Oracle Financial Services
Compliance Regulatory Reporting
Rwanda Suspicious Transaction Report
User Guide

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Oracle Financial Services Compliance Regulatory Reporting Rwanda Suspicious Transaction Report

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About This Guide

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

This chapter discusses the following topics:

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

Who Should Use this Guide

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

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

How this Guide is Organized

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

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

Where to Find More Information

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

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

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
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
Asterisk	Mandatory fields in User Interface
<Variable>	Substitute input value

CHAPTER 1

About Compliance Regulatory Reporting

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

This chapter discusses the following topics:

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

Introduction to Compliance Regulatory Reporting

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

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

About Oracle Financial Services Compliance Regulatory Reporting Application

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

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

Users mapped to appropriate roles can update the report information and submit the report details for approval to the Supervisor. The Supervisor can approve, rework, cancel the filing or reject the cancellation request of the report.

Once the STRs are approved, they can be submitted to the regulators. However, sending the documents to the regulator is the responsibility of the user and out of scope of the application.

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

CHAPTER 2 Getting Started

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

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to Compliance Regulatory Reporting
- Managing the OFSAA Application Page
- Accessing Compliance Regulatory Reporting from OFS RWSTR

User Roles

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

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

User Access

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

Table 2. User Access

Function	Analyst	Supervisor	Auditor	RR Admin
View Report	x	x	x	
Request for Approval	x			
Approve		x		
Rework		x		
Cancel Filing from Open and Reopen status	x	x		
Cancel Filing from Requested for Approval and Approved status		x		

Table 2. User Access

Function	Analyst	Supervisor	Auditor	RR Admin
Add Report Comments	x	x	x	
View/Save Final Report	x	x	x	
Submit Approved Reports		x		
Reopen Cancelled Reports	x	x		
View/Edit Configuration				x
Create New Report	x	x		

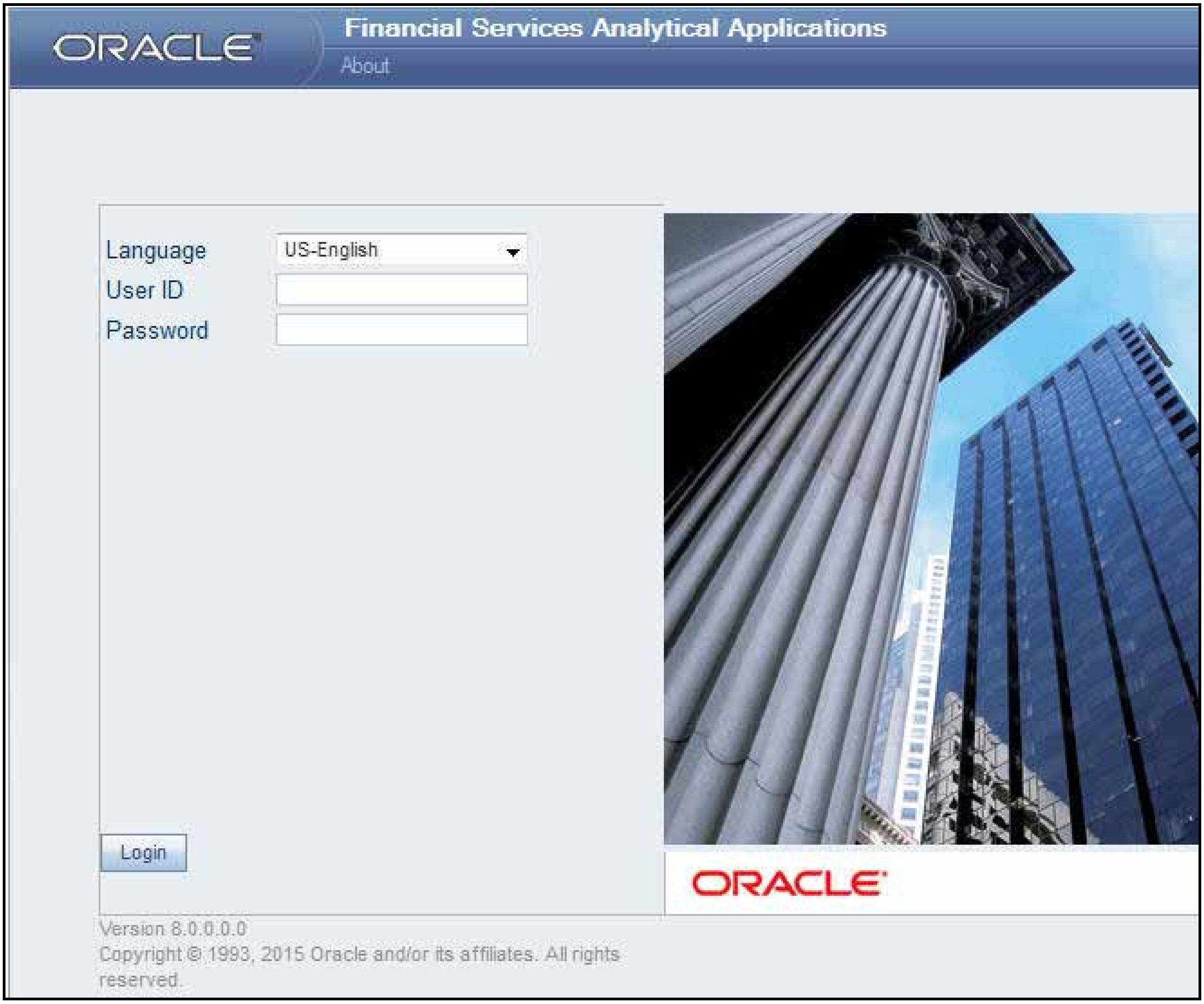
Logging in to Compliance Regulatory Reporting

To access the Compliance Regulatory Reporting application, follow these steps:

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

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

The OFSAA Login page is displayed.



Language: US-English

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2. Select the **Language** from the Language drop-down list.
3. Enter your **User ID** and **Password**.
4. Click **Login**. The OFSAA Application page is displayed.

The OFSAA Application Page is divided into two parts:

- **Left Pane:** Displays any menus and links to modules in a tree format based on the application selected in the **Select Application** drop-down list.
- **Right Pane:** Displays any menus and links to modules in a navigational panel format based on the selection of the menu inthe Left pane. It also provides a brief description of each menu or link..

Managing the OFSAA Application Page

This section describes the different panes and tabs in the OFSAA Application page.

The OFSAA Application page has the following tabs:

- Applications
- Object Administration

The following sections describe these tabs.

Applications Tab

The Applications tab lists the Regulatory Reporting application that is installed in the OFSAA setup based on the logged in user and mapped OFSAA Application User Groups.

The following menu items are available in the **Applications** tabs:

- Compliance Regulatory Reporting Pack
  - RW STR
  - User Administration
  - Webservice Configuration
  - Excel Upload (Atomic)

Object Administration Tab

Object Administration is an integral part of the Infrastructure system and allows system administrators to define the security framework with the capacity to restrict access to the data and metadata in the warehouse, based on a flexible, fine-grained access control mechanism. These activities are mainly done at the initial stage, and then as needed. This tab includes information related to the workflow of the Infrastructure Administration process with related procedures to assist, configure, and manage administrative tasks.

The Object Administration tab lists the RR Information Domain created in the OFSAA setup based on the logged in user and mapped OFSAA Application User Groups. For more information about managing Information Domains, refer to the *Administration* Guide.

The following menu items are available in the Object Administration tab:

- Financial Services Analytical Applications Infrastructure
  - Object Administration

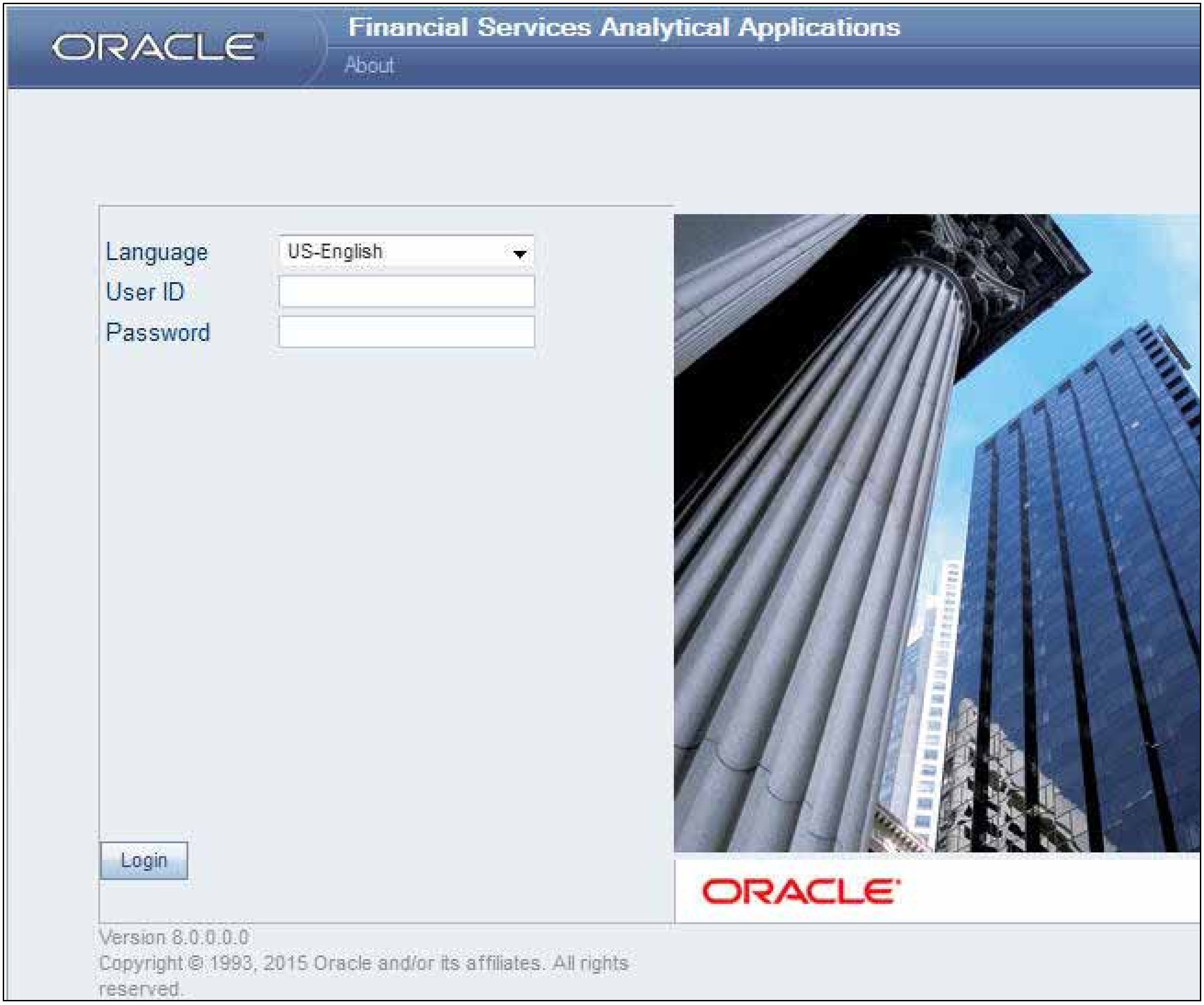
Note:

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

Accessing Compliance Regulatory Reporting from OFS RWSTR

To access OFS CRR from OFS RWSTRfollow these steps:

1. Go to the OFSAAI Login page.



Language: US-English
User ID
Password

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Figure 1. OFSAAI Login Page

2. Select the Language for the application.
3. Enter your User ID.
4. Enter your Password.
5. Click Login. The OFSAAI Home page is displayed.
6. Click SAR. The OFS RWSTR Home page is displayed depending upon the user roles and their access permissions.

