Oracle Financial Services Regulatory Reporting **Kenya Suspicious Transaction Report User Guide**

Release 8.0.4.0.0 April 2017





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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

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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 (OFSCRR) and provides step-by-step instructions for navigating through OFSCRR.

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 Kenya STR, Release 8.0.1 is designed for use by various users. Their roles and responsibilities, as they operate within the Oracle Financial Services Compliance Regulatory Reporting, include the following:

- Analyst: This user can create reports, view regulatory reports, request reports for approval, add comments and view a final report.
- **Reviewer**: This user can create new regulatory reports, view reports, edit report details, recommend reports for approval, rework on request for approval reports, cancel filing, add comments, view a final report, and reopen reports.
- **Supervisor**: This user can create new regulatory reports, view reports, edit report details, set report due date, rework reports on recommend for approval, rework reports on request for approval, approve reports, cancel report filing, add comments, view final report, file approved reports, and reopen reports.
- Auditor: This user can view regulatory reports, add comments, and view draft report.
- System Administrator: This user is responsible for managing the static data used in OFSCRR, creating application users, mapping users to user groups, and configuring the various parameters used within OFSCRR.

The Analyst 1, 2, 3, 4, Reviewer 1, 2, Supervisor, and Auditor 1, and 2 user roles are defined in OFSCRR. These roles are created to provide selected and incremental rights to users within OFSCRR.

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

How this Guide is Organized

The Oracle Financial Services Compliance Regulatory Reporting User Guide KE STR, Release 8.0.1, includes the following topics:

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

Where to Find More Information

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

- Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide: Release 8.0.1: This guide explains the structure of the entities in the OFSCRR data model and provides in-depth information on managing the data in OFSCRR.
- Oracle Financial Services Compliance Regulatory Reporting Webservice Guide: Release 8.0.1: This guide explains how and in what format the source business data is provided to the Compliance Regulatory Reporting through a web service for the report type.
- Oracle Financial Services Compliance Regulatory Reporting Installation Guide: Release 8.0.1: This guide provides step-by-step instructions for installing OFSCRR on an existing Oracle Financial Services Behavior Detection Framework hosted in Windows environment.
- Oracle Financial Services Compliance Regulatory Reporting Administration Guide: Release 8.0.1: This guide describes comprehensive activities to be done by the Administrator within OFSCRR. This guide 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 <u>www.oracle.com/financialservices</u>.

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 pro- gram elements within text
<variable></variable>	Substitute input value

About this Guide

CHAPTER 1

About Compliance Regulatory Reporting

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

This chapter discusses the following topics:

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

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.

In Kenya, suspicious activities are notified to the Financial Reporting Centre (FRC). The Financial Reporting Centre is a Kenyan Government institution, established with the principal objective of identifying suspicious transactions and combating money laundering.

About Oracle Financial Services Compliance Regulatory Reporting

The Oracle Financial Services Compliance Regulatory Reporting (OFSCRR) supports the management, delivery, and resolution of regulatory reports across multiple geographic regions and across multiple financial lines of business. OFSCRR 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), Egypt (EG STR), and Kenya (KE 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.

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

For more information on the workflow of regulatory reports, refer to Life Cycle of a Suspicious Transaction Report.

CHAPTER 2 Getting Started

This chapter explains the steps to login to OFSCRR and provides a brief overview of the various users and their roles within OFSCRR.

This chapter explains the following topics:

- User Roles
- User Access
- Logging in to Compliance Regulatory Reporting
- Accessing Compliance Regulatory Reporting from OFSFCCM

User Roles

The following user roles are defined in OFSCRR:

- Analyst 1,2,3,4
- Reviewer 1,2
- Supervisor
- Auditor 1, 2
- System Administrator

User Access

The following table explains the tasks that can be performed by various users in OFSCRR.

Table 2. User Access

	Roles									
Function	Analyst 1	Analyst 2	Analyst 3	Analyst 4	Reviewer 1	Reviewer 2	Supervisor	Auditor 1	Auditor 2	System Admin
View reports	Х	X	X	Х	Х	Х	Х	Х	X	
Request for Approval	X	X	X	X						
Recommend for Approval					X	X				
Rework from Recommended for Approval							X			
Rework from Requested for Approval					X	X	X			
Approve							X			
Cancel Filling for Open, Reopen statuses			X	X	X	X	X			
Cancel Filing for Approved and Recommended for Approval status							×			
Cancel Filling for requested for approval statuses					X	X	x			
Add RR Comments	Х	X	X	Х	Х	Х	Х		X	
View/Save Final Report	x	X	X	x	X	x	X			

4

Table 2. User Access

	Roles									
Function	Analyst 1	Analyst 2	Analyst 3	Analyst 4	Reviewer 1	Reviewer 2	Supervisor	Auditor 1	Auditor 2	System Admin
File Approved Reports							Х			
Create New Report	Х	Х	Х	Х	Х	Х	Х			
Set Due date						Х	х			
Reopen Cancelled Reports		х		х	X	X	Х			
View / Edit Configuration										Х

Logging in to Compliance Regulatory Reporting

To access Compliance Regulatory Reporting, follow these steps:

- 1. Go to the OFSAAI Login page.
- 2. Select the Language.
- 3. Enter your User ID.
- 4. Enter your **Password**.
- 5. Click Login. The Oracle Financial Services Analytical Applications Infrastructure page is displayed with a link to either **RR** or **FCCM**.

Accessing Compliance Regulatory Reporting from OFSFCCM

To access OFSCRR from OFSFCCM, follow these steps:

1. Go to the OFSAAI Login page.

ORACLE'	Financial Services Analytical Applications Infrastructure #bout
	Language US-English User ID Password Password Image: Comparing the c

Figure 1. OFSAAI Login Page

- 2. Select the Language.
- 3. Enter your User ID.
- 4. Enter your Password.
- 5. Click Login. The OFSAAI home page is displayed.
 - If you've installed OFSCRR without OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **RR** link under Home menu. Clicking the **RR** link will navigate you to the **RR** Search and List page.

ORACLE	Financial Services Analytical Applications Infrastructure Logial Darge Reserved Aloxit	Uner FCD Connected to Add/F521
		Support Annual State (
Connected to: AMINF623	·	
Home K FCCM		
FUCH		
	Set My Home Page : Default Screen	- Dave

Figure 2. OFSAAI Home Page

- 6. Click **FCCM**. The OFSFCCM Home page is displayed depending upon the user roles and their access permissions.
- 7. Click Kenya STR from the Compliance Regulatory Reporting menu. The RR Search and List page opens.

			ulatory Reporting Reports	Preferences	A0001							
	ing » Kenya STR » Sea											
vanced Sear			narch 🎝 Reset 📫 Go									
	Report Number					Report N					Report Status	×
	Alert/Case ID					Subject N					FRC Tracking Number	
	Created By			*		Created Dat				📼 🔉	Created Date <=	🔳 🔊
	Jurisdiction			~		Due Dat				i 🖉 🔊	Due Date <=	a D
	Last Modified By			~		Last Modified Dat	te >=			😇 🤰	Last Modified Date <=	
	Approved By			¥		Approve Dat	10 >= [i 🖉 🥭	Approved Date <-	📼 🔊
	Filed By			¥		Filed Dat	10 >= (1)			a b	Filed Date <-	👅 🔊
	Account Number					Account N	lame					
	Create New Report G		Subject Names	# of Subjects	Created Date	Created By	Due Date	Status	Regulatory Report	Zip File		
Report #		Alert/Case ID	1	# of Subjects			Due Date O 25-05-2014		Regulatory Report	Zip File		
Report #	Report Name	Alert/Case ID	Subject Names	# of Subjects	22-05-2014	SUPERVISOR		Open				
Report # <u>17</u> <u>14</u>	Report Name 4011-05222014180	Alert/Case ID 4011 56541	Subject Names	1	22-05-2014 22-05-2014	SUPERVISOR KESUPERVISOR	0 25-05-2014	Open Open	×	10		
Report # <u>17</u> <u>14</u> <u>329</u>	Report Name 4011-05222014180 test1	AlertiCase ID 20 4011 56541 30 CA1600127	Subject Names	1	22-05-2014 22-05-2014 23-05-2014	SUPERVISOR KESUPERVISOR SUPERVISOR	 ⊖ 25-05-2014 ⊖ 25-05-2014 	Open Open Filed	×	U U		
Report # 17 14 329 324	Report Name 4011-05222014180 test1 CA1600127-05232	Alert/Case ID 10: 4011 56541 10: CA1600127 10: CA1600122	Subject Names Sumame (or name of Entity	1 0 1 0	22-05-2014 22-05-2014 23-05-2014 23-05-2014	SUPERVISOR KESUPERVISOR SUPERVISOR SUPERVISOR	 25-05-2014 25-05-2014 26-05-2014 	Open Open Filed Open	×	1) 1) 1)		
Wrap [2] Report # 17 14 329 324 231 51	Report Name 4011-05222014180 test1 CA1600127-05232 CA1600122-05232 CA1600115-05232 4014-05232014091	Alert/Case ID at 4011 56541 CA1600127 CA1600122 CA1600115 t 4014	Subject Names Sumame (or name of Entity	1 0 1 0	22-05-2014 22-05-2014 23-05-2014 23-05-2014 23-05-2014	SUPERVISOR KESUPERVISOR SUPERVISOR SUPERVISOR SUPERVISOR	 25-05-2014 25-05-2014 26-05-2014 26-05-2014 	Open Open Filed Open Open	X X X X X	ม ม ม ม		
Report # 17 14 329 324 231	Report Name 4011-05222014180 test1 CA1600127-05232 CA1600122-05232 CA1600115-05232	Alert/Case ID a) 4011 56541 a) CA1600127 a) CA1600122 a) CA1600115 b) 4014 a) CA1600116 b) 4014 b) CA1600116 b) 4014 c) CA1600116 c) CA1600116 c) CA1600116 c) C)	Subject Names Surname (or name of Entity - Surname (or name of Ent	1 0 1 0	22-05-2014 22-05-2014 23-05-2014 23-05-2014 23-05-2014 23-05-2014 23-05-2014	SUPERVISOR KESUPERVISOR SUPERVISOR SUPERVISOR SUPERVISOR SUPERVISOR	 25-05-2014 25-05-2014 26-05-2014 26-05-2014 26-05-2014 26-05-2014 	Open Open Filed Open Open Open	X X X X	บ ม ม ม ม		

Figure 3. RR Search and List page in OFSFCCM

OFSCRR can be configured and accessed from within OFSFCCM. For more information, refer to the Oracle Financial Services Compliance Regulatory Reporting Installation Guide and the Administration Guide.

The menus displayed in the OFSFCCM page depend on the roles mapped to the user. In the above example, the user is mapped to OFSFCCM and OFSCRR. The Compliance Regulatory Reporting link is enabled only for users who have access to OFSCRR. Based on user roles access permission, OFSCRR displays the following tabs.

- Compliance Regulatory Reporting
- Administration

The Compliance Regulatory Reporting menu displays the Kenya STR primary menu. The Kenya STR primary menu displays the following sub-menus:

- Search and List: This menu allows you to navigate to the Report Search and List page.
- Create New Report: This menu allows you to create new reports.

The Administration tab displays the following sub-menus:

- User Attributes: This menu allows you to map and maintain the security attributes for each user role.
- Webservice Configuration: This menu 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 OFSCRR and includes the following topics:

- Compliance Regulatory Reporting Workflow
- Life Cycle of a Suspicious Transaction Report
- Creating a New STR
- Searching STRs
- Submitting an STR for Approval
- Setting Due Date of an STR
- Updating FRC Tracking Number
- Adding Comments to an STR
- Viewing an STR Excel
- Exporting the STR List to Excel

Compliance Regulatory Reporting Workflow

The following figure depicts the workflow of regulatory reports in OFSCRR:

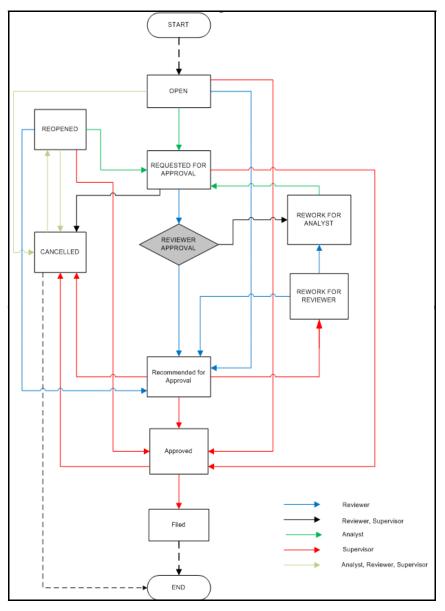


Figure 4. Compliance Regulatory Reporting Workflow

Life Cycle of a Suspicious Transaction Report

An STR is created in Compliance Regulatory Reporting as a result of the *Generate KE STR* action taken from within OFSFCCM or manual creation of a report from OFSCRR. When an STR is created in OFSCRR through OFSFCCM, the report details are auto-populated with information from the alert or case which triggered the generation of an STR.

Users mapped to the role of Analyst, Reviewer, or Supervisor can update the report details and submit the report details for approval. For more information on the status in which the reports are editable by these users, refer to *Table 4*. Supervisors can also edit and approve report details directly when the report is in Open, Requested for Approval, Recommended for Approval, and Reopened status. During the edit and review process, the STR is available to view as a draft Excel report.

