

Oracle Financial Services

CRR Indian STR

User Guide

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ORACLE[®]
Financial Services

OFS CRR IN STR User Guide.

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Document Control

Table 1: Document Control

Version Number	Revision Date	Change Log
1.0	March 2022	This is the first publication of this guide.

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1 About This Guide

The *Oracle Financial Services Compliance Regulatory Reporting Indian Suspicious Transaction Reporting (OFS CRR IN STR) User Guide* provides step-by-step instructions to use the *OFS CRR IN STR* application.

1.1 Who Should Use This Guide

The *OFS CRR IN STR User Guide* is designed for use by various *OFS CRR IN STR* users. The roles and responsibilities of the *OFS CRR IN STR* application, include the following:

- **Analyst:** This user can access the *OFS CRR IN STR* regulatory reports, create new reports, edit or view report details, and add comments to the report. Users in this role can also request for approval, cancel the filing of reports in the *Open* and *Reopen* statuses, reopen canceled reports, and view or save the final report.
- **Supervisor:** This user can access the *OFS CRR IN STR* regulatory reports, create new reports, edit and view report details, and add comments to the report. Users in this role can also take actions on reports such as approve, rework, and cancel the filing of reports. This user can also submit reports.
- **Auditor:** This user can only view and add comments to reports.
- **RR Admin:** This user handles various configurations required to support the reporting workflow.

1.2 How this Guide is Organized

The *OFS CRR INS STR User Guide* includes the following chapters:

- **Chapter 2, About Indian STR**, provides an overview of the *OFS CRR IN STR* application and its workflow.
- **Chapter 3, Getting Started**, explains the steps to log in to the *OFS CRR IN STR* application and provides a brief overview of users and their roles in the application.
- **Chapter 4, Opening a Report**, describes various search options to open the existing reports in the application.
- **Chapter 5, Creating a Report**, explains how to create a new report manually.
- **Chapter 6, Analyzing a Report**, describes each tab (business and operational) pertaining to the selected report. This information aids you to take action on the selected report.
- **Chapter 7, Acting on a Report**, describes types of actions and steps to take these actions on the selected report.
- **Chapter 8, Filing a Report**, explains steps to generate an e-file for an approved report.

1.3 Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1: Conventions Used in this Guide

Conventions	Description
<i>Italics</i>	Names of books, chapters, and sections as references Emphasis

Table 1: Conventions Used in this Guide

Conventions	Description
Bold	<ul style="list-style-type: none">• The object of an action (menu names, field names, options, button names) in a step-by-step procedure• Commands typed at a prompt• User input
Monospace	<ul style="list-style-type: none">• Directories and subdirectories• File names and extensions• Process names• Code sample, including keywords and variables within the text and as separate paragraphs, and user-defined program elements within the text
Asterisk	Mandatory fields in User Interface
<Variable>	Substitute input value

2 About Indian STR

The Prevention of Money-laundering Act, 2002 (PMLA) and rules thereunder requires every reporting entity (banking company, financial institution, and intermediaries) to furnish suspicious reports to the Financial Intelligence Unit – India (FIU-IND).

The Government of India has set up FIU-IND to coordinate and strengthen the collection and sharing of financial intelligence through an effective national, regional, and global network to combat money laundering and related crimes. The FIU-IND is the national agency responsible for receiving, processing, analyzing financial transactions, and disseminating information related to suspect transactions to various national intelligence/enforcement agencies.

2.1 CRR Indian STR Application

The *OFS CRR IN STR* application is used to analyze the reports and take appropriate action on the report for a resolution.