7. From the Compliance Regulatory Reporting menu, hover over Rwanda STR, and click **Search and List**. The RR Search and List page opens.

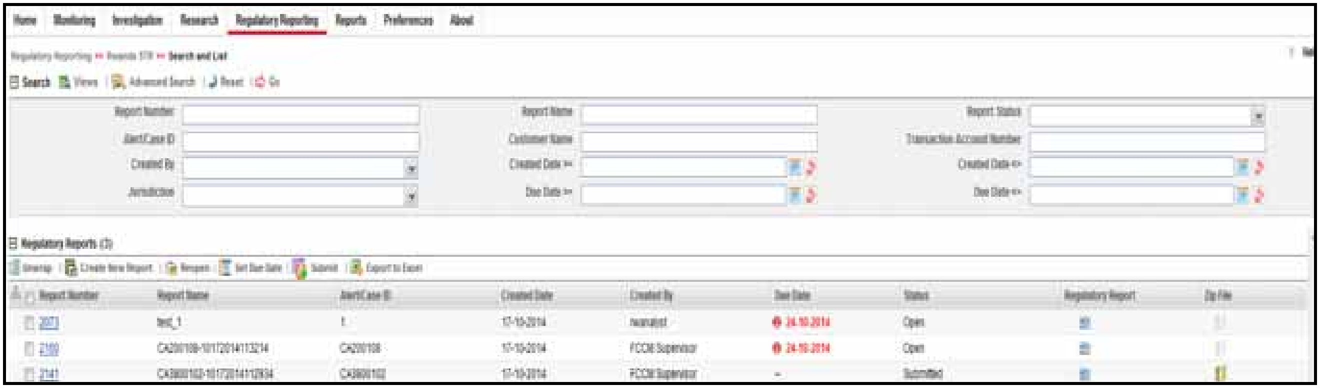


Figure 2. RR Search and List Page in OFS RWSTR

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

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

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

CHAPTER 3

Managing Compliance Regulatory Reporting

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

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

Compliance Regulatory Reporting Workflow

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

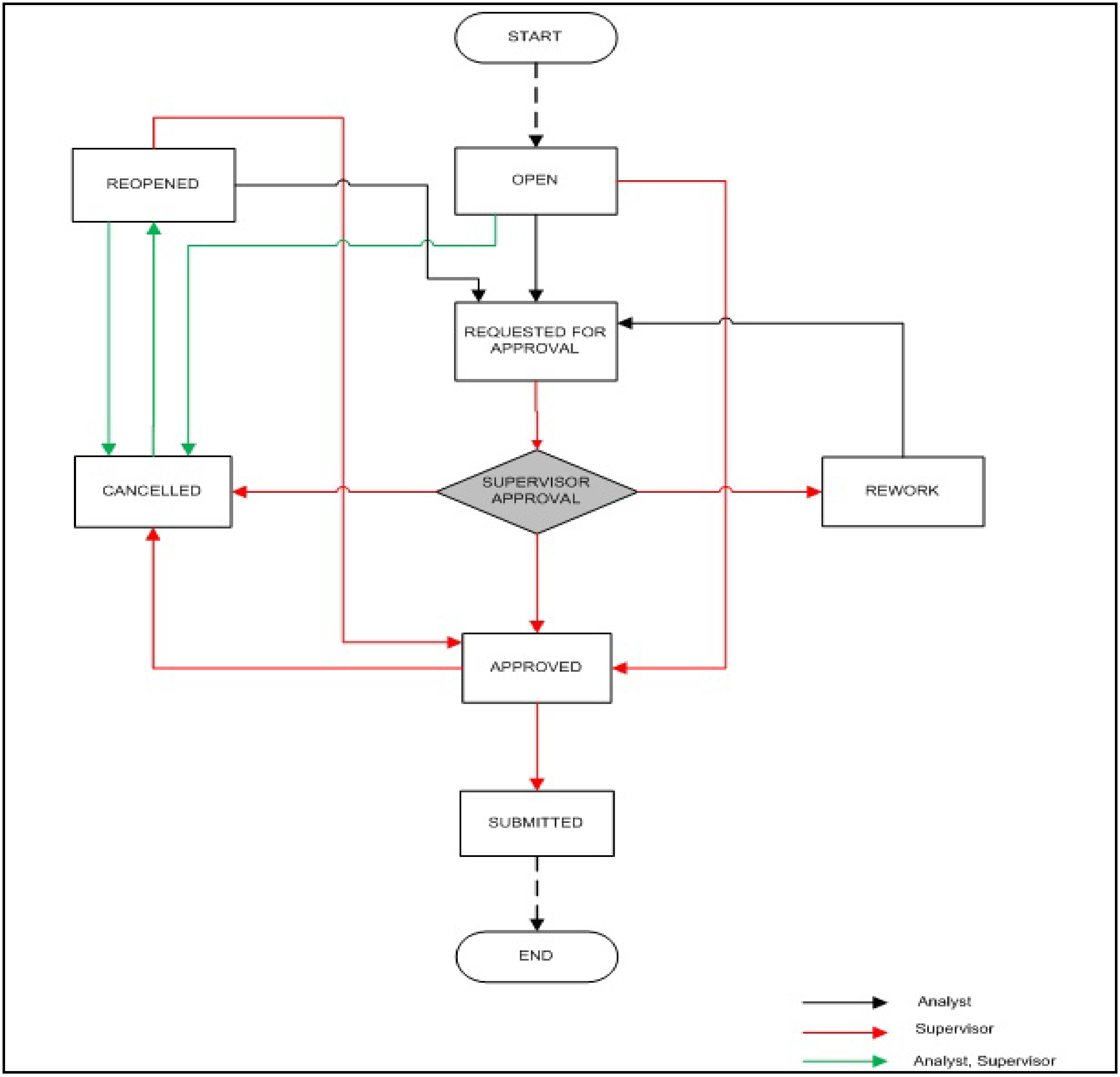

START
REOPENED
OPEN
REQUESTED FOR APPROVAL
CANCELLED
SUPERVISOR APPROVAL
REWORK
APPROVED
SUBMITTED
END
Analyst
Supervisor
Analyst, Supervisor

Figure 3. Compliance Regulatory Reporting workflow for Analyst and Supervisor

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

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

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

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

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

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

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

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

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

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

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

Table 3. Action that can be performed in various statuses

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

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

Table 4. Statuses in which Reports are editable by users

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

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

Table 5. Statuses in which Reports are viewed by users

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

Creating an STR

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

This section covers the following topics:

- Creating STR from OFSFCCM
- Creating a New STR from OFS CRR

Creating STR from OFSFCCM

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

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

Creating STR on an Alert

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

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

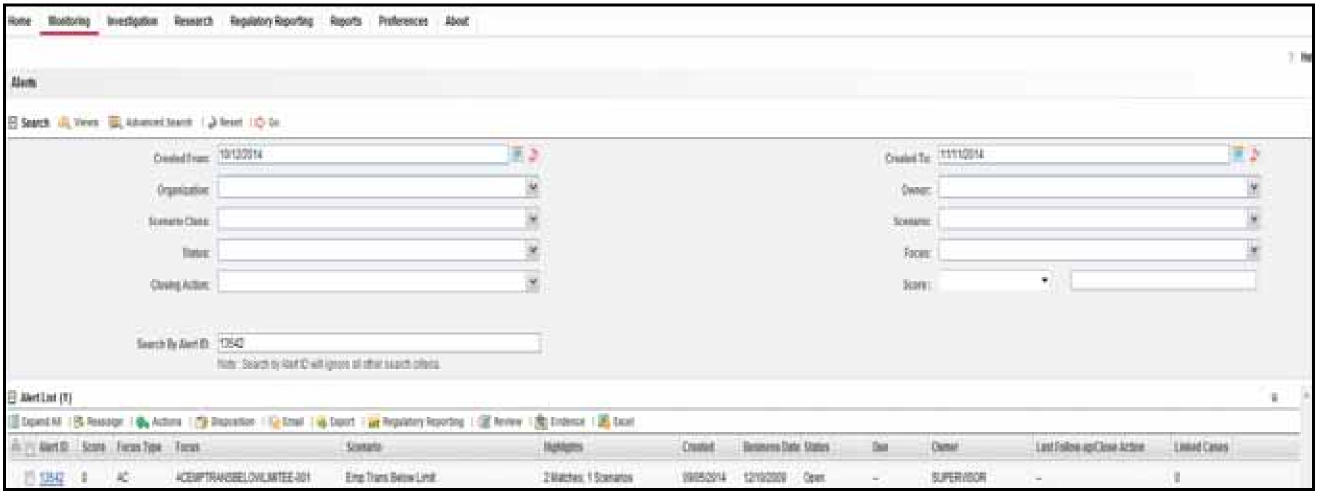

Home
Monitoring
Investigation
Research
Regulatory Reporting
Reports
Preferences
About
Alerts
Search
Views
Advanced Search
Reset
Go
Alert List (1)
Expand All
Reassign
Actions
Disposition
Email
Export
Regulatory Reporting
Review
Evidence
Excel