For the complete list of actions an Analyst, Reviewer, and Supervisor can perform on various report statuses, refer to *Table 3*.

The Analyst user can update report details and request approval by the Reviewer. The Reviewer then validates the report information and can recommend approval by the Supervisor. Alternatively, the Supervisor can choose to act on the report directly when the report is in Requested for Approval status.

A Supervisor user can take actions such as approve, rework, cancel filing once the Analyst and Reviewer user have requested for approval and recommended for approval, respectively. Alternatively, the Supervisor can approve the reports in Open and Reopen status.

A Reviewer can rework on a report when it is in Requested for Approval status whereas a Supervisor can take rework action in Requested for Approval and Recommended for Approval status. If a report is sent for rework, an Analyst or a Reviewer must rework on the report and request/recommend the report again for approval. A reviewer can also send the report to an Analyst for rework when the report is in Rework for Reviewer status. This process continues until the report is approved or cancelled. For more information on reworking on STRs, refer to section, *Sending Reports For Rework*.

If the user determines that the STR must be filed with the regulatory authority, the user can take File action on the report. The OFSCRR generates the FRC Tracking number as well as the final STR that must be filed with the regulatory authority. For more information on marking STR as Filed refer to section, *Marking an STR as Filed*. The FRC Tracking number is essential for filing the STR with the regulatory authority. Submission of reports to the regulator occurs outside of OFSCRR.

If the user determines that the report need not be filed with the regulatory authority then authorized users can take Cancel Filing action on the report. The status of the report changes to Cancelled. Subsequently, the users can reopen cancelled reports if they must be filed with the regulatory authority.

For detailed explanation on user roles, refer to table Table 2.

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

Note: You cannot edit report details when the report is in *View Only* mode. You can add comments to an STR in all statuses.

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

If you try to take action on more than one report and some reports are locked by another user, the application displays the following message: *STR-01*, *STR-02* - *Report Name(s)* are locked by another user. Click OK to take action on the remaining reports or CANCEL to go back to the previous page.

If you try to take action on one or more than one report and all the reports are locked by another user, the application displays the following message: *All the selected reports are locked by another user. Please try again later.* The following table explains the report status in which users can take possible actions on the report, along with details of the resulting status.

If you try to open a report that is already opened by another user, the application displays the following message: *The* 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.

Report Status	Possible Action	Who Can Perform	Report Status Changes To		
Open	Request for Approval	Analyst 1,2,3,4	Requested for Approval		
	Approve	Supervisor	Approved		
	Recommend for Approval	Reviewer1,2	Recommended for Approval		
	Cancel Filing	Analyst 3,4, Reviewer 1,2, Supervisor	Cancelled		
Reopened	Request for Approval	Analyst 1,2,3,4	Requested for Approval		
	Approve	Supervisor	Approved		
	Recommend for Approval	Reviewer 1,2	Recommended for Approval		
	Cancel Filing	Analyst 3,4, Reviewer 1,2, Supervisor	Cancelled		
Requested for	Approve	Supervisor	Approved		
Approval	Rework	Reviewer 1,2, Supervisor	Rework for Analyst		
	Recommend for Approval	Reviewer 1,2	Recommended for Approval		
	Cancel Filing	Reviewer 1,2, Supervisor	Cancelled		
Recommend	Approve	Supervisor	Approved		
for Approval	Rework	Supervisor	Rework for Reviewer		
	Cancel Filing	Supervisor	Cancelled		
Approved	File	Supervisor	Filed		
	Cancel Filing	Supervisor	Cancelled		
Rework for Analyst	Request for Approval	Analyst 1,2,3,4	Requested for Approval		
Rework for Reviewer	Recommend for Approval	Reviewer 1,2	Recommended for Approval		
	Rework	Reviewer 1,2	Rework for Analyst		
Cancelled	Reopen	Analyst 2,4, Reviewer 1,2, Supervisor	Reopened		
Filed	Update FRC Tracking Number	Analyst 1,2,3,4, Reviewer 1,2, Supervisor	Filed		
Create New Report		Analyst 1,2,3,4, Reviewer 1,2, Supervisor	Open		

Table 3. Report Status and Possible Actions

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

	Edit Report Details*						
Status	Analyst	Reviewer	Supervisor				
Open	Х	Х	Х				
Reopened	Х	Х	Х				
Requested for Approval		Х	Х				
Recommended for Approval			Х				
Approved							
Rework for Analyst	Х	Х	Х				
Rework for Reviewer	Х	Х	Х				
Filed							
Cancelled							

Note: *Editing reports does not include addition of comments which can be done by any user in any status (except Auditor-1).

Creating a New STR

You can create a new STR either by manually creating a new report from OFSCRR or through OFSFCCM by taking **Generate KE STR** action on an Alert or a Case.

This section covers the following topics:

- Creating a New STR from OFSFCCM
- Creating a New STR from OFSCRR

Creating a New STR from OFSFCCM

When a user with appropriate access permission performs the **Generate KE STR** action on an alert or a case from OFSFCCM, the data is passed to OFSCRR through the web service and a new STR is created in OFSCRR.

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

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

		gn 🎭 Actions 👘 Disposition	😼 Email 🛛 🧠 Export 🕴 📷 Regulatory Reporting					
Alert ID S			Enter 1 ay Expert 1 are negatively reporting	Review	Evidence	🐴 Excel		
	Score	Focus	Scenario	Created	Status	Due	Owner	Linked Cases
<u>5332</u> 0	0	CU CUFTNETRSTCUO-01	FTN CU/EN - External	12/18/2013	Open	-	SUPERVISOR	0
<u>5333</u> 0		CU CUFTNITRSTCU-04	FTN AC/CU -Internal; HR Trans - HR Counter (2 12/18/2013	Open		SUPERVISOR	0
<u>5334</u> 0		CU CUHIDNRELSHIPCUCUHIDNRE		12/18/2013	Open	-	SUPERVISOR	0
<u>5335</u> 0	0	CU CUHIDNRELSHIPCUCUHIDNRE		12/18/2013	Open	-	SUPERVISOR	0
<u>5343</u> (0	CU CUMLDWSAFEN001	HR Trans - Focal HRE; HR Trans - HR Count (Open		SUPERVISOR	0
<u>5362</u> 0	0	AC ACINGESTCR25588-002	HR Trans - HR Counter Party; Journal Bet Un (Open		SUPERVISOR	0
<u>5373</u> 0	0	AC ACMLTERRORFINFAC-006	FTN CU/EN - External; HR Trans - HR Count (Open		SUPERVISOR	0
<u>5374</u> 0	0	AC ACMLTERRORFINFAC-007	FTN CU/EN - External; HR Trans - HR Count (2 12/18/2013	Open		SUPERVISOR	0
<u>5375</u> (0	AC ACSTRDVLUPRODTSAC-006	HR Trans - HR Counter Party; ML-Stored Val (» 12/18/2013	Open		SUPERVISOR	0
<u>5376</u> (0	AC ACTFORG-01	HR Trans - HR Counter Party; Terrorist Finan (» 12/18/2013	Open	-	SUPERVISOR	0
<u>5377</u> (0	AC ACTFSORG-01	HR Trans - HR Counter Party; Terrorist Finan (» 12/18/2013	Open	-	SUPERVISOR	0
<u>6246</u> (0	CU CUANOMATMSTCHCU-001	HR Trans - HR Counter Party	12/18/2013	Open	-	SUPERVISOR	0
<u>6328</u> (0	AC ACMLDWSAFAC005	HR Trans - HR Counter Party	12/18/2013	Open	-	SUPERVISOR	0
<u>6329</u> (0	AC ACANOMATMSTCHCU-002	HR Trans - HR Counter Party	12/18/2013	Open	-	SUPERVISOR	0
<u>6344</u> (0	AC ACANOMATMSTCHAC-001	HR Trans - HR Counter Party	12/18/2013	Open	-	SUPERVISOR	0
<u>6361</u> (0	AC ACCSHTRNSIGCU-002	HR Trans - HR Counter Party	12/18/2013	Open		SUPERVISOR	0
<u>6371</u> (0	AC ACANOMATMEXWDCU-02	HR Trans - HR Counter Party	12/18/2013	Open		SUPERVISOR	0

Figure 5. Alerts Search and List Page

2. Click Advanced Search. Select FR (Fraud), ML (Money laundering), or IML (Institutional Money Laundering) in the Scenario Class drop-down. Options for selecting a scenario class will depend on your current installation and user access to scenarios.

3. Select **AC** (Account), and **CU** (Customer) in the **Focus** drop-down. Options for selecting a Focus type will depend on your current installation and user access to scenarios. Select any additional desired filters, including modifying the Created From and To dates as needed.

Alers	Home Monitoring I	nvestigation Reports Regulatory F	Reporting Preferences	About				
Advanced Search & Vew & search > Representative Scenario Class: FMML & Scenario Class: Scenario Class: Scenario Class: Scenario Class: FMML & Scenario Class: Scenario Cla	Alorta							? Help
Created From: 1201/2012 Created To: 1223/2013 Created To: 1233/2014 Created To: 1233/2013 Created Te: 1233/201								
Organization: Scenario Class: FM.M. Scenario: Status: Score: Sc	Advanced Search 🔍	, Views ∣ 🔾 Search ∣ 🌙 Reset ∣ 🛱 G	io		27			
Scenario Class: R.M. Scenario Class: Scenario	Created From:	12/01/2012	Created To:	12/23/2013	>			
Status Scora: Jurisdiction: Registered Representative Type: Linked Cases: Closing Action: Den Date <<:	Organization:	~	Owner:	~				
Score: Sc	Scenario Class:	FR,ML 🗸	Scenario:	×				
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Search By Alert ID: Note: Search by Alert ID will ignore all other search criteria. Jump to Page 1 /1/4 《 ()) Alert List (320) Jump to Page 1 /1/4 《 ()) Created Status Diversity of the search criteria. Alert List (320) Our of the search criteria. Created Status Due Owner Linked Cases Expand All Expand All Expand All Created Status Due Owner Linked Cases S332 0 CU CUFTNITRSTCU-04 FTIN CU/EN - External 12/18/2013 Open - SUPERVISOR 0 S341 0 CU CUHRTRHRECU-001 HR Trans - HR Counter 21/18/2013 New - SUPERVISOR 0 S351 0 AC ACCHIMISEONUMACED011 Checks MIs - Sequential Number, HR Trans 20 12/18/2013 New - SUPERVISOR 0 S352 0 AC ACCIBPRODUTLSHAC-002 HR Trans -HR Counter Party, Journal Bet Um 20 12/18/2013 New - SUPERVISOR 0 <					-			
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		AC ACFTNETRSTACB01	FTN CU/EN - External	12/18/2013	New -	SUPERVISOR	0	
The Supervision of the State of	□ 5357 0	AC ACFTNETRSTAC001	FTN CU/EN - External; HF	R Trans - HR Count 🗵 12/18/2013	New	SUPERVISOR	0	+

Figure 6. Alerts Advanced Search

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

itoring Actions - Windows Ir	ernet Explorer	
Selected Alerts:	351,5352,5353	2.1
Choose Action:	Senerate EG STR	
Reassign:	•	Auto Assignment
Set Due Date:		
Suppression End Date:		
Suppression Condition:	v v	
Standard Comments:	×	
Comments:	Senerate Report.	
		3984
		5504
	Save Save and Attach Reset Cancel	

Figure 7. 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 KE STR** action was taken is displayed in the RR Search and List page.

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

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

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

Home Monitoring	Investigation	Reports Regulat	ory Reporting Pre	eferences Al	oout						
Cases											? He
🗄 Views 🔍 Search	n 🕵 Advanced Sea	ırch 🛛 🔍 Views:	Cases Assigned to	Me 👻							
Case List (23)					Ji	Imp to Page []			1/2	« < > »	
🚪 Expand All 🛛 📑 A	ssign 🛛 🖪 Reopen	Escalate 🛛 📆	Resolution 🥨 Re	eview 💭 Mon	itor 🌼 Du	e Date 🏥 Evidenc	e 🛛 😼 Email 🛛 🚳 Ex	port 🛃 Excel			
🟝 📄 Case ID	Title	Туре	Subtype	Due Date	Priority	Status	Owner	Assigned To	Linked Alert	Linked Cases	Crea
CA900101	ML-Stored Val 🔊	Anti-Money La	🔊 Enhanced Du	»)	\varTheta High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/19
CA600105	test	Fraud	Employee Fraud	-	\varTheta High	Investigation	SUPERVISOR	SUPERVISOR	2	0	12/11
CA600104	test	Anti-Money La	ML Surveillance	-	\varTheta High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/11
CA600103	test	Anti-Money La	ML Surveillance	-	\varTheta High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/11
CA400107	HR Trans - H 🔊	Anti-Money La	Enhanced Du		\varTheta High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/10
CA400105	CA_4157_415 🔊	Anti-Money La	Enhanced Du		\varTheta High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/10
CA400106	CA_4157_415 🔛	Anti-Money La	Enhanced Du	»»	\varTheta High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/10
CA400104	CA_4157_415 🔊	Anti-Money La	Enhanced Du	»»	\varTheta High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/10
CA300136	ecm status	Fraud	Account and P	»	\varTheta High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/09
CA300137	ecm status	Fraud	Account and P		\varTheta High	Investigation	SUPERVISOR	SUPERVISOR	1	0	12/05
CA300135	ecm status	Fraud	Account and P	»»	\varTheta High	New	SUPERVISOR	SUPERVISOR	1	0	12/09
CA300124	HR Trans - H 🔊	Anti-Money La	Enhanced Du		\varTheta High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/05
CA300123	Checks Mis 🔊	Anti-Money La	Enhanced Du		\varTheta High	File EG STR	SUPERVISOR	SUPERVISOR	1	0	12/05
CA700101	Correlated Ale	Anti-Money La	ML Surveillance	-	O Low	New	TestOrgB	SUPERVISOR	2	0	12/13

Figure 8. Cases AML/Fraud Search and List Page

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

Investigation Actions - Windows	Internet Explorer	
		? Help *
Selected Cases:	CA300135	
Select Action:	Generate EG STR 🖌	
Reassign Ownership To:		
	Auto Assignment	
Assign To:	·	
Set Due Date:		
Standard Comments:		*
Comments:	Generate Report.	
		3984
	Save Save and Attach Cancel	Ŧ

Figure 9. 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 KE STR action was taken is displayed in the RR Search and List page.