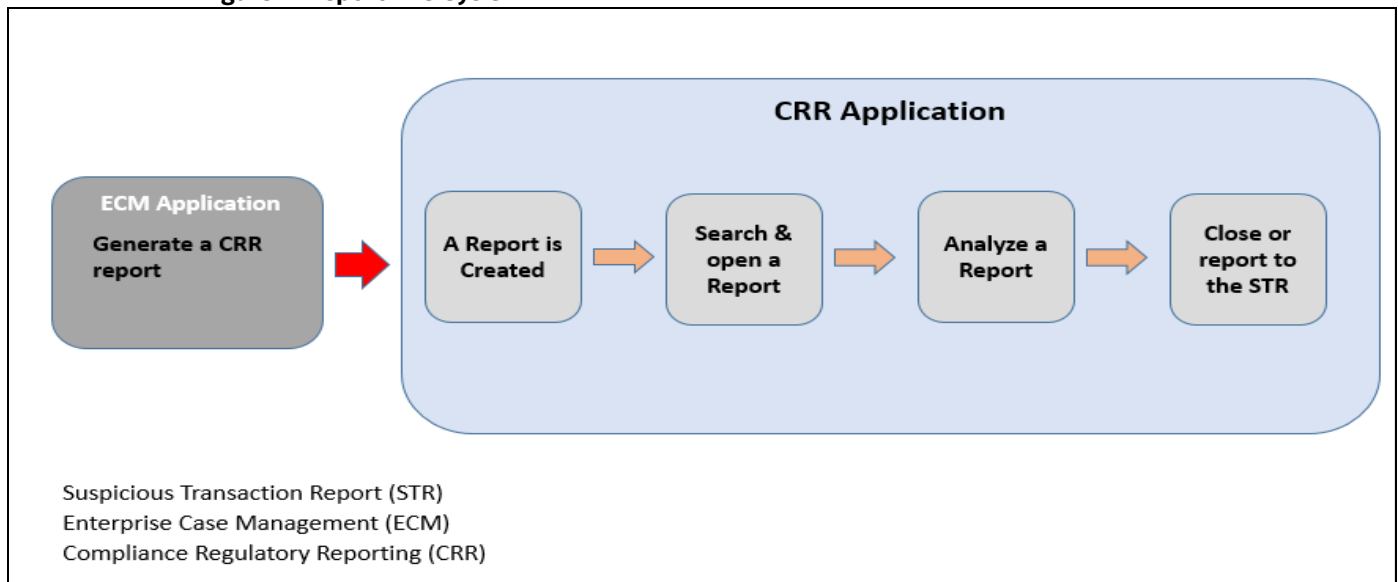
Reports are generated in the OFS CRR IN STR application as result of the Generate STR action taken on a case or cases in the Oracle Financial Services Enterprise Case Management (OFS ECM) application. The business data (transaction, account, and entity details) and operational data (narratives, documents, and comments) related to the case which led to the creation of a report are available in the OFS CRR IN STR application.

Using this information, authorized users analyze reports and report them to the FIU-IND or close them by providing appropriate details.

2.1.1 Report Life Cycle

The following image depicts the life cycle of a report.

Figure 1: Report Life Cycle



- **Generate a CRR Report:** After analyzing a suspicious case, if it is required to report to the regulator, you can take an action create a report. For more information, see the **Acting on Cases** chapter in the [OFS ECM User Guide](#).

- **Create a Report:** A report is created in OFS ECM and the related information is passed to the OFS CRR application using web service. The newly created report is available in the *OFS CRR IN STR* application and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable.

When you identify a report of suspicious behavior that is not reported through the OFS ECM application but want to report it to the regulator, you can manually create a new report using the *Create New Report* option in the *OFS CRR IN STR* application. For more information, see [Manually Creating a Report from OFS CRR IN STR](#).

- **Search and Open a Report:** To analyze the existing reports, you should open reports using basic, advanced, or views search criteria. For more information, see [Opening a Report](#).
- **Analyze a Report:** To take any kind of action on a selected report, you must thoroughly analyze the details. You should verify the details of the report such as involved accounts, transactions, reporting entity details, related documents, narratives, and audit history. For more information, see [Analyzing a Report](#).
- **Act on a Report:** Post analyses, you can take action on the selected report based on your privileges. For more information, see [Acting on a Report](#).

2.1.2 User Workflow

This section explains the workflow of *OFS CRR IN STR* for Analyst and Supervisor role.

When a report is created in the *OFS CRR IN STR* application through the OFS ECM application, the report details are auto-populated with information from the case, which triggered the action to generate the report. Users mapped to the role of Analyst can update a report that is in *Open* status and request the report's details for approval. During the edit and review process, the report is available to be viewed as a draft report.

A Supervisor can approve, rework, or cancel the filing of reports after the Analyst requests for approval. Supervisors can also edit report details and approve reports directly, if required.

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

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 canceled.

Authorized users can reopen the canceled reports. The report status then changes to *Reopened*.

For the complete list of actions the Analyst, Auditor, or Supervisor can perform on various report statuses, see [Table 2](#). For more information on user roles, see [Table 4](#).

A Report has a life cycle that begins with the *Open* status and ends when it is in the *Submitted* status.

If the report is already opened by another user, then that report is locked and can only be viewed.

Table 2 explains the action that are performed by users in various status.

