Oracle Financial Services Administrator Tools

User Guide

Release 8.1.2.8.0

August 2024

E90544-08

Administration Tools User Guide

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Document Control

Version Number	Revision Date	Change Log
First edition of 8.1.2.8.0	August 2024	There are no content changes to this guide in this release.
First edition of 8.1.2.7.0	February 2024	There are no content changes to this guide in this release.
First edition of 8.1.2.6.0	October 2023	Removed references and content related to the Scenario Wizard utility.
First edition of 8.1.2.5.0	June 2023	There are no content changes to this guide in this release.
First edition of 8.1.2.4.0	March 2023	Added note to Chapter 3, *Scenario Threshold Editor* to provide guidance on testing scenarios in the threshold editor.
First edition of 8.1.2.3.0	December 2022	There are no content changes to this guide in this release.
First edition of 8.1.2.2.0	September 2022	There are no content changes to this guide in this release.
First edition of 8.1.2.1.0	June 2022	Added note to Chapter 7, *Alert Assigner Editor* to provide configuration steps for parameters which may not load automatically during installation.
First edition of 8.1.2.0.0	March 2022	There are no content changes to this guide in this release. Only the version and the release month is updated.

Table of Contents

1 About this Guide

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

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

1.1 Who Should Use this Guide

The *Administration Tools User Guide* is designed for data miners and Oracle Administrators. Their roles andresponsibilities include the following:

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

1.2 Scope of this Guide

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

1.3 How this Guide is Organized

The Administration Tools User Guide includes the following chapters:

- Chapter 1, Overview of FCCM, provides an overview of Oracle Financial Services Financial Crimes and Compliance Management, how it works, and what it does.
- Chapter 2, About the Administration Tools, describes how to access the tools and identifies what elements are common to all tools.
- Chapter 3, Scenario Threshold Editor, describes how to use this tool to modify the threshold values
- Chapter 4, Alert Creator Editor, describes how to use this tool to automatically group the matches that share similar information into a single alert. It also explains how to create new rules, modify the logic behind existing rules, and delete rules. The tool also displays the job ID and the job template ID for all the rules created.
- Chapter 5, Alert Scoring Editor, describes how to create new rules or modify the logic behind existing rules that prioritize alerts automatically.

- Chapter 6, Alert Assigner Editor, describes how to assign ownership of alerts.
- Chapter 7, Threshold Analyzer, introduces you the Threshold Analyzer utility and describes how to view and operate the source business and Threshold Analyzer data.
- Chapter 8, Security Configuration, covers the required day-to-day operations and maintenance of OFSBDF users, groups, and organizational units.

1.4 Where to Find More Information

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

- Installation Guide
- Oracle Financial Services Advanced Analytical Applications Infrastructure (OFS AAAI) Applications Pack Installation and Configuration Guide
- Scenario Manager User Guide
- Services Guide

These documents can be found at the following link:
http://docs.oracle.com/cd/E60570_01/homepage.htm

To find more information about the Oracle Financial Services and complete product line, visit Web site at www.oracle.com/financialservices.

1.5 Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

This chapter describes Oracle Financial Services Financial Crimes and Compliance Management (FCCM) applications, how they are used by financial institutions and what a typical workflow would be. It contains thefollowing sections:

- About Financial Crimes and Compliance Management
- Functions
- Workflow

1.6 About Financial Crimes and Compliance Management

In today's complex banking environment, there are many different factors that financial institutions must address to deter crime, safeguard their reputation, increase efficiency, minimize risk, and comply with regulatory agencies.

Oracle Financial Services Financial Crime and Compliance Management (FCCM) provides automated, comprehensive, and consistent surveillance of all accounts, customers, correspondents, and third parties in transactions, trades, orders across all business lines. The solution allows organizations such as banks, brokerage firms, and insurance companies to monitor customer transactions daily, using customer historical information and account profiles to provide a holistic view of all transactions, trades, orders and other activities. It also allows organizations to comply with national and international regulatory mandates using an enhanced level of internal controls and governance. FCCM is a common platform that supports the following OFSAA products:

- **Anti-Money Laundering Enterprise Edition (AML EE)** monitors transactions to identify possible money-laundering activities. These scenarios consider whether the geographical location or entities involvedwarrant enhanced scrutiny; monitor activity between accounts, customers, correspondents, and other entitiesto reveal relationships that could indicate efforts to launder funds; address sudden, significant changes in transaction activity that could indicate money laundering or fraud; and detect other types of activities that are considered potentially suspicious or indicative of money laundering.

  For example, the Journals Between Unrelated Accounts scenario detects accounts that conduct journal transactions, within a specified period, to one or more accounts that do not share tax identifiers, do not share a customer, are not in the same household, and are not known to have a formal relationship. This behavior might indicate that money launderers have established a number of accounts using aliases or slightly differentidentifying information, and then moving money between accounts as part of a layering strategy, often consolidating the funds in a single account before removing them from the institution.

- **Know Your Customer (KYC)** assesses the risk associated with a customer by considering different attributes of the customer and enables financial institutions to perform Due Diligence, Enhanced DueDiligence, and continuous monitoring of customers. Cases generated in Know Your Customer can bemanaged within Enterprise Case Management to track investigations until they have been resolved or reported to the appropriate regulatory authorities.

- **Enterprise Fraud Management (EFM)** detects behaviors and patterns that evolve over time and are indicative of sophisticated, complex fraud activity. These scenarios monitor check and deposit / withdrawalactivity, electronic payments, such as funds transfer and payments completed through clearing house (ACH)mechanisms, and ATM and Bank Card to identify patterns of activities that could be indicate fraud, counterfeiting or kiting schemes, identity theft or account takeover schemes. Fraud scenarios also monitor employee transactions to identify situations in which employees, acting as insiders, take advantage of access to proprietary customer and account information to defraud the financial institution's customers.

For example, the Excessive Withdrawals at Multiple Locations scenario monitors a sudden increase in acustomer's withdrawals at ATMs that may indicate money laundering, terrorist financing, or an accounttakeover.

- **Oracle Financial Services Currency Transaction Reporting (CTR)** analyzes transaction data from the organization and identifies any suspicious activities within the institution that may lead to fraud or money laundering and must be reported to the regulatory authorities. Currency Transaction Reports (CTRs) are created either at the branches or through the end of day files, where the CTR application aggregates multiple transactions performed at the branch, ATMs and Vaults. Oracle Financial Services Currency Transaction Reporting then helps the organization file the CTR online with the U.S. Financial Crimes Enforcement Network (FinCEN) using a discreet form or uploaded in a batch form in a specific text file format.
  Unlike alerts for other Oracle Financial Services Behavior Detection products such as Anti-Money Laundering and Fraud which appear in an Alert Management user interface, CTR alerts are automatically processed and converted into CTR reports or Monetary Instrument Log reports which can be worked through the CTR user interface.

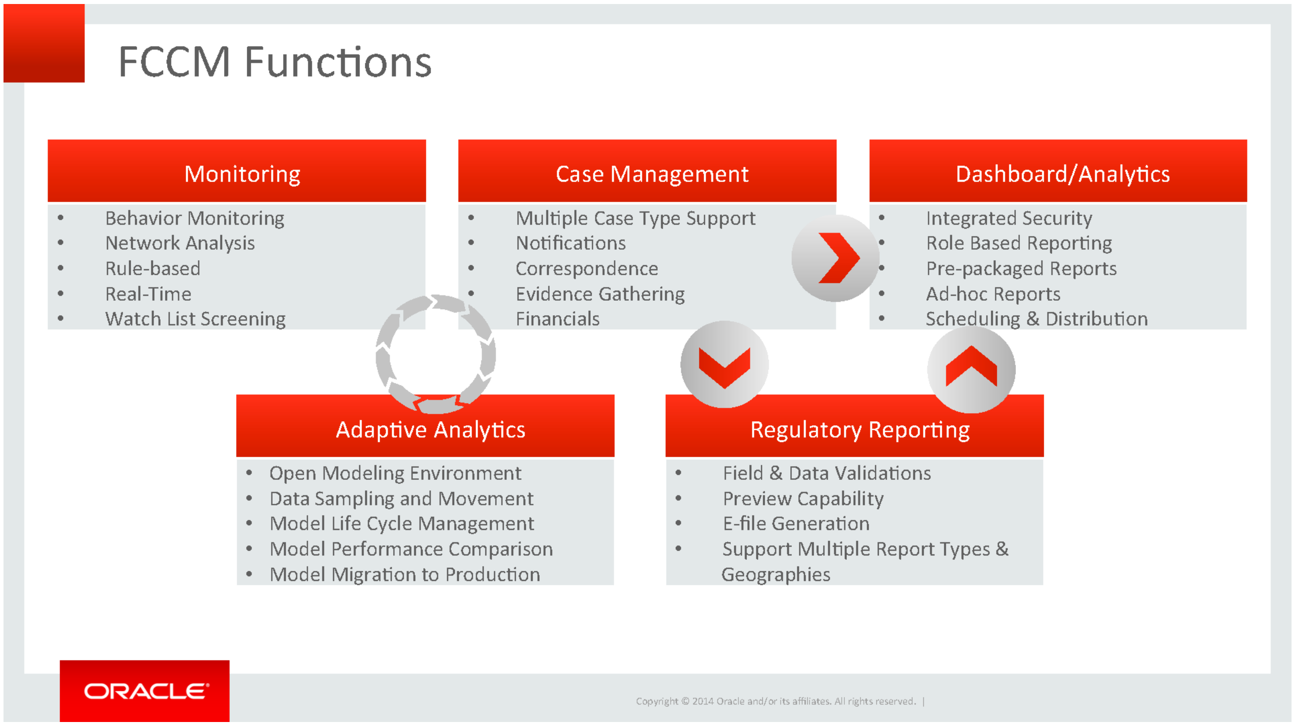
  For example, the Bank Secrecy Act Currency Transaction Report scenario detects activity meeting the requirements for filing a Bank Secrecy Act Currency Transaction Report (CTR) and reconciles alerts generated by this scenario which are considered batch CTRs with Branch CTRs. The resulting CTRs are prepared for electronic filing in accordance with FinCEN's BSA Electronic Filing Requirements for BankSecrecy Act Currency Transaction Report (BSA CTR).

- **Enterprise Case Management (ECM)** manages and tracks the investigation and resolution of cases relatedto one or more business entities involved in potentially suspicious behavior. Cases can be manually created within Enterprise Case Management or your firm may integrate other Oracle Financial Services solutions, such as Behavior Detection and Know Your Customer, which can be used to create cases.

- **Regulatory Reporting** supports the management, delivery, and resolution of required regulatory reports across multiple geographic regions and financial lines of business. Organizations are required to analyze andreport any suspicious activities that may lead to fraud or money laundering within the institution to regulatory authorities.

1.7 Functions

The following figure depicts the functionality of Oracle Financial Services Financial Crimes and Compliance Management.



FCCM Functions

Monitoring

- Behavior Monitoring
- Network Analysis
- Rule-based
- Real-Time
- Watch List Screening

Case Management

- Multiple Case Type Support
- Notifications
- Correspondence
- Evidence Gathering
- Financials

Dashboard/Analytics

- Integrated Security
- Role Based Reporting
- Pre-packaged Reports
- Ad-hoc Reports
- Scheduling & Distribution

Adaptive Analytics

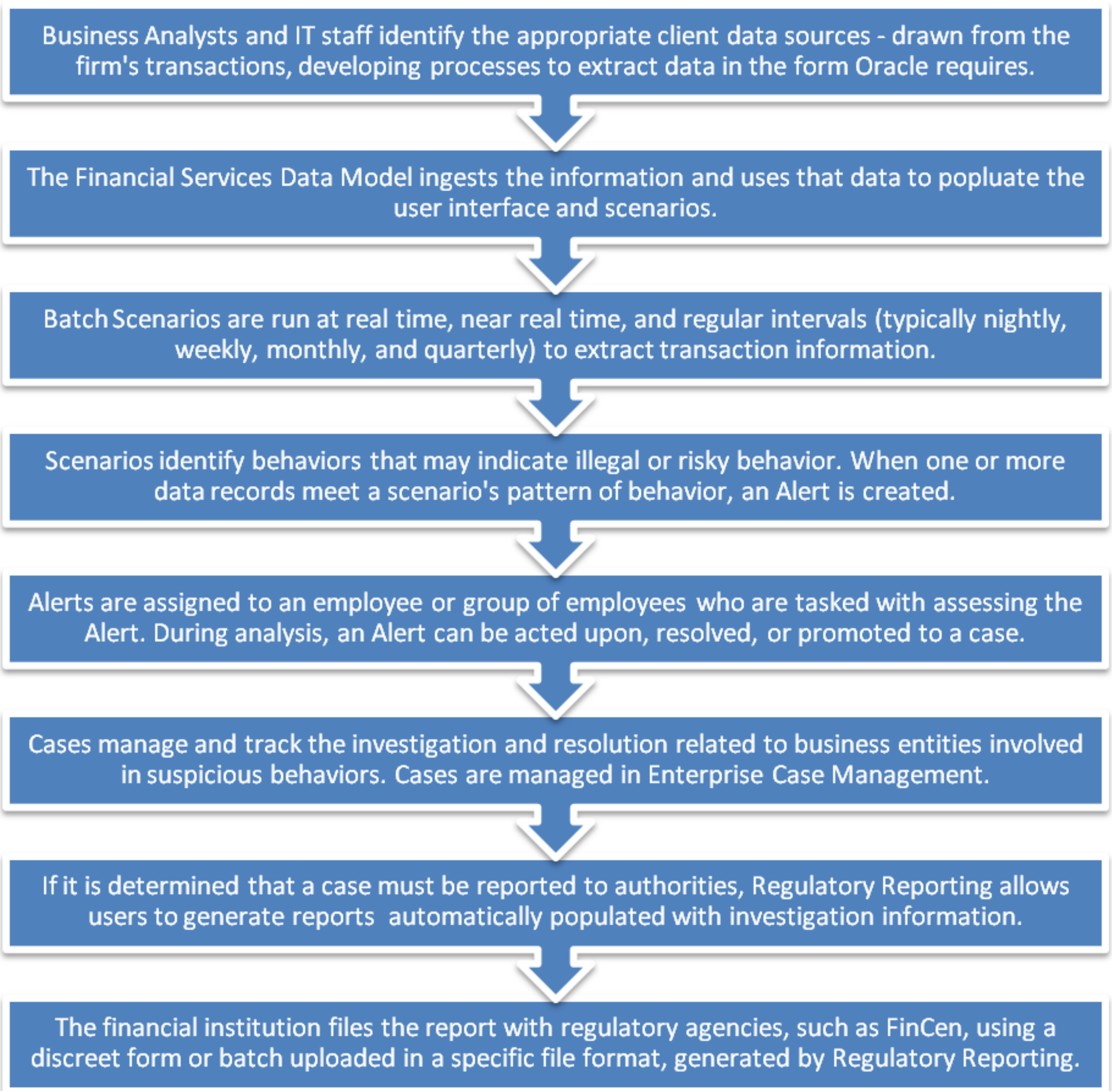
- Open Modeling Environment
- Data Sampling and Movement
- Model Life Cycle Management
- Model Performance Comparison
- Model Migration to Production

Regulatory Reporting

- Field & Data Validations
- Preview Capability
- E-file Generation
- Support Multiple Report Types & Geographies

1.8 Workflow

Oracle Financial Services Financial Crimes and Compliance Management applications integrate fully - creating a complete workflow to address a financial institution's compliance needs. The following figure shows this process.



Business Analysts and IT staff identify the appropriate client data sources - drawn from the firm's transactions, developing processes to extract data in the form Oracle requires.

The Financial Services Data Model ingests the information and uses that data to popluate the user interface and scenarios.

Batch Scenarios are run at real time, near real time, and regular intervals (typically nightly, weekly, monthly, and quarterly) to extract transaction information.

Scenarios identify behaviors that may indicate illegal or risky behavior. When one or more data records meet a scenario's pattern of behavior, an Alert is created.

Alerts are assigned to an employee or group of employees who are tasked with assessing the Alert. During analysis, an Alert can be acted upon, resolved, or promoted to a case.

Cases manage and track the investigation and resolution related to business entities involved in suspicious behaviors. Cases are managed in Enterprise Case Management.

If it is determined that a case must be reported to authorities, Regulatory Reporting allows users to generate reports automatically populated with investigation information.

The financial institution files the report with regulatory agencies, such as FinCen, using a discreet form or batch uploaded in a specific file format, generated by Regulatory Reporting.

Detailed information about these processes is available in the user documentation.

2 About the Administration Tools

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

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

2.1 About the Administration Tools

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

- **Scenario Threshold Editor:** This tool is used for modifying the threshold values that patterns use to detectmatches. Refer to Chapter 3, *Scenario Threshold Editor,* on page 11, for more information.
- **Alert Creator Editor:** Using this tool you can automatically group matches that share similar information into a single alert. You can create new rules, modify the logic behind existing rules, and delete rules. The toolalso displays the job ID and job template ID for all rules created. Refer to Chapter 5, *Alert Creator Editor,* onpage 57, for more information.
- **Alert Scoring Editor:** This tool is used for creating new rules or modify the logic behind existing rules thatprioritize alerts automatically. Refer to Chapter 6, *Alert Scoring Editor,* on page 65, for more information.
- **Alert Assigner Editor:** This tool is used for assigning ownership of alerts. Refer to Chapter 7, *Alert AssignerEditor,* on page 99, for more information.
- **Case Assigner Editor:** This tool is used for assigning ownership of cases. Refer to Chapter 8, *Case Assigner Editor,* on page 113, for more information.
- **Threshold Analyzer:** This tool is used to reduce the number of false positive alerts by analyzing and categorizing past alerts to identify correlations between alert attributes and alert quality. Refer to Chapter 8, *Threshold Analyzer,* on page 113 for more information.

2.2 Logging in to the Administration Tools

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

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

Refer to the *Administration Guide,* for more information about how to install the tools. Contact your system administrator for the URL to access the Administrator Tools.

2.2.1 Accessing the Administration Tools

To access the Administration Tools, follow these steps:

1. Open the Login Page through your browser.
2. Type your user ID in the **User ID** text box.
3. Type your password in the **Password** text box.
4. Click **Login**. After verifying the user ID and password, the system displays the OFS AM page as defined by thesystem’s defaults and as per your role.

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

5. Click **FCCM**. The OFESCM Home page is displayed.
6. Hover over the Administration menu to choose the Tool which you want to access. Depending upon your role, possible actions include the following:

- User Administration
  - Security Management System
  - Security Attribute Administration
- Alert Management Configuration
  - Alert Assigner Editor

  - Alert Creator
  - Alert Scoring Editor
  - Threshold Editor
- Case Management Configuration
  - Case Assigner Creator

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

2.3 Using Common Screen Elements

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

- Help Button
- Icons Button

2.3.1 Help Button

A Help button ? displays on the Administration Tools' Context Controls bar above the tab options. Click **Help**

while working in a tool to get the following:

- More detailed information about the tool
- Explanations of the screen elements that comprise the tool
- Definitions of the fields that display on the screen
- *How to* instructions on the tasks that the tool enables you to perform
- You can also click **Help** on the Overview tab for complete online information of Administration Tools in a HTMLHelp format.

2.3.2 Icons Button

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

Table 2. Icons Used

Icon	Description
Add	Enables you to add rules.
Update	Enables you to modify existing rules.
Delete	Enables you to delete existing rules.

Table 2. Icons Used

Icon	Description
Expand	Enables you to view threshold history details (only in the Scenario Threshold Editor).
Contract	Enables you to hide threshold history details (only in the Scenario Threshold Editor).

2.4 Logging off of the Administration Tools

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

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

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

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

   The Logout page displays.

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

2.5 Saving Changes to a Log File

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

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

Refer to the Administration Guide for more information about logging.

3 Scenario Threshold Editor

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

- About the Scenario Threshold Editor
- About the Scenario Threshold Editor Screen Elements
- Using the Scenario Threshold Editor
- Review Test Scenario Results

3.1 About the Scenario Threshold Editor

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

Scenario Editor threshold page can be used for modifying the scenario thresholds and test run the scenario to know the number of matches that are generated through the test run. It can also be used to create a new threshold set based on the already available threshold set to modify the threshold and test the scenario.

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

> **NOTE:**
>
> Changing scenario threshold values can generate significantly more or less alerts, depending upon themodifications made.
>
> If Anti-Money Laundering (AML) is not enabled, editing of thresholds can be done through scenariomanager.

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

- Threshold Sets
- Inactive Thresholds

For more information about scenarios, refer to the respective Technical Scenario Description document (for example, for trading compliance scenario information, refer to the Trading Compliance Technical Scenario Descriptions).

ATTENTION:

To test the scenario in the Threshold Editor, run the AAI server using the following command:

```
Path:"$FIC_HOME/ficdb/bin"
./agentstartup.sh
```

3.1.1 Threshold Sets

Threshold sets allow you to run the same scenario multiple times against a variety of sources (for example, exchanges, currencies, or jurisdictions) with separate threshold values for each source.For example, you may have a scenario with the base threshold set and two additional threshold sets that were created during deployment. You decide that you need this scenario to detect matches in transactions with a minimum valuein US currency, European currency, and Japanese currency. Rather than changing the base threshold set for each situation, you can set the value of the base threshold set to detect US currency (for example, USD 100,000), the second threshold set to detect European currency (for example, EUR 150,000), and the third threshold set to detectJapanese currency (for example, JPY 125,000).

Since threshold sets two and three have only a few fields that differ from the base threshold set, you can check the Inherit Base Value check box feature for those fields that are exactly the same as the base threshold set. This feature associates the threshold values in the threshold set you are modifying with the corresponding values in the base threshold set. This association copies the corresponding base threshold set values to the set you are modifying and automatically updates them if the base value changes (refer to *<Scenario–Threshold Set> Area,* on page 14 for more information).

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

NOTE:

Use the Scenario Threshold Editor to modify the values of existing threshold sets. Threshold sets can becreated either through the add new threshold set button or through the Scenario Manager.

3.1.2 Inactive Thresholds

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

- Mutually Exclusive Thresholds
- Additional Scenario Thresholds

3.1.2.1 Mutually Exclusive Thresholds

In some situations, scenarios apply the value of one threshold only when the value of another threshold is set to N

For no, These types of thresholds are referred to as a mutually exclusive thresholds.

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

threshold.

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

Table 3. Mutually Exclusive Thresholds

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

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

3.1.2.2 Additional Scenario Thresholds

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

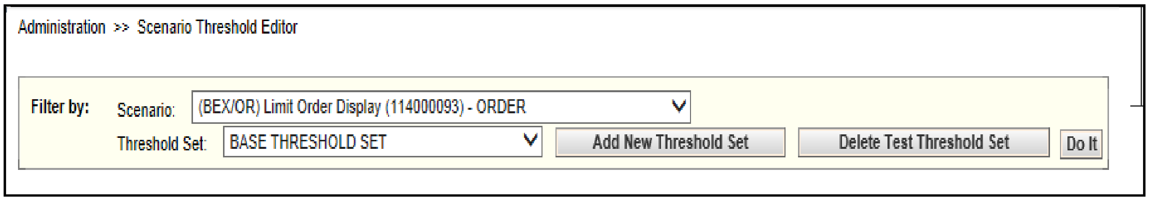
3.2 About the Scenario Threshold Editor Screen Elements

The following screen elements display in the Scenario Threshold Editor:

- Search Bar
- <Scenario–Threshold Set> Area

3.2.1 Search Bar

The search bar allows you to search for threshold values by selecting a specific scenario and threshold set (Figure 1).



Administration >> Scenario Threshold Editor

Filter by: Scenario: (BEX/OR) Limit Order Display (114000093) - ORDER

Threshold Set: BASE THRESHOLD SET

Figure 1. Search Bar

The components of the search bar includes the following:

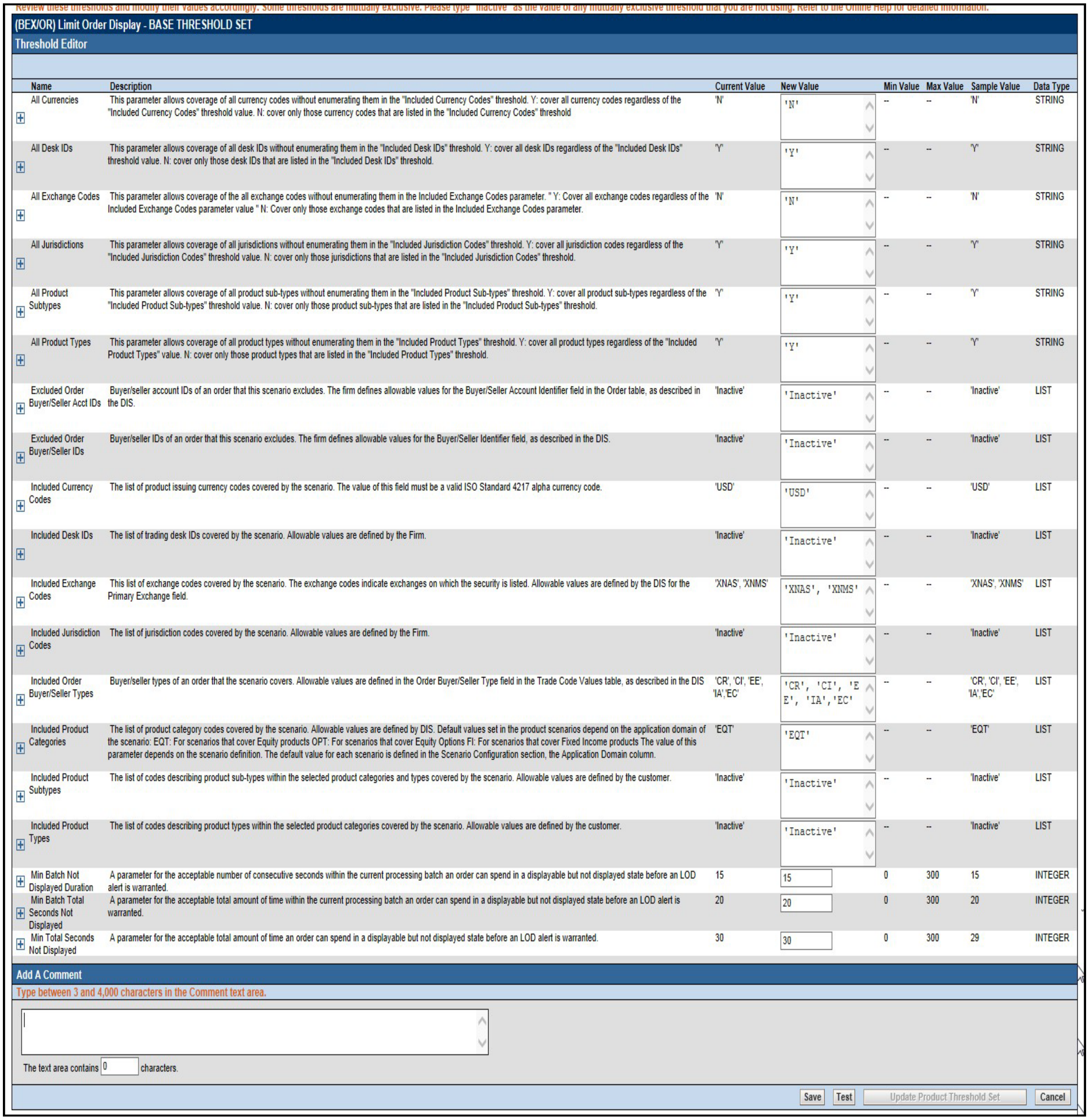
- **Filter by: Scenario** drop-down list: Provides a list of scenarios displayed by the scenario's short name, IDnumber, and focus type (for example, Avoid Report Thresh (106000129) – ACCOUNT).

- **Filter by: Threshold Set** drop-down list: Provides a list of Threshold Sets associated with the scenario displayed in the Scenario drop-down list. The base threshold set displays first, followed by additional threshold sets listed in ascending alphabetical order.
- **Add New Threshold Set**: When clicked, enables you to add new threshold sets.
- **Delete Test Threshold Set:** When clicked, enables you to delete test threshold sets.
- **Do It** button: When clicked, displays the threshold values for the scenario and threshold set selected in thesearch bar.

3.2.2 <Scenario–Threshold Set> Area

The <Scenario-Threshold Set> Area displays the list of threshold values for a selected scenario and threshold set(Figure 2). This list displays after you select a scenario and threshold set in the search bar and click Do It.

