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

Release 8.0.4.0.0
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Compliance Regulatory Reporting
Indonesia Suspicious Transaction Report

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Contents

List of Tables

List of Tables

List of Figures

List of Figures

Oracle Financial Services Compliance Regulatory Reporting User Guide

About This Guide

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

This chapter discusses the following topics:

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

Who Should Use this Guide

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

- **Analyst**: This user can access Regulatory Reports, create new reports, edit/view report details, add comments to the report, request for approval, cancel filing of reports from *Open* and *Reopen* status, reopen cancelled reports, and also view/save the final report.

- **Supervisor**: This user can access Regulatory Reports, create new reports, edit and view report details, add comments to the report. This user can also take actions on the reports such as approve, rework, and cancel filing of reports. This user can also submit the reports.

- **Auditor**: This user can view and add comments to the report.

- **RR Admin**: This user is responsible for handling various configurations required to support the report workflow.

How this Guide is Organized

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

- *Chapter 1, About Compliance Regulatory Reporting,* provides an overview of the Oracle Financial Services Compliance Regulatory Reporting application.

- Chapter 2, *Getting Started,* explains the steps to login to the Oracle Financial Services Compliance Regulatory Reporting application and provides a brief overview of the various users and their roles in the Compliance Regulatory Reporting application.

- Chapter 3, *Managing Compliance Regulatory Reporting,* explains the workflow of regulatory reports.

Where to Find More Information

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

- *Oracle Financial Services Compliance Regulatory Reporting Data Model Reference Guide*: This guide explains the structure of the entities in the RR data model and provides in-depth information on managing the data in the Compliance Regulatory Reporting application.

- *Oracle Financial Services Compliance Regulatory Reporting Webservice Guide*: This guide explains how and in what format the source business data is provided to the Compliance Regulatory Reporting application through a web service for the report type.

- *Oracle Financial Services Compliance Regulatory Reporting Installation Guide*: This guide provides step-by-step instructions for installing the Oracle Financial Services Compliance Regulatory Reporting application on an existing Oracle Financial Services Behavior Detection Framework hosted in Windows environment.

- Oracle *Financial Services Compliance Regulatory Reporting Release Notes*: This guide provides details about the enhancements made to the features in the Oracle Financial Services Compliance Regulatory Reporting application.

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

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

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

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

About Compliance Regulatory Reporting

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

This chapter discusses the following topics:

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

Introduction to Compliance Regulatory Reporting

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

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

About Oracle Financial Services Compliance Regulatory Reporting Application

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

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

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

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

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

CHAPTER 2 — *Getting Started*

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

This chapter explains the following topics:

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

User Roles

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

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

User Access

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

Table 2. User Access

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

Table 2. User Access

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

Logging in to Compliance Regulatory Reporting

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

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

2. Select the **Language** for the application.

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 **OFSCRR** or **OFSFCCM**.

   Note:

   ■ If you've installed OFSCRR without OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **OFSCRR** link under the Home menu. Clicking **Compliance Regulatory Reporting** will navigate you to the Compliance Regulatory Reporting Search and List page.

   ■ If you've installed OFSCRR with OFSFCCM, the Oracle Financial Services Analytical Applications Infrastructure page will display the **FCCM** link under the Home menu. Clicking **FCCM** will navigate you to the OFSFCCM Home page depending upon your roles and access rights.

Accessing Compliance Regulatory Reporting from OFSFCCM

To access OFSCRR from OFSFCCM, follow these steps:

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

Figure 1. OFSAAI Login Page

2. Select the **Language** for the application.

3. Enter your **User ID**.

4. Enter your **Password**.

5. Click **Login**. The OFSAAI Home page is displayed.

Figure 2. OFSAAI Home Page

6. Click **FCCM**. The OFSFCCM Home page is displayed depending upon the user roles and their access permissions.

7. From the Compliance Regulatory Reporting menu, hover over **Indonesia** STR, and click **Search and List**. The Regulatory Reporting Search and List page opens.
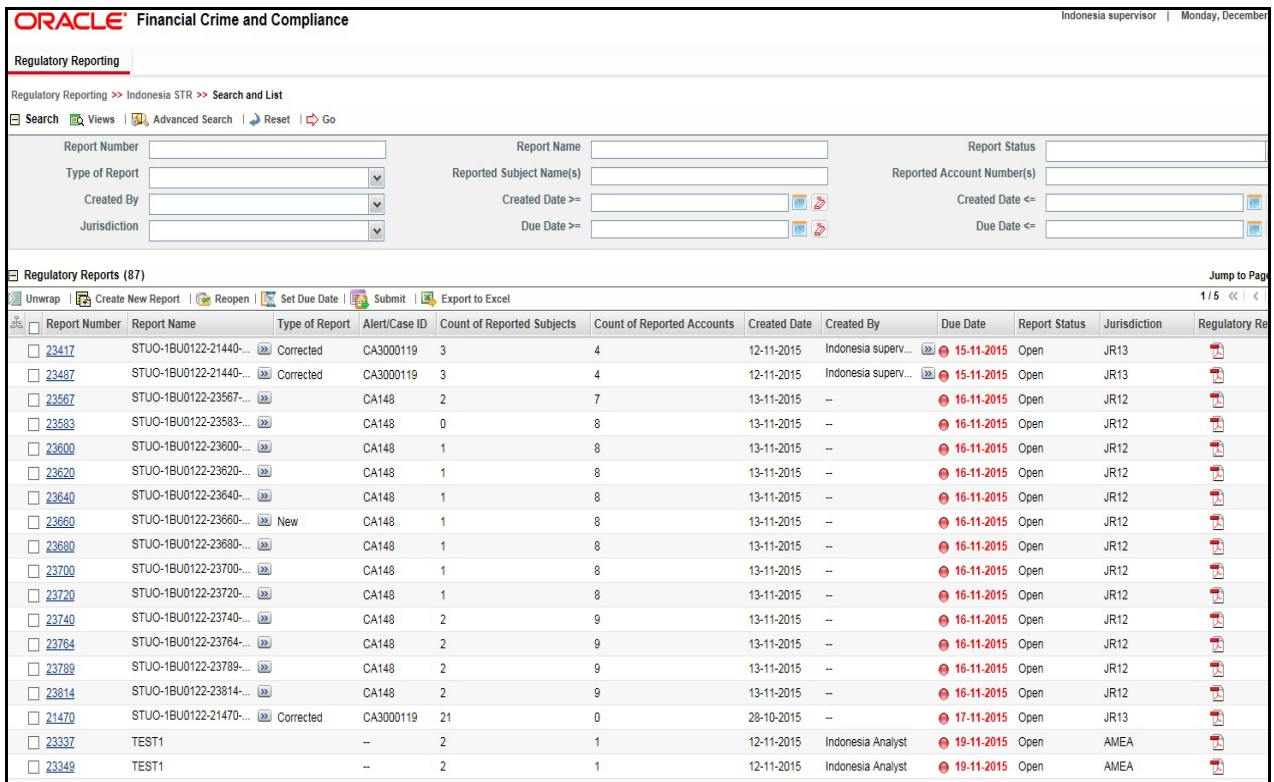
Figure 3. RR Search And List Page in OFSFCCM

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

- Users mapped to the RR Admin role can access the Administration menu.

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

- **Search and List:** This menu option allows you to navigate to the Search and List page. From this page you can use various criteria to search for Regulatory Reports.

- **Create New Report:** This menu option allows you to navigate to the Create New Reports page where you can initiate a user created Regulatory Report.

- **Administration:** The Administration menu displays the following sub-menus:

  - **User Administration:** This menu option allows you to map and maintain the security attributes for each user role.

  - **Web Service Configuration:** This menu option allows you to reset the Webservice password. For more information on resetting the User ID and Password, refer to the *Oracle Financial Services Compliance Regulatory Reporting Administration Guide* in OTN.