Note: You can also perform the Generate KE 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 OFSCRR will send all the status updates to OFSFCCM. If the status is set to **N**, then OFSCRR will not send any status updates to 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, OFSCRR 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 KE STR action, then the failure is recorded in the Alert Or Case Audit History.

Creating a New STR from OFSCRR

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

Note: Users mapped to the role of Analyst 1, 2, 3, 4, Reviewer 1, 2, and Supervisor can create a new regulatory report.

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

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

Or

2. Click Create New report in the RR Search and List page. The Create New Report container is displayed.

Report Name*	Alert/Case ID*	
Type of STR Kenya STR	Amribute 1*	
Attribute 2	Attribute 3	
Attribute 4	Attribute 5	
Created Date 23-05-2014	Created By FCCM Supervisor	

Figure 10. Create New Report

3. Enter the desired 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:

Fields	Description						
Report Name	Enter a name for the report being created. This is a mandatory field.						
Alert / Case ID (Report No)	Enter the Alert/Case ID associated with the suspicious transaction. This field is a mandatory field.						
Type of STR	This field is auto-populated with the report type as Kenya STR. This is a mandatory field.						
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. 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 5. 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. This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. This field cannot be edited.

- 4. Click **Save**. The following confirmation message is displayed: <> Report created successfully. Click Ok to view the report details or Cancel to create more reports.
- 5. 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*.

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, 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 Basic Search
- Searching Reports Using Advanced Search
- Searching Reports Using Pre-defined Views

Searching Reports Using Basic 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 search components, follow these steps:

1. Navigate to the Compliance Regulatory Reporting Search and List page.

	ting >> Kenya STR >> Set											
	news 🙀 Advanced S		I 📫 Go									
	Report Number	r				Report Na	me				Report Status	×
	Alert/Case IE					Subject Na	me				FRC Tracking Number	
	Created By	1		~		Created Date				- >	Created Date <=	— >
	Jurisdiction			~		Due Date				2	Due Date <-	— >
Regulatory Rep												
Unwrap 🔀	Create New Report											
🔄 Report #	Report Name		Subject Names		Created Date	Created By	Due Date	Status	Regulatory Report	Zip File		
17	4011-05222014180	Jan 4011	Surname (or name of Ent	JE 1	22-05-2014	SUPERVISOR	25-05-2014	Filed		D		
E 14	test1	56541	-	0			Ø 25-05-2014			0		
329	CA1600127-05232		Surname (or name of Entity	1			0 26-05-2014			D		
250	CA1600116-05232		SUNNY	1	23-05-2014		Ø 26-05-2014		8	D		
324	CA1600122-05232		Approve	1	23-05-2014	SUPERVISOR	0 26-05-2014	Filed		TI .		
231	CA1600115-05232		Sumame (or name of Ent	i 1			0 26-05-2014	Filed	8	D		
544	7328-05232014122		ROGER	1			0 26-05-2014		25	D		
335	CA1600137-05232		Surname (or name of Entity	1			Ø 26-05-2014			D		
491	5669-05232014122		ROMAN	1			9 26-05-2014		8	0		
417	5562-05232014122		BROWN	1			26.05-2014		26	01		
535	6095-05232014122		ROADS	1			9 26-05-2014		8			
E 51	4014-05232014091		LENDLE	1			26-05-2014		E.	U		
708	REPRINMAE_TES	REPRIM	39 -	0	23-05-2014	FCCM Supervi	26-05-2014	Open	25			

Figure 11. Searching Reports with Search Components

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 to *Table 6*.
- 3. Click Go. The relevant search list is displayed.

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

Searching Reports Using Advanced Search

The Advanced Search offers the same search fields as provided for a simple search along with additional fields. If you know any of the report details such as approver details, last modified details, account details, 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 the Compliance Regulatory Reporting Search and List page.
- 2. Click Advanced Search from the search bar.

me Monitoring	Investigation	Research Regi	ulatory Reporting Reports	Preferences	About							
igulatory Reporting	» Kenya STR » Sea	rch and List										
Advanced Search	🛃 Save as View	📆 Views 🛛 🔍 Se	rarch 🌙 Reset 📫 Go									
	Report Number					Report N	lame				Report Status	×
	Alert/Case ID					Subject N	lame				FRC Tracking Number	
	Created By			~		Created Dat	te >=			e 🎽	Created Date <=	= >
	Jurisdiction			v		Due Da	te >=				Due Date <=	. >
	Last Modified By			*		Last Modified Da	te >=				Last Modified Date <-	🐷 D
	Approved By			~		Approve Dat	te >=				Approved Date <=	
	Filed By			*		Filed Dat	te >				Filed Date <-	
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17 40	011-05222014180		Sumame (or name of Ent	i 1	22-05-2014	SUPERVISOR	8 25-05-2014	Filed		10		
Report # Re		Alert/Case ID	Subject Names		Created Date		Due Date	Status	Regulatory Rep			
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E 322 C	A1600127-05232	a CA1600127	Sumame (or name of Entity	1	23-05-2014	SUPERVISOR	Ø 26-05-2014	Filed	25			
E 250 C	A1600116-05232	CA1600116	SUNNY	1	23-05-2014	SUPERVISOR	O 26-05-2014	Filed	2	1		
	A1600122-05232		Approve	1	23-05-2014	SUPERVISOR	O 26-05-2014	Filed	25	1		
	A1600115-05232		Sumame (or name of Ent	1	23-05-2014	SUPERVISOR	O 26-05-2014	Filed	E	10		
too Manage			ROGER	1		SUPERVISOR	Ø 26-05-2014					
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335 C 491 56 417 55 535 60	328-05232014122 A1600137-05232 A1600137-05232 A1600137-05232 A1600137-05232014122 S562-05232014122 D15-05232014122 D15-05232014012 D14-05232014091 D14-05232014001 D14-05232014001 D14-05232014001 D14-05232014001 D14-05232014001 D14-05232014001 D14-05232014001 D14-05232014001 D14-05232014001 D14-0520140000000000000000000000000000000000	E CA1600137 E 5669 E 5562 E 6095	Sumame (or name of Entity ROMAN BROWN ROADS	1 1 1 1	23-05-2014 23-05-2014 23-05-2014 23-05-2014	SUPERVISOR SUPERVISOR SUPERVISOR SUPERVISOR	 26-05-2014 26-05-2014 26-05-2014 26-05-2014 26-05-2014 	Filed Open Open Open	N N N N			

Figure 12. Advanced Search

3. Enter the search components to filter the reports.

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

Table 6. Components of RR Advanced Search Bar

Criteria	Search Component of Advanced/Basic Search	Description
Report Number	Basic Search	Enter the Report number in the text field to search for details of the exact report. This field supports wildcard search.
		You can enter a maximum of 50 characters in this field beyond which the application displays the following message: <i>Number of characters exceeded.</i>
Report Name	Basic Search	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 enter a maximum of 50 characters beyond which the application displays the following message: <i>Number of characters exceeded.</i>

Criteria	Search Component of Advanced/Basic Search	Description
Report Status	Basic Search	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for Report status drop-down list: • Select All • Approved • Cancelled • Open • Recommended for Approval • Reopened • Requested for Approval • Rework for Analyst • Rework for Reviewer • Filed This field allows searching of reports with multiple options selected.
Alert/Case ID	Basic Search	Enter the Alert or Case ID to display reports with the selected Alert or Case ID. You can perform a multiple Alert or Case ID search by entering a string of comma-separated values in this field. This search is case-sensitive and allows you to enter a maximum of 255 characters. An Alert or Case ID is the identifier that has triggered the creation of report in OFSCRR from OFSBDF.
Subject Name	Basic Search	Enter the subject name in this field to display all the reports where the entered name is the subject. This field supports a wildcard search and allows you to enter a maximum of 220 characters. You can use the % and _ as wildcard indicators.
FRC Tracking Number	Basic Search	 FRC Tracking number is a unique number assigned to an STR. This information is updated in the OFSCRR application while marking the report as Filed and is mandatory while re-submitting an amended/supplemental report. Enter the FRC Tracking number to display reports that have the specified FRC Tracking number. You can perform multiple search by entering a string of comma-separated values in this field. This field allows you to enter a maximum of 255 characters.
Created By	Basic Search	Select the user who has created the report from the drop-down list. This field allows searching of reports with multiple options selected.

Criteria	Search Component of Advanced/Basic Search	Description
Created Date >=	Basic Search	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.
Created Date <=	Basic Search	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date.
		Validations:
		 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</i> a 'Created Date <=' which is equal to or greater than 'Created Date >='.
		 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</i> <i>earlier than or equal to sysdate.</i>
Jurisdiction	Basic Search	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.
Due Date>=	Basic Search	Select the due date from the calendar to display reports having due date greater than or equal to the specified date.
		 Validations: 1. If you enter a a date in 'Due Date <=' which is prior to the date entered in 'Due Date >=', the application displays the following message: 'Due Date <=' is prior to the date entered in 'Due Date >='.
		 The application considers the 'Due Date <=' as system date if only the 'Due Date >=' is mentioned.
Due Date<=	Basic Search	Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date.
		Validations: 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>

Criteria	Search Component of Advanced/Basic Search	Description	
Last Modified By	Advanced Search	Select the user who has last modified the report from the drop-down list. This field allows searching of reports with multiple options selected.	
Last Modified Date >=	Advanced Search	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to t specified date. You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.	
Last Modified Date <=	Advanced Search	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:	
		 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 >='. 	
		 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</i> <=' which is earlier than or equal to sysdate. 	
Approved By	Advanced Search	 Select the name of the approver to search for reports approved by the selected user. This field allows searching of reports with multiple options selected. 	
Approved Date >=	Advanced Search	Select the approved date from the calendar to display reports having an approved date greater than or equal to the specified date.	
Approved Date <=	Advanced Search	Select the approved date from the calendar to display reports having an approved date lesser than or equal to the specified date.	
		Validations:	
		 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</i> <i>an 'Approved Date <=' which is equal to or greater than</i> <i>Approved Date >=.</i> 	
		 If you enter a value in 'Approved Date <=' greater than the system date, the application displays the following message: Please enter an 'Approved Date <=' which is earlier than or equal to sysdate. 	
Filed By	Advanced Search	Select the name of the user from the drop-down list options to search for reports submitted by the selected user. This field allows searching of reports with multiple options selected.	

Criteria	Search Component of Advanced/Basic Search	Description
Filed Date >=	Advanced Search	Select the filed date from the calendar to display reports having filed date greater than or equal to the specified date.
Filed Date <=	Advanced Search	Select the filed date from the calendar to display reports having filed date lesser than or equal to the specified date.
		Validations:
		 While performing a range search, if you enter a value in 'Filed Date <=' less than 'Filed Date >=', the application displays the following message: Please enter a 'Filed Date <=' which is equal to or greater than "Filed Date >='.
		 If you enter a value in 'Filed Date <=' greater than the system date, the application displays the following message: <i>Please enter a 'Filed Date <=' which is earlier</i> <i>than or equal to sysdate.</i>
Account Number	Advanced Search	Enter the account number to display reports where the specified account number is the beneficiary account number or the originator account number of all the transaction involved. You can perform multiple search by entering a string of comma-separated values in this field.
		This field allows you to enter a maximum of 255 characters.
Account Name	Advanced Search	Enter the name of the account holder to display reports where the specified name is the beneficiary or originator of all the transactions involved.

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*.

Saving as 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 dropdown list.

To save a view, follow these steps.

- 1. Navigate to the Compliance Regulatory Reporting Search and List page.
- 2. Click Advanced Search.
- 3. Enter the search criteria you want to save as view.
- 4. Click Save as View. The Save as View window is displayed.

🏉 Save As View ·	- Windows Internet Explorer	X
View Name		*
View Details*		
	Save Clear Close	
		-

Figure 13. Save as View Popup

5. Enter the view name and view details.

The View Details box in the **Save as view** 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 this box, the following message is displayed: *Number of characters exceeded*.