Figure 4. Alerts Search and List Page

2. Click **Advanced Search**.

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

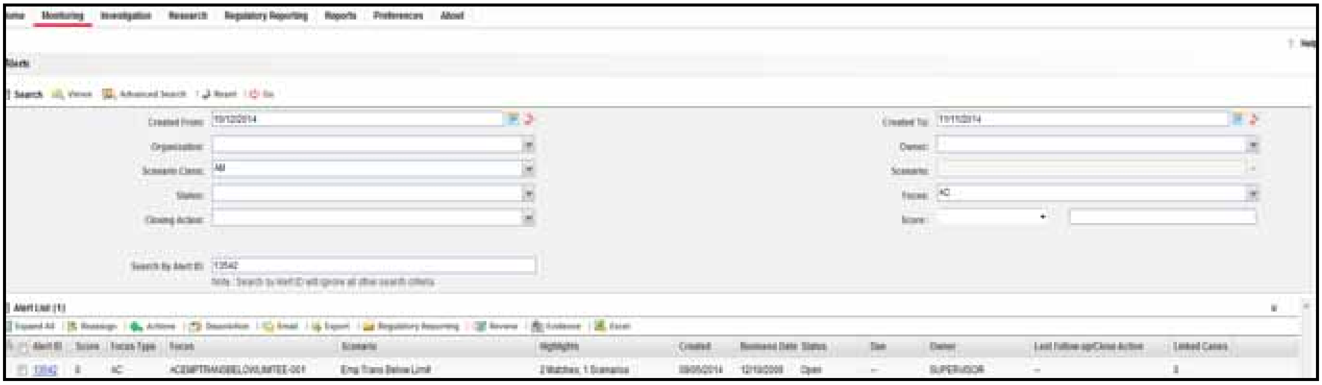
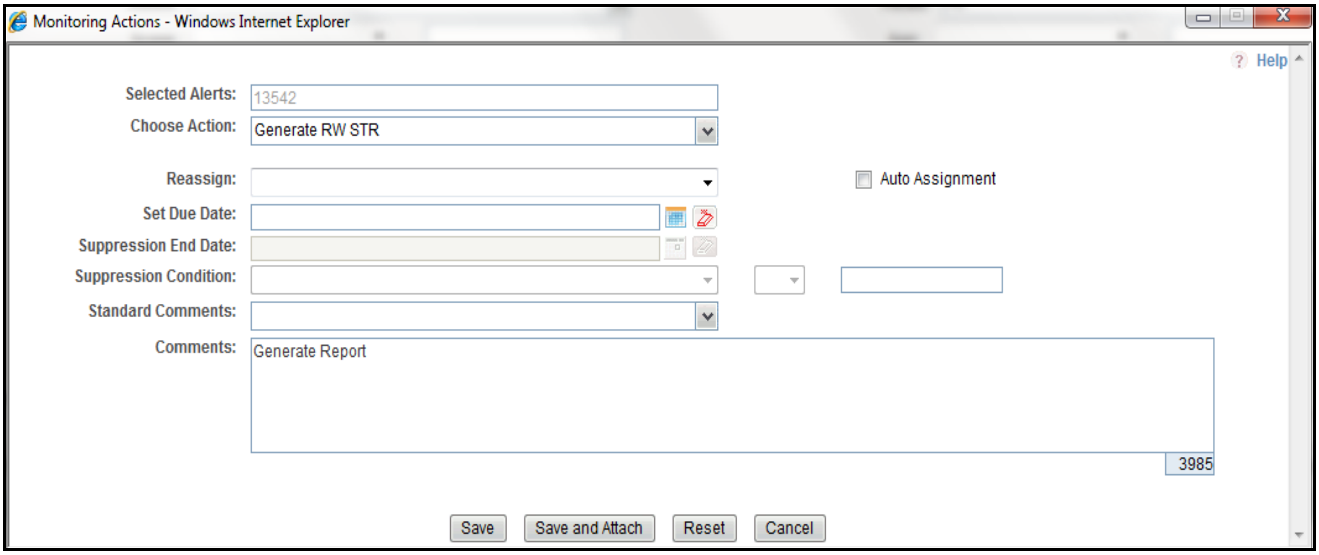


Figure 5. Alerts Advanced Search

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

4. Click **Go**.
5. Select the required alerts from the Alert Search and List page and click **Compliance Regulatory Reporting** in the Action bar.
6. Select **Generate RW STR** from the Choose Action drop-down list in the *Monitoring Actions* Window and enter the comments.



Monitoring Actions - Windows Internet Explorer

Selected Alerts: 13542
Choose Action: Generate RW STR
Reassign:
☐ Auto Assignment
Set Due Date:
Suppression End Date:
Suppression Condition:
Standard Comments:
Comments: Generate Report

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Figure 6. Monitoring Actions Window

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

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

Creating STR on a Case

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

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

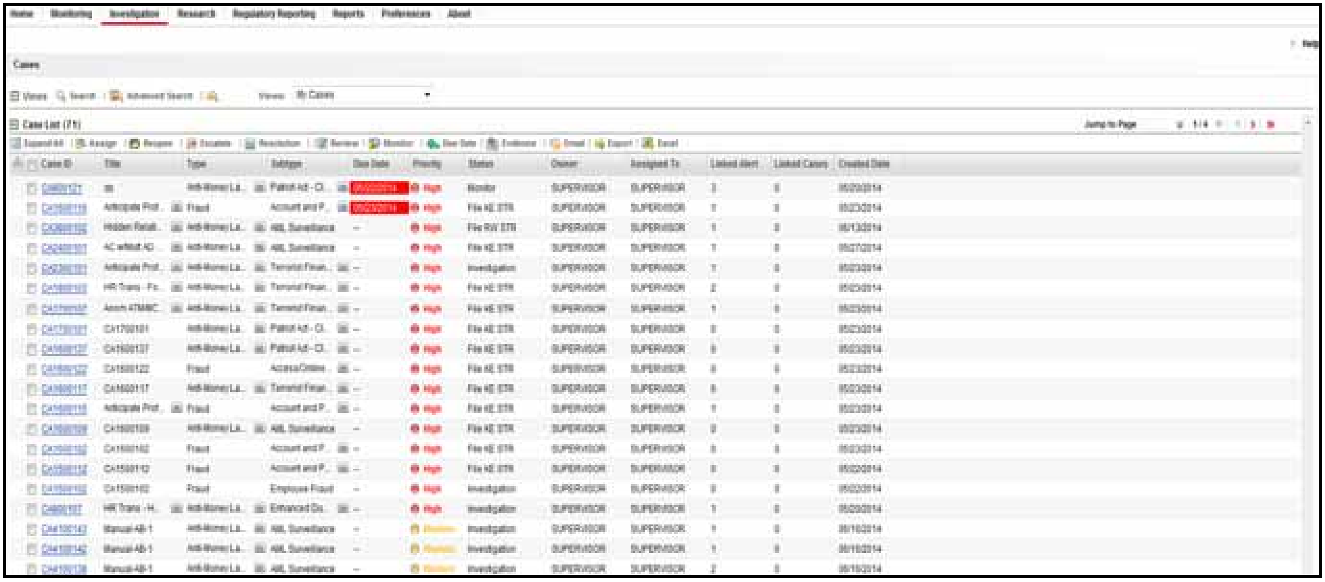
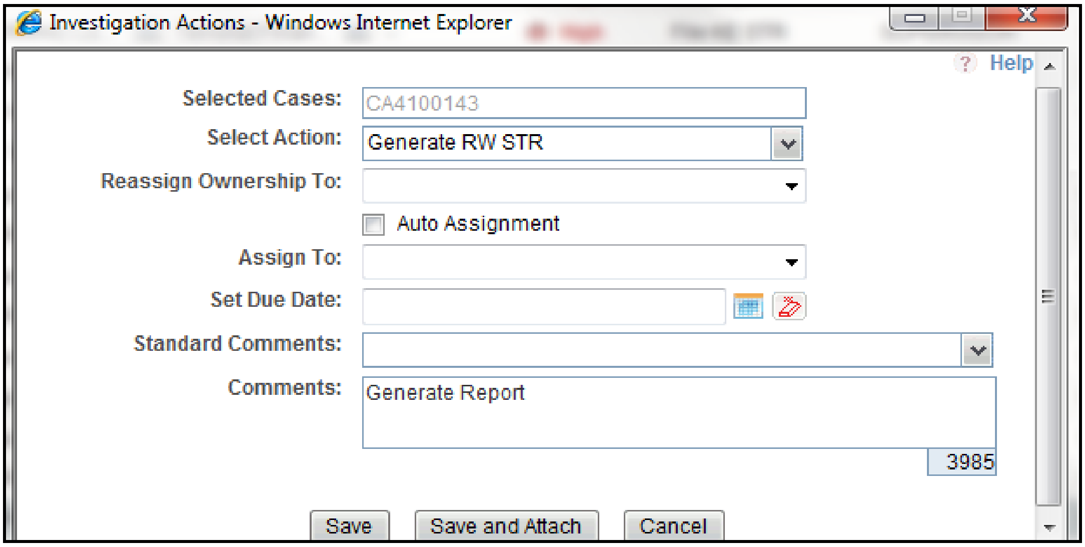


Figure 7. Cases AML/Fraud Search and List Page

2. Select one or more cases in *New* statuses from the Search & Case List page using the check boxes, and click the Resolution action category.
3. Select Generate RW STR from the Select Action drop-down list in the *Investigation Actions* Window and enter the comments.



Selected Cases: CA4100143

Select Action: Generate RW STR

Reassign Ownership To:

☐ Auto Assignment

Assign To:

Set Due Date:

Standard Comments:

Comments: Generate Report

3985

Figure 8. Investigation Actions Window

4. Click Save. The following confirmation message is displayed: *Would you like to save these actions?*
5. Click OK. A success message is displayed along with the Case ID. Click OK.

6. Navigate to the RR Search and List page. The latest case on which Generate RW STR action was taken is displayed in the RR Search and List page.

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

Sending Acknowledgement to OFSFCCM from Compliance Regulatory Reporting

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

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

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

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

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

- User ID failure
- Unsuccessful mandatory information verification
- System/Application Error

The negative acknowledgment sent to OFSFCCM contains the following details:

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

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

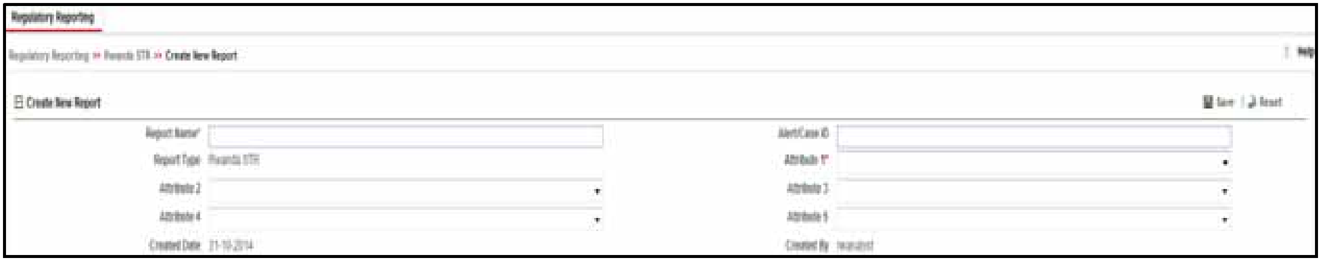
Creating a New STR from OFS CRR

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

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

To create a new STR from OFS CRR, follow these steps:

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


Regulatory Reporting
Regulatory Reporting >> Rwanda STR >> Create New Report
Help
Create New Report
Save
Reset
Report Name*
Alert/Case ID
Report Type
Attribute 1*
Attribute 2
Attribute 3
Attribute 4
Attribute 5
Created Date
Created By

Report Type: Rwanda STR

Created Date: 21-10-2014

Figure 9. Create New Report

2. Enter the required information in the fields.

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

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

Table 6. Creating New Report

Fields	Description
Report Name	Enter a name for the report being created. **Note:** This field is a mandatory field.
Alert/Case ID	Enter the Alert/Case ID associated with the suspicious transaction.
Report Type	This field is auto-populated with the report type. **Note:** This field cannot be edited.
Attribute 1	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm’s configuration. For example, Jurisdiction. **Note:** This is a mandatory field.
Attribute 2	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm’s configuration. For example, Business Domain.
Attribute 3	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm’s configuration. For example, Case Type.
Attribute 4	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm’s configuration. For example, Sub Type.