CHAPTER 3 — *Managing Compliance Regulatory Reporting*

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

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

Compliance Regulatory Reporting Workflow

This section explains the workflow of regulatory reports for users mapped to the role of Analyst and Supervisor. The following figure depicts the workflow involved in Compliance Regulatory Reporting application:
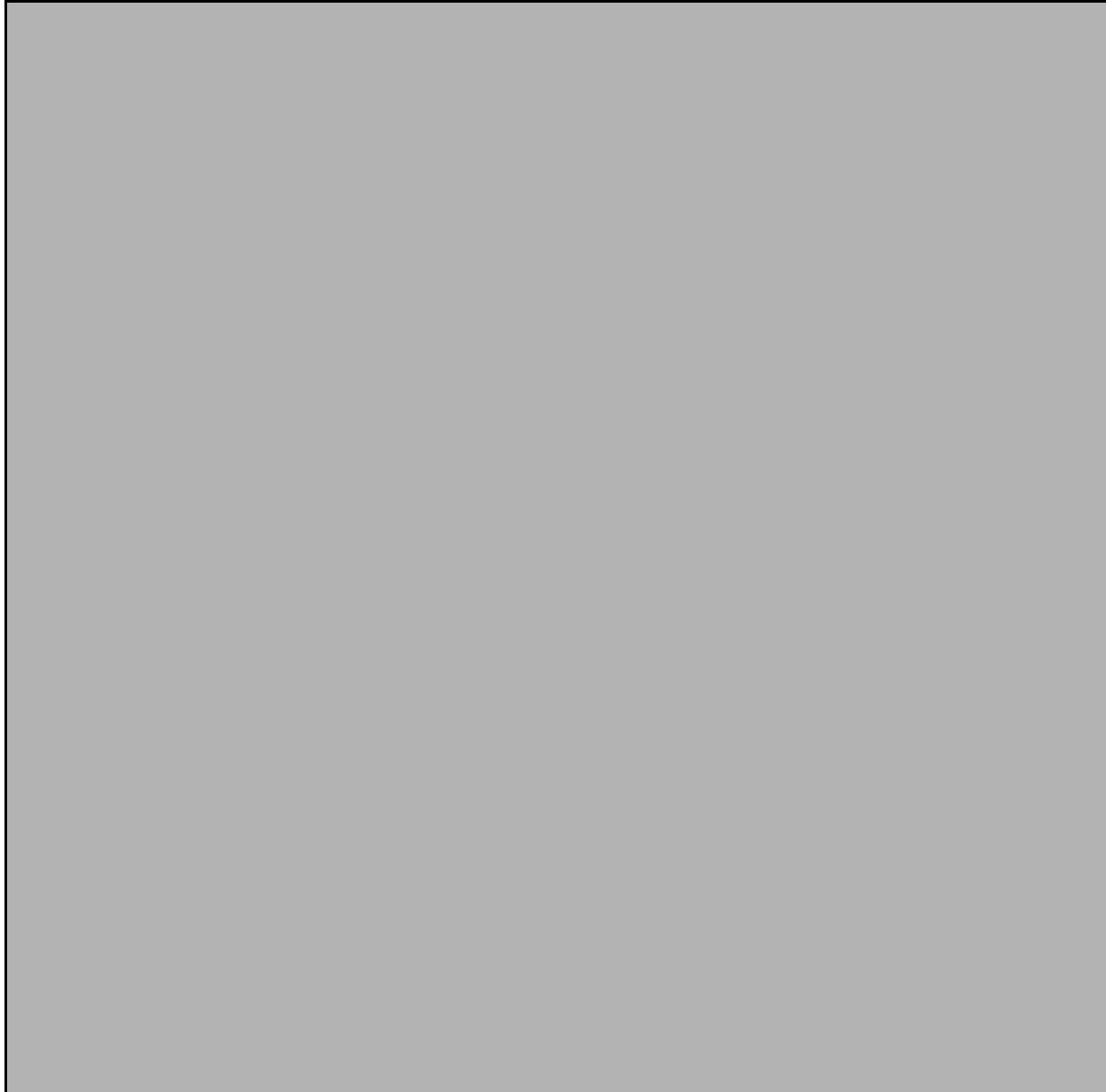
Figure 4. Compliance Regulatory Reporting workflow for Analyst and Supervisor

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

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

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

An Analyst or Supervisor can generate revised reports when the report is in *Submitted* status. A new report is created with *Open* status. There is no change to the STR status. The new report retains all the details of the original report. and records the originating report as the Prior Report Number.

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

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

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

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

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

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

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

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

Table 3. Action that can be performed in various statuses

Report Status	Possible Actions	Who can Perform	Report Status Changes To
Open	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst and Supervisor	Cancelled
Reopened	Request for Approval	Analyst	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst and Supervisor	Cancelled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	Cancelled
Approved	Submitted	Supervisor	Submitted
	Cancel Filing	Supervisor	Cancelled
Rework	Request for Approval	Analyst	Requested for Approval
Cancelled	Reopen	Analyst and Supervisor	Reopened
Submitted	Generate Revised Report	Analyst/Supervisor	No change to status

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

Table 4. Statuses in which Reports are editable by users

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

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

Table 5. Statuses in which Reports are viewed by users

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

Creating an STR

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

This section covers the following topics:

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

Creating STR from OFSFCCM

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

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

Creating STR on an Alert

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

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

Figure 5. Alerts Search and List Page

2. Click **Advanced Search**.

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

Figure 6. Alerts Advanced Search

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

4. Click **Go**.

5. Select the required alerts from the Alert Search and List page and click **Compliance Regulatory Reporting** in the Action bar.

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

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

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

Creating STR on a Case

To create an STR on a case from OFSFCCM, follow these steps:
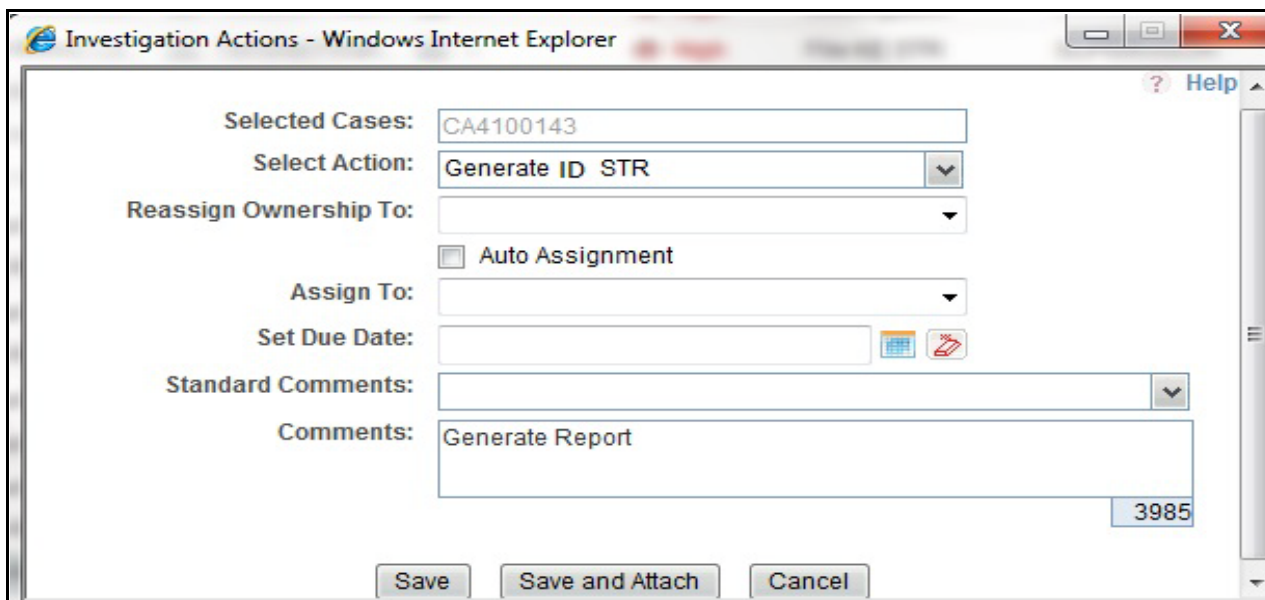
1. From the OFSFCCM home page, select **Cases - AML/Fraud** under the **Investigation** menu.