- 6. Click Save. The following message is displayed: Add Operation Successful.
- 7. 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 other users.

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 the Compliance Regulatory Reporting Search and List page.

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

2. Click Views from the search bar.

/iews		•	Q Search 1 [3]	Advanced Search							
legulatory	Reviewer: Critical for Action Reviewer: Critical for Approval										
Departage 2	Supervisor: Critical for Approval Supervisor: Critical for Filing		47								
Repor	Open/ Reopened/Rework Reports Last Modified b	¢	Supervisor: Critical f	or Approval Diects	Created Date	Created By	Due Date	Status	Regulatory Report 2	p File	
	Reports Awaiting Approval Reports Filed in Last 3 Months		ne (or name of Ent			SUPERVISOR	0 25-05-2014	Filed	8	DI	
11.14	Reports Nearly Due			0	22-05-2014	KESUPERVISOR	0 25-05-2014	Open	8		
329	Reports Overdue	suman	ne (or name of Entity	1	23-05-2014	SUPERVISOR	9 26-05-2014	Filed	12	EJ	
250	CA1600116-05232 III CA1600116	SUMM	t.	1	23-05-2014	SUPERVISOR	O 28-05-2014	Filed	20	D	
324	CA1600122-05232 I CA1600122	Approv	6.)	1	23-05-2014	SUPERVISOR	0 28-05-2014	Filed	×	D	
231	CA1600115-05232. E CA1600115	Suman	ne (or name of Ent	(iii) 1	23-05-2014	SUPERVISOR	0 26-05-2014	Filed	8	D	
544	7328-05232014122 m 7328	ROGER	2	1	23-05-2014	SUPERVISOR	@ 26.05-2014	Filed	14	11	

Figure 14. Views Search

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 default pre-defined views available.

Views	Description
Reports Awaiting Approval	Select Reports Awaiting Approval from the drop-down list to display the list of reports in <i>Requested for Approval</i> or <i>Recommended for Approval</i> status.
	For Reviewer and Analyst users, this view displays reports that are in <i>Request for Approval</i> status and for Supervisor this view displays reports that are in <i>Recommend for Approval</i> status.
	Note: Users will be allowed to take action on the Reports Awaiting Approval based on the user role, actions and status mapping.
Open/ Reopened/Rework – Reports Last Modified by Me	Select Open/ Reopened - Reports Last Modified by Me from the drop-down list to display reports in Open/Reopened/Rework status for which the logged in user is the last modifier. This option is the default view for an Analyst user.
Reports Nearly Due	Select Reports Nearly Due from the drop-down list to display the reports that are approaching their due dates. The Nearly Due date is defined as 1 day from the due date or all the reports in which due date is System date +1. Reports which are nearly due are highlighted in <i>Yellow</i> color.
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 <i>Red</i> color.

Table 7. Pre-defined Views

Table 7. Pre-defined Views

Views	Description
Reports Filed in Last 3 Months	Select Reports Filed in Last 3 Months from the drop-down list to display reports that were filed in the last 3 months. The reports are displayed in ascending order of the Submitted Date and is the default view for reviewer.
Reviewer: Critical for Approval	Select Reviewer: Critical for Approval from the drop-down list to display reports which are nearly due in Requested for Approval or Rework for Reviewer status.
Reviewer: Critical for Action	Select Reviewer: Critical for Action from the drop-down list to display all the reports which are nearly due in Open, Reopen or Rework for Analyst status.
Supervisor: Critical for Approval	Select Supervisor: Critical for Approval from the drop-down list to display all the reports which are nearly due in Recommend for Approval status.
Supervisor: Critical for Submission	Select Supervisor: Critical for Submission from the drop-down list to display all the reports which are nearly due in Approved status. This option is the default view for a Supervisor user.
All saved views by user	Select any of the views that you have created and saved using the Save as View button to display reports as per the view selected. For more information, refer to section <i>Saving as Views</i> . The saved view is available only to the user creating the view and will not be available to other users.

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details
- Taking Actions on STR

Entering Report Details

The Report Details page allows users mapped to the role of Analyst, Reviewer, and Supervisor to enter or update report information depending upon the report status. For more information on the status in which the reports are editable, 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 the following sections:

- Report Context
- Managing Reporting Institution/Officer Tab
- Managing Subjects Tab
- Managing Suspicious Activity Information Tab
- Managing Documents Tab
- Viewing Audit Information

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.



Figure 15. Report Context

The report context includes the following information:

- Report Number
- Report Name
- Report Status
- Alert/Case ID
- Jurisdiction
- Due Date
- Created By

- Last Modified By
- Approved By
- Created Date
- Last Modified Date
- Approved Date
- FRC Tracking Number
- Prior FRC Tracking Number

Managing Reporting Institution/Officer Tab

This tab refers to the Particulars of the Reporting Institution section (shown below) in the final STR.

2. Name of Reporting Instit	ution	Bank of Kenya					
3, Address and contact of H	ddress and contact of Head Office						
Physical	#1292, 6th Cross 1st Stage 2nd Phase Bangalore						
Postal	Global Axis						
Telephone	2345						
Email	larry.ell	ision@oracle.com					
Fax	21345						
4 Address and southest of P							
Physical	Branch(e NEW YO	s) where activity / transaction occurred RK					
	NEW YO						
Physical	NEW YO	GTON AVE BRANCH					
Physical Postal	NEW YC KENSIN 1000001	GTON AVE BRANCH					

Figure 16. Reporting Institution/Officer Information in Final STR

The Reporting Institution/Officer tab is the default tab selected when you navigate to the Report Details page. This tab details the information about the bank or the officer reporting the STR.

The information in this tab is segregated into the following sections:

- Information about money laundering reporting officer
- Information about the reporting institution
- Branch details where the activity or transaction occurred

sport Context						
 Report Number 	er 250			Report Name CA1500116-05232014093038		Report Status Filed
Reporting Institution/Officer	Sobjects Suspicious Activity Information	Documents	Audit			
Part V: Information about Money	v Laundering Reporting Officer					
	25. Name* 3 4 5			2	26. Position/Title in the Reporting Institution*	123456
Part & Particulars of the Reportin	ing Institution					
1. Report Type") Initial Report					Prior FRC Tracking Number	
	 Report Type" Initial Report 				Prior Pro, Tracking munuter	
2, 3. Name of Reporting in	nstitution, Address & Contact of Head Office				Pole Pro, Linckerg messare	
2, 3. Name of Reporting In	estitution, Address & Contact of Head Office 2. Name of Reporting Institution* Back of N		Phase Bannifore		The Inc. Hacking months	
2, 3. Name of Reporting In	nstitution, Address & Contact of Head Office	h Cross 1st Stage 2nd I	Phase Dangafore		. Pitel 195, 116, rong musiker	
2, 3. Name of Reporting in	estitution, Address & Contact of Head Office 2. Name of Reporting Institution* Early of N 3. Physical #1292, 61	h Cross 1st Stage 2nd) Is-TYpe	Phase Dangafore			mail manchurd@sradi.com
🗐 2, 3. Name of Reporting in	Institution, Address & Contact of Head Office 2. Name of Reporting Institution* Bark of N 3. Physical #1292, 61 3. Postal Global Av	h Cross 1st Stage 2nd) Is-TYpe	Phase Dangafore			
	estitution, Address & Contact of Head Office 2. Name of Reporting Institution* Bark of N 3. Physical #1202.01 3. Postal Global M 3. Telephone 9070543	h Cross tst Stage 2ndi IS-TYpe	Phase Dangafore			
	Institution, Address & Contact of Head Office 2. Name of Reporting Institution" Back of N 3. Physical #1220; 3. Personal #1220; 3. Telephone 987643 3. Fax 56432	h Cross tst Stage 2ndi IS-TYpe	Phase Bangafore			

Figure 17. Reporting Institution/Officer Tab

The following table explains the fields in Reporting Institution/Officer tab.

Table 8. Fields in Reporting Institution/Officer Information Tab

Fields	Description	
Name	Select the name of the officer reporting the suspicious transaction from the drop-down list. The position of the reporting officer in the reporting institution is auto-populated in the <i>Position/Title in the Reporting Institution</i> field on selection of the name of the reporting officer. If "Name" is missing in Reporting Institution/Officer tab, the application displays the following message: <i>Please enter Name of Reporting Officer as it is a mandatory field</i> .	
Position/Title in the Reporting Institution	Displays the position of the reporting officer in the reporting institution. This field is auto-populated and is non-editable.	
Report Type	 Select the report type from the drop-down list. Following are the possible values: Initial Report: Select Initial report from the drop-down list if you are submitting the report to the Financial Reporting Centre (FRC) for the first time. 	
	• Amended Report: Select Amended Report from the drop-down list if the report was previously submitted to FRC, but is being resubmitted with modifications to correct the earlier provided information. An amended STR must reference the previously submitted STR by virtue of the FRC Tracking number of the previous STR.	
	• Supplemental Report : Select Supplemental Report from the drop-down list if a report was previously submitted to FRC but is being resubmitted to provide additional information relative to the behavior that had previously been reported. A supplemental report must reference the previously submitted STR by virtue of providing the FRC tracking number of the previous STR.	
	If the Report Type is missing in Reporting Institution/Officer tab, the application displays the following message: <i>Please enter Report Type as it is a mandatory field.</i>	
Prior FRC Tracking Number	Enter the prior FRC tracking number. Prior FRC tracking Number is the FRC number of the previous report for which an amended or supplemental report is being filed. This field is enabled only when the report type is amended or supplemental. You can enter a maximum of 50 characters in this field.	

Table 8.	Fields in	Reporting	Institution/Officer	Information	Tab
	1 10100 111	reporting		mornation	IUN

Fields	Description
Name of Reporting Institution	Select the name of the reporting institution from the drop-down list.
	On selection of this field, the fields Physical, Postal, Telephone, E-mail and Fax are auto-populated and non-editable. If "Name of Reporting Institution" is missing in Reporting Institution/Officer tab, the application displays the following message: <i>Please enter Name of Reporting Institution as it is a mandatory field.</i>
Physical	Displays the physical address of the reporting institution head office.
Postal	Displays the postal address of the reporting institution head office.
Telephone	Displays the telephone number of the reporting institution head office.
E-mail	Displays the e-mail address of the reporting institution head office.
Fax	Displays the fax number of the reporting institution head office.
Branch Name	Displays the name of the branch where activity occurred. The Branch physical address is auto-populated based on the branch name selected.
Branch Physical Address	Displays the address of the branch where activity occurred. This information is not displayed in the final report.

Branch Details

The Reporting Institution/Officer tab allows you to view, add, and delete the branch details where the suspicious transaction occurred.

Viewing Branch Details

To view information about the branch reporting the suspicious activity, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the **Reporting Institution/Officer** tab.

A list of branch details of the financial institution where the suspicious activity occurred is displayed in the Address and Contact of Branch(s) Where Activity/Transaction Occurred grid.

3. Select the check box at the beginning of the branch record row or click anywhere in the row to view the branch details.

Report Context		
+ Report Num	nber 250	Report Name CA1500115-05232014093038 Report Status Filed
Reporting Institution/Officer	Subjects Suspicious Activity Information Documents Audit	
Part V: Information about Mon	ey Laundering Reporting Officer	
	25.Name* 3.4.5	26. Position/Title in the Reporting Institution* 123455
Part I: Particulars of the Repo	orting Institution	
And a construction of the second	1. Report Type* 7 Initial Report	Prior FRC Tracking Number –
2, 3. Name of Reporting	a Institution, Address & Contact of Head Office	
	I. Hame of Reporting Isstitution* Early of Maintia J. Repart # 2722, 407 Donas to Stage 2nd Phase Bangalor A. Peteral Global Anii-Trige The Updown B 817551 J. Res 50432 anch(s) where Activity/Transaction Occurred* (1) 1 []] street ap	ze 3. Eenal markhurdijorade com
A Record #	Branch Name	Branch Physical Address
(2) 1	LINDSAY PORT BRANCH1	WhiteField
E Branch Details		

Figure 18. Viewing Branch Details

You can use Field Chooser to add additional fields to the Address and Contact of Branch(s) where Activity/Transaction Occurred. Branch Postal Address, Telephone, E-mail, Fax are available as Field Chooser options.

Adding Branch Details

To add branch details, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the Reporting Institution/Officer tab.
- Click Add from the Address and Contact of Branch(es) where Activity/Transaction Occurred grid. The Add Branch container expands below Address and Contact of Branch(es) where Activity/Transaction Occurred grid.