Table 6. Creating New Report

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

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

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

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

Searching STRs

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

The Reports List displays the list of reports that meet the criteria specified on the Compliance Regulatory Reporting Search bar.

This section explains the following topics:

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

Searching Reports Using Simple Search

This search is based on a limited set of search components and helps to retrieve the required reports details.

To search for reports using the simple search components, follow these steps:

1. Navigate to the Search and List page.

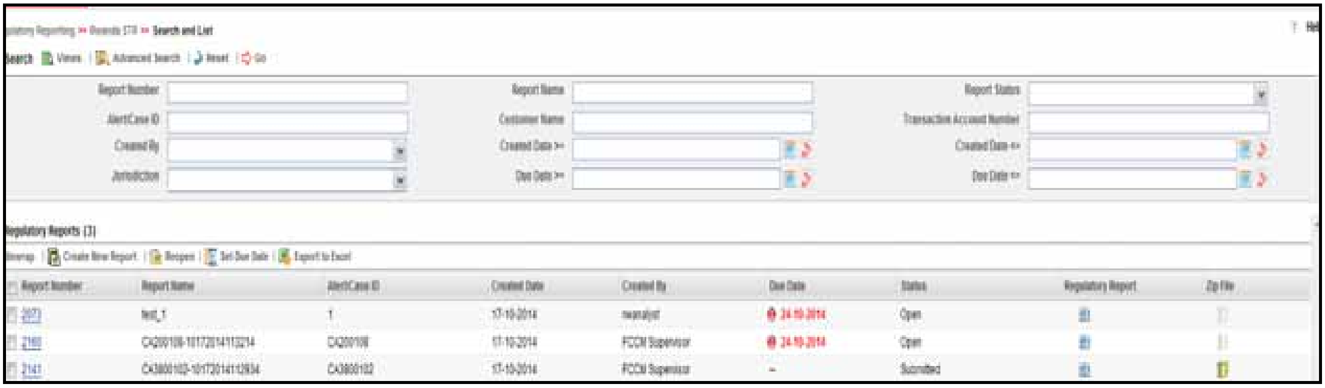

Search and List
Search
Views
Advanced Search
Reset
Go
Report Number
Report Name
Report Status
Alert/Case ID
Customer Name
Transaction Account Number
Created By
Created Date >=
Created Date <=
Jurisdiction
Due Date >=
Due Date <=
Regulatory Reports (3)
Create New Report
Reopen
Set Due Date
Export to Excel
Report Number
Report Name
Alert/Case ID
Created Date
Created By
Due Date
Status
Regulatory Report
Zip File

Figure 10. Searching Reports using Simple Search

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

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

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

Searching Reports Using Advanced Search

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

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

1. Navigate to Compliance Regulatory Reporting.

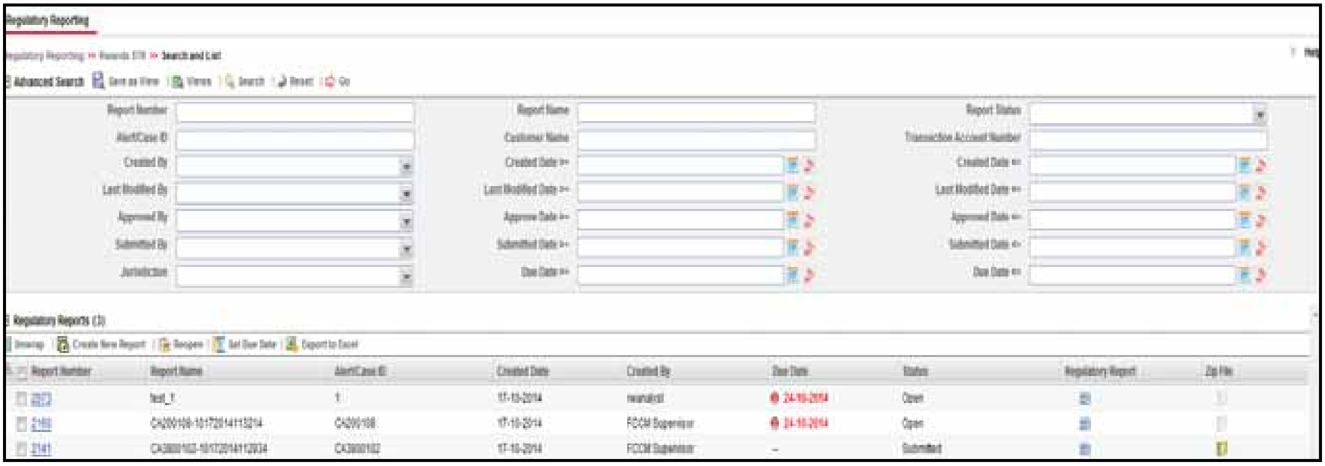

Regulatory Reporting
Advanced Search
Report Number
Alert/Case ID
Created By
Last Modified By
Approved By
Submitted By
Jurisdiction
Report Name
Customer Name
Created Date >=
Last Modified Date >=
Approve Date >=
Submitted Date >=
Due Date >=
Report Status
Transaction Account Number
Created Date <=
Last Modified Date <=
Approved Date <=
Submitted Date <=
Due Date <=
Regulatory Reports (3)
Create New Report
Reopen
Set Due Date
Export to Excel
Report Number
Report Name
Alert/Case ID
Created Date
Created By
Due Date
Status
Regulatory Report
Zip File

Figure 11. Advanced Search

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

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

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

3. Enter the search components to filter the reports.

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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Report Number	Enter the Report Number in the text field to search for details of the exact report. You can also search for multiple Report Numbers by entering a string of comma-separated values in this field. This field is not a wildcard search. You can enter a maximum of 255 characters in this field.	Simple Search and Advanced Search
Report Name	Enter the report name to display the list of reports with name as specified in the search criteria. This field supports a wildcard search. You can use the% and _ as wildcard indicators**.** You can enter a maximum of 50 characters in this field.	Simple Search and Advanced Search
Report Status	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for the Report status drop-down list: ● Select All ● Open ● Requested for Approval ● Approved ● Rework ● Submitted ● Cancelled ● Reopened **Note:** This field allows searching of reports with multiple options selected.	Simple Search and Advanced Search
Alert/Case ID	Enter the Alert/Case ID to display reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive. You can enter a maximum of 255 characters in this field. **Note:** Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.	Simple Search and Advanced Search
Customer Name	Enter the customer name in this field to display all the reports where the entered name is involved in the suspicious activity **Note**: This field supports a wildcard search. You can use the% and _ as wildcard indicators.	Simple Search and Advanced Search
Transaction Account Number	Enter the transaction account number in this field to display reports with the selected account number involved in transaction. You can perform a multiple account number search by entering a string of comma-separated values in this field. It would search for reports based on Originator and Beneficiary account numbers. T	Simple Search and Advanced Search

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Due Date>=	Select the due date from the calendar to display reports having a due date greater than or equal to the specified date.	Simple Search and Advanced Search
Due Date<=	Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date. **Note:** If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then Due Date<= is the current system date. **Validations:** 1. While performing a range search, if you enter a value in ‘Due date <=’ less than ‘Due date >=’, the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*	Simple Search and Advanced Search
Created By	Select the user who has created the report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected.	Simple Search and Advanced Search
Created Date >=	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. **Note:** You can either perform a range search using ‘Created Date >=’ and ‘Created <=’ or use them independently.	Simple Search and Advanced Search
Created Date <=	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in ‘Created Date <=’ less than ‘Created Date >=’, the application displays the following message: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*	Simple Search and Advanced Search
Last Modified By	Select the user who has last modified the report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected with user names displayed as drop-down options.	Advanced Search

Table 7. Components of RR Search Bar

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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Submitted Date >=	Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date.	Advanced Search
Submitted Date <=	Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in ‘Submitted Date <=’ less than ‘Submitted Date >=’, the application displays the following message: *Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.* 2. If you enter a value in ‘Submitted Date <=’ greater than the system date, the application displays the following message: *Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case. Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.	Simple Search and Advanced Search

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

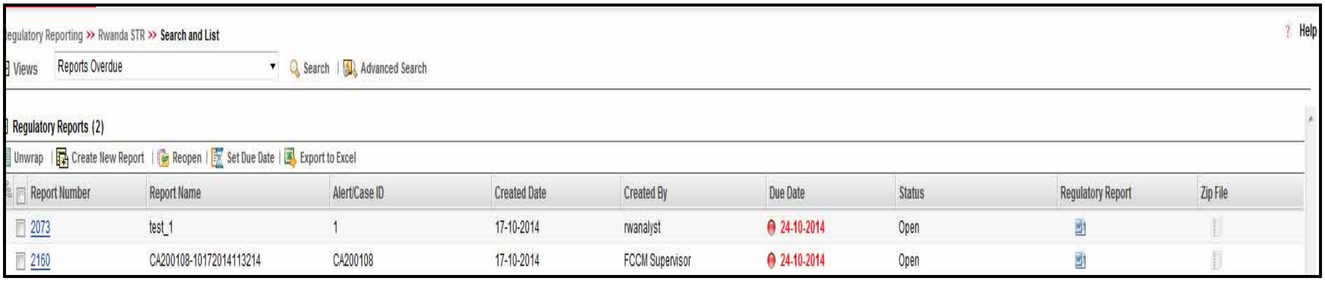
   Note: If there is no match for the entered search criteria, the application displays the following message: *No Data Found.*

Searching Reports Using Pre-defined Views

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

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

1. Navigate to Compliance Regulatory Reporting.



Views: Reports Overdue

Regulatory Reports (2)

Report Number	Report Name	Alert/Case ID	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
2073	test_1	1	17-10-2014	rwanalyst	24-10-2014	Open		
2160	CA200108-10172014113214	CA200108	17-10-2014	FCCM Supervisor	24-10-2014	Open		

Figure 12. Searching Reports using Pre-defined Views

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

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

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

Table 8. Pre-defined Views

Views	Description
Open/ Reopened/Rework - Reports Last Modified by Me	Select **Open/ Reopened - Reports Last Modified by Me** from the drop-down list to display the list of reports in *Open* or *Reopened*, or *Rework* status for which the logged in user is the last modifier. **Note:** This option is the default view for an Analyst user.
Reports Awaiting Approval	Select **Reports Awaiting Approval** from the drop-down list to display the list of reports in *Requested for Approval* status. **Note:** This option is the default view for a Supervisor user.
Reports Overdue	Select **Reports Overdue** from the drop-down list to display the list of reports that have exceeded their due dates. When an STR is past its due date or when the due date is same as the system date, the STRs in the reports list are highlighted in ***Red*** color.
Reports Submitted in Last 3 Months	Select **Reports Submitted in Last 3 Months** from the drop-down list to display the list of reports that were submitted in the last three months. **Note:** This option is the default view for a user logged in as a Reviewer.
All Views saved by user	Select any of the views that you have created and saved using **Save as View** to display the reports as per the view selected. For more information, refer to Saving Views.