Figure 8. Cases AML/Fraud Search and List Page

2. Select one or more cases in *New* statuses from the Search & Case List page using the check boxes, and click the **Resolution** action category.

3. Select **Generate ID STR** from the Select Action drop-down list in the *Investigation Actions* Window and enter the comments

Figure 9. Investigation Actions Window

4. Click **Save**. The following confirmation message is displayed: *Would you like to save these actions?*

5. Click **OK**. A success message is displayed along with the Case ID. Click **OK**.

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

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

Sending Acknowledgement to OFSFCCM from Compliance Regulatory Reporting

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

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

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

*   Alert/Case ID (Alert/Case ID)

*   Acknowledgment Code – 0 (Meaning successful)

*   Report ID (System Generated)

*   Report Status

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

*   User ID failure

*   Unsuccessful mandatory information verification

*   System/Application Error

The negative acknowledgment sent to OFSFCCM contains the following details:

- Alert/Case ID

- Acknowledgment Code

    - 1 stands for Invalid User ID

    - 2 stands for Mandatory Information Missing

    - 3 stands for Format Failure

    - 4 stands for System/Application Error

- Error Description

    Note: If an alert or case fails to successfully complete the Generate ID 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 the OFSFCCM, and want to report the transaction to the regulator, you can manually create a new STR using the **Create New Report** option in OFS Compliance Regulatory Reporting.

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

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

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

Figure 10. Create New Report

2. Enter the required information in the fields.

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

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

Table 6. Creating New Report

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

Table 6. Creating New Report

Fields	Description
Attribute 3	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Case Type.
Attribute 4	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Sub Type.
Attribute 5	Classifies the attribute of a report being created. The attributes that are available in the drop-down list are based upon your firm's configuration. For example, Organization.
Created Date	This field is auto-populated with the current system date. **Note:** This field cannot be edited.
Created By	This field is auto-populated with the logged in user's name. **Note:** This field cannot be edited.

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

4. Click **OK**. The Report Details page is displayed.

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

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

Searching STRs

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

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

This section explains the following topics:

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

Searching Reports Using Simple Search

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

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

1. From the Regulatory Reporting menu, hover over Indonesia STR and click **Search and List**. The Search and List page is displayed.

Figure 11. Searching Reports using Simple Search

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

2. Enter the details in the relevant search fields to retrieve the list of reports. For detailed descriptions of search fields, refer *Table 7*.

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

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

Searching Reports Using Advanced Search

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

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

1. From the Regulatory Reporting menu, hover over Indonesia STR and click **Search and List**. The Search and List page is displayed.

Figure 12. Advanced Search

2. Click **Advanced Search** on the **Search** tool bar

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

- **Ascending** - This option allows you to sort the selected column in ascending order.

- **Descending** - This option allows you to sort the selected column in descending order.

- **Clear sort** - This option allows you to clear the selected sort option.

- **Field Chooser** - This option allows you to hide or display columns within the current list as well as modify the width of the columns. Click **OK** on Field Chooser to save the selected settings for the current session or click **Save** will save the selected settings for future logins.

- **Group by tab** - This option allows you to group the reports and display them in different tabs as per the selected column.

- **Group By Tree** - This option allows you to group the reports and display them in tree format as per the selected column.

3. Enter the search components to filter the reports.

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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Report Number	Enter the Report Number in the text field to search for details of the exact report. You can also search for multiple Report Numbers by entering a string of comma-separated values in this field. This field is not a wildcard search. You can enter a maximum of 255 characters in this field.	Simple Search and Advanced Search
Report Name	Enter the report name to display the list of reports with name as specified in the search criteria. This field supports a wildcard search. You can use the% and _ as wildcard indicators**.** You can enter a maximum of 50 characters in this field.	Simple Search and Advanced Search
Report Status	Select the report status from the drop-down list to display reports in the selected status. Following are the options available for the Report status drop-down list: ● Select All ● Open ● Requested for Approval ● Approved ● Rework ● E- File Generated (Not applicable for 'no batch filling') ● Cancelled ● Reopened ● Submitted ● Rejected from E- File (Not applicable for 'no batch filling') ● Acknowledged ('Not applicable for 'no batch filling') **Note:** This field allows searching of reports with multiple options selected.	Simple Search and Advanced Search
Type of Report	Select the type of report from the drop-down list to search for details of the exact report. Following are the options available for the Type of Report drop-down list: ● Select All ● New ● Corrected ● Delete	Simple Search and Advanced Search
Reported Subject Name(s)	Enter the Report Subject Name to search for customer name reported as subjects in the STR. This field supports a wildcard search. You can use the% and _ as wildcard indicators**.**	Simple Search and Advanced Search

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Reported Account Number(s)	Enter the account number of the accounts involved in the suspicious activity reported in the STR. You can perform multiple account number search by entering a string of comma-separated values in this field.	Simple Search and Advanced Search
Created By	Select the user who has created the report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected.	Simple Search and Advanced Search
Created Date >=	Select the created date from the calendar to display reports having a created date greater than or equal to the specified date. **Note:** You can either perform a range search using 'Created Date >=' and 'Created <=' or use them independently.	Simple Search and Advanced Search
Created Date <=	Select the created date from the calendar to display reports having a created date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Created Date <=' less than 'Created Date >=', the application displays the following message: *Please enter a 'Created Date <=' which is equal to or greater than 'Created Date >='.* 2. If you enter a value in created date <= greater than the system date, the application displays the following message: *Please enter a 'Created Date <=' which is earlier than or equal to sysdate.*	Simple Search and Advanced Search
Last Modified By	Select the user who has last modified the report from the drop-down list. **Note:** This field allows searching of reports with multiple options selected with user names displayed as drop-down options.	Advanced Search
Last Modified Date >=	Select the last modified date from the calendar to display reports having a last modified date greater than or equal to the specified date. **Note:** You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.	Advanced Search

Table 7. Components of RR Search Bar

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

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Submitted Date <=	Select the submitted date from the calendar to display reports having a submitted date lesser than or equal to the specified date. **Validations:** 1. While performing a range search, if you enter a value in 'Submitted Date <=' less than 'Submitted Date >=', the application displays the following message: *Please enter a 'Submitted Date <=' which is equal to or greater than "Submitted Date >='.* 2. If you enter a value in 'Submitted Date <=' greater than the system date, the application displays the following message: *Please enter a 'Submitted Date <=' which is earlier than or equal to sysdate.*	Advanced Search
Alert/Case ID	Enter the Alert/Case ID to display reports with the selected Alert/Case ID. You can perform a multiple Alert/Case IDs search by entering a string of comma-separated values in this field. This search is case-sensitive. You can enter a maximum of 255 characters in this field. **Note:** Alert/Case ID is the identifier that has triggered the creation of report in Compliance Regulatory Reporting application.	Advanced Search
Acknowledgement ID/ Tracking ID	Enter the Acknowledgement ID/ Tracking ID to display the report with the corresponding Acknowledgement ID that was received as acknowledgement when the report was submitted to the regulator.	Advanced Search
Prior Report Number	Enter the Prior Report Number to display the original report stored in the revised report.	Advanced Search
Jurisdiction	Select the jurisdiction from the drop-down list to display reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When an STR is created from an alert or case, the STR inherits the jurisdiction that was associated to that alert or case. Each user has access to a set of jurisdictions. Every STR is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the STR's jurisdiction.	Simple Search and Advanced Search

Table 7. Components of RR Search Bar

Criteria	Description	Search Components of Simple and Advanced Search
Due Date>=	Select the due date from the calendar to display reports having a due date greater than or equal to the specified date.	Simple Search and Advanced Search
Due Date<=	Select the due date from the calendar to display reports having a due date lesser than or equal to the specified date. **Note:** If there is a value provided for Due Date>= and if there is no value provided for Due Date<=, then all the reports which are created after the Due Date are displayed. **Validations:** 1. While performing a range search, if you enter a value in 'Due date <=' less than 'Due date >=', the application displays the following message: *Please enter a 'Due Date <=' which is equal to or greater than 'Due Date >='.*	Simple Search and Advanced Search

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

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

Searching Reports Using Pre-defined Views

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

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

1. From the Regulatory Reporting menu, hover over Indonesia STR and click **Search and List**. The Search and List page is displayed.

