

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

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Burundi Suspicious Transaction Report

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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190

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Oracle Financial Services Software, Inc.
1900 Oracle Way
Reston, VA 20190
Phone: (703) 478-9000
Fax: (703) 318-6340
Internet: www.oracle.com/financialservices

Contents

List of Figures	1
List of Tables	3
About This Guide	5
Who Should Use this Guide	5
How this Guide is Organized	6
Where to Find More Information	6
Conventions Used in this Guide	7
CHAPTER 1 About Compliance Regulatory Reporting	1
Introduction to Compliance Regulatory Reporting	1
About Oracle Financial Services Compliance Regulatory Reporting Application	1
CHAPTER 2 Getting Started	3
User Roles	3
User Access	3
Logging in to Compliance Regulatory Reporting	4
Managing the OFSAA Application Page	5
Applications Tab	6
Object Administration Tab	6
Accessing Compliance Regulatory Reporting from OFS BDSR	7
CHAPTER 3 Managing Compliance Regulatory Reporting	9
Compliance Regulatory Reporting Workflow	10
Creating an STR	13
Creating STR from OFSFCCM	13
Creating STR on an Alert	13
Creating STR on a Case	14
Sending Acknowledgement to OFSFCCM from Regulatory Reporting	16
Creating a New STR from OFSRR	17
Searching STRs	19
Searching Reports Using Simple Search	19
Searching Reports Using Advanced Search	20
Searching Reports Using Pre-defined Views	25
Saving Views	26
Submitting an STR for Approval	27
Entering Report Details	27

<i>Report Context</i>	27
<i>Managing Report Information</i>	28
<i>Reporting Legal Entity/ Corporate/ Individual</i>	28
<i>Reporting Details</i>	29
<i>Summary</i>	30
<i>Supporting Transactions from Alert or Case</i>	31
<i>Managing Documents</i>	32
<i>Editing the Document Details</i>	33
<i>Removing Documents</i>	33
<i>Viewing Audit</i>	34
<i>Taking Action on Reports</i>	35
<i>Requesting the Report for Approval</i>	35
<i>Approving Reports</i>	36
<i>Reworking on Reports</i>	37
<i>Cancel Filing of Reports</i>	37
<i>Reopening Reports</i>	38
<i>Submitting Reports</i>	40
<i>Adding Comments to an STR</i>	43
<i>Setting Due Date of an STR</i>	44
<i>Exporting the Report Details to Excel</i>	46

List of Figures

Figure 1. OFSAAI Login Page.....	7
Figure 2. RR Search and List Page in OFS BDSTR.....	8
Figure 3. Compliance Regulatory Reporting workflow for Analyst and Supervisor.....	10
Figure 4. Alerts Search and List Page.....	13
Figure 5. Alerts Advanced Search.....	13
Figure 6. Monitoring Actions Window.....	14
Figure 7. Cases AML/Fraud Search and List Page.....	15
Figure 8. Investigation Action Window.....	15
Figure 9. Create New Report.....	17
Figure 10. Searching Reports using Simple Search.....	19
Figure 11. Searching Reports using Advanced Search.....	20
Figure 12. Searching Reports using Pre-defined Views.....	25
Figure 13. Save As View Window.....	26
Figure 14. Report Context.....	27
Figure 15. Report Information Tab.....	28
Figure 16. Add Document Window.....	32
Figure 17. Audit Tab.....	34
Figure 18. Request for Approval Window.....	35
Figure 19. Approve Reports Window.....	36
Figure 20. Rework Window.....	37
Figure 21. Cancel Filing Window.....	38
Figure 22. Reopen Reports Window from Report Details Page.....	39
Figure 23. Reopen Reports Window from Search and List Page.....	40
Figure 24. Submit Reports Window from Report Details Page.....	41
Figure 25. Submit Reports Windows from Search and List Page.....	41
Figure 26. Add Comments Window.....	43
Figure 27. Set Due Date Window.....	44
Figure 28. Export Properties Window.....	46

List of Tables

Table 1. Conventions Used in this Guide	7
Table 2. User Access.....	3
Table 3. Action that can be performed in various statuses	11
Table 4. Statuses in which Reports are editable by users.....	12
Table 5. Statuses in which Reports are viewed by users	12
Table 6. Creating New Report	17
Table 7. Components of RR Search Bar	20
Table 8. Pre-defined Views.....	25
Table 9. Reporting Legal/Corporate/Individual Information	29
Table 10. Reporting Details Information.....	30
Table 11. Summary	30
Table 12. Supporting Transactions from Alert or Case Information	31
Table 13. Add Document Fields description.....	32
Table 14. Actions Grid Field Descriptions	34
Table 15. Statuses where Analyst and Supervisor can perform Set Due Date action.....	44

About This Guide

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

This chapter discusses the following topics:

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

Who Should Use this Guide

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

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

How this Guide is Organized

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

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

Where to Find More Information

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

- *Oracle Financial Services 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 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 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 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 Regulatory Reporting application.
- *Oracle Financial Services Compliance Regulatory Reporting Burundi Administration Guide*: This guide describes comprehensive activities to be done by the Administrator in the Oracle Financial Services Regulatory Reporting application. This guide details the Regulatory Reporting application and provides information about configuring and maintaining users and static data.

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

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

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

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 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 BDS'TR

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 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.



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 in the 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
 - BD 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 BDSTR, 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 BDSTR, the Oracle Financial Services Analytical Applications Infrastructure page will display the **BDSTR** link under the Home menu. Clicking **BDSTR** will navigate you to the OFS BDSAR Home page depending upon your roles and access rights.

Accessing Compliance Regulatory Reporting from OFS BDSTR

To access OFS CRR from OFSFCCM, follow these steps:

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



The screenshot shows the Oracle Financial Services Analytical Applications (OFSAAI) login page. At the top, there is a blue header with the Oracle logo on the left and the text 'Financial Services Analytical Applications' and 'About' on the right. Below the header, the login form is displayed. It includes a 'Language' dropdown menu currently set to 'US-English', and two input fields for 'User ID' and 'Password'. A 'Login' button is located at the bottom left of the form. To the right of the form is a large image of a classical building with columns. Below the image is the Oracle logo. At the bottom of the page, there is a footer with the text 'Version 8.0.0.0.0 Copyright © 1993, 2015 Oracle and/or its affiliates. All rights reserved.'