Report Numi	ber 417				Report Name 5562-05232014122244		Report Status Open	
Reporting Institution/Officer	Subjects So	Leepcous Activity Information	Documenta	Audit				
Part V: Information about Mone	ey Laundering Reports	ing Officer						Validate 🖬 Saver 🎝
		25. Name*				26. Position/Title in the Reporting Institution*		
Part I: Particulars of the Repor	rting Institution							
	1. Re	eport Type* 7 Initial Report				Prior FRC Tracking Number	Statis when Report type is anivolated or sugglimental	
2, 3. Name of Reporting	institution, Address &	& Contact of Head Office						
		2 Contraction of the second second						
	2. Name of H	Reporting Institution*						
	2. Name of F	3. Physical						
	2. Name of I	3. Physical 3. Postal						
	2. Name of I	3. Physical 3. Postal 3. Telephone				3.64	mail	
	2. Name of I	3. Physical 3. Postal				3.64	mail	
		3. Physical 3. Postal 3. Telephone 3. Fax				3.64	mail	
	nch(s) where Activity'	3. Physical 3. Postal 3. Telephone 3. Fax	Smwrap 1 🗂 Add	emove			mail	
Record #	nch(s) where Activity'	3. Physical 3. Postal 3. Telephone 3. Fax	Unwrap 123 Add	l 🧔 Remove		3, E4 Branch Physical Address	est	
Record # Io Data Found	nch(s) where Activity'	3. Physical 3. Postal 3. Telephone 3. Fax	Streerap 📇 Add	l 🧔 Remove			nal	
Record # Io Data Found	nch(s) where Activity'	3. Physical 3. Postal 3. Telephone 3. Fax	Unwrap 🗂 Add	l 👩 Remove			mat	
Record # o Data Found	nch(s) where Activity'	3. Physical 3. Postal 3. Telephone 3. Fax	Sinwrap 1 🗂 Add	l 🗑 Remove			nat	🖬 fare 🐊 Ausei 🐻
, Record # o Data Found J Add Branch	nch(s) where Activity'	3. Physical 3. Postal 3. Telephone 3. Fax «Transaction Occurred" (0) / []] Dranch Name	Umwrap 📇 Add	l 🙆 Remove			nut	Mare Davet 2
Record # to Data Found J Add Branch	inch(s) where Activity'	3. Physical 3. Postal 3. Telephone 3. Fax «Transaction Occurred" (0) / []] Dranch Name	Unwisp 1 📇 Add	l 🧿 Remove			nat	🗑 lare 2 finet 👸
, Record # o Data Found J Add Branch	inch(s) where Activity'	3. Physical 3. Postal 3. Telephone 3. Fax (Transaction Occurred" (0) []] Dranch Name	Sinwrap 📇 Add	1 🕢 Remove			nut	E fare d foret 6
lo Data Found J Add Branch	nch(s) where Activity D Branch where activity	3. Physical 3. Postal 3. Tesignore 3. Fax (Transaction Occurred" (0) []] y occurred" ? 4. Physical	Umwrap 📇 Add	I 🗑 Remove			nat	Stare Staret 2

Figure 19. Add Branch

The following table explains the fields in the Add Branch container:

Table 9. Fields in Add Branch Container

Fields	Description
Branch where activity occurred	Select the name of the branch where the suspicious activity occurred. The values in the drop-down list display the Branch Names prefixed by country code. All the branches are arranged in ascending order of country.
	The fields Physical, Postal, Telephone, E-mail, and Fax are auto-populated based on the branch name selected. If "Branch where activity occurred" is missing in Reporting Institution/Officer tab, the application displays the following message: <i>Please select a value for "Branch where activity Occurred" drop down before saving.</i>
Physical	Displays the physical address of the branch where the suspicious activity occurred.
Postal	Displays the postal address of the branch where the suspicious activity occurred.
Telephone	Displays the telephone number of the branch where the suspicious activity occurred.
E-mail	Displays the e-mail address of the branch where the suspicious activity occurred.
Fax	Displays the fax details of the branch where the suspicious activity occurred.

- 4. Enter the required information in the Add Branch container. For more information on the fields in the Add Branch container, refer to *Table 9*.
- 5. Click Save. The following message is displayed: Add Operation Successful.
- 6. Click **OK**. The branch details are displayed in the Address and Contact of Branch(es) Where Activity/Transaction Occurred grid.

Note: You cannot edit the branch details once saved. To edit the branch details, you must delete the record you want to modify and create a new branch record.

Deleting Branch Details

To delete branch details, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the Reporting Institution/Officer tab. The Address and Contact of Branch(es) where Activity/Transaction Occurred grid lists all the branches involved in the suspicious transaction.
- 3. Select the checkbox of the branch you want to delete.
- 4. Click Remove. The following message is displayed: Are you sure you want to remove this record.
- 5. Click OK. The following message is displayed: Record removed successfully.
- 6. Click **OK**. The record is removed from the Address and Contact of Branch(es) where Activity/Transaction Occurred grid.

If you click Request for Approval/Approve/ Recommend for Approval and if the mandatory fields such as Name of Reporting Institution, Branch where activity occurred and Name of Money Laundering Reporting Officer are missing in Reporting Institution/Officer tab, the application displays the following message: *Please Validate on Reporting Institution/Officer tab for details of missing required information*.

If you click Validate and if there is no data in Reporting Institution/Officer tab, the application displays the following message: *There is no data available to Validate the information*.

Managing Subjects Tab

This tab refers to the Information about Person(s) or Entity engaging in Suspicious Activities (shown below) in the Final STR Excel.

Part II Information about	Person(s) or En	tity engaging in Sus	picious Activities
5. (a) Surname (or nar	me of Entity)	sssEntity	
(b) First Name		-	
(c) Middle Name		-	
6. Postal & physical address in Postal	5567	ence	
Physical	Entity		
7. Date of Birth/Incorporation	(DD/MM/YY)	02/05/14	
8. Identification document	National ID Car	d	
Identification document No	o 134Entity		
9. Occupation or Business	Entity		
10. Identity verified by (where appl	Passport	x Certificate	Other (Specify)
ID Card		of Incorporation	
If other, specify			
Date & Place issued	16/05	5/14,Entity	
11. Relationship to the report Other (Specify)	ing institution	Agent	
12. (i) Is the person(s) still aff	iliated with the re	eporting institution?	No
If No, specify Suspend			
Date of resignation, suspe	nsion, terminatio	on (DD/MM/YY) 09/05,	/14

Figure 20. Subject Information in Final STR

The Subject tab displays the subject details as fetched from an alert or a case. A Subject can be classified into two types namely, Person and Entity. Select the Subject type as *Person* if the entity being reported on is an individual and select the Subject type as *Entity* if the entity being reported on is a legal entity.

In Add/Edit Subject mode, if you try to change the Subject Type from person to entity, the application displays the following message: *You will lose First Name and Middle Name values if you change the Subject Type. Click OK to continue or Cancel to go back to the page.*

The Validate button in the Subjects grid validates the information for all the records in the Subjects grid, whereas the Validate button in the Subject Details validates the information for individual records.

In this tab, you can add new subjects, update subject details, and remove subjects.

If there any mandatory fields missing in the Subjects tab, the application displays the following message: 1,2 - Records are missing required information. Please make sure that you have provided values for Surname (or name of Entity), Identification document, Identification document Number, Relationship to the Reporting Institution and Is the person(s) still affiliated with the Reporting Institution fields.

If you click Request for Approval/Approve/Recommend and if there are any mandatory information missing, the application displays the following message: *Please Validate on Subjects tab for details of missing required information*.

Subjects (1) 💹 Unw	rrap				
Record #	Person/Entity Name	Subject Type	Occupation or Business	Relationship to the Reporting Institution	Is the Person still affiliated with the Reporting Institution?
E 1	Sumame (or name of Entity Sumame (or n_	Person	Dusiness Dusiness Dusiness Dusines	im Employee	No

Figure 21. Subjects Tab

Viewing Subject Details

To view the subjects involved in the report, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the Subjects tab.

The list of subjects involved in the suspicious transaction are displayed.

3. Select the checkbox at the beginning of a subject record row or click anywhere in the row to view the subject details.

	Person/Entity Name	Subject Type	Occupation or Business	Relationship to the Reporting Institution	Is the Perso	on still affiliated with the Reporting Institution	17
21	BROWN	Person	-		No		
							NG Validate 1 Save 2 Res
				Type* 7 G Person C Entity			
			stopect	ryper (Person (Entry			
Part It Information a	about Person(s) or Entity engaging in Suspicious Activiti	es					
	5. (a) Surname (or name of Entity)* 7	BROWN					
	5. (b) First Name Y	IOSAPH			5. (c) Middle Name 7	SINGH	
		08-04-1969		1 D	9. Occupation or Business 🝸		
	8. Identification Document*				Identification Document Number*		
	rysical Address in Country of Residence						
C 6. Postal and Phy							
	Postal Physical		VERS, SUITE 1029, APT 130, SECTION 130, A	REA 130, GRID 130, ALEXANDRIA, VA, US, 22303			
10. Identity Verific	fied by (where applicable)						
10. Identity Verification		National ID Card				Passport	
🗌 10. Identity Verifi	lied by (where applicable)	National ID Card Certificate of incorpore	ration			Passport Other (Specify)	
🖻 10. Identity Verifi	fied by (where applicable) If Other, Specify γ	National ID Card Certificate of Incorpor				Cther (Specify)	
🖻 10. Ideatity Verifi	lied by (where applicable)	National ID Card Certificate of Incorpor) = >	Place Insue	Cther (Specify)	
	hed by (where applicable) If Other, Specify $ au$ Date issued	National ID Card Certificate of Incorpor		E 2	Place Issue	Cther (Specify)	
	Ned by (where applicable) If Other, Specify 7 Date issued the Reporting Institution	National ID Card Certificate of Incorpo Cardia and when other and				Cther (Specify)	
	Ned by (where applicable) If Other, Specify T Date issued the Reporting Institution 11. Balanoschip to the Reporting Institution	Employee	award	2 2		Cther (Specify)	
	Ned by (where applicable) If Other, Specify T Date issued the Reporting Institution 11. Balanoschip to the Reporting Institution	National ID Card Certificate of Incorpo Totale day, used of Incorpo Employee on(s) still affiliated with th		-		Coher (Specify) Coher (Specif	

Figure 22. Viewing Subject Details

Note: You can edit and save the changes made to a subject record.

Adding a New Subject

To add a new subject, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the Subjects tab.
- 3. Click Add in the Subjects grid.

Note: The application allows you to add subsequent subjects without entering or saving the subject details.

4. Select the subject type as Person or Entity. The section *Information about Person(s) or Entity engaging in Suspicious Activities* expands below where you can enter the subject details.

Note: If you try to add or edit subject without specifying the Subject Type, the application displays the following message: *Please enter Subject Type as it is a mandatory field*.

	Person/Entity Name	Subject Type	Occupation or Business	Relationship to the Reporting Institution	Is the Perso	still affiliated with the Reporting Institut	ion?
E 1	BROWN	Person	-		140		
							Si Valitate M Save -> Ree
			Entrient	Typer I @ Person C Entity			
				The states a rank			
Part It Information at	out Person(s) or Entity engaging in Suspicious Activitie	rs					
	5. (a) Surname (or name of Entity)* Y						
	5. (b) First Name 🝸				5. (c) Middle Name 🤈		
	7. Date of Birth/Incorporation Y				9. Occupation or Business 😗		
	B. Identification Document*			•	entification Document Number*		
6 Dostal and Drug	ical Address in Country of Residence						
, a rosan and rap	Postal	1					
	Physical						
	r aj acta						
10. Identity Verifie	d by (where applicable)						
		In National ID Card				E Passport	
	If Other, Specify 7	Certificate of Incorp				Cther (Specify)	
	Bother, specify 1	Enable toly when other i			Place Insued	-	
	Last states				Carle Interes		
	Reporting Institution						
Belationship to the	11. Relationship to the Reporting Institution*			+	Other (Specify) ?	Exatle only when other is selected	
Relationship to the		in(s) still affiliated with	the Reporting Institution?" @ No C Yes				
Relationship to the				 Date of Resign 	nation/Suspension/Termination ?		🐷 🍃
Relationship to the	12. (i) Is the Period If No, Specify (7)						
Relationship to the					R		

Figure 23. Information about Person(s) or Entity Engaging in Suspicious Activities Section

5. Enter the required information.

The following table explains the fields displayed in the Information about Person(s) or Entity engaging in Suspicious Activities section.

Fields	Description
Surname (or Name of Entity)	Enter the surname of the subject or the name of the entity involved in suspicious activity.
	You must enter the surname if the subject type is Person, and enter the name of the entity if the subject type is a legal entity. This field allows you to enter a maximum of 255 characters. If Surname (or name of Entity) is missing from the Subjects tab, the application displays the following message: <i>Please enter Surname (or</i> <i>Name of Entity) as it is a mandatory field.</i>
First Name	Enter the first name of the subject.
	This field is enabled only when the subject type is Person. This field allows you to enter a maximum of 120 characters.
Middle Name	Enter the middle name of the subject.
	This field is enabled only when the subject type is Person. This field allows you to enter a maximum of 120 characters.
Date of Birth/Incorporation	Enter the date of birth of the subject if subject type is Person Enter the date of incorporation of the reporting entity if the subject type is Entity.
	If you enter Date of Birth/Incorporation which is later than the current date, the application displays the following message: <i>Please enter Date of Birth/Incorporation which is earlier than or equal to sysdate.</i>
Occupation or Business	Enter the occupation of the subject is the subject type is person Enter the business of the reporting entity if the subject type is Entity. This field allows you to enter a maximum of 50 characters.

