample script:

```
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') ;
```

### 4.3.2.5 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 shown in the following table:

**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 a child. 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. This must reference a user in the Investigation Owner table ( <code>KDD_REVIEW_OWNER.OWNER_SEQ_ID</code> ).
COMMENT_TX	Additional remarks added by the user.

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

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

## 4.4 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. Log in 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. In the **Administration** menu, select the **User Administration** sub-menu, and click **Security Attribute Administration**. The **Security Attribute Administration** page is displayed.
4. Select the user type from the **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.

5. To view the Onboarding users, map the Onboarding role to the OB KYC Administrator group.

**Figure 10: Map User Types to Users**

The screenshot shows the breadcrumb navigation: Administration >> User Administration >> Security Attribute Administration. Below the breadcrumbs, there are two dropdown menus. The first is labeled 'Choose User Type:' and has 'User' selected. The second is labeled 'Choose User:' and is currently empty.

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

**Figure 11: Security Attribute Administration Page**

Administration >> User Administration >> Security Attribute Administration

Choose User Type:  Choose User:

User/Pool: POOL  
 Line Organization:   
 Parent Organization: --  
 Own Case Flag:   
 Own Alert Flag:   
 Email Address: --  
 Jurisdiction:

**Jurisdiction (2)** | Remove

Jurisdiction Code	Jurisdiction Name
<input type="checkbox"/> AMEA	AMEA
<input type="checkbox"/> DOM	DOM

Business Domain:

**Business Domain (7)** | Remove

Business Domain Code	Business Domain Name	Business Domain Description
<input type="checkbox"/> a	GEN	General
<input type="checkbox"/> b	INST	Institutional Broker Dealer
<input type="checkbox"/> c	RB/PC	Retail Brokerage/Private Client
<input type="checkbox"/> d	RET	Retail Banking
<input type="checkbox"/> e	C/WS	Corporate/Wholesale Banking

Scenario Group:

**Scenario Group (13)** | Expand All | Remove

Scenario Class Code	Scenario Class Name
<input type="checkbox"/> AM	Asset Management
<input type="checkbox"/> CR	Control Room
<input type="checkbox"/> ET	Employee Trading
<input type="checkbox"/> FR	Fraud
<input type="checkbox"/> IA	Investment Advisor

Case Type Subtype:

**Case Type Subtype (11)** | Expand All | Remove

Case Type Subtype Code	Case Type Subtype Name
<input type="checkbox"/> FR_ON	Access/Online Fraud
<input type="checkbox"/> FR_AC	Account and Product Fraud
<input type="checkbox"/> AML_SURV	AML Surveillance
<input type="checkbox"/> AML_DD	Enhanced Due Diligence
<input type="checkbox"/> AML_TER	Terrorist Financing

Correlation Rule:

**Correlation Rule (0)** | Remove

Save Cancel

**NOTE**

- 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 becomes inactive.

**Table 12: Security Attributes**

Column Name	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 an alert flag from the drop-down list.  The Own Alert and Case flag is required for taking ownership of the alerts and cases. If an alert user must perform a <b>Promote To Case</b> action, then the user must be mapped to any one of the following user groups: Case Supervisor Case Analyst1 Case Analyst2
PRNT_ORG_CD	Parent organization of which this organization is a child. 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. This must reference a user in the Investigation Owner table (KDD_REVIEW_OWNER.OWNER_SEQ_ID).
COMMENT_TX	Additional remarks added by the user.
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 the 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 the Jurisdictions section after you save your selection.

Column Name	Description
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 the 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 the 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 the correlation section after you save your selection.

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

## 4.5 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 checkboxes 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 record?
3. Click **OK**. The selected record is deleted from the list.
4. Click **Save**. The changes are updated.

---

## 5 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](#)

### 5.1 Prerequisite

The OFS BD application pack must be installed. For information on pack installation, see the *Obtaining Software* section in the [Oracle Financial Services Behavior Detection Application Pack Installation Guide](#).

### 5.2 Maintenance and Configuration Activities

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

- [Initial or One-time Activities](#)
- [Daily Activities](#)

#### 5.2.1 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 the 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 Assessments](#)
- [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](#)

### 5.2.1.1 Managing Users

Users need to be created in KYC for KYC-related processing. For information on the users that need to be created, see [Mapping a User with a User Group](#). For information on how to create users, see [Managing User Administration and Security Configuration](#).

### 5.2.1.2 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 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 is 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\_ACCT\_CUST\_ROLE\_TYPE: Ensure that the value in the F\_CONTROLLING\_ROLE column is Y 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 excel through the UI. All column values must be according to the data types and expected character length. Refer to 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 \(KYC Batch\)](#).

### 5.2.1.3 Moving the Country Data in the 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;
```

#### 5.2.1.4 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 workflow 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 \(KYC Batch\)](#).

#### 5.2.1.5 Configuring Application Installation Parameters

The Application Installation Parameters contain information about installation-specific parameters that do not vary with the jurisdiction. This table has only one set of parameters for an installation. You can modify the values in the UI. For more information, see [Adding Risk Parameters and Rules \(KYC Batch\)](#).

#### 5.2.1.6 Configuring Rule Based Risk Values

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

#### 5.2.1.7 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 which it is associated with 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 \(KYC Batch\)](#).

#### 5.2.1.8 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 \(KYC Batch\)](#).

#### 5.2.1.9 Configuring Scores for Values in KYC Risk Assessments

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.

### 5.2.1.10 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 on 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_trnltn set code_val='', code_disp_tx = ''
where code_val = '' and code_set='';
```

### 5.2.1.11 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 the `appln_install_params` table 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\_URL:** Replace the placeholders for <PROTOCOL>, <HOST\_NAME>, <PORT> and <OFSAA\_DOMAIN> in the `v_attribute1_value` field with the appropriate values.
- **RAOR\_URL:** 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 is available in an SQL file post-installation. Depending on the setup, the appropriate link must be executed.

### 5.2.1.12 Scheduling KYC Batches

After the installation is complete, the user must log in 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 page 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 the 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	<p>The Processing of the batch is in the following sequence:</p> <ul style="list-style-type: none"> <li>• Deployment Initiation Processing - For processing the Existing customers.</li> <li>• Regular Processing - For daily processing.</li> <li>• EOD Processing (Feedback Processing) - For processing after the entire regular processing batch is complete.</li> </ul> <p>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.</p> <p>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.</p>

**5.2.1.13 Listing Holidays in the OFS AAI Administration User Interface**

Use the OFS AAI Administration UI to set up and maintain the holiday list for the financial institution. To access the holiday calendar, from the **Administration** menu, select **Security Management**, then select **System Administrator**, and then select **Holiday Maintenance**.

**5.2.1.14 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.

### 5.2.1.15 Partitioning IPE Tables

Partitioning of IPE tables is done 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) ,
N_EVAL_VERSION          NUMBER(22) DEFAULT 0 ,
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) ,
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_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)
    )
    );

```

2. To create and drop partition tasks as part of Regular Processing Batch, follow these steps:
  - a. Open the IPEKYCRun in edit mode, click **Selector** drop-down, and select **Job**.
  - b. On the LHS of the pop-up, look for KYC\_IPE\_TABLE\_CREATE\_PARTITION under Processes and move that component to RHS.
  - c. Select the KYC\_IPE\_TABLE\_CREATE\_PARTITION component check box in the RHS and move it up to make it the first task.
  - d. On the LHS of the pop-up, look for KYC\_IPE\_DROP\_PARTITION under Processes and move that component to RHS.

- e. Select the `KYC_IPE_DROP_PARTITION` component check box in the RHS and move it down to make it the last task.
  - f. Click **Ok** to close the pop-up.
  - g. Click **Save**.
  - h. Click **Run**.
3. To Create and Drop partition tasks as part of the Deployment Initiation Batch, follow these steps:
- a. Open the `IPEKYCRunDI` run in edit mode, click **Selector** drop-down, and select **Job**.
  - b. On the LHS of the pop-up, look for `KYC_IPE_TABLE_CREATE_PARTITION` under `Processes` and move that component to RHS.
  - c. Select the `KYC_IPE_TABLE_CREATE_PARTITION` component metadata in the RHS and move it up to make it the first task.
  - d. On the LHS of the pop-up, look for `KYC_IPE_DROP_PARTITION` under **Processes** and move that component to RHS.
  - e. Select the `KYC_IPE_DROP_PARTITION` component check box in the RHS and move it down to make it the last task.
  - f. Click **Ok** to close the pop-up.
  - g. Click **Save**.
  - h. Click **Run**.

### 5.2.1.16 Daily Activities

These are maintenance activities that must be done daily. 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](#)

#### 5.2.1.16.1 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 lookback period is set to x days, where x is configurable. The account range for the regular processing parameter can be modified from the **Application Parameters** UI page under the **KYC Administration** option by the KYC Administrator.

#### 5.2.1.16.2 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 as the alerts behavior. The accelerated review processing is executed, along with default or account opening review, after the alert generation is complete.

### 5.2.1.16.3 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 the `V_ATTRIBUTE1_VALUE` table.
- 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.

### 5.2.1.16.4 Feedback or Application EOD Processing

During the execution of the regular processing batches, the risk scores at customer levels are sent to 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 customers whose review is completed.

## 6 Integration with Enterprise Case Management

KYC is integrated with ECM to perform the following tasks:

- Investigate KYC events
- Promote KYC events to cases
- Close the cases
- Edit the KYC risk scores
- Execute the batches
- View the customer dashboard

### 6.1 Configurations in the ECM UI:

You must make the following configurations in the ECM UI. For more information, see the *Managing KYC Configurations* section in the [Oracle Financial Services Enterprise Case Management Administration and Configuration 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 Username and Password for the Common Gateway Service](#)
- [Updating the Username and Password for the Create JSON Service](#)
- [Updating the Username and Password for the KYC Risk Score UI Service](#)
- [Updating the Username and Password for the JSON To Table Service](#)

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

To update the URL, follow these steps:

1. Log in 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 KYC Rest Service URL with the BD Application URL till the context name in the **Attribute 1** value field. For example:  
`<PROTOCOL>://<HOSTNAME>:<PORT>/<CONTEXT_NAME>/restapi/kycrest/AutoCloseService`.
6. Click **Save** to update the details in the database.

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

To update the URL, follow these steps:

1. Log in 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.

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

To update the URL, follow these steps:

1. Log in 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 till the context name in the **Attribute 4** value field. For example:  
<PROTOCOL:/HOSTNAME:PORT/CONTEXT\_NAME>
6. Click **Save** to update the details in the database.

#### NOTE

To know how to manually promote KYC risk assessments to cases, see the *Manual Promotion of KYC Risk Assessments to Cases* section in the [Oracle Financial Services Know Your Customer Risk Assessment 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

### 6.1.4 Updating the Username and Password for the Common Gateway Service

To update the username and password, follow these steps:

1. Navigate to **Case Management Configuration > Manage Common Parameters**.
2. In the **Parameter Category** field, select **Deployment Based**.
3. In the **Parameter Name** field, select **Common Gateway Deployment**.
4. 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 username 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** page 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.

### 6.1.5 Updating the Username and Password for the Create JSON Service

To update the username and password, follow these steps:

1. Log in 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 username 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** page 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 username 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
/
```

## 6.1.6 Updating the Username and Password for the KYC Risk Score UI Service

To update the username and password, follow these steps:

1. Log in 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 username 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** page 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.