Saving Views

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

To save a view, follow these steps:

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

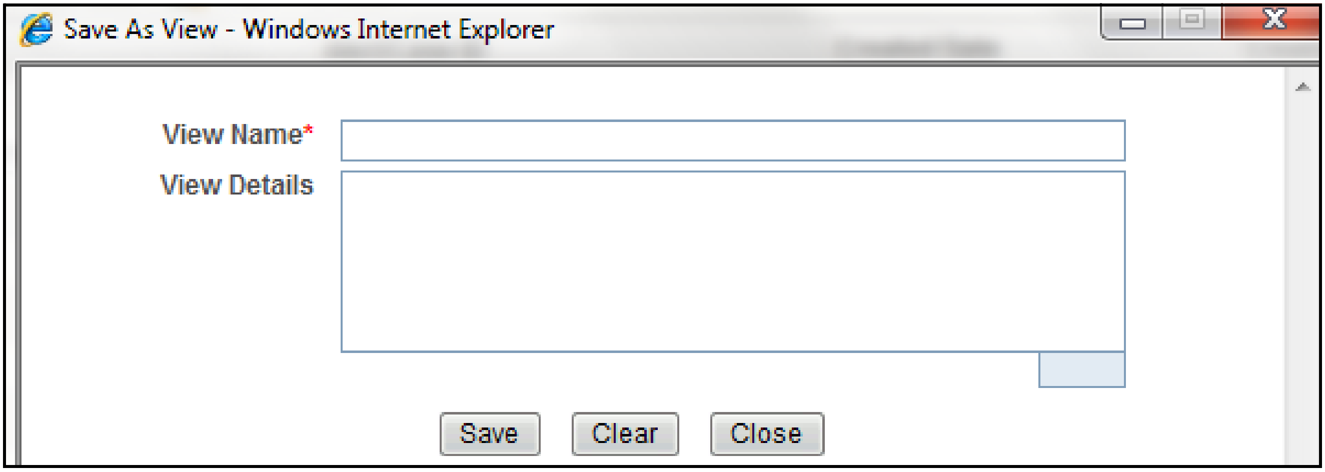


Figure 13. Save As View Window

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

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

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details
- Taking Action on Reports

Entering Report Details

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

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

The Report Details page allows you to manage following sections:

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

Report Context

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

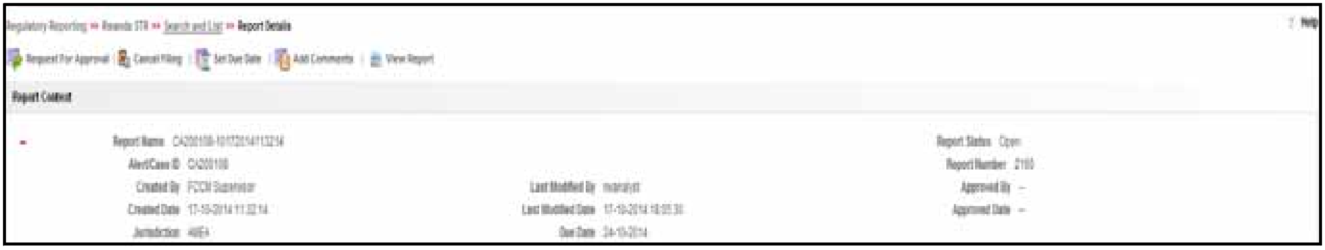

Regulatory Reporting » Rwanda STR » Search and List » Report Details
Help
Request For Approval
Cancel Filing
Set Due Date
Add Comments
View Report
Report Context

Figure 14. Report Context

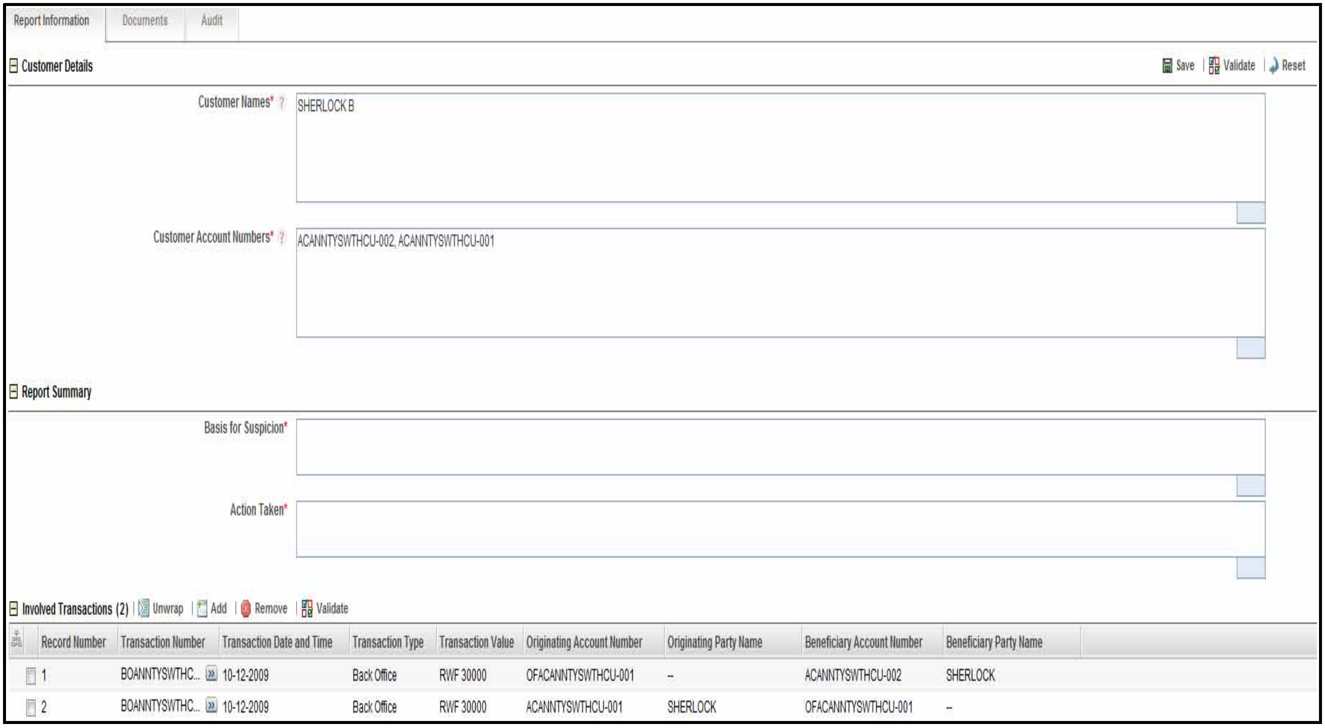
The report context includes the following information:

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

- Last Modified Date
- Approved Date
- Jurisdiction

Managing Report Information

This tab refers to the Report Information section in final STR.


Report Information
Documents
Audit
⊟ Customer Details
Save
Validate
Reset
⊟ Report Summary
⊟ Involved Transactions (2)
Unwrap
Add
Remove
Validate

Customer Names* SHERLOCK B

Customer Account Numbers* ACANNTYSWTHCU-002, ACANNTYSWTHCU-001

Basis for Suspicion*

Action Taken*

	Record Number	Transaction Number	Transaction Date and Time	Transaction Type	Transaction Value	Originating Account Number	Originating Party Name	Beneficiary Account Number	Beneficiary Party Name
☐	1	BOANNTYSWTHC...	10-12-2009	Back Office	RWF 30000	OFACANNTYSWTHCU-001	--	ACANNTYSWTHCU-002	SHERLOCK
☐	2	BOANNTYSWTHC...	10-12-2009	Back Office	RWF 30000	ACANNTYSWTHCU-001	SHERLOCK	OFACANNTYSWTHCU-001	--

Figure 15. Report Information Tab

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

Customer Details

This section shows the details of the Customer reported for suspicious activity.

The following table explains the fields in the Customer Details section.

Table 9. Customer Details

Fields	Description
Customer Name	Enter the name of the customer who initiated the transaction in the reported suspicious activity. **Note:** Customer Names can be entered manually or triggered by the Alert/Case ID. The values entered appears on each transaction row in the final STR. **Note:** You can search for multiple names by entering a string of comma-separated values in this field.
Customer Account Number	Enter the account number of the customer who initiated the transaction in the reported suspicious activity. **Note:** Customer account numbers can be entered manually or triggered by the Alert/Case ID. The values entered appears on each transaction row in the final STR. **Note:** You can search for multiple account number by entering a string of comma-separated values in this field.

Report Summary

This section details the reasons for reporting the suspicious activity and action taken.

The following table explains the fields in the Report Summary section:

Table 10. Report Summary

Fields	Description
Basis for Suspicion	Enter a brief description on the basis of which the activity was reported as a suspicious activity.
Action Taken	Enter a brief description about the action taken after recognizing the suspicious activity.

Involved Transactions

The Involved Transaction grid will be displayed as per the data received from FCCM. The system displays a maximum of five records per page.

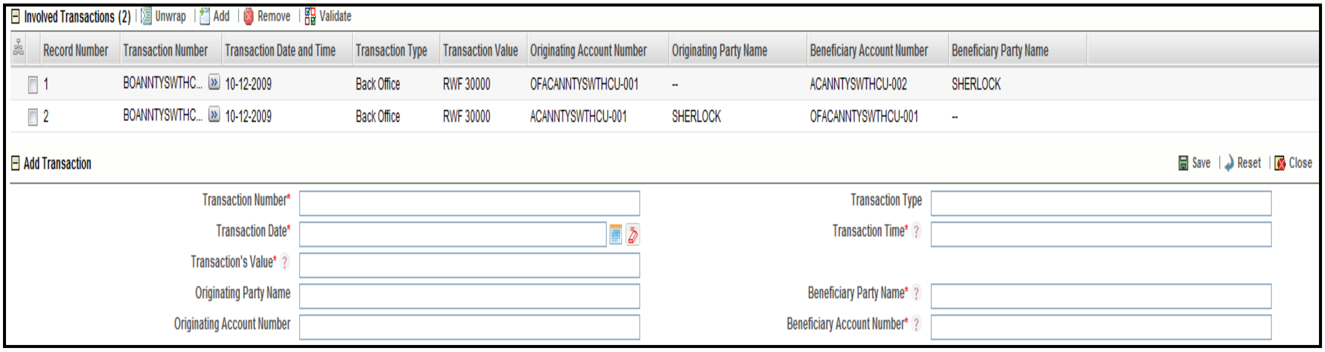
This section explains the following topics:

- Adding Transactions
- Editing Transactions
- Removing Transactions

Adding Transactions

To add transactions, follow these steps:

1. Navigate to the Report Details page.



Involved Transactions (2)
Unwrap
Add
Remove
Validate

Record Number	Transaction Number	Transaction Date and Time	Transaction Type	Transaction Value	Originating Account Number	Originating Party Name	Beneficiary Account Number	Beneficiary Party Name
☐ 1	BOANNTYSWTHC...	10-12-2009	Back Office	RWF 30000	OFACANNTYSWTHCU-001	--	ACANNTYSWTHCU-002	SHERLOCK
☐ 2	BOANNTYSWTHC...	10-12-2009	Back Office	RWF 30000	ACANNTYSWTHCU-001	SHERLOCK	OFACANNTYSWTHCU-001	--

Add Transaction
Save
Reset
Close
Transaction Number*
Transaction Date*
Transaction's Value*
Originating Party Name
Originating Account Number
Transaction Type
Transaction Time*
Beneficiary Party Name*
Beneficiary Account Number*

Figure 16. Add Transactions

2. Click **Add** in the Involved Transactions grid. The *Transaction Details* window is displayed below the Involved Transaction grid, where you can add the required information.