Figure 2. <Scenario-Threshold Set> Area



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

(BEX/OR) Limit Order Display - BASE THRESHOLD SET

Threshold Editor

Name	Description	Current Value	New Value	Min Value	Max Value	Sample Value	Data Type
All Currencies	This parameter allows coverage of all currency codes without enumerating them in the "Included Currency Codes" threshold. Y: cover all currency codes regardless of the "Included Currency Codes" threshold value. N: cover only those currency codes that are listed in the "Included Currency Codes" threshold	'N'	'N'	--	--	'N'	STRING
All Desk IDs	This parameter allows coverage of all desk IDs without enumerating them in the "Included Desk IDs" threshold. Y: cover all desk IDs regardless of the "Included Desk IDs" threshold value. N: cover only those desk IDs that are listed in the "Included Desk IDs" threshold.	'Y'	'Y'	--	--	'Y'	STRING
All Exchange Codes	This parameter allows coverage of the all exchange codes without enumerating them in the Included Exchange Codes parameter. " Y: Cover all exchange codes regardless of the Included Exchange Codes parameter value " N: Cover only those exchange codes that are listed in the Included Exchange Codes parameter.	'N'	'N'	--	--	'N'	STRING
All Jurisdictions	This parameter allows coverage of all jurisdictions without enumerating them in the "Included Jurisdiction Codes" threshold. Y: cover all jurisdiction codes regardless of the "Included Jurisdiction Codes" threshold value. N: cover only those jurisdictions that are listed in the "Included Jurisdiction Codes" threshold.	'Y'	'Y'	--	--	'Y'	STRING
All Product Subtypes	This parameter allows coverage of all product sub-types without enumerating them in the "Included Product Sub-types" threshold. Y: cover all product sub-types regardless of the "Included Product Sub-types" threshold value. N: cover only those product sub-types that are listed in the "Included Product Sub-types" threshold.	'Y'	'Y'	--	--	'Y'	STRING
All Product Types	This parameter allows coverage of all product types without enumerating them in the "Included Product Types" threshold. Y: cover all product types regardless of the "Included Product Types" value. N: cover only those product types that are listed in the "Included Product Types" threshold.	'Y'	'Y'	--	--	'Y'	STRING
Excluded Order Buyer/Seller Acct IDs	Buyer/seller account IDs of an order that this scenario excludes. The firm defines allowable values for the Buyer/Seller Account Identifier field in the Order table, as described in the DIS.	'Inactive'	'Inactive'	--	--	'Inactive'	LIST
Excluded Order Buyer/Seller IDs	Buyer/seller IDs of an order that this scenario excludes. The firm defines allowable values for the Buyer/Seller Identifier field, as described in the DIS.	'Inactive'	'Inactive'	--	--	'Inactive'	LIST
Included Currency Codes	The list of product issuing currency codes covered by the scenario. The value of this field must be a valid ISO Standard 4217 alpha currency code.	'USD'	'USD'	--	--	'USD'	LIST
Included Desk IDs	The list of trading desk IDs covered by the scenario. Allowable values are defined by the Firm.	'Inactive'	'Inactive'	--	--	'Inactive'	LIST
Included Exchange Codes	This list of exchange codes covered by the scenario. The exchange codes indicate exchanges on which the security is listed. Allowable values are defined by the DIS for the Primary Exchange field.	'XNAS', 'XNMS'	'XNAS', 'XNMS'	--	--	'XNAS', 'XNMS'	LIST
Included Jurisdiction Codes	The list of jurisdiction codes covered by the scenario. Allowable values are defined by the Firm.	'Inactive'	'Inactive'	--	--	'Inactive'	LIST
Included Order Buyer/Seller Types	Buyer/seller types of an order that the scenario covers. Allowable values are defined in the Order Buyer/Seller Type field in the Trade Code Values table, as described in the DIS	'CR', 'CI', 'EE', 'IA','EC'	'CR', 'CI', 'EE', 'IA','EC'	--	--	'CR', 'CI', 'EE', 'IA','EC'	LIST
Included Product Categories	The list of product category codes covered by the scenario. Allowable values are defined by DIS. Default values set in the product scenarios depend on the application domain of the scenario: EQT: For scenarios that cover Equity products OPT: For scenarios that cover Equity Options FI: For scenarios that cover Fixed Income products The value of this parameter depends on the scenario definition. The default value for each scenario is defined in the Scenario Configuration section, the Application Domain column.	'EQT'	'EQT'	--	--	'EQT'	LIST
Included Product Subtypes	The list of codes describing product sub-types within the selected product categories and types covered by the scenario. Allowable values are defined by the customer.	'Inactive'	'Inactive'	--	--	'Inactive'	LIST
Included Product Types	The list of codes describing product types within the selected product categories covered by the scenario. Allowable values are defined by the customer.	'Inactive'	'Inactive'	--	--	'Inactive'	LIST
Min Batch Not Displayed Duration	A parameter for the acceptable number of consecutive seconds within the current processing batch an order can spend in a displayable but not displayed state before an LOD alert is warranted.	15	15	0	300	15	INTEGER
Min Batch Total Seconds Not Displayed	A parameter for the acceptable total amount of time within the current processing batch an order can spend in a displayable but not displayed state before an LOD alert is warranted.	20	20	0	300	20	INTEGER
Min Total Seconds Not Displayed	A parameter for the acceptable total amount of time an order can spend in a displayable but not displayed state before an LOD alert is warranted.	30	30	0	300	29	INTEGER

Add A Comment

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

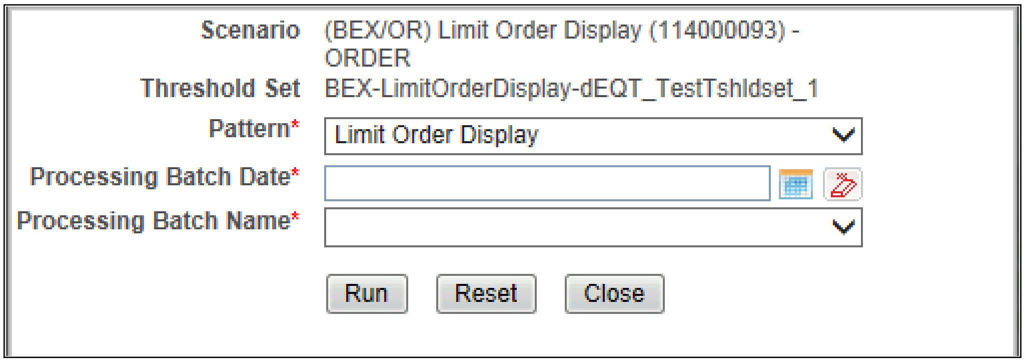
The text area contains 0 characters.

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

- Long name of the scenario and the name of the threshold set in the title of the <Scenario-Threshold Set>bar.
- List of scenario thresholds by threshold name, sorted in ascending alphabetical order.
- Threshold information as follows:
  - **Threshold History Icon**: Expands or contracts the Threshold History inset that displays a history ofall modifications to the selected threshold value in reverse chronological order by creation date. Information displayed includes the creation date, user name, threshold value, and any comment associated with the threshold value change.
  - If comments are displayed and the comment text consists of more than 100 characters, the Scenario Threshold Editor displays the first 100 characters followed by an ellipsis (...) indicating that more text is available. When you click the ellipsis, the entire comment displays in the Expanded Comments dialog boxfor ease of viewing.
  - **Name**: Displays the name of the threshold.
  - **Description**: Displays the description of the threshold.
  - **Current Value**: Displays the current value of the threshold. If the data type of the threshold is *LIST*, multiple values are displayed in a comma-delimited list, with each value contained in single quotes (' ').Thresholds with an *Inactive* current value are not being used by the scenario (refer to *Inactive Thresholds,* on page 12 for more information).
  - **Inherit Base Value**: Enables you to select the check box to apply the corresponding threshold valuesfrom the base threshold set to the threshold set displayed. Selecting the check box disables the New Value text box. This option does not display for the base threshold set.
  - **New Value**: Displays the current value of the threshold in the editable New Value text box if the Inherit Base Value check box is not selected. If the data type for the threshold is *LIST*, multiple valuesare displayed in a comma-delimited list, with each value contained in single quotes (' ').
  - **Min Value**: The minimum value of the threshold.
  - **Max Value**: The maximum value of the threshold.
  - **Sample Value**: The sample value of the threshold.
  - **Data Type**: The type of data that is utilized by a threshold in a scenario. There are five data types: Integer, Boolean, Real, String, and List. Place your cursor over this value to display the threshold unit ofmeasure (for example, days, percentage, or distance).
  - **Add A Comment**: Provides a place to type comments. When you type a comment and click **Save**, thesame comment is applied to each modified threshold.
- **Restore Samples Values:** Restores all thresholds within the selected scenario threshold set to the samplevalues
- **Save**: Saves all modifications to the database.
- **Cancel**: Redisplays the Scenario Threshold Editor without the <Scenario-Threshold Set> Area and does not save your changes.

- **Test:** When the Test button is clicked**,** the *Scenario Test Execution* pop-up window is displayed.

Figure 3. Scenario Test Execution window



Scenario (BEX/OR) Limit Order Display (114000093) - ORDER

Threshold Set BEX-LimitOrderDisplay-dEQT_TestTshldset_1

Pattern* Limit Order Display

Processing Batch Date*

Processing Batch Name*

The Scenario Test Execution window displays the following fields:

Table 4. Scenario Test Execution components

Field	Description
Scenario Name	This field is non-editable and displays the scenario that has been selected in the drop-down list from the threshold editor page.
Threshold Set	This is a non-editable text box which displays the threshold set name that has been selected for test run.
Pattern	Select the pattern from the drop-down list that are part of the selected scenario. **Note:** Since the scenario job runs based on the pattern, you cannot run multiple patterns of the scenario at the same time.
Processing Batch Date	Select the date based on which the scenario patterns will run.
Processing Batch Name	Select the batch name from the drop-down list. **Note:** If a Batch with the selected Processing Batch Name and Date is already running, then the following error message is displayed: *A Batch with the selected Processing Batch Name and Date is already running. Please wait till the Batch completes*.

After selecting these values, click the **Run** button to run the scenario and the results can be viewed in the *Review Test Scenario Results* page.

Update Product Threshold Set: Enables you to update the test threshold set to product threshold set. Thisbutton is enabled only when the threshold set selected is newly created threshold.

3.3 Using the Scenario Threshold Editor

The Scenario Threshold Editor configures scenario threshold values by:

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

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

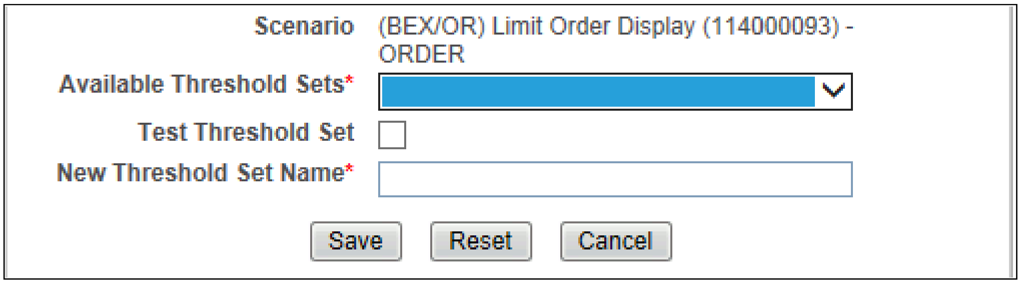
- Adding a new Threshold Set
- Deleting the Test Threshold Set
- Changing a Scenario Threshold
- Resetting a Scenario Threshold to the Sample Values
- Viewing a Scenario Threshold's History
- Viewing Expanded Comments

3.3.1 Adding a New Threshold Set

To add a new Threshold Set, follow these steps:

1. Under the Administration menu, hover over Alert Management Configuration, click Threshold Editor.
2. Select the scenario from the scenario drop-down list.
3. Click Add New Threshold Set.
4. The *Add New Threshold Set* pop-up window is displayed.

Figure 4. Add new Threshold Set window



Scenario (BEX/OR) Limit Order Display (114000093) - ORDER

Available Threshold Sets*

Test Threshold Set □

New Threshold Set Name*

5. Enter the required details in the following fields:

Table 5. Add New Threshold Set Components

Field	Description
Scenario	This field is non editable and displays the scenario that has been selected in the drop-down list from the threshold editor page.
Available Threshold Sets	This dropdown box displays all the available threshold sets in the system for the selected scenario. Also, this is required to acquire the thresholds for the new threshold set that is being created. **Note :** ● If the user do not select a value from the “Available Threshold sets” drop-down list, the following error message is displayed: *Please select a threshold set from the available threshold sets dropdown to create a new threshold set.* ● If the user has selected a threshold set which doesn't have an associated job, then the following error message is message: *The selected threshold set doesn’t have the required Job and Job Dataset for running the scenario test execution. Please select any other threshold set and take action.*

Table 5. Add New Threshold Set Components

Field	Description
Test Threshold Set	Select this checkbox if the threshold set created is a test threshold set or not. The threshold set name is available `threshold set name + _TST_datetimestamp`.
New Threshold Set Name	By default, this field is kept blank. You can enter the threshold set name only when the *Create Test Threshold Set* checkbox is not selected. When the user has selected the Test Threshold Set checkbox, then this textbox is pre populated with a value that has been selected from the available threshold sets along with a time stamp.

6. Click **Save**. The Threshold Set is added.

3.3.2 Deleting the Test Threshold Set

To delete a test Threshold Set, follow these steps:

1. Under the Administration menu, hover over Alert Management Configuration, click Threshold Editor.
2. Click Delete Test Threshold Set.
3. The Threshold Set is deleted.

3.3.3 Changing a Scenario Threshold

To change a scenario threshold value, follow these steps:

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

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

1. Type a new value in the **New Value** box for each threshold that you wish to update.

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

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

2. Click **Save**.

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

3.3.3.1 Resetting a Scenario Threshold to the Sample Values

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

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

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

4. Click Restore Sample Values button.

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

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

5. Click **OK**.

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

6. Click **Save**.

The database is updated to reflect the changes.

3.3.4 Viewing a Scenario Threshold's History

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

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

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

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

3.3.5 Viewing Expanded Comments

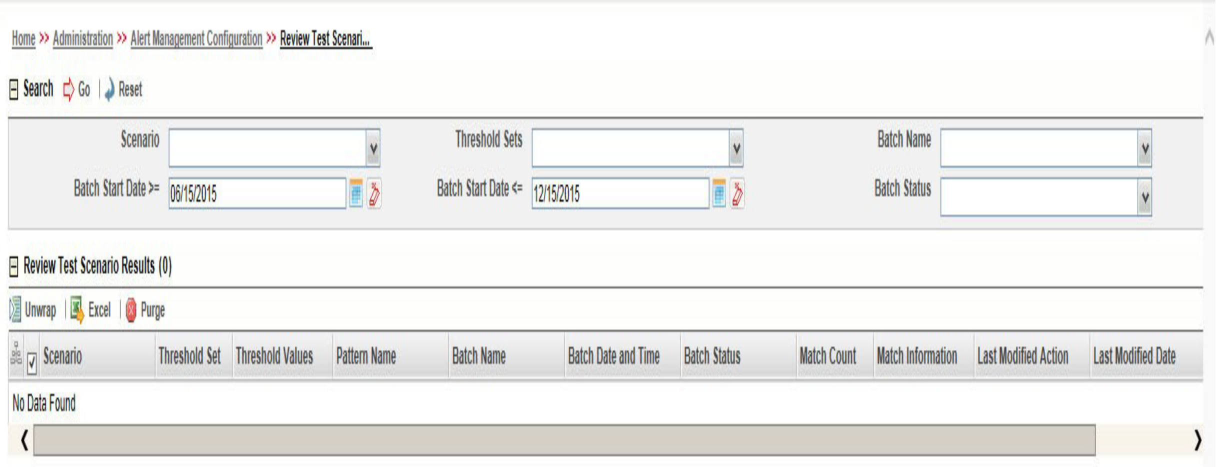
To view an expanded comment in the Scenario Threshold inset, follow these steps:

1. Click the **ellipsis (...)** at the end of the comment in the Scenario Threshold inset.
2. The entire comment, up to 4,000 characters, displays in the Expanded Comments dialog box.
3. Click **X (Close button)** on the top right corner to close the dialog box.

3.4 Review Test Scenario Results

The Review Test Scenario Results page allows you to review the results of the test scenarios that are run from thethreshold editor page.

Figure 6. Review Test Scenario Details page



Home >> Administration >> Alert Management Configuration >> Review Test Scenari...

Search Go | Reset

Scenario

Threshold Sets

Batch Name

Batch Start Date >= 06/15/2015

Batch Start Date <= 12/15/2015

Batch Status

Review Test Scenario Results (0)

Unwrap | Excel | Purge

Scenario	Threshold Set	Threshold Values	Pattern Name	Batch Name	Batch Date and Time	Batch Status	Match Count	Match Information	Last Modified Action	Last Modified Date
No Data Found										

3.4.1 About the Review Test Scenario Details Screen Elements

The following screen elements display in the review scenario details:

- Search Bar
- Search and List Grid

3.4.1.1 Search Bar

The components of the search bar includes the following:

Table 6. Search Bar Components

Field	Description
Scenario Name	Select the scenario name from the drop-down list.
Threshold Sets	Select the threshold set from the drop-down list. **Note:** This field will display the value only when the scenario name is selected. When no scenario name is selected, then it is assumed that all the threshold sets are included for the search.
Batch Name	Select the Batch name on which the scenario is run. **Note:** By default, this field is kept as blank. This fetches value only when the scenario name is selected.
Batch Start Date >=	Select the current date from the calendar. By default, this column will display Current Date - 6months.
Batch Start Date <=	Select the current date from the calendar. By default, this column will display Current Date
Batch Status	Select the batch status from the drop-down list. Following are the options available: ● Running ● Finished ● Error ● Cancelled

3.4.1.2 Search and List Grid

The search results are displayed in the *Search and List* grid.This grid displays the following columns:

Table 7. Search and List grid components

Field	Description
Scenario	This field displays the scenario name, as displayed in the Threshold Editor Page.
Threshold Set	This field displays the threshold set name, as displayed in the Threshold Editor Page.
Threshold Value	This field displays the threshold value, as displayed in the Alert Details Page.
Pattern Name	This field displays the pattern name for the selected pattern ID.
Batch Name	This field displays the batch name on which the scenario is run.
Batch Date and Time	This field displays the batch date and time.

Batch Status	This field displays the batch status. Following is the batch status: ● Running ● Finished ● Error ● Cancelled
Match Count	This field displays the number of match generated for the run.
Match Information	This field displays an excel icon. When clicked, an auto generated spreadsheet in the format "`<Scenario Name>_<BatchDate>_Matched Details.xlsx`" is displayed. The details are dynamic based on the scenario selection.
Last Modified Action	This field displays the action that was last modified.
Last Modified Date	This field displays the date on which the last action has been taken..
Last Modified User	This field displays the user who have taken the last action.

3.4.1.2.1 Action Buttons

The following action button is available on the *Search and List* grid:.

- **Purge:** When clicked**,** this button purges all the matches that are generated for the selected scenario andthreshold set combination.

4 AlertCreator Editor

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

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

4.1 About the Alert Creator Editor

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

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

4.1.1 Alert Creator Rule Guidelines

The following guidelines apply to the Alert Creator Editor:

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

Bindings are variables captured in a scenario pattern.

- Each binding must be attributed as mandatory (!) or conditional (?). If a binding is specified as mandatory, allmatches grouped together must have the same binding and the same value for that binding. If a binding is specified as conditional, matches that have that binding and have the same value for that binding is groupedtogether; matches that do not have this binding is grouped together.
- For example, !FIRM ?ISSUE, wherein FIRM is the mandatory binding and ISSUE is conditional binding. Inother words, for an alert to be created, each group must have a FIRM binding in which the values for that binding must match. In addition to FIRM binding, each group must either have an ISSUE binding in whichthe values match or each must be missing the ISSUE binding.

> **NOTE:**
>
> You can select only those bindings that represent focal entities.

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

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

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

> **NOTE:**
>
> Job Template IDs for all jobs are provided at deployment.

4.2 About the Alert Creator Editor Screen Elements

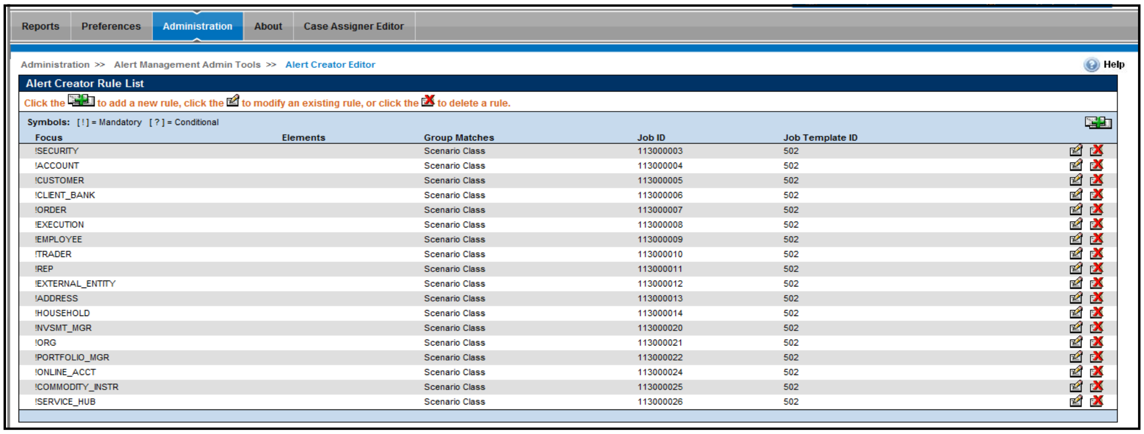
There are two pages associated with the Alert Creator Editor:

- **Alert Creator Rule List:** This is the first page displayed when you access the Alert Creator Editor. You canadd or delete a rule from this page, or navigate to the Alert Creator Rule Editor to add or modify a rule. Refer to the Alert Creator Rule List, on page 59 for more information.
- **Alert Creator Rule Editor:** This page enables you to add or modify a rule. Refer to the Alert Creator Rule Editor, on page 60 for more information.

4.2.1 Alert Creator Rule List

The Alert Creator Rule List displays all rules sorted by Focus, Elements, and then Group Matches (Figure 21).

Figure 21. Alert Creator Rule List


Reports
Preferences
Administration
About
Case Assigner Editor
Administration >> Alert Management Admin Tools >> Alert Creator Editor
Help

Alert Creator Rule List

Click the to add a new rule, click the to modify an existing rule, or click the to delete a rule.

Symbols: [!] = Mandatory [?] = Conditional

Focus	Elements	Group Matches	Job ID	Job Template ID
!SECURITY		Scenario Class	113000003	502
!ACCOUNT		Scenario Class	113000004	502
!CUSTOMER		Scenario Class	113000005	502
!CLIENT_BANK		Scenario Class	113000006	502
!ORDER		Scenario Class	113000007	502
!EXECUTION		Scenario Class	113000008	502
!EMPLOYEE		Scenario Class	113000009	502
!TRADER		Scenario Class	113000010	502
!REP		Scenario Class	113000011	502
!EXTERNAL_ENTITY		Scenario Class	113000012	502
!ADDRESS		Scenario Class	113000013	502
!HOUSEHOLD		Scenario Class	113000014	502
!NVSMT_MGR		Scenario Class	113000020	502
!ORG		Scenario Class	113000021	502
!PORTFOLIO_MGR		Scenario Class	113000022	502
!ONLINE_ACCT		Scenario Class	113000024	502
!COMMODITY_INSTR		Scenario Class	113000025	502
!SERVICE_HUB		Scenario Class	113000026	502

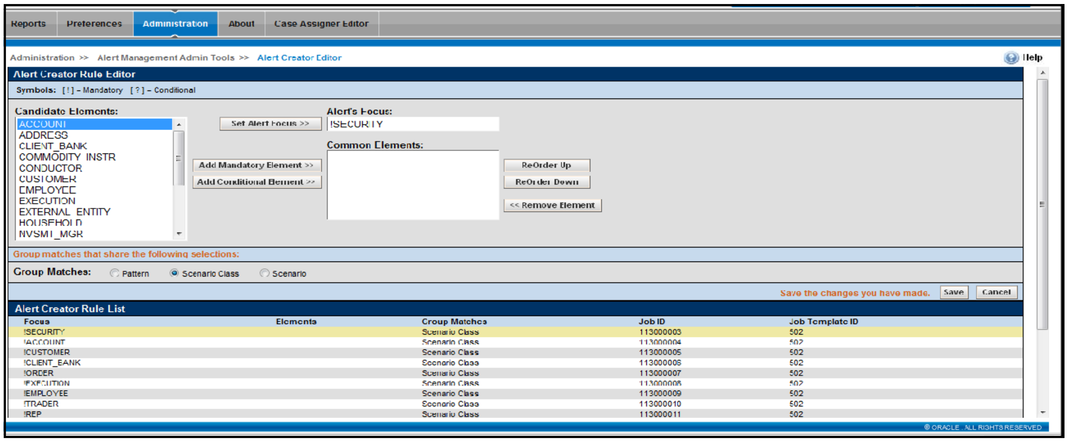
The components of the Alert Creator Editor include the following:

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

4.2.2 Alert Creator Rule Editor

From the Alert Creator Rule Editor, you can create a new rule or update an existing rule(Figure 22)

Figure 22. Alert Creator Rule Editor



Alert Creator Rule Editor

Symbols: [!] – Mandatory [?] – Conditional

Candidate Elements:
ACCOUNT
ADDRESS
CLIENT_BANK
COMMODITY_INSTR
CONDUCTOR
CUSTOMER
EMPLOYEE
EXECUTION
EXTERNAL_ENTITY
HOUSEHOLD
NVSMT_MGR

Alert's Focus: !SECURITY

Common Elements:

Group matches that share the following selections:

Group Matches: ○ Pattern ● Scenario Class ○ Scenario

Save the changes you have made.

Alert Creator Rule List

Focus	Elements	Group Matches	Job ID	Job Template ID
!SECURITY		Scenario Class	113000003	502
!ACCOUNT		Scenario Class	113000004	502
!CUSTOMER		Scenario Class	113000005	502
!CLIENT_BANK		Scenario Class	113000006	502
!ORDER		Scenario Class	113000007	502
!EXECUTION		Scenario Class	113000008	502
!EMPLOYEE		Scenario Class	113000009	502
!TRADER		Scenario Class	113000010	502
!REP		Scenario Class	113000011	502

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

- The Alert Creator Rule Editor area where you can create or update a rule.
- The Alert Creator Rule List that displays the rule's Focus, Elements, Group Matches, Job IDs, and Job Template IDs (but does not contain the Update or Delete buttons). Refer to the Alert Creator Rule List, on page 59 for more information.

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

- **Candidate Elements** list box: Displays available elements in ascending alphabetical order.
  - When you select **Add**, the Candidate Elements list box is populated with a value for the full name ofeach focus.
  - When you select **Update**, the Candidate Elements list box is populated with a value for the full name of each focus type that is not associated with the rule being updated as either the Alert's focus or a common element.

Alert's Focus text box: The focus of the resulting alert.

  - When you select **Add**, the **Alert's Focus** text box displays as blank (" ").
  - When you select **Update**, the **Alert's Focus** text box displays with the value representing the focus ofthe selected rule.

- **Common Elements** list box: Displays elements in the sequence in which they are associated to the rule.Common elements are the additional bindings that must be shared by matches to be grouped.

  - ▪ When you select **Add**, the Common Elements list box displays as blank (" ").
  - ▪ When you select **Update**, the Common Elements list box displays a value representing the commonelements of the selected rule.
- **Group Matches** options: Displays options to group matches that share the same **Pattern**, **Scenario**, or

4.2.2.1 Scenario Class.

  - ▪ When you select **Add**, a Group Matches option is not selected.
  - ▪ When you select **Update**, the Group Matches displays the translation of the Alert Creation Rule strategy of the associated rule.
- Set Alert Focus button**:**
  - ▪ Replaces any existing value in the Alert's Focus box with the value selected in the Candidate Elementslist box.
  - ▪ Resets the Common Elements list box by removing any values in the Common Elements list box.
  - ▪ Resets the Candidate Elements list box by displaying a value for every focus type, except the valueselected as the Alert's focus.
- Add Mandatory Element button**:**
  - ▪ Adds the value selected in the Candidate Elements list box as the last value listed in the CommonElements list box.
  - ▪ Prepends an exclamation point (!) to the value added to the Common Elements list box.
  - ▪ Removes the selected value from the Candidate Elements list box.
- Add Conditional Element button**:**
  - ▪ Adds the value selected in the Candidate Elements list box as the last value listed in the CommonElements list box.
  - ▪ Prepends a question mark (?) to the value added to the Common Elements list box.
  - ▪ Removes the selected value from the Candidate Elements list box.
- **ReOrder Up button**: Reorders the sequence of the displayed common elements by shifting the selectedvalue above the preceding value.
- **ReOrder Down button**: Reorders the sequence of the displayed common elements by shifting the selected value below the following value.
- **Remove Element button**:
  - ▪ Removes the selected element value from the Common Elements list box.
  - ▪ Adds the selected value without the exclamation point (!) or question mark (?) to the CandidateElements list box.
- **Save button**: Saves the rule.

- **Cancel button**: Navigates to the Alert Creator Rule List and does not create the rule or update the existing rule.

4.3 Using the Alert Creator Editor

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

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

4.3.1 Adding a Rule

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

1. Click **Add**.

The Alert Creator Rule Editor displays.

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

   The element is removed from the Candidate Elements list box and displays in the **Alert's Focus** text box, pre-ceded by a !.
3. Select an element in the Candidate Elements list box that you want to assign as a mandatory element.
4. Click **Add Mandatory Element** to add the selected element to the Common Elements list box.

   The element is removed from the Candidate Elements list box and displays in the Common Elements list box,preceded by a !.
5. Select an element in the Candidate Elements list box that you want to assign as a conditional element. Selecting a conditional element is optional. Proceed to Step 9, if you do not add a conditional element.
6. Click **Add Conditional Element** to add the selected element to the Common Elements list box.

   The element is removed from the Candidate Elements list box and displays in the Common Elements list box,preceded by a ?.
7. Click the desired **Group Matches** option.
8. Click **Save**.

   The Confirmation dialog box displays.
9. Click **OK**.

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

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

4.3.1.1 Modifying a Rule

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

1. Select the rule and click **Update**.
2. The Alert Creator Rule Editor displays.
3. Update the **Candidate Elements**, **Alert's Focus**, and **Common Elements** values.
4. Changing the focus of a rule, in the **Alert's Focus** text box, returns all elements in the Common Elements listto the Candidate Elements list, which requires you to specify new common elements for the new focus.
5. Click the desired **Group Matches** option, if applicable.
6. Click **Save**.

   The Confirmation dialog box displays.
7. Click **OK**.

The system updates the strategy of the existing alert creation rule to the option selected in **Group Matches**.Also, the system updates the binding of the existing alert creation rule by concatenating the following:

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

4.3.1.2 Deleting a Rule

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

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

   The system displays a Confirmation dialog box with a message: *Do You want to delete the selected Alert CreationRule?*.
2. Click **OK**.

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

5 Alert Scoring Editor

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

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

5.1 About the Alert Scoring Editor

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

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

5.2 *Scoring Match Strategies*

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

- **Simple Lookup:** Criteria can be established that increment a match's score by a pre-defined value (whensatisfied in match information). It supports adding multiple filters for a rule.
- For example, if the match focuses on high-risk entity and the entity has wire transactions of more than 100,increment the score by 25.
- **Graduated Value:** Criteria can be established that increment a score based on the value of a match's attributes as compared to a graduated scale. Determination of the graduated scale establishes a minimum value, a minimum score, a maximum value, and a maximum score. The system determines the relative scorefor all values between the minimum and maximum values. It supports adding multiple filters for a rule.
- For example, if the number of transactions of a match is less than or equal to 10, increment the score by 20.If the number of transactions of a match is greater than or equal to 30, increment the score by 40. Where 5 or more of the transactions are wire transaction and the transaction amount is greater than USD 20,000.
- The system determines the appropriate score between 20 and 40 for any match which satisfies the rule butnot the filter. if the match satisfies the filters then the score is increased by 40.

- **Prior Matches:** Criteria can be established that increment a match's score based not on attributes of the match, but on the quantity of matches focused on the same entity as the match and generated by the samescenario or scenario class as the match. A look back period limits the strategy to count only matches generated in the last *N* days.
- For example, for each match on an entity and scenario AA within the last 10 days, increment the score by five(5).
- The Prior Matches scoring strategy also supports scoring in which the score of an alert increases by a greater amount when the number of occurrences nears or exceeds the minimum value, rather than the maximum value.
- **Simple Scenario:** Criteria can be established that increment the score if a specific scenario generated thematch.
- For example, if an Account scenario (AC) generated the match, increment the score by 10.
- **Scoring Rule Set:** Criteria can be established to provide different scores for a matches if the match satisfies multiple rules defined.

For example, if the rules defined are as follows:

Scoring Tier 1, Number of Transactions = 40, Score 20, Next Scoring Tier is 2 Scoring Tier 2, Customer age between 20 to 40, Score 30, Next Scoring Tier is 3

Scoring Tier 3, Transaction Amount is between 10,0000 USD to USD 20,000 score is 40

The system initially checks for which rule attribute there is a match and then moves to the next scoring tier. Ifthe match does not satisfy the values of a next scoring tier the system assigns a score as of the previous scoring tiers matched by summing up those and max it to 100 if it exceeds.