## 6.1.7 Updating the Username and Password for the JSON To Table Service

To update the username 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
/
```

## 7 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.
- A prerequisite for KYC batches is to run ingestion first.

### 7.1 About KYC Batches

KYC batches are run using the following 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 day processing are IPEKYCRunDI, IPEKYCRun, and IPEKYCEODDI.

### 7.2 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 the length of the relationship of the customer and this is configurable.

#### NOTE

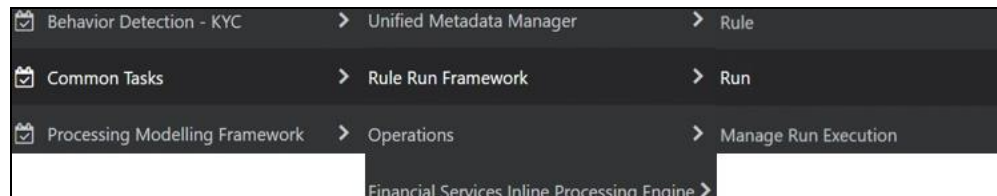
All the above criteria for processing can be done separately or by combining them. Refer to the `KYC_DEPLOYMNT_INIT_WF` parameter under the application parameter.

## 7.2.1 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.
2. Click **Common Tasks > Rule Run Framework > Run**.

Figure 12: Run Page



3. In the **Run** screen, select the `IPEKYCRunDI` code and then click **Edit**.
4. Click **Selector > Job**.
5. In the List section, expand **Processes > FCCMSEGMNT** and double-click the `KYC_PopulateBeneficialOwner` task. The task moves to the **Tasks** section.
6. Move the `KYC_PopulateBeneficialOwner` process to below the `KYC_DI_Interested_Party:SD` process and above the `KYC_DI_Watchlist_Scan` process.
7. Click **Ok**.
8. Resave the run and trigger a fresh run. This ensures that the changes are saved and displayed.

## 7.2.2 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.

### 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:	<input type="text" value="1"/>	Comments:	<input type="text"/>
-------------------	------------	--------------------------	----------------------------------------------------------	--------------------	--------------------------------	-----------	----------------------

- e. Click **Save** to save the changes.

This action updates the Interested Party Level.

## 7.3 End of Day Processing

This topic covers the following sections:

- [Feedback to the Oracle Financial Services Behavior Detection Framework or Account Opening System](#)
- [Renaming and Transferring Feedback files](#)

### 7.3.1 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 as of processing day)
- 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 the Unified Metadata Data Integrator.

### 7.3.1.1 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.

**Table 14: CBS Feedback**

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

### 7.3.1.2 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

SL No.	Business Name	Data Type
4	Watch List Entry Description Text	String
5	Risk Assessment Closed Date	Date
6	Next Re-review Date	Date

### 7.3.1.3 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.

**Table 16: Risk Assessment Feedback**

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



### 7.3.1.4 Customer - Risk Assessment History

The KYC application captures the history of all the risk assessments created on all the customers within 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.

### 7.3.2 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 `appln_install_params` table.

The Oracle Financial Services KYC application is also responsible for sharing Account, Customer, and Watch List feedback to the 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:

- Moves the files to a different location on the same server.
- Renames the files with the extension defined.
- Maintain a copy of the extract in the history directory with its original name.

The utility covers the following extracts in KYC 2.0:

- `GenCustDetails_ED<YYYYMMDD>`
- `GenWLSFeedback_ED<YYYYMMDD>`

## 7.4 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](#)
- [Closure Updates](#)
- [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)

### 7.4.1 Prefilter Rules

These rules comprise of accelerated re-review, periodic review, and new accounts.

### 7.4.2 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

#### 7.4.2.1 Rule-based Risk Assessment

Rule-based assessment calculates a risk score based on client configurable rules. The 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 the 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 the 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 workflow 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 the *Examples of Derivation of Risk Score* appendix in the [Oracle Financial Services Know Your Customer Risk Assessment Guide](#).

#### 7.4.2.2 Algorithm-based Risk Assessment

The algorithm-based assessment model calculates the risk of customers based on different parameters that 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.

### 7.4.3 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 a 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.

### 7.4.4 Promote to Case

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

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.

## 7.5 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. Log in 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.
5. Click  to expand the page.
6. Select the batch that you want to run and click **Fire Run**. The **Fire Run** page is displayed.

Figure 13: Run Page

Run Search  Reset

Code  Version

Name  Active

Folder  Type

**+ New**

<input type="checkbox"/>	Code	Name	Type	Folder	Version	Active
<input type="checkbox"/>	IPEKYCEODDI	IPEKYCEODDI	Base Run	FCCMSEGMNT	0	Yes
<input type="checkbox"/>	IPEKYCRun	IPEKYCRun	Base Run	FCCMSEGMNT	0	Yes
<input type="checkbox"/>	IPEKYCRunDI	IPEKYCRunDI:SD	Base Run	FCCMSEGMNT	0	Yes

Page  of 1 (1-15 of 3 items)

Records Per Page

- On the **Fire Run** page, provide the required values.

**Figure 14: Run Page Fields**

Run Definition

Name IPEKYCEODDI

Request Type

Execution Mode

Batch

Wait

Others

Parameters

Filters

- Click **OK**.

## 7.6 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 task.

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


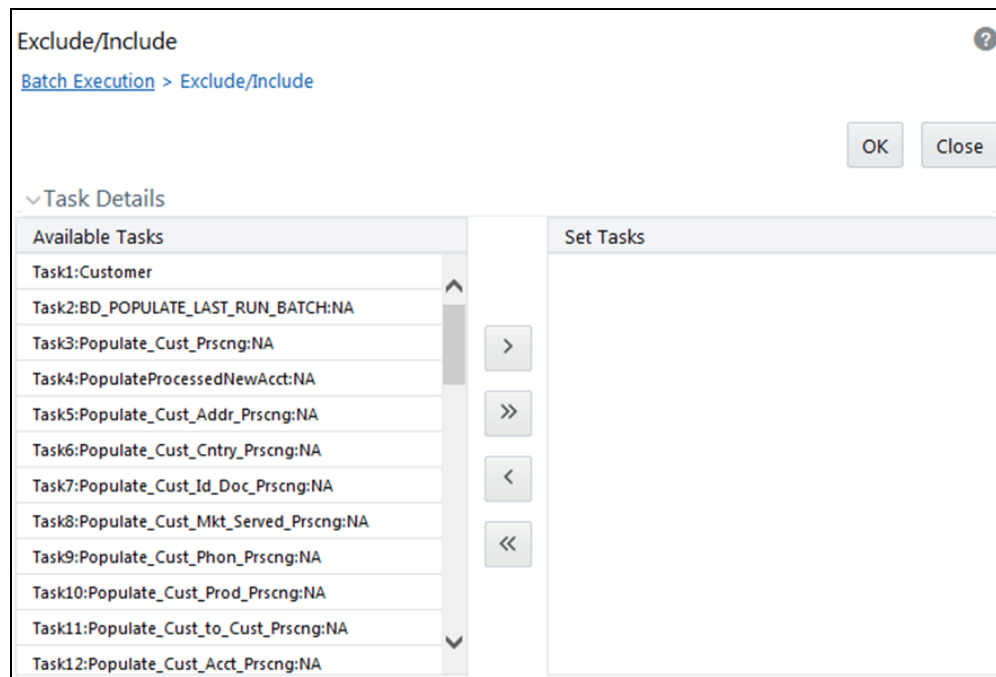
1. Log in as the KYC Administrator. The KYC application home page is displayed.
2. Click **Common Tasks**.
3. Click **Operations**.
4. Click **Batch Execution**. The **Batch Execution** page is displayed.
5. From the **Batch Details** section, select the batch that you want to execute.
6. From the **Task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

Figure 15: Task Mapping Window



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**.

## 7.7 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 an Adhoc Batch](#)
- [KYC Batch Execution Logs](#)

## 7.7.1 Scheduling a Batch Once

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

1. Log in 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.

**Figure 16: Batch Scheduler Page**

The screenshot shows the 'Batch Scheduler' interface. At the top, there are search filters for 'Batch ID Like' (containing 'INFOFCCM11'), 'Batch Description Like', 'Module' (a dropdown menu), and 'Last Modification Date' (with 'Between' and 'And' options and calendar icons). A 'Refresh' button is on the right. Below the filters, the 'Current Server Time' is displayed as '25/04/2018 15:12:50'. A section titled 'Batch Name' contains a table with three rows, each with a checkbox, a 'Batch ID', and a 'Batch Description'. The table is paginated to show 'Page 1 of 1 (1-3 of 3 items)' and 'Records Per Page 15'. At the bottom right, there are 'Save' and 'Cancel' buttons.

Batch ID	Batch Description
INFOFCCM11_1524479149689	AutoRun_1469444745341_Description
INFOFCCM11_1524479356237	AutoRun_1469444745341_Description
INFOFCCM11_1524479623424	AutoRun_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 scheduled time of the batch by specifying the Start Date and the Run-Time.

**Figure 17: Batch Scheduler Filter Fields**

The screenshot shows the 'Batch Scheduler' interface. At the top, there are search and filter fields: 'Batch ID Like' (containing 'INFOFCCM11'), 'Batch Description Like', 'Module' (a dropdown menu), and 'Last Modification Date' (with 'Between' and 'And' operators and date pickers). A 'Refresh' button is on the right. Below this is a 'Server Time' section showing 'Current Server Time: 25/04/2018 15:12:50'. The main section is 'Batch Name', which contains a table with columns 'Batch ID' and 'Batch Description'. The table has three rows, with the first row selected (checkbox checked). Below the table is a pagination bar showing 'Page 1 of 1 (1-3 of 3 items)' and 'Records Per Page 15'. Underneath is the 'Batch Scheduler' section with 'Domain: INFOFCCM11' and 'Batch: INFOFCCM11\_1524479149689'. There are radio buttons for 'New Schedule' (selected) and 'Existing Schedule'. The 'New Schedule' section has a 'Schedule Name' field and radio buttons for 'Once', 'Daily', 'Weekly', 'Monthly', and 'Adhoc'. The 'Schedule Time' section has 'Dates' (with 'Start Date' and 'End Date' pickers), 'Run Time' (with '00 Hours' and '00 Minutes' fields), and 'Lag' (with '0 Days' field). 'Save' and 'Cancel' buttons are at the bottom right.

9. Click **Save**.

## 7.7.2 Scheduling a Daily Batch

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

1. Log in 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 scheduled time of the batch by specifying the Dates, Run Time, and Every information.
9. Click **Save**.

## 7.7.3 Scheduling a Weekly Batch

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

1. Log in 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 scheduled time of the batch by specifying the Dates, Run Time, Every, Working days of the Week information.
9. Click **Save**.


#### 7.7.4 Scheduling a Monthly Batch

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

1. Log in 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 scheduled time of the batch by specifying the Dates, Run Time, and Occurrence information.