3. Enter the required information.

The following table explains the fields in the Transaction Details container:

Table 11. Fields in Transaction Details Container

Fields	Description
Transaction Number	Enter the unique identifier for the transaction
Transaction Time	Enter the date on which the transaction took place.
Transaction Type	Enter the type of the transaction.
Transaction Value (Base)	Enter the value of the amount involved during the transaction. If the amount exceeds the given the maximum length, the following message is displayed: *Amount is invalid. It should have no more than 20 digits before and 8 digits after decimal*. **Note:** The transaction value is taken as base currency.
Originating Account Number	Enter the account number of originator of the transaction.
Originating Party Name	Enter the name of the originator of the transaction.
Beneficiary Account Number	Enter the account number of the receiver of the transaction.
Beneficiary Party Name	Enter the name of the receiver of the transaction.

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

5. Click **OK**. The transaction is added in the Involved Transactions grid.

Editing Transactions

1. Navigate to the Report Details page.

2. Select the check-box of the transaction record in the Involved Transactions grid you want to edit.

3. The *Transaction Details* window is displayed below the Involved Transaction grid, where you can edit the required information.

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

Click **OK**. The selected transaction is updated in the Involved Transactions grid.

Removing Transactions

1. Navigate to the Report Details page.
2. Select a record in the Involved Transactions grid and click Remove. The following message is displayed: *Are you sure you want to Remove this record?*
3. Click OK. The following message is displayed: *Record Removed successfully.*
4. Click OK. The transaction is removed from the Involved Transaction grid

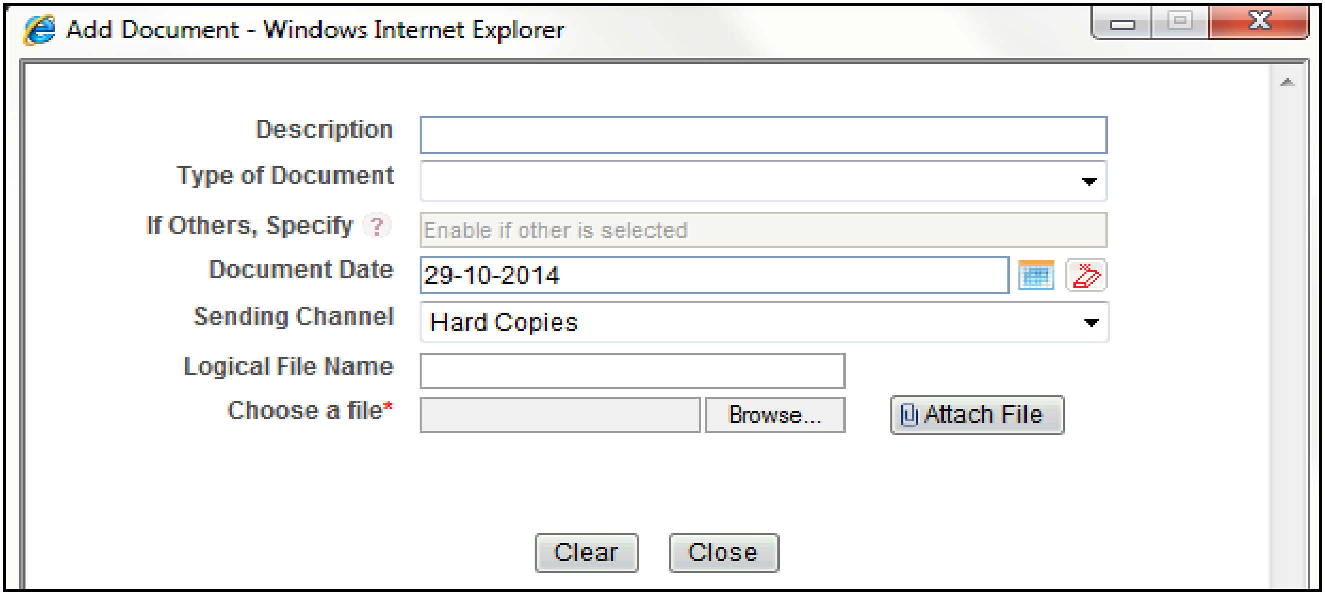
Managing Documents

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

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

To attach a document, follow these steps:

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



Add Document - Windows Internet Explorer

Description

Type of Document

If Others, Specify: Enable if other is selected

Document Date: 29-10-2014

Sending Channel: Hard Copies

Logical File Name

Choose a file*

Figure 17. Add Document Window

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

Table 12. Add Document Fields description

Fields	Description
Description	Enter a brief description about the document attached.
Type of Document	Select the **Type of Document** from the drop-down list: ● Cheques ● Vouchers ● Import and Export License ● Standing Instructions ● FT Forms ● Others
If Others, Specify	Specify the document, if the type of document is Others. **Note:** This field will not be available for any further update on UI and will not be populated in the final STR word document.
Document Date	Enter the relevant Transaction date of the document being attached.

Table 12. Add Document Fields description

Fields	Description
Sending Channel	Following are the options: ● Electronic Mailing ● Hard Copies **Note:** By Default, the sending channel is selected as Hard Copies.
Logical File Name	Enter a logical file name for the document. **Note:** If there is no logical name entered, then the document name will be considered as the Logical File Name.
Choose a File	Browse the file on your machine and upload the file

5. Click Attach File. The following message is displayed: *Add Operation Successful*
6. Click OK. The file is attached and you are navigated back to the Add Document pop-up window.

   You can click Close to navigate back the Document tab or can attach additional documents.

Editing the Document Details

All the fields in the document grid are in editable mode.
To edit the fields, follow these steps:

1. Navigate to the Report Details page.
2. Click the Documents tab.

   The list of added documents associated with the report are displayed in the Documents grid.
3. Select the check box at the beginning of an added document row or click anywhere in the row.

   The document record changes into an editable mode.
4. Edit the required field.
5. Click Save. The following message is displayed: *Update Operation Successful*.
6. Click OK. The document is updated with the latest changes.

Removing Documents

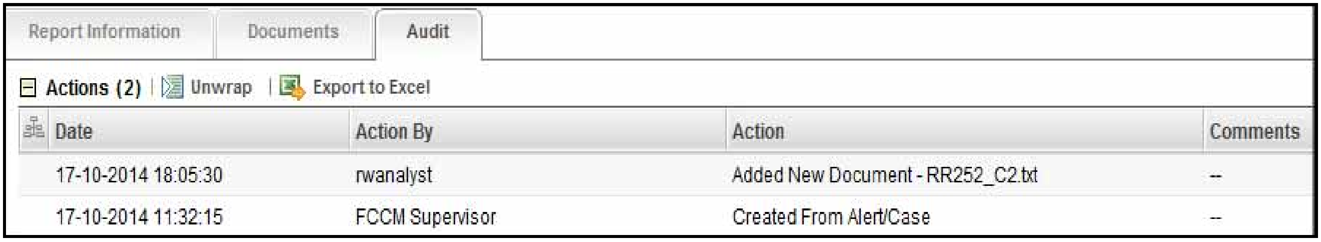
The Document tab allows you to remove the documents attached to a report.
To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.
2. Click the Documents tab.

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

Viewing Audit

The Audit tab displays actions taken on the report.



Date	Action By	Action	Comments
17-10-2014 18:05:30	rwanalyst	Added New Document - RR252_C2.txt	--
17-10-2014 11:32:15	FCCM Supervisor	Created From Alert/Case	--

Figure 18. Audit Tab

The Audit tab displays the Actions grid

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

Table 13. Actions Grid Field Descriptions

Fields	Description
Date	Displays the date on which the action occurred.
Action By	Displays the name of the user who performed the action.
Action	Displays a short description of the action. OFS CRR captures the following actions in the Audit tab: ● Created From Alert/Case ● Created Manually ● Modified Report Information ● Added New Document ● Modified Document ● Removed Document
Comments	Displays the comments entered by the user while performing an action.

Taking Action on Reports

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

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

Requesting the Report for Approval

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

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

For more information, refer to *Table 2*.