Table 10. Fields in Information about Person(s) or Entity Engaging in Suspicious Activities

Fields	Description
Identification Document	Select the identifying document from the drop-down list.
	Following are the possible options:National ID Card
	Passport
	Certificate of Incorporation
	Others
	If Identification document is missing from the Subjects tab, the application displays the following message: <i>Please enter Identification Document as it is a mandatory field.</i>
Identification Document Number	Enter the personal identification number. This field allows you to enter a maximum of 50 characters. If Identification Document Number is missing from the Subjects tab, the application displays the following message: <i>Please enter Identification</i> <i>Document Number as it is a mandatory field.</i>
Postal	Enter the postal address of the person/entity. This field allows you to enter a maximum of 500 characters.
Physical	Enter the physical address of the person/entity. This field allows you to enter a maximum of 500 characters.
Identity verified by	Select the document based on which the identity of the subject is verified.
	Following are the possible options:National ID Card
	Passport
	Certificate of Incorporation
	• Other(Specify)
If other, specify	 Enter the document details based on which the identity of the subject is verified. This field is enabled only when Other is selected and allows you to enter a maximum of 50 characters. If Identity Verified by is marked as Others and if you fail to specify it t, the application displays the following message: <i>Please specify the Identity Verified by which is marked as Others.</i>
Date issued	Select the date of issue of the identification document. If you enter date of issue which is later than the current date, the application displays the following message: <i>Please enter Date issued which is earlier</i> <i>than or equal to sysdate.</i>
Place issued	Select the place of issue of the identification document.

Table 10. Fields in Information about Person(s) or Entity Engaging in Suspicious Activities

Fields	Description
Relationship to the Reporting Institution	Select the relation of the subject to the reporting institution.
	Following are the possible options:Accountant
	Agent
	Broker
	Client / Customer
	Depositor
	Director
	Employee
	Service Provider
	Officer
	Shareholder
	 Other (Specify)
	If Relationship to the Reporting Institution is missing from the Subjects tab, the application displays the following message: <i>Please enter Relationship to the Reporting Institution as it is a mandatory field.</i>
Other (Specify)	Enter the relation of the subject to the reporting institution. This field is enabled only when other is selected and allows you to enter a maximum of 50 characters.
	If Relationship to the Reporting Institution has been marked as Others and if you save without specifying it, the application displays the following message: <i>Please specify the Relationship to the Reporting Institution which</i> <i>is marked as Others.</i>
Is the Person(s) still affiliated with the Reporting Institution	Select whether the subject is still associated with the reporting entity.
	If Is the person(s) still affiliated with the Reporting Institution is missing from the Subjects tab, the application displays the following message: <i>Please enter</i> " <i>Is the Person(s) still affiliated with the Reporting Institution?</i> " as it is a mandatory field.
If No, specify	Enter the employment status of the subject with the reporting entity. This field is enabled only when 'No' is selected in <i>Is the Person(s) still</i> <i>affiliated with the Reporting Institution</i> field. If you select 'Is the person(s) still affiliated with the Reporting Institution' as
	'No' and if you fail to specify the details in 'If No, specify' and 'Date of
	resignation, suspension, termination' fields', the application displays the
	following message: You have selected No in "Is the person(s) still affiliated with the Reporting Institution", you need to provide values for "If No Specify" and "Date of Resignation, Suspension or Termination".
Date of	Select the date on which the relationship between the subject and the
Resignation/Suspension/Ter mination	financial institution was suspended or terminated or the subject resigned.
	If you enter date of resignation/suspension/termination which is greater than the system date, the application displays the following message: <i>Please</i> <i>enter date of resignation / suspension / termination which is less than or</i>
	equal to sysdate.

Table 10. Fields in Information about Person(s) or Entity Engaging in Suspicious Activities

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

7. Click **OK**. A new subject record is added in the Subjects grid.

Note: If you click **Reset**, the unsaved data is reset to the last saved value in the Subject tab. You cannot edit the report details when the report is in View mode.

Editing an Existing Subject

Analyst, Reviewer and a Supervisor users can edit a report in various statuses. Refer to *Table 4* for more information. To edit an existing subject, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the Subjects tab.

This list of subjects associated with the report are displayed in the Subjects section.

- 3. Select the checkbox at the beginning of a subject record row or click anywhere in the row. The subject details are displayed in the *Information about Person(s) or Entity engaging in Suspicious Activities* section.
- 4. Modify the required details.
- 5. Click Save. The following message is displayed: Update Operation Successful.
- 6. Click OK. The modified subject details are saved.

Note: In Add Subject mode if you try to change Subject Type, the application displays the following message: *First Name and Middle Name details will be lost if you change the Subject Type. Click OK to continue or Cancel to go back to the page.*

Removing a Subject

To remove a subject record, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the Subjects tab.

A list of subject records are displayed in the Subjects grid.

- 3. Select the checkbox at the beginning of an subject record row or click anywhere in the row.
- 4. Click Remove. The following message is displayed: Are you sure you want to delete this record?
- 5. Click OK. The following message is displayed: Record Removed Successfully.
- 6. Click **OK**. The subject record is removed from the Subjects grid.

Note: If you have added, edited or deleted subjects, a corresponding audit entry is tracked in the Audit tab. For more information, refer to *Viewing Audit Information*.

Managing Suspicious Activity Information Tab

This tab refers to the Information about Suspicious Activity section (shown below) in the Final STR Excel.

Part III Information about	Suspicious Activit	у	
13. Date of transaction or susp	icious activity (DD/N	1M/YY)	16/05/14
14. Transaction Type		Entity	
15. (a) Account name(s), where	e applicable	Entity22	2
(b) Account number(s) affe	cted, where applica	ble	Entity222
16. Amount involved (in Kshs)		1243	
17. (i) General description of s	uspicious activity:	Cash Wi	thdrawal
(ii) Other (specify)	. ,		
18. Source of funds		555	
19. Particulars of the destination	on of the funds		
20. Description of the transaction/activity:	EntityEntityEntityE ityEntityEntityEntit		EntityEntityEntityEntityEntityEnt
21. Basis of suspicion:	EntityEntityEntityE ityEntityEntityEntit		EntityEntityEntityEntityEntityEntityEnt
22. Has suspicions activity had adversely affected the reporti		or otherwi	se Yes
If yes, describe impact		ntitvEntitv	EntityE
23. Has any law enforcement a any manner? If so, indicate the		ed in	Yes
(a) Authority	EntityEntityEntityE	ntityEntity	EntityEntityEntityEntityEntityEnt
(b) Specific person notified	EntityEntityEntityE	ntityEntity	EntityEntityEntityEntityEntityEnt
(C) How notified	EntityEntityEntityE	ntityEntity	EntityEntityEntityEntityEntityEnt
(D) Details provided	EntityEntityEntityE	ntityEntity	EntityEntityEntityEntityEntityEnt
24. Has any other action been taken by the reporting institution?	EntityEntityEntityE	ntityEntity	EntityEntityEntityEntityEntityEnt

Figure 24. Suspicious Activity Information in Final STR

The Suspicious Activity Information tab in the Report Details page displays the involved transactions and their details as received from OFSFCCM or added directly to the STR that are specific to the current report. From this tab you can add, update, and delete transactions related to an STR.

The Validate button in the Suspicious Activity Information tab validates Suspicious Activity Information details.

If you click Request for Approval, Approve, or Recommend for Approval and if the required mandatory fields such as Date of transaction or suspicious activity, General description of suspicious activity, Description of the transaction/activity, Basis of suspicion and Has any other action been taken by the reporting institution are missing in Suspicious Activity Information tab, the application displays the following message: *Please Validate on Suspicious Activity Information tab for details of missing required information*.

Record # Transactions (2) 1 Universe Record # Transaction 1 WRETE 2 MITRIXI Pert II: Information about Suspice	Surgeries Surgeries Activity Information Active Number 1 ROUNITYDETICU 201 1 Close Activity (This section can be edited directly or 13. Datled IT manaction or Surgicion Activity 15. on Account Numeric), Where applical	Transaction Date 10-12-2009 09-12-2009 or can be spdated by Adding sktly* 10-12-2009	Report Name CA 1600 Audit Transaction Type Wee Monitary Instrument Ng, Deleting or Kidting Individual Transaction	Transaction Amount (Base) 25000 30000	Report States Fired Originating Party SCOTI/CAUTYSWTHCU-007) BIRLOCK/ACWTYSWTHCU-006)	Receiving Party BILOCK/ACMITYSWTHCU-608) SCOT(ACMITYSWTHCU-607)
Transactions (2) : Universe Record # Transac 1 WINETE 2 MITRON Part II: Information aboot Suspice	action Number T TRONANTSWITHCU-001 T TRONANTSWITHCU-001 0 Iclaus Activity (This section can be edited directly or 15. Date of Transactions or Enspicowa Activity 15. Spi Account Name(4). Univer application	Transaction Date 10-12-2009 09-12-2009 or can be spdated by Adding sktly* 10-12-2009	Transaction Type Wire Monetary Instrument	25000 30000	SCOT(ACANTYSWTHCU-007)	BMLOCK(ACANTYSWTHCU-008)
Record # Transa Transa	action Number T IRR0/WNTYSWTHCU-001 1 2WMTYSWTHCU-001 0 iclous Activity (This section can be edited directly or 13. Date of Transaction or Suspicious Activi 15. (a) Account Name(s), Where applica	10-12-2009 09-12-2009 or can be updated by Addin; wity* 10-12-2009	Wre Monetary Instrument	25000 30000	SCOT(ACANTYSWTHCU-007)	BMLOCK(ACANTYSWTHCU-008)
1 WIRETF 2 MITRON Part III: Information about Suspic	IRXINAUTYSWTHCU-001 1 IVANTYSWTHCU-001 0 IXAUTYSWTHCU-001 0 IXAUTYSWTHCU-001 0 IXAUTYSWTHCU-001 IXIIII (IXIIIII (IXIIIIIIIIIIIIIIIIIII	10-12-2009 09-12-2009 or can be updated by Addin; wity* 10-12-2009	Wre Monetary Instrument	25000 30000	SCOT(ACANTYSWTHCU-007)	BMLOCK(ACANTYSWTHCU-008)
2 MITRUM Part II: Information about Suspic	NANTYSWTHCU-001 0 Iclous Activity (This section can be edited directly or 13. Date of Transaction or Sensecious Activi 15. (a) Account Name(s), Where applica	09-12-2009 or can be updated by Adding http:///////////////////////////////////	Monetary Instrument	30000		
Part II: Information about Suspic	iclous Activity (This section can be edited directly or 13. Date of Transaction or Sespicioes Activi 15. (a) Account Name(s), Where applica	or can be updated by Adding			BMLOCK(ACANTYSWTHCU-806)	SCOT(ACANTYSWTHCU-807)
	13. Date of Transaction or Suspicious Activi 15. (a) Account Name(s), Where applicat	wity* 10-12-2009	g, Deleting or Editing individual Transactio	ins above)		
	15. (b) Account Number(s) affected, Where applical			CU-408		
13	15. (a) Account Name(s), Where applicat				14. Transaction Type Monetary Instrum	
	15. (b) Account Number(s) affected, Where applica			CU-908		
	16. Amount Involved (Bar	ase) 55000				
	17. (i) General Description of Suspicious Activi				17. (ii) Other (Specify) 7 -	
	18. Source of Fun			19. Part	ticulars of the Destination of the Funds –	
	20. Description of the Transaction/Activi		ansaction/Activity*			
		cion* Basis of Suspicion				
			ial impact on or otherwise adversely affect	ted the Reporting Institution? No		
	If yes, describe impact					
			sent Authority been notified in any manner?	7.If so, indicate the following* No		
	(a) Authority				(b) Specific Person Notified T -	
	(c) How Notified					
100	(d) Details Provided					
			n been taken by the Reporting Institution			

Figure 25. Suspicious Activity Information Tab

The Suspicious Activity Information tab displays the following sections:

- Transactions Grid
- Transaction Details
- Part III Information about Suspicious Activity

By default, the application displays the Transactions grid and Part III Information about Suspicious Activity. Click on transaction record in the grid to view the transaction details.

Transactions Grid

The Transactions grid displays the following columns:

- Transaction Number
- Transaction Date
- Transaction Type
- Transaction Amount (Base)
- Originating Party
- Receiving Party

By default, the application displays a list of all transactions associated with the STR. To view or edit the transaction details, either select the checkbox at the beginning of a transaction record or click anywhere in the row. The selected record gets highlighted and the details of that particular transaction displays below the Transaction grid.

Transaction Details

This section captures specific information related to the transaction such as transaction number, date of transaction, type of transaction, base amount of the transaction, originator details, beneficiary details, and so on. For more information on fields in the Transaction Details, refer to *Table 12*.

Note: The value in the Record column is a system generated number that helps to distinguish a unique transaction while viewing the validation messages. You cannot add or edit this field.

Part III Information about Suspicious Activity

This section captures information related to transaction such as transaction details, amount involved in transaction, source and destination of funds, reasons for suspicion, and so on.

The following table explains the fields in Part III Information about Suspicious Activity.

Fields	Description
Date of Transaction or Suspicious Activity	Enter the date of transaction or suspicious activity. This field is auto-updated with the latest date if any new transactions are added or removed.
	If you enter a Date of transaction or suspicious activity that is later than the system date, the application displays the following message: <i>Please enter Date of Transaction or Suspicious Activity which is less than or equal to sysdate.</i>
Transaction Type	Enter the type of transaction. You can enter multiple types of transaction using comma and space as separators. The Transaction Type values are distinct and any repeating values for transaction type are not repeated for this field. This field allows you to enter a maximum of 255 characters.
Account Name(s), Where applicable	Enter the Originator and Beneficiary names of all the transaction with comma and space as separators. The Account name and Account Number must be unique. Enter the account names in the same order corressponding to the account numbers in the field <i>Account Number(s) affected, Where applicable</i> This field allows you to enter a maximum of 525 characters.