9. Click **Save**.

#### 7.7.5 Scheduling an Adhoc Batch

To schedule an adhoc batch, follow these steps:

1. Log in 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.



10. Click **Save**.

## 7.7.6 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 rules. The following sections describe the types of tasks present in the batches.

### 7.7.6.1 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

### 7.7.6.2 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_Task  
23.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 `am_log_file` which is present in the path

<FIC\_HOME>/ficdb/log/

**Table 18: Shell script Transform data**

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.

### 7.7.6.3 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.

## 8 KYC Onboarding

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

- [Populating 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](#)

### 8.1 Populating Country Data in KDD\_CODE\_SET\_TRNLN Table

**NOTE**

Ignore this step if it is already performed during the user administration process.

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\_trnl table. To do this, run the following script:

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

### 8.2 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.

#### 8.2.1 Configuring the Onboarding Service Parameters

Use the Configure Service Parameters UI to configure the service URL, service username, 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 username and password must be updated for all services except the AAI Authorization Service and the Initiate OB URL.

**NOTE**

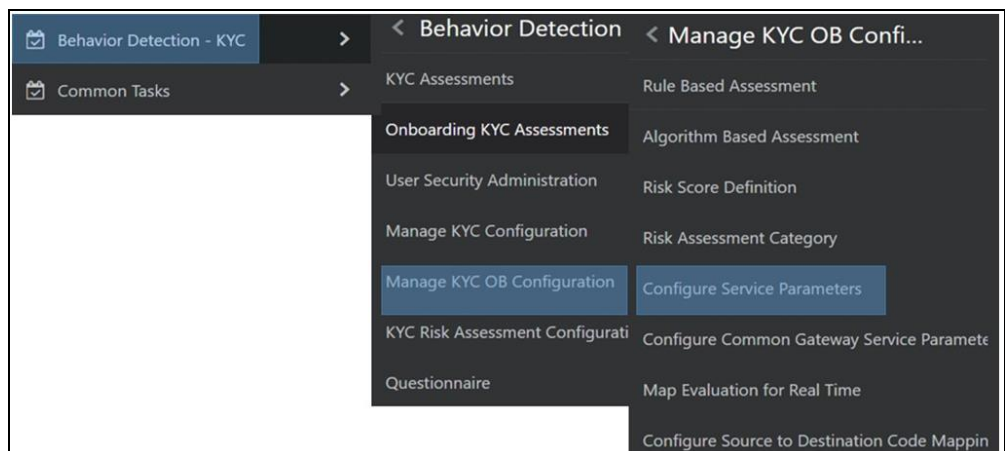
Ensure that all service usernames and service passwords provided are of valid OFSAA KYC Administrator users.

For the ECM Case Creation URL service, the service username 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**.

**Figure 18: Configure Service Parameters Menu**



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
- Questionnaire Response Service URL

### 8.2.1.1 Modifying the Web Service Parameter Details

To modify the parameters for a web service, refer to the following image.

#### NOTE

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

Figure 19: Web Service Parameters

Parameter Name	Parameter value
aa	56g

1. In the **Service Name** field, select the web service for which you want to edit the service parameters.
2. 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.
3. For the **ECM Case Creation URL** and **Questionnaire Response Service URL** services, update the service username in the **Service Username** field with a valid KYC Administrator username.
4. For the **ECM Case Creation URL** and **Questionnaire Response Service URL** services, update the service password in the **Service Password** field with a valid KYC Administrator password.
5. 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 three parameters are pre-populated and should be changed only if there is a change in these values post Installation.

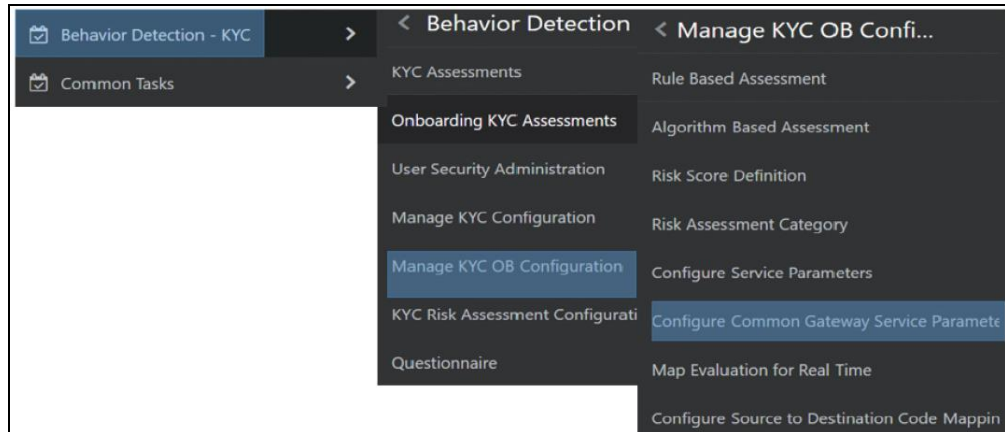
### 8.2.2 Configuring the Common Gateway Service Parameters

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**.

**Figure 20: Common Gateway Service Parameters Menu**



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

### 8.2.2.1 Modifying the Web Service Parameter Details

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

**Figure 21: Web Service Parameters**

- 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*, update the service username in the **Service Username** field with a valid KYC Administrator username.
- For any service apart from the *AAI Authorization 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.

## 8.3 Performing Assessments on Related Customers

**NOTE**

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

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

To view the UI, follow these steps:

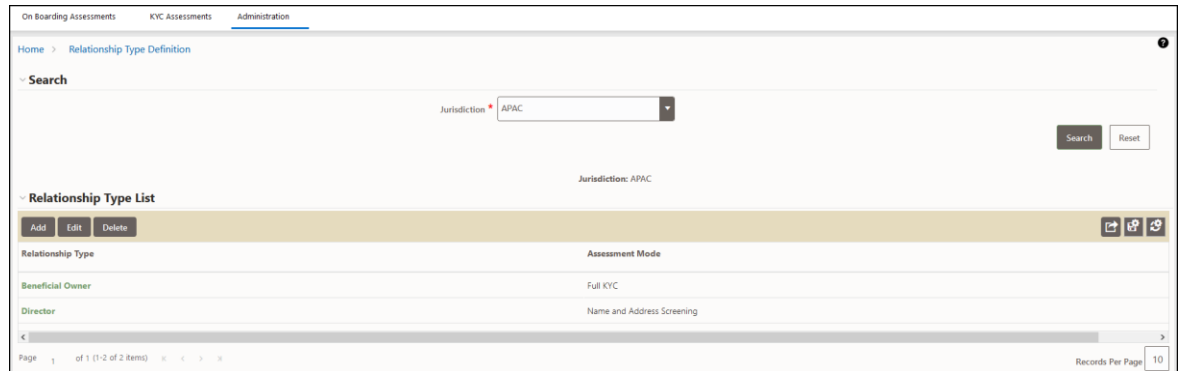
1. Log in to the KYC application as a KYC Administrator. For more information, see [Getting Started](#).
2. Click **Behavior Detection - KYC**. Select **Manage KYC OB Configuration** and click **Relationship Type Definition**.
3. The **Relationship Type Definition** UI is displayed. In the **Search** section, select the jurisdiction.
4. Based on the jurisdiction selected, the **Relationship Type List** displays all configured relationship types and their respective assessment modes.

**NOTE**

Assessment modes are configured in the `kdd_code_set_trnln` table, and `code_set` is the `KYCAssessmentMode`. `FULL_KYC` and `NAME_ADDR` are the code values defined for the code set.

- For Primary applicants, the default assessment mode is always `FULL_KYC`.
- For Related applicants, the default assessment mode is `NAME_ADDR` provided no configuration is defined for the relationship type in the Relationship Type Definition UI.

**Figure 22: Relationship Type Definition Page**



To add a new **Relationship Type**, follow these steps:

1. Click **Add** to add a new relationship type.
2. Provide the **Relationship Type** and **Assessment Mode** and click **Save**.

To change the **Assessment Mode** of a **Relationship Type**, follow these steps.

1. Click **Edit** to change the assessment mode.
2. Provide the new **Assessment Mode** and click **Save**.

To remove the **Relationship Type**, follow these steps:

1. Click **Delete** and click **Yes** in the dialog box which appears.

## 8.4 Excel Upload of Data

Excel upload is a process wherein the data for a particular table is uploaded into 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\_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.

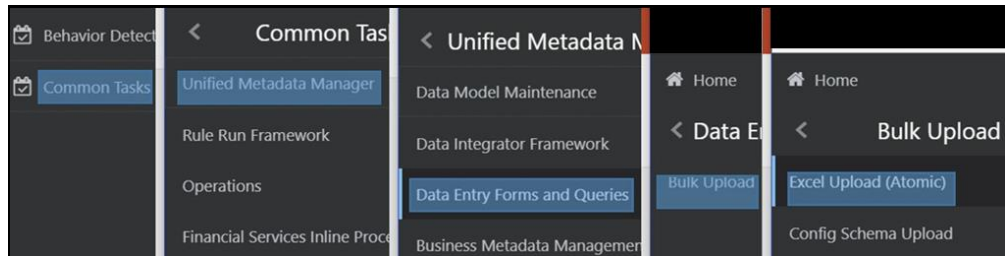
To view the Excel sheet, go to `FIC_HOME/ftpshare/STAGE/ExcelUpload/TEMPLATE`.



To upload the Excel sheet, follow these steps:

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)**.

**Figure 23: Excel Upload (Atomic) Menu**



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

**Figure 24: Excel Upload**

 A screenshot of the 'Excel Upload' form. The form has a white background and a dark header. It contains two main sections: 'Excel File to Upload' and 'Excel-Entity Mappings'. In the 'Excel File to Upload' section, there is a text input field labeled 'Excel File' with a 'Choose File' button and 'No file chosen' text, and a 'Sheet' dropdown menu. In the 'Excel-Entity Mappings' section, there is a 'Select Mapping' text input field with a right-pointing arrow button. At the bottom of the form, there are 'Upload' and 'View Log' buttons.

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**.

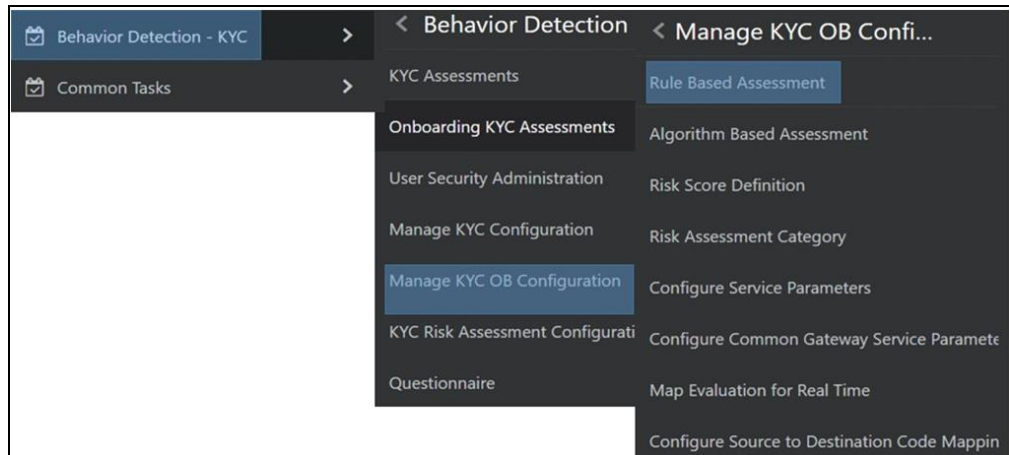
## **8.5 Adding Rule Values for Rule-based Risk Assessments**

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, follow these steps:

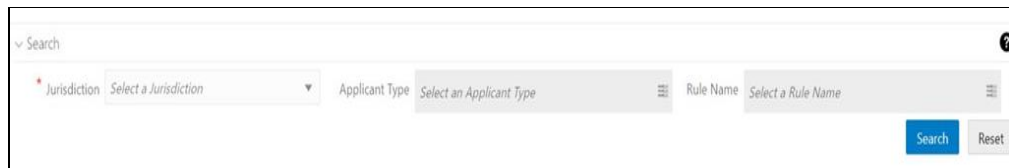
1. Log in to the KYC application. For more information, see [Getting Started](#).
2. Click **Behavior Detection - KYC > Manage KYC OB Configuration > Rule-Based Assessment**.

**Figure 25: Rule-Based Assessment Menu**



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

**Figure 26: Search Fields**



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.

**Figure 27: Rule Name List**

Rule Name List			Jurisdiction: APAC
<a href="#">View Rule Value List</a> <a href="#">Add Rule Values</a> <a href="#">Save</a>			
Applicant Type	Rule Name	Active	
Financial Institution	Watch List Risk	Y	

## 8.5.1 Adding a Rule

To add a rule, follow these steps:

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

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

To enable or disable the risk parameter, follows these steps:

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**.

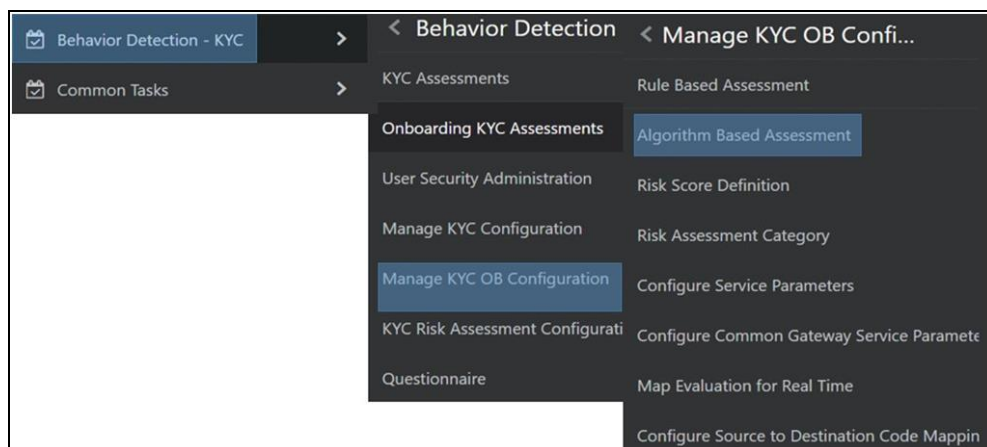
## 8.6 Modifying the Algorithm-based Risk Assessments

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, follow these steps:

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**.

Figure 28: Algorithm-Based Assessment Menu



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

**Figure 29: Search Fields**

3. Select the jurisdiction and applicant type of risk assessment.

**Figure 30: Risk Parameters List**

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

## 8.6.1 Modifying the Weight of the Risk Parameter

To modify the weight, follow these steps:

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.

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

To enable or disable the risk parameter, follows these steps:

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**.

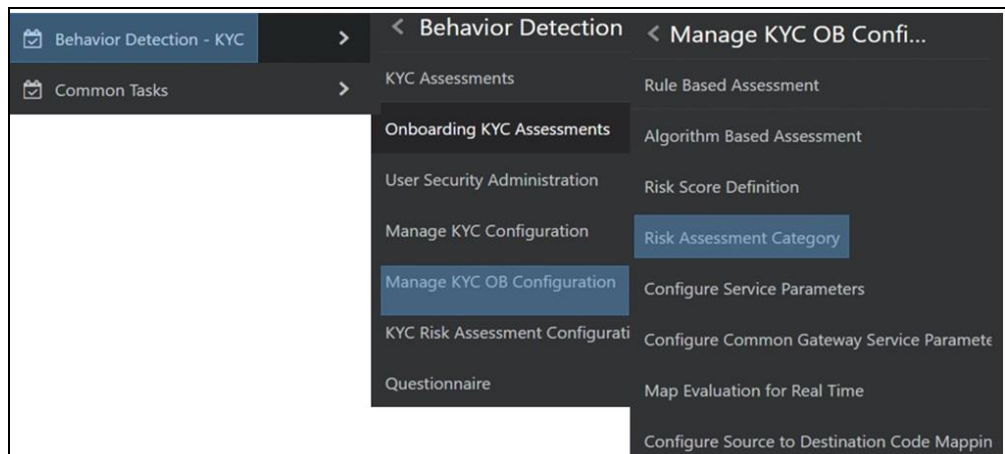
## 8.7 Modifying the Risk Scores and Viewing the Risk Categories

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, follow these steps:

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**.

**Figure 31: Risk Assessment Category Menu**



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

**Figure 32: Search Fields**

Select the jurisdiction and applicant type of risk assessment.

**Figure 33: Onboard Risk Category List**

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	VERY New	75	85	Y	Y
Financial Institution	VERY High	85	100	Y	Y

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

## 8.7.1 Modifying the Risk Scores

To modify the minimum and maximum risk scores, follow these steps:

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.

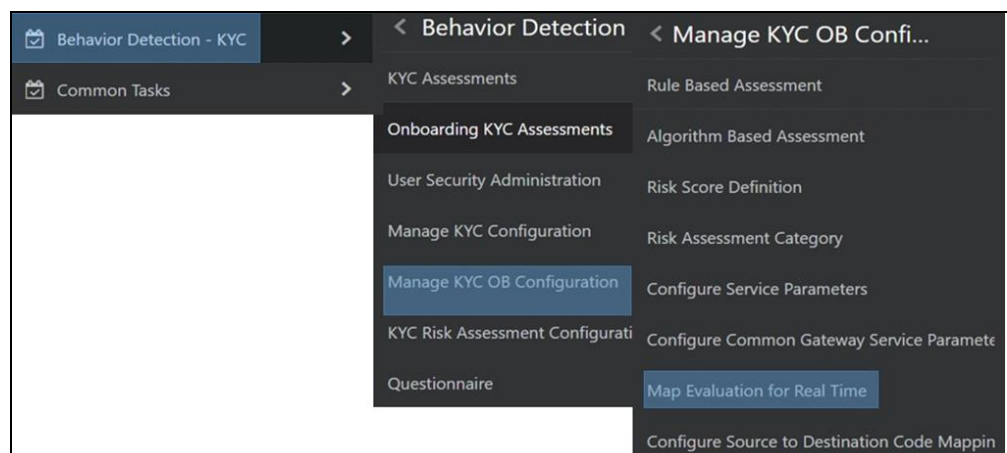
### 8.7.1.1 Mapping KYC Rules to Customer Evaluation Names

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, follow these steps:

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**

Figure 34: Map Evaluation for Real Time Menu



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