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

2. Click **Views** from the Search bar.

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

Figure 13. Searching Reports using Pre-defined Views

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

Pre-defined Views

Views	Description
Open/ Reopened/Rework - Reports Last Modified by Me	Select **Open/ Reopened - Reports Last Modified by Me** from the drop-down list to display the list of reports in *Open* or *Reopened*, or *Rework* status for which the logged in user is the last modifier. **Note:** This option is the default view for an Analyst user.
Reports Awaiting Approval	Select **Reports Awaiting Approval** from the drop-down list to display the list of reports in *Requested for Approval* status. **Note:** This option is the default view for a Supervisor user.

Pre-defined Views

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

Regulatory Reports List

The *RR List* grid is displayed as per the search criteria in the RR search page.

This displays the following columns:

- Report Number
- Report Name
- Type of Report
- Alert/Case ID
- Count of Reported Subjects
- Count of Reported Accounts
- Created Date
- Created By
- Due Date
- Report Status
- Jurisdiction
- Regulatory Report
- Documents
- Approved By
- Approved Date
- Submitted By
- Submitted Date
- Last Modified By
- Last Modified Date
- Prior Report Number

- E-File Number

- Reported Subject(s)

- Reported Account(s)

- Acknowledgement ID/ Tracking ID

   Note:

   ■   Count of Reported Subjects displays the total number of subjects reported in the STR.

   ■   Count of Reported Accounts displays the total number of accounts involved in the suspicious activity reported. It will have both source and destination accounts.

Saving Views

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

To save a view, follow these steps:

1. From the Regulatory Reporting menu, hover over Indonesia STR and click **Search and List**. The Search and List page is displayed.

2. Click **Advanced Search**. The Advanced Search page is displayed.

3. Enter the search criteria you want to save as view.

4. Click **Save as View.** The *Save as View* window is displayed.

Figure 14. Save As View Window

5. Enter the view name and view details. The View details box in the *Save as View* window allows a maximum of 255 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 255 characters in this box, the following message is displayed: *Number of characters exceeded.*

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 any other users.

Submitting an STR for Approval

This process involves the following steps:

- Entering Report Details

- Taking Action on Reports

Entering Report Details

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

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

The Report Details page allows you to manage following sections:

- Report Context

- Managing Reporting Institution

- Managing Reason of Report

- Managing Subjects

- Managing Suspicious Activity Information

- Managing Documents

- Viewing Audit

Report Context

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

Figure 15. Report Context

The report context includes the following information:

- Report Name

- Report Status

- Alert/Case ID

- Report Number

- Prior Report Number

- Created By

- Last Modified By

- Approved By

- Created Date

- Last Modified Date

- Approved Date

- Jurisdiction

- Due Date

- Acknowledgement ID/ Tracking ID

- E-File Number

- E-File Generated Date

- E-File Status

Managing Reporting Institution

This tab refers to the **Reporting Institution** section.

Figure 16. Reporting Institution Tab

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

- Reporting Office Address

● Reporting Financial Service Provider Head Office Address

Reporting Office Address

This section refers to the details specific to the Reporting Office Address. The following table explains the fields in the Reporting Office Address section:

Table 8. Reporting Office Address Details

Fields	Description
Suspicious Transaction's Reporting Office	Enter the name of the Suspicious Transaction's Reporting Office.
Province	This field displays the province based on where the reporting office is located. **Note:** This field is auto-populated as per the name of the Suspicious Transaction's Reporting Office selected.
Regency/ City	This field displays the province based on where the reporting office is located. **Note:** This field is auto-populated as per the name of the Suspicious Transaction's Reporting Office selected.

Reporting Financial Service Provider Head Office Address

This section refers to the details specific to the Reporting Financial Service Provider Head Office Address. The following table explains the fields in the Reporting Financial Service Provider Head Office Address section:

Table 9. Reporting Financial Service Provider Head Office Address Details

Fields	Description
Reporting FSP Name	Select the name of the Reporting FSP from the drop-down list. **Note:** The first record is populated by default.
Reporting Officer Name	This field displays the name of the user who has created the report.
Street Name	This field displays the street name based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.
RT	This field displays the local area code based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.
RW	This field displays the local area code based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.
Country	This field displays the name of the country based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.

Fields	Description
Province	This field displays the name of the province based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.
Regency/ City	This field displays the name of the Regency/ city based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.
District	This field displays the name of the district based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.
Sub District	This field displays the name of the sub district based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.
Village	This field displays the name of the village based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.
Postal Code	This field displays the postal code based on where the Reporting Financial Service Provider Head Office is located. **Note:** This field is auto-populated as per the name of the Reporting Financial Service Provider Head Office selected.

Managing Reason of Report

This tab refers to the **Reason of Report** section. This tab includes the following sections:

- Reasons of Report
- PPATK Request
- Postponement of Transaction
- Termination of Transaction
- PPATK Compliance Audit
- Relation to Other STR and Case

Figure 17. Reason of Report Tab

Reasons of Report

This section refers to the details specific to the reasons of report. The following table explains the fields in the Reasons of Report section:

Table 10. Reasons of Report Details

Fields	Description
Transaction not matching Profile	Select 'Yes' or 'No' depending on whether the transaction matches the customer's profile, characteristics and transaction pattern.
Avoid Reporting	Select 'Yes' or 'No' depending on whether the reporting was avoided.
Alleged Criminal Offense, If Known	Select the type of criminal offense from the drop-down list.

PPATK Request

This section refers to the details specific to the PPATK Request. The following table explains the fields in the PPATK Request section:

Table 11. PPATK Request Details

Fields	Description
PPATK Document Number	Enter the PPATK Document Number.

Table 11. PPATK Request Details

Fields	Description
PPATK Document Date	Select the date of PPATK Document.
Termination of Relationship	Select 'Yes' or 'No' depending on whether the relationship was terminated.

Postponement of Transaction

This section refers to the details specific to the Postponement of Transaction. The following table explains the fields in the Postponement of Transaction section:

Table 12. Postponement of Transaction Details

Fields	Description
Postponement Document Number	Enter the Postponement Document Number.
Postponement Document Date	Select the date of Postponement Document.
Postponement Date	Select the date for Postponement.

Termination of Transaction

This section refers to the details specific to the Termination of Transaction. The following table explains the fields in the Termination of Transaction section:

Table 13. Termination of Transaction Details

Fields	Description
Termination Document Number	Enter the Termination Document Number.
Termination Document Date	Select the date of Termination Document.
Termination Date	Select the date for Termination.

PPATK Compliance Audit

This section refers to the details specific to the PPATK Compliance Audit. The following table explains the fields in the PPATK Compliance Audit section:

Table 14. PPATK Compliance Audit Details

Fields	Description
Exit Meeting Date	Select the date of Exit Meeting.
Agreement of Commitment Date	Select the date of Agreement of Commitment.