Table 11. Fields in Part III Information about Suspicious Activity

Table 11.	Fields in Pa	rt III Information	about Sus	picious Activity
100010 111				

Fields	Description	
Account Number(s) affected, Where applicable	Enter the Originator and Beneficiary account numbers of all the transaction with comma and space as separators. The Account name and Account Number must be unique. Enter the account number in the same order corressponding to the account name in the field <i>Account Name(s), Where applicable</i> This field allows you to enter a maximum of 525 characters.	
Amount Involved (Base)	Enter the sum of all the amounts involved in the transaction.	
General Description of Suspicious Activity	Select the type of suspicious activity from the drop-down list:	
	Following are the possible options: • Cash Deposit	
	Cash Exchange	
	Cash Payment	
	Cash Withdrawal	
	Deposit from Abroad	
	Transfer Abroad	
	Transfer to Domestic Bank	
	Transfer from Domestic Bank	
	Money Laundering	
	Bribery	
	Cheque Fraud	
	Identity Theft	
	Credit Card Fraud	
	False Statement	
	Tax Evasion	
	Misuse of Position	
	Other (Specify)	
	If the General description of suspicious activity is missing value in the Suspicious Activity Information tab, the application displays the following message: <i>Please enter General Description of Suspicious Activity as it is a mandatory field.</i>	
Other (Specify)	Enter any additional information you want to describe about the suspicious	
	activity type. This field is enabled and is mandatory only if <i>Other</i> is selected in the field <i>General Description of Suspicious Activity</i> . This field allows you to enter a maximum of 50 characters. If General description of suspicious activity has been marked as Others and if you fail to specify it, the application displays the following message: <i>Please specify the General Description of Suspicious Activity which is</i> <i>marked as Others</i> .	
Source of Funds	Specify the source of funds involved in the suspicious activity. This field allows you to enter a maximum of 120 characters.	

Fields	Description	
Particulars of the Destination of the Funds	Enter the details of the destination of the funds. This field allows you to enter a maximum of 120 characters.	
Description of the Transaction/Activity	Enter a brief account of the suspicious activity. This field allows you to enter a maximum of 4000 characters. If Description of the transaction/activity is missing in Suspicious Activity Information tab, the application displays the following message: <i>Please</i> <i>enter Description of the Transaction / Activity as it is a mandatory field.</i>	
Basis of Suspicion	Enter the reason for identifying the transaction as suspicious. This field allows you to enter a maximum of 4000 characters. If the Basis of suspicion is missing in the Suspicious Activity Information tab, the application displays the following message: <i>Please enter Basis of</i> <i>Suspicion as it is a mandatory field.</i>	
Has suspicious activity had material impact on or otherwise adversely affected the Reporting Institution	Select whether there were any serious implications on the reporting institution due to the suspicious activity. If Has suspicious activity had material impact on or otherwise adversely affected the Reporting Institution? is missing in Suspicious Activity Information tab, the application displays the following message: <i>Please enter "Has any other action been taken by the Reporting Institution?" as it is a mandatory field.</i>	
If yes, describe Impact	Enter an account of how the suspicious activity impacted the financial institution. This field allows you to enter a maximum of 255 characters and is enabled only if Yes is selected in the field <i>Has suspicious activity had material impact on or otherwise adversely affected the Reporting Institution?</i> .	
Has any Law Enforcement Authority been notified in any manner? If so, indicate the following	 Choose whether any law enforcement agency was notified about the suspicious activity. The following fields are mandatory and enabled if Yes is selected. Authority 	
	Specific Person Notified	
	How Notified	
	Details Provided	
	If you click Validate and if you have selected "Has any law enforcement authority been notified in any manner? If so, indicate the following" as "Yes" for this field and failed to specify the details in the Authority, Specific Person notified, How notified and Details provided fields, the application displays the following message: You have selected Yes in "Has any law enforcement authority been notified in any manner? If so, Indicate the following", you need to provide values for Authority, Specific Person Notified, How Notified and Details provided.	
Authority	Enter the details of the law enforcement agency notified about the suspicious activity. This field allows you to enter a maximum of 120 characters.	
Specific Person Notified	Enter the name of the person within the law enforcement agency to whom the suspicious activity was reported. This field allows you to enter a maximum of 120 characters.	
How Notified?	Enter the means of suspicious activity notification to the law enforcement agency. This field allows you to enter a maximum of 255 characters.	

 Table 11. Fields in Part III Information about Suspicious Activity

Table 11. Fields in Part III Information about Suspicious Ac	tivity
--	--------

Fields	Description
Details Provided	Enter the information provided by the reporting institution to the law enforcement agency. This field allows you to enter a maximum of 255 characters.
Has any other action been taken by the Reporting Institution	Enter the details about any action taken by the reporting institution on the subject regarding the suspicious activity. This field allows you to enter a maximum of 255 characters. The prior FRC Tracking number updated in Reporting Institution/Officer tab is auto-populated here.

Adding a Transaction

To add transactions to the report, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the Suspicious Activity Information tab.

A list of transaction records in the report are displayed in the Transactions section if any.

3. Click Add. The Transaction Details section expands below the Transactions grid.

dd Transaction		Sever 🔊 Reset 🙆 Clos
Transaction Number	Transaction Date	T D
Transaction Type	Transaction Amount (Base)	
Originator Account Number	Beneficiary Account Number	
Originator Name	Beneficiary Name	

Figure 26. Transaction Details

4. Enter the required information.

The following table explains the fields that must be updated while adding a transaction.

Fields	Description
Transaction Number	Enter the unique identifier for the transaction. This field allows you to enter a maximum of 50 characters.
Transaction Date	Select a date from the calendar icon specifying the occurrence of the transaction. If you enter a Transaction Date which is later than the system date, the application displays the following message: <i>Please enter Transaction Date which is less than or equal to sysdate.</i> If Date of transaction or suspicious activity is missing in Suspicious Activity Information ta, the application displays the following message: <i>Please enter Date of Transaction as it is a mandatory field.</i>
Transaction Type	Enter the method of the transaction or the type as per Alert Management. This field allows you to enter a maximum of 255 characters.
Transaction Amount	Enter the amount involved in suspicious transaction.
Originator Account Number	Enter the account number of originator of the transaction. This field allows you to enter a maximum of 50 characters.
Beneficiary Account Number	Enter the account number of the beneficiary/receiver of the transaction. This field allows you to enter a maximum of 50 characters.
Originator Name	Enter the name of the person or organization who acts as the originator. This field allows you to enter a maximum of 120 characters.
Beneficiary Name	Enter the name of the person or organization who acts as the receiver. This field allows you to enter a maximum of 120 characters.

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

6. Click **OK**. The record is displayed in the Transactions grid.

Viewing or Editing Transaction Details

To view or edit the details of transactions, click anywhere on a transaction row. You can edit information about the transaction in the Transaction Details section.

To view or edit a transaction record for the report, follow these steps:

- 1. Navigate to the Report Details page.
- 2. Click the **Transactions** tab.

A list of transaction records associated with the report are displayed in the Transaction section.

- 3. Select the checkbox at the beginning of a transaction record row or click anywhere in the row.
- 4. The transaction details are displayed in the Transaction Details section and the Part III Information about Suspicious Activity section.
- 5. Edit the details as required.
- 6. Click Save. The following message is displayed: Update Operation Successful.
- 7. Click **OK**. The modified transaction details are saved.

'ransactions (1) 💹 Unwrap 🖄 Add 🍪 Remove						
Record # Transaction Number	Transaction Date	Transaction Type	Transaction Amount (Ease)	Originating Party	Receiving Party	
J 1 45787	01-05-2014	-	78498	-	John(71547878)	
E Transaction Details					🔛 Save 🌙 Reset	Close
	Transaction Number 45787			Transaction Date	01-05-2014	
	Transaction Type			Transaction Amount (Base)	78498	
	Driginator Account Number			Beneficiary Account Number	71547070	
	Originator Name			Beneficiary Name	John	
art III: Information about Suspicious Activity (This section can b	e edited directly or can be updated by	Adding, Deleting or Editing individual Transactions abov	re)		Vatidater / M S	lave 1 🎝 A
	r Suspicious Activity" 01-05-2014			14. Transaction Type		
	(s), Where applicable John					
	ted, Where applicable 71547878					
	mount involved (Base) 78490					
17. () General Description of	of Suspicious Activity" Cash Withdra	wal •		17. (ii) Other (Specify) 🦿 📄	alle if ofter a selected	
	18. Source of Funds		19. Part	iculars of the Destination of the Funds		
20. Description of the	TransactioniActivity* Suspicious Ac	dwity Description				
						-
2	1. Basis of Suspicion*					
						_
	22. Has suspicious activity had m	naterial impact on or otherwise adversely affected the	Reporting Institution? C No @ Yes			
If ye	s, describe impact /					
	22 Man any I not Entry	prcement Authority been notified in any manner? If so, in	ndicate the following* C No. G Yes			

Figure 27. Viewing/Editing Transaction Details

Removing Transactions

To remove a transaction, follow these steps:

- 1. Navigate to the **Suspicious Activity Information** tab of the report. A list of transactions associated with the report is displayed in the Transactions grid.
- 2. Select the checkbox of the transaction record you want to remove.
- 3. Click **Remove**. The following message is displayed: Are you sure you want to delete this record? Deleting transactions may update the Transaction Summary and any user filled data may get lost. Click OK to proceed or Cancel to abort.
- 4. Click OK. The following message is displayed: Record Removed successfully.
- 5. Click **OK**. The application refreshes and displays the Transactions grid.

Note: If you try to remove a transaction, the application displays the following message: *Are you sure you want to Remove this Transaction? You will lose any user entered value(s) when you Remove a Transaction. Click OK to continue or Cancel to abort.*

Managing Documents Tab

This tab refers to the Details or List of Available Documents section in the Final STR.

Part IV Details or List of Available Docume	ents	1
Part V Information about Money Launder	ing Reporting Officer	I
25. Name	B C D]
26. Position/title in the reporting institution	ABCDEF	
Signature]
		1

Figure 28. Documents Tab in Final STR

The Documents tab allows you to attach and remove documents related to an STR. While filing the STR with the regulatory authorities, you must also send any added documents. The process of sending added documents to the regulatory authorities occurs outside of OFSCRR.

Sending the documents to the Regulator is the responsibility of the user and out of scope of OFSCRR.

Attaching Documents

Users mapped to the role of an Analyst, Reviewer, or Supervisor can attach and delete documents in all statuses except when the report is in *View Only* mode.

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 Interr	et Explorer	
Document Description Logical File Name Choose a file*	Browse Clear Close	Attach File
		Ŧ

Figure 29. Adding Documents to STR

4. Enter the Document Description and the Logical File Name.

Note: The application allows you to enter a a maximum of 255 characters in document description field.

- 5. Click Browse to choose a file from your machine.
- 6. Click Attach File. The following message is displayed: Add Operation Success ful.
- 7. Click OK. The file is attached and you are navigated back to the Add Document window.

Vlick Close to navigate back the Report Details page or attach additional documents.

Editing the Logical File Name and Document Description of an Added Document

The Reports Details page allows you to edit the logical file name and the document description of an added document.

Note: If logical file name is provided then the application considers the document name as the logical file name.

To edit the logical file name and the document description, follow these steps:

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

The list of added documents associated to the report are displayed in the Documents section.

3. Select the checkbox at the beginning of an added document row or click anywhere in the row.

The document record changes into an editable mode.

Reporting Institution/Officer	Subjects Suspicious Activity Information Documents	Audit	
Documents (1) 📇 Add	Aemove I Save		
🖧 🖂 Document ID	Document Name	Logical File Name	Document Description
984	Bookt.els	Book1xis	

Figure 30. Editing the Logical File Name and Document Description of an Added Document

- 4. Edit the Logical File Name or the Document Description.
- 5. Click Save. The following message is displayed: Update Operation Successful.
- 6. Click **OK**. The document is updated in the Documents section.

Removing Documents

The Report Details page also allows you to remove the documents attached to an STR. To remove the documents attached to a report, follow these steps:

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

The list of documents associated to the report are displayed in the Documents section.

- 3. Select the checkbox of the document you want to delete.
- 4. Click Remove. The following message is displayed: Are you sure you want to remove this record.
- 5. Click OK. The following message is displayed: Record removed successfully.
- 6. Click OK. The document is removed and you are navigated back to the Report Details page.

Viewing Audit Information

The Audit tab displays actions taken on the report. This tab contains the Actions and the Comments section.