**Figure 35: Rule Based Assessment Section**

Rule Based Assessment	
<a href="#">Map Rule</a>	
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
Algorithm Based Assessment	
<a href="#">Map Parameter</a>	
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

## 8.7.2 Mapping Rules to Evaluations

To map the rules to their respective evaluation names, follow these steps:

**Figure 36: Map Rule to Evaluation**

Map Rule to Evaluation	
* Rule	Select a Rule
* Evaluation	Select an Evaluation
<input type="button" value="Save"/> <input type="button" value="Cancel"/>	

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

## 8.7.3 Mapping Parameters to Evaluations

To map the parameters to their respective evaluation names:

**Figure 37: Map Parameter to Evaluation**

Map Parameter to Evaluation	
* Parameter	Select a Parameter
* Evaluation	Select an Evaluation
<input type="button" value="Save"/> <input type="button" value="Cancel"/>	

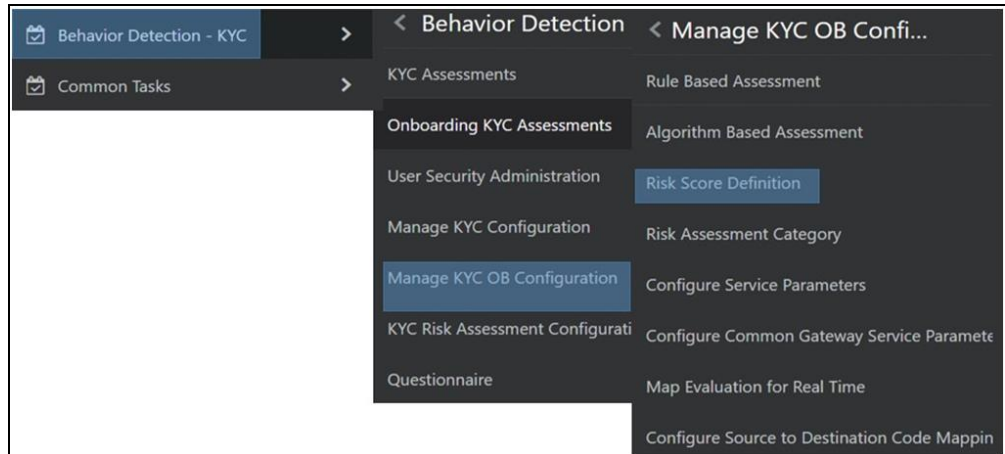
1. Click **Map Parameter**.
2. Select the parameter and the associated evaluation name which needs to be mapped to the parameter.
3. Click **Save**.

### 8.7.3.1 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, follow these steps:

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**.

Figure 38: Risk Score Definition Menu



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 applicant types appear only after you select a model type.
- The parameter/rule names appear only after you select an applicant type.

**Figure 39: Search Fields**

Search

Jurisdiction: APAC

Risk Scoring Model Type: Algorithm Based Assessment

Applicant Type: Individual

Parameter/Rule Name: On Boarding Risk Associated with So...

Search Reset

Risk Score for Parameter/Rule Value

Jurisdiction: APAC Model Type: Algorithm Based Assessment

Save Copy

Applicant Type	Parameter/Rule Name	Parameter Value	Risk Score
Individual	On Boarding Risk Associated with Source of Wealth	Alimony	0
Individual	On Boarding Risk Associated with Source of Wealth	Donation	0
Individual	On Boarding Risk Associated with Source of Wealth	Gambling	0

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 to 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."

## 8.7.4 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, follow these steps:

1. Click **Copy**.

**Figure 40: Copy Risk Scores**

Copy Risk Scores

Model Type: Algorithm Based Assessment

Applicant Type: Other Organization

Source Jurisdiction: DN of AMEA

Destination Jurisdiction: Select Jurisdictions

Parameter Name: On Boarding Geo Risk - Country of

Save Cancel

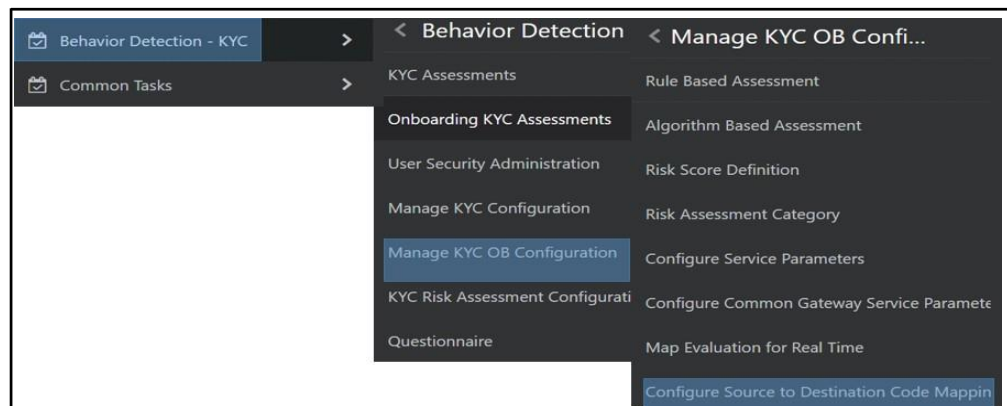
2. Select one or more jurisdictions. Only jurisdictions that have the same model type, applicant type, and parameter name as the source jurisdiction are shown.
3. Click **Save**.

## 8.8 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:

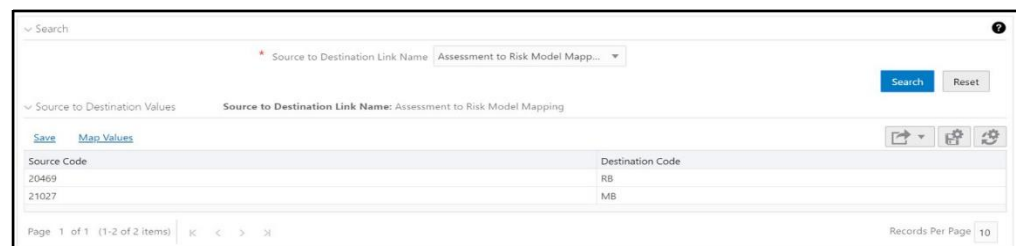
1. Log in to the KYC application. For more information, see [Getting Started](#).
2. Click **Behavior Detection - KYC > Manage KYC OB Configuration > Configure Source to Destination Code Mapping**.

**Figure 41: Configure Source to Destination Code Mapping Menu**




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

**Figure 42: Search Fields**



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

### 8.8.1 Downloading the Code Values

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

### 8.8.1.1 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**.
3. To refresh the UI, click **Reset**.

### 8.8.2 Adding New Code Values

To add new code values, follow these steps:

1. Click **Map Values**.

**Figure 43: Add New Source and Destination Code**



The screenshot shows a dialog box titled "Add New Source and Destination Code". It contains two input fields: "Source Code" and "Destination Code", both marked with a red asterisk. Below the fields are "Save" and "Cancel" buttons.

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

## 9 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](#)

### 9.1 Adding Risk Parameters for Algorithm-based Risk Assessments

Before you add risk parameters, you must perform the following actions:

- Prepare the metadata in the application. For more information, see [Maintenance Activities and Configuring Setup Parameters \(KYC Batch\)](#).
- 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 the [Oracle Financial Services Behavior Detection Installation Guide](#).

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


1. Navigate to the OFSAA login page.
2. On the KYC home page, click Behavior Detection - KYC.
3. Click the KYC Risk Assessment Configuration.
4. Click  to expand the page.
5. Click **Algorithm Based Risk Assessment**. The **Algorithm Based Risk Assessment** page appears.

Figure 44: Algorithm Based Risk Assessment Page



6. To add a new parameter, click **Add Parameter**. The **Add New Parameter** dialog box displays.

**Figure 45: Add New Parameter Fields**

The fields are described in the following table:

**Table 19: Add New Parameter Fields**

Field Name	Description
Jurisdiction	Select the jurisdiction that the parameter belongs to. All the jurisdictions that are available in the <code>kdd_jrsdcn</code> table display.
Model Type	Select the model type as <b>Algorithm-based Risk Assessment</b> .
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 <code>kdd_code_set_trnln</code> table display.
Customer Type	Select the customer type. Based on the customer type, the parameter is displayed in the Individual, Other Organization, or Financial Institution tabs.
Active Flag	Select <b>Yes</b> to enable the parameter for the current assessment. Select <b>No</b> to disable the parameter for the current assessment.
Range Flag	Select <b>Yes</b> to enable the parameter as <b>range-based</b> .
Consider For Reassessment	Select <b>Yes</b> to reassess the impacted customer. <b>NOTE:</b> If you select <b>Yes</b> , see the steps mentioned in <a href="#">Adding a Risk Parameter or Rule for Reassessments</a> .
Re-review Rule Name	Enter the value <code>APPLN_REREVIEW_PARAMS</code> .
Comments	Enter any comments related to the parameter.

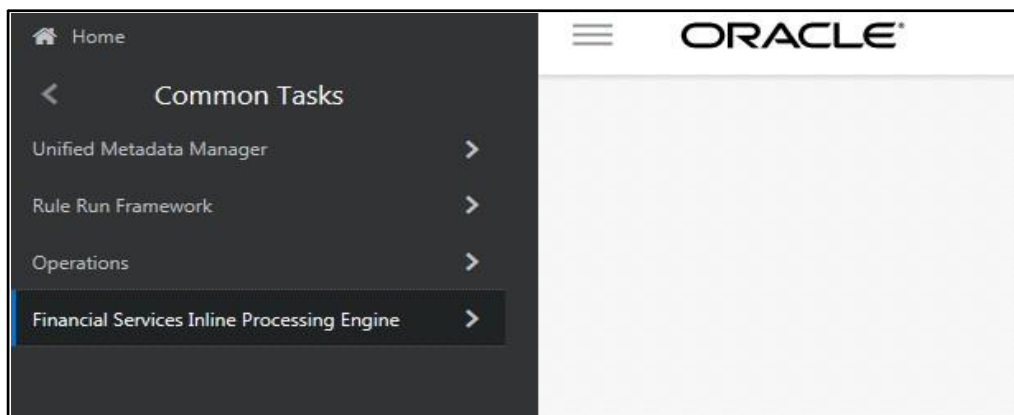
7. To save the parameter, click **Save**.

**NOTE**

- To close the dialog box, click Cancel. This refreshes the screen with the new parameter.
- 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.

8. On the KYC home page, click **Financial Services Inline Processing Engine** in the **Common Tasks** tab.

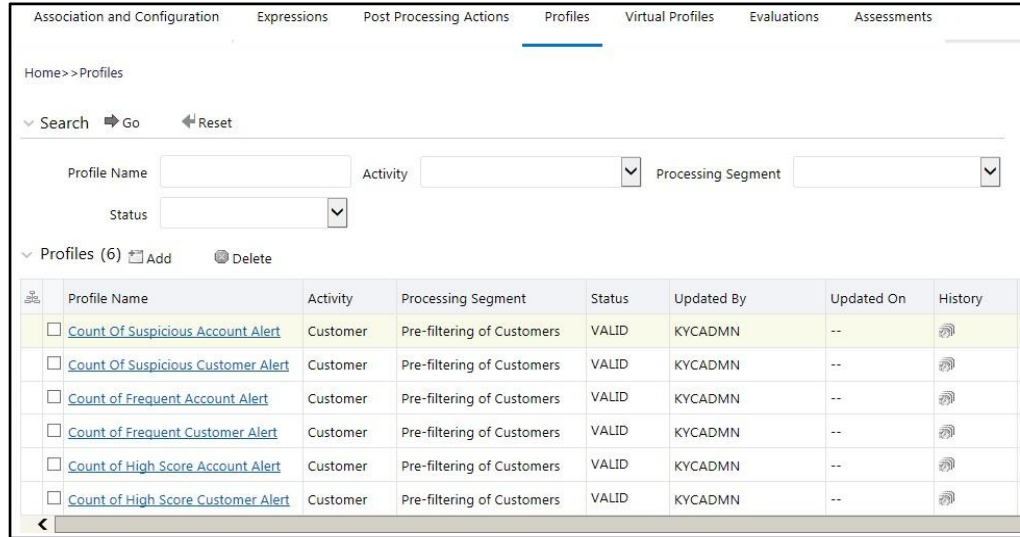
**Figure 46: Financial Services Inline Processing Engine Menu**



9. Click **Inline Processing**. The **Inline Processing** page is displayed.

The following window shows the **Profiles** menu. Profiles are an aggregation of information. Profiles can be based on different grouping entities (For example, account and customer) and can be filtered to only look at specific types of transactions. Profiles can also be based on time (last three months) or activity counts (last 100 transactions). For more information on Profiles, see the *Managing Profiles* chapter in the [Oracle Financial Services Inline Processing Engine User Guide](#).

**Figure 47: Inline Processing Menu**

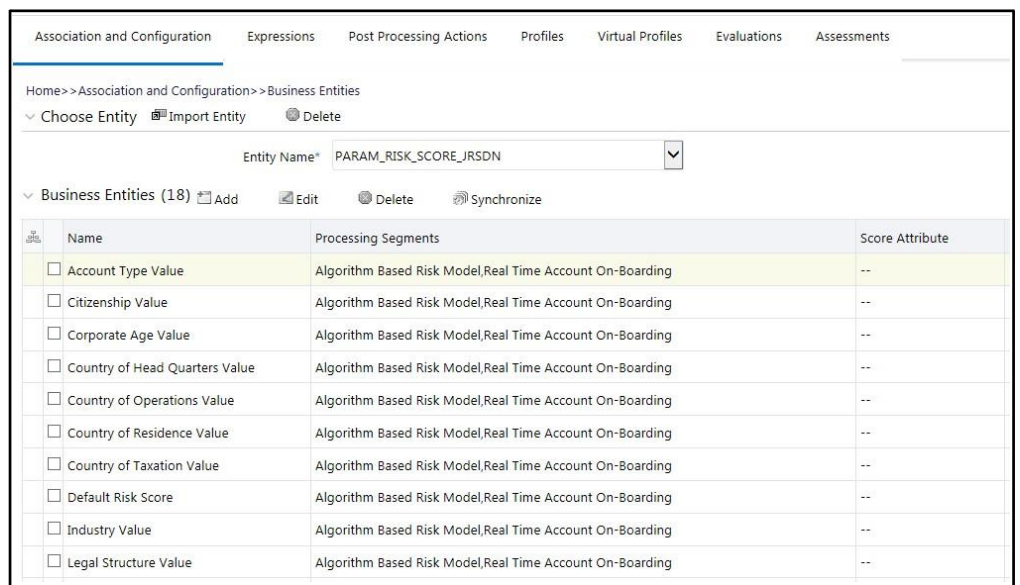


10. Add a business entity on top of the PARAM\_RISK\_SCORE\_JRSDN table in IPE. For example, Country of Birth. This is required because for every new risk parameter, you must indicate the source from where the risk score is derived or picked.

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.

**Figure 48: Association and Configuration Menu**



- 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.

**Figure 49: Parameter Fields**

- e. Click **Add**. The new parameter is added to the list of Business Entities on the **Business Entities** page.
11. 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. On the **Inline Datasets** page, click **Add**.
- 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**.

**Figure 50: Inline Datasets Page**

Inline Dataset Condition			
	Start	Operator	End
<input type="checkbox"/>	Attribute V_RISK_PARAM_CODE	=	Attribute V_PARAM_RULE_CODE
<input type="checkbox"/>	Attribute V_JRSDCN_CD	=	Attribute V_JRSDCN_CD



- 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 on the **Inline Datasets** page.

**NOTE** To view the results of the newly added values, use Search.

- 12. 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.
- 13. To add a traversal path, follow these steps:
  - a. Click the **Traversal Paths** sub-menu in the **Association and Configuration** menu.
  - b. On the **Traversal Paths** page, click **Add**.
  - 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**.

**Figure 51: Traversal Paths Page**

The screenshot shows the 'Traversal Path Details' form. The 'Traversal Path Name' is 'Customer Processing - Account Processing'. The 'Start Table' is 'Customer Processing' and the 'End Table' is 'Account Processing'. Below this is a table for 'Traversal Path Flow' with three entries:

Source Entity	Destination Entity	Sequence ID
Customer Processing	Algorithm Based Risk Scoring	1
Customer Processing	Customer Account Processing	2
Customer Account Processing	Account Processing	3

Buttons for 'Save' and 'Cancel' are at the bottom.

- 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 on the **Traversal Paths** page. For more information on the datasets and traversal paths used in KYC, see the *Association and Configuration* chapter in the [Oracle Financial Services Inline Processing Engine User Guide](#).

**NOTE**

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

14. 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 the Method of Account Opening.

To add an expression, follow these steps:

- a. Click the **Expressions** menu.