Figure 1. OFSAAI Login Page

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

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

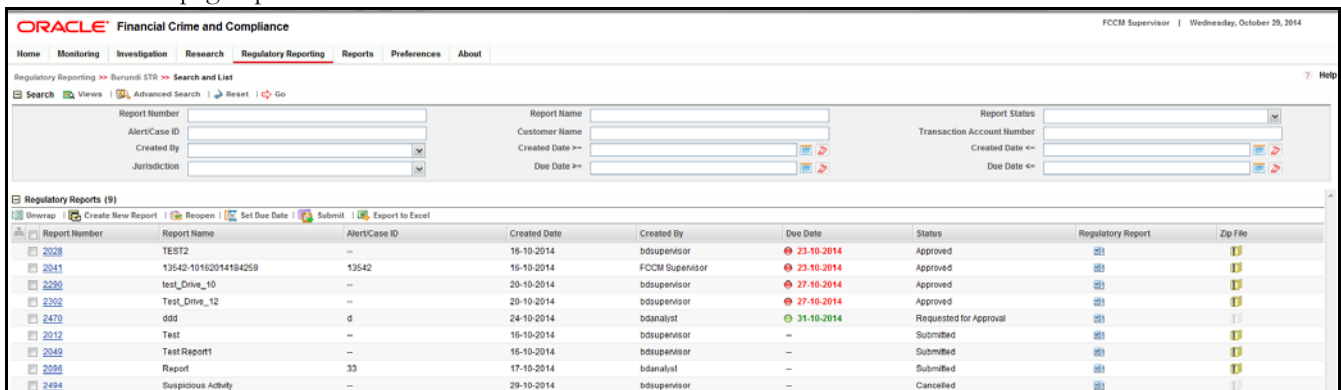


Figure 2. RR Search and List Page in OFS BDSTR

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

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

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

Managing Compliance Regulatory Reporting

This chapter provides step-by-step instructions to manage Oracle Financial Services Regulatory Reporting (OFSRR) 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 regulatory reporting application:

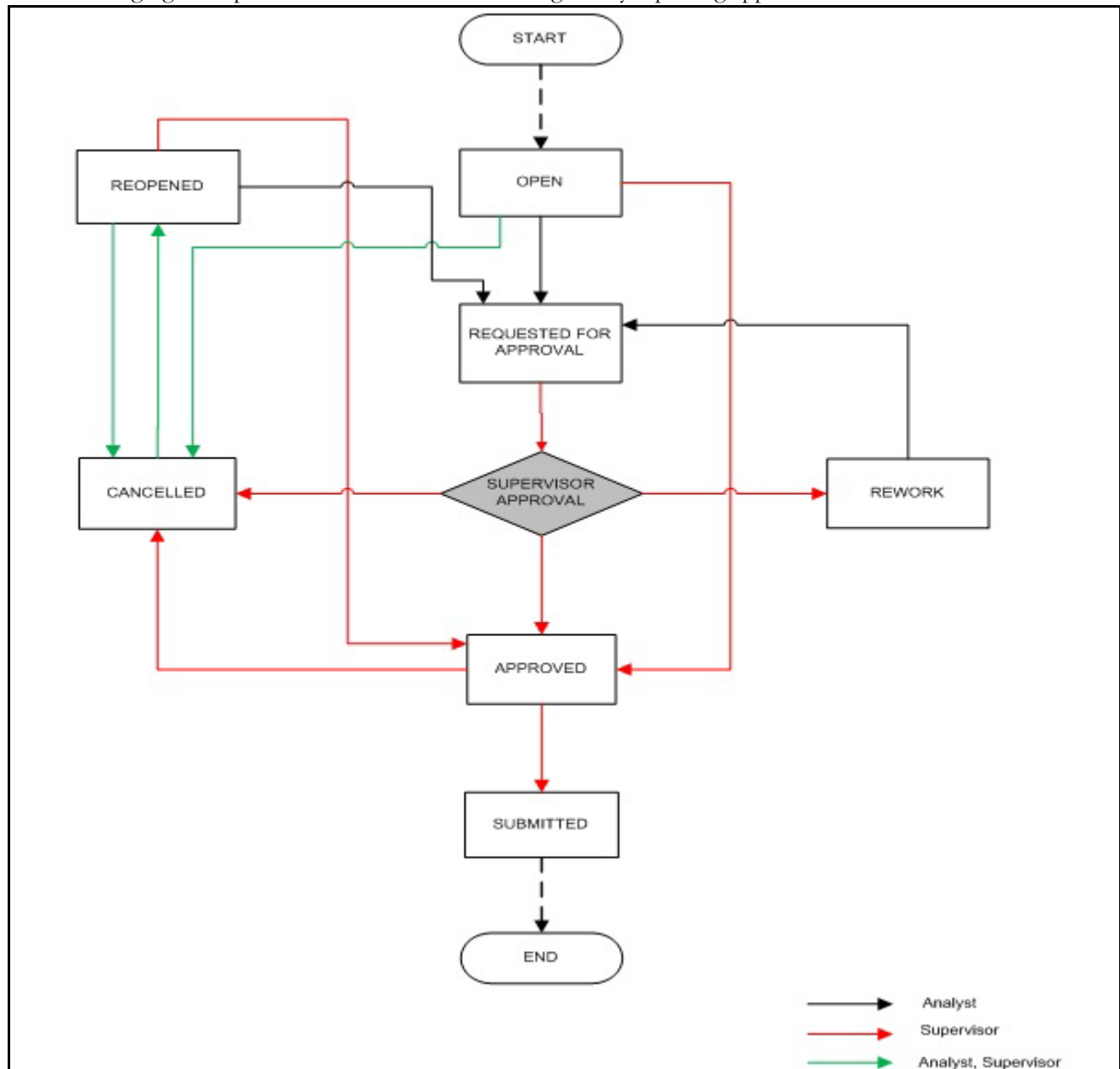


Figure 3. Compliance Regulatory Reporting workflow for Analyst and Supervisor

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

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

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

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

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

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

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

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

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

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

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

Table 3. Action that can be performed in various statuses

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

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

Table 4. Statuses in which Reports are editable by users

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

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

Table 5. Statuses in which Reports are viewed by users

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

Creating an STR

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

This section covers the following topics:

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

Creating STR from OFSFCCM

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

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

Creating STR on an Alert

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

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

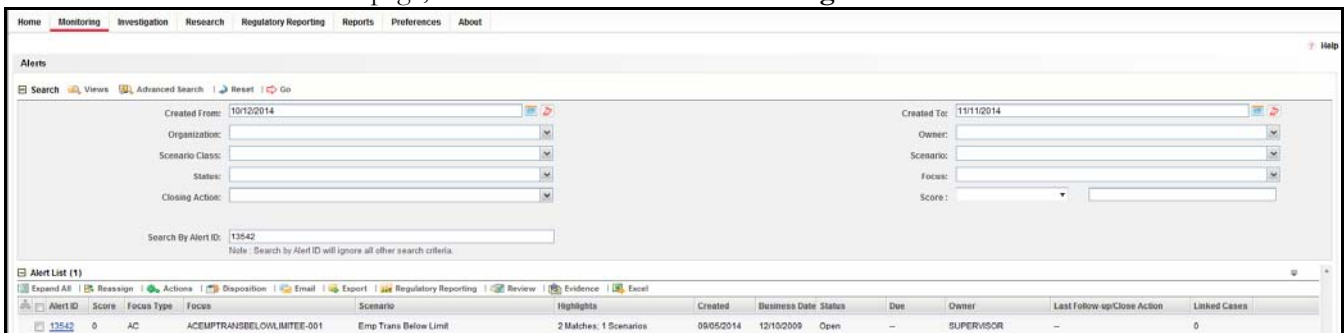


Figure 4. Alerts Search and List Page

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

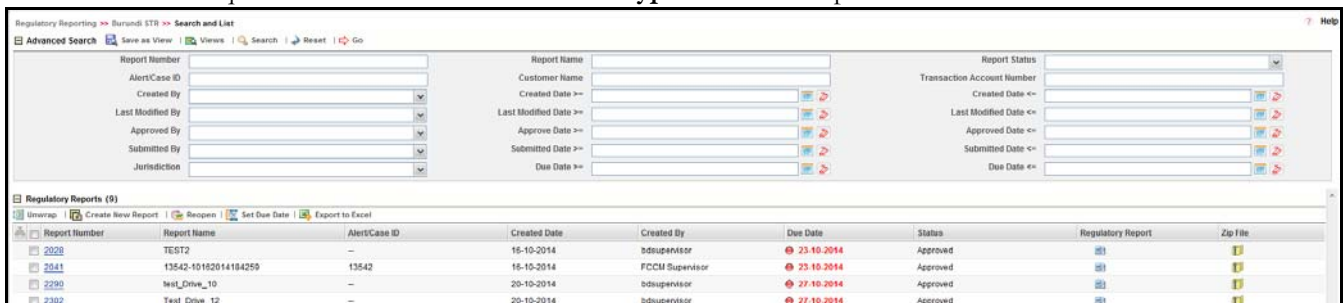


Figure 5. Alerts Advanced Search

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

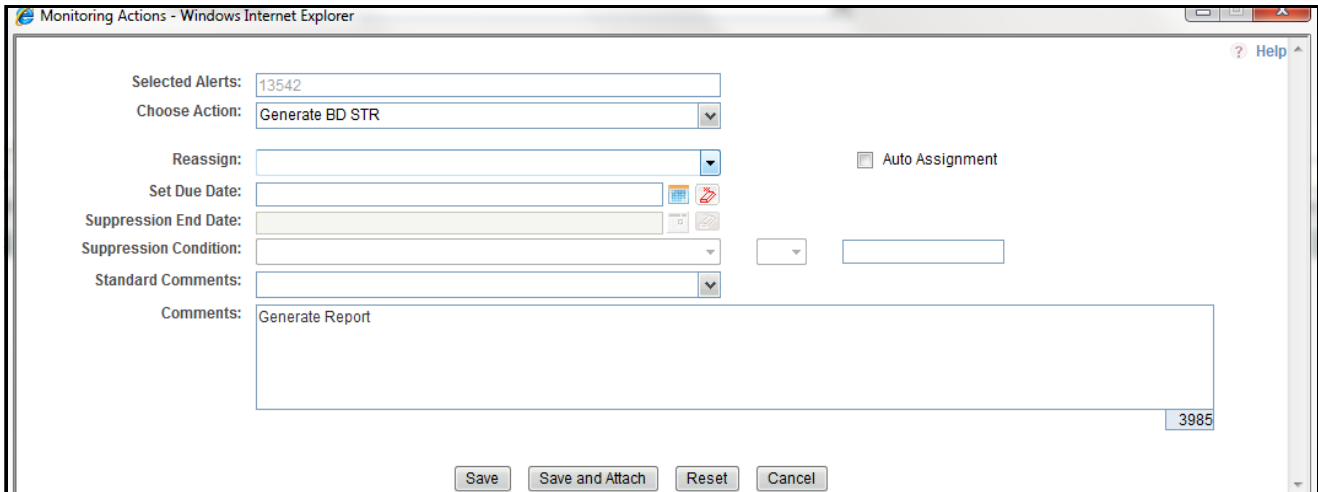


Figure 6. Monitoring Actions Window

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 BDSTR** action was taken is displayed in the RR Search and List page.

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

Creating STR on a Case

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

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

Case ID	Title	Type	Subtype	Due Date	Priority	Status	Owner	Assigned To	Linked Alert	Linked Cases	Created Date
CA800121	ds	Anti-Money La.	Patriot Act - CI	05/22/2014	High	Monitor	SUPERVISOR	SUPERVISOR	3	0	05/20/2014
CA1500116	Antipate Prof.	Fraud	Account and P...	05/22/2014	High	File KE STR	SUPERVISOR	SUPERVISOR	1	0	05/23/2014
CA3800102	Hidden Retali...	Anti-Money La.	AML Surveillance		High	File RW STR	SUPERVISOR	SUPERVISOR	1	0	06/13/2014
CA2400101	AC with/ut AD...	Anti-Money La.	AML Surveillance		High	File KE STR	SUPERVISOR	SUPERVISOR	1	0	05/27/2014
CA2300101	Antipate Prof.	Anti-Money La.	Terrorist Finan...		High	Investigation	SUPERVISOR	SUPERVISOR	1	0	05/23/2014
CA1500103	HR Trans - Fo...	Anti-Money La.	Terrorist Finan...		High	File KE STR	SUPERVISOR	SUPERVISOR	2	0	05/23/2014
CA1700107	Anom ATMB...	Anti-Money La.	Terrorist Finan...		High	File KE STR	SUPERVISOR	SUPERVISOR	1	0	05/23/2014
CA1700101	CA1700101	Anti-Money La.	Patriot Act - CI		High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1500137	CA1500137	Anti-Money La.	Patriot Act - CI		High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1500122	CA1500122	Fraud	Access/Online...		High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1500117	CA1500117	Fraud	Terrorist Finan...		High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1500115	CA1500115	Antipate Prof.	Fraud		High	File KE STR	SUPERVISOR	SUPERVISOR	1	0	05/23/2014
CA1500109	CA1500109	Anti-Money La.	AML Surveillance		High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1500102	CA1500102	Fraud	Account and P...		High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/23/2014
CA1500112	CA1500112	Fraud	Account and P...		High	File KE STR	SUPERVISOR	SUPERVISOR	0	0	05/22/2014
CA1500102	CA1500102	Fraud	Employee Fraud		High	Investigation	SUPERVISOR	SUPERVISOR	0	0	05/22/2014
CA800107	HR Trans - H...	Anti-Money La.	Enhanced Du...		High	Investigation	SUPERVISOR	SUPERVISOR	1	0	05/20/2014
CA1500143	Manual-AB-1	Anti-Money La.	AML Surveillance		Medium	Investigation	SUPERVISOR	SUPERVISOR	1	0	06/16/2014
CA1500142	Manual-AB-1	Anti-Money La.	AML Surveillance		Medium	Investigation	SUPERVISOR	SUPERVISOR	1	0	06/16/2014
CA1500138	Manual-AB-1	Anti-Money La.	AML Surveillance		Medium	Investigation	SUPERVISOR	SUPERVISOR	2	0	06/16/2014

Figure 7. Cases AML/Fraud Search and List Page

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

Figure 8. Investigation Action 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 BD STR action was taken is displayed in the RR Search and List page.

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

Sending Acknowledgement to OFSFCCM from Regulatory Reporting

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

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

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

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

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

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

The negative acknowledgment sent to OFSFCCM contains the following details:

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

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

Creating a New STR from OFSRR

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

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

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

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

Figure 9. Create New Report

2. Enter the required information in the fields.

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

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

Table 6. Creating New Report

Fields	Description
Report Name	Enter a name for the report being created. Note: This field is a mandatory field.
Alert/Case ID	Enter the Alert/Case ID associated with the suspicious transaction.
Report Type	This field is auto-populated with the report type. Note: This field cannot be edited.
Attribute 1	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Jurisdiction. Note: This is a mandatory field.
Attribute 2	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Business Domain.
Attribute 3	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Case Type.
Attribute 4	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Sub Type.
Attribute 5	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Organization.