Table 2: Action that can be performed in various statuses

Report Status	Actions	User Roles	Status Changes To
Open	Request for Approval	Analyst1 and Analyst2	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst1, Analyst2, and Supervisor	Canceled
Reopened	Request for Approval	Analyst1 and Analyst2	Requested for Approval
	Approve	Supervisor	Approved
	Cancel Filing	Analyst1, Analyst2, and Supervisor	Canceled
Requested for Approval	Approve	Supervisor	Approved
	Rework	Supervisor	Rework
	Cancel Filing	Supervisor	Canceled
Approved	Cancel Filing	Supervisor	Canceled
	Submit	Supervisor	Submitted
Rework	Request for Approval	Analyst1 and Analyst2	Requested for Approval
Canceled	Reopen	Analyst1, Analyst2, and Supervisor	Reopened

Table 3 explains the statuses in which an Analyst, Auditor, and Supervisor can edit the report details.

Table 3: Statuses in which Reports can be viewed and edited by users

Status	View/Edit Report Details			
	Analyst1	Analyst2	Supervisor	Auditor
Open	View and Edit	View and Edit	View and Edit	View-only
Reopened	View and Edit	View and Edit	View and Edit	View-only
Requested for Approval	View-only	View-only	View and Edit	View-only
Approved	View-only	View-only	View-only	View-only
Rework	View and Edit	View and Edit	View and Edit	View-only
Submitted	View-only	View-only	View-only	View-only
Cancelled	View-only	View-only	View-only	View-only

3 Getting Started

This chapter explains the steps to login to the *OFS CRR IN STR* application and provides a brief overview of the users and their roles.

3.1 User Access

Table 4 summarizes the tasks permitted to different user roles in the *OFS CRR IN STR* application.

Table 4: User Access

Actions	Analyst	Supervisor	Auditor	RR Admin
Regulatory Reporting Menu	x	x	x	
Administration Menu				x
View Report	x	x	x	
Request for Approval	x			
Approve		x		
Rework		x		
Cancel Filing from <i>Open</i> and <i>Reopen</i> status	x	x		
Cancel Filing from Requested for Approval and Approved status		x		
Add Report Comments	x	x	x	
View/Save Final Report	x	x	x	
Submit Approved Reports		x		
Reopen Canceled Reports	x	x		
View/Edit Configuration				x
Create a New Report	x	x		

3.2 Accessing the OFS CRR IN STR Application

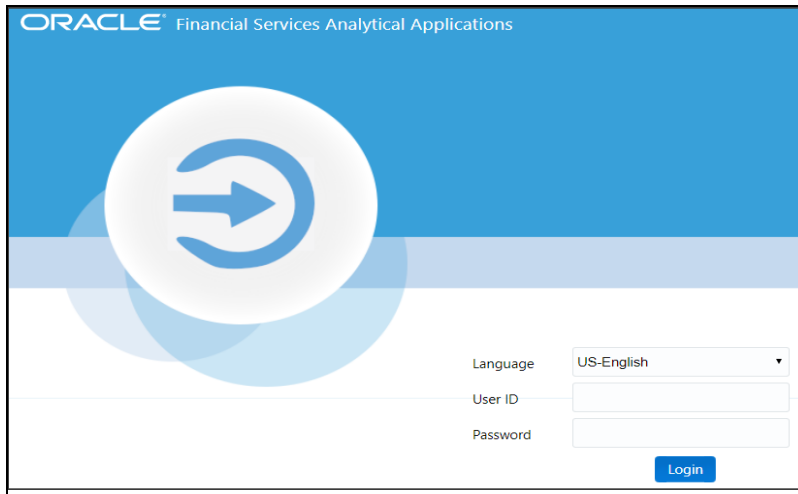
The *OFS CRR IN STR* application is qualified to run on Microsoft Internet Explorer (IE) or Google Chrome web browsers.

Your System Administrator provides the intranet address Uniform Resource Locator (URL), User ID, and Password to access the application. After your first login, you are prompted to change your password.

To access the *OFS CRR IN STR* application, follow these steps:

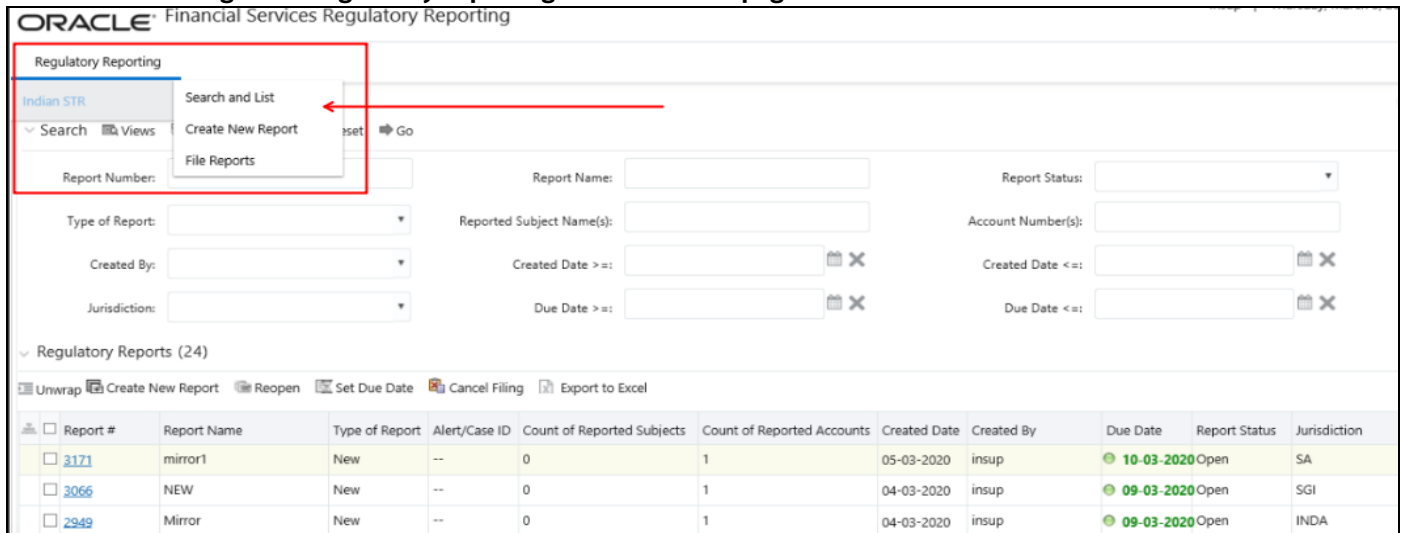
1. Enter the URL in the web browser using the following format:
`<Protocol>://<HostName>:<Port_Number >/crrinstr/login`
2. The *OFS Analytical Applications* login page is displayed.

Figure 2: Login page



3. Select the required language.
4. Enter your *User ID* and *Password* and click **Login**. The OFS Analytical Applications page is displayed.
5. Click the **Financial Compliance Regulatory Reporting Application**. The *Financial Compliance Regulatory Reporting Application* landing page is displayed.
6. From the **Navigation List** LHS menu, select **Compliance Regulatory Reporting**. The Compliance Regulatory Reporting menu is displayed.
7. Click **Indian STR**. By default, the *Search and List* page is displayed.
Or, hover over **India STR** to open *Create Report* or *File Report* page.

Figure 3: Regulatory Reporting Search and List page



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

- **Search and List:** Use this page to search and open required reports.
- **Create New Report:** Use this page to create reports manually.

- **File Reports:** Use this page to generate an E-File and file regulatory reports.
- **Administration:** Use this menu to view the following sub-menus:
 - **User Administration:** Use this sub-menu to map and maintain the security attributes for each user role.
 - **Web Service Configuration:** Use this sub-menu to reset the Web service password.

For more information on Administration and Web service guide, see [OHC](#).

4 Opening a Report

Use the *Search and List* page to filter the list of reports that you want to open, view, analyze, and/or take action.

The types of search supported are: Views, Basic Search, and Advanced Search. The Reports List section displays the list of reports you have specified in the search parameters. Use the Search and List page to perform the following search activities and view the results:

- **Basic Search:** This search is based on a limited set of search fields, such as Report Number, Report Status, and Report Name. This is the default search option.
- **Advanced Search:** This search is based on the ability to specify an additional set of fields to narrow down your search results.
- **Views:** This search helps you to quickly filter the reports based on pre-defined search queries. Select the search criteria from the **Views** option and filter the list of reports.
- **Saving Views:** Use this option to save your search criteria as a *View*. The saved views are available in the **Views** drop-down list.
- **Regulatory Reports List:** This is the list of reports that matches the search criteria provided.

4.1 Basic Search

This search is based on a limited set of search criteria and helps retrieve the required reports for your analysis. This search type is very useful if you know the report details such as report name, report number and so on. Only those reports that match the criteria you specify are displayed.

To search for reports using basic search criteria, follow these steps:

1. Go to the *Search and List page*. By default, the *Basic Search* option is displayed.
2. Enter the required fields as described in [Table 5](#).
3. Click **Search**. Report(s) matching your search criteria are displayed.

4.2 Advanced Search

The Advanced Search offers an additional set of fields to the search fields provided with the Basic Search. This option helps you narrow down your search results. You can use combinations of these search criteria to quickly find the reports you are looking for.