Relation to Other STR and Case

This section refers to the details specific to the relation to other STR and Case. The following table explains the fields in the Relation to other STR and Case section:

Table 15. Relation to Other STR and Case Details

Fields	Description
Related to other STR	Select 'Yes' or 'No' depending on whether the Report is related to any other STR.
If Yes, Related STR Number	Enter the related STR Number. **Note:** This field is enabled only when the Related to other STR field is selected 'Yes'.
Report Type (New/Correction)	Select the Report Type.
If Correction, Previous STR Number	Enter the previous STR Number. **Note:** This field is enabled only when 'Correction' is selected as the Report Type.
Cancelled Transaction	Select 'Yes' or 'No' depending on whether the transaction was cancelled.
Related Case, If any	Enter the related case to this report, if any.
Other Reasons	Enter other reasons.

Managing Subjects

This tab refers to the Subjects section. This tab includes the following sections:

- Transactions
- Subjects

Figure 18. Subjects Tab

Transactions

This section refers to the details specific to Transactions. The Transactions list displays the following columns:

- Record Number

- Transaction Number

- Transaction Date

- Transaction Type

- Instrument Used

- Transaction Value (in IDR)

- Originating Party

- Receiving Party

- Conductor

Note: This list is not editable.

Subjects

This section refers to the details specific to Subjects. Based on the Subject Type, the corresponding values are displayed for the following columns:

- Record Number

- Person Name\ Corporate Name

- Subject Type

- Ownership

- Occupation or Business

- Tax ID #

- Phone #

- Indonesian Identity # \ License #

For a selected Subject Record, if the Subject Type is '**Individual**', then the following sections are displayed:

- Individual

- Residence Address

- Identification Details

- Occupation

- Work Address

Figure 19. Subjects- Individual (1) Details

Figure 20. Subjects- Individual (2) Details

Individual

This section refers to the details specific to the Individual. The following table explains the fields in the Individual section:

Table 16. Individual Details

Fields	Description
Ownership	Select the kind of Ownership from the drop-down list.
If fund owner, Specify Transaction Value	Select the Transaction value. **Note:** This field is enabled only when 'Fund Owner' is selected as Ownership.
Title	Enter the Title of the individual.
Full Name	Enter the full name of the individual.
Nickname / Alias	Enter the nick name / alias of the individual.
Gender	Select the gender of the individual.
Date of Birth	Select the date of birth of the individual.
Place of Birth	Select the place of birth of the individual.
Nationality	Select the Nationality of the individual from the drop-down list.
If WNA, Specify the Country	Select the Country of the individual from the drop-down list. **Note:** This field is enabled only if 'WNI' is selected as Nationality.

Residence Address

This section refers to the details specific to the Individual's residential address. The following table explains the fields in the Residence Address section:

Table 17. Residence Address Details

Fields	Description
Street Name	Enter the street name of the individual's residence.
RT	Enter the RT (local area code) of the individual's residence.
RW	Enter the RW (local area code) of the individual's residence.
Country	Enter the country of the individual's residence.
Province	Enter the province of the individual's residence.
Regency/ City	Enter the regency/ city of the individual's residence.
District	Enter the district of the individual's residence.
Sub District	Enter the sub district of the individual's residence.
Village	Enter the village of the individual's residence.
Postal Code	Enter the postal code of the individual's residence.

Identification Details

This section refers to the details specific to the Individual's identification. The following table explains the fields in the Identification Details section:

Table 18. Identification Details

Fields	Description
National ID card Number	Enter the National ID card Number of the individual.
Driver's License Number	Enter the Driver's License Number of the individual.
Passport Number	Enter the Passport Number of the individual.
Tax ID Number	Enter the Tax ID Number of the individual.
Other ID Type	Enter the type of any other ID for the individual.

Fields	Description
Other ID Number	Enter the Number for the other ID provided.
Phone Number 1	Enter the Phone Number of the individual.
Phone Number 2	Enter an alternate phone number of the individual.
Phone Number 3	Enter another alternate phone number of the individual.

Occupation

This section refers to the details specific to the Individual's occupation. The following table explains the fields in the Occupation section:

Table 19. Occupation Details

Fields	Description
Main Occupation	Enter the main occupation of the individual.
Position	Enter the position the individual holds.
Work Location	Enter the location of the individual's working company.
Side Occupation	Enter the side occupation of the individual.
Annual Income (In IDR)	Enter the annual income of the individual.

Work Address

This section refers to the details specific to the Individual's work address. The following table explains the fields in the Work Address section:

Table 20. Work Address Details

Fields	Description
Street Name	Enter the street name of the individual's work address.
RT	Enter the RT (local area code) of the individual's work address.
RW	Enter the RW (local area code) of the individual's work address.
Country	Enter the country of the individual's work address.
Province	Enter the province of the individual's work address.
Regency/ City	Enter the regency/ city of the individual's work address.
District	Enter the district of the individual's work address.
Sub District	Enter the sub district of the individual's work address.
Village	Enter the village of the individual's work address.
Postal Code	Enter the postal code of the individual's work address.

For a selected Subject Record, if the Subject Type is '**Company**', then the following sections are displayed:

- Company
- Corporate Address
- Administrative Document Details
- Stake Holders

Figure 21. Subjects- Company Details

Company

This section refers to the details specific to the Company. The following table explains the fields in the Company section:

Table 21. Company Details

Fields	Description
Ownership	Select the kind of Ownership from the drop-down list.
Corporate Name	Enter the Corporate name of the company.
Type of Business Structure	Select the Type of Business Structure from the drop-down list.
Business Field	Enter the Business Field of the company.
Description of the Business Field	Enter the Description of the Business Field.
Foreign Corporate	Select 'Yes' or 'No' depending on whether the company is foreign corporate.

Corporate Address

This section refers to the details specific to the company's address. The following table explains the fields in the Corporate Address section:

Table 22. Corporate Address Details

Fields	Description
Street Name	Enter the street name of the company's address.
RT	Enter the RT (local area code) of the company's address.

Fields	Description
RW	Enter the RW (local area code) of the company's address.
Country	Enter the country of the company's address.
Province	Enter the province of the company's address.
Regency/ City	Enter the regency/ city of the company's address.
District	Enter the district of the company's address.
Sub District	Enter the sub district of the company's address.
Village	Enter the village of the company's address.
Postal Code	Enter the postal code of the company's address.
Phone Number 1	Enter the Phone Number of the company.
Phone Number 2	Enter an alternate phone number of the company.
Phone Number 3	Enter another alternate phone number of the company.

Administrative Document Details

This section refers to the details specific to the Administrative Document of the company. The following table explains the fields in the Administrative Document Details section:

Table 23. Administrative Document Details

Fields	Description
Tax ID Number	Enter the Tax ID Number of the company.
Company Registration Number	Enter the Company Registration Number of the company.
Business License Number	Enter the Business License Number of the company.
Name of Other Business License	Enter the Name of Other Business License of the company.
Number of Other Business License	Enter the Number of Other Business License of the company.

Stake Holders

This section refers to the details specific to the Stake Holders of the company. The Stake Holders list displays the following columns:

- Record #
- Full Name
- Status
- Position
- Province
- Regency/ City
- Country

Figure 22. Stakeholders Details

A selected stake holder record displays the following fields and the stake holder's details can be added:

Table 24. Stake Holder Details

Fields	Description
Status	Select the status of the stakeholder from the drop-down list.
Position	Enter the position of the stakeholder.
Full Name	Enter the full name of the stakeholder.
Street Name	Enter the street name of the stakeholder's address.
RT	Enter the RT (local area code) of the stakeholder's address.
RW	Enter the RW (local area code) of the stakeholder's address.
Country	Enter the country of the stakeholder's address.
Province	Enter the province of the stakeholder's address.
Regency/ City	Enter the regency/ city of the stakeholder's address.
District	Enter the district of the stakeholder's address.
Sub District	Enter the sub district of the stakeholder's address.
Village	Enter the village of the stakeholder's address.
Postal Code	Enter the postal code of the stakeholder's address.