5.3 About the Alert Scoring Editor Screen Elements

The Alert Scoring Editor provides information in two areas:

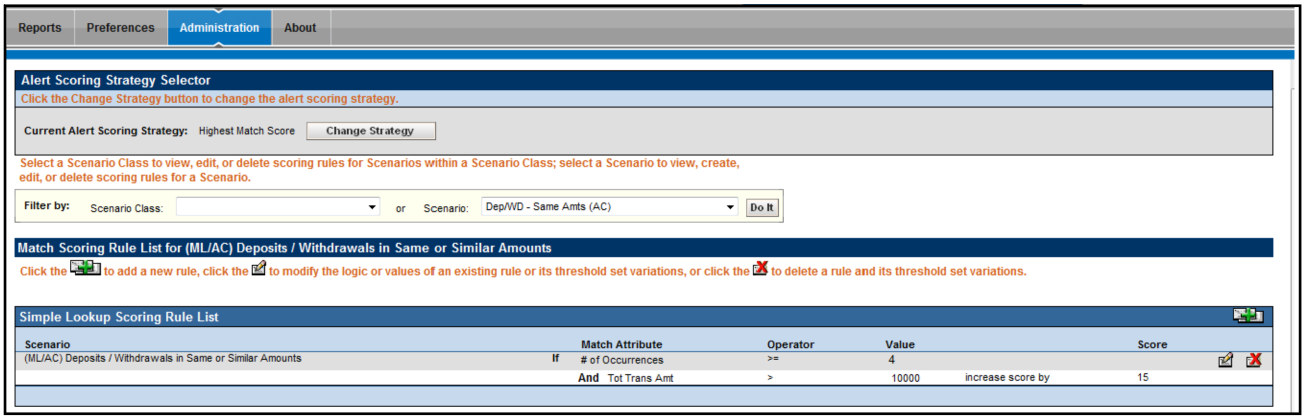
- **Alert Scoring Editor:** Displays when accessing the Alert Scoring Editor Administration Tool. You can navigate to a Scoring Rule Editor List page to add, modify, or delete a rule. In addition, you can change theAlert Scoring Strategy. Refer to *Alert Scoring Editor,* on page 67 for more information.
- **Alert Scoring Strategy Selector with Match Scoring Rule List:** Enables you to add, modify, or delete arule using one of the following match scoring rule editors:
  - Simple Lookup Scoring Editor (Refer to Simple Lookup Scoring Rule Editor, on page 71 for moreinformation.)
  - Graduated Value Scoring Editor (Refer to Graduated Value Scoring Rule Editor, on page 74 for moreinformation.)
  - Prior Matches Scoring Editor (Refer to Prior Matches Scoring Rule Editor, on page 78 for moreinformation.)
  - Simple Scenario Scoring Editor (Refer to Simple Scenario Scoring Rule Editor, on page 81 for moreinformation.)
  - Scoring Rule Set (Refer toScoring Rule Set List, on page 84 for more information.)

NOTE:

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

5.3.1 Alert Scoring Editor

Select a Scenario Class or a Scenario in the Alert Scoring Editor (Figure 23) to display all alert scoring rules that relate to that Scenario Class or Scenario.



Alert Scoring Strategy Selector

Click the Change Strategy button to change the alert scoring strategy.

Current Alert Scoring Strategy: Highest Match Score

Select a Scenario Class to view, edit, or delete scoring rules for Scenarios within a Scenario Class; select a Scenario to view, create, edit, or delete scoring rules for a Scenario.

Filter by: Scenario Class: or Scenario: Dep/WD - Same Amts (AC)

Match Scoring Rule List for (ML/AC) Deposits / Withdrawals in Same or Similar Amounts

Click the to add a new rule, click the to modify the logic or values of an existing rule or its threshold set variations, or click the to delete a rule and its threshold set variations.

Simple Lookup Scoring Rule List

Scenario		Match Attribute	Operator	Value		Score
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If	# of Occurrences	>=	4		
	And	Tot Trans Amt	>	10000	increase score by	15

Figure 23. Alert Scoring Editor

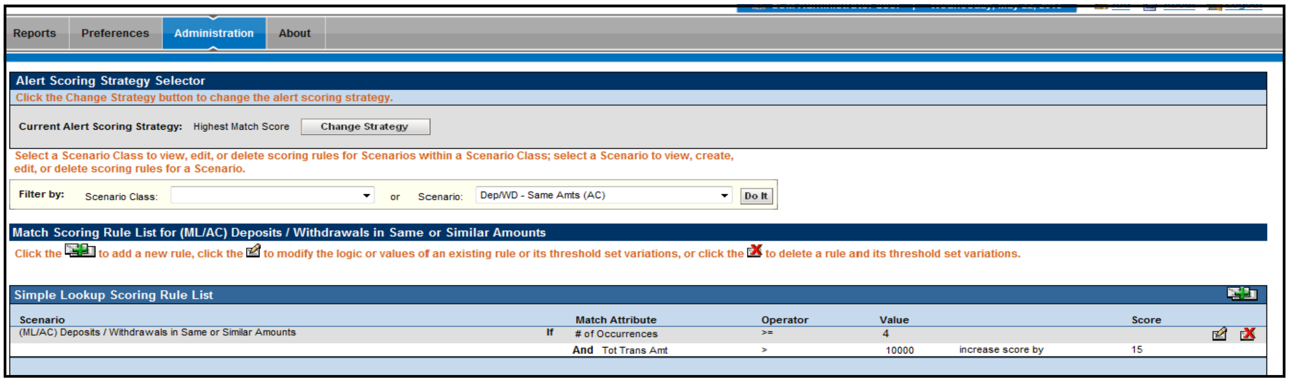
The Alert Scoring Editor includes the following components:

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

5.3.1.1 Alert Scoring Strategy Selector

The Alert Scoring Strategy Selector allows you to view and change the strategy for alert scoring (Figure 24).

Figure 24. Alert Scoring Strategy Selector



Alert Scoring Strategy Selector

Click the Change Strategy button to change the alert scoring strategy.

Current Alert Scoring Strategy: Highest Match Score

Select a Scenario Class to view, edit, or delete scoring rules for Scenarios within a Scenario Class; select a Scenario to view, create, edit, or delete scoring rules for a Scenario.

Filter by: Scenario Class: or Scenario: Dep/WD - Same Amts (AC)

Match Scoring Rule List for (ML/AC) Deposits / Withdrawals in Same or Similar Amounts

Click the to add a new rule, click the to modify the logic or values of an existing rule or its threshold set variations, or click the to delete a rule and its threshold set variations.

Simple Lookup Scoring Rule List

Scenario		Match Attribute	Operator	Value		Score
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If	# of Occurrences	>=	4		
	And	Tot Trans Amt	>	10000	increase score by	15

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

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

For example:

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

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

For example:

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

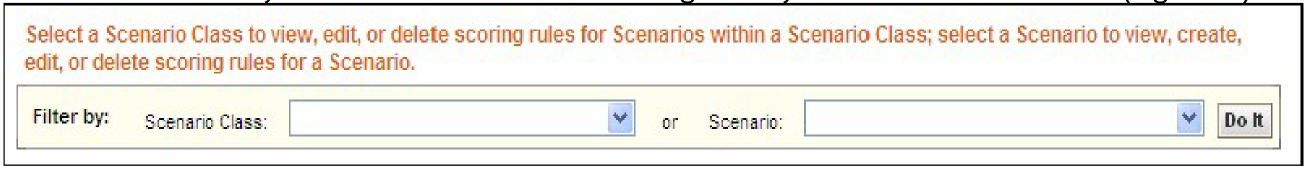
- **Save** button: Saves the new alert scoring strategy.

> **NOTE:**
>
> If you change the scoring strategy, a confirmation dialog box displays prompting you to confirm the change. Click OK to continue and save the new strategy.

- **Cancel** button: Redisplays the Alert Scoring Editor without a change to the alert scoring strategy.

5.3.1.2 Search Bar

The search bar allows you to filter the list of match scoring rules by Scenario Class or Scenario (Figure 25).



Select a Scenario Class to view, edit, or delete scoring rules for Scenarios within a Scenario Class; select a Scenario to view, create, edit, or delete scoring rules for a Scenario.

Figure 25. Alert Scoring Editor Search Bar

Components of the search bar include the following:

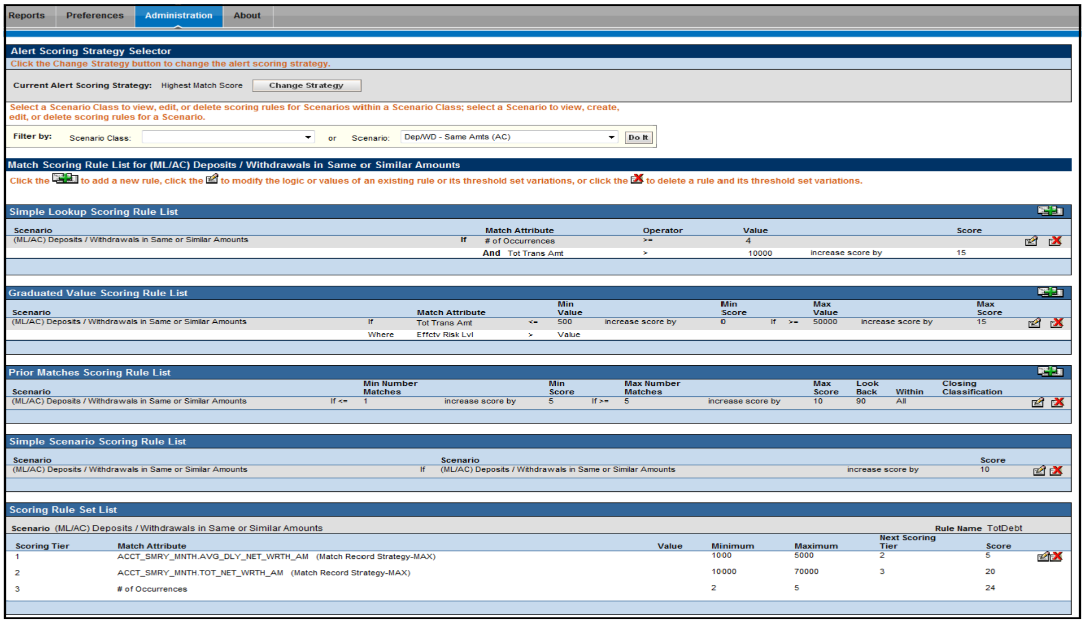
- **Filter by: Scenario Class** drop-down list: Provides all installed Scenario Classes. The values in the ScenarioClass drop-down list display in alphabetically ascending order.
- If you select a Scenario Class, you cannot select a Scenario from the **Scenario** drop-down list.
- **Filter by: Scenario**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

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

5.3.1.3 Alert Scoring Strategy Selector with Match Scoring Rule Lists

The Match Scoring Rule List displays below the Alert Scoring Search Bar after you select a Scenario Class or Scenario and click **Do It**. Within the Match Scoring Rule List, each match scoring strategy displays for the selectedScenario Class or Scenario(Figure 26).

Figure 26. Alert Scoring Strategy Selector - Match Scoring Rule List



Alert Scoring Strategy Selector

Click the Change Strategy button to change the alert scoring strategy.

Current Alert Scoring Strategy: Highest Match Score

Select a Scenario Class to view, edit, or delete scoring rules for Scenarios within a Scenario Class; select a Scenario to view, create, edit, or delete scoring rules for a Scenario.

Filter by: Scenario Class: or Scenario: Dep/WD - Same Amts (AC)

Match Scoring Rule List for (ML/AC) Deposits / Withdrawals in Same or Similar Amounts

Click the to add a new rule, click the to modify the logic or values of an existing rule or its threshold set variations, or click the to delete a rule and its threshold set variations.

Simple Lookup Scoring Rule List

Scenario		Match Attribute	Operator	Value		Score
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If	# of Occurrences	>=	4		
	And	Tot Trans Amt	>	10000	increase score by	15

Graduated Value Scoring Rule List

Scenario		Match Attribute		Min Value		Min Score			Max Value		Max Score
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If	Tot Trans Amt	<=	500	increase score by	0	If	>=	50000	increase score by	15
	Where	Effctv Risk Lvl	>	Value							

Prior Matches Scoring Rule List

Scenario		Min Number Matches		Min Score		Max Number Matches		Max Score	Look Back	Within	Closing Classification
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If <=	1	increase score by	5	If >=	5	increase score by	10	90	All	

Simple Scenario Scoring Rule List

Scenario		Scenario		Score
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	increase score by	10

Scoring Rule Set List

Scenario (ML/AC) Deposits / Withdrawals in Same or Similar Amounts Rule Name TotDebt

Scoring Tier	Match Attribute	Value	Minimum	Maximum	Next Scoring Tier	Score
1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5
2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20
3	# of Occurrences		2	5		24

The Match Scoring Rule List includes the following components:

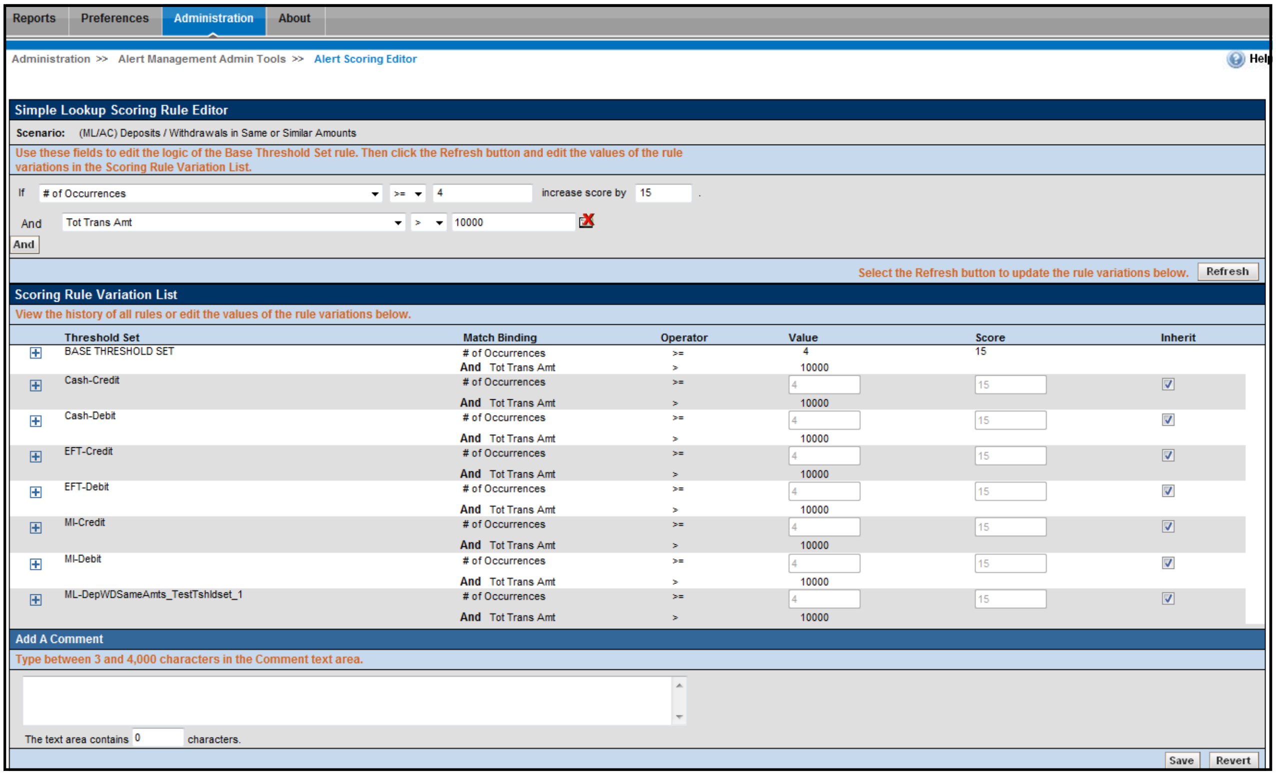
- Areas that contain the list of rules for each of the various match scoring strategies:
    - **Simple Lookup Scoring Rule List:** Displays the Scenario, Match Binding, Operator, Value, and Scorecolumns for each base scoring rule. Refer to Simple Scoring Rule Editor Components, on page 72 for columndescriptions.
    - **Graduated Value Scoring Rule List:** Displays the Scenario, Match Binding, Min Value, Min Score,Max Value, and Max Score columns for each base scoring rule. Refer to Graduated Value Scoring Rule Editor Components, on page 76 for column descriptions.
    - **Prior Matches Scoring Rule List:** Displays the Scenario, Min Number Matches, Min Score, Max Number Matches, Max Score, Look Back, and Within columns for each base scoring rule. Refer to Prior Matches Scoring Rule Editor Components, on page 79 for column descriptions.
    - **Simple Scenario Scoring Rule List**: Displays the Scenario (within rule text) and Score columns for each base scoring rule. Refer to the Simple Scenario Scoring Rule Editor Components, on page 82 for columndescriptions.
    - **Scoring Rule Set:** Displays the scoring rule set for a particular scenario (Refer toScoring Rule Set List, on page 84 for more information.)
- Add button: Navigates you to the associated Match Scoring Rule Editor.

> **NOTE:**
>
> The **Add** button is available only if you select an option in the **Scenario** drop-down list.

- **Update** button: Navigates you to the associated Alert Scoring Editor.
- **Delete** button: Deletes the match scoring rule.

5.3.1.4 Scoring Rule Variation List

The Scoring Rule Variation List displays after clicking either the **Add** or **Update** button in any scoring rule list (Figure 27 illustrates the Simple Lookup Scoring Rule Variation List). This list contains attributes of Threshold rulevariations, which depend on the scoring rule that you use.



Administration >> Alert Management Admin Tools >> Alert Scoring Editor

Simple Lookup Scoring Rule Editor

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

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

If # of Occurrences >= 4 increase score by 15 .

And Tot Trans Amt > 10000

Select the Refresh button to update the rule variations below.

Scoring Rule Variation List

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

Threshold Set	Match Binding	Operator	Value	Score	Inherit
BASE THRESHOLD SET	# of Occurrences	>=	4	15	
	And Tot Trans Amt	>	10000		
Cash-Credit	# of Occurrences	>=	4	15	☑
	And Tot Trans Amt	>	10000		
Cash-Debit	# of Occurrences	>=	4	15	☑
	And Tot Trans Amt	>	10000		
EFT-Credit	# of Occurrences	>=	4	15	☑
	And Tot Trans Amt	>	10000		
EFT-Debit	# of Occurrences	>=	4	15	☑
	And Tot Trans Amt	>	10000		
MI-Credit	# of Occurrences	>=	4	15	☑
	And Tot Trans Amt	>	10000		
MI-Debit	# of Occurrences	>=	4	15	☑
	And Tot Trans Amt	>	10000		
ML-DepWDSameAmts_TestTshldset_1	# of Occurrences	>=	4	15	☑
	And Tot Trans Amt	>	10000		

Add A Comment

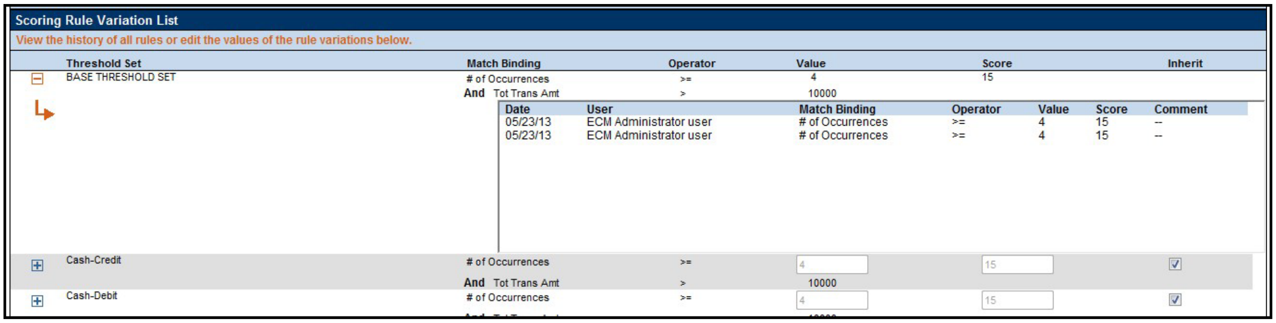
Type between 3 and 4,000 characters in the Comment text area.

The text area contains 0 characters.

Figure 27. Simple Lookup Scoring Rule Editor- Scenario Filtering

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

- **+ Icon (Threshold History):** Opens a window below the selected Threshold that contains a scrollable listof modifications to a rule variation for a Threshold (Figure 28).



Scoring Rule Variation List

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

	Threshold Set	Match Binding	Operator	Value	Score	Inherit
⊟	BASE THRESHOLD SET	# of Occurrences	>=	4	15	
		And Tot Trans Amt	>	10000		
⊞	Cash-Credit	# of Occurrences	>=	4	15	☑
		And Tot Trans Amt	>	10000		
⊞	Cash-Debit	# of Occurrences	>=	4	15	☑

Date	User	Match Binding	Operator	Value	Score	Comment
05/23/13	ECM Administrator user	# of Occurrences	>=	4	15	--
05/23/13	ECM Administrator user	# of Occurrences	>=	4	15	--

Figure 28. Expanded Rule Modification History

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

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

- **Threshold Set** label: Displays the names of individual Thresholds that compose the Threshold Set, including the Base Threshold Set.
- **Inherit** label: Determines whether a Threshold inherits the rule attributes for the Base Threshold Set.This applies only to rule variations for a Scenario.
- **Add a Comment** field: Allows you to type comments (from 3 to 4,000 characters) about new rules orchanges that a user made to a current rule.
- Comments also display as part of scoring rule history.
- **The text area contains _ characters** text box: Numeric field that provides the current number of charactersin the **Add a Comment** field.
- **Save** button: Saves any changes that you made and displays the previous screen.
- **Revert** button: Reverts to previous values without saving any modifications and displays the previous screen.

5.3.2 Simple Lookup Scoring Rule Editor

When you click Add or Update in the Simple Lookup Scoring Rule List and filter by Scenario, or click Update when filtering by Scenario Class, the Simple Lookup Scoring Rule Editor with Scoring Rule Variation List displays (Figure 27).

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

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

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

- Simple Scoring Rule Editor Components (refer to Simple Scoring Rule Editor Components, on page 72 for moreinformation).
- Simple Lookup Scoring Rule Modification (refer to Simple Lookup Scoring Rule Modification, on page 73 formore information).

5.3.2.1 Simple Scoring Rule Editor Components

The Simple Lookup Scoring Rule Editor includes the following components:

- **Scenario Class** label: Displays (not editable) the name of the Scenario Class when you select this editor tocreate a scoring rule for a Scenario Class.

Or

- **Scenario** label: Displays (not editable) the name of the Scenario when you select this editor to create ascoring rule for a Scenario.
- **Match Attribute** drop-down list: Contains a value for each binding description associated within each pattern and a matched record within the selected Scenario Class (if you are updating a rule for a Scenario Class), or a value for each binding description and matched record (displays in table.column format) associated with patterns within the selected Scenario (if you are adding or updating a rule for a single Scenario). The values display in ascending alphabetic order.
  - If you select **Add**, the first option in the Match Attribute drop-down list displays as the sample value.
  - If you select **Update**, the current match attribute for the selected rule displays in the Match Attribute drop-down list field.
- **Match Record Strategy** drop-down list: Displays Min, Max and Sum. This is enabled only if you choose a matched record from the Match Attribute drop-down list. The value of the match record strategy is displayedin Parenthesis beside the matched record after selection of the value. This is mandatory to be selected for any matched record being selected in the Match Attribute drop-down list.
- **Operator** drop-down list: Contains the values <, <=, >, >=, =, and !=.
  - If you select **Add**, the Operator drop-down list displays = as the default.
  - If you select **Update**, the Operator drop-down list displays the current Operator for the selected rule.
- **Value** text box: Displays a value as an enumerated figure or range to associate to the selected value in theMatch Attribute drop-down list.
  - If you select **Add**, the **Value** text box displays the text *Value*.
  - If you select **Update**, the **Value** text box displays the current value entry for the selected rule.
- **Score** text box: Displays a value assigned to matches that meet all rule criteria.
  - If you select **Add**, the **Score** text box displays the text *Score*.

- If you select **Update**, the **Score** text box displays the current score entry for the selected rule.
- The score can be any numeric value, less than, greater than, or equal to zero (0) and less than or equal tothe application's Maximum Match Score.

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

Rule 1: If the value is greater than or equal to 100, then add 10 points to the Score field. Rule 2: If the value is greater than 500, then add negative 10 (-10) points to the Score field. To reduce the score when high amounts are involved, use:

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

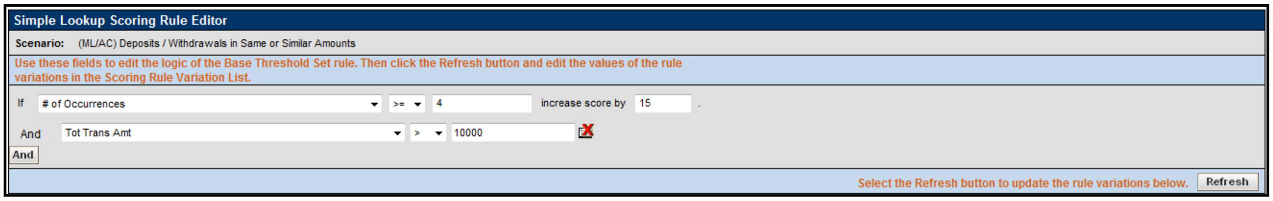
You can also combine this with the Graduated Lookups to get a *below minimum* that adds nothing to the alert, but you do not have to start the range at zero (0).

And button: Allows you to add multiple filters for a rule using. This is optional for a rule definition. You canadd *x* number of filters for a rule, where x is a configurable parameter in config.xml.

5.3.2.2 Simple Lookup Scoring Rule Modification

For a Scenario, you can modify the scoring rule for each attribute that you select in the Match Attribute drop-downlist (Figure 29).

Figure 29. Match Attribute Scoring Rule Modification



Simple Lookup Scoring Rule Editor

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

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

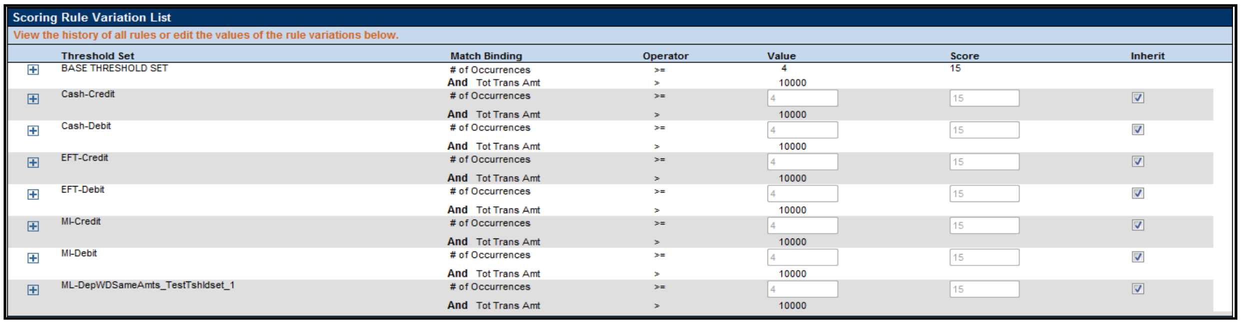
If # of Occurrences >= 4 increase score by 15 .

And Tot Trans Amt > 10000

Select the Refresh button to update the rule variations below.

When you enter values in the **Value** and **Score** fields and click **Save**, the Scoring Rule Variation List displays(Figure 30).

Figure 30. Scoring Rule Variation List by Scenario



Scoring Rule Variation List

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

	Threshold Set	Match Binding	Operator	Value	Score	Inherit
⊞	BASE THRESHOLD SET	# of Occurrences **And** Tot Trans Amt	>= >	4 10000	15	
⊞	Cash-Credit	# of Occurrences **And** Tot Trans Amt	>= >	4 10000	15	☑
⊞	Cash-Debit	# of Occurrences **And** Tot Trans Amt	>= >	4 10000	15	☑
⊞	EFT-Credit	# of Occurrences **And** Tot Trans Amt	>= >	4 10000	15	☑
⊞	EFT-Debit	# of Occurrences **And** Tot Trans Amt	>= >	4 10000	15	☑
⊞	MI-Credit	# of Occurrences **And** Tot Trans Amt	>= >	4 10000	15	☑
⊞	MI-Debit	# of Occurrences **And** Tot Trans Amt	>= >	4 10000	15	☑
⊞	ML-DepWDSameAmts_TestTshldset_1	# of Occurrences **And** Tot Trans Amt	>= >	4 10000	15	☑

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

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

> **NOTE:**
>
> You can enter negative values by changing the scoring increment to a negative value. For example you would have two simple lookup rules as follows:
>
> If <binding name 1> = 50, increase score by 10 If <binding name 2> = 100 increase score by -5
>
> If for a particular match, "binding name 1" had a value of 50 and "binding name 2" had a value of 100, the final score would be 5.

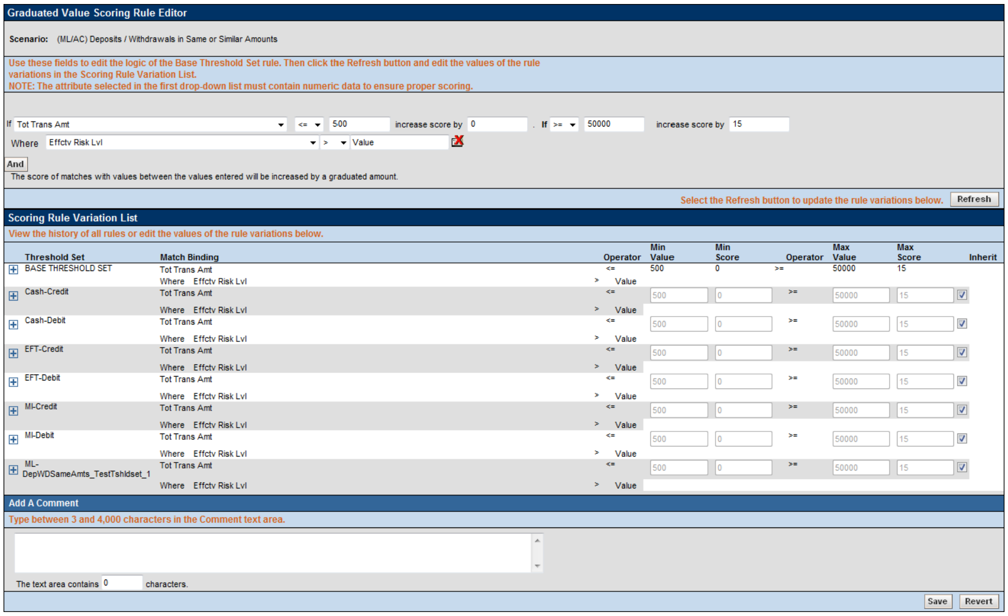
Scoring Rule Variation List, on page 70 and Simple Scoring Rule Editor Components, on page 72 provide description of most components in the Scoring Rule Variation List. The Simple Lookup Scoring Rule Editor also contains the following buttons:

- **And:** Allows you to add new filters for a rule. If at any time you want to remove a filter already associated toa rule, click the Remove button available for each of the filter rows.
- **Refresh**: Updates changes to rules in the Scoring Rule Variation List based on the base rule (and for whichthe Inherit check box is selected).
- **Save**: Saves your changes to the rules and displays the previous screen.
- **Revert**: Exits the area without saving any changes and displays the previous screen.

5.3.3 Graduated Value Scoring Rule Editor

The Graduated Value Scoring Rule Editor displays after clicking Add or Update in the Graduated Value Scoring Rule List (Figure 31). The Graduated Value Scoring Rule Editor allows you to create and edit rules that increment scores based on the value of a match's attributes as compared to a graduated scale.