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

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

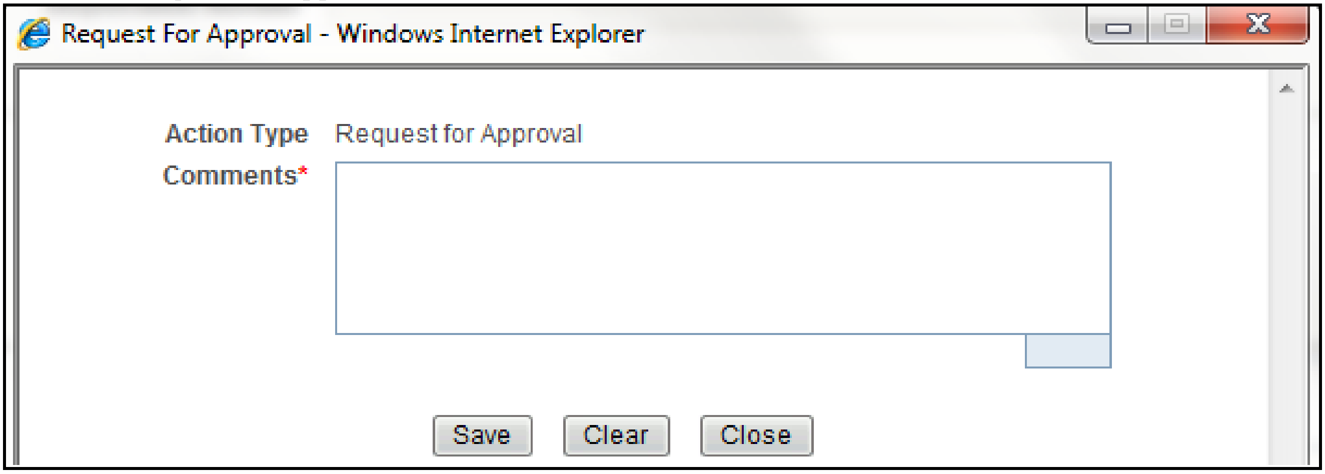


Figure 19. Request for Approval Window

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

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

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

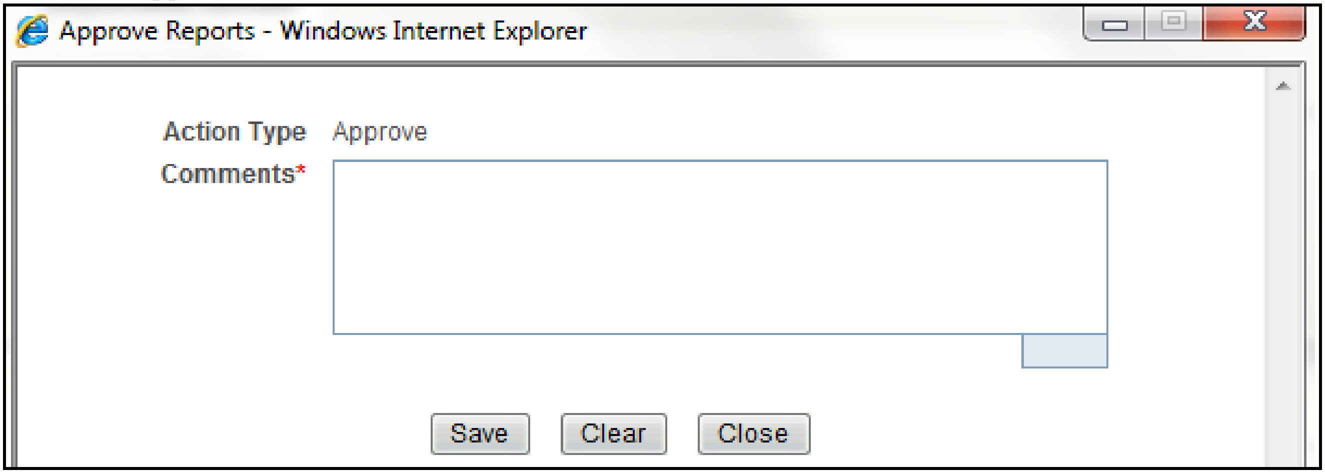
4. Click **Save**. The following message is displayed: *Add Operation Successful*.
5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Requested for Approval*. The Actions grid in the **Audit** tab tracks both the actions and the comments entered while performing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

Approving Reports

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

To approve an STR, follow these steps:

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



Action Type: Approve
Comments*:

Figure 20. Approve Reports Window

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

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

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

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

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

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

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

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

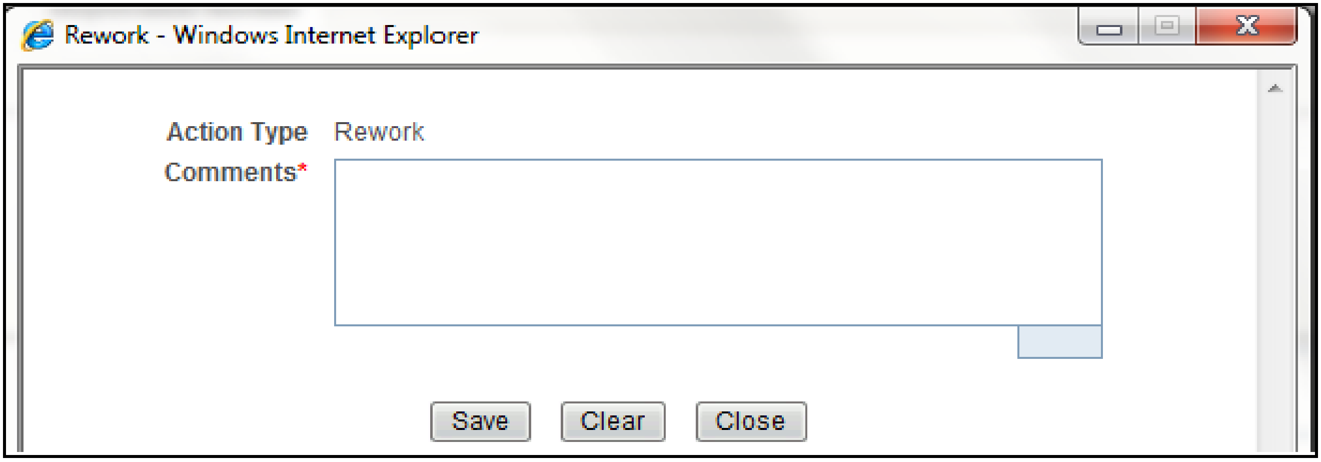
Reworking on Reports

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

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

To send a report for rework, follow these steps:

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



Action Type Rework
Comments*

Figure 21. Rework Window

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

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

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

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

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

Cancel Filing of Reports

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

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

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

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

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

1. Navigate to the Report Details page.

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

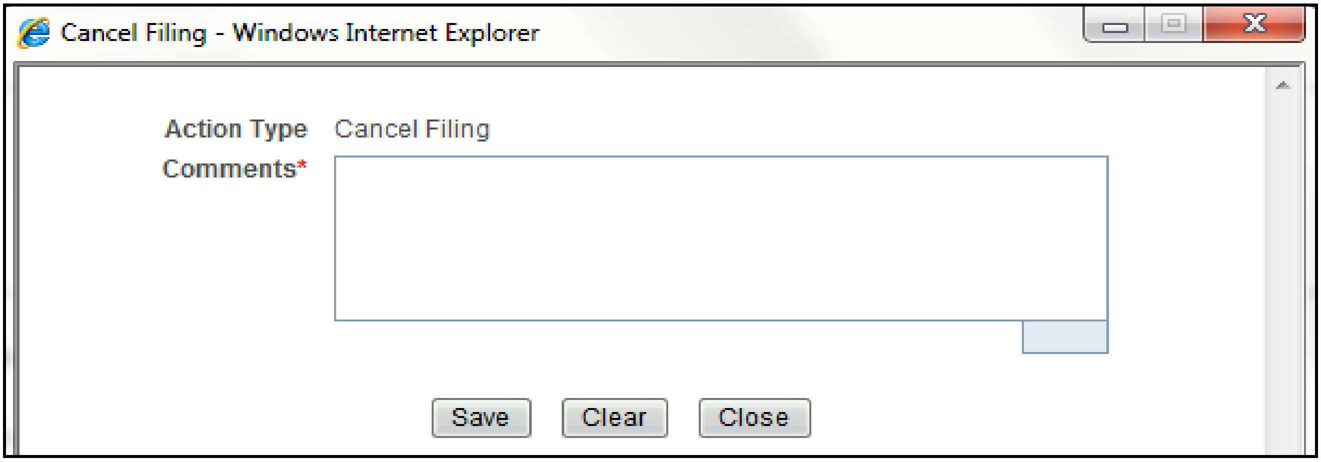


Figure 22. Cancel Filing Window

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

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

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

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

5. Click **OK**. The Report Details page is displayed and the status of the STR changes to *Cancelled*. The due date of the report is deleted on taking cancelled action

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

Reopening Reports

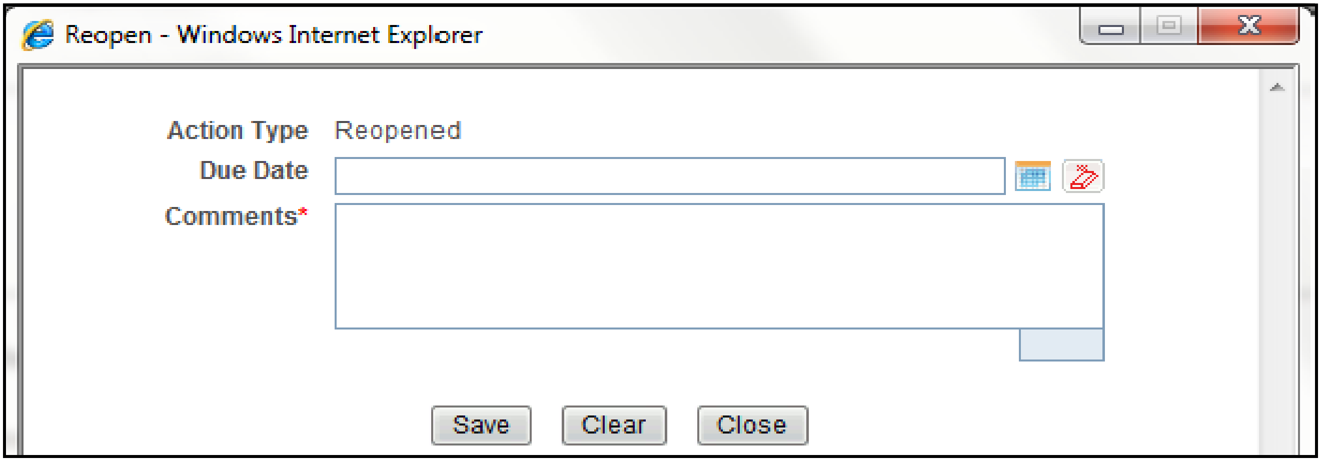
The Search and List page and the Report Details page allows authorized users to initiate reopen action on a report.

For more information, refer to Table 2.

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

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

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



Reopen - Windows Internet Explorer

Action Type Reopened

Figure 23. Reopen Reports Window from Report Details Page

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

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

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

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

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

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

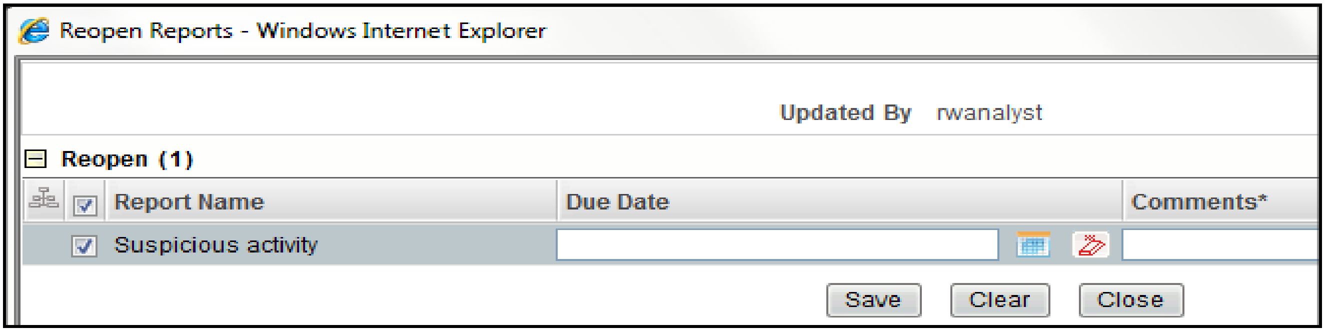
To reopen a report from RR Search and List page, follow these steps:

1. Navigate to the RR Search and List page.

2. Select the check box of the report(s) you want to reopen.

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

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



Updated By rwanalyst

☑	Report Name	Due Date	Comments*
☑	Suspicious activity		

Figure 24. Reopen Reports Window from Search and List Page

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

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

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

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

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

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

Submitting Reports

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

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

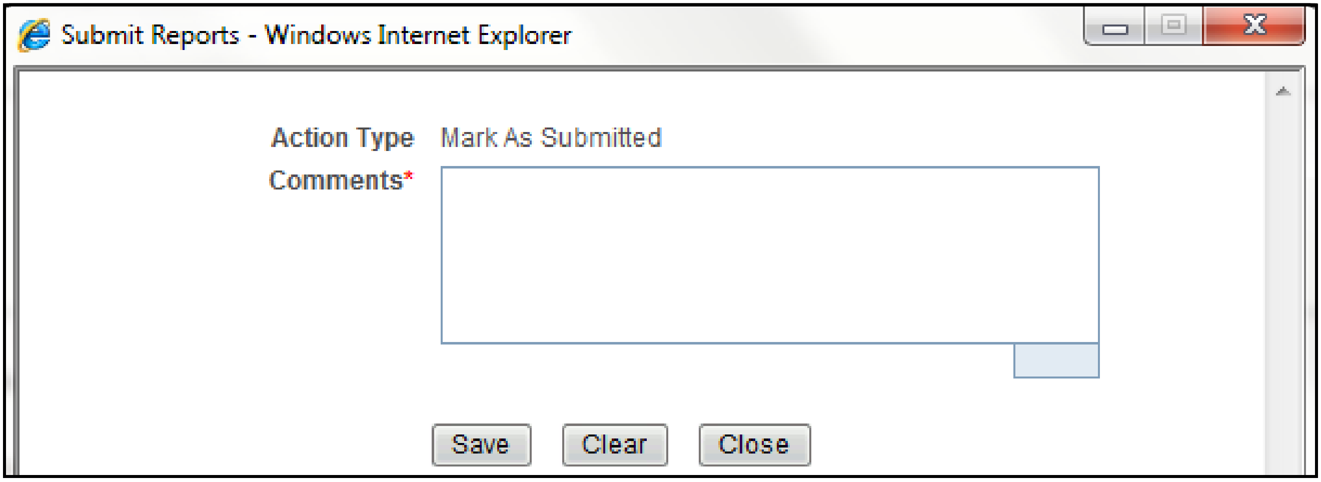
If you try to submit submitted action on reports that are not in *Approved* status, the application displays the following message: *Submitted action can only be taken on Approved reports.*

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

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

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

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



Action Type Mark As Submitted

Figure 25. Submit Reports Window from Report Details Page

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

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

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

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

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

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

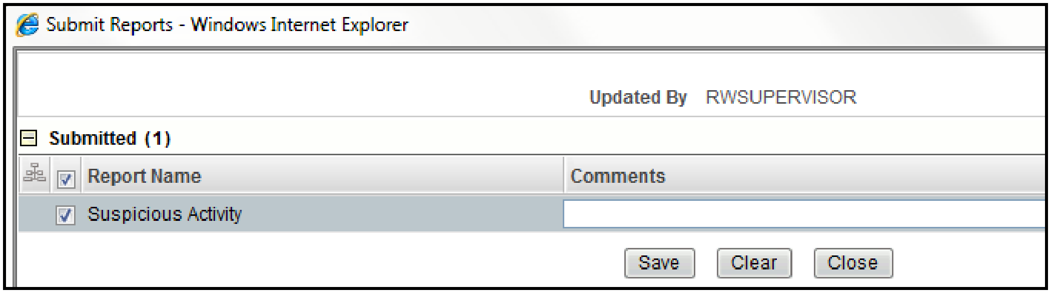
To submit a report from RR Search and List page, follow these steps:

1. Navigate to the RR Search and List page.

2. Select the check box of the report(s) you want to submit.

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

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



Updated By RWSUPERVISOR

Submitted (1)

☑ Report Name	Comments
☑ Suspicious Activity	

Figure 26. Submit Reports Windows from Search and List Page

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

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

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

Adding Comments to an STR

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

To add comments to a report, follow these steps:

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

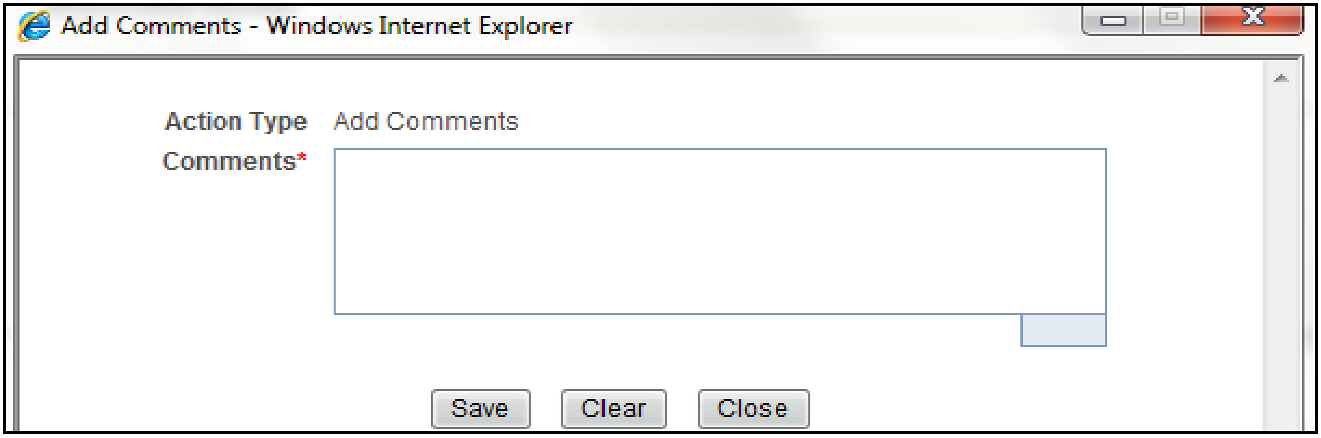


Figure 27. Add Comments Window

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

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

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

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

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

Setting Due Date of an STR

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

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

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

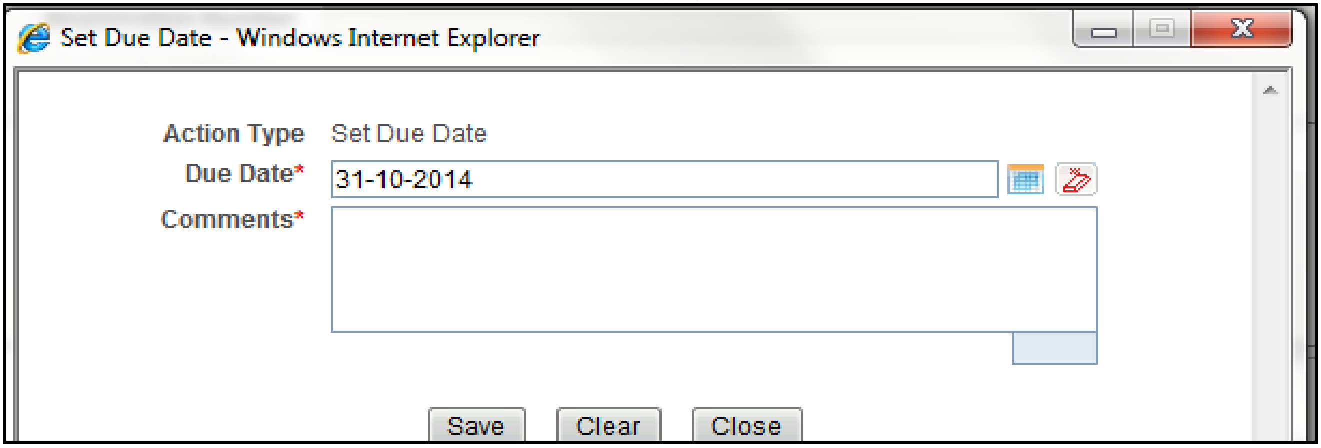
Table 14. Statuses where Analyst and Supervisor can perform Set Due Date action

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

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

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

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



Set Due Date - Windows Internet Explorer

Action Type Set Due Date

Due Date* 31-10-2014

Comments*

Figure 28. Set Due Date Window

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

   Note: This field is a mandatory field.

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

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

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

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

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

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

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

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

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

   Note: This field is a mandatory field.

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

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

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

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

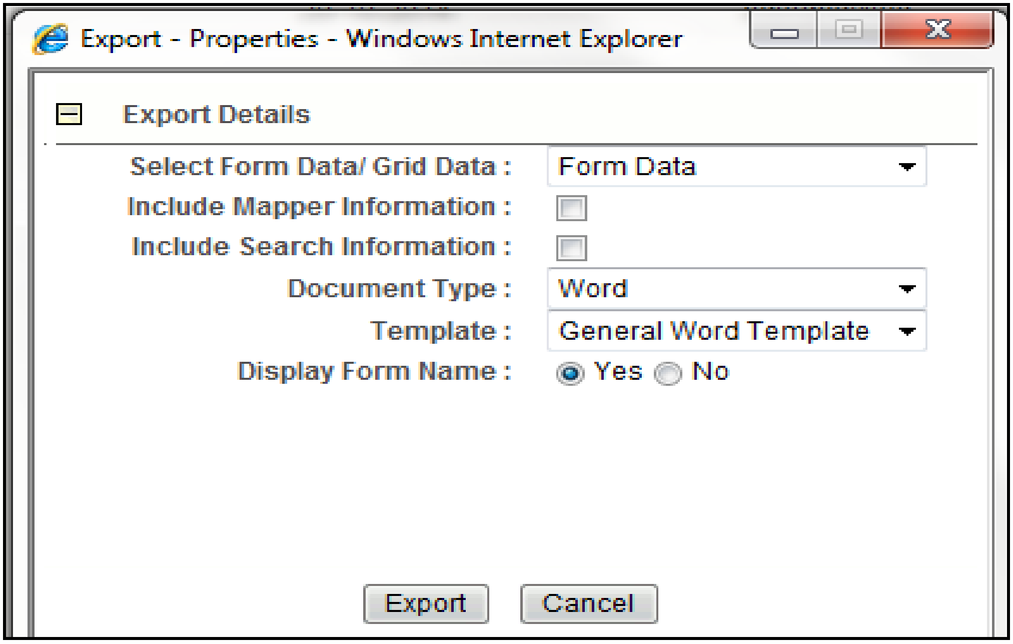
Note: The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Set Due Date** action.

Exporting the Report Details to Excel

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

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

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



Select Form Data/ Grid Data : Form Data
Include Mapper Information : ☐
Include Search Information : ☐
Document Type : Word
Template : General Word Template
Display Form Name : ● Yes ○ No

Figure 29. Export Properties Window

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

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

   When processing is complete, the data is displayed in an Internet Explorer window with a dialog box.
5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a directory location where you want to save the file.
7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.
8. Click **Save**.

   The application saves your file to the specified location.

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

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