Managing Suspicious Activity Information

This tab refers to the Suspicious Activity Information section. This tab includes the following sections:

- Transactions

- Transaction Summary

- Account(s)/Third Party(s) used for or Related to Transaction

Figure 23. Suspicious Activity Information tab

Transactions

This section refers to the details specific to Transactions. The Transactions list displays the following columns:

- Record Number
- Transaction Number
- Transaction Date
- Transaction Type
- Instrument Used
- Transaction Value (in IDR)
- Originating Party
- Receiving Party
- Conductor

Note: This list is not editable.

Transaction Summary

This section refers to the details specific to Transaction Summary. The following table explains the fields in the Transaction Summary section:

Table 25. Transaction Summary Details

Fields	Description
Transaction Type	Select the type of Transaction from the drop-down list. **Note:** If multiple Transactions are involved, then the Transaction Type is of the transaction which has the largest transaction value.
Transaction Date	Enter the date of the transaction. **Note:** If multiple Transactions are involved, then the Transaction Date is of the transaction which has the largest transaction value.
Transaction Amount (In IDR)	Enter the Transaction Amount. **Note:** If multiple Transactions are involved, then the Transaction Amount is of the transaction which has the largest transaction value.
Transaction Amount (Foreign Currency)	Enter the Transaction Amount by also selecting the foreign currency from the drop-down list.
Transaction Instrument	Select the Transaction Instrument from the drop-down list.
Suspicious Transaction Details	Enter the Suspicious Transaction Details.
Name of Other Related Parties	Enter the Name of Other Related Parties.
Nationality	Select the Nationality of the individual from the drop-down list.

Account(s)/Third Party(s) used for or Related to Transaction

This section refers to the details specific to Account(s)/Third Party(s) used for or Related to Transaction. The Account(s)/Third Party(s) used for or Related to Transaction list displays the following columns:

- Record #
- Account Number
- Bank Account or Third Party
- Account Owner Name
- Account Type
- Bank Name/FSP Name
- Related Description

Figure 24. Add Account/ Third Party Details

A selected Account(s)/Third Party(s) used for or Related to Transaction record displays the following fields and the stake holder's details can be added:

Table 26. Add Account/ Third Party Details

Fields	Description
Bank Account or Third Party	Select the kind of account to be added. from the two options given. **Note:** By default, Bank Account is selected.
Account Number	Enter the account number.
Account Type	Select the type of account.
Account Owner Name	Enter the name of the Account Owner.
Bank Name/FSP Name	Enter the name of the Bank Name/FSP Name.
Related Description	Enter the related description for the account/ third party.

Managing Documents

This section refers to the details specific to Documents. The Documents list displays the following columns:

- Document ID

- Name

- Description

- Type of File
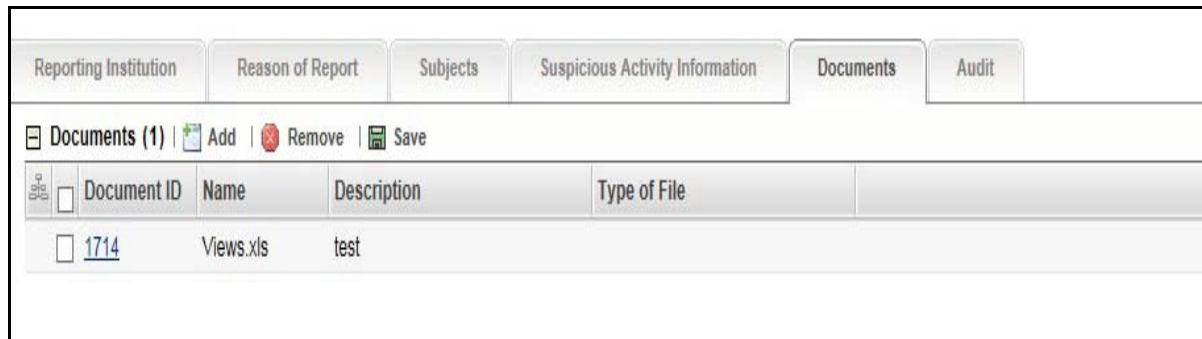
Figure 25. Documents Details

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

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

To attach a document, follow these steps:

1. Navigate to the Report Details page.

2. Click **Documents**. The Documents section is displayed.

3. Click **Add**. The Add Document window is displayed.
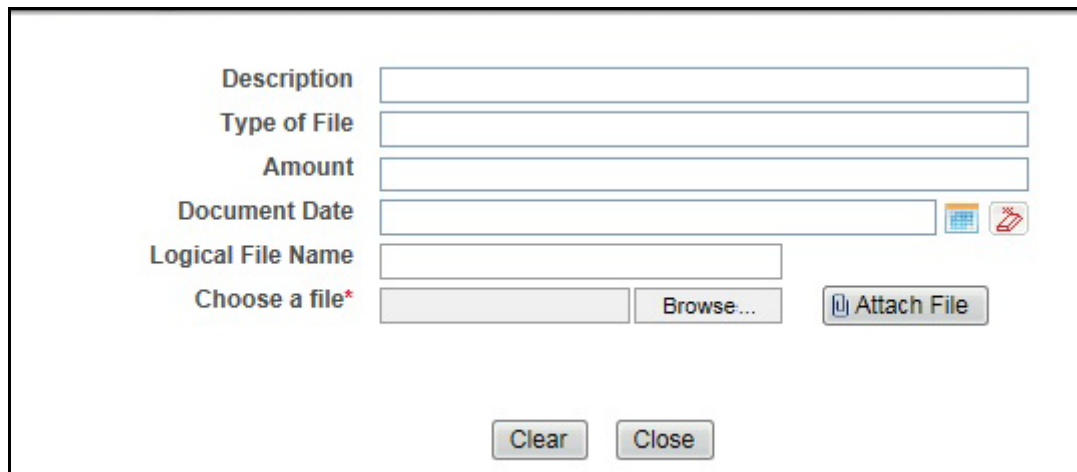
Figure 26. Add Document Window

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

Table 27. Add Document Fields description

Fields	Description
Description	Enter a brief description about the document attached.
Type of File	Enter the type of file.
Amount	Enter the amount.
Document Date	Enter the date of the document.
Logical File Name	Enter a logical file name for the document. **Note:** If there is no logical name entered, then the document name will be considered as the Logical File Name.
Choose a File	Browse the file on your machine and upload the file

5. Click **Attach File**. The following message is displayed: *Add Operation Successful*

6. Click **OK**. The file is attached and you are navigated back to the Add Document pop-up window.

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

Editing the Document Details

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

To edit the fields, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Documents** tab.

   The list of added documents associated with the report are displayed in the Documents grid.

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

   The document record changes into an editable mode.

4. Edit the required field.

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

6. Click **OK**. The document is updated with the latest changes.

Removing Documents

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

To remove the documents attached, follow these steps:

1. Navigate to the Report Details page.

2. Click the **Documents** tab.

   The list of documents associated to the reports is displayed in the Documents grid.

3. Select the check box of the document you want to delete.

4. Click **Remove**. The following message is displayed: *Are you sure you want to remove this record (s)?*

5. Click **OK**. The following message is displayed: *Record Removed Successfully.*

6. Click **OK**. The document is removed from the Documents grid.

Viewing Audit

The Audit tab displays actions taken on the report.

Figure 27. Audit Tab

The Audit tab displays the Actions grid.