Figure 31. Graduated Value Scoring Rule Editor



Graduated Value Scoring Rule Editor

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

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

If Tot Trans Amt <= 500 increase score by 0 . If >= 50000 increase score by 15
Where Effctv Risk Lvl > Value

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

Select the Refresh button to update the rule variations below.

Scoring Rule Variation List

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

Threshold Set	Match Binding	Operator	Min Value	Min Score	Operator	Max Value	Max Score	Inherit
BASE THRESHOLD SET	Tot Trans Amt Where Effctv Risk Lvl	<= > Value	500	0	>=	50000	15	
Cash-Credit	Tot Trans Amt Where Effctv Risk Lvl	<= > Value	500	0	>=	50000	15	☑
Cash-Debit	Tot Trans Amt Where Effctv Risk Lvl	<= > Value	500	0	>=	50000	15	☑
EFT-Credit	Tot Trans Amt Where Effctv Risk Lvl	<= > Value	500	0	>=	50000	15	☑
EFT-Debit	Tot Trans Amt Where Effctv Risk Lvl	<= > Value	500	0	>=	50000	15	☑
MI-Credit	Tot Trans Amt Where Effctv Risk Lvl	<= > Value	500	0	>=	50000	15	☑
MI-Debit	Tot Trans Amt Where Effctv Risk Lvl	<= > Value	500	0	>=	50000	15	☑
ML-DepWDSameAmts_TestTshldset_1	Tot Trans Amt Where Effctv Risk Lvl	<= > Value	500	0	>=	50000	15	☑

Add A Comment

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

The text area contains 0 characters.

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

- Graduated Value Scoring Rule Editor Components (refer to Graduated Value Scoring Rule Editor Components, on page 76 for more information).
- Graduated Value Scoring Rule Modification (refer to Graduated Value Scoring Rule Modification, on page 77 for more information).

5.3.4 Graduated Value Scoring Rule Editor Components

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

- **Scenario Class** label: Displays (but is not editable) the name of the Scenario Class when you select this editorto create a scoring rule for a Scenario Class.

Or:

- **Scenario** label: Displays (but is not editable) the name of the Scenario when you select this editor to create ascoring rule for a Scenario.
- **Match Attribute** drop-down list: Contains a value for each binding description associated within each pattern and matched record within the selected Scenario Class (if you are updating a rule to a Scenario Class), or a value for each binding description and matched record (displays in table.column format) associated with patterns within the selected Scenario (if you are adding or updating a rule to a single Scenario). The values display in ascending alphabetic order.
    - If you select **Add**, the Match Attribute drop-down list displays the first option in the list as the defaultvalue.
    - If you select **Update**, the Match Attribute drop-down list field displays the current match attribute forthe selected rule.
- **Match Record Strategy** drop-down list: Displays Min, Max and Sum. This is enabled only if you choose a matched record from the Match Attribute drop-down list. The value of the match record strategy is displayedin Parenthesis beside the matched record after selection of the value. This is mandatory to be selected for any matched record being selected in the Match Attribute drop-down list.
- **Min Value** text box: Must contain the minimum value for the selected binding description in the MatchAttribute drop-down menu for the rule to apply.
    - If you select **Add**, the **Min Value** text box displays the text *Min Value*.
    - If you select **Update**, the **Min Value** text box displays the current minimum value entry for theselected rule.
    - Accepts a numeric value that is greater than or equal to zero (0) and less than the maximum value.
- **Min Score** text box: Must contain the score value that applies to the minimum value for the selected bindingdescription in the Match Attribute drop-down menu for the rule to apply.
    - If you select **Add**, the **Min Score** text box displays the text *Min Score*.
    - If you select **Update**, the **Min Score** text box displays the current minimum score entry for the selectedrule.

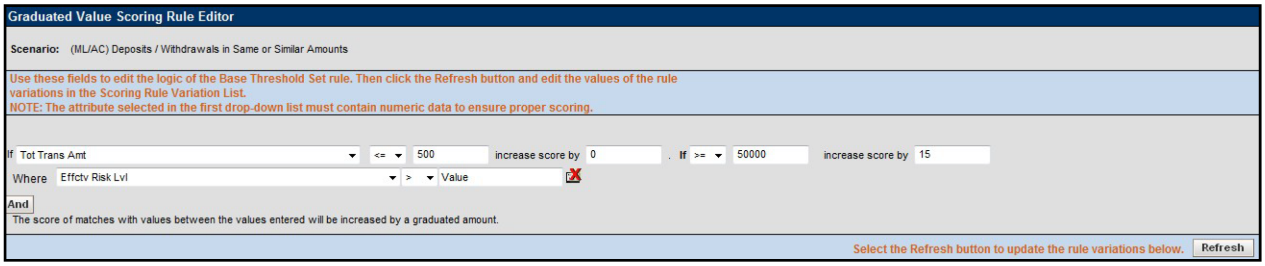
- Accepts a minimum score of a numeric value greater or equal to zero (0) and less than or equal to themaximum score.
- **Max Value** text box: Must contain the maximum value for the selected binding description selected in theMatch Attribute drop-down menu for the rule to apply.
- If you select **Add**, the **Max Value** text box displays the text *Max Value.*
- If you select **Update**, the **Max Value** text box displays the current maximum value entry for theselected rule.
- Accepts a numeric value that is greater than or equal to zero (0) and greater than the minimum value.

- Max Score text box: Must contain the score value that would apply to the maximum value for the binding description selected from the Match Attribute drop-down menu for the rule to apply.
  - If you select **Add**, the **Max Score** text box displays the text *Max Score.*
  - If you select **Update**, the **Max Score** text box displays the current maximum score entry for theselected rule.
  - Maximum score must be a numeric value greater or equal to the minimum score and less than or equalto the application’s Maximum Match Score set during installation.
  - Click the **And** button if you wish to add multiple filters for a rule.

5.3.4.1 Graduated Value Scoring Rule Modification

For a particular Scenario, you can modify the graduated value scoring rule for each attribute that you select in theMatch Attribute drop-down list (Figure 32).

Figure 32. Match Attribute Scoring Rule Modification



Graduated Value Scoring Rule Editor

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

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

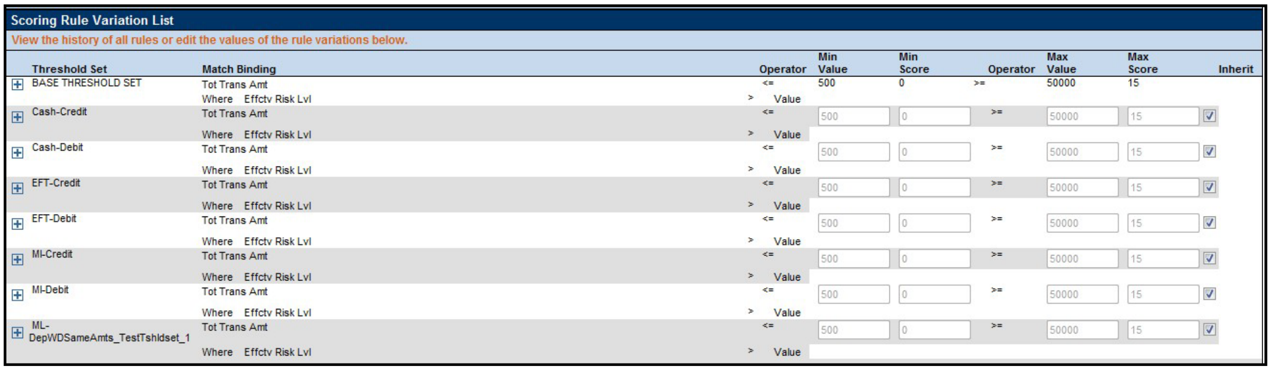
If Tot Trans Amt <= 500 increase score by 0 . If >= 50000 increase score by 15
Where Effctv Risk Lvl > Value

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

Select the Refresh button to update the rule variations below.

When you enter values in the **Min Value**, **Min Score**, **Max Value**, and **Max Score** fields and click **Save**, theScoring Rule Variation List displays (Figure 33).

Figure 33. Graduated Value Scoring Rule Variation List by Scenario



Scoring Rule Variation List

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

Threshold Set	Match Binding	Operator	Min Value	Min Score	Operator	Max Value	Max Score	Inherit
⊞ BASE THRESHOLD SET	Tot Trans Amt	<=	500	0	>=	50000	15	
	Where Effctv Risk Lvl	>	Value					
⊞ Cash-Credit	Tot Trans Amt	<=	500	0	>=	50000	15	☑
	Where Effctv Risk Lvl	>	Value					
⊞ Cash-Debit	Tot Trans Amt	<=	500	0	>=	50000	15	☑
	Where Effctv Risk Lvl	>	Value					
⊞ EFT-Credit	Tot Trans Amt	<=	500	0	>=	50000	15	☑
	Where Effctv Risk Lvl	>	Value					
⊞ EFT-Debit	Tot Trans Amt	<=	500	0	>=	50000	15	☑
	Where Effctv Risk Lvl	>	Value					
⊞ MI-Credit	Tot Trans Amt	<=	500	0	>=	50000	15	☑
	Where Effctv Risk Lvl	>	Value					
⊞ MI-Debit	Tot Trans Amt	<=	500	0	>=	50000	15	☑
	Where Effctv Risk Lvl	>	Value					
⊞ ML-DepWDSameAmts_TestTshldset_1	Tot Trans Amt	<=	500	0	>=	50000	15	☑
	Where Effctv Risk Lvl	>	Value					

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

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

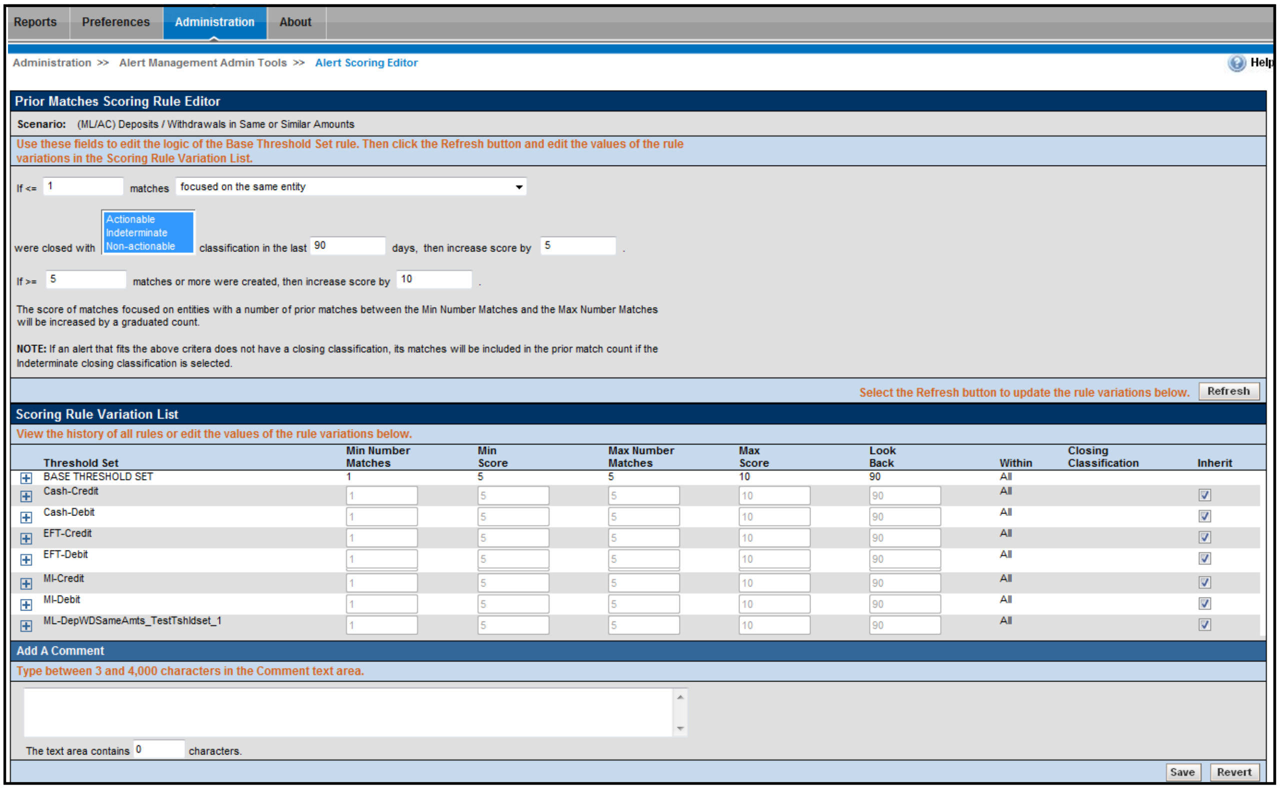
Scoring Rule Variation List, on page 70 and Graduated Value Scoring Rule Editor, on page 74 provides description of most components in the Scoring Rule Variation List. The Graduated Value Scoring Rule Editor also contains the following buttons:

- **And:** Allows you to add new filters for a rule. If at any time you want to remove a filter already associated toa rule, click the Remove button available for each of the filter rows.
- **Refresh**: Updates changes to rules in the Scoring Rule Variation List based on the base rule (and for whichthe **Inherit** check box is selected).
- **Save**: Saves your changes to the rules and displays the previous screen.
- **Revert**: Exits the area without saving any changes and displays the previous screen.

5.3.5 Prior Matches Scoring Rule Editor

The Prior Matches Scoring Rule Editor (Figure 34) displays after you click Add or Update in the Prior Matches Scoring Rule List. The Prior Matches Scoring Rule Editor allows you to create and edit rules based not on attributesof the match, but based on the quantity of matches focused on the same entity as the match and generated by the same scenario or scenario class as the match. A look back period also constrains the strategy to count only matchesthat the system generated in the last *N* days.

Figure 34. Prior Matches Scoring Rule Editor



Administration >> Alert Management Admin Tools >> Alert Scoring Editor

Prior Matches Scoring Rule Editor

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

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

If <= 1 matches focused on the same entity

were closed with Actionable / Indeterminate / Non-actionable classification in the last 90 days, then increase score by 5 .

If >= 5 matches or more were created, then increase score by 10 .

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

NOTE: If an alert that fits the above critera does not have a closing classification, its matches will be included in the prior match count if the Indeterminate closing classification is selected.

Select the Refresh button to update the rule variations below. Refresh

Scoring Rule Variation List

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

Threshold Set	Min Number Matches	Min Score	Max Number Matches	Max Score	Look Back	Within	Closing Classification	Inherit
⊞ BASE THRESHOLD SET	1	5	5	10	90	All		
⊞ Cash-Credit	1	5	5	10	90	All		☑
⊞ Cash-Debit	1	5	5	10	90	All		☑
⊞ EFT-Credit	1	5	5	10	90	All		☑
⊞ EFT-Debit	1	5	5	10	90	All		☑
⊞ MI-Credit	1	5	5	10	90	All		☑
⊞ MI-Debit	1	5	5	10	90	All		☑
⊞ ML-DepWDSameAmts_TestTshldset_1	1	5	5	10	90	All		☑

Add A Comment

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

The text area contains 0 characters.

Save Revert

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

- Prior Matches Scoring Rule Editor Components (refer to Graduated Value Scoring Rule Editor Components, on page 76 for more information).
- Prior Matches Scoring Rule Modification (refer to Graduated Value Scoring Rule Modification, on page 77 for more information).

5.3.5.1.1 Prior Matches Scoring Rule Editor Components

The Prior Matches Scoring Rule Editor includes the following components:

- **Scenario Class** label: Displays (but is not editable) the name of the Scenario Class when you select this editorto create a scoring rule for a Scenario Class.

Or:

- **Scenario** label: Displays (but is not editable) the name of the Scenario when you select this editor to create ascoring rule for a Scenario.
- **Min Number Matches** text box: Must contain the minimum number of matches that meet the SameScenario criteria for the rule to apply.
  - If you select **Add**, the **Min Number** text box displays the text *Min Number.*
  - If you select **Update**, the **Min Number** text box displays the current minimum number entry for theselected rule.
  - Accepts a numeric value that is greater than or equal to zero (0) and less than or equal to the maximumnumber.

- **Same Scenario** drop-down list: Designates that you select matches that are focused on the same entity, focused on the same entity and generated by the same scenario, or focused on the same entity and generatedby the same scenario class.
    - If you select **Add**, the Same Scenario drop-down list displays the default value of *focused on the same entity*.
    - If you select **Update**, the Same **Scenario** text box displays the current entity or scenario entry for theselected rule.
- **Alert Closing Classification** list box: Designates that you select matches that are closed with Actionable,Indeterminate, or Non-actionable classification. You can configure the list of Alert Closing Classification names at the time of installation (Refer to the *Installation Guide* for more information).
    - If you select **Add**, all classifications in the Alert Closing Classification list box are selected.
    - If you select **Update**, the Alert Closing Classification list box displays the current classification for theselected rule.

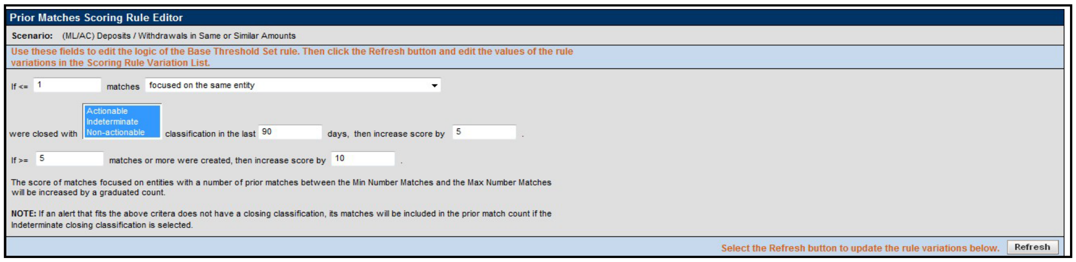
      > **NOTE**: If you do not want to search matches on Alert Closing Classification, select all options in the list box.
- **Look Back Days** text box: Must contain the number of days prior to the current date that the rule searchesfor matches that meet all other prior match scoring rule criteria.
    - If you select **Add**, the **Look Back Days** text box displays the text *Look Back Days*.
    - If you select **Update**, the **Look Back Days** text box displays the current look back days entry for theselected rule.
    - Enter a numeric value in this text box that is greater than or equal to zero (0).
- **Min Score** text box: Must contain the score value to be assigned to matches that meet the minimum valuefor the selected attribute in the **Same Scenario** drop-down list for the rule to apply.
    - If you select **Add**, the **Min Score** text box displays the text *Min Score*.
    - If you select **Update**, the **Min Score** text box displays the current minimum score entry for the selectedrule.
    - Minimum score must be a numeric value greater or equal to zero (0) and less than or equal to themaximum score.
- **Max Number Matches** text box: Must contain the maximum number of matches that meet the SameScenario criteria for the rule to apply.
    - If you select **Add**, the **Max Number** text box displays the text *Max Number.*
    - If you select **Update**, the **Max Number** text box displays the current maximum number entry for theselected rule.
    - Enter a numeric value in this text box that is greater than or equal to zero (0) and greater than or equalto the minimum number.
- **Max Score** text box: Must contain the score value to be assigned to matches that meet the maximum valuefor the attribute selected from the Same Scenario drop-down list for the rule to apply.
    - If you select **Add**, the **Max Score** text box displays the text *Max Score*.

- If you select **Update**, the **Max Score** text box displays the current maximum score entry for theselected rule.
- Maximum score must be a numeric value greater or equal to the minimum score and less than or equalto the application's Maximum Match Score set during installation.

5.3.5.2 Prior Matches Scoring Rule Modification

For a particular Scenario, you can modify the prior matches scoring rule for the same Scenario criteria that you selectin the Same Scenario drop-down list (Figure 35).

Figure 35. Prior Matches Scoring Rule Modification



Prior Matches Scoring Rule Editor

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

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

If <= 1 matches focused on the same entity

were closed with Actionable / Indeterminate / Non-actionable classification in the last 90 days, then increase score by 5 .

If >= 5 matches or more were created, then increase score by 10 .

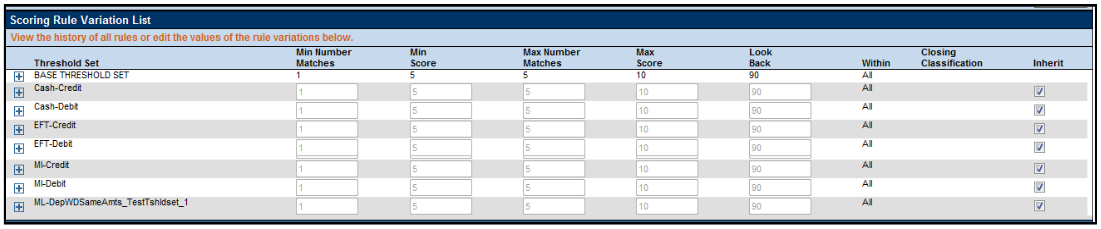
The score of matches focused on entities with a number of prior matches between the Min Number Matches and the Max Number Matches will be increased by a graduated count.

NOTE: If an alert that fits the above critera does not have a closing classification, its matches will be included in the prior match count if the Indeterminate closing classification is selected.

Select the Refresh button to update the rule variations below.

When you enter values in the Rule Editor fields (**Min Number Matches**, **Same Scenario**, **Alert Closing Classification**, **Look Back Days**, **Min Score**, **Max Number Matches**, and **Max Score**) and click **Save**, the PriorMatches Scoring Rule Variation List displays (Figure 36).

Figure 36. Prior Matches Scoring Rule Variation List by Scenario



Scoring Rule Variation List

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

	Threshold Set	Min Number Matches	Min Score	Max Number Matches	Max Score	Look Back	Within	Closing Classification	Inherit
⊞	BASE THRESHOLD SET	1	5	5	10	90	All		
⊞	Cash-Credit	1	5	5	10	90	All		☑
⊞	Cash-Debit	1	5	5	10	90	All		☑
⊞	EFT-Credit	1	5	5	10	90	All		☑
⊞	EFT-Debit	1	5	5	10	90	All		☑
⊞	MI-Credit	1	5	5	10	90	All		☑
⊞	MI-Debit	1	5	5	10	90	All		☑
⊞	ML-DepWDSameAmts_TestTshldset_1	1	5	5	10	90	All		☑

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

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

Scoring Rule Variation List, on page 70 and Prior Matches Scoring Rule Editor, on page 78 provides description of mostcomponents in the Scoring Rule Variation List. The Prior Match Scoring Rule Editor also contains the following buttons:

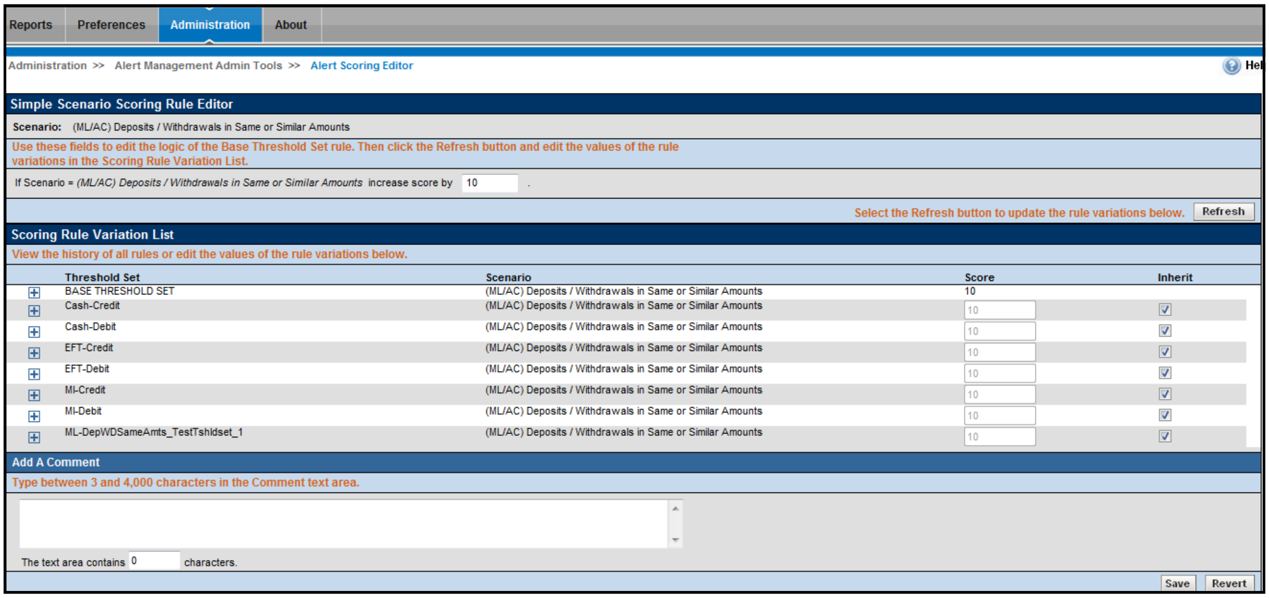
- **And:** Allows you to add new filters for a rule. If at any time you want to remove a filter already associated toa rule, click the Remove button available for each of the filter rows.
- **Refresh**: Updates changes to rules in the Scoring Rule Variation List based on the base rule (and for whichthe Inherit check box is selected).
- **Save**: Saves your changes to the rules and displays the previous screen.
- **Revert**: Exits the area without saving any changes and displays the previous screen.

5.3.5.3 Simple Scenario Scoring Rule Editor

The Simple Scenario Scoring Rule Editor displays after clicking **Add** or **Update** in the Simple Scenario Scoring RuleList (Figure 37) when you filter by scenario. The Simple Scenario Scoring Rule Editor allows you to create and edit arule that increments the score of matches that a specific scenario generates.

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

Figure 37. Simple Scenario Scoring Rule Editor



Administration >> Alert Management Admin Tools >> Alert Scoring Editor

Simple Scenario Scoring Rule Editor

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

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

If Scenario = *(ML/AC) Deposits / Withdrawals in Same or Similar Amounts* increase score by 10 .

Select the Refresh button to update the rule variations below.

Scoring Rule Variation List

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

	Threshold Set	Scenario	Score	Inherit
⊞	BASE THRESHOLD SET	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	
⊞	Cash-Credit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	Cash-Debit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	EFT-Credit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	EFT-Debit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	MI-Credit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	MI-Debit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	ML-DepWDSameAmts_TestTshldset_1	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑

Add A Comment

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

The text area contains 0 characters.

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

- Simple Scenario Scoring Rule Editor Components (refer to Graduated Value Scoring Rule Editor Components, on page 76 for more information).
- Simple Scenario Scoring Rule Modification (refer to Graduated Value Scoring Rule Modification, on page 77 formore information).

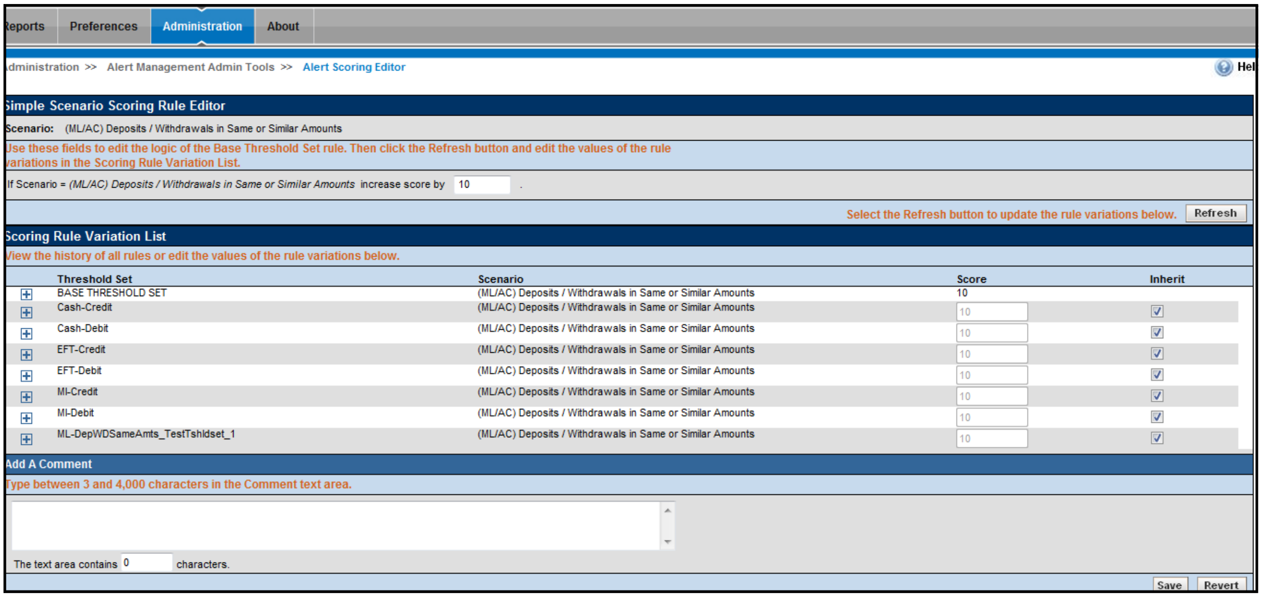
5.3.5.3.1 Simple Scenario Scoring Rule Editor Components

The Simple Scenario Scoring Rule Editor includes the following components:

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

5.3.5.4 Simple Scenario Scoring Rule Modification

Figure 38. Simple Scenario Scoring Rule Variation List by Scenario



dministration >> Alert Management Admin Tools >> Alert Scoring Editor

Simple Scenario Scoring Rule Editor

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

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

If Scenario = *(ML/AC) Deposits / Withdrawals in Same or Similar Amounts* increase score by 10 .

Select the Refresh button to update the rule variations below. Refresh

Scoring Rule Variation List

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

	Threshold Set	Scenario	Score	Inherit
⊞	BASE THRESHOLD SET	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	
⊞	Cash-Credit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	Cash-Debit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	EFT-Credit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	EFT-Debit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	MI-Credit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	MI-Debit	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑
⊞	ML-DepWDSameAmts_TestTshldset_1	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	10	☑

Add A Comment

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

The text area contains 0 characters.