Table 6. Creating New Report

Fields	Description
Created Date	This field is auto-populated with the current system date. Note: This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. Note: This field cannot be edited.

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

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

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

Searching STRs

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

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

- Searching Reports Using 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.

The screenshot shows the 'Regulatory Reporting Search and List' interface. At the top, there are search filters for Report Number, Alert/Case ID, Created By, Jurisdiction, Report Name, Customer Name, Created Date, Due Date, Report Status, Transaction Account Number, Created Date, and Due Date. Below the filters is a table titled 'Regulatory Reports (9)' with columns: Report Number, Report Name, Alert/Case ID, Created Date, Created By, Due Date, Status, Regulatory Report, and Zip File. The table contains 9 rows of data.

Report Number	Report Name	Alert/Case ID	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
2028	TEST2	--	16-10-2014	idsupervisor	23-10-2014	Approved	[icon]	[icon]
2041	13542-10162014184259	13542	16-10-2014	FCCM Supervisor	23-10-2014	Approved	[icon]	[icon]
2280	Test_Drive_10	--	20-10-2014	idsupervisor	27-10-2014	Approved	[icon]	[icon]
2302	Test_Drive_12	--	20-10-2014	idsupervisor	27-10-2014	Approved	[icon]	[icon]
2470	odd	d	24-10-2014	idsanalyst	31-10-2014	Requested for Approval	[icon]	[icon]
2012	Test	--	16-10-2014	idsupervisor	--	Submitted	[icon]	[icon]
2049	Test Report1	--	16-10-2014	idsupervisor	--	Submitted	[icon]	[icon]
2096	Report	33	17-10-2014	idsanalyst	--	Submitted	[icon]	[icon]
2494	Suspicious Activity	--	26-10-2014	idsupervisor	--	Cancelled	[icon]	[icon]

Figure 10. Searching Reports using Simple Search

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

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

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

Searching Reports Using Advanced Search

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

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

1. Navigate to Regulatory Reporting.

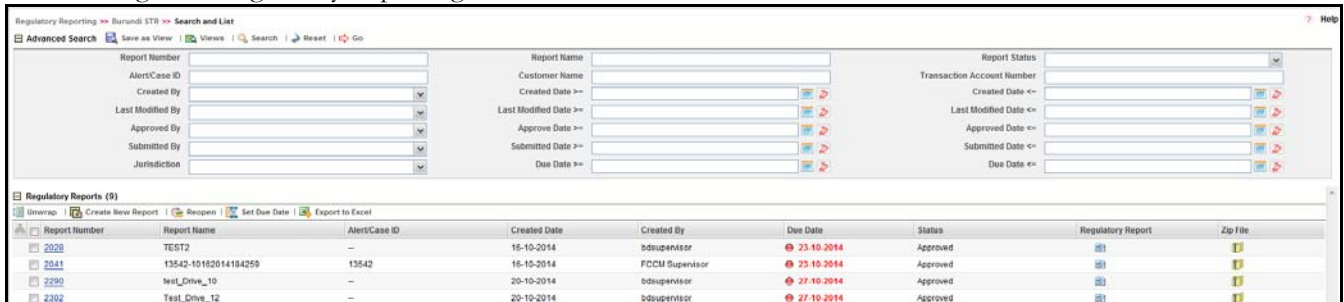


Figure 11. Searching Reports using Advanced Search

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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Report Status	<p>Select the report status from the drop-down list to display reports in the selected status.</p> <p>Following are the options available for the Report status drop-down list:</p> <ul style="list-style-type: none"> ● Select All ● Open ● Requested for Approval ● Approved ● Rework ● Submitted ● Cancelled ● Reopened <p>Note: This field allows searching of reports with multiple options selected.</p>	Simple Search and Advanced Search
Alert/Case ID	<p>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.</p> <p>Note: Alert/Case ID is the identifier that has triggered the creation of report in Regulatory Reporting application.</p>	Simple Search and Advanced Search
Customer Name	<p>Enter the customer name in this field to display all the reports where the entered name is involved in the suspicious activity.</p> <p>Note: This field supports a wildcard search. You can use the % and _ as wildcard indicators.</p>	Simple Search and Advanced Search
Transaction Account Number	<p>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</p>	Simple Search and Advanced Search
Due Date>=	<p>Select the due date from the calendar to display reports having a due date greater than or equal to the specified date.</p>	Simple Search and Advanced Search
Due Date<=	<p>Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date.</p> <p>Note: If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then Due Date<= is the current system date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: <i>Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.</i> 	Simple Search and Advanced Search

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Created By	<p>Select the user who has created the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>	Simple Search and Advanced Search
Created Date >=	<p>Select the created date from the calendar to display reports having a created date greater than or equal to the specified date.</p> <p>Note: You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.</p>	Simple Search and Advanced Search
Created Date <=	<p>Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: <i>Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.</i> 2. If you enter a value in created date <= greater than the system date, the application displays the following message: <i>Please enter a 'Created Date <=' which is earlier than or equal to sysdate.</i> 	Simple Search and Advanced Search
Last Modified By	<p>Select the user who has last modified the report from the drop-down list.</p> <p>Note: This field allows searching of reports with multiple options selected with user names displayed as drop-down options.</p>	Advanced Search
Last Modified Date >=	<p>Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date.</p> <p>Note: You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.</p>	Advanced Search

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Last Modified Date <=	<p>Select the Last Modified Date from the calendar to display reports having a last modified date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Last Modified Date <=' less than 'Last Modified Date >=', the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is equal to or greater than 'Last Modified Date >='.</i> 2. If you enter a value in 'Last Modified Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Last Modified Date <=' which is earlier than or equal to sysdate.</i> 	Advanced Search
Approved By	<p>Select the name of the approver to search for reports approved by the selected user.</p> <p>Note: This field allows searching of reports with multiple options selected with user names displayed as drop-down options.</p>	Advanced Search
Approved Date >=	<p>Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.</p>	Advanced Search
Approved Date <=	<p>Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date.</p> <p>Validations:</p> <ol style="list-style-type: none"> 1. While performing a range search, if you enter a value in 'Approved Date <=' less than 'Approved Date >=', the application displays the following message: <i>Please enter a 'Approved Date <=' which is equal to or greater than Approved Date >=.</i> 2. If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Approved Date <=' which is earlier than or equal to sysdate.</i> 	Advanced Search
Submitted By	<p>Select the name of the user from the drop-down list options to search for reports submitted by the selected user.</p> <p>Note: This field allows searching of reports with multiple options selected.</p>	Advanced Search
Submitted Date >=	<p>Select the submitted date from the calendar to display reports having a submitted date greater than or equal to the specified date.</p>	Advanced Search

Table 7. Components of RR Search Bar

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

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

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

Searching Reports Using Pre-defined Views

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

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

1. Navigate to Regulatory Reporting.

Report Number	Report Name	Alert/Case ID	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File
2012	Test	--	16-10-2014	bdsupervisor	--	Submitted		
2049	Test Report1	--	16-10-2014	bdsupervisor	--	Submitted		
2056	Report	33	17-10-2014	bdanalyst	--	Submitted		

Figure 12. Searching Reports using Pre-defined Views

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

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

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

Table 8. Pre-defined Views

Views	Description
Open/ Reopened/Rework - Reports Last Modified by Me	Select Open/ Reopened - Reports Last Modified by Me from the drop-down list to display the list of reports in <i>Open</i> or <i>Reopened</i> , or <i>Rework</i> status for which the logged in user is the last modifier. 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 <i>Requested for Approval</i> 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.