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

1. On the *Search and List* page, click **Advanced Search**. The *Advanced Search* window is displayed.

Figure 4: Basic and Advanced Search

The screenshot shows the 'Advanced Search' interface with the following fields:

- Report Number: [Text Input]
- Report Name: [Text Input]
- Report Status: [Dropdown]
- Type of Report: [Dropdown]
- Reported Subject Name(s): [Text Input]
- Account Number(s): [Text Input]
- Created By: [Dropdown]
- Created Date >=: [Date Picker]
- Created Date <=: [Date Picker]
- Last Modified By: [Dropdown]
- Last Modified Date >=: [Date Picker]
- Last Modified Date <=: [Date Picker]
- Approved By: [Dropdown]
- Approved Date >=: [Date Picker]
- Approved Date <=: [Date Picker]
- Submitted By: [Dropdown]
- Submitted Date >=: [Date Picker]
- Submitted Date <=: [Date Picker]
- Alert/Case ID: [Text Input]
- Prior Report Number: [Text Input]
- Jurisdiction: [Dropdown]
- Due Date >=: [Date Picker]
- Due Date <=: [Date Picker]

2. Enter the required information in the Advanced Search fields.

Table 5 explains the Advanced Search field details. Fields marked with *are mandatory.

Table 5: Advanced Search

Fields	Description
Report Number	Enter one or more report numbers you want to view. For multiple report numbers, separate the report numbers with a comma. Ensure that you do not enter a space after the comma. Report numbers are not case-sensitive. This overrides all other filter criteria. For example, 660,671. NOTE: You can enter a maximum of 50 characters in this field.
Report Name	Enter the report name you want to view. This field supports a wildcard search. You can use '%' and '_' as wildcard indicators. NOTE: You can enter a maximum of 50 characters in this field.
Report Status	Select one or more statuses from the following options: <ul style="list-style-type: none"> Select All Acknowledged ('Not applicable for 'no batch filling') Approved Cancelled E- File Generated (Not applicable for 'no batch filling') Open Rejected from E- File (Not applicable for 'no batch filling') Reopened Requested for Approval Rework Submitted
Type of Report	Select one or more report types from the following options: <ul style="list-style-type: none"> Select All Corrected Delete New

Table 5: Advanced Search

Fields	Description
Reported Subject Name(s)	Enter the customer(s) name reported as subjects in the report. This field supports a wildcard search. You can use the '%' and '_' as wildcard indicators.
Account Number(s)	Enter account (s) involved in the Suspicious Activity Report. You can enter multiple account numbers by using a comma to separate the entries.
Created By	Select the user who has created the report. You can enter multiple names by using a comma to separate the entries.
Created Date >=	Select the created date to view reports having a created date greater than or equal to the specified date. Using this criterion, you can view the reports created during the particular date range. For example, reports created on or after December 26, 2019 You can either perform a range search using 'Created Date >=' and 'Created Date <=' or use them independently.
Created Date <=	Select the created date from the calendar to view reports having a created date lesser than or equal to the specified date. Using this criterion, you can view the reports created during the particular date range. For example, reports created on or before December 26, 2019.
Last Modified By	Select the user who last modified the report. Use this criterion to view all the reports modified by the particular user. For example, Analyst1, Supervisor2, and so on.
Last Modified Date >=	Select the last modified date to view reports having a last modified date greater than or equal to the specified date. Using this criterion, you can view the reports modified during the particular date range. For example, reports modified on or after July 27, 2019 You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.
Last Modified Date <=	Select the Last Modified Date from the calendar to view reports having a last modified date lesser than or equal to the specified date. Using this criterion, you can view the reports modified during the particular date range. For example, reports modified on or before July 27, 2019.
Approved By	Select the name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.
Approved Date >=	Select the approved date to view reports having an approved date greater than or equal to the specified date. Using this criterion, you can view the reports approved during the particular date range. For example, reports approved on or after December 26, 2019.
Approved Date <=	Select the approved date from the calendar to view reports having an approved date lesser than or equal to the specified date. Using this criterion, you can view the reports approved during the particular date range. For example, reports approved on or before December 26, 2019.

Table 5: Advanced Search

Fields	Description
Submitted By	Select the user(s) who submitted the report. For example, Analyst1, Analyst2, and so on.
Submitted Date >=	Select the submitted date to view reports having a submitted date greater than or equal to the specified date. For example, reports submitted on or after July 18, 2019.
Submitted Date <=	Select the submitted date to view reports having a submitted date lesser than or equal to the specified date. For example, reports submitted on or before July 18, 2019.
Case ID	Enter the case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure that you do not enter a space after the comma. This overrides all other filter criteria. For example, CA660,ca671 NOTE: This search is not case-sensitive. You can enter a maximum of 255 characters in this field. Case ID is the identifier that has triggered the creation of a report in the OFS CRR application.
Acknowledgment ID/ Tracking ID	Enter the acknowledgment ID or tracking ID to view the report with the corresponding acknowledgment ID received as acknowledgment when the report was submitted to the regulator.
Prior Report Number	Enter the prior report number to view the original report stored in the revised report.
Jurisdiction	Select the jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction that was associated with that case. Each user has access to a set of jurisdictions. Every report is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction.
Due Date>=	Select the due date to view reports having a due date greater than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the particular date range. For example, reports having a due date on or after December 26, 2019.
Due Date<=	Select the due date from the calendar to view reports having a due date lesser than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the particular date range. For example, reports having a due date on or before December 26, 2019.