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

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

Scoring Rule Variation List, on page 70 and Simple Scenario Scoring Rule Editor, on page 81, provides description of most components in the Scoring Rule Variation List. The Simple Scenario Scoring Rule Editor also contains the following buttons:

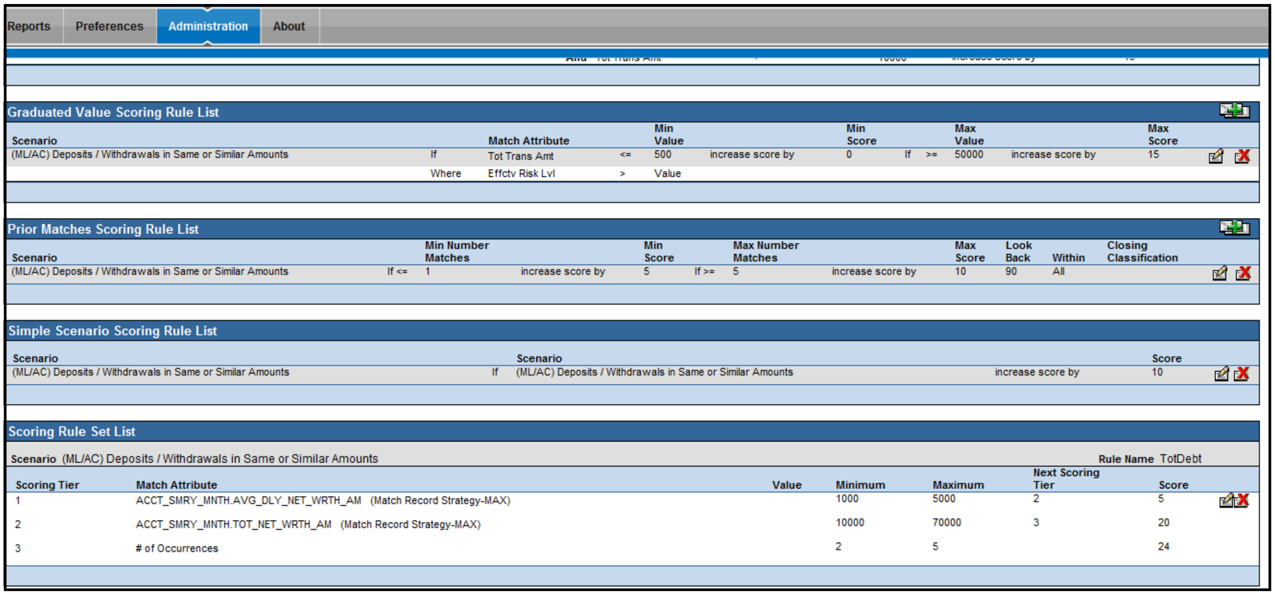
- **Refresh**: Updates changes to rules in the Scoring Rule Variation List based on the base rule (and for whichthe Inherit check box is selected).
- **Save**: Saves your changes to the rules and displays the previous screen.
- **Revert**: Exits the area without saving any changes and displays the previous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

5.3.5.5 Scoring Rule Set List

The Scoring Rule Set List displays below the Simple Scenario Scoring Rule List after you select a Scenario and click

Do It. Within the Scoring Rule Set List, each match scoring strategy displays for the selected Scenario (Figure 39)

Figure 39. Scoring Rule Set List



Graduated Value Scoring Rule List

Scenario		Match Attribute		Min Value		Min Score			Max Value		Max Score
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If	Tot Trans Amt	<=	500	increase score by	0	If	>=	50000	increase score by	15
	Where	Effctv Risk Lvl	>	Value							

Prior Matches Scoring Rule List

Scenario		Min Number Matches		Min Score		Max Number Matches		Max Score	Look Back	Within	Closing Classification
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If <=	1	increase score by	5	If >=	5	increase score by	10	90	All	

Simple Scenario Scoring Rule List

Scenario		Scenario		Score
(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	If	(ML/AC) Deposits / Withdrawals in Same or Similar Amounts	increase score by	10

Scoring Rule Set List

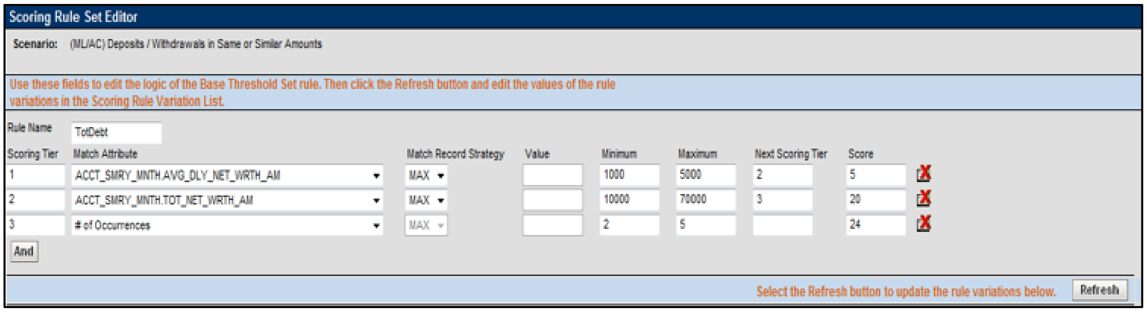
Scenario (ML/AC) Deposits / Withdrawals in Same or Similar Amounts **Rule Name** TotDebt

Scoring Tier	Match Attribute	Value	Minimum	Maximum	Next Scoring Tier	Score
1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5
2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20
3	# of Occurrences		2	5		24

The following sections describe the components of the Scoring Rule Set List, and the components in the RuleEditor when you modify a rule:

- Simple Scenario Scoring Rule Editor Components (refer to Graduated Value Scoring Rule Editor Components, on page 76 for more information).
- Simple Scenario Scoring Rule Modification (refer to Graduated Value Scoring Rule Modification, on page 77 formore information).

Figure 40. Scoring Rule Set List Editor



Scoring Rule Set Editor

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

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

Rule Name: TotDebt

Scoring Tier	Match Attribute	Match Record Strategy	Value	Minimum	Maximum	Next Scoring Tier	Score
1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM	MAX		1000	5000	2	5
2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM	MAX		10000	70000	3	20
3	# of Occurrences	MAX		2	5		24

Select the Refresh button to update the rule variations below.

5.3.5.6 Scoring Rule Set List Editor Component

The Scoring Rule Set List Editor includes the following components:

- **Scenario** label: Displays (not editable) the name of the Scenario when you select this editor to create ascoring rule for a Scenario.
- Rule Name textbox: Displays the name of the rule.
- **Scoring Tier** textbox: Displays the scoring tier which should be the same number as for the match attribute selected.
- **Match Attribute** drop-down list: Contains a value for each binding description associated within each pattern and a matched record within the selected Scenario Class (if you are updating a rule for a Scenario Class), or a value for each binding description and matched record (displays in table.column format) associated with patterns within the selected Scenario (if you are adding or updating a rule for a single Scenario). The values display in ascending alphabetic order.
  - If you select **Add**, the first option in the Match Attribute drop-down list displays as the sample value.
  - If you select **Update**, the current match attribute for the selected rule displays in the Match Attribute drop-down list field.
- **Match Record Strategy** drop-down list: Displays Min, Max and Sum. This is enabled only if you choose a matched record from the Match Attribute drop-down list. The value of the match record strategy is displayedin Parenthesis beside the matched record after selection of the value. This is mandatory to be selected for any matched record being selected in the Match Attribute drop-down list.
- **Value** text box: Displays a value as an enumerated figure or range to associate to the selected value in theMatch Attribute drop-down list.
  - If you select **Add**, the **Value** text box displays the text *Value*.
  - If you select **Update**, the **Value** text box displays the current value entry for the selected rule.
- **Minimum** text box: Must contain the minimum number of matches that meet the Same Scenario criteria forthe rule to apply.
  - Minimum value must be a numeric value greater or equal to zero (0) and less than or equal to themaximum value.
- **Maximum** text box: Must contain the maximum number of matches that meet the Same Scenario criteria forthe rule to apply.
  - Maximum must be a numeric value greater or equal to the minimum.
- **Next Scoring Tier** text box: Displays the scoring tier number looking at the Rule Set Scoring Tier list.
- **Score** text box: Displays a value assigned to matches that meet all rule criteria.
  - If you select **Add**, the **Score** text box displays the text *Score*.
  - If you select **Update**, the **Score** text box displays the current score entry for the selected rule.

- The score can be any numeric value, less than, greater than, or equal to zero (0) and less than or equal tothe application’s Maximum Match Score.

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

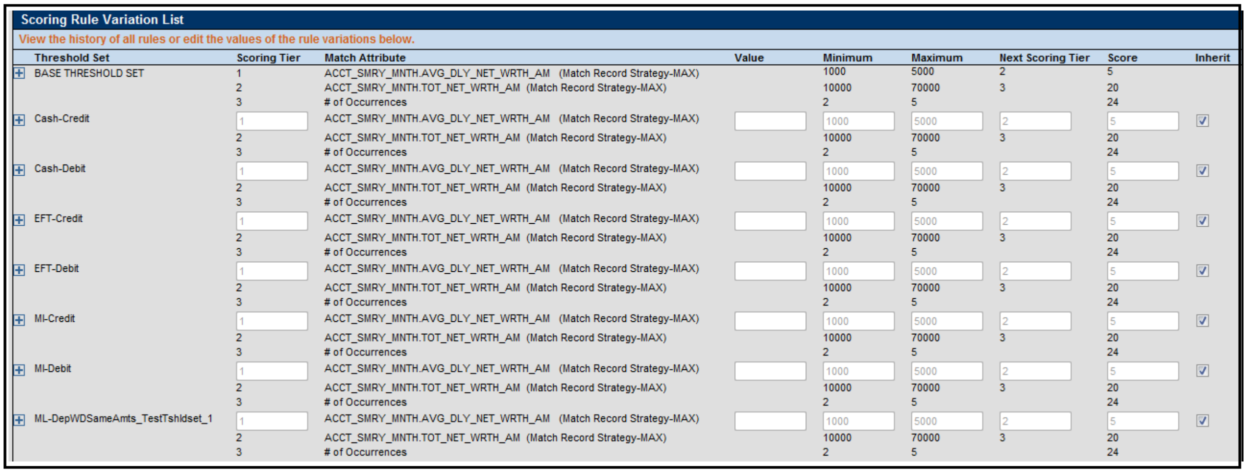
Rule 1: If the value is greater than or equal to 100, then add 10 points to the **Score** field. Rule 2: If the value is greater than 500, then add negative 10 (-10) points to the **Score** field.To reduce the score when high amounts are involved, use:

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

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

5.3.5.6.1 Scoring Rule Set List Modification

Figure 41. Scoring Rule Set List Variation List by Scenario



Scoring Rule Variation List

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

Threshold Set	Scoring Tier	Match Attribute	Value	Minimum	Maximum	Next Scoring Tier	Score	Inherit
BASE THRESHOLD SET	1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5	
	2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20	
	3	# of Occurrences		2	5		24	
Cash-Credit	1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5	☑
	2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20	
	3	# of Occurrences		2	5		24	
Cash-Debit	1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5	☑
	2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20	
	3	# of Occurrences		2	5		24	
EFT-Credit	1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5	☑
	2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20	
	3	# of Occurrences		2	5		24	
EFT-Debit	1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5	☑
	2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20	
	3	# of Occurrences		2	5		24	
MI-Credit	1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5	☑
	2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20	
	3	# of Occurrences		2	5		24	
MI-Debit	1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5	☑
	2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20	
	3	# of Occurrences		2	5		24	
ML-DepWDSameAmts_TestTshldset_1	1	ACCT_SMRY_MNTH.AVG_DLY_NET_WRTH_AM (Match Record Strategy-MAX)		1000	5000	2	5	☑
	2	ACCT_SMRY_MNTH.TOT_NET_WRTH_AM (Match Record Strategy-MAX)		10000	70000	3	20	
	3	# of Occurrences		2	5		24	

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

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

  Scoring Rule Variation List, on page 70 and Scoring Rule Set List, on page 84, provides description of most components in the Scoring Rule Variation List. The Simple Scenario Scoring Rule Editor also contains the following buttons:

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

5.4 Using the Alert Scoring Editor

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

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

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

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

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

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

5.4.1 Displaying the Match Scoring Rules for a Scenario Class or Scenario

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

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

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

If the Scenario Class or Scenario does not have match scoring rules, the system displays the following message:

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

5.5 Using the Scoring Editors

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

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

- Prior Matches Scoring Editor:
  - Using the Prior Matches Scoring Editor for a Scenario Class
  - Using the Prior Matches Scoring Editor for a Scenario
- Simple Scenario Scoring Editor:
  - Using the Simple Scenario Scoring Editor for a Scenario Class
  - Using the Simple Scenario Scoring Editor for a Scenario
- Scoring Rule Set Editor
  - Using the Scoring Rule Set Editor for a Scenario

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

Changing the Alert Scoring Logic

Specifying a Variation for a Threshold Set Within a Scenario

Deleting a Scoring Rule for a Scenario Class or Scenario

5.5.1 Using the Simple Lookup Scoring Editor for a Scenario Class

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

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

5.5.1.1 Modifying a Simple Lookup Scoring Rule for a Scenario Class

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

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

   The Simple Lookup Scoring Rule Editor displays with the rule's current values in the text boxes.
2. Do one or more of the following:

- Modify the binding description or matched record in the Match Attribute drop-down list.
- Modify the Match Record Strategy, if required.
- Modify the operator in the Operator drop-down list.
- Modify the value in the **Value** text box.

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

- Modify the value in the **Score** text box.
- Click the **And** button if you wish to add multiple filters for a rule.

3. Click **Refresh**.

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

Optional: In the Scoring Rule Variation List:

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

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

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

1. I Click **Save** to save your changes.

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

5.5.2 Using the Simple Lookup Scoring Editor for a Scenario

In the Simple Lookup Scoring Editor, you can modify or delete a rule for an individual Scenario as you would for aScenario Class (refer to *Using the Simple Lookup Scoring Editor for a Scenario Class,* on page 88 for more information). You can also add a new rule. Doing so establishes the conditions of the match scoring in a Scenario.

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

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

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

5.5.2.1 Adding a Simple Lookup Scoring Rule for a Scenario

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

1. In the Simple Lookup Scoring Rule List, click **Add**.The Simple Lookup Scoring Rule Editor displays.
2. Select a binding description or matched record in the Match Attribute drop-down list.
3. Modify the Match Record Strategy, if required.
4. Type a value in the **Value** text box.

   Depending on the attribute, this value can be a numeric or a text string.
5. Click the **And** button if you wish to add multiple filters for a rule.
6. Type a value in the **Score** text box.
7. Click **Save** to save your changes.

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

NOTE:

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

5.5.2.2 Modifying a Simple Lookup Scoring Rule for a Scenario

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

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

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

2. Modify the binding description in the Match Attribute drop-down list.
3. Click **Refresh**.

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

Optional: In the Scoring Rule Variation List:

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

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

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

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

1. Click **Save** to save your changes.
2. If you did not previously click **Refresh** to save your updates to the rule logic, a dialog box displays andprompts you to click **Refresh** before clicking **Save**.
3. To modify a rule for a particular Threshold Set in the Scoring Rule Variation List, refer to *Specifying a Variationfor a Threshold Set Within a Scenario,* on page 97.
4. Click **Save** to save your changes.
5. The system updates the rule values in the Simple Lookup Alert Scoring Editor and the Scoring Rule VariationList. The system then displays the previous screen.

5.5.3 Using the Graduated Value Scoring Editor for a Scenario Class

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

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

5.5.3.1 Modifying a Graduated Value Scoring Rule for a Scenario Class

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

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

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

2. Do one or more of the following:

- Modify the binding description in the Match Attribute drop-down list.
- Modify the numeric values in the **Min Value, Max Value, Min Score, and Max Score** text boxes.

- Click the **And** button if you wish to add multiple filters for a rule.

3. Click **Refresh**.

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

Optional: In the Scoring Rule Variation List:

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

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

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

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

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

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

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

5.5.4 Using the Graduated Value Scoring Editor for a Scenario

In the Graduated Value Scoring Editor, you can modify or delete a rule for an individual Scenario as you would for aScenario Class (refer to *Using the Graduated Value Scoring Editor for a Scenario Class,* on page 90 for more information).You can also add a new rule. Doing so establishes the conditions of the match scoring in a Scenario.

Within a Threshold Set for a Scenario, you can establish an independent rule variation for a Threshold Set that doesnot inherit attributes of the rule for a Base Threshold Set.

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

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

5.5.4.1 Adding a Graduated Value Scoring Rule for a Scenario

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

1. In the Graduated Value Scoring Rules List, click **Add.**The Graduated Value Scoring Rule Editor displays.

2. Select the desired binding description in the Match Attribute drop-down list.
3. Type numeric values in the **Min Value**, **Max Value**, **Min Score**, and **Max Score** text boxes.
4. Click the **And** button if you wish to add multiple filters for a rule.
5. Click **Save** to save your changes.

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

Refer to Specifying a Variation for a Threshold Set Within a Scenario, on page 97 for information about using the Scoring Rule Variation List.

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

5.5.4.2 Modifying a Graduated Value Scoring Rule for a Scenario

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

1. Modify the scoring rule by using the procedure for a Scenario Class (refer to Modifying a Graduated Value Scoring Rule for a Scenario Class, on page 90 for more information).
2. Modify a rule for a particular Threshold Set in the Scoring Rule Variation List by using the defined procedure.Refer to Specifying a Variation for a Threshold Set Within a Scenario, on page 97 for information about using the Scoring Rule Variation List.
3. Click **Save** to save your changes.

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

5.5.5 Using the Prior Matches Scoring Editor for a Scenario Class

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

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

5.5.5.1 Modifying a Prior Matches Scoring Rule for a Scenario Class

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

1. From the Prior Matches Scoring Rules List, click **Update Rule** next to the selected rule.The rule attributes display in the Prior Matches Scoring Editor.
2. Do one or more of the following:

- Modify the numeric value in the **Min Number Matches** text box.
- Modify the value in the Same Scenario drop-down list.
- Modify the numeric value in the Look Back Days, Min Score, Max Number Matches, and **Max Score** textboxes.

3. Click **Refresh**.

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

Optional: In the Scoring Rule Variation List:

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

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

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

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

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

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

5.5.6 Using the Prior Matches Scoring Editor for a Scenario

In the Prior Matches Scoring Editor, you can modify or delete a rule for an individual Scenario as you would for a Scenario Class (refer to Using the Prior Matches Scoring Editor for a Scenario Class, on page 92 for more information). Youcan also add a new rule. Doing so establishes the conditions of the match scoring in a Scenario.

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

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

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

5.5.6.1 Adding a Prior Matches Scoring Rule for a Scenario

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

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

The system creates the rule and redisplays the rule’s attributes in the Prior Matches Scoring Editor and ScoringRule Variation List.

NOTE:

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

5.5.6.2 Modifying a Prior Matches Scoring Rule for a Scenario

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

1. Modify the scoring rule by using the procedure for a Scenario Class (refer to the Modifying a Prior Matches Scoring Rule for a Scenario Class, on page 92, for more information).
2. Modify a rule for a particular Threshold Set in the Scoring Rule Variation List. Refer to Specifying a Variation for a Threshold Set Within a Scenario, on page 97 for more information about using the Scoring Rule Variation List.
3. Click **Save** to save your changes.

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

5.5.7 Using the Simple Scenario Scoring Editor for a Scenario Class

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

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

5.5.7.1 Modifying a Simple Scenario Scoring Rule for a Scenario Class

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

1. From the Simple Scenario Scoring Rules List for a single Scenario, click **Update Rule** for the desired rule.The Simple Scenario Scoring Editor displays with the associated rule highlighted in the display.
2. Modify the numeric value in the **Score** text box.
3. Click **Refresh**.

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

Optional: In the Scoring Rule Variation List:

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

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

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

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

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

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

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

5.5.8 Using the Simple Scenario Scoring Editor for a Scenario

In the Simple Scenario Scoring Editor, you can modify or delete a rule for an individual Scenario as you would for aScenario Class (refer to *Using the Simple Scenario Scoring Editor for a Scenario Class,* on page 94, for more information). You can also add a new rule. Doing so establishes the conditions of the match scoring in each Scenario.

Within a Threshold Set for a Scenario, you can establish an independent rule variation for a Threshold Set that doesnot inherit attributes of the rule for a Base Threshold Set.

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

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

5.5.8.1 Adding a Simple Scenario Scoring Rule for a Scenario

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

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

The system creates the rule and redisplays the rule's attributes in the Alert Scoring Editor and the Scoring RuleVariation List.

5.5.8.2 Modifying a Simple Scenario Scoring Rule for a Scenario

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

1. Modify the scoring rule by using the procedure for a Scenario Class (refer to Modifying a Simple Scenario Scoring Rule for a Scenario Class, on page 94, for more information).
2. Modify a rule for a particular Threshold Set in the Scoring Rule Variation List. Refer to Specifying a Variation for a Threshold Set Within a Scenario, on page 97 for information about using the Scoring Rule Variation List.
3. Click **Save**.

5.5.9 Using the Scoring Rule Set Editor for a Scenario

In the Scoring Rule Set Editor, you can modify or delete a rule set for an individual Scenario. Doing so establishesthe conditions of the match scoring in each Scenario.

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

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

5.5.9.1 Adding a Scoring Rule Set for a Scenario

To add a new Scoring Rule Set for a Scenario, follow these steps:

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

The system creates the rule and redisplays the rule's attributes in the Alert Scoring Editor and the Scoring RuleVariation List.

5.5.9.2 Modifying a Scoring Rule Set for a Scenario

To modify an existing Scoring Rule Set for a Scenario, follow these steps:

1. From the Scoring Rule Set List, click **Update Rule** next to the selected rule.The rule attributes display in the Prior Matches Scoring Editor.
2. Do one or more of the following:

- Modify the value in the **Scoring Tier** text box.
- Modify the value in the **Match Attribute** drop-down list.
  - Modify the value in the **Match Record Strategy** drop-down list.
  - Modify the numeric value in the **Value, Minimum, Maximum, Next Scoring Tier** and **Score** text boxes.

3. Click Refresh.

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

Optional: In the Scoring Rule Variation List:

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

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

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

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

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

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

The system updates the values and displays the modified rule set in the Scoring Rule Set Editor and ScoringRule Variation List. The system then displays the previous screen.

5.6 Changing the Alert Scoring Logic

To change the alert scoring logic, follow these steps:

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

   Click **Save**. A Confirmation dialog box displays.
3. Click **OK** to close the dialog box and continue.

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

5.7 Specifying a Variation for a Threshold Set Within a Scenario

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

5.7.1 Specifying a Variation for a Threshold Set Within a Scenario

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

1. In the Scoring Rule Variation List, deselect the Inherit check box next to the rule that you want to modify. (A selected check box next to a rule implies that the system associates it with the rule for the Base Threshold Set.)
2. Do either of the following:

- Leave the values in the modifiable text boxes unchanged.
- Modify an entry in any modifiable text box.

Optional: Type a comment about a rule logic update in the **Add a Comment** text box. Enter from 3 to 4,000characters. A count in the numeric field below the Add a Comment field tracks the number of characters you have enteredin the comment area.

3. Click **Save**.

5.8 Deleting a Scoring Rule for a Scenario Class or Scenario

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

5.8.1 Deleting a Scoring Rule for a Scenario Class or Scenario

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

1. From the desired match scoring rule list, click **Delete** adjacent to the selected rule.The Confirmation dialog box displays the following message:
2. *Deleting this rule will also delete any variations for Threshold Sets within this Scenario. Are you sure you want to delete the selected rule?*

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

The system redisplays the Alert Scoring Editor without the rule.

6 AlertAssigner Editor

This chapter describes how you can assign ownership of alerts:

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

6.1 About the Alert Assigner Editor

The Alert Assigner Editor allows the application Administrator to view and modify the rules used to assignownership of alerts. The Alert Assigner Editor allows you to perform the following tasks:

- Select a focus and then create, modify, or delete a rule
- Change the Default Owner
- Define Role-Based Assignment Limits

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

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

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

Table 13 shows a sample of an alert assignment rule.

Table 13. Sample of an Alert Assignment Rule

Precedence	Assignment Rule Type	Assignment Rule
1	Focus	● Alerts with focus domain code **c** only are assigned to the Brokerage pool. ● Alerts with focus domain code **d**, **e**, or **de** are assigned to the Banking pool.

Table 13. Sample of an Alert Assignment Rule

Precedence	Assignment Rule Type	Assignment Rule
2	Focus and Scenario	● Alerts with focus domain code **d**, **e**, or **de** and generated by scenario High Risk Transactions – High Risk Counter Party (AC) to the Wires pool. ● Alerts with focus domain code **d**, **e**, or **de** and generated by scenario Single or Multiple Cash Transaction – Possible CTR (CU) to the Structuring pool. ● Alerts with focus domain code **d**, **e**, or **de** and generated by scenario Networks of Accounts, Entities (AC) or Rapid Movement of Funds – All Activity (CU) to the General pool.
3	Default	● All alerts that do not meet other rules are assigned to the AML Risk Management pool.

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

NOTE:

Manually posted alerts, generated by the alert correlation process, are not assigned to the default owner that is specified through the assignment editor (see Figure 46). Refer to the Administration Guide, for more information.

NOTE:

The following attributes of the Admin Tools and Alert Owner Parameters fail to load automatically during installation and must be manually updated:

- Attribute 1 Value
- Attribute 4 Value
- Attribute 5 Value

- Attribute 8 Value

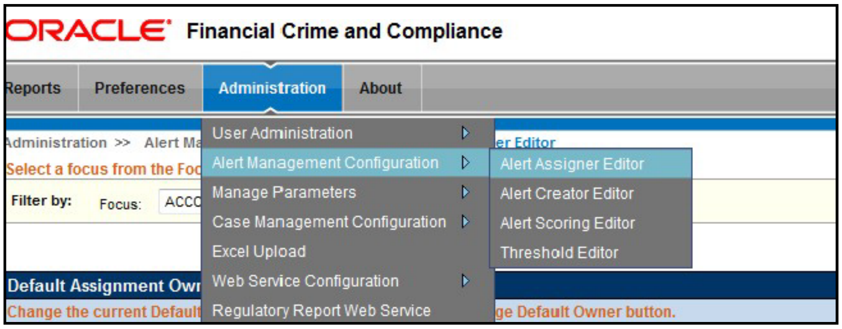
To update the Attribute 1 Alert Owner parameter in the Manage Common Parameters page, select the Used for Design parameter category and the Alert Owner parameter name.

To update the Attribute 4, Attribute 5, and Attribute 8 Admin Tools parameters in the Manage Common Parameters page, select the Used for Design parameter category and the Admin Tools parameter name.

6.1.1 Accessing the Alert Assigner Editor

Navigate to the Alert Assigner Editor by selecting **Alert Management Configuration** in the Administration menu,then selecting the **Alert Assigner Editor** option.

Figure 42. Alert Assigner Editor Navigation



6.2 Alert Assigner Screen Elements

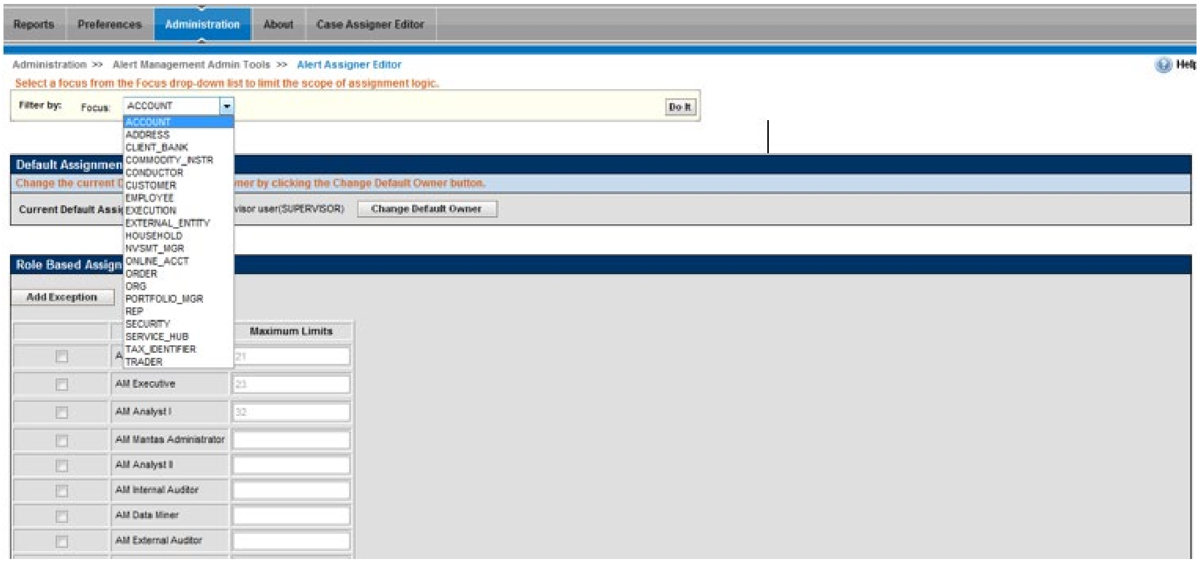
The following pages are associated with the Alert Assigner Editor:

- **Alert Assigner Editor:** This is the first page displayed when accessing the Alert Assigner Editor Administration Tool. You can navigate to the Assignment Rule Editor to add a new rule or delete or modify an existing rule. Additionally, you can change the Default Owner for unassigned alerts. Refer to Alert Assigner Editor, on page 102 for more information.
- **Assignment Rule List for <Focus> Focus:** This page enables you to create a new rule or modify anexisting rule. Refer to Assignment Rule List for <Focus> Focus, on page 103 for more information.
- **Assignment Rule Editor:** This page allows you to create or edit a series of rules, or operations, that are chained together to form a decision tree. Refer to Assignment Rule Editor, on page 104 for more information.

6.2.1 Alert Assigner Editor

In the Alert Assigner Editor, you must select a focus to view all of the assignment rules associated to thatfocus.

Figure 43. Alert Assigner Editor



Administration >> Alert Management Admin Tools >> Alert Assigner Editor

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

Filter by: Focus: ACCOUNT

Default Assignmen

Change the current D ... ner by clicking the Change Default Owner button.

Current Default Assi ... visor user(SUPERVISOR)

Role Based Assign

		Maximum Limits
□	A	21
□	AM Executive	23
□	AM Analyst I	32
□	AM Mantas Administrator	
□	AM Analyst II	
□	AM Internal Auditor	
□	AM Data Miner	
□	AM External Auditor	

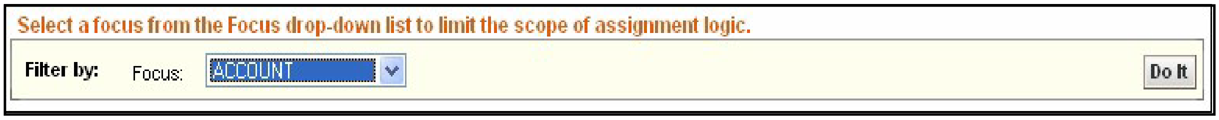
The components of the Alert Assigner Editor include the following:

- Search Bar
- Default Assignment Owner Selector
- Assignment Rule List for <Focus> Focus
- Role Based Assignment Limits Editor

6.2.1.1 Search Bar

The search bar allows you to filter the list of assignment rules by the focus (Figure 44).

Figure 44. Alert Assigner Editor search Bar



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

Filter by: Focus: ACCOUNT

The components of the search bar include the following:

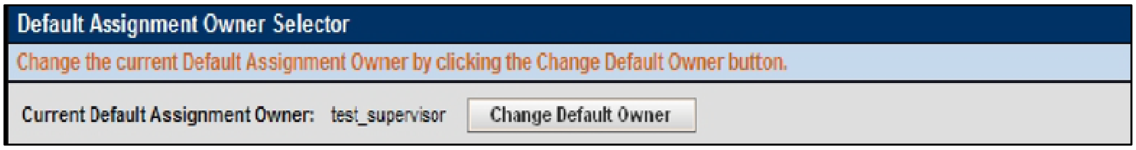
- **Filter by:** Focus drop-down list: Provides a list of focus types. The values in the Focus drop-down list aresorted in ascending alphabetic order.
- **Do It button**: When clicked, displays the assignment rules associated with the selected focus.

6.2.1.2 Default Assignment Owner Selector

The Default Assignment Owner Selector page allows you to change the default owner for alerts (Figure 45).

> **NOTE:**
>
> Ensure that the new default owner has permission to view all alerts.

Figure 45. Default Assignment Owner Selector



Default Assignment Owner Selector

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

Current Default Assignment Owner: test_supervisor

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

- **Current Default Assignment Owner**: Displays the name of the current owner.