- b. On the **Expressions** page, click **Add**.
- c. For the first expression, enter a name for the expression and select the values as shown in the figure.

**Figure 52: Expressions Page – First Expression**

The screenshot shows the 'Expressions Page' interface. At the top, there are fields for 'Expression Name\*' (Country of birth) and 'Activity\*' (Customer Processing). Below these is the 'Processing Segment\*' dropdown menu, which is currently set to 'Algorithm Based Risk Model'. A toolbar below the dropdown includes 'Variables', 'Add', 'Delete', 'Apply Function to Group', 'Remove Function From Group', and 'Apply Function to Expression'. Below the toolbar is a table with columns: 'Group', 'Order', 'Operator', 'Business Property (Business Entity, Business Attribute)', 'Function', and 'Function Parameters'. Under the 'Variable' section, there is an 'Operator' dropdown, a 'Business Entity\*' dropdown (set to 'Algorithm Based Risk Scoring'), and a 'Business Attribute\*' dropdown (set to 'V\_RISK\_PARAM\_CODE'). At the bottom, there are two radio buttons: 'Add to Current Group' and 'Create 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.

**Figure 53: Expressions Page – Second Expression**

The screenshot shows a web interface for configuring an expression. At the top, there are fields for 'Expression Name\*' (Country of birth) and 'Activity\*' (Customer Processing). Below that is a 'Processing Segment\*' dropdown menu with 'Algorithm Based Risk Model' selected. A toolbar contains icons for 'Variables', 'Add', 'Delete', 'Apply Function To Group', 'Remove Function From Group', and 'Apply Function to Expression'. Below the toolbar is a 'Variable' section with tabs for 'Group', 'Order', 'Operator', 'Business Property (Business Entity, Business Attribute)', 'Function', and 'Function Parameters'. The 'Business Property' tab is active, showing 'Business Entity\*' as 'Method of Account Opening Value' and 'Business Attribute\*' as 'N\_RISK\_SCORE'. There are two radio buttons: 'Add to Current Group' (unselected) and 'Create New Group' (selected). At the bottom are 'Submit' and 'Close' buttons.

- 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.

**Figure 54: Expressions Page – Displayed Values**

The screenshot shows a web interface for configuring an expression. At the top, the 'Expression Name' is 'Method Of Account Opening - Weighed Score' and the 'Activity' is 'Customer Processing'. A dropdown menu for 'Processing Segment' is open, showing options: 'Algorithm Based Risk Model' (selected), 'Pre-filtering of Customers', 'Real Time Account On-Boarding', and 'Rule Based Risk Assessment Model'. Below this is a table with columns: Group, Order, Operator, Business Property (Business Entity, Business Attribute), Function, and Function Parameter. The table contains two rows: Row 1 has Group 1, Order 1, Operator (empty), Business Property 'Method of Account Opening Value : N\_RISK\_SCORE', Function 'Replace Null', and Function Parameter 'Default Risk Score for Missing Data'. Row 2 has Group 2, Order 1, Operator '\*', Business Property 'Algorithm Based Risk Scoring : N\_RISK\_PARAM\_WEIGHT', Function (empty), and Function Parameter (empty). Below the table is a 'Variable' section with fields for 'Operator', 'Business Entity', and 'Business Attribute', and radio buttons for 'Add to Current Group' and 'Create New Group'.

- j. Select the Group 1 radio button.
  - k. Click **Apply Function To Group**.
  - l. In the **Apply Function To Group** section, select the values according to the following figure and click **Save**.
  - 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**.
  - p. Click **Submit**. The new expression is added to the list of expressions on the **Expressions** page.
15. 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. On the Evaluations page, click Add.

**Figure 55: Evaluations Page**

Evaluation Name	Score	Activity	Processing Segment	Status	Updated By	Updated On	History
<input type="checkbox"/> Change In Risk Model - Account Type	10	Customer	Pre-filtering of Customer	VALID	KYCADMIN	09/13/2017 10:27:23	
<input type="checkbox"/> Change In Risk Model - Corporate Age	10	Customer	Pre-filtering of Customer	VALID	KYCADMIN	09/13/2017 10:27:25	
<input type="checkbox"/> Change In Risk Model - Country Of Head Quarters	10	Customer	Pre-filtering of Customer	VALID	KYCADMIN	09/13/2017 10:27:25	
<input type="checkbox"/> Change In Risk Model - Country Of Residence	10	Customer	Pre-filtering of Customer	VALID	KYCADMIN	09/13/2017 10:27:25	
<input type="checkbox"/> Change In Risk Model - Country Of Operation	10	Customer	Pre-filtering of Customer	VALID	KYCADMIN	09/13/2017 10:27:25	
<input type="checkbox"/> Change In Risk Model - Legal Structure And Owner	10	Customer	Pre-filtering of Customer	VALID	KYCADMIN	09/13/2017 10:27:25	
<input type="checkbox"/> Change In Risk Model - Length Of Relationship	10	Customer	Pre-filtering of Customer	VALID	KYCADMIN	09/13/2017 10:27:25	

- 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.

**Figure 56: Evaluation Details**

Name: Country of birth      Activity: Customer Processing      Processing Segment: Algorithm Based Risk Model  
 Join Type:  Inner  Left  
 Filters (0)     
 Evaluation Scoring  
 Score Type:  Fixed  Lookup  Expression  
 Associated Assessments (0)  
 Associated Profiles (0)  
 Associated Virtual Profiles (0)  
 Change Description

- 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**.

**Figure 57: Filter Details – First Expression**

Filter Name: ActiveFlag  
 Source Expression: Algorithm Based Risk Scoring - ActiveFlag  
 Operator: =      Comparator Type:  Expression  Literal Value

**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**:

**Figure 58: Filter Details – Second Expression**

The screenshot shows a 'Filter Details' window with the following fields:
 

- Filter Name\*: Parameter Code
- Source Expression\*: Algorithm Based Risk Scoring - Parameter
- Operator\*: =
- Literal Value: MB\_CCR\_MAO\_RSK
- Comparator Type\*:  Expression  Literal Value

**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. For information on how to create a highlight, see [APPENDIX B Creating Highlights](#).
  - j. Click **Save**.
16. Map the evaluation of 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:

**Table 20: Expected Values**


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

Parameter Name	Expected Value
V_TABLE_BUS_NM	Null
V_RISK_ASSMNT_MODEL	MB
N_ASSMT_ID	8000
V_APP_ID	OFS_KYC
V_EVAL_NM	<Name of the Evaluation>
V_ACTV_FL	Null

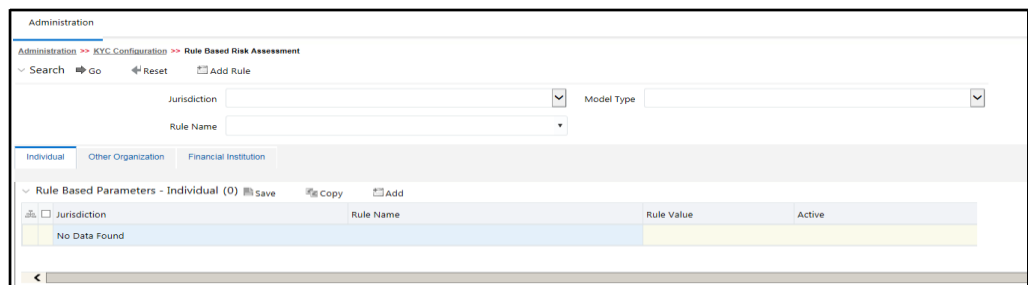
17. Click **Save**.

## 9.2 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. On the KYC home page, click **Behavior Detection - KYC**.
3. Click **KYC Risk Assessment Configuration**.
4. Click  to expand the page.
5. Click **Rule Based Risk Assessment**. The **Rule Based Risk Assessment** page appears.

**Figure 59: Rule Based Risk Assessment Page**



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

**Figure 60: Add a New Rule**

The fields are described in the following table:

**Table 21: Add New Rule Fields**

Field Name	Description
Jurisdiction	Select the jurisdiction that the parameter belongs to. All the jurisdictions that are available in the <code>kdd_jrsdcn</code> table display.
Model Type	Select the model type as <b>Algorithm-based Risk Assessment</b> .
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 <code>kdd_code_set_trnl</code> 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 <b>Yes</b> to enable the parameter for the current assessment. Select <b>No</b> to disable the parameter for the current assessment.
Range Flag	Select <b>Yes</b> to enable the length of the relationship for the current assessment. Select <b>No</b> to disable the length of the relationship for the current assessment.
Consider For Reassessment	Select <b>Yes</b> to whether the parameter is considered for reassessment or not. <b>NOTE:</b> If you select <b>Yes</b> , see the steps mentioned in <a href="#">Adding a Risk Parameter or Rule for Reassessments</a> .
Re-review Rule Name	Enter the value <code>APPLN_REREVIEW_PARAMS</code> .
Comments	Enter any comments related to the rule.

7. To save the rule, click **Save**.



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

8. 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.

9. To define a rule, follow these steps:
  - a. 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:
  - b. Click the Business Entities sub-menu in the Association and Configuration menu.
  - c. Select the Entity Name as `PARAM_RISK_SCORE_JRSDN`.

**Figure 61: Association and Configuration Menu**

Name	Processing Segments	Score Attribute
<input type="checkbox"/> Account Type Value	Algorithm Based Risk Model,Real Time Account On-Boarding	--
<input type="checkbox"/> Citizenship Value	Algorithm Based Risk Model,Real Time Account On-Boarding	--
<input type="checkbox"/> Corporate Age Value	Algorithm Based Risk Model,Real Time Account On-Boarding	--
<input type="checkbox"/> Country of Head Quarters Value	Algorithm Based Risk Model,Real Time Account On-Boarding	--
<input type="checkbox"/> Country of Operations Value	Algorithm Based Risk Model,Real Time Account On-Boarding	--
<input type="checkbox"/> Country of Residence Value	Algorithm Based Risk Model,Real Time Account On-Boarding	--
<input type="checkbox"/> Country of Taxation Value	Algorithm Based Risk Model,Real Time Account On-Boarding	--
<input type="checkbox"/> Default Risk Score	Algorithm Based Risk Model,Real Time Account On-Boarding	--
<input type="checkbox"/> Industry Value	Algorithm Based Risk Model,Real Time Account On-Boarding	--

10. Click **Add**.
11. 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.

**Figure 62: Filter Fields**

12. Click **Add**. The new parameter is added to the list of Business Entities on the Business Entities page.