OFSCRR captures the following actions in the Audit tab:

- Created From Alert/Case
- Created Manually
- Modified Reporting Institution
- Added Subject
- Modified Subjects
- Removed Subjects
- Added Stake Holder
- Modified Stake Holder
- Removed Stake Holder
- Modified Transaction Summary
- Added Account/ Third Party
- Modified Account/ Third Party
- Removed Account/ Third Party
- Added New Document
- Modified Document
- Removed Document
- Generate Revised Report
  - Originating Report
  - New Report

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

Table 28. Actions Grid Field Descriptions

Fields	Description
Date	Displays the date on which the action occurred.
Action By	Displays the name of the user who performed the action.
Action	Displays a short description of the action.
Comments	Displays the comments entered by the user while performing an action.

Taking Action on Reports

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

- Requesting the Report for Approval

- Approving Reports

- Reworking on Reports

- Cancel Filing of Reports

- Reopening Reports

- Submitting Reports

- Generating Revised Reports

Requesting the Report for Approval

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

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

For more information, refer to *Table 2.*

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

1. Navigate to the Reports Details page of report in either *Open, Reopen, or Rework* status.

2. Click **Request for Approval**.

Figure 28. Request for Approval Window

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

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

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

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

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

Approving Reports

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

To approve an STR, follow these steps:

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

2. Click **Approve**.

Figure 29. Approve Reports Window

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

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

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

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

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

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

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

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

Reworking on Reports

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

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

To send a report for rework, follow these steps:

1. Navigate to the Report Details page.

2. Click **Rework**. The *Rework* window is displayed.

Figure 30. Rework Window

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

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

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

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

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

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

Cancel Filing of Reports

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

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

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

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

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

1. Navigate to the Report Details page.

2. Click **Cancel Filing**. The *Cancel Filing* window is displayed.
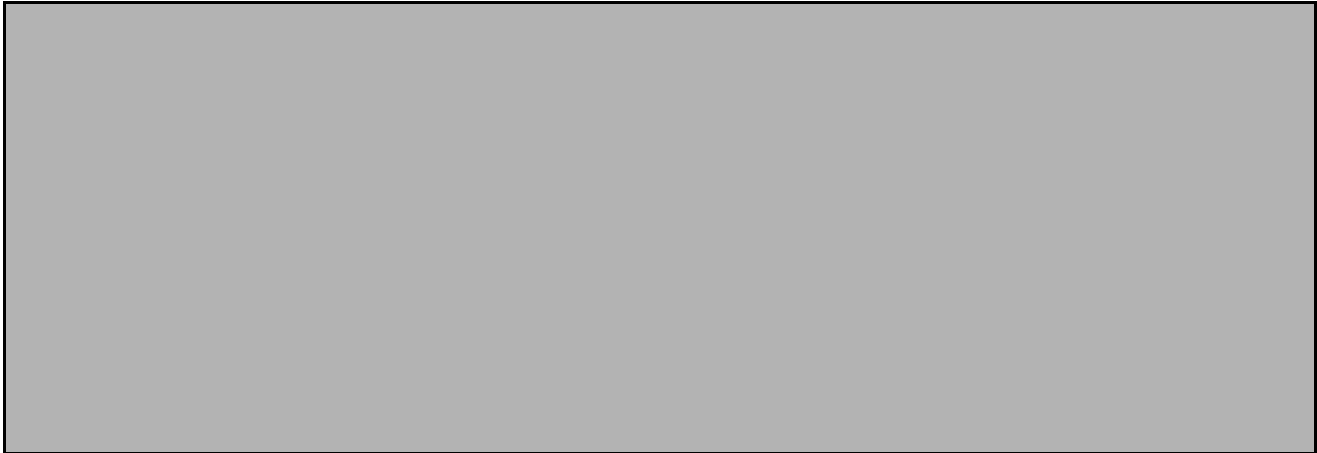
Figure 31. Cancel Filing Window

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

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

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

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

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

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

Reopening Reports

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

For more information, refer to Table 2.

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

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

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

Figure 32. Reopen Reports Window from Report Details Page

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

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

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

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

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

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

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

1. Navigate to the RR Search and List page.

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

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

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

Figure 33. Reopen Reports Window from Search and List Page

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

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

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

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

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

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

Submitting Reports

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

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

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

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

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

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

2. Click **Submit.** The *Submit Reports* Window is displayed.
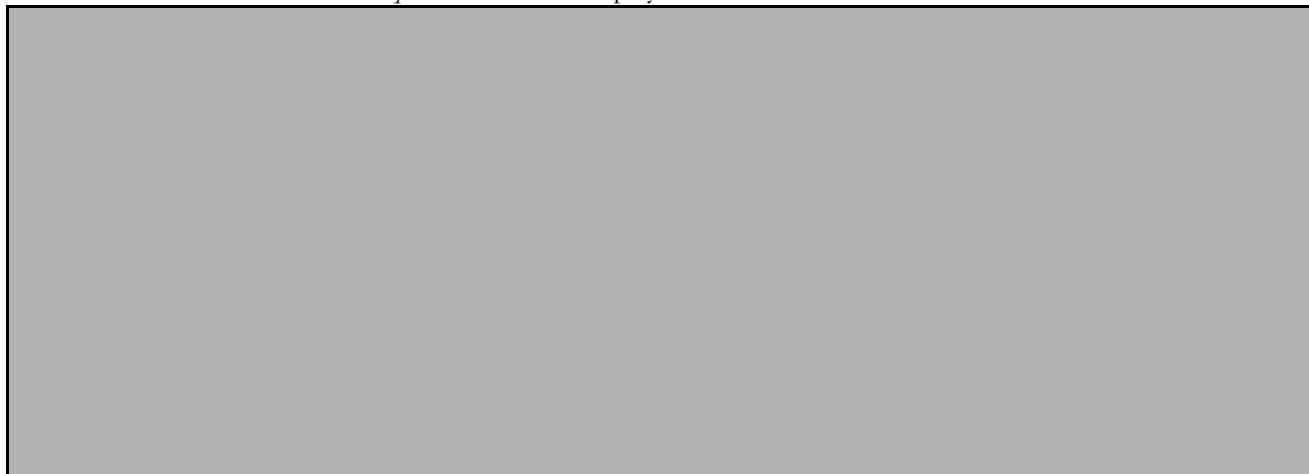
Figure 34. Submit Reports Window from Report Details Page

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

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

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

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

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

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

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

1. Navigate to the RR Search and List page.

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

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

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

Figure 35. Submit Reports Windows from Search and List Page

4. Enter the Acknowledgement ID/ Tracking ID and the comments in the *Submit Reports* window.

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

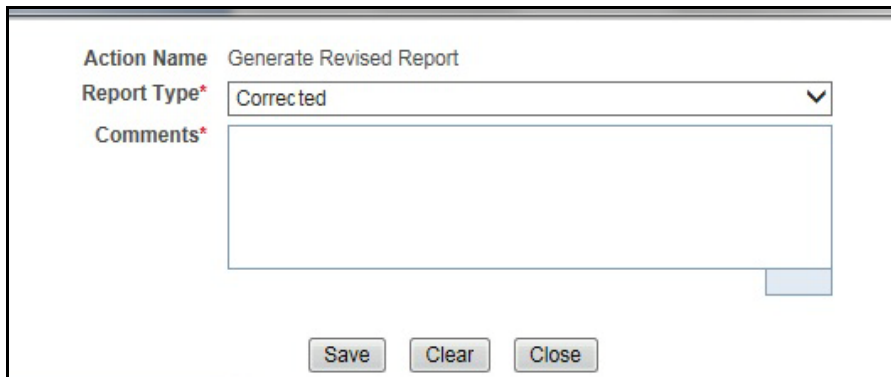6. Click **OK**. The RR Search and List page is displayed.

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

Generating Revised Reports

The Report Details page allows the authorized users to generate revised reports when the report is in *Submitted* status. When the user generates a revised report, a new report is created with *Open* status. There is no change to the STR status. The new report retains all the details of the original report and records the originating report as the Prior Report Number. These new reports will receive a default due date as associated with the configuration for newly created reports generated through action from an alert or case.