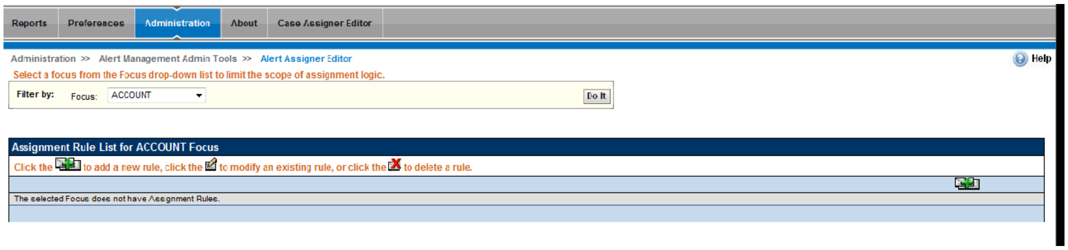
> **NOTE:**
>
> To change the default assignment owner, refer to Changing the Default Assignment Owner, on page 107.

- **New Default Assignment Owner** drop-down list: Provides a list of owner IDs available to be the DefaultOwner.
- **Save button**: Saves all modifications to the database.
- **Cancel button**: Redisplays the Assignment Editor without the Assignment Rules list. The New DefaultOwner value is not saved.

6.2.1.3 Assignment Rule List for <Focus> Focus

The assignment rule list displays in the Alert Assigner Editor after you select a focus in the search bar and click **DoIt**. The rules in the list are sorted in ascending order by operation set number (Figure 46).

Figure 46. Assignment Rule List for <Focus> Focus



Administration >> Alert Management Admin Tools >> Alert Assigner Editor

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

Filter by: Focus: ACCOUNT

Assignment Rule List for ACCOUNT Focus

Click the to add a new rule, click the to modify an existing rule, or click the to delete a rule.

The selected Focus does not have Assignment Rules.

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

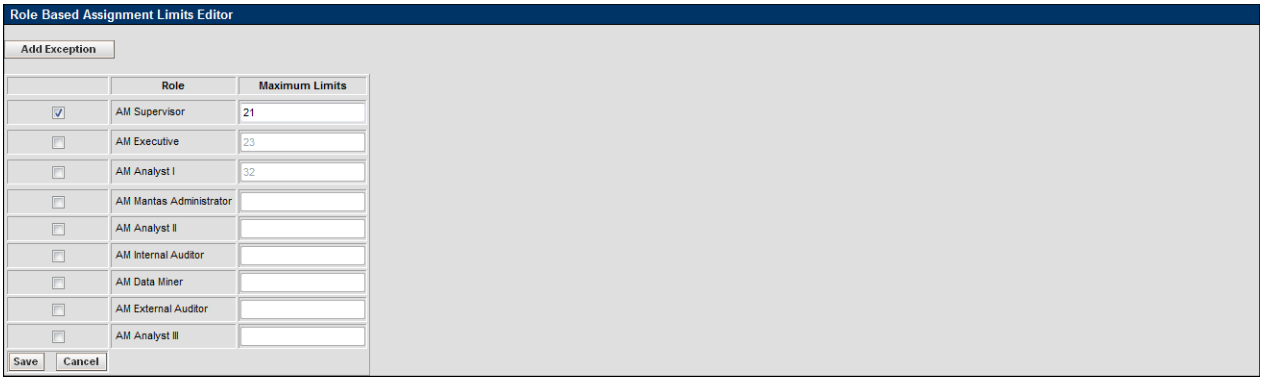
- **Add button**: Navigates you to the Assignment Rule Editor.
- **Update button**: Navigates you to the Assignment Rule Editor.
- **Delete button**: Deletes the assignment rule.
- **Assignment Rule List for <Focus> Focus** page displays the column headings: Operation Set, Attribute,Operator, Value, Next Operation Set, Strategy, and Owner. Refer to *Assignment Rule Editor,* on page 104 formore information.

6.2.1.4 Role Based Assignment Limits Editor

The Role Based Assignment Limits Editor allows you to limit the number of alerts that can be assigned to members of a pool based on user role. For example, if a member pool contains 25 investigators, you can limit junior investigators to have a maximum of 10 alerts assigned to them, and assign a senior investigator no cap.

Alerts are assigned based on the available assignment rules until members reach their caps, then alerts are assigned only to members who have not reached their caps. If all members have reached their limit, alerts are assigned to the pool, and can be accessed by using the Auto-Assignment option in the Alert Workflow.

Figure 47. Role Based Assignment Limits Editor



Role Based Assignment Limits Editor

	Role	Maximum Limits
☑	AM Supervisor	21
□	AM Executive	23
□	AM Analyst I	32
□	AM Mantas Administrator	
□	AM Analyst II	
□	AM Internal Auditor	
□	AM Data Miner	
□	AM External Auditor	
□	AM Analyst III	

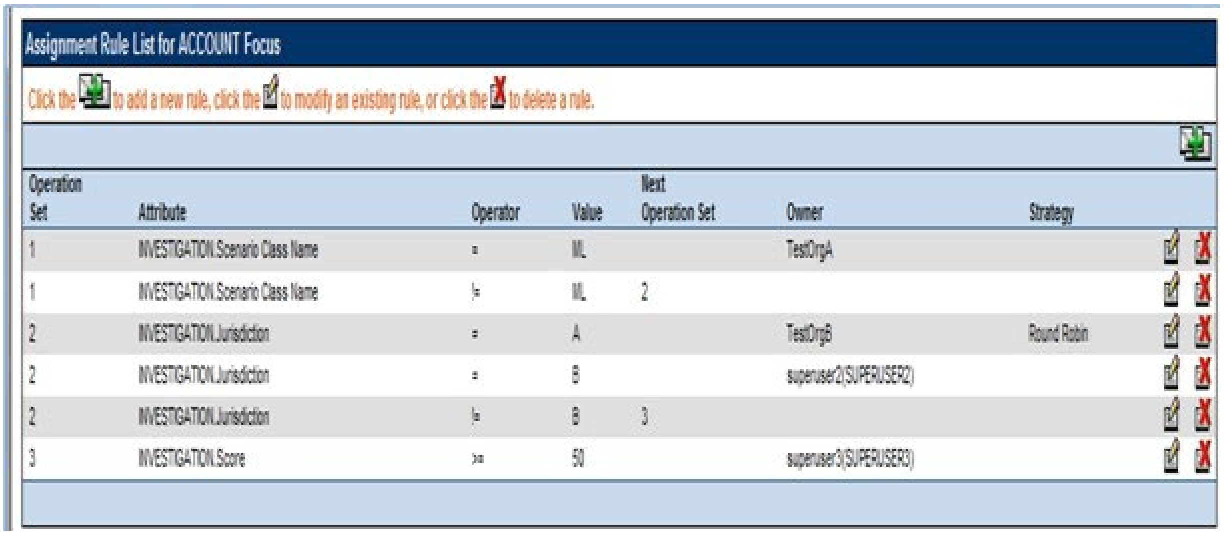
The Role Based Assignment Limits Editor includes the following components:

- **User Role grid**: When a user role is selected, you can edit the maximum limit. A *Null* value indicates there isno limit for the assignment of alerts.
- **Add Exception button**: Allows you to enter exceptions to the limit assigned to the user role. For example, toset a new limit for a specific user in a role. Refer to *Adding an Exception to a Role Based Assignment Limit,* on page 110 for more information.
- **Save button**: Saves all modifications to the database.
- **Cancel button**: Redisplays the Assignment Editor. The New Maximum Limits value is not saved.

6.2.1.5 Assignment Rule Editor

The Assignment Rule Editor displays after you click **Add** or **Update** (Figure 48). This editor allows you to create oredit a series of rules, or operations, that are chained together to form a decision tree. A decision tree is created for each focus type. The decision trees are used to determine the owner (an individual or group of users) of each alert generated by the system.

Figure 48. Assignment Rule Editor



Assignment Rule List for ACCOUNT Focus

Click the to add a new rule, click the to modify an existing rule, or click the to delete a rule.

Operation Set	Attribute	Operator	Value	Next Operation Set	Owner	Strategy
1	INVESTIGATION.Scenario Class Name	=	ML		TestOrgA	
1	INVESTIGATION.Scenario Class Name	!=	ML	2		
2	INVESTIGATION.Jurisdiction	=	A		TestOrgB	Round Robin
2	INVESTIGATION.Jurisdiction	=	B		superuser2(SUPERUSER2)	
2	INVESTIGATION.Jurisdiction	!=	B	3		
3	INVESTIGATION.Score	>=	50		superuser3(SUPERUSER3)	

The components of the Assignment Rule Editor include the following:

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

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

    > **NOTE:**
    >
    > The selection between the in and contains operators depends on the type of search you want to perform. Using the contains operator allows you to check if a database field containing a comma-delimited list of values contains a specific value. For example, checking if the Business Domain contains a particular business domain. The contains operator is similar to the in operator, but it reverses the comparison. With the in operator, the single value is in the field in the database, and a list of values is provided as the argument. With the contains operator, the list is in the database, and the single value is provided as an argument.

  - If you select the *else* operator, the *value* must be NULL; followed by a subsequent operation or alertowner recipient specification.

    > **NOTE:**
    >
    > Note text The system evaluates the *else* operation after evaluating all other operations.

- **Value** text box or drop-down: Within the rule, the value of the investigation or business attribute is compared to the **Value** field. If you have selected an attribute in the **Investigation Attribute** drop-down listwith defined values (Jurisdiction, Domain, Pattern ID, Scenario Name, and Scenario Class Name), the **Value** drop-down list will contains those values. The **Value** field displays as a text box for all other attributes (for example, score or account balance).
  - If you select **Add** , the **Value** text box displays a blank value (“ ”).
  - If you select **Update**, the **Value** text box displays the current value of the selected rule.
  - If you enter multiple values in the **Value** text box after having selected *IN* as the operator, separate thevalues with pipe (|).

  - If you select the *else* operator, the **Value** must be NULL therefore, the system disables the Value textbox or drop-down list.

- **Next Operation Set** text box: The number of the next operation set, or branch, to further evaluate the alertor assign to an owner.
  - If you select **Add**, the **Next Operation Set** text box displays a blank value (“ ”) (the default).
  - If you select **Update**, the **Next Operation Set** text box displays the current value of the selected rule.
  - If the result of your rule is to continue to the next operation set, you must not select an owner to assignthe alert.
- **Owner** drop-down list: Displays available owners for both alerts.
  - If you select **Add**, the **Owner** drop-down list displays a blank value (“ ”) (the default).
  - If you select **Update**, the **Owner** drop-down list displays the current value of the selected rule.
  - If the result of your rule is to assign the alert, you must not select to continue to the next operation set.
- **Strategy** drop-down list (*Optional*:): Displays available strategies for the assignment rule. This drop-down listis disabled unless an owner is selected and that owner is a pool and not an individual user.
  - If you select **Round Robin**, alerts are assigned to the members of a pool in a circular order until all thealerts have been assigned.
  - If you select **Load Leveling**, the pool member's current load is taken into consideration whenassigning alerts.
  - If a strategy is selected and then an individual user is selected in the **Owner** drop-down list, then thevalue in the Strategy drop-down list is made blank.

6.3 Using the Alert Assigner Editor

This section explains the following functions of the Assignment Editor:

- Displaying Assignment Rules for a Focus
- Changing the Default Assignment Owner
- Adding a New Rule
- Modifying a Rule
- Deleting a Rule
- Adding a Role Based Assignment Limit
- Adding an Exception to a Role Based Assignment Limit

6.3.1 Displaying Assignment Rules for a Focus

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

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

The Administration Tool displays all Assignment Rules for the selected focus.

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

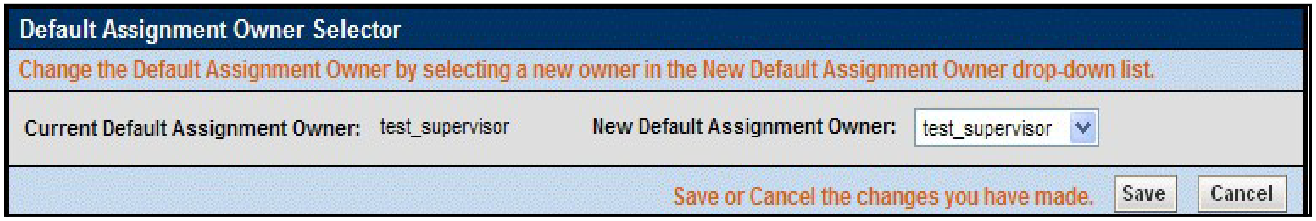
6.3.2 Changing the Default Assignment Owner

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

1. Click Change Default Owner.

The Default Assignment Owner Selector displays (Figure 49).

Figure 49. Default Assignment Owner Selector



Default Assignment Owner Selector

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

Current Default Assignment Owner: test_supervisor

New Default Assignment Owner: test_supervisor

Save or Cancel the changes you have made.

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

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

2. Click **Save**. The Administration Tool displays a Confirmation dialog box with the message: *Do you want to update the default alert owner?*
3. Click **OK**.

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

6.3.3 Adding a New Rule

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

1. Click **Add**.

The Assignment Rule Editor displays.

2. Type an operation set number in the **Operation Set** text box.
3. You can add to an existing operation set based on the same attribute by entering the same number as the other rules in that set or you can start a new set by entering the next sequential number.
4. Select either an investigation attribute or a business attribute on which to base the rule in the **InvestigationAttribute** or **Business Attribute** drop-down lists.

   This attribute must be the same for any other rules within the same operation set.
5. Select an operator in the **Operator** drop-down list. If you select the *else* operation, skip to Step #6 since novalue is required for this operand.
6. Type a value in the **Value** text box.

   Depending on the attribute, this value can be a numeric or a text string.
7. Select either the next operation set to attach additional rules to this rule in the **Next Operation Set** text box, or select an owner to assign alerts to in the **Owner** drop-down list.

> **NOTE:**
>
> Ensure that the new owner has permission to view alerts with the attributes specified in the rule.

8. If you selected a pool in the Owner drop-down list, select a strategy for alert assignment from the Strategy drop-down list.
9. Click Save.

The system creates the new rule and redisplays the Alert Assigner Editor with the new rule.

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

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

6.3.4 Modifying a Rule

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

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

The Assignment Rule Editor displays.

2. Do one or more of the following:

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

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

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

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

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

3. Click **Save**.

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

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

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

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

6.3.5 Deleting a Rule

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

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

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

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

   The system removes the rule and redisplays the Alert Assigner Editor.

6.3.6 Adding a Role Based Assignment Limit

To add an assignment limit for a user role, follow these steps:

1. Select the user role in the Role Based Assignment Limits Editor.
2. Enter the Maximum Limit for this user role.
3. Click **Save**.

   The Confirmation dialog box displays the message: *Are you sure you want to modify the limits of this user role?*

4. Click **OK** to set the assignment limit.

The system sets the limit and redisplays the Alert Assigner Editor.

6.3.7 Adding an Exception to a Role Based Assignment Limit

To add an exception for a use role based assignment limit, follow these steps:

1. Select the user role in the Role Based Assignment Limits Editor.
2. Click **Add Exception**.
3. Select the user you want to add the exception for from the dropdown list.
4. Enter the Maximum Limit.
5. Click **Save**.

   The Confirmation dialog box displays the message: *Are you sure you want to add the user with the mentioned limits?*

6. Click **OK** to set the assignment limit.

The system sets the limit and redisplays the Alert Assigner Editor.

6.3.8 Modifying an Exception

To modify the rule that establishes the conditions of the assignment role from the Assignment Rule Editor, followthese steps:

1. Select the user role in the Role Based Assignment Limits Editor.
2. Click **Add Exception**.
3. Select the user you want to modify the exception for from the drop-down list.
4. Click **Edit**.
5. Modify the limits.
6. Click **Save**.

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

6.3.9 Deleting an Exception

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

1. Select the user role in the Role Based Assignment Limits Editor.
2. Click **Add Exception**.
3. Select the user you want to modify the exception for from the drop-down list.
4. Click **Delete**.
5. The Confirmation dialog box displays the message: *Are you sure you want to delete the selected exception?*
6. Click **OK** to delete the rule.

The system removes the exception and redisplays the Alert Assigner Editor.

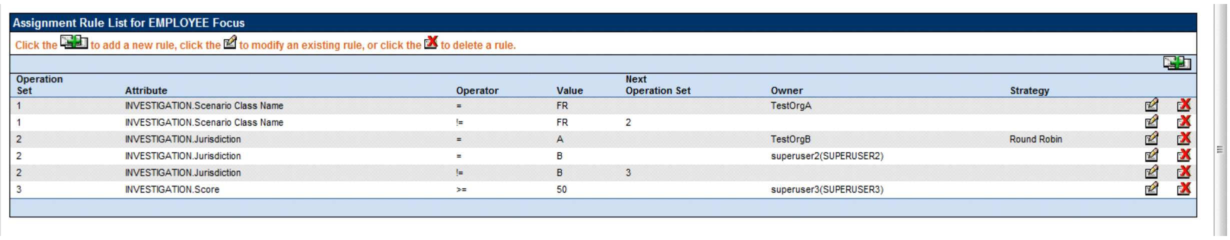
6.4 Example of an Alert Assignment

Alert Assignment rules are created in the editor as a series of operation sets that are chained together to form a decision tree. The assignment algorithm will move through the decision tree in ascending order of the defined operation sets until all rules have been processed and alerts assigned.

6.4.1 Example 1

This example demonstrates how rules can be created using multiple operation sets to combine together to form a series of specific conditions to be met to control alert assignment.

Figure 50. Example 1



Assignment Rule List for EMPLOYEE Focus

Click the to add a new rule, click the to modify an existing rule, or click the to delete a rule.

Operation Set	Attribute	Operator	Value	Next Operation Set	Owner	Strategy
1	INVESTIGATION.Scenario Class Name	=	FR		TestOrgA	
1	INVESTIGATION.Scenario Class Name	!=	FR	2		
2	INVESTIGATION.Jurisdiction	=	A		TestOrgB	Round Robin
2	INVESTIGATION.Jurisdiction	=	B		superuser2(SUPERUSER2)	
2	INVESTIGATION.Jurisdiction	!=	B	3		
3	INVESTIGATION.Score	>=	50		superuser3(SUPERUSER3)	

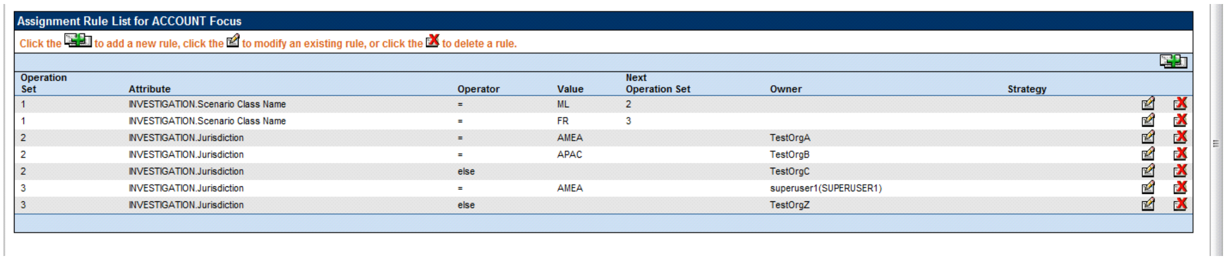
The rules set up in this figure reflect the following logic and use of operations sets.

- Per Operation Set 1 all alerts that are created on Scenario Class FR will be routed to Pool TestOrgA
- If the Scenario Class is not FR the algorithm will look to Next Operation Set 2.
- Per Operation Set 2 if the Jurisdiction of the alert is A then it should be routed to Pool TestOrgB with aStrategy of Round Robin.
- If the Jurisdiction of the alert is not A the algorithm will continue with the next rule that is part of Operation Set 2.
- If the Jurisdiction of the alert is B then it should be routed to Superuser2.
- If, at this point, the algorithm has determined that the alert is not of Scenario Class FR and is not in Jurisdiction A or B, then the algorithm will move to Next Operation Set 3.
- Per Operation Set 3 if the score of the alert is >= 50 then it should be routed to Superuser3.
- If none of the above rules are met the alert will be routed to the default owner defined for alert assignment.

6.4.2 Example 2

This example demonstrates how rules can be created using the Else operator. The goal of this set of rules is to have specific assignment for some alerts within a scenario class based on selected criteria while all other alerts within that class go to the same owner when that criteria is not met.

Figure 51. Example 2



Assignment Rule List for ACCOUNT Focus

Click the to add a new rule, click the to modify an existing rule, or click the to delete a rule.

Operation Set	Attribute	Operator	Value	Next Operation Set	Owner	Strategy
1	INVESTIGATION.Scenario Class Name	=	ML	2		
1	INVESTIGATION.Scenario Class Name	=	FR	3		
2	INVESTIGATION.Jurisdiction	=	AMEA		TestOrgA	
2	INVESTIGATION.Jurisdiction	=	APAC		TestOrgB	
2	INVESTIGATION.Jurisdiction	else			TestOrgC	
3	INVESTIGATION.Jurisdiction	=	AMEA		superuser1(SUPERUSER1)	
3	INVESTIGATION.Jurisdiction	else			TestOrgZ	

The rules set up in this figure reflect the following logic and use of operations sets.

- Per Operation Set 1 check to see if the Scenario Class is ML. If so proceed to Next Operation Set 2.

- If Scenario Class is not ML but is FR then the algorithm will proceed to Next Operation Set 3.
- Per Operation Set 2, for ML class alerts the algorithm will check if the Jurisdiction matches AMEA. If it doesalerts will be assigned to TestOrgA.
- If an ML class alert and the Jurisdiction is not AMEA the algorithm will check to see if the Jurisdiction isAPAC. If it is alerts will be assigned to TestOrgB.
- Otherwise, if an ML class alert and the Jurisdiction is other than AMEA or APAC the alert will be assigned to TestOrgC.
- Per Operation Set 3, for FR class alerts the algorithm will check if the Jurisdiction matches AMEA. If it doesalerts will be assigned to Superuser1.
- If a FR class alert and the Jurisdiction is other than AMEA the alert will be assigned to TestOrgZ.
- If none of the above rules are met the alert will be routed to the default owner defined for alert assignment.

7 Scenario Tuning

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

- Introduction to Scenario Tuning
- Understanding the Graph Display

7.1 Introduction to Scenario Tuning

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

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

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

7.1.1 Getting Started

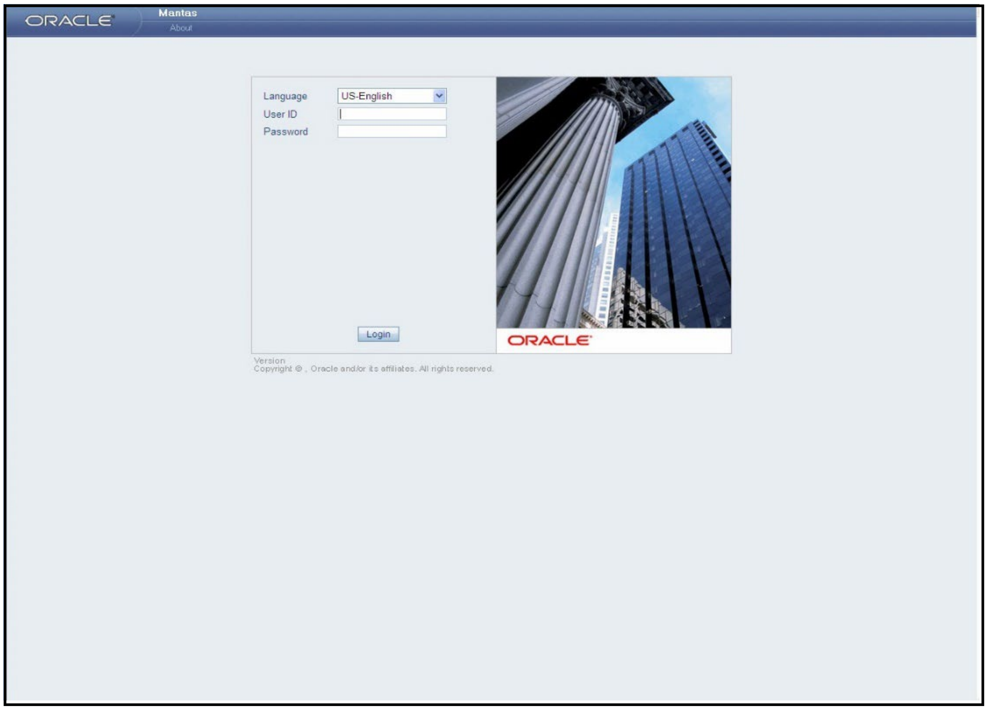
> **NOTE:**
>
> To access Scenario Tuning via Reports, OBIEE software must be installed and you need to have a valid user name and password.

To login, follow these steps:

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

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

Figure 52. Application Login



Language US-English
User ID
Password

Version
Copyright © , Oracle and/or its affiliates. All rights reserved.

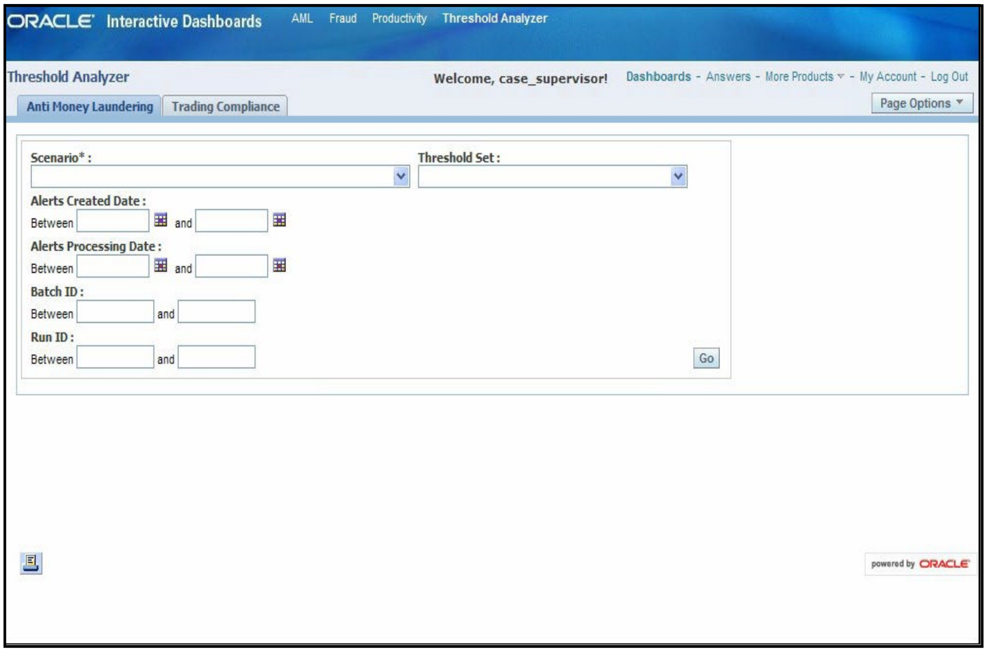
7.1.2 Homepage

To navigate to the Scenario Tuning application, select the Scenario Tuning option from the Reports primary navigation menu. On successful login, the homepage is displayed with Reports menu option. On clicking the Reports option, the OBIEE Dashboard page is displayed (Figure 53).

7.1.2.1 When the User is an Administrator

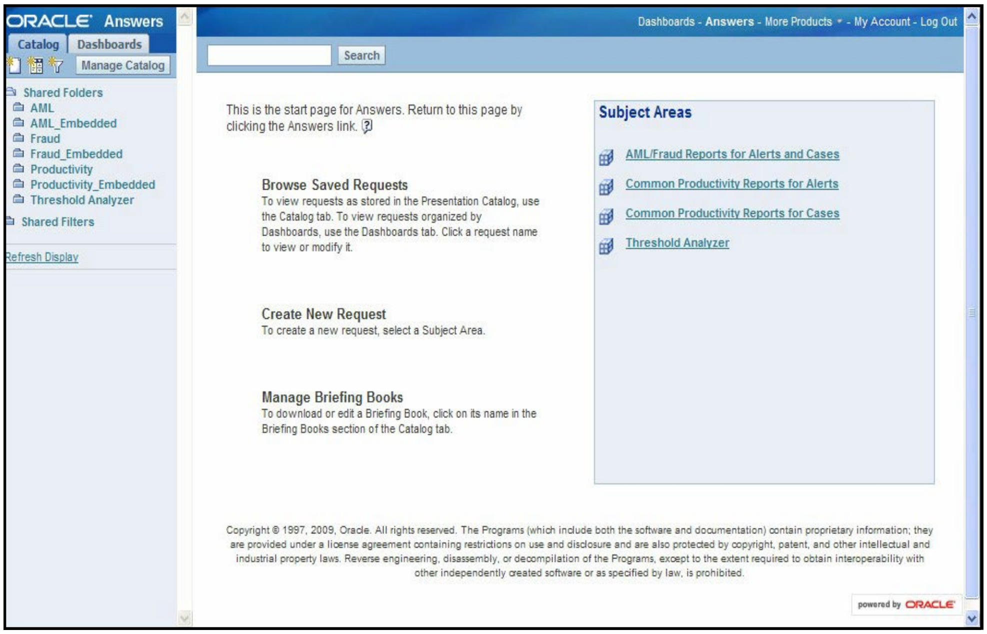
Users with administrator or data miner roles will default to the Scenario Tuning Report. (Figure 53).

Figure 53. Dashboard Page



If you have logged out from the Answers page, the next time you login you are directly taken to the Answers page(Figure 54).

Figure 54. Answers Page



This is the start page for Answers. Return to this page by clicking the Answers link.

Browse Saved Requests

To view requests as stored in the Presentation Catalog, use the Catalog tab. To view requests organized by Dashboards, use the Dashboards tab. Click a request name to view or modify it.

Create New Request

To create a new request, select a Subject Area.

Manage Briefing Books

To download or edit a Briefing Book, click on its name in the Briefing Books section of the Catalog tab.

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7.1.2.2 When the User is not an Administrator

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

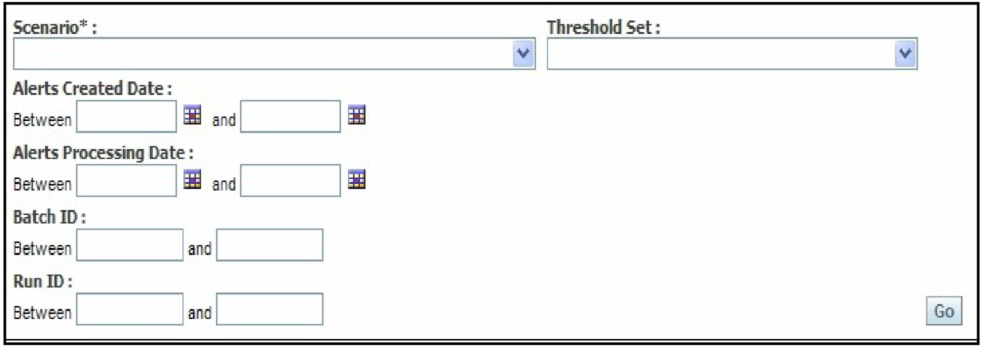
On login, if dashboard is displayed as home page, you can see four dashboards–AML, Fraud, Productivity, andScenario Tuning. By default, the dashboard seen is AML. Click **Scenario Tuning** to view the Scenario Tuning dashboard.