- Click **Go**. The reports matching your search criteria are displayed on the *Search and List* page. To perform a different search, click the **Reset** button and enter your search criteria again.

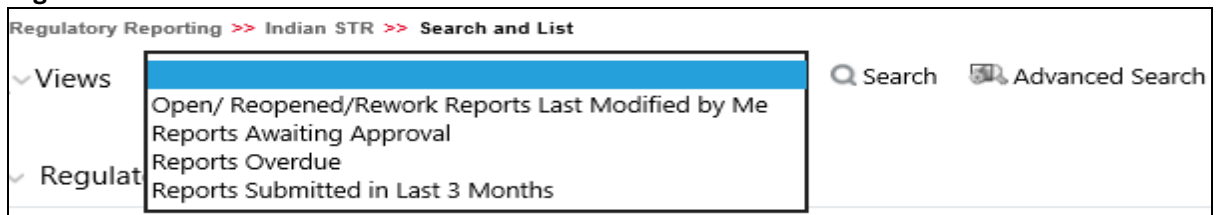
4.3 Views

Views search helps you quickly filter the reports based on pre-defined search queries. You can save your search criteria as *Views*. For more information on pre-defining the search as views, see [Saving Views](#).

To search reports using Views option, follow these steps:

1. On the *Search and List* page, click **Views** to view the available options.

Figure 5: Pre-defined views



2. Select the out of box pre-defined views as described in [Table 6](#). The Search and List page refreshes to show the results matching the *View* search criteria.

You can also create your pre-defined views. For more information, see [Saving Views](#)

[Table 6](#) explains the Pre-defined field details. Fields marked with *are mandatory.

Table 6: Pre-defined views

Views	Description
Open/ Reopened/ Rework - Reports Last Modified by Me	Select this option to view the list of reports in the <i>Open, Reopened, or Rework</i> status which you have modified in the last session. NOTE: This is the default view for an Analyst.
Reports Awaiting Approval	Select this option to view the list of reports in <i>Requested for Approval</i> status. NOTE: This is the default view for a Supervisor.
Reports Overdue	Select this option to view the list of reports that have exceeded their due dates. When a report has passed its due date or when the due date is the same as the system date, the reports in the list are highlighted in <i>Red</i> .
Reports Submitted in Last 3 Months	Select this option to view the list of reports that were submitted in the last three months.
All Views saved by the user	Select <i>Views</i> that you have created and saved using the Save as View option. For more information, see Saving Views .

4.4 Saving Views

Use *Save as View* option to save your search criteria as a *View*. The saved views are available in the *Views* drop-down list. For more information, see [Views](#).

For example, if you regularly search for reports approved by Supervisor1 and reports approved on or before December 2019, you can pre-define a search as *SupDecember* under *Views*. When you login to the application next time, rather than re-entering search criteria, you select the required pre-defined view as *SupDecember* and filter the reports.

To save your search criteria as a view, follow these steps:

1. On the *Search and List* page, click the **Advanced Search**. The *Advanced Search* window is displayed.
2. Enter the search criteria in the search fields. For more information on the search criteria, see [Table 5](#).

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

4. Enter the view name and view details. The field marked with * an asterisk is mandatory.

NOTE The View Details field allows a maximum of 255 characters.

5. Click **Save** to add a new pre-defined view.
6. Click **OK**. The view is saved and displayed in the *Views* drop-down list.

NOTE The saved view is available only to the user who has created it, not to other users.

4.5 Regulatory Reports List

Use the *Regulatory Reports List* section to view the list of reports based on your search criteria. Click the required report number to view additional information of reports that you can use to analyze or take actions. By default, all reports are displayed if you do not use any search criteria to filter the list.

NOTE If the report is already opened by another user, then that report is locked. You can only view that report.