🖯 Actions (9) 🔯 Unwrap 🖪	Export to Excel		
🛱 Date	Action By	Action	Comments
23-05-2014 15:14:35	FCCM Supervisor	Add Comments	Fied
23-05-2014 12:38:47	FCCM Supervisor	Filed	STR-2014-01-Bank_et_Kenya
23-05-2014 12:38:12	FCCM Supervisor	Approve	Approve
23-05-2014 12:37:59	FCCM Supervisor	Modified Suspicious Activity information	
23-05-2014 12:37:39	FCCM Supervisor	Modified Subject Details - ROMAN	-
23-05-2014 12:37:32	FCCM Supervisor	Modified Subject Details - ROMAN	-
23-05-2014 12:37:21	FCCM Supervisor	Added New Branch where activity occu	III -
23-05-2014 12:37:16	FCCM Supervisor	Modified Reporting Institution/Officer in	a -
23-05-2014 12:23:11	FCCM Supervisor	Created From AlertiCase	
Comments (1) [] Unwrap	Export to Excel		
A Date	Comment By	Comments	
23-05-2014 15 14 35	FCCM Supervisor	Filed	

Figure 31. Audit Tab

The Audit tab displays the following sections:

- Actions
- Comments

Actions

The Actions section displays all the actions taken on the regulatory report. This section displays the following fields: **Table 13. Actions Section 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.

Table 13. Actions Section Field Descriptions	Table 13.	Actions	Section	Field	Descriptions
--	-----------	---------	---------	-------	--------------

Fields	Description
Actions	Displays a short description of the action.
	OFSCRR captures the following actions in the Audit tab:
	Created from alert/case
	Created manually
	 Modified Reporting Institution/Officer information
	 Added new branch where activity occurred – Branch Name
	 Modified branch where activity occurred – Branch Name
	 Removed branch where activity occurred –
	 Added new subject – Name of the added subject
	 Removed subject – Name of the deleted subject
	 Modified subject details – Name of the edited subject
	 Modified suspicious activity information
	 Added new transaction – Transaction Number
	 Modified transaction details – Transaction Number
	 Removed transaction – Transaction Number
	 Added New Document – Name of the added document
	 Modified Document – Name of the modified document
	 Removed Document – Name of the removed document
	 Updated FRC Tracking Number – Old FRC Tracking Number to New FRC Tracking Number
Comments	Displays the comments entered by the user while performing an action.

You can also export the list of actions to an Excel format using the **Export to Excel** option. Refer to *Exporting the STR List to Excel* for more information.

Comments

The Comments section displays the comments entered while performing the **Add Comments** action from the Report Details page of an STR. The Comments section displays the following fields:

Fields	Description
Date	Displays the date on which the comment was recorded.
Comment By	Displays the name of the user who has given that comment.
Comments	Displays the comments added to the report by the user.

Table 14. Comments Section Field Descriptions

Taking Actions on STR

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

- Requesting the Report Details for Approval
- Recommending the Report Details for Approval
- Approving Reports
- Sending Reports For Rework
- Cancelling the Filing of STR
- Reopening an STR
- Reopening an STR

Requesting the Report Details for Approval

After updating the report details, they must be validated. The RR 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, its is validated if the mandatory fields within the report have been populated. When a report is requested for approval, the status of the STR changes to *Requested for Approval*.

A Reviewer user can review the report submitted for approval by an analyst and can either take Recommend for Approval action. When a Reviewer recommends a report for approval, the status of the STR changes to *Recommended for Approval*. Subsequently, a Supervisor can review the report and can either Approve, Rework, or Cancel the report.

Alternatively, a Supervisor user can also directly approve a report in Open status after reviewing the report details.

To know in what statuses an analyst user can initiate *Request for Approval* action and in what statuses a Supervisor user can directly approve a report, refer to *Table 3* for more information.

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

- 1. Navigate to the Reports Details page of a report in Open status.
- 2. Click Request for Approval.

Action Type	Request for Approval	
Comments*		

Figure 32. Request for Approval Action Window

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

Note: The comments box in the Request for Approval action 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 Action 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 STR changes to Requested for Approval.

The Actions section in the **Audit** tab tracks both the actions and the comments entered while performing the **Request for Approval** action.

Recommending the Report Details for Approval

After updating the report details, a Reviewer can recommend the STR for approval.

A Reviewer user can also review a report in *Requested for Approval* status and can take Recommend for Approval action. When a reviewer recommends a report for approval, the status of the STR changes to *Recommended for Approval*. Subsequently, a Supervisor can review the report and can either Approve, Rework or Cancel the report.

To know in what statuses a reviewer user can initiate *Recommend for Approval* action and in what statuses a Supervisor user can directly approve a report, refer to *Table 3* for more information.

To recommend a report for approval, follow these steps:

- 1. Navigate to the Reports Details page of the report.
- 2. Click Recommend Approval.

Action Type	Recommend for Approval	1
Comments*		

Figure 33. Recommend for Approval Action Window

3. Enter the comments in the Recommend for Approval action window.

Note: The comments box in the Recommend for Approval action 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 Recommend for Approval Action 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 STR changes to Recommended for Approval.

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

Approving Reports

Authorized users can approve a report when it is in *Open*, *Reopened*, *Requested for Approval*, *Rework*, and *Recommended for Approval* 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*, and *Recommended for Approval* status.
- 2. Click Approve.

Action Type	Approve	
Comments*		
	Save Clear Close	

Figure 34. Approve Action Window

3. Enter the comments in the Approve action window.

Note: The comments box in the **Approve** action 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 Action 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 report changes to Approved.

Note: Once the STR is approved, OFSCRR generates the Draft xls. The Naming convention for the Draft xls is - STR_ [Reporting Institution]_Alert/Case ID_Generated Date(DD-MM-YYYY _HH:MM:SS)_Draft.xls. The Reporting Institution data is user specified

You can rename the Draft xls while saving.

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

Sending Reports For Rework

An Analyst, Reviewer or a Supervisor user can send reports for rework for incomplete, inaccurate information in the report, or for additional investigation. The Report Details page allows a Reviewer and Supervisor to take Rework action on reports.

A Reviewer can take rework action on a report when it is in *Requested for Approval* status whereas a Supervisor can take rework action in *Requested for Approval* and *Recommended for Approval* status. If a report is sent for rework, an Analyst or a Reviewer must rework on the report and request/recommend the report again for approval. This process continues until the report is approved or cancelled.

To send a report to rework, follow these steps:

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

Action Type	Rework		
Comments*			

Figure 35. Rework Action Window

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

Note: The comments box in the Rework action 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 Reject Action 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: If the report is sent for rework to the Analyst, the status of the report changes to Rework for Analyst and when the report is sent for rework to the Reviewer, the status of the report changes to Rework for Reviewer. For more information on when the report is sent for rework to analyst/supervisor roles, refer to *Table 3*.

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

Cancelling the Filing of STR

If a user determine that an STR report should not be filed 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 cancel filing, 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 canceled report can be reopened by authorized users.

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

- 1. Navigate to Report Details page.
- 2. Click Cancel Filing. The Cancel Action window is displayed.

	Cancel Filing	-
Comments*		
	Save Clear Close	

Figure 36. Cancel Filing Action Window

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

Note: The comments box in the Cancel action 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 Action 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 an STR

The Report 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 3.

To reopen a report from Report 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 status, the application displays the following message: *Reopen action can only be taken on Cancelled reports. Please select only Cancelled reports to perform the Reopen action.*

- 3. Click Reopen. The Reopen Action window is displayed.
- 4. Enter your comments in the Reopen reports window.

Reopen Reports - Windows Internet Explorer					-	 x
	Updat	ted By KEREVIEV	VER2			*
E Reopen (1)						-
Report Name	Due Date		Comments			
CA1700107-05232014133831		📃 👅 💋				
	Save	Clear	lose			

Figure 37. Reopen window

Note: The comments box in the Reopen report 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.

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 Action window is displayed.

Action Type	Reopened			
Due Date			7	
Comments*				
			4	
		97		

Figure 38. Reopen Action Window from Report Details Page

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

Note: The comments box in the **Reopen** action 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 Action 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.

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

Marking an STR as Filed

For tracking and reporting purposes, OFSCRR allows you to mark the reports that are filed with the regulatory authorities as **Filed** once the STR Excel 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 Filed. This action can be performed only when the report is in *Approved* status.

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

If you select records from RR Search and List page which are not in Approved status and click on File button, the application displays the following message: *Some reports are not in Approved status*. Filed action can only be taken on Approved reports. Please deselect those reports and try again.

The Report Details page allows authorized users to mark the submitted reports as filed.

To mark a report as filed from the Report Details page, follow these steps:

- 1. Navigate to the Report Details page of a report in *Approved* status.
- $2. \ Click \ File. \ The \ Filed \ Window \ is \ displayed$

🏉 File - Windows Internet E	xplorer	
Action Type	Filed	~
FRC Tracking Number	STR-2014-003-Bank_of_Kenya	
Comments*		
	Save Clear Close	~

Figure 39. Filed Window

3. Enter the comments in the Filed action window.

Note: The comments box in the **Filed** action 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 Filed Action 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 Filed.

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

The naming convention for final STR is in the format STR-YYYY-999-[Reporting Institution].xls, where YYYY is the year, 999 is a sequential number beginning with 001 every calendar year, and reporting institution is the name of the institution. For example, if Export Bank is submitting filing their 14th STR report this year 2013, the name of the report will be STR-2013-014-Export Bank.xls. You can rename the final STR while saving

Setting Due Date of an STR

Set Due Date action will allows Reviewer 2 and Supervisor to set a due date or modify an existing due date of an STR. For more information, refer *Table 15*.

Note: The Set Due Date action is available in the OFSCRR 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 users can perform the Set Due Date action:

Set Due Date Action as per Report Status	Analyst 1, 2, 3, 4	Reviewer 1	Reviewer 2	Supervisor	Auditor 1, 2
Open			Х	Х	
Reopened			Х	Х	
Requested for Approval			Х	Х	
Recommended for Approval				X	
Rework for Analyst/Rework for Reviewer			X	X	
Approved				Х	

Table 15. Setting Due Date

To set due date of an STR 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 Action window is displayed.

Action Type	Set Due Date	
Due Date*	16-12-2013 🔳 💋	
Comments*		

Figure 40. 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 action 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** Action 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.

If you select some reports which are in Submitted or Cancelled state and try to set due date for the selected reports, the application displays the following message: *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.*

Updating FRC Tracking Number

FRC Tracking number is a unique number assigned to an STR. This information is updated in the OFSCRR application while marking the report as Filed and is mandatory while re-submitting an amended/supplemental report.

The Report Details page allows authorized users to update the FRC Tracking number of a report.

For more information, refer to Table 3.

To update the FRC Tracking number of a report from the Report Details page, follow these steps:

- 1. Navigate to the Report Details page of a report in Filed status.
- 2. Click Update FRC Tracking Number. The Update FRC Tracking number is displayed.

C Update FRC Tracking Number - Windows Internet Explorer		
Old FRC Tracking Number	STR-2014-001- Bank_of_Namibia	*
New FRC Tracking Number		
Save	Clear Close	-

Figure 41. Update FRC Tracking Number window

3. Enter the new FRC Tracking number.

If you click **Save** without entering the new FRC Tracking number, 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.

Note: If you enter New FRC Tracking Number which is already in use, the application displays the following message: *New FRC Tracking Number is already in use. Click OK to proceed or Cancel to abort.*

If you try to perform Update FRC Tracking number action on reports other than in Filed status, the application displays the following message: Update FRC Tracking Number action can only be taken on Filed reports. Please select only Filed reports to perform the Update FRC Tracking Number action.

Adding Comments to an STR

The Report Details page allows users 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.

1.2	Add Comments	
Comments*		

Figure 42. Add Comments Window

3. Enter the comments.

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 and the Comments section in the Audit tab tracks both the actions and the comments entered while performing the Add Comments action.

Viewing an STR Excel

When a report is created either directly from OFSCRR or through OFSFCCM, a draft Excel is created for the STR. Users mapped to the role of Analyst, Reviewer and Supervisor can view and save the report. Once the Supervisor approves the STR, the draft STR Excel is replaced with the final STR Excel.

The naming convention for final STR is in the format STR-YYYY-999-[Reporting Institution].xls, where YYYY is the year, 999 is a sequential number beginning with 001 every calendar year, and reporting institution is the name of the institution. For example, if Export Bank is submitting filing their 14th STR report this year 2013, the name of the report will be STR-2013-014-Export Bank.xls. You can rename the final STR while saving

Both draft STR Excel and final STR Excel can be viewed either from RR Search and List page or from Report Details page.

To view an STR Excel from Report Details page, follow these steps:

- 1. Navigate to the Report Details page of a report.
- 2. Click View Report. The File Download window is displayed.
- 3. Click Open to view the STR Excel. You can also click Save to save the report in your machine.

To view an STR Excel from RR Search and List page, follow these steps:

- 1. Navigate to the RR Search and List page.
- 2. From Reports List, click in the Regulatory Report column of an STR record. The **File Download** window is displayed.
- 3. Click **Open** to view the STR Excel. You can also click **Save** to save the report in your machine.

Exporting the STR List 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 dialog box is displayed.

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.

Select Form Data/ Grid Data :	Form Data	24
Include Mapper Information :		
Include Search Information :		
Document Type :	Excel	•
Template :	General Excel Template	•
Display Form Name :	💿 Yes 🔘 No	
Display Records per Page :	All	-
Export	Cancel	

Figure 43. Export Properties Dialog Box

4. Click **Export** in the Export Properties dialog box.

When processing is complete, the data is displayed in an IE 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 OFSCRR 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.