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

7.1.2.3 Initial Report Filters

Initial Report Filters are those filters that are always available, regardless of the scenario class or scenario selected for analysis. This section displays when you log into the Scenario Tuning dashboard and select a scenario class tab. These filters can be used to filter your analysis based upon a Scenario and Threshold Set, as well as alert create datesor processing dates, or filtering based on a particular processing job run ID or a processing batch ID (Figure 56).

Figure 56. Initial Report Filters



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

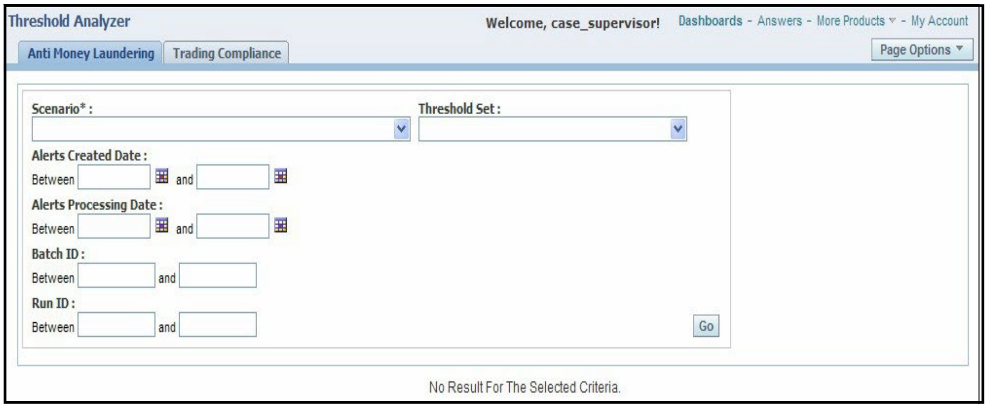
calendar control. The from date should always be less than the to date. Data must be in the MM/DD/YYYY format. By default, the date fields are blank.

- If you enter only a from date, keeping the to date blank, the system fetches the data based on where the alert processing date is greater than or equal to the given date. Similarly, if you enter only a to date then the system fetches data based on where the alert processing date is less than or equal to the given date.
- **Batch ID:** Behavior detection cycles are associated with a processing batch, which is assigned a unique identifier for each execution of the detection batch cycle. Using this filter you can specify a range of batch identifiers by entering from and to batch identifier values (represented by the Between and and fields) in the text box. Only positive values can be entered in these text boxes. The from Batch ID value should always be less than the to Batch ID value. You are allowed to enter only numeric values in these fields.
- If only a from Batch ID is entered then the report fetches data based on where the batch identifier is greater than or equal to the given batch ID. Similarly, if you enter only a to Batch ID then the report fetches data based on where the batch identifier is less than or equal to the given value.
- **Run ID:** Within a behavior detection batch cycle, detection jobs are associated with job runs. Each job run receives a unique run identifier. Using this filter you can specify a range of run identifiers, or individual identifiers in a similar manner as described for the Batch ID filter. As for the Batch ID filter, the Run ID filter accepts only positive values and the from Run ID value should always be less than the to Run ID value and the filter accepts only numeric values.
- If only a from Run ID is entered then the report fetches data based on where the run identifier is greater than or equal to the given run ID. Similarly, if you enter only a to Run ID then the report fetches data based on where the run identifier is less than or equal to the given value.

7.1.2.4 Executing a Scenario Tuning Report

By default, the Scenario Tuning reports are not displayed upon login and the page shows the *No Result For The Selected Criteria* message as shown in Figure 57. To view the report, enter search values in your desired filters and click **Go**. The Additional Filters selection section opens (see *Using Additional Filters,* on page 118) and the Scenario Tuning scatter graph statistical reports and their associated graphs open. For information about understanding graph display, see Understanding the Graph Display, on page 120.

Figure 57. Default Page

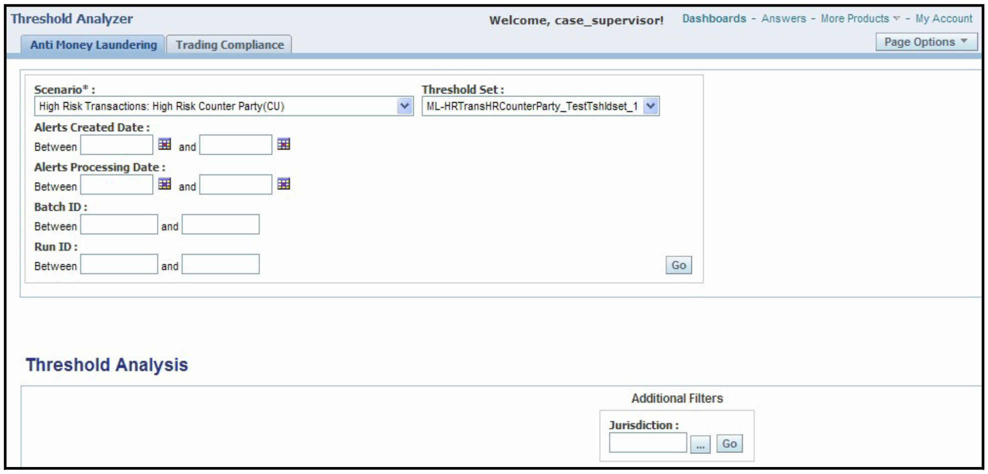


No Result For The Selected Criteria.

7.1.2.5 Using Additional Filters

Additional filters can be optionally specified, where the additional filter options are driven by the selection of a scenario and the subsequent identification of scenario specific binding variables. The number and type of additionalfilters depends on the scenario selected. The Additional Filters section does not appear until you have clicked **Go** inthe initial report filters section to generate the initial graph. The Additional Filters section appears below the initial report filters section but above the resulting graph. By default, additional filters are not applied to the initial results (Figure 58).

Figure 58. Additional Filter



Threshold Analyzer

Welcome, case_supervisor!

Scenario* : High Risk Transactions: High Risk Counter Party(CU)

Threshold Set : ML-HRTransHRCounterParty_TestTshldset_1

Alerts Created Date : Between and

Alerts Processing Date : Between and

Batch ID : Between and

Run ID : Between and

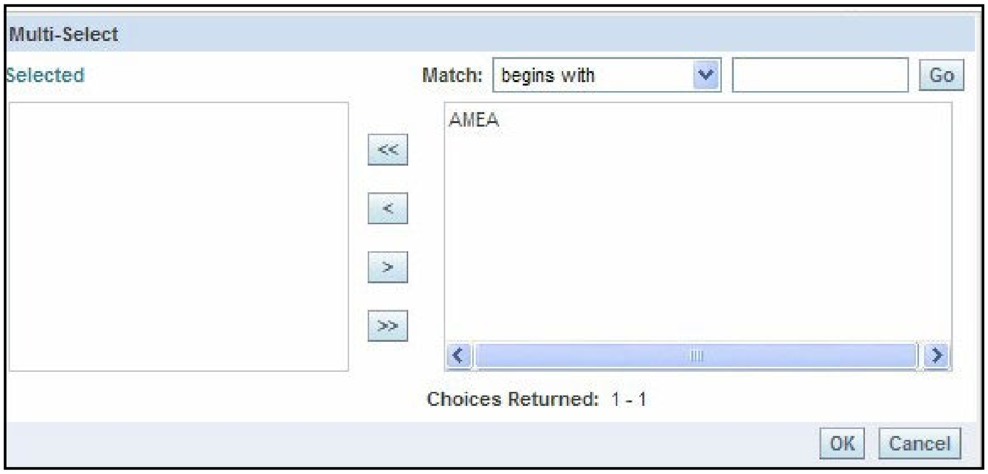
Threshold Analysis

Additional Filters

Jurisdiction :

To specify a value for use as an additional filter, you need to click on the ellipsis icon (   ) next to the filter (as shownin Figure 58) to open a multi-select box (Figure 59)

Figure 59. Additional Filter with Value



Multi-Select

Selected

Match: begins with

AMEA

Choices Returned: 1 - 1

Follow these steps:

1. Select one or more desired filter values from the list of available values in the right hand list of the selectionbox. Move the selected filter values from the right hand list to the left using < .

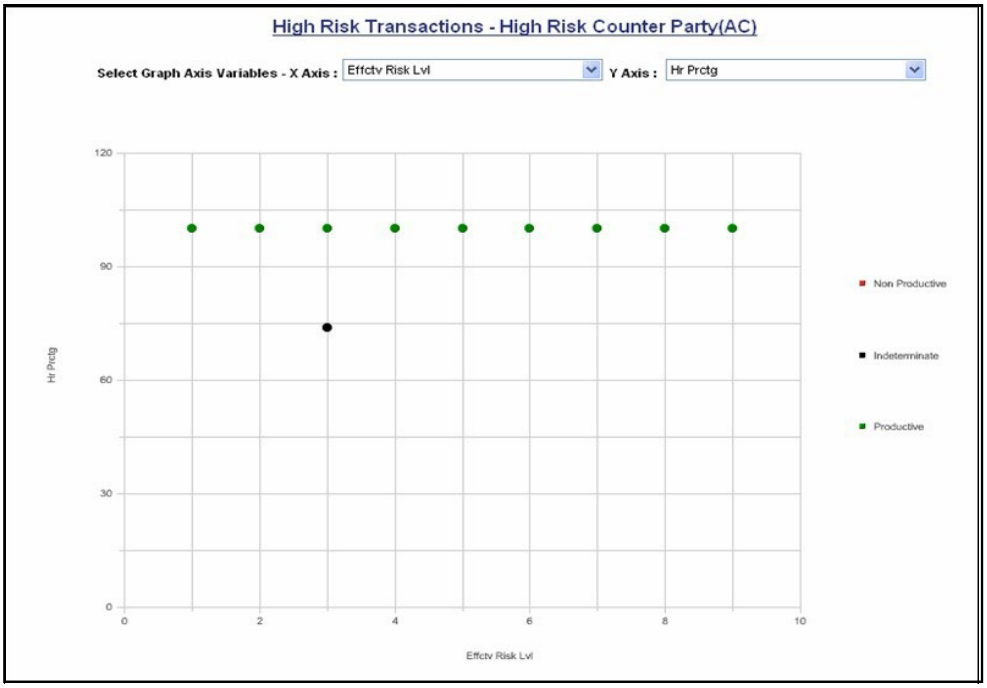
2. To filter by all possible values, click << to move all values into the Selected list.
3. To remove a filter value from the Selected list, select the filter value and click >. To remove all values fromthe Selected list click >> .
4. If the list of possible values for use as filters is lengthy then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

7.1.2.6 Modifying Axis Selections

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

The graph is initially generated using the first value as shown in the X axis selection drop-down and the second valueas shown in the Y axis drop-down upon selection of **Go** in the initial report filters section. You have the option to select a different value for the vertical (Y) and the horizontal (X) axis of the scatter graph. The graph refreshes upon the selection of a value in either axis. To change both axis variables it is necessary to select one and allow the graphto refresh before selecting a different value for the second axis. Figure 60 shows the axis selection drop-down.

Figure 60. Axis Selection



High Risk Transactions - High Risk Counter Party(AC)

Select Graph Axis Variables - X Axis : Effctv Risk Lvl Y Axis : Hr Prctg

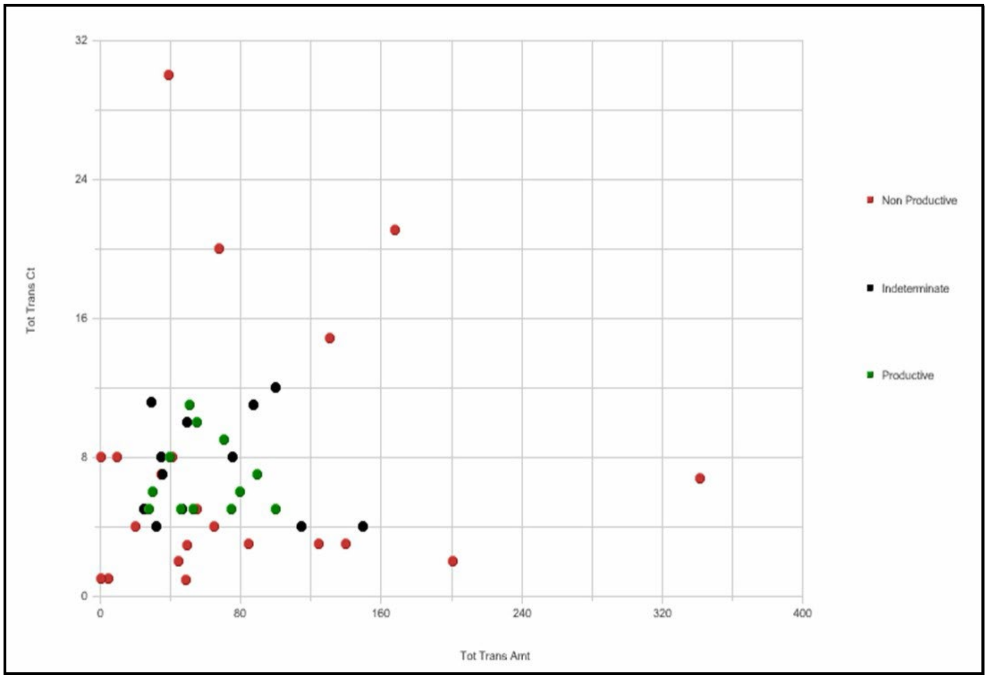
7.2 Understanding the Graph Display

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

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

For example, if the X axis is the variable *Tot Trans Amt* and the Y axis is the variable *Tot Trans Ct*, the match is displayed on the graph relative to the *Tot Trans Amt* and the *Tot Trans Ct* actually involved in, and bound by, thematch. Figure 61 shows an example of a scatter graph.

Figure 61. Scatter Graph



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

7.2.1 How to Interpret Results

There are the following three types of alerts:

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

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

For example, using the graph results shown in Figure 61, you can review the results and draw the followingconclusions:

- Productive alerts for this scenario have a total transaction count between 5 and 11
- Productive alerts for this scenario have a total transaction amount between approximately $20K and $100K

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

7.2.2 Understanding Report Statistics

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

7.2.3 Summary Counts

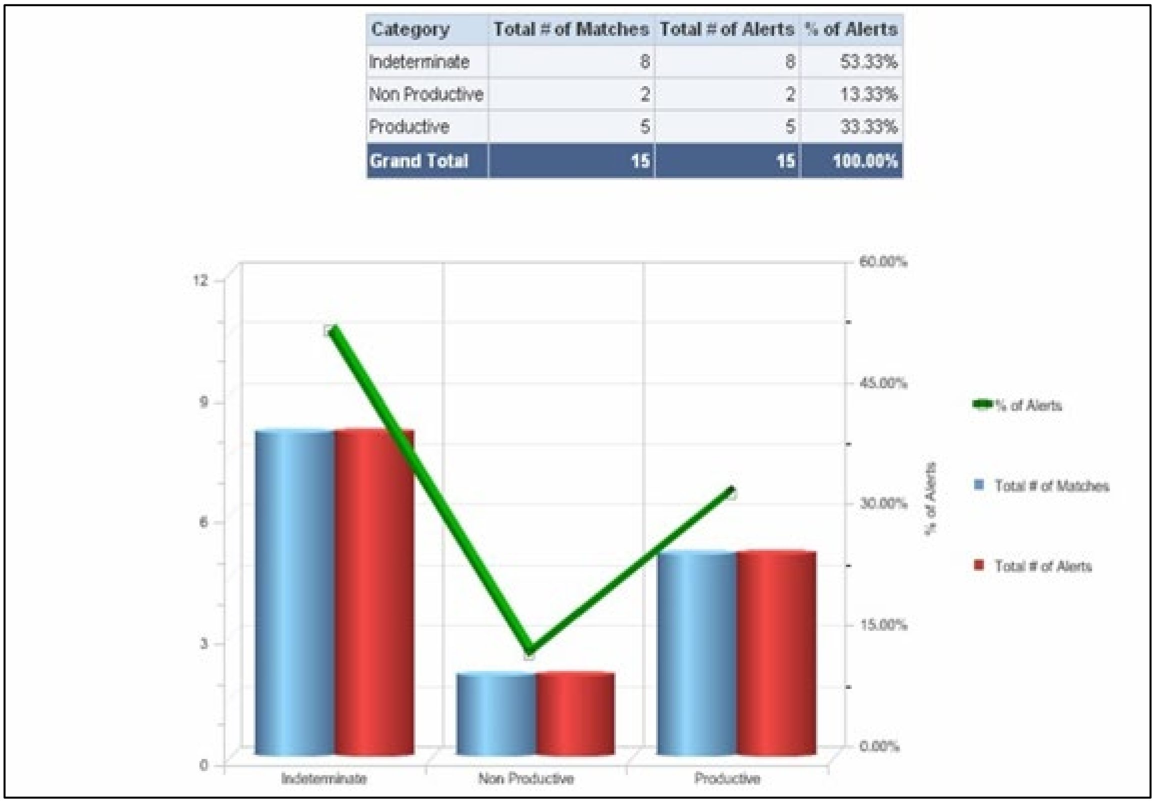
The summary counts display results in a tabular and line-bar combo graph. The tabular report shows the total number of matches, total number of alerts, and the percentage of the total number of alerts that is represented in each quality category. The Grand Total is calculated as the sum of matches across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

(Total count of alerts for individual category / Grand Total of alerts) × 100

In the line-bar combo graph (Figure 62), the clustered bar graph shows the total number of matches in blue and total number of alerts in red over the three default quality categories - productive, non-productive, and indeterminate. The green colored line shows the percentage of alerts distributed over each category.

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

Figure 62. Summary Counts



Category	Total # of Matches	Total # of Alerts	% of Alerts
Indeterminate	8	8	53.33%
Non Productive	2	2	13.33%
Productive	5	5	33.33%
Grand Total	**15**	**15**	**100.00%**

7.2.4 Understanding the Minimum, Maximum, Average and Median Statistics

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

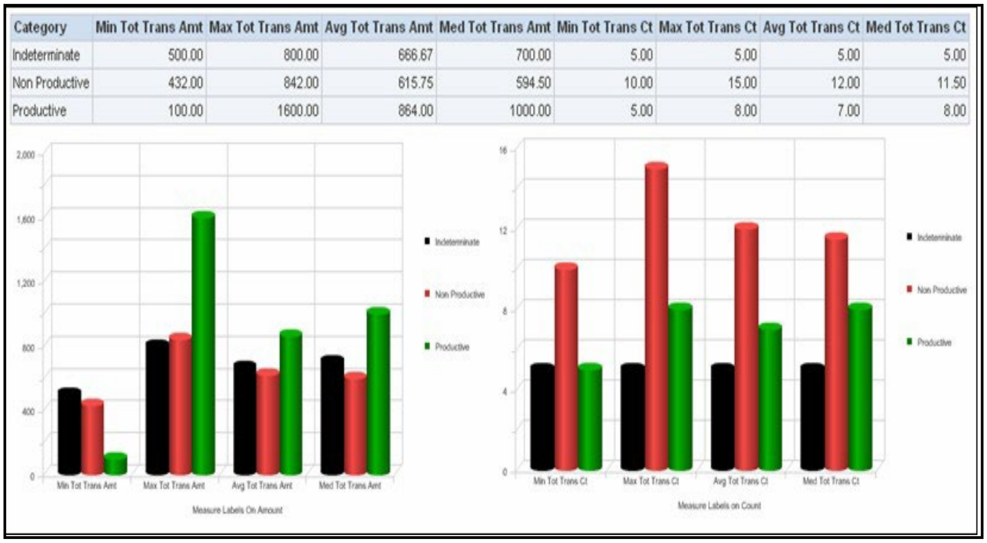
In the report, Minimum columns show the minimum value of the relevant binding variable returned for all alerts inthe current search, by quality category. Maximum columns show the highest value of the relevant binding variable returned for all alerts in the current search, by quality category. Average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

This statistical report utilizes a tabular representation as well as two vertical bar graphs. The tabular view basically shows the min, max, average and median amount and count of alerts for each quality category. The graphical view gives clustered bar graph min, max, average and median amount and count for each category. For productive alerts the bar comes in green, non-productive comes in red, and indeterminate comes in black color, by default (Figure 63).

NOTE:

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

Figure 63. Minimum, Maximum, Average, and Median Statistics



Category	Min Tot Trans Amt	Max Tot Trans Amt	Avg Tot Trans Amt	Med Tot Trans Amt	Min Tot Trans Ct	Max Tot Trans Ct	Avg Tot Trans Ct	Med Tot Trans Ct
Indeterminate	500.00	800.00	666.67	700.00	5.00	5.00	5.00	5.00
Non Productive	432.00	842.00	615.75	594.50	10.00	15.00	12.00	11.50
Productive	100.00	1600.00	864.00	1000.00	5.00	8.00	7.00	8.00

8 Security Configuration

This chapter provides instructions for setting up and configuring the Security Management System (SMS) to supportOFSAAI user authentication and authorization. It also contains instructions for setting up user accounts in the OFSAAI database to access the Scenario Manager.

This chapter focuses on the following topics:

8.1 About OFS AM User Authentication

The primary way to access information is through a Web browser that accesses the Alert Management, Case Management, and Administration Tools. The Scenario Manager authenticates use of the OFSAAI database only.

Web server authentication is also available for Oracle clients who want to utilize their own External AuthenticationManagement (EAM) tool.

8.1.1 Accessing OFS AM

A user gains access to OFS AM based on the following:

- Authentication of a unique user ID and password that enables access to Alert Management, CaseManagement, and Administration Tools.
- For accessing Alert Management:
- Set of policies that associate functional role with access to specific system functions in OFS AM.
- One or more associated organizational affiliations that control the user's access to alerts.
- Relationship to one or more scenario groups.
- Access to one or more jurisdictions.
- Access to one or more business domains.

For accessing Case Management:

- Set of policies that associate functional roles with access to specific system functions in OFS AM.
- Access to one or more case types/subtypes.
- One or more associated organizational affiliations that control the user's access to cases.
- Access to one or more jurisdictions.
- Access to one or more business domains.For accessing Watch List Management:
- Set of policies that associate functional roles with access to specific system functions in OFS AM.
- Access to one or more jurisdictions.
- Access to one or more business domains.For accessing Administration Tool:
- Set of policies that associate admin functional role with access to specific system functions in OFS AM.

8.2 About User Setup

To set up a user and provide the user access to OFS AM, perform the following steps:

1. Create a user: Refer to the Oracle Financial Services Analytical Applications Infrastructure User Manual for setting up a user.
2. Once the user is created, map the user to the group. This in turn maps the user to the role. With this the user will have access to the privileges as per the role.

> **NOTE:**
>
> You must assign at least one Alert Management or Case Management role and one Administrator role per user.

Refer to section User Group and User Roles on page 126 for more information on User Roles and User Groups. Refer to the Oracle Financial Services Analytical Applications Infrastructure User Manual for further information.

8.2.1 User Group and User Roles

The OFSBDF User Roles are predefined in the Oracle Financial Services Behavior Detection application. Sample values for User groups are included in the installer but can be modified by clients to meet their specific needs. Thecorresponding mappings between User Roles and sample User Groups are predefined but can also be modified by clients to either adjust the role to sample user group mapping or to map roles to newly defined user groups.

For creating a new user group and mapping it to en existing role, refer to the *Oracle Financial Services AnalyticalApplications Infrastructure User Manual* :

> **NOTE:** Different solutions have different predefined/preoccupied precedence of User Groups. Therefore, if ECM Admin/System Admin is creating a new User Group make sure while providing precedence value to notuse the following precedence:

Table 14. Solution with Predefined Precedence Range

Solution	Precedence Range already occupied
OFS ECM	901 to 1000
OFS OR	1001 to 2000
OFS KYC	2001 to 3000
OFS RR	3001 to 4000

While creating a new User Group, we can give precedence as 5001

- Defining User Group Maintenance Details
- Adding New User Group Details
- Mapping Users to User Group
- Mapping User Group(s) to Domain(s)
- Mapping User Group(s) to Role(s)

8.2.1.1 Mapping User Group(s) to Domain(s)

To map User Group(s) to Domain(s), map all the Alert Management User Groups to Alert Management Information Domain (Infodom).

For the above sections, refer to the Oracle Financial Services Analytical Applications Infrastructure User Manual for further information.

Actions to Role mappings are done through Database tables. Sample action to role mappings are included in the application. Refer to the following sections of Configuration Guide, for changing the mapping of roles to actions.

- Working with Alert Action Settings

Actions are primarily associated with a User Role, not an individual user. However, the ability to Reassign To All when taking a Reassign action is associated at the individual user level. Reassign To All means that a user is allowedto assign to users and organizations that may not be within their normal viewing privileges.

The following table describes the predefined User Roles and corresponding User Groups present in OFS AM.

Table 15. Alert Management Roles and User Groups

Role	Group Name	User Group Code
Alert Viewer	Alert Viewer User Group	ALERTVIEWERGRP
AM Data Miner Group	AM Data Miner Group User Group	AMDATAMNRGRP
AM Mantas Administrator	Mantas Administrator User Group	AMMANADMNGR

The following table describes the Watch List Roles and corresponding User Groups

Table 16. Watch List Roles and User Groups

Role	Group Name	User group Code
Watch List Supervisor	Watchlist Supervisor Group	WLSUPERVISORUG

> **NOTE:** If you wish to change the user group mapping for users who are already mapped to one or more groups, you must deselct the preferences for the Home page if it has been set.

8.2.1.2 Mapping a User to a Single User Group

If a user is to have only one role then that user can be mapped to a single User Group associated with that User Role. Refer to the Oracle Financial Services Analytical Applications Infrastructure User Manual to know more about User to User Group mapping.

8.2.1.3 Mapping a user to multiple User Groups within Alert Management

If a user needs to have more than one role within Alert Management, then the user needs to be mapped to the different User Groups associated with the corresponding role. When the user logs into Alert Management, user access permissions would be the union of access and permissions across all roles.

Mapping a user to multiple User Groups across Alert Management and other applications If a user needs to have different roles in Alert Management and roles for other platform supported applications, then that user has to be mapped to different user groups.

8.2.1.4 Mapping a Function to a Role

The followingfunction needs to be mapped to an appropriate Alert User Role through Function-Role Map function, which is, available in Security Management System, by logging in as the System Administrator in OFSAAI toolkit.

AMACCESS

All Alert Management user roles should be mapped to the function AMACCESS in order to access an alert. Users of roles that are not mapped to this function cannot access the details of the Alerts.

8.2.2 Defining the User Access Properties and Relationships

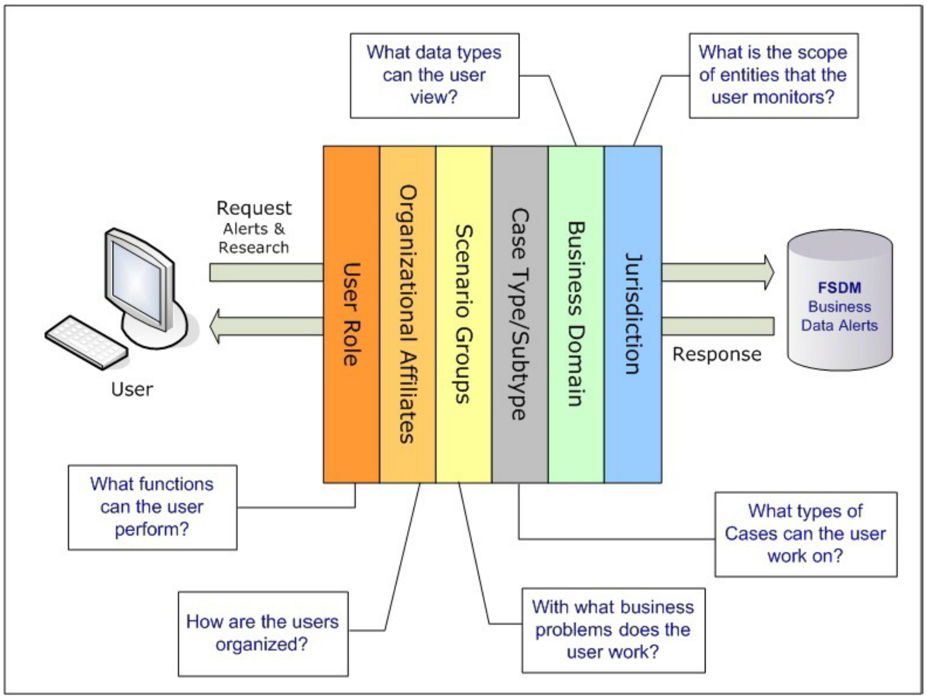
The following types of data compose a user's security configuration:

- **Business Domain(s):** Property that enables an OFS AM client to model client data along operationalbusiness lines and practices.
- **Jurisdiction(s):** Property that enables an OFS AM client to model client data across such attributes asgeographic location or type or category of a business entity.
- **Organization(s):** Department or organization to which an individual user belongs.

- **Role(s):** Permissions or authorizations assigned to a user in the system (such as, OFS AM administrator orAuditor).
- **Scenario Group(s):** Group of scenarios in Behavior Detection Framework that identifies a set of scenariopermissions and to which a user has access rights.
- **Case Type/Subtype(s):** Case type/subtypes combinations to which, a user has access rights.

The following figure illustrates the OFS AM user authorization model.

Figure 64. OFS AM User Authorization Model


What data types can the user view?
What is the scope of entities that the user monitors?
Request
Alerts & Research
User
User Role
Organizational Affiliates
Scenario Groups
Case Type/Subtype
Business Domain
Jurisdiction
Response
FSDM
Business
Data Alerts
What functions can the user perform?
What types of Cases can the user work on?
How are the users organized?
With what business problems does the user work?

The following provides the relationships between the data points that Figure 5 illustrates.

Table 17. Relationships between Data Points

Data Point	Relationship
Organization	Root of an OFS AM client's organization hierarchy
	Associated with 0..n users as a line organization
	Associated with 0..n users for view access to the organization
	Associated with 1..n Business Domains
	Associated with 1..n Scenario Groups
	Associated with 1..n Case Type/Subtypes
	Associated with 1..n Jurisdictions
	Has no direct relationship with a Role
Role	Associated with 0..n Users
	Has no direct relationship with an Organization
User	Associated with 1..n Business Domains
	Associated with 1..n Jurisdictions
	Associated with 1..n Roles
	Associated with 1..n Scenario Groups
	Associated with 1..n Case Type/Subtypes
	Associated with 1..n Organizations (as members)
	Associated with one Organization (as `mantasLineOrgMember`)
Users (Admin Tools)	Should be mapped only to mantas Admin Role.
Scenario Group	Associated to 0..n users
	Associated with Scenarios referenced in `KDD_SCNRO` table.
Case Type/Subtype	Associated to 0..n users
	Group name identifies the case type/subtype, matching a case `CASE_TYPE_SUBTYPE_CD` in the `KDD_CASE_TYPE_SUBTYPE` table.
Business Domains	Associated to 0..n users
	Business domain *key* must be in the `KDD_BUS_DMN` table
Jurisdiction	Associated to 0..n users
	Jurisdiction *key* must exist in the `KDD_JRSDCN` table

8.2.3 Obtaining Information Before Configuring Access Control

Before you perform access control activities (for example, adding a group, modifying user information, or deleting auser), contact your system administrator for the following information to add to the locations in Table 11.T.