13. 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. On the Inline Datasets page, click **Add**.
- 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 the Country of Birth. This is the new business entity that you have added [here](#).

**Figure 63: Inline Dataset Fields**

- 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 on the Inline Datasets page.

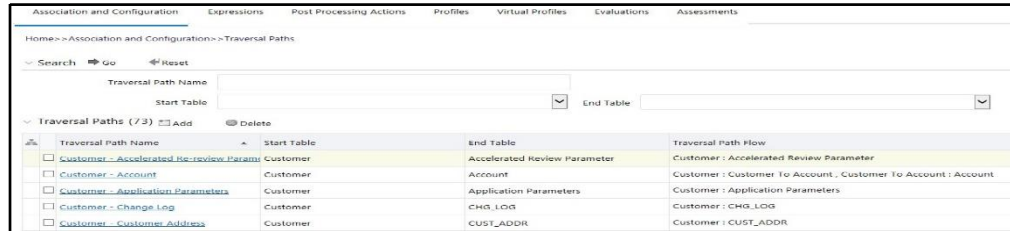
**NOTE** To view the results of the newly added values, use **Search**.

14. 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:

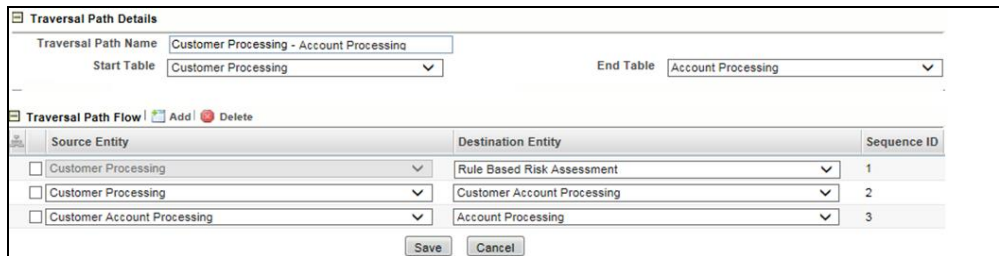
- a. Click the Traversal Paths sub-menu in the Association and Configuration menu.
- b. On the Traversal Paths page, click **Add**.

**Figure 64: Traversal Paths Fields**



- 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**.

**Figure 65: Traversal Path Details**



- 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 on the Traversal Paths page.
15. 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

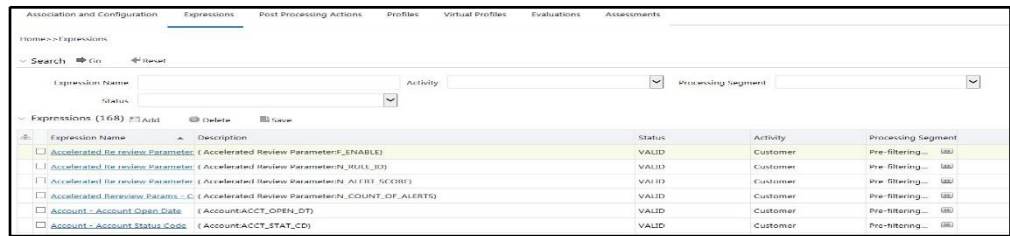
**NOTE**

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

To add an expression, follow these steps:

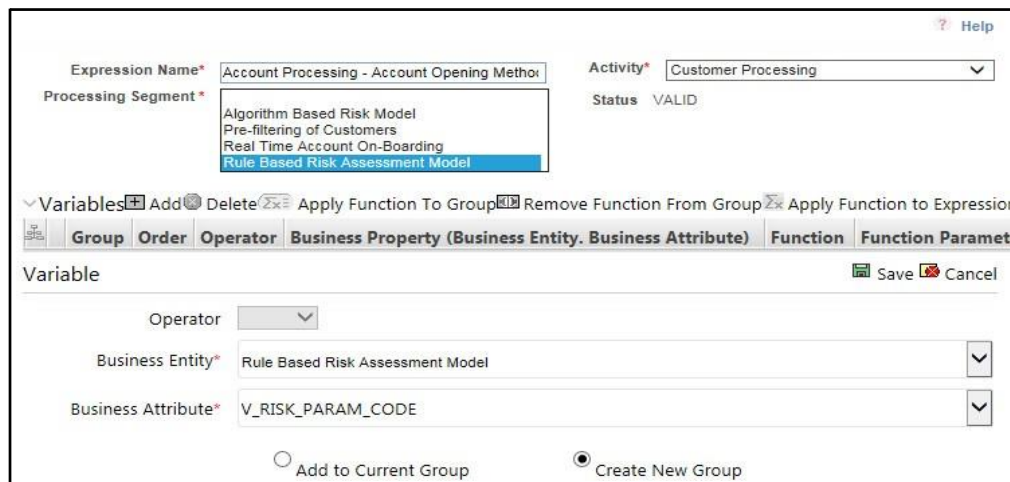
- a. Click the Expressions menu.
- b. On the Expressions page, click **Add**.

**Figure 66: Expressions Fields**



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

**Figure 67: Expressions Page – First Expression**



- 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.

Figure 68: Expressions Page – Second Expression

Expression Name\* Method Of Account Opening - Weighed Score Activity\* Customer Processing

Processing Segment\*

- Algorithm Based Risk Model
- Pre-filtering of Customers
- Real Time Account On-Boarding
- Rule Based Risk Assessment Model

Variables Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

Group	Order	Operator	Business Property (Business Entity, Business Attribute)	Function	Function Parameter
<input type="radio"/>	1		Method of Account Opening Value		
<input type="radio"/>	2	*	N_RISK_SCORE		

Variable Save Cancel

Operator

Business Entity\* Method of Account Opening Value

Business Attribute\* N\_RISK\_SCORE

Add to Current Group  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.

Figure 69: Expressions Page – Displayed Values

Expression Name\* Method Of Account Opening - Weighed Score Activity\* Customer Processing

Processing Segment\*

- Algorithm Based Risk Model
- Pre-filtering of Customers
- Real Time Account On-Boarding
- Rule Based Risk Assessment Model

Variables Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

Group	Order	Operator	Business Property (Business Entity, Business Attribute)	Function	Function Parameter
<input type="radio"/>	1		Method of Account Opening Value		N_RISK_SCORE
<input type="radio"/>	2	*	Algorithm Based Risk Scoring		N_RISK_PARAM_WEIGHT

Variable Save Cancel

Operator

Business Entity\*

Business Attribute\*

Add to Current Group  Create New Group

- j. Select the Group 1 radio button.
- k. Click **Apply Function To Group**.
- l. In the Apply Function To Group section, select the values according to the following figure and click **Save**.

**Figure 70: Expression Function**

Expression Name\* Method Of Account Opening - Weighed Score      Activity\* Customer Processing

Processing Segment \*

- Algorithm Based Risk Model
- Pre-filtering of Customers
- Real Time Account On-Boarding
- Rule Based Risk Assessment Model

Variables  Add  Delete  Apply Function To Group  Remove Function From Group  Apply Function to Expression

Group	Order	Operator	Business Property (Business Entity, Business Attribute)	Function	Function Parameter
<input checked="" type="radio"/> 1	1		Method of Account Opening Value : N_RISK_SCORE	Replace Null	Default Risk Score for Missing Data
<input type="radio"/> 2	1	*	Rule Based Risk Assessment : N_RISK_PARAM_WEIGHT		

Variable

Operator \*

Business Entity\* Rule Based Risk Assessment

Business Attribute\* N\_RISK\_PARAM\_WEIGHT

Add to Current Group       Create New Group

Apply Function To Group

Select Function Replace Null

Literal value to be applied

Literal Value       Expression

Default Risk Score for Missing Data

- 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**.

**Figure 71: Literal Value Function**

Expression Name\* Method Of Account Opening - Weighed Score Activity\* Customer Processing

Processing Segment\*

- Algorithm Based Risk Model
- Pre-filtering of Customers
- Real Time Account On-Boarding
- Rule Based Risk Assessment Model

Variables Add Delete Apply Function To Group Remove Function From Group Apply Function to Expression

Group	Order	Operator	Business Property (Business Entity, Business Attribute)	Function	Function Parameter
1	1		Method of Account Opening Value : N_RISK_SCORE	Replace Null	Default Risk Score for Missing Data
2	1	*	Rule Based Risk Assessment : N_RISK_PARAM_WEIGHT		

Variable Save Cancel

Operator \*

Business Entity\* Rule Based Risk Assessment

Business Attribute\* N\_RISK\_PARAM\_WEIGHT

Add to Current Group  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 on the **Expressions** page.

16. 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. On the Evaluations page, click **Add**.
- 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.

**Figure 72: Evaluation Details**

Evaluation Details Add Expression

Name\* 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\*  Fixed  Lookup  Expression

Associated Assessments (0)

Associated Profiles (0)

Associated Virtual Profiles (0)

Change Description

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**:

**Figure 73: Filter Details – First Filter**

**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**:

**Figure 74: Filter Details – First Filter**

**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**.
17. 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:



**Table 22: Expected Values**

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
N_ASSMT_ID	6684
V_APP_ID	OFS_KYC
V_EVAL_NM	<Name of the Evaluation>
V_ACTV_FL	Null
V_PARAM_RULE_CODE	<RULE CODE from APPL_RISK_RATING_PARAMS>
V_CUST_TYPE_CD	Null

18. Click Save.

### 9.2.1 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.
2. Add three filters to the evaluation:
  - a. 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.
  - b. 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.

- c. 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.
- 3. Map the new evaluation to the Change in Risk Model Assessment.

## 9.3 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. On 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.

**Figure 75: Administration Menu**



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

**Figure 76: Add a New Rule**

The fields are described in the following table:

**Table 23: Add a New Rule Fields**

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.

Field Name	Description
Count of Alerts	Enter the number of alerts. This indicates the number of alerts after which reassessment happens. Note: This field is applicable only for alert rereviews.
Asterisk (*)	Mandatory fields in User Interface
<Variable>	Substitute input value
Alert Score	Enter the alert score. This indicates the alert score threshold after which reassessment happens. Note: To know how to post external alerts, see <a href="#">OFS BD Administration Guide</a> .
Rule Score	Enter the rule score. This is the rule score for a specific parameter.
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.

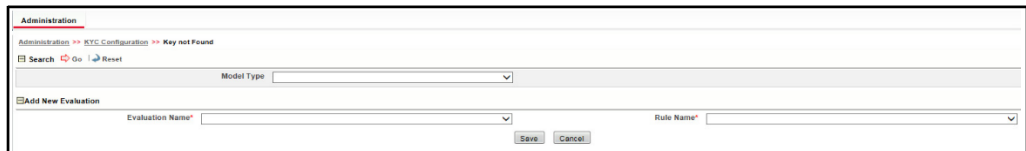
- To save the rule, click **Save**. To close the dialog box, click **Cancel**. This refreshes the screen with the new rule.

### 9.3.1.1 Mapping an Evaluation to an Assessment

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

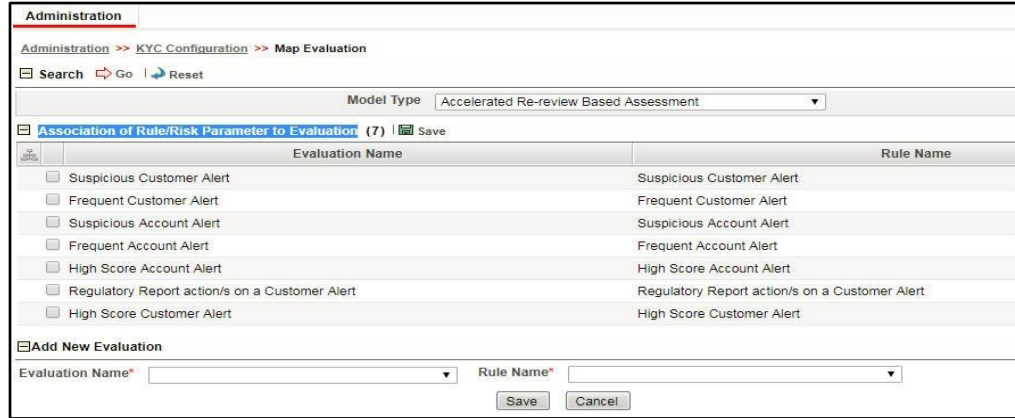
- On the KYC home page, click **KYC Risk Assessment Configuration**.
- Click **Association of Rule/Risk Parameter to Evaluation**. The **Map Evaluation** page is displayed.

Figure 77: Administration Menu



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

**Figure 78: Map Evaluation**



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

### 9.3.1.2 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.

**Figure 79: Administration Menu**



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

Figure 80: Risk Score for Parameter/Rule Value

Jurisdiction	Parameter/Rule Name	Parameter/Rule Value	Risk Score	Customer Type	Comments	Condition 3	Condition 3 Value
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	BA	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	CF	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	DZ	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	Default Score	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	EC	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	FR	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	GA	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	IE	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	IL	1	Individual			
<input type="checkbox"/> DN of AMEA	Geo Risk - Country of Citizenship	UK	1	Individual			
<input type="checkbox"/> 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.
- For Rule-based risk parameters, select Rule-Based Assessment as the risk scoring model type.

6. 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.

## 10 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.

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.

### 10.1 Regular Processing

The following table provides details about regular processing. 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`

**Table 24: Regular Processing**

Task ID	Rule Name (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 current batch that is being run.	TRANSFORM DATA	START