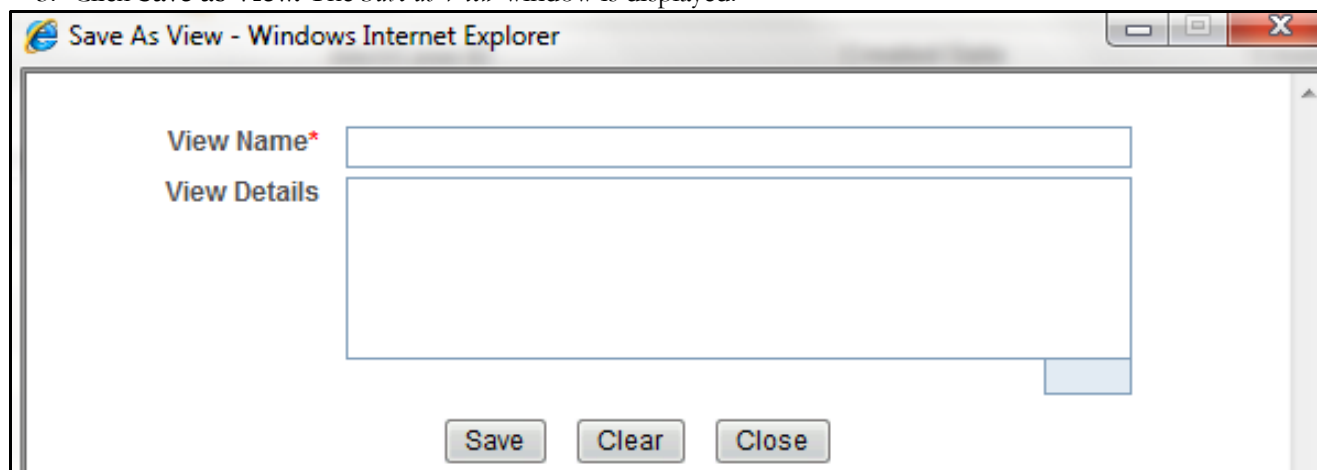


Figure 13. Save As View Window

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 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.



Figure 14. Report Context

The report context includes the following information:

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

- Approved Date
- Jurisdiction

Managing Report Information

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

Report Information	Documents	Audit																																												
<div> <input type="checkbox"/> Reporting Legal Entity/Corporate/Individual </div>																																														
<table> <tr> <td>Name*</td> <td>Bank of Kenya</td> <td>Country</td> <td>--</td> </tr> <tr> <td>City/Town</td> <td>--</td> <td>Tax Identification Number</td> <td>--</td> </tr> <tr> <td>Occupation</td> <td>--</td> <td></td> <td></td> </tr> <tr> <td>Registration Number</td> <td>--</td> <td></td> <td></td> </tr> </table>			Name*	Bank of Kenya	Country	--	City/Town	--	Tax Identification Number	--	Occupation	--			Registration Number	--																														
Name*	Bank of Kenya	Country	--																																											
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<div> <input type="checkbox"/> Reporting Details </div>																																														
<table> <tr> <td>Contact Person*</td> <td>B</td> <td>Function</td> <td>ABCDEF</td> </tr> <tr> <td>Telephone</td> <td>--</td> <td>Email</td> <td>--</td> </tr> <tr> <td>Mailbox</td> <td>--</td> <td></td> <td></td> </tr> </table>			Contact Person*	B	Function	ABCDEF	Telephone	--	Email	--	Mailbox	--																																		
Contact Person*	B	Function	ABCDEF																																											
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Mailbox	--																																													
<div> <input type="checkbox"/> Summary </div>																																														
<table> <tr> <td>Reason For Reporting*</td> <td>Reason 1</td> <td>Time Frame of Activities To*</td> <td>17-10-2014</td> </tr> <tr> <td>Time Frame of Activities From*</td> <td>08-09-2014</td> <td></td> <td></td> </tr> <tr> <td>Amount Involved* ?</td> <td>100000000</td> <td></td> <td></td> </tr> <tr> <td>Number of Individuals Reported*</td> <td>1</td> <td></td> <td></td> </tr> <tr> <td>Names of Individuals Reported*</td> <td>Tom</td> <td></td> <td></td> </tr> <tr> <td>Number of Corporate/Legal Entities Reported*</td> <td>1</td> <td></td> <td></td> </tr> <tr> <td>Names of Corporate/Legal Entities Reported*</td> <td>Anywhere Bank</td> <td></td> <td></td> </tr> <tr> <td>Financial Instruments Used*</td> <td>Test instruments</td> <td></td> <td></td> </tr> <tr> <td>Number of Transactions*</td> <td>1</td> <td></td> <td></td> </tr> <tr> <td>Status of Transactions*</td> <td>Closed</td> <td></td> <td></td> </tr> <tr> <td>Reasons/Grounds for Money Laundering Activity*</td> <td>Test reason</td> <td></td> <td></td> </tr> </table>			Reason For Reporting*	Reason 1	Time Frame of Activities To*	17-10-2014	Time Frame of Activities From*	08-09-2014			Amount Involved* ?	100000000			Number of Individuals Reported*	1			Names of Individuals Reported*	Tom			Number of Corporate/Legal Entities Reported*	1			Names of Corporate/Legal Entities Reported*	Anywhere Bank			Financial Instruments Used*	Test instruments			Number of Transactions*	1			Status of Transactions*	Closed			Reasons/Grounds for Money Laundering Activity*	Test reason		
Reason For Reporting*	Reason 1	Time Frame of Activities To*	17-10-2014																																											
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Number of Transactions*	1																																													
Status of Transactions*	Closed																																													
Reasons/Grounds for Money Laundering Activity*	Test reason																																													
<div> <input type="checkbox"/> Supporting Transactions from Alert or Case (0) <input type="checkbox"/> Unwrap </div>																																														
Record Number	Transaction Number	Transaction Date	Transaction Type	Transaction Value (Base)	Originating Account Number	Originating Party Name	Beneficiary Account Number	Beneficiary Name																																						

Figure 15. Report Information Tab

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

- Reporting Legal Entity/Corporate/Individual
- Reporting Details
- Summary
- Supporting Transactions from Alert or Case

Reporting Legal Entity/Corporate/Individual

This section shows the details of the Legal Entity/Corporate/Individual reporting the STR.

The following table explains the fields in Reporting Legal/Corporate/Individual section.