> **NOTE:** Email ID is mandatory for users who would need to take Email action. The user ID should configuredwith valid email IDs while configuring the same through the User Maintenance UI.

8.3 About Configuring Access Control Metadata

You must first provide the user with access privileges, so the user can perform activities throughout variousfunctional areas in ECM. This enables the user to access at least one of each of the following:

- **Jurisdiction:** Scope of activity monitoring for example, Geographical Jurisdiction or Legal entity (Refer to
- *Creating a Jurisdiction*, on page 33, for more information).
- **Business Domain:** Operational line of business (Refer to *Creating a Business Domain*, on page 34, for more information).
- **Scenario Group:** Grouping of scenarios to control user access to scenarios.
- **Role:** Permissions or authorizations assigned to a user.
- **Organization:** User group to which a user belongs.

Some data types such as Scenario Group, Role, Business Domain, Case Type, and Case Subtype which compose theuser security configuration are predefined with sample values which are available through the installer. Clients can change or add new values for these data types (with the exception of User Role) based on specific requirements. The following section explains how to add or modify these data types.

8.3.1 Creating Jurisdiction in the Database

OFS AM uses Jurisdictions to limit user access to data in the database. Records from the OFS AM client that the Ingestion Manager loads must be identified with a jurisdiction, users of the system must be associated with one ormore jurisdictions. In the Alert and Case Management system, users can view only data or alerts or case associatedwith jurisdictions to which they have access. You can use a jurisdiction to divide data in the database; for example:

- **Geographical:** Division of data based on geographical boundaries, such as countries.
- **Organizational:** Division of data based on different legal entities that compose the client's business.
- **Other:** Combination of geographic and organizational definitions. In addition, it is client driven and can be customized.

In most scenarios, a jurisdiction also implies a threshold that enables use of this data attribute to define separate threshold sets based on jurisdictions.

There can be two approaches to create a jurisdiction in the database:

- Creating Jurisdiction in the Database through Scripts
- Creating Jurisdiction in the Database through Excel Upload

8.3.1.1 Creating Jurisdiction in the Database through Scripts

You can create jurisdiction in the database using the following steps:

1. Add the appropriate record to the KDD_JRSDCN database table, which Table 18 describes.

Table 18. `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).
`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).

2. Add records to the table by using a SQL script similar to the sample script in Figure 6.

Figure 65. Sample SQL Script for Loading KDD_JRSDCN

```
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 system initialization and requires populating before the system can operate.

8.3.1.2 Creating Jurisdiction in the Database through Excel Upload

The Excel upload process inserts the data into the appropriate dimension tables based on the pre-configured Excelupload definitions installed as part of the application installation. Data already existing should not be loaded again, asthis would result in failure of upload. When uploading additional records, only the incremental records should be maintained in the Excel template with the correct unique identifier key.

1. All template excel files for excel upload are available in `ftpshare/STAGE/Excelupload/AMCMLookupFiles`.
2. All date values should be provided in `MM/DD/YYYY` format in the Excel worksheet.
3. Whenever a record is deleted from the excel, the complete row should be deleted. In other words, no blankactive record should exist in the Excel.
4. After selecting the Excel template, preview it before uploading.

The Excel Upload screen can be accessed by logging in as Admin user.

8.3.1.3 Creating Business Domain

Business domains are used for data access controls similar to jurisdiction but have a different objective. The businessdomain can be used to identify records of different business types (for example, Private Client vs. Retail customer),or to provide more granular restrictions to data such as employee data. The list of business domains in the system resides in the KDD_BUS_DMN table. OFS AM tags each data record provided through the Ingestion Manager to one or more business domains. OFS AM also associates users with one or more business domains in a similar fashion. Ifa user has access to any of the business domains that are on a business record, the user can view that record.

The business domain field for users and data records is a multi-value field. For example, you define two business domains:

- Private Client
- Retail Banking

A record for an account that is considered both has BUS_DMN_SET=ab. If a user can view business domain **a** or **b**,the user can view the record. You can use this concept to protect special classes of data, such as data about executives of the firm. For example, you can define a business domain as *e: Executives*.

You can set this business domain with the employee, account, and customer records that belong to executives. Thus, only specific users of the system have access to these records. If the executive's account is identified in the Private Client business domain as well, any user who can view Private Client data can view the executive's record. Hence, it is important not to apply too many domains to one record.

The system also stores business domains in the KDD_CENTRICITY table to control access to Research against different types of entities. Derived External Entities and Addresses inherit the business domain set that is configured in KDD_CENTRICITY for those focus types.

'There can be two approaches to creating a Business Domain in the database:

- Creating Business Domain in the Database through scripts
- Creating Business Domain in the Database through Excel Upload

8.3.1.4 Creating Business Domain in the Database through scripts

To create a business domain, follow the steps:

1. Add the appropriate user record to the KDD_BUS_DMN database table, which Table 19 describes.

Table 19. 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 an OFS AM client specified the business domain, you should set the flag to N.

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

2. Add more records to the table by using a SQL script similar to the sample script in Figure 8.

```
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’);
```

Figure 66. Loading the KDD_BUS_DMN Table

3. Update the `KDD_CENTRICITY` table to reflect access to all focuses within the business domain with thefollowing command:

update KDD_CENTRICITY set bus_dmn_st = 'a'where KDD_CENTRICITY. CNTRY_TYPE_CD = 'SC'

8.3.1.5 Creating Business Domain in the Database through Excel Upload

Refer to *Creating Jurisdiction in the Database* to perform the Excel Upload for Business Domain. The excel template tobe used is `KDD_BUS_DMN.xls`.

8.3.1.6 Creating Scenario Group

There are two approaches to creating a Scenario Group in the database:

- Creating Scenario Group in the Database through scripts
- Creating Scenario Group in the Database through Excel Upload

8.3.1.6.1 Creating Scenario Group in the Database through scripts

To create a Scenario Group, follow these steps:

1. Add the appropriate user record to the `KDD_SCNRO_GRP` database table, which Table 20 describes.

Table 20. KDD_SCNRO_GRP Table Attributes

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

2. Add more records to the table by using a SQL script similar to the sample script in Figure 67.

```
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;
```

Figure 67. Loading the KDD_SCNRO_GRP Table

8.3.1.6.2 Creating Scenario Group in the Database through Excel Upload

Refer to *Creating Jurisdiction in the Database*, to perform the Excel Upload for Scenario Group. The excel template tobe used is `KDD_SCNRO_GRP.xls`.

8.3.1.7 Creating Scenario Group Membership

There are two approaches to creating a Scenario Group Membership in the database:

- Creating Scenario Group Membership in the Database through scripts
- Creating Scenario Group Membership in the Database through Excel Upload

8.3.1.7.1 Creating Scenario Group Membership in the Database through scripts

To create a Scenario Group Membership, follow these steps:

1. Add the appropriate user record to the `KDD_SCNRO_GRP_MEMBERSHIP` database table, which Table 21describes.

Table 21. KDD_SCNRO_GRP_MEMBERSHIP Table Attributes

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

2. Add more records to the table by using a SQL script similar to the sample script in Figure 68.

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

INSERT INTO KDD SCNRO GRP MEMBERSHIP
```

Figure 68. Loading the KDD_SCNRO_GRP_MEMBERSHIP Table

8.3.1.7.2 Creating Scenario Group Membership in the Database through Excel Upload

Refer to *Creating Jurisdiction in the Database*, to perform the Excel Upload for Scenario Group Membership. The exceltemplate to be used is `KDD_SCNRO_GRP_MEMBERSHIP.xls.`

8.3.1.8 Creating Organizations in the Database

There can be two approaches to create an Organization in the database:

- Creating Organization in the Database through scripts
- Creating Organization in the Database through Excel Upload

8.3.1.8.1 Creating Organization in the Database through scripts

Add entries directly to the KDD_ORG table using a script.

1. Add the appropriate record to the KDD_ORG database table, which Table 22 describes.

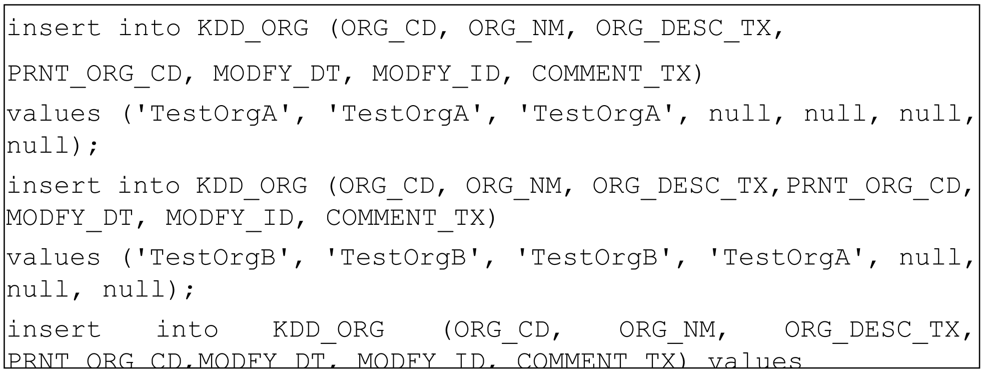
> **NOTE:**
>
> The KDD_ORG table is empty after system initialization and requires populating before the system can operate.

Table 22. KDD_ORG Table Attributes

Business Field	Column Name	Date Type	Definition	Null
Organization	ORG_CD	CHAR(20)	Unique identifier for this organization.	No
Organization Display Name	ORG_NM	CHAR(60)	Short name for the organization that is used for display purposes.	Yes
Organization description	ORG_DESC_TX	CHAR(100)	Description of this organization	Yes
Line Organization	PRNT_ORG_CD	CHAR(20)	Identifies the parent organization of which this organization is considered to be a child	Yes
Modification Date	MODFY_DT	DATE	Identifies the last modified Date and time.	Yes
Modified User	MODFY_ID	NUMBER(10)	Identifies the user id of the user who last modified the data	Yes
Comment	COMMENT_TX	CHAR(4000)	Comment	

Table 22. KDD_ORG Table Attributes

2. Add records to the table by using a SQL script similar to the sample script below.



```
insert into KDD_ORG (ORG_CD, ORG_NM, ORG_DESC_TX,
PRNT_ORG_CD, MODFY_DT, MODFY_ID, COMMENT_TX)
values ('TestOrgA', 'TestOrgA', 'TestOrgA', null, null, null,
null);
insert into KDD_ORG (ORG_CD, ORG_NM, ORG_DESC_TX,PRNT_ORG_CD,
MODFY_DT, MODFY_ID, COMMENT_TX)
values ('TestOrgB', 'TestOrgB', 'TestOrgB', 'TestOrgA', null,
null, null);
insert    into    KDD_ORG    (ORG_CD,    ORG_NM,    ORG_DESC_TX,
PRNT_ORG_CD,MODFY_DT, MODFY_ID, COMMENT_TX) values
```

Figure 69. Sample SQL Script for Loading KDD_ORG

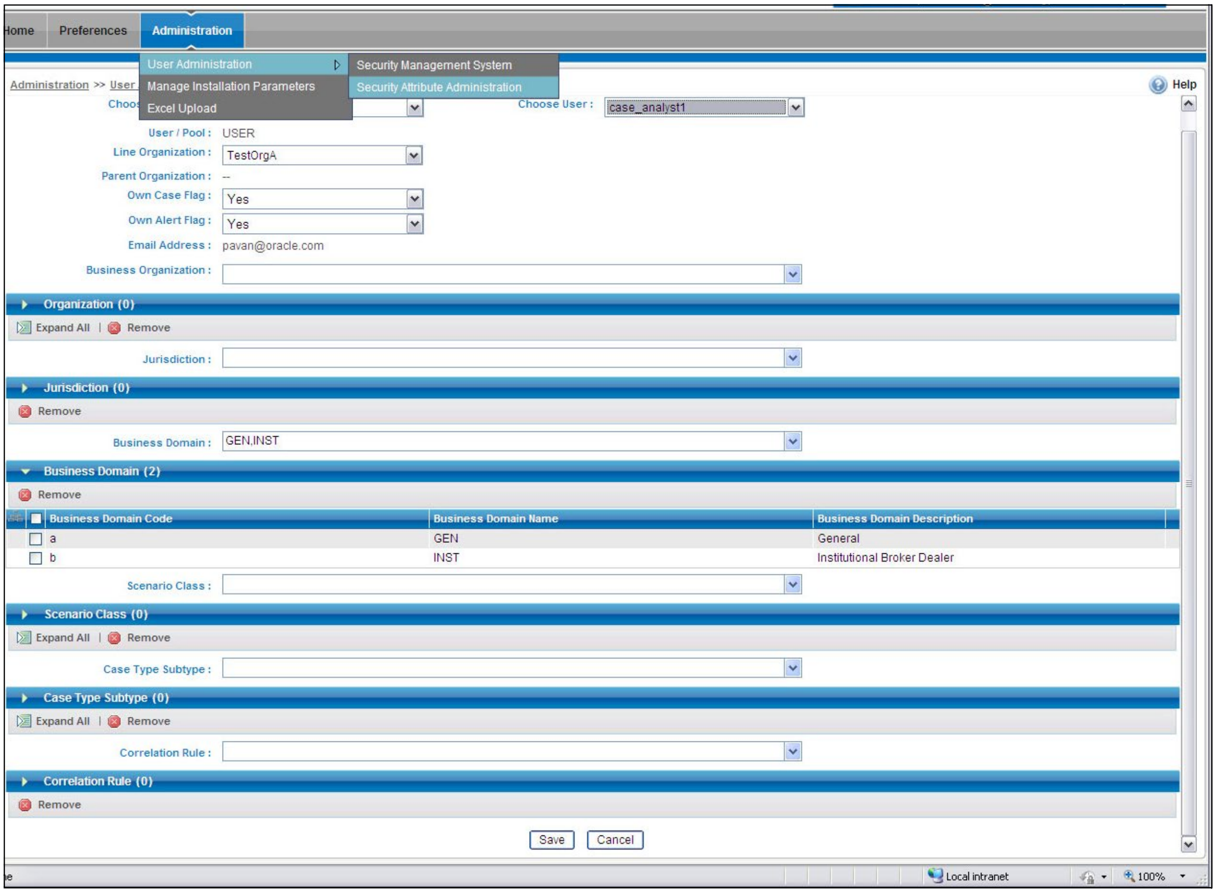
8.3.1.8.2 Creating Organization in the Database through Excel Upload

Refer to Creating Jurisdiction in the Database to perform the Excel Upload of organization. The excel template to be used is KDD_ORG.xls.

8.4 Mapping Users To Access Control Metadata

An Administrator can map each user to Access Control Metadata and Security attributes which will control the user's access permissions. The Security Attribute Administration can be accessed from the Administration menu (Figure 71).

> **NOTE:** Before proceeding with providing a user access through this UI, all necessary data should be available inthe appropriate database tables and the user needs to be created.



Choose User : case_analyst1

User / Pool : USER

Line Organization : TestOrgA

Parent Organization : --

Own Case Flag : Yes

Own Alert Flag : Yes

Email Address : pavan@oracle.com

Business Organization :

Organization (0)

Jurisdiction :

Jurisdiction (0)

Business Domain : GEN,INST

Business Domain (2)

□	Business Domain Code	Business Domain Name	Business Domain Description
□	a	GEN	General
□	b	INST	Institutional Broker Dealer

Scenario Class :

Scenario Class (0)

Case Type Subtype :

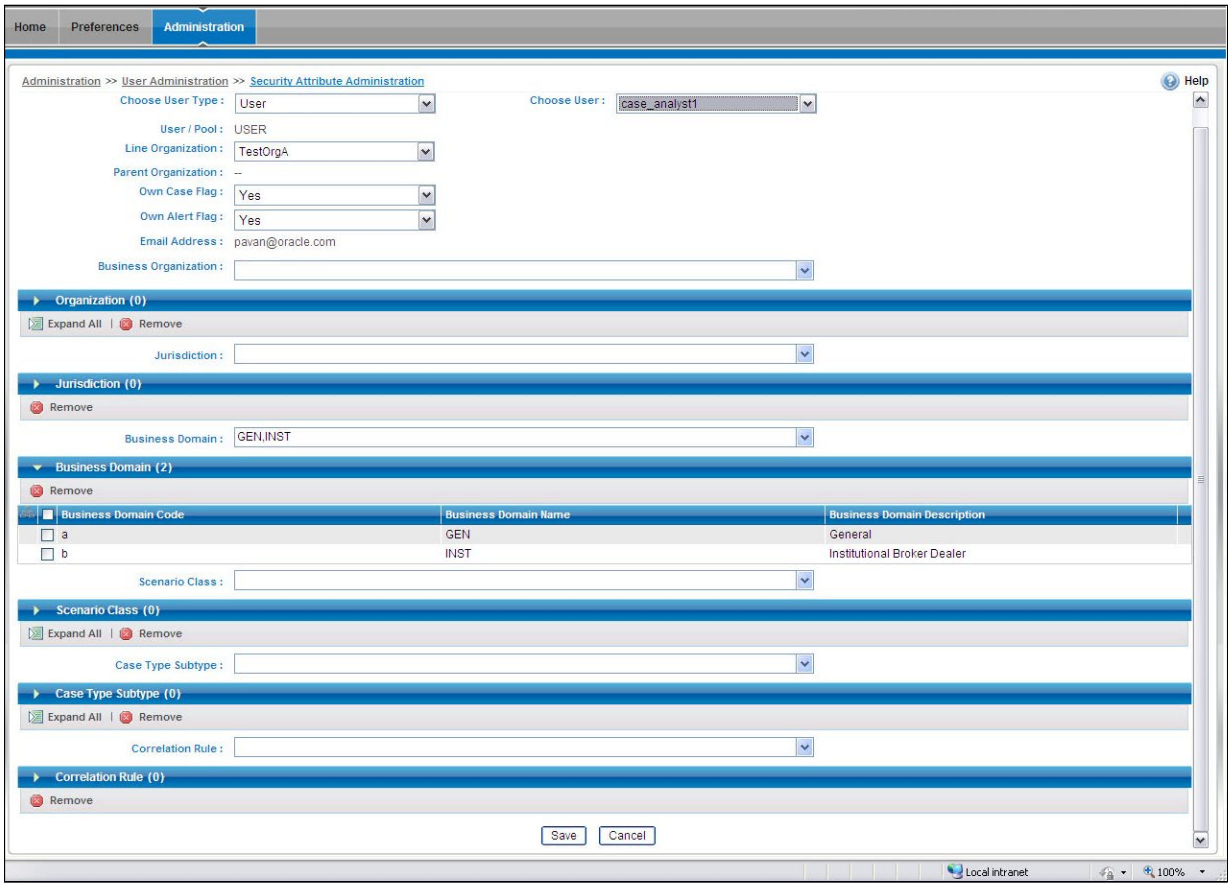
Case Type Subtype (0)

Correlation Rule :

Correlation Rule (0)

Figure 70. Security Attribute Administration

Using this UI an Administrator can map both Organizations and Users to different Security attributes.



Choose User Type : User

Choose User : case_analyst1

User / Pool : USER

Line Organization : TestOrgA

Parent Organization : --

Own Case Flag : Yes

Own Alert Flag : Yes

Email Address : pavan@oracle.com

Business Organization :

Organization (0)

Jurisdiction :

Jurisdiction (0)

Business Domain : GEN,INST

Business Domain (2)

□	Business Domain Code	Business Domain Name	Business Domain Description
□	a	GEN	General
□	b	INST	Institutional Broker Dealer

Scenario Class :

Scenario Class (0)

Case Type Subtype :

Case Type Subtype (0)

Correlation Rule :

Correlation Rule (0)

Figure 71. Components of Security Attribute

> **NOTE:**
>
> In order to update the user profiles before proceeding with mapping any security attributes, select the value User from the Choose User Type drop-down list. When chosen, all the updates made to all the user profiles through User Maintenance UI would be imported from CSSMS_USER_PROFILE table of OFSSAAI configuration schema to KDD_REVIEW_OWNER table of mantas schema.

This action would not affect the security attributes that might be already mapped.

Once the user details are imported, the security attributes should be mapped/remapped.

The drop-down lists have options for both Organizations and Users. To map an organization, select the organization from the drop-down list and select the corresponding Organization in the **Choose User** drop-down list.

The **Choose User** drop-down list filters its values based on the value selected in the **Choose User Type** selectiondrop-down list. It shows only users, if the **User Type** is User; and it shows only organizations, if the **User Type** isOrganization.

After selecting the desired user in **Choose User** drop-down list, the Administrator can map the followingparameters to the selected user:

- Organization
- Jurisdiction
- Business Domain
- Scenario Group
- Correlation Rule

8.4.1 Organization

A User or Organization's access to other Organization depends on the selection(s) made for this organization parameter. For Example, if a user is mapped Org1 and Org2, it implies that, user can access alert/case, whichbelongs to these two organizations, provided other security attributes are also matching.

8.4.2 Jurisdiction

Mapping of one or more jurisdictions to a user or organization, gives the privilege of accessing cases, alerts, watch lists, and watch list members that belong to the mapped jurisdiction.

8.4.3 Business Domain

Mapping of one or more business domains to a user or organization gives privilege of accessing cases, alerts, watch lists, and watch list members that belong to the mapped business domains.

8.4.4 Scenario Group

Mapping of one or more Scenario Groups to a user or organization gives the privilege of accessing alerts that belong to the mapped scenario Group.

8.4.5 Correlation Rule

Mapping of one or more correlation rules gives the privilege of viewing the correlations generated based on themapped correlation.

8.4.6 Additional Parameters

Other parameters, such as, Line Organization, Own Case Flag and Own Alert flag can be selected in thecorresponding drop-down list mentioned in the screen and can be updated by clicking the **Save** button.

> **NOTE:**
>
> The Own Alert and Case flag is required for taking ownership of the alerts and cases. If an alert user needs to perform a Promote To Case action, then the following pre-requisites should be fulfilled.

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

- Case Supervisor
- Case Analyst1
- Case Analyst2

1. The user's 'Case Own' flag should be enabled by setting the value to 'Y'.Or

The user should be mapped to the Case Initiator Role.

> **NOTE:**
>
> You must map the scenario group and case type to all users even if they are not case or alert management users.

8.5 About Scenario Manager Login Accounts

OFS AM users gain access to the Scenario Manager application based on the following:

- User ID and password authentication enables access to the Scenario Manager.
- An associated functional role corresponds to particular user tasks and authorities.

8.5.1 Creating Scenario Manager Login Accounts

As administrator, the user setup process requires that you complete the following tasks:

1. Create a database login account and password (Refer to section *To Create the Database Login Account*, on page 38, for more information).
2. Set up an account and functional roles in the Scenario Manager. Before performing any tasks in the Scenario Manager, you must set up a user login account that establishes access and roles in the Scenario Manager. Perform these setups by adding records to the database (Refer to section *To Set Up an Account and Functional Roles,* on page 141, for more information).
3. Grant the database roles that the functional roles require. You can grant the role of data miner, or MNR to an

Scenario Manager user (Refer to section *To Grant a Database Role,* on page 142, for more information).

> **NOTE**:
>
> Oracle suggests having only a few generic users in the database to use the Scenario Manager, as most organizations have an extremely small user population to execute these tools.

8.5.1.1.1 To Create the Database Login Account

The system instantiates the database as a set of Oracle database tables. Therefore, each user whom the OFS AM client authorizes to use the Scenario Manager must have login access to the Oracle database. As administrator, youmust set up an Oracle database login account for each user, and assign the `KDD_MNR` user role to this account.

> **NOTE:**
>
> OFSBDF does not support external logins (for example, OPS$accounts) in an Oracle database environment. Users must provide an explicit password when logging on.

The assumption is that the Oracle client's system administrator has training and experience in performing such setups, and, therefore, does not require instructions here on how to perform this task. However, for informationabout setting up Oracle database accounts, Refer to the appropriate Oracle database documentation.

> **NOTE:**
>
> The Solaris and Oracle database login user IDs do not have to be identical. However, the Scenario Manager and Oracle database login user IDs MUST be identical.

8.5.1.1.2 To Set Up an Account and Functional Roles

To create a Scenario Manager account and functional role, follow the steps:

1. Access the `KDD_USER` table.

The following table defines the attributes for the `KDD_USER` table.

Table 23. `KDD_USER` Table Attributes

Column Name	Description
`USER_ID`	User's database login ID.
`USER_NM`	User's name.
`USER_ROLE_CD`	User's default database role.
`ACTV_FL`	Active user indication (Y or N).
`WRKLD_CD`	Not used by the Scenario Manager.

2. Enter the following information into the table using an SQL script:
   a. User database login ID in the `USER_ID` column. (The Scenario Manager and Oracle database loginuser IDs must be identical.)
   b. User name in the `USER_NM` column.
   c. Default user role in the `USER_ROLE_CD` column.
   d. To use the Scenario Manager, the user needs the MNR (data miner) database role. The MNR databaserole is responsible for adjusting the pattern logic of

existing scenarios and employs data mining techniques to create new patterns and scenarios.

e. Flag of Y(es) or N(o) in the `ACTV_FL` column to specify whether the user is active.A sample SQL insert statement is:

INSERT INTO KDD_USER VALUES (‘KDD_MNR’, ‘KDD MINER’, ‘MNR’, ‘Y’, ‘FT’);

8.5.1.1.3 To Grant a Database Role

To grant a database role to the Scenario Manager `KDD_MNR` user, follow the steps:

1. Access the `KDD_USER_ROLE` table.

The following table defines the attributes in the `KDD_USER_ROLE` table.

Table 24. `KDD_USER_ROLE` Table Attributes

Column Name	Description
`USER_ID`	User’s login ID.
`USER_ROLE_CD`	User’s database role.

2. Enter the following information into the table using an SQL script:

- User login ID in the `USER_ID` column.
- User role MNR in the `USER_ROLE_CD` column.A sample SQL insert statement is:

INSERT INTO KDD_USER_ROLE values (‘KDD_MNR’, ‘MNR’);

8.6 About Changing Passwords for System Accounts

Throughout the OFSBDF application there are several system accounts that may require changing the password for security purposes.

The following table summarizes the different system account passwords used by Oracle Financial Services BehaviorDetection Framework, the subsystems that use those passwords, and instructions on how to change the passwords.

Table 25. System Account Passwords

System Account	Subsystem	Instructions
Data Ingest User (`INGEST_USER`)	Data Ingestion	1. Change the password in the database server for this user. 2. Use the Password Manager Utility to change the password in Oracle Financial Services Behavior Detection Framework to the new password.
Algorithm User (`KDD_ALG`)	Behavior Detection Services	1. Change the password in the database server for this user. 2. Use the Password Manager Utility to change the password in Oracle Financial Services Behavior Detection Framework to the new password.
data miner User (`KDD_MNR`)	Alert & Case Management Data Ingestion	1. Change the password in the database server for this user. 2. Use the Password Manager Utility to change the password in Oracle Financial Services Behavior Detection Framework to the new password.

Web Application User (`KDD_WEB`)	Alert & Case Management Services	1. Change the password in the database server for this user. 2. Use the Password Manager Utility to change the password in OFSBDF to the new password.
Behavior Detection Framework	Bdf	1. Execute `<INSTALL_DIR>/bdf/scripts/changePasswords.sh` to generate an encrypted version of the password. 2. Find the `<INSTALL_DIR>/bdf/config/custom/BDF.xml` with the encrypted password. Refer to the *Installation Guide* for more information. **Note:** Please note that for BDF does not use Password Management utility.
Reports User (`KDD_REPORT`)	OBIEE Reports	Open the `$OracleBI_HOME/server/Repository` and expand the Physical Layer. Open the Connection Pool and change the Password parameter to set a new value of the `KDD_REPORT` schema password. **Note**: OBIEE is an optional application.
Reg Reporting Service User	Alert & Case Management	1. Change the password in the Reg Reporting Service for this user. 2. Use the Password Manager Utility to change the password in OFSBDF to the new password by executing the following command: `<INSTALL_DIR>/changePasswords.sh rrs.password` **Note:** It is important that the password for RRS WebService and RRS are the same.

8.7 About Configuring File Type Extensions

The list of file type extensions that are allowed to be attached while performing document attachment action should be configured as comma separated values in CONFIGURATION table of OFSSAAI configuration schema in its PARAMVALUE column where PARAMNAME is DOCUMENT_ALLOWED_EXTENSION.

8.8 About Configuring File Size

By default the size supported by attachment is 1 MB. If you want to attach files greater than 1 MB size using the Save & Attach button, follow these steps:

1. Open file $FIC_HOME/EXEWebService/<WebSphere or Weblogic or Tomcat>/ROOT/conf/DynamicWSConfig.xml and update

From:

<PROPERTY NAME="MAXFILESIZE" VALUE="1024000"/>

To:

<PROPERTY NAME="MAXFILESIZE" VALUE="<desired value in bytes up to 10MB>"/>

2. Then recreate ExeWebservices ear file and redeploy it.
3. Restart the web application server.

8.9 About Configuring Status To User Role Table

Within Watch List Management, each watch list and watch list entry (referred to as a “Watch List Member” on the Watch List Management UI) is assigned a status. In addition to the rules defined earlier in this chapter for accessingWatch List Management, OFS AM uses this status to limit user access to watch lists and watch list entries within the Watch List Management. For example. a WLM Supervisor user role can view "Active" watch lists and watch list entries only if the user role "WLM Supervisor" is mapped to status "Active". These mappings reside in the Status ToUser Role table and are applicable only to the Watch List Management. Each mapping of status to user role appliesto both watch lists and watch list entries.

8.9.1 Mapping Status to Role in the Database through Scripts

You can create a Status to User Role mapping in the database by following these steps:

1. Add the appropriate record to the KDD_STATUS_ROLE database table, which Table 26 describes..

Table 26. KDD_STATUS_ROLE Table Attributes

Business Field	Column Name	Date Type	Definition	Null
Status Code	STATUS_CD	CHAR(3)	Status that can be accessed by the user role on this record.	Yes
User Role	USER_ROLE_CD	CHAR(50)	User role that is being assigned access to this status.	Yes

2. Add records to the table by using a SQL script similar to the sample script in Figure 72

Figure 72. Sample SQL Script for Loading `KDD_STATUS_ROLE`

```
insert into kdd_status_role (status_cd,user_role_cd) values ('ACT','WLSUPVISR')
insert into kdd_status_role (status_cd,user_role_cd) values ('REJ','WLSUPVISR')
```

NOTE: The `KDD_STATUS_ROLE` table is pre populated after system initialization with the following records:

Table 27. KDD_STATUS_ROLE

STATUS_CD	USER_ROLE_CD
ACT	AMEXAUDITR
ACT	AMEXCUTIVE
ACT	AMINAUDITR
ACT	WLSUPVISR
DAC	WLSUPVISR

8.10 Configuring Alert and Case Management

The following section describes how to disable and enable Oracle Financial Services Alert Management.

8.10.1 Enabling and Disabling Alert Management

This parameter allows the system to identify whether or not Alert Management Actions and Fields are to be displayed based on the deployment installation. The values to be provided for this parameter are Yes(Y) or No (N).

By default, the parameter is set to Y.

To modify this parameter, follow these steps:

1. Login as an OFS AM Admin User with valid username and password. You are navigated to the Home page.
2. Click **FCCM** and then click the **Administration** Menu and select **Manage Installation Parameter**.
3. Select **Deployment Based** in the Parameter category.
4. Select **Alert Management** from the Parameter Name drop-down list.
5. Edit the parameter.

OFSAA Support

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