Task3	Populate_- Cust_Prcsng	This is a task that populates the prefiltered Customer Data into 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 system into the processing table when run.	TRANSFORM DATA	Task3
Task5	Populate_- Cust_Ad- dr_Prcsng	This is a task that populates the prefiltered Customer Data into 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 into the Cust_Cntry_Prcsng table when run.	LOAD DATA	Task3
Task7	Populate_- Cust_Id_Doc _Prcsng	This is a task that populates the prefiltered Customer Data into the Cust_Id_Doc_Prcsng table when run.	LOAD DATA	Task3
Task8	Populate_- Cust_Mkt_- Served_Prcs ng	This is a task that populates the pre-filtered Customer Data into 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 into 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 into the Cust_Product_Prcsng table when run.	LOAD DATA	Task3

Task ID	Rule Name (As configured)	Description	Component ID	Precedence
Task11	Populate_-Cust_to_-Cust_Prcsng	This is a task that populates the pre-filtered Customer Data into the Cust_Cust_Prcsng table when run.	LOAD DATA	Task3
Task12	Populate_-Cust_Acct_Prcsng	This is a task that populates the pre-filtered Customer Data into the Cust_Acct_Prcsng table when run.	LOAD DATA	Task3
Task13	Populate_Acct_Prcsng	This is a task that populates the pre-filtered Customer Data into the Acct_Prcsng table when run.	LOAD DATA	Task12
Task14	POPULATE_IP_KYC	This is a task that populates the Interested Party Customers and Accounts when they are run.	TRANSFORM DATA	Task10, Task11, Task12, Task13, Task3, Task4, Task5, Task6, Task7, Task8, Task9
Task15	t2t_PARTY_ADDRESS_PRCNG_IP	This is a task that populates the party address into the pricing table when run.	LOAD DATA	Task14
Task16	t2t_PARTY_DETAILS_PRCNG_IP	This is a task that populates the party details into the pricing table when run.	LOAD DATA	Task14
Task17	t2t_PARTY_ID_DOC_PRCNG_IP	This is a task that populates the party doc ID into the pricing table when run.	LOAD DATA	Task14
Task18	t2t_PARTY_PARTY_RLSHP_PRCNSG_BO	This is a task that populates the beneficial owner details into the PARTY_PARTY_RLSHP_PRCNSG_BO table when run.	LOAD DATA	Task14, Task15, Task16, Task17
Task19	t2t_PARTY_DETAILS_PRCNG_BO_INT	This is a task that populates the internal beneficial owner details into the PARTY_DETAILS_PRCNG_BO_INT table when run.	LOAD DATA	Task18
Task20	t2t_PARTY_DETAILS_PRCNG_BO_EXT	This is a task that populates the external beneficial owner details into the PARTY_DETAILS_PRCNG_BO_EXT table when run.	LOAD DATA	Task18



Task ID	Rule Name (As configured)	Description	Component ID	Precedence
Task21	t2t_PARTY_ADDRESS_PRCNG_BO_INT	This is a task that populates the internal beneficial owner details into the PARTY_ADDRESS_PRCNG_BO_INT table when run.	LOAD DATA	Task18
Task22	t2t_PARTY_ADDRESS_PRCNG_BO_EXT	This is a task that populates the external beneficial owner details into the PARTY_ADDRESS_PRCNG_BO_EXT table when run.	LOAD DATA	Task18
Task23	t2t_PARTY_ID_DOC_PRCNG_BO_INT	This is a task that populates the internal beneficial owner details into the PARTY_ID_DOC_PRCNG_BO_INT table when run.	LOAD DATA	Task18
Task24	t2t_PARTY_ID_DOC_PRCNG_BO_EXT	This is a task that populates the external beneficial owner details into the PARTY_ID_DOC_PRCNG_BO_EXT table when run.	LOAD DATA	Task18
Task25	t2t_FCT_TP_WLS_REQUESTS_PRCNG	This is a task that populates Requests into the watch list Processing table for the prefiltered Customers when run.	LOAD DATA	Task18, Task19, Task20, Task21, Task22, Task23, Task24
Task26	t2t_FCT_TP_WLS_RESULTS_PRCNG	This is a task that populates the watch list Score in the FCT_TP_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 Status 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

Task ID	Rule Name (As configured)	Description	Component ID	Precedence
Task31	t2t_POPU-LATE_FCT_RA	This is a task that generates the Risk Assessment IDs for each Customer and populates the FCT_RA table when run.	LOAD DATA	Task30
Task32	t2t_POPU-LATE_FCT_RA_RISK_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	Task31
Task33	t2t_POPU-LATE_FCT_RA_RISK_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	Task31
Task34	t2t_FCT_RA_RISK_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
Task35	t2t_FCT_CUST_RA_HISTORY	This is a task that populates the FCT_CUST_RA_HISTORY table with the names of the prefiltered customers when run.	LOAD DATA	Task36
Task36	F_CLOSURE_UPDATES	This is a task that updates the RA once they are closed.	TRANSFORM DATA	Task37
Task37	t2t_FCT_CUST_RVWDTLS	This is a task that populates the FCT_CUST_RVWDTLS table when run.	LOAD DATA	Task31
Task38	t2t_FCT_TP_WLS_REQUESTS	This is a task that populates the FCT_TP_WLS_REQUESTS table when run.	LOAD DATA	Task31
Task39	t2t_FCT_TP_WLS_RESULTS	This is a task that populates the FCT_TP_WLS_RESULTS table when run.	LOAD DATA	Task21
Task40	t2t_FCT_RA_RISK_RATING_HISTORY	This is a task that populates the FCT_RA_RISK_RATING_HISTORY table when run.	LOAD DATA	Task31
Task41	t2t_FCT_CUST_REVIEW_REASONS	This is a task that populates the customer review reasons into the FCT_CUST_REVIEW_REASONS table when run.	LOAD DATA	Task31

Task ID	Rule Name (As configured)	Description	Component ID	Precedence
Task42	KYC_PURGE_L AST_RUN_TAB	This is a task that purges or truncates the kdd_extrl_batch_last_run table when run.	TRANSFORM DATA	Task31, Task32, Task33, Task34, Task35, 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

## 10.2 Deployment Initiation Processing

The following table provides details about deployment initiation processing:

**Table 25: Deployment Initiation Processing**

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	DATA
Task2	Populate_- Cust_Prcsng_DI	This is a task that populates the prefiltered Customer Data into 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	DATA

Task ID	Rule Name (As configured)	Description	Component ID	Precedence
Task4	Populate_-Cust_Ad-dr_Prcsng	This is a task that populates the prefiltered Customer Data into 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 into the Cust_Cntry_Prcsng table when run.	LOAD DATA	Task4
Task6	Populate_-Cust_Id_Doc_Pr csng	This is a task that populates the prefiltered Customer Data into the Cust_Id_Doc_Prcsng table when run.	LOAD DATA	Task5
Task7	Populate_-Cust_Mkt_-Served_Prcsng	This is a task that populates the prefiltered Customer Data into 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 into 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 into 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 into 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 into 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
Task13	Popu- late_Acct_Prcs ng	This is a task that populates the prefiltered Customer Data into the Acct_Prcsng table when run.	LOAD DATA	Task12

Task ID	Rule Name (As configured)	Description	Component ID	Precedence
Task14	POPULATE_IP_KYC	This is a task that populates the Interested Party Customers and Accounts when they are run.	TRANSFORM DATA	Task1, Task10, Task11, Task12, Task13, Task2, Task3, Task4, Task5, Task6, Task7, Task8, Task9
Task15	GathrStats_IP	This is a task that is used to gather statistics for the FCT_CUST_INTERESTED_PARTY table.	TRANSFORM DATA	Task14
Task16	t2t_PARTY_DETAILS_PRCNG_IP	This is a task that populates the party details in the PARTY_DETAILS_PRCNG_IP table when run.	LOAD DATA	Task15
Task17	t2t_PARTY_ADDRESS_PRCNG_IP	This is a task that populates the party address in the PARTY_ADDRESS_PRCNG_IP table when run.	LOAD DATA	Task15
Task18	t2t_PARTY_ID_DOC_PRCNG_IP	This is a task that populates the party doc ID in the PARTY_ID_DOC_PRCNG_IP table when run.	LOAD DATA	Task15
Task19	t2t_FCT_TP_WLS_REQUESTS_PRCNG	This is a task that populates the watch list Score in the FCT_TP_WLS_REQUESTS_PRCNG table when run.	LOAD DATA	Task14, Task15, Task16, Task17, Task18
Task20	GathrStats_WLS_REQUESTS_P	This is a task that is used to gather statistics for the FCT_TP_WLS_REQUESTS and FCT_TP_WLS_REQUESTS_PRCNG tables.	TRANSFORM DATA	Task19
Task21	Watchlist_FuzzyMatch	This is a task that calls the watch list Fuzzy Match to calculate the watch list Score when run.	TRANSFORM DATA	Task20

Task ID	Rule Name (As configured)	Description	Component ID	Precedence
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_RESULTS_PRCNG tables.	TRANSFORM DATA	Task21
Task23	t2t_FCT_T-P_WLS_RESULTS_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_STATUS	This is a task that updates the Status 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 processing tables.	TRANSFORM DATA	Task 24
Task26	Customer Processing	This is a task that generates rule or model-based scores when run.	INLINE PROCESSING	Task19, Task20, Task21, Task22, Task23, Task24, Task25
Task27	Customer Processing	This is a task that 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_RA	This is a task that is used to gather statistics for the FCT_RA table for Regular Processing.	TRANSFORM DATA	Task28
Task30	t2t_POPULATE_FCT_RA_RISK_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_POPULATE_FCT_RA_RISK_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

Task ID	Rule Name (As configured)	Description	Component ID	Precedence
Task32	t2t_FCT_RA_RISK_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_AUTO_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_PTC_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
Task37	t2t_FCT_RA_RISK_RATING_HISTORY	This is a task that populates the FCT_RA_RISK_RATING_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 truncates the kdd_extrl_batch_last_run table when run.	TRANSFORM DATA	Task28, Task 29, Task 30, Task 31, Task 32, Task 33, Task 34, Task 35, Task 36, Task 37, Task 38

## 10.3 End of Day Processing

The following table provides details about the end of day processing:

**Table 26: End of Day Processing**

Task ID	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_DATA_DI	Splitting of the customers processed through the DI processing back for periodic rereview	TRANSFORM DATA	Task1, Task2, Task3, Task4

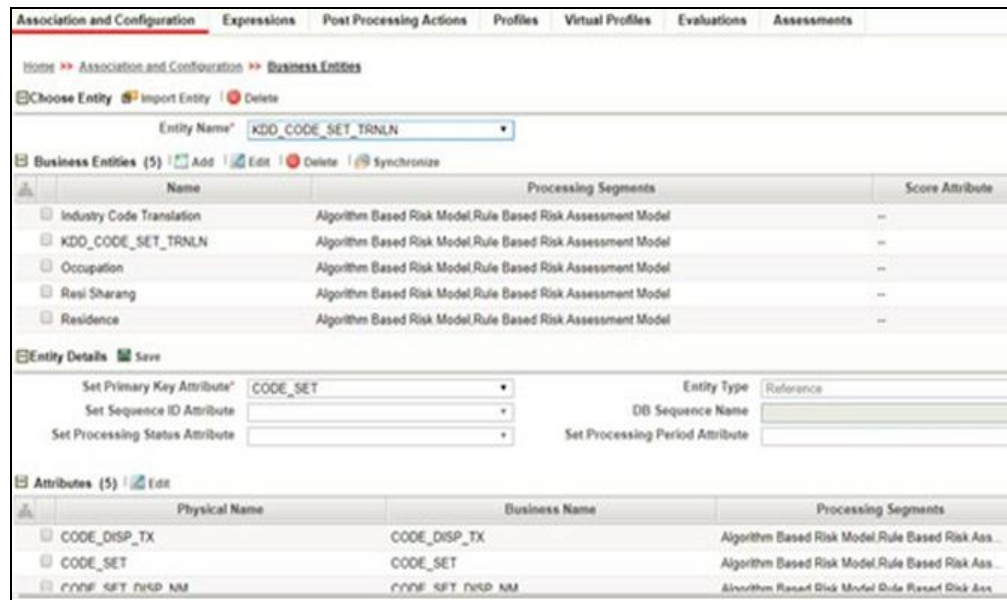


# 11 APPENDIX B Creating Highlights

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

**Figure 81: Association and Configuration Menu**

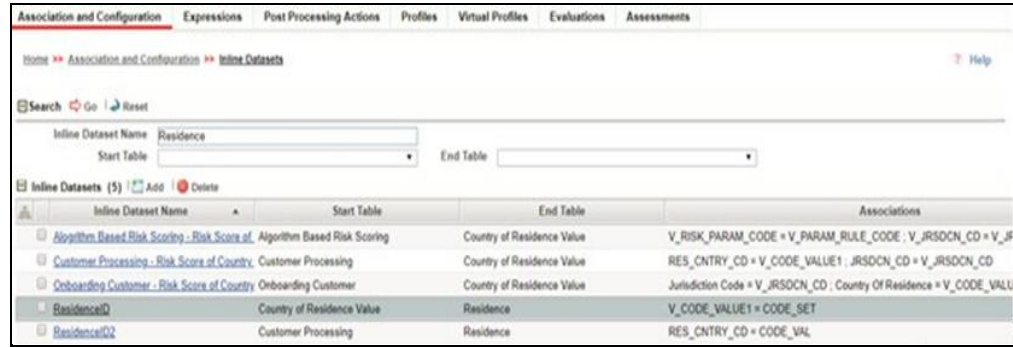


In the following example, a Business Entity called Residence is created.

3. Add two Inline Datasets, one for the start table, and one for the end table.
4. To add an Inline Dataset, navigate to the Association and Configuration menu in the Inline Processing page and click Inline Datasets.

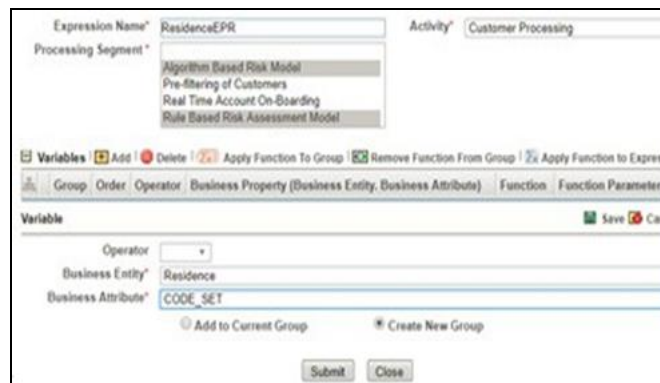
In the following example, Inline Datasets are created for Country of Residence Value as the start table and Residence as the end table.

**Figure 82: Inline Datasets Page**



5. Add a Traversal Path for each join defined in Inline Datasets.
6. 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.
7. 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 on the Inline Processing page.

**Figure 83: Expressions Menu**



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

8. Map an evaluation to the existing assessment of the added parameter.  
 To map an evaluation, navigate to the Evaluations menu on the Inline Processing page. In the following example, an Evaluation is created for the Rule-Based Risk Assessment.

Figure 84: Evaluations Menu

Evaluation Name	Score	Activity	Processing Segment	Status	Updated By
Account.Country.Change	10	Customer	Pre-filtering of Customers	VALID	--
Account.State.Change	10	Customer	Pre-filtering of Customers	VALID	--
Change in Customer's Citizenship	10	Customer	Pre-filtering of Customers	VALID	--
Customer.Country.Change	10	Customer	Pre-filtering of Customers	VALID	--
Customer.State.Change	10	Customer	Pre-filtering of Customers	VALID	--
Frequent.Account.Alert	10	Customer	Pre-filtering of Customers	VALID	--
Frequent.Customer.Alert	10	Customer	Pre-filtering of Customers	VALID	--
Geo Risk - Country of Head Quarters	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessme	VALID	--
Geo Risk - Country of Operations	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessme	VALID	--
Geo Risk - Country of Primary Citizenship	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessme	VALID	--
Geo Risk - Country of Residence	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessme	VALID	SUPERVISOR
Geo Risk - Country of Secondary Citizenship	Parameter / Rule Value Risk Score	Customer Processing	Rule Based Risk Assessme	VALID	--
Geo Risk - Country of Taxation	Country of Taxation - Weighted Scor	Customer Processing	Algorithm Based Risk Mod	VALID	SUPERVISOR
Geo Risk - Country of Citizenship	Countr of Citizenship - Weighted Soc	Customer Processing	Algorithm Based Risk Mod	VALID	--
Geo Risk - Country of Head Quarters	Country of Head Quarters - Weigher	Customer Processing	Algorithm Based Risk Mod	VALID	--

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

Figure 85: Assessments Menu

Assessment Name	Activity	Processing Segment	Status
Accelerated.Review	Customer	Pre-filtering of Customers	VALID
Algorithm Based Risk Assessment	Customer Processing	Algorithm Based Risk Model	VALID
New Accounts Opened by Customers	Customer	Pre-filtering of Customers	VALID
On Boarding Algorithm Based Risk Assessment	Onboarding Customer	Real Time Account On-Boarding	VALID
On Boarding Rule Based Assessment	Onboarding Customer	Real Time Account On-Boarding	VALID
Periodic Re-review of Customers	Customer	Pre-filtering of Customers	VALID
Rule Based Risk Assessment	Customer Processing	Rule Based Risk Assessment M	VALID

## 12 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. The latest matches are picked when the `cust_watchlist_mtchs` batch is run. This appendix discusses the following topics:

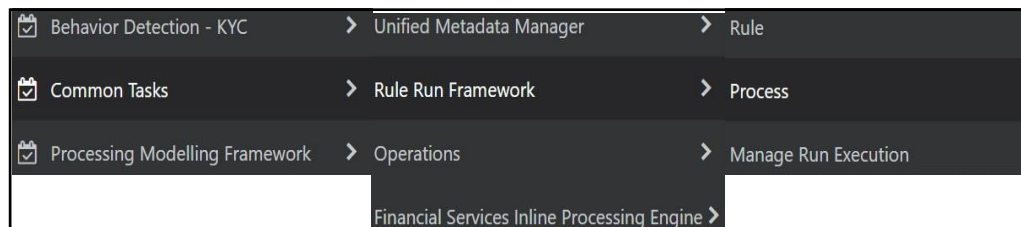
- [Adding the Customer Screening Task to the KYC Daily Batch](#)
- [Mapping the Watch List evaluation to the Accelerated Rereview Assessment](#)

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

To add the customer screening task to the KYC daily batch, follow these steps. Before you run the batch, ensure that you have completed data ingestion in all relevant tables.

1. Log in to the KYC Application.
2. Click **Common Tasks >> Rule Run Framework >> Process**.

Figure 86: Process Menu



#### 12.1.1 Running the Daily Batch

To run the Daily batch, follow these steps:

1. In the Process page, provide the value `IPEPREProcess` in the **Name** field and click **Search**.

Figure 87: Process Page

Process

Code

Name

Folder

+ New View Edit Copy Remove Authorize Export Trace Definition

<input type="checkbox"/>	Code	Name
<input checked="" type="checkbox"/>	IPEPREProcess	IPEPREProcess

Page 1 of 1 (1-15 of 1 items) < >

2. Select the `IPEPREProcess` check box and click **Edit**. The **Process Definition (Edit Mode)** page appears.
3. Click **Component**.

Figure 88: Process Page in Edit Mode

Process

Process Definition(Edit Mode)

Linked to

Folder

Master Information Properties

ID 1461724461468

Code

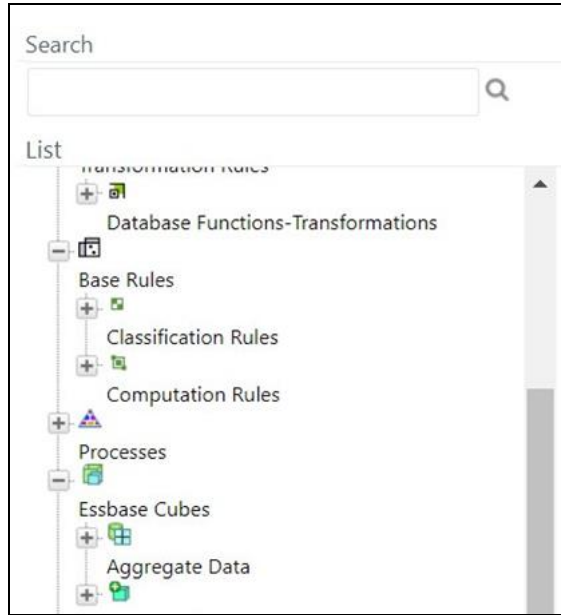
Name

Executable

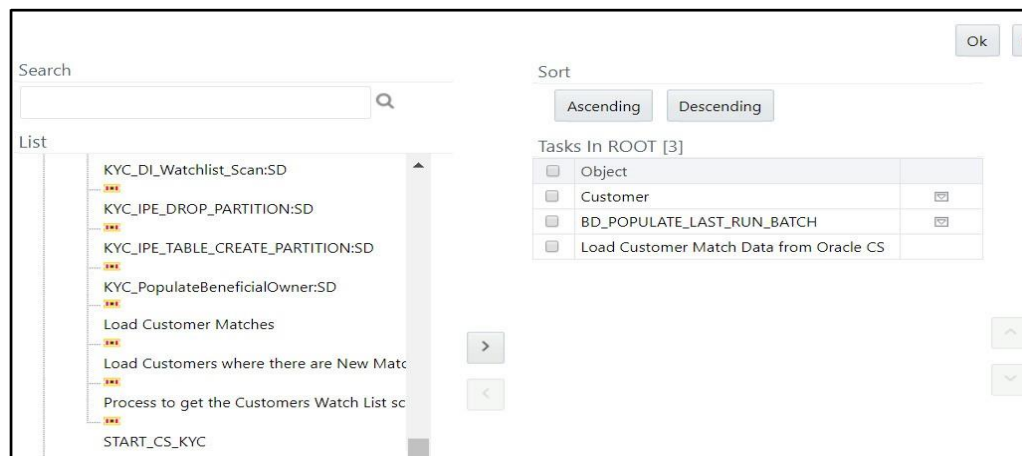
Subprocess Component Precedence Move Remove Show Details Merge Rules

Process	<input type="checkbox"/>	Object
Customer	<input type="checkbox"/>	Customer
BD_POPULATE_LAST_RUN_BATCH	<input type="checkbox"/>	BD_POPULATE_LAST_RUN_BATCH
Load Customer Match Data from Oracle CS	<input type="checkbox"/>	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.

**Figure 89: Component Selector**

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

**Figure 90: Moving Load Customer Match Data**

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.

**Figure 91: Precedence Selector**

ROOT Sort

Tasks In ROOT Customer

Available Precedence	Existing Precedence
<input checked="" type="checkbox"/> Object	<input checked="" type="checkbox"/> Object
<input checked="" type="checkbox"/> BD_POPULATE_LAST_RUN_BATCH	<input checked="" type="checkbox"/> BD_POPULATE_LAST_RUN_BATCH
<input checked="" type="checkbox"/> Load Customer Match Data from Oracle CS	<input checked="" type="checkbox"/> 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.

### 12.1.2 Running the Deployment Initiation Batch

To run the Deployment Initiation batch, follow these steps:

1. In the **Process** page, provide the value `KYC_DI_Populate_Processing` in the **Name** field and click **Search**.

**Figure 92: Process Page.**

Process

Code

Name

Folder

+ New View Edit Copy Remove Authorize Export Trace Definition

<input type="checkbox"/>	Code	Name
<input checked="" type="checkbox"/>	IPEPREProcess	IPEPREProcess

Page 1 of 1 (1-15 of 1 items) < >

2. Select the `KYC_DI_Populate_Processing` check box and click **Edit**. The **Process Definition (Edit Mode)** page appears.
3. In the **Process Definition (Edit Mode)** screen, click **Component**.

**Figure 93: Process Page in Edit Mode**

Process

Process Definition(Edit Mode)

▼ Linked to

Folder FCCMSEGMNT

▼ Master Information Properties

ID 1461724461468

Code IPEPREProcess

Name IPEPREProcess

Executable

▼ Subprocess Component Precedence Move Remove Show Details Merge Rules

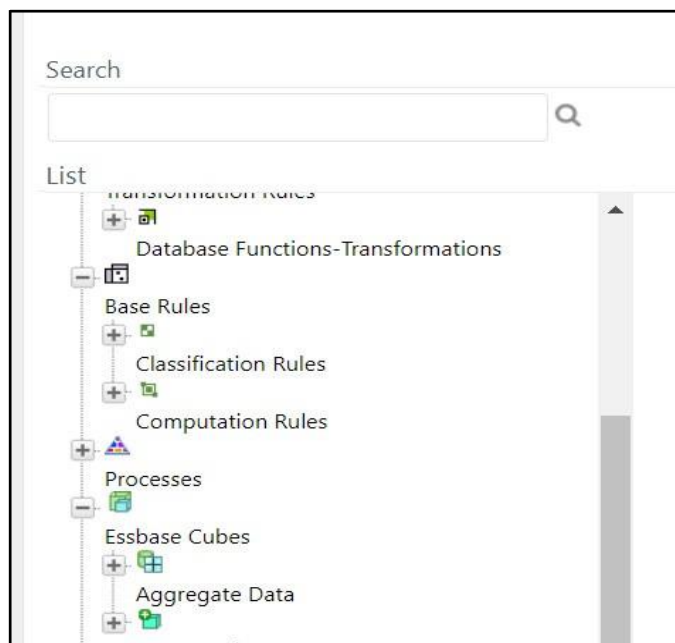
Process

- Customer
  - BD\_POPULATE\_LAST\_RUN\_BATCH
    - Load Customer Match Data from Oracle CS

Object

- Customer
- BD\_POPULATE\_LAST\_RUN\_BATCH
- Load Customer Match Data from Oracle CS

- On the **Component Selector** screen, search for the **Processes** node in the List window on the left.

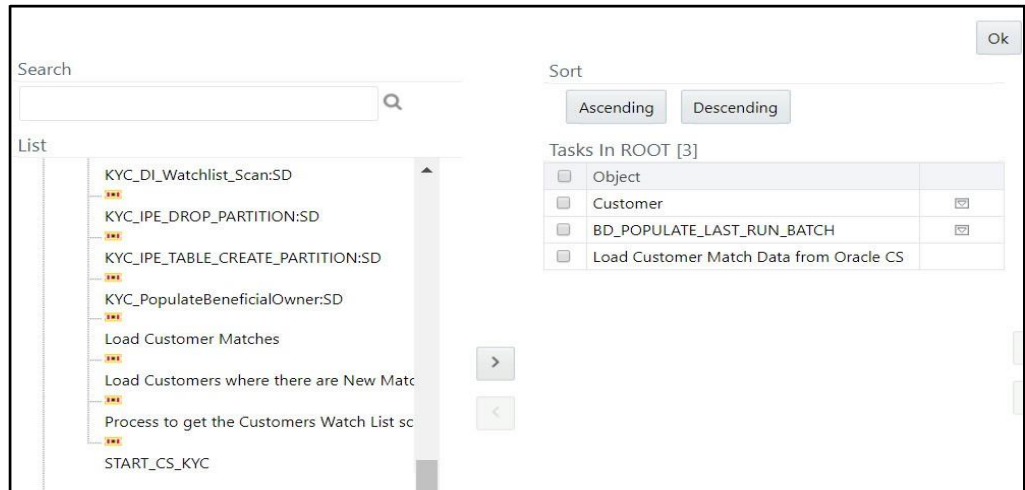
**Figure 94: Component Selector**

- Expand the **Processes** node, and then the **FCCMSEGMNT** node.



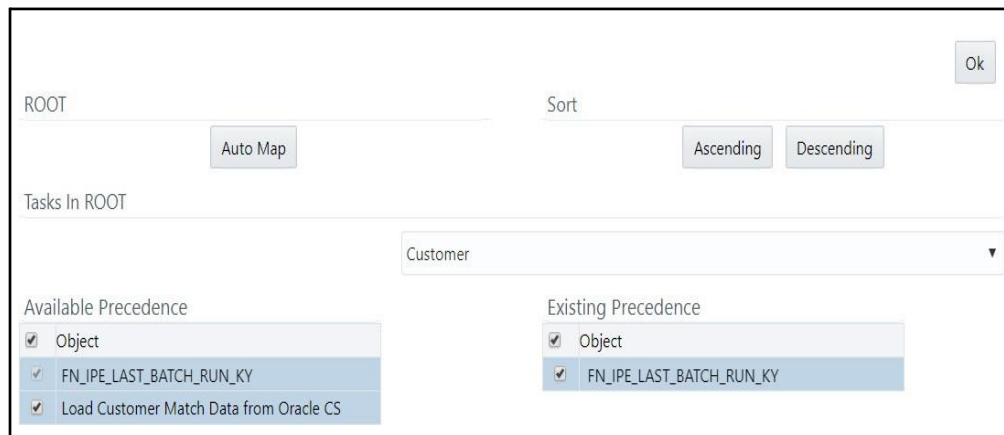
6. Search for the **Load Customer Match Data from the Oracle CS** process and double-click the process. It moves to the **Tasks** window on the right.

**Figure 95: Moving Load Customer Match Data**



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 **FN\_IPE\_LAST\_BATCH\_RUN\_KY** in the Existing Precedence window.

**Figure 96: Precedence Selector**



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

## 12.2 Mapping the Watch List evaluation to the Accelerated Rereview Assessment

To map the evaluation, follow these steps:

1. Log in to the KYC Application.
2. Click **Common Tasks >> Financial Services Inline Processing Engine >> Inline Processing >> Assessments**.

Figure 97: Assessments Menu

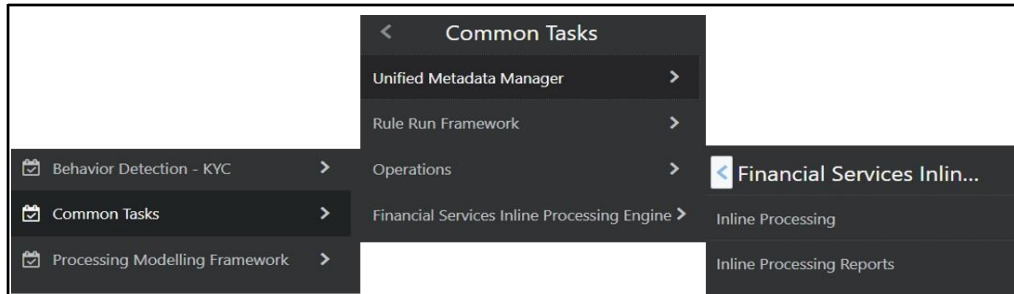
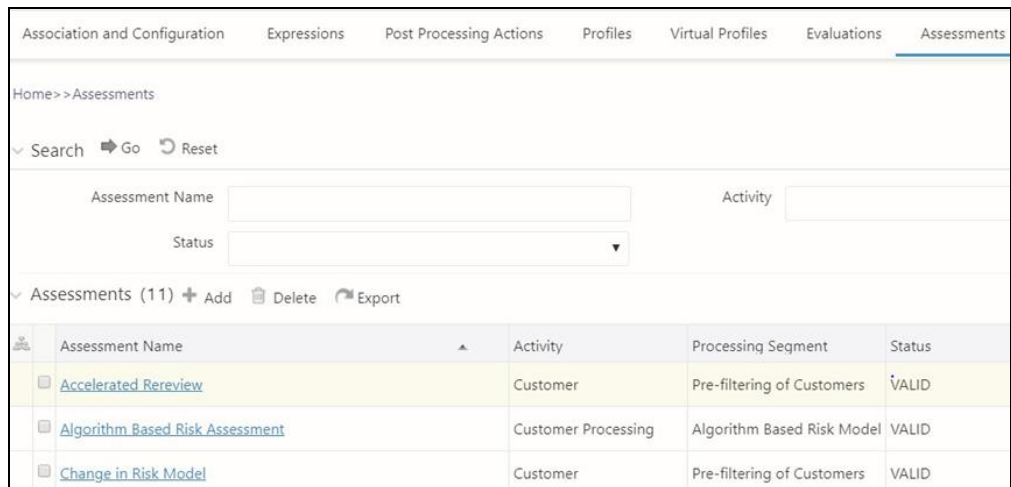


Figure 98: Precedence Selector



3. Click **Accelerated Rereview** and then click **MAP**.

**Figure 99: Associated Evaluations**

Assessment Details + Define KYC Attributes

Name\* Accelerated Rereview Activity\* Customer

Status VALID Execution mode  Live  Test

Updated By KYCADMN Updated On 10/20/2017 07:14:10 PM

Associated Evaluations (14) [Map](#)

Evaluation Name	Score
<input type="checkbox"/> Customer Address Change Log	10
<input type="checkbox"/> Customer Change Log	10
<input type="checkbox"/> Customer Country Change Log	10
<input type="checkbox"/> Customer Market Served Change Log	10

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

**Figure 100: Moving the Evaluations**

Available 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

>>

<<

Included Evaluations

- Customer Country Change Log
- High Score Customer Alert
- Frequent Account Alert
- Frequent Customer Alert
- Suspicious Account Alert
- High Score Account Alert
- Customer Change Log
- Customer Market Served Change Log
- Suspicious Customer Alert
- Customer to Customer Change Log

Save Close

5. Click **Save**.
6. Restart the servers.

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