To generate revised reports, follow these steps:

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

2. Click **Generate Revised Reports**. The *Generate Revised Reports* window is displayed.

Figure 36. Generate Revised Reports Window

3. The Report Type is populated. Enter the comments in the *Generate Revised Reports* window.

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

   If you click **Save** without entering the comments in the *Generate Revised Reports* 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 *Open*.

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

Adding Comments to an STR

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

To add comments to a report, follow these steps:

1. Navigate to the Report Details page of a report.

2. Click **Add Comments**. The *Add Comments* window is displayed.
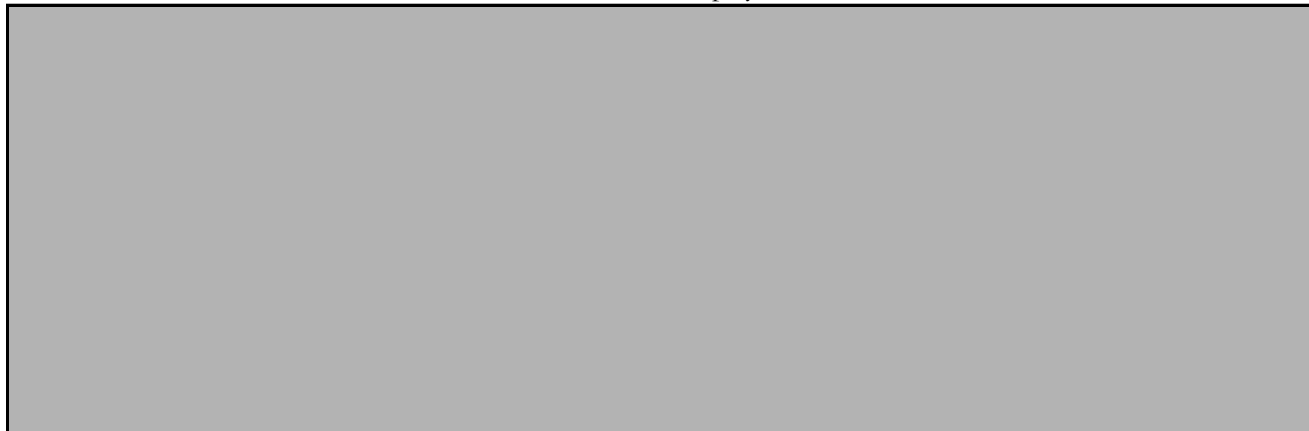
Figure 37. Add Comments Window

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

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

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

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

5. Click **OK**. The *Add Comments* window closes and displays the Report Details page.

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

Setting Due Date of an STR

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

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

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

Table 29. Statuses where Analyst and Supervisor can perform Set Due Date action

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

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

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

1. Navigate to the Report Details page of a report.

2. Click **Set Due Date**. The *Set Due Date* window is displayed.
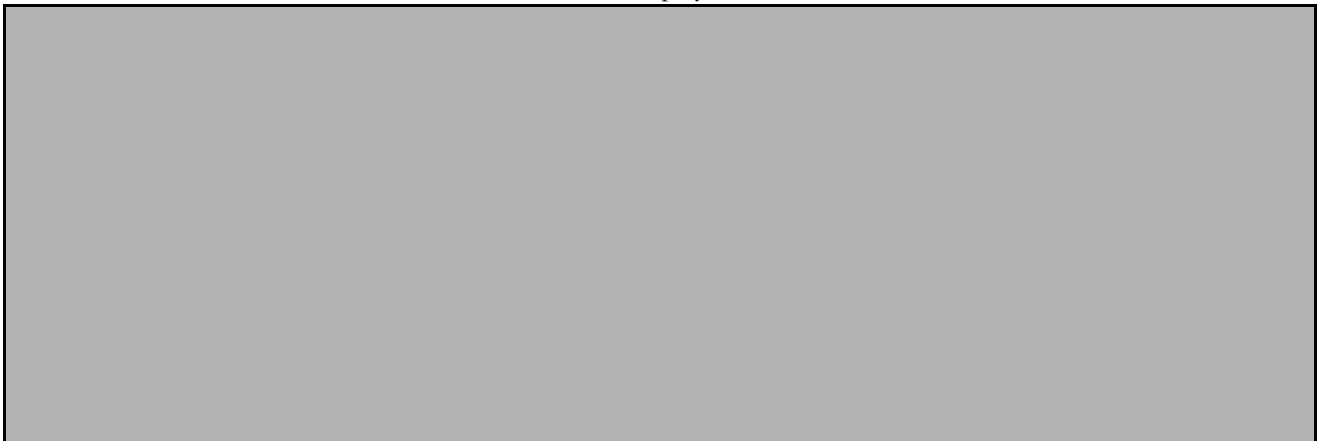
Figure 38. Set Due Date Window

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

    Note: This field is a mandatory field.

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

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

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

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

6. Click **OK**. The Report Details page is displayed.

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

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

1. Navigate to the RR Search and List page.

2. Select the check-box of the report you want to set a due date for.

3. Click **Set Due Date** in the Action bar. The Set Due Date window is displayed.

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

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

    Note: This field is a mandatory field.

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

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

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

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

7. Click **OK**. The RR Search and List page is displayed.

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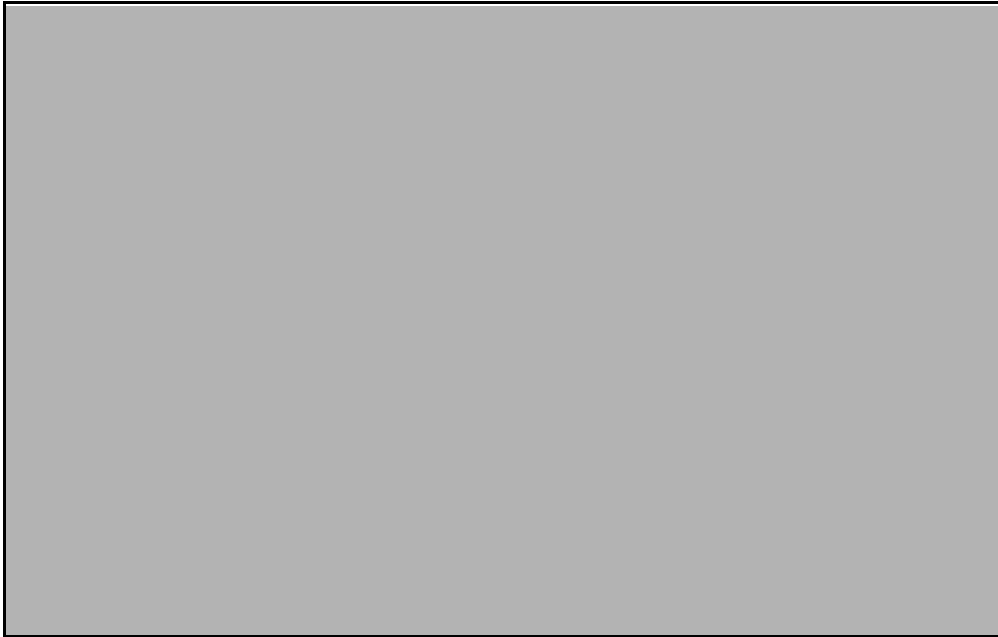
Exporting the Report Details to Excel

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

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

1. Navigate to the RR Search and List page.

2. Click **Export to Excel**. The *Export Properties* Window is displayed.

Figure 39. Export Properties Window

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

3. Set Document Type as **Excel** and select Form Data/Grid Data as **Grid** Data.

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

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

5. Click **Save** from the dialog box. The Save As dialog box is displayed.

6. Select a directory location where you want to save the file.

7. Enter a new name in the File Name field or the application automatically generates a name for the file to accept.

8. Click **Save**.

The application saves your file to the specified location.

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