Report #	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
2949	Mirror	New	--	0	1	04-03-2020	insup	09-03-2020	Open	INDA
2926	jdj	New	--	0	1	04-03-2020	insup	09-03-2020	Open	AMEA
2845	test	New	--	0	1	03-03-2020	insup	08-03-2020	Open	SGI
2810	Manual	New	--	0	1	03-03-2020	insup	08-03-2020	Open	SGI
2795	darshal	New	--	0	2	03-03-2020	insup	08-03-2020	Open	INDA
2431	testing	Replace...	--	0	0	03-03-2020	insup	03-03-0020	Open	AMEA
2441	testing	Replace...	--	1	1	03-03-2020	insup	03-03-0020	Open	AMEA
2421	testing	Replace...	--	1	1	03-03-2020	insup	03-03-0020	Open	AMEA

Use the *Regulatory Reports* list section to perform the following tasks:

- Select the required report(s) to take actions such as Set Due Date, Cancel Filing, Export to Excel, and so on.
- Click the report number to view details pertaining to the report in the *Report Details* page.
- Sort list of values in the column by using *Sort Ascending*, *Sort Descending*, and *Clear the sort* options. Right-click on the column and select the required sort option to view the list.

- View column headers (Report Name, Created Date, Due date, and so on) of your choice by using the *Field Chooser* option. Right-click on the column and select the required columns header names and the size of the column from the *Field Chooser* list to view.
- Navigate pages using the *Pagination* option. Enter the page number or use arrows to navigate to and fro.
- In the *Due Date* column, dates in green will expire in few days. Dates in yellow indicate that due date is nearing, and dates in red indicate that the due date has expired.

5 Creating a Report

When a report is created in the *OFS CRR IN STR* application through the OFS ECM application, the report details are auto-populated with information from the case, which triggered the action to generate the report. The newly created report is available in the *OFS CRR IN STR* application and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable.

When you identify a report of suspicious behavior that is not reported through the OFS ECM application but want to report it to the regulator, you can manually create a new report using the *Create New Report* option in the *OFS CRR IN STR* application. For more information, see [Manually Creating a Report from OFS CRR IN STR](#).

5.1 Acknowledgment to OFS ECM

When the *OFS CRR IN STR* application receives a report from the OFS ECM application, it sends an acknowledgment to the OFS ECM application when all the mandatory information is verified.

To send the acknowledgment, the *OFS CRR IN STR* Administrator must set the status to Y. If the status is set to N, the *OFS CRR IN STR* application does not send any status update to the OFS ECM application. By default, the ECM STATUS UPDATE FLAG is set to Y. For more information on configuration, see the [OFS ECM Administration Guide](#).

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

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

If there is an error, the *OFS CRR IN STR* application sends a negative acknowledgment to the OFS ECM application. The error may be due to the following reasons:

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

The acknowledgment sent to the OFS ECM application contains the following details:

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

NOTE If a case fails to complete the *Generate Report* action successfully, the failure is recorded in the *Case Audit History*.

5.2 Manually Creating a Report from OFS CRR IN STR

When you identify a report of suspicious behavior that is not reported through the OFS ECM application but want to report it to the regulator, you can manually create a new report using the *Create New Report* option in the *OFS CRR IN STR* application.

Only Analyst and Supervisor users can create a new regulatory report.

To create a new report, follow these steps:

1. On the *Search and List* page, click **Create New Report**. The *Create New Report* window is displayed.

2. Enter the required information in the Create New Report fields.
3. [Table 7](#) explains the Advanced Search field details. Fields marked with *are mandatory.

Table 7: Creating a New Report

Fields	Description
Report Name	Enter the name for the new report. NOTE: Enter up to fifty characters.
Report Type	This field is auto-populated with the report type. For example, Indian STR.
Attribute 1	This attribute specifies the jurisdiction for the report. For example, AMEA, JAPAC, and so on.
Attribute 2	This attribute specifies the business domain for the report. For example, bank, financial institute, and so on.
Attribute 3	This attribute specifies the case type for the report. For example, AML, KYC, and so on.
Attribute 4	This attribute specifies the organization for the report. For example, the name of the organization.
Attribute 5	This attribute specifies the source for the report. For example, Money laundering, currency transaction, and so on.
Created Date	This is auto-populated with the current system date.
Created By	This is auto-populated with the logged-in user's name.

4. Click **Save** to create a new report. The newly created report is available in the Report List for further analysis and actions.

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

NOTE

The report details of a manually created report are not sent to the OFS ECM application.

6 Analyzing a Report

Use the *Report Details* page to view, analyze, and update the report information. You can add, delete, and modify the report details based on the status of the report and your user privileges. For more information, see [Table 3](#).