Table 9. Reporting Legal/Corporate/Individual Information

Fields	Description
Name	<p>Enter the name of the legal entity/corporate/individual reporting the STR. This is a mandatory field. The possible values for the drop-down list are fetched from the static data tables.</p> <p>Note: All the other fields such as City/Town, Country, Occupation, Tax Identification Number, and Registration Number are auto-populated based on the name selected.</p>
City/Town	<p>Displays the name of the city or town reporting the STR. The value in this field is auto-populated based on the legal entity/corporate/individual name selected.</p> <p>Note: This field cannot be edited.</p>
Country	<p>Displays the name of the country reporting the STR. The value in this field is auto-populated based on the legal entity/corporate/individual name selected.</p> <p>Note: This field cannot be edited.</p>
Occupation	<p>Displays the occupation of the legal entity/corporate/individual reporting the STR. The value in this field is auto-populated based on the legal entity/corporate/individual name selected.</p> <p>Note: This field cannot be edited.</p>
Tax Identification Number	<p>Displays the tax identification number of the legal entity/corporate/individual reporting the STR. The value in this field is auto-populated based on the name of the legal entity/corporate/individual selected.</p> <p>Note: This field cannot be edited.</p>
Registration Number	<p>Displays the registration number of the legal entity/corporate/individual. The value in this field is auto-populated based on the name of the legal entity/corporate/individual selected.</p> <p>Note: This field cannot be edited.</p>

Reporting Details

This section shows the contact details of the reporting person from the reporting institution.

The following table explains the fields in the Reporting Details section:

Table 10. Reporting Details Information

Fields	Description
Contact Person	Enter the name of the contact person from the reporting institution. This is a mandatory field. The possible values for the drop-down list are fetched from the static data tables. Note: All the other fields such as Function, Telephone, Email, and Mailbox are auto-populated based on the contact person selected.
Function	Displays the function of the reporting person. The value in this field is auto-populated based on the contact person selected. Note: This field cannot be edited.
Telephone	Displays the telephone number of the reporting person. The value in this field is auto-populated based on the contact person selected. Note: This field cannot be edited.
Email	Displays the Email ID of the reporting person. The value in this field is auto-populated based on the contact person selected. Note: This field cannot be edited.
Mailbox	Displays the mailbox address of the reporting person. The value in this field is auto-populated based on the name of the contact person selected. Note: This field cannot be edited.

Summary

Information in Summary is auto-populated based on supporting alert or case information.

The following table explains the fields in the Summary section.

Table 11. Summary

Fields	Description
Reason for Reporting	Enter a brief description of the reason of reporting the suspicion activity.
Time Frame of Activities From	Select the date from the calendar to display the time when the suspicious activity started. If you enter a date which is later than a sysdate, then system will display the error message: <i>Please enter Time Frame of Activities from Date which is less than or equal to the current date.</i>
Time Frame of Activities To	Select the date from the calendar to display the time when the suspicious activity ends. If you enter a date which is later than a sysdate, then system will display the error message: <i>Please enter Time Frame of Activities to Date which is less than or equal to the current date.</i>
Amount Involved	Enter the total amount involved during the reported activity. Note: If amount exceeds the maximum length and if you try to save, then the system will display an error message: <i>Amount is invalid. It should have no more than 20 digits before and 8 digits after decimal.</i>

Table 11. Summary

Fields	Description
Number of Individuals reported	Enter the number of the individuals involved in the reported activity.
Names of Individuals reported	Enter the names of the individuals involved in the reported activity. Note: You can search for multiple names by entering a string of comma-separated values in this field.
Number of Corporate/Legal Entities reported	Enter the number of the Corporate/Legal Entities involved in the reported activity.
Names of Corporate/Legal Entities reported	Enter the names of all the Corporates/Legal Entities involved in the reported activity. Note: You can search for multiple names by entering a string of comma-separated values in this field.
Financial Instruments Used	Enter the type of financial instruments used during the reported activity. Note: You can search for multiple financial instruments by entering a string of comma-separated values in this field.
Number of Transactions	Enter the number of the total transaction involved in the reported activity.
Status of Transactions	Enter the status of the transactions involved in the reporting activity.
Reasons/Ground for MoneyLaundering Activity	This provides the reason for justifying the reporting of activity as a money laundering activity. This data is sent from FCCM and is editable.

Supporting Transactions from Alert or Case

The fields in this grid will be populated as per the data received from FCCM and cannot be edited. The following table explains the fields in the Supporting Transactions from Alert or Case:

Table 12. Supporting Transactions from Alert or Case Information

Fields	Description
Record Number	Enter the unique identifier to view the exact transaction.
Transaction Number	Enter the unique identifier of the transaction record.
Transaction Date	Enter the date on which the transaction took place.
Transaction Type	Enter the method or type of the transaction.
Transaction Value (Base)	Enter the value of the amount involved during the transaction. 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.

Managing Documents

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

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

To attach a document, follow these steps:

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

Figure 16. Add Document Window

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

Table 13. Add Document Fields description

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

Table 13. Add Document Fields description

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

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

Editing the Document Details

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

To edit the fields, follow these steps:

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

Removing Documents

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

To remove the documents attached, follow these steps:

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

Viewing Audit

The Audit tab displays actions taken on the report.

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

Figure 17. Audit Tab

The Audit tab displays the Actions grid

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

Table 14. Actions Grid Field Descriptions

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

Taking Action on Reports

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

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

Requesting the Report for Approval

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

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

For more information, refer to *Table 2*.

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

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

Figure 18. Request for Approval Window

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

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

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

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

Approving Reports

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

To approve an STR, follow these steps:

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

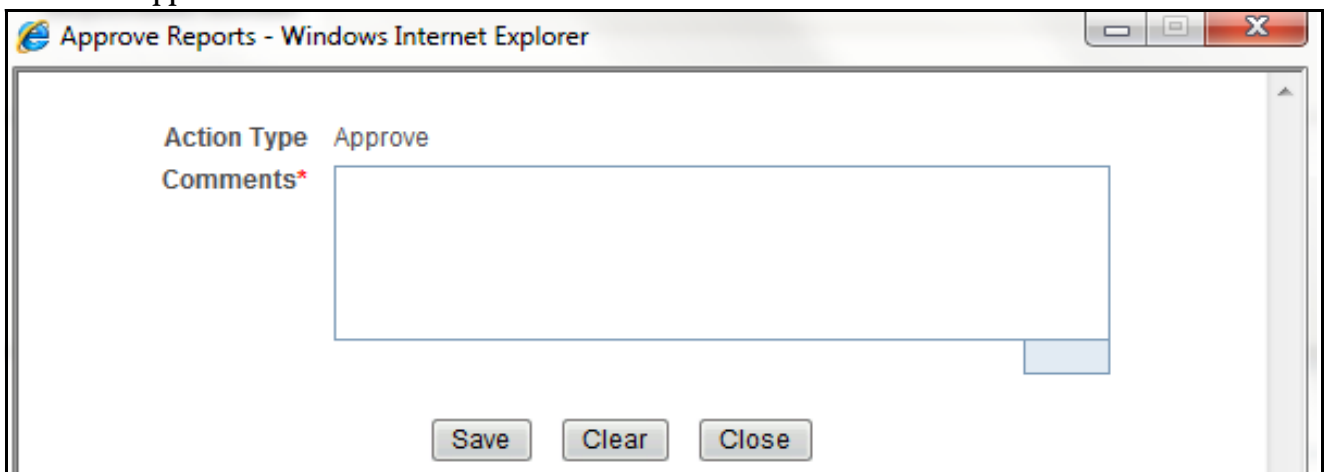


Figure 19. Approve Reports Window

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

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

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

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

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

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

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

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

Reworking on Reports

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

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

To send a report for rework, follow these steps:

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



Figure 20. Rework Window

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

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

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

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

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

Cancel Filing of Reports

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

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

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

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

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

1. Navigate to the Report Details page.

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

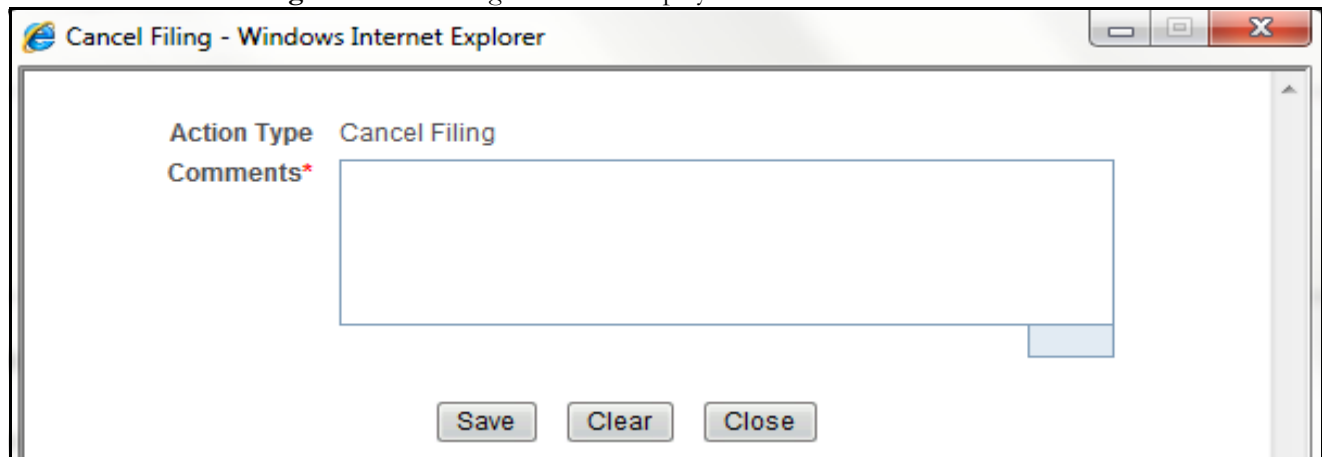


Figure 21. Cancel Filing Window

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

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

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

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

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

Reopening Reports

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

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

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

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

Figure 22. Reopen Reports Window from Report Details Page

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

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

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

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

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

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

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

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

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

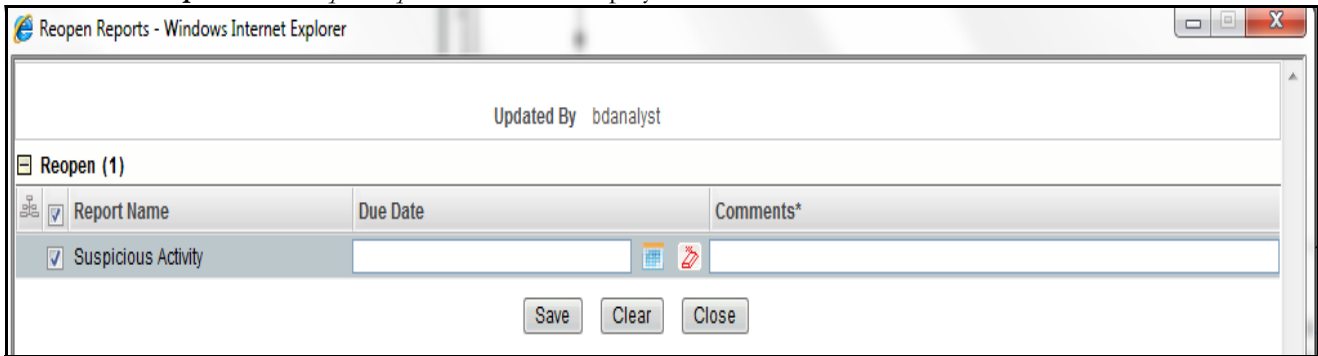


Figure 23. Reopen Reports Window from Search and List Page

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

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

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

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

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

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

Submitting Reports

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

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

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

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

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

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

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

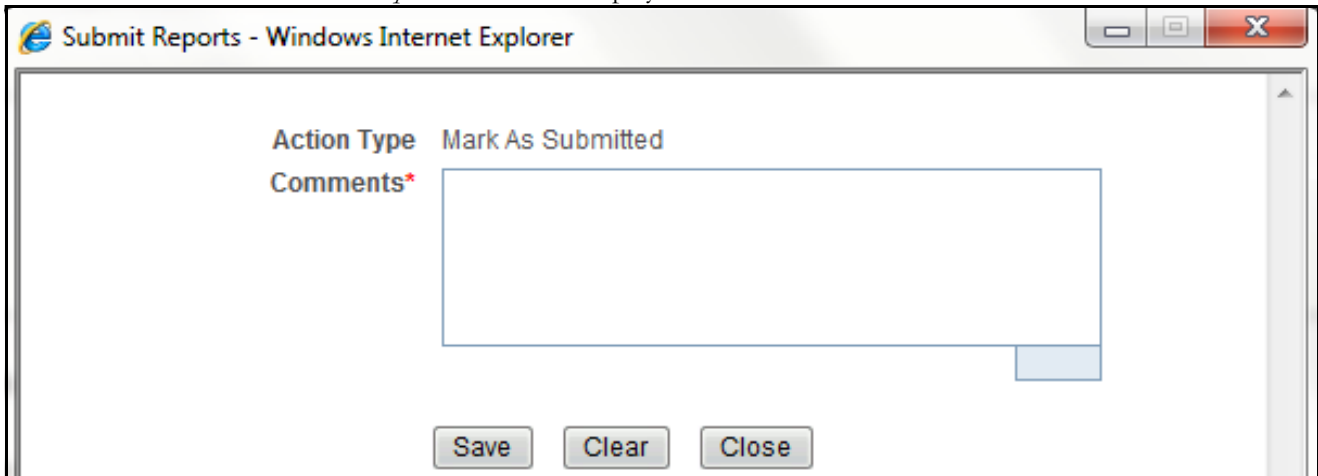


Figure 24. Submit Reports Window from Report Details Page

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

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

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

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

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

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

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

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

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

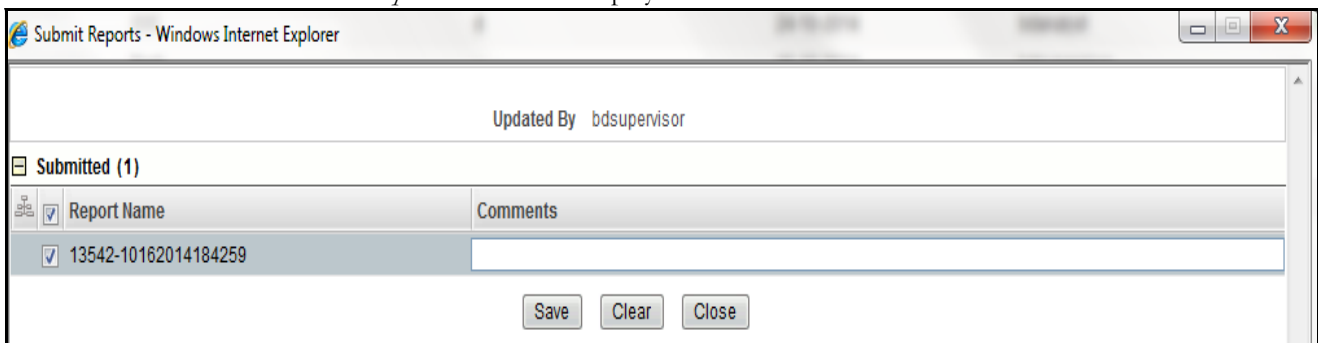


Figure 25. Submit Reports Windows from Search and List Page

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

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

Adding Comments to an STR

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

To add comments to a report, follow these steps:

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

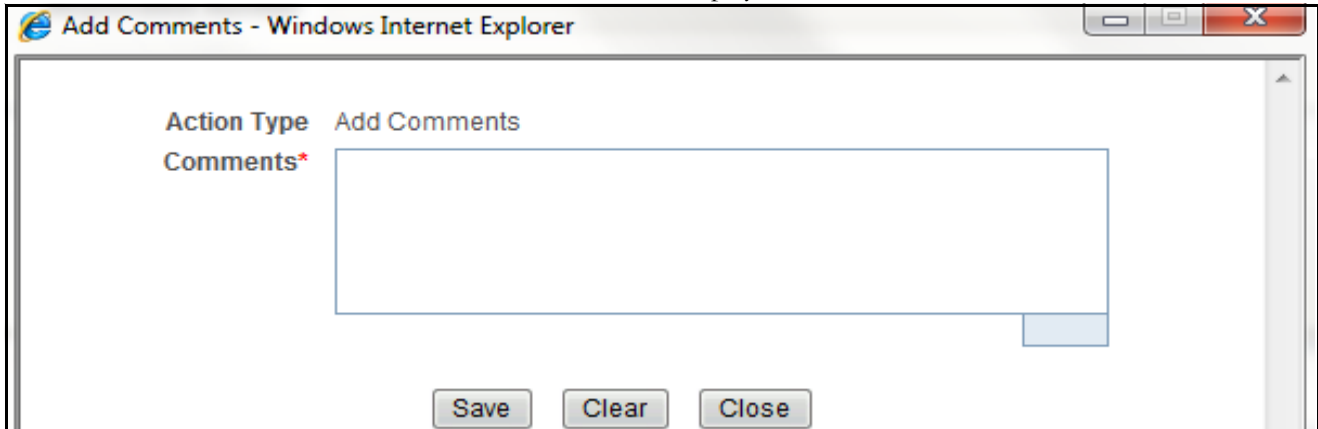


Figure 26. Add Comments Window

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

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

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

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

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

Setting Due Date of an STR

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

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

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

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

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

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

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

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

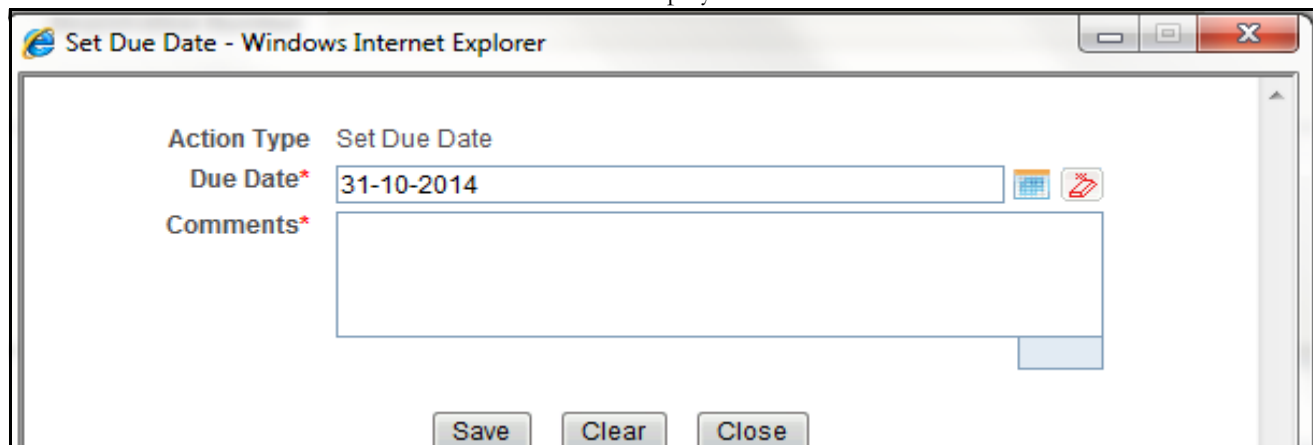


Figure 27. Set Due Date Window

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

Note: This field is a mandatory field.

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

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

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

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

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

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

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

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

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

Note: This field is a mandatory field.

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

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

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

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

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

Exporting the Report Details to Excel

The RR Search and List page allows you to export the report list into an Excel template. To export the report details into an Excel template, follow these steps:

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

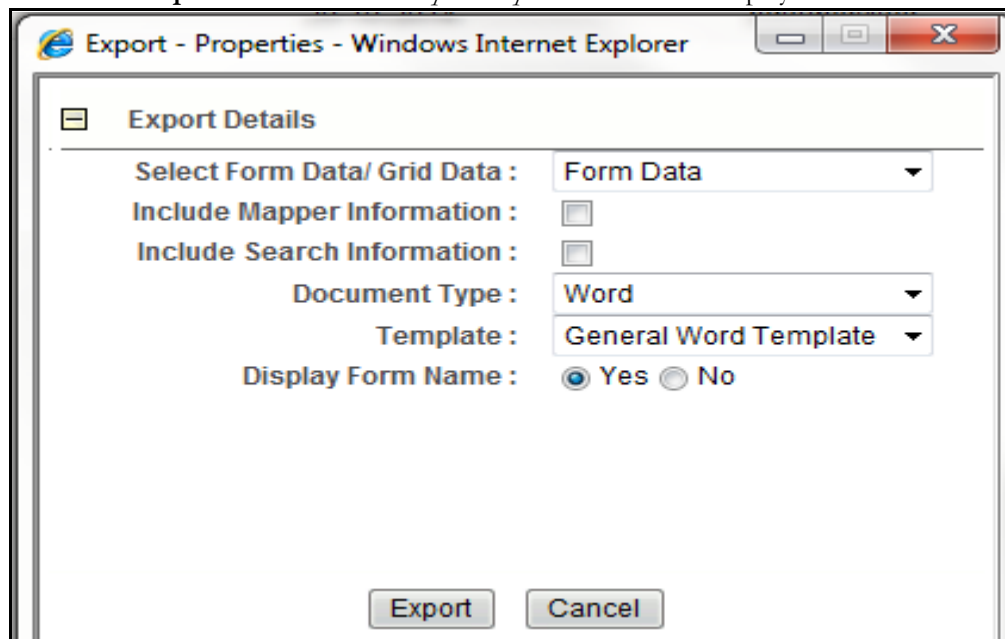


Figure 28. Export Properties Window

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

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

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

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

The application saves your file to the specified location.

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