The *Report Details* helps you analyze the selected report details and it includes the following sections:

- **Accessing Report Details:** Use this section to access the specific *Report Details* page. Click the required **Report Number** on the *Regulatory Reports List* page to open the *Report Details* page.
- **Reporting Entity Information:** Use this section to know more about report details, reporting entity, or particulars of the Principal Officer (PO).
- **Accounts Information:** Use this section view list of accounts involved with the selected report. You can analyze the details pertaining to them and if required you can also modify, delete, and add a new account to the report.
- **Description of Suspicious Activity:** Use this section to view list of entities (Individual or Institution) involved with the report and analyze the details pertaining to them.
- **Narrative and Actions:** Use the section to summarize any suspicious activity and to mention the action taken by the reporting entity.
- **Documents:** Use this section to add related documents to the selected report.
- **Audit:** Use this section to view the audit history of a report. It provides complete details of the actions performed on the report and comments provided by the users in the various statuses.

6.1 Accessing Report Details

To access the *Report Details* page, follow these steps:

1. On the *Search and List* page, click the **Report Number** link. The *Reports Details* page is displayed. By default, the *Report Entity Information* section is displayed.

Click [Accounts Information](#), [Description of Suspicious Activity](#), [Narrative and Actions](#), [Documents](#), or [Audit](#) tabs to view more details pertaining to the selected report.

Figure 6: Report Details

The *Report Context* section displays the report name, report status, the person who created, and so on to take further action. click **+** to expand the **Report Context** section.

2. To collapse the *Report Context* section, click **-**.

6.2 Reporting Entity Information

Use this page to view and update information pertaining to the entity who has reported this specific report, including the person's details, and report details. The Reporting Entity Information is the default section of the *Reports Details* page and it provides the following information:

- **Report Details:** Use this section to view and update the information related to the selected report.
- **Reporting Entity/Principal Officer:** Use this section to view and update the information about the reporting entity who has reported to the regulator.

You can view and modify the reporting entity information based on the status of the report and your user privileges. For more information, see [Table 3](#).

6.2.1 Report Details

Use this section to analyze or update the details pertaining to the selected report.

Figure 7: Report Details

1. Enter the information in the Report Details fields.

Table 8 explains the Report Details field details. Fields marked with * asterisk are mandatory.

Table 8: Report Details

Fields	Description
Batch Type	The batch type is auto-populated as per the report details. Reporting entities mention a unique series of numbers or names for each batch when they report.
Submission Date	The date on which the report is submitted by the entity to the regulator.
Main Person Name	The name of the main person who has reported to the regulator.

6.2.2 Reporting Entity/Principal Officer

Use this section to view or update the information about the reporting entity and its principal officer who has approved and reported the report to the regulator.

Figure 8: Reporting Entity/Principal Officer

2. Select the reporting entity name and other fields are auto-populated to provide the information about the reporting entity.

Table 9 explains the Report Entity fields.

Table 9: Report Entity

Fields	Description
Reporting Entity Name	Select the reporting entity.
Reporting Entity Category	The category to which the reporting entity belongs. For example, public sector banks, foreign banks, private sector banks, and so on.
Registration Number	The registration number of the reporting entity. This number can be the registration number or any number used in correspondence with the regulator. This number will be used during verification of the registration of the reporting entity and in correspondence with the regulators.
FIU Reference ID	The Financial Intelligence Unit (FIU) reference ID of the reporting entity.
PKI Certificate Number	Public Key Infrastructure (PKI) number. It is used when a digital certificate is used to authenticate the report.

6.2.2.1 Particulars of the Principal Officer (PO) Details

The principal officer is the head of the entity and authorized signatory to submit the report to the regulator.

Use this section to view the information about the PO such as name, address, phone, and so on.

Figure 9: Particulars of the Principal Officer (PO) Details

3. Select the PO name to view the particulars of the principal officer’s details. Other fields are auto-populated as per the PO’s name is selected.
4. Click **Validate** to authenticate the details and click **Save** to update the reporting entity information.

6.3 Accounts Information

A report must include information regarding any involvement of suspicious accounts and related transactions. Every report has involved accounts which must be analyzed. If an account is assessed to be irrelevant to associate with the report, you can delete it or modify details. You can also add new accounts to the report if you identify additional suspicious accounts involved with the selected report.

You can view and modify the account information based on the status of the report and your user privileges. For more information, see [Table 3](#).

This tab provides information about accounts that are involved with the selected report. Use this tab to perform the following tasks:

- **Involved Account:** Use this section to view, remove, and modify accounts that are involved with the selected report.
- **Adding a New Account:** Use this section to add a new account if you identify a suspicious account is involved with the selected report.

6.3.1 Involved Account

Use this section to view the list of involved accounts and their details such as account name, account status and so on. Select the required account number to analyze the account, person/account owner details, and transactions to take appropriate decisions on the report. Based on your analysis, you can update the relevant information. You can also delete the account if it is irrelevant to associate with the selected report.

Figure 10: Involved Account

Record #	Account Number	Account type	Account Holder Name	Account Holder Type	Account Status	Acct opening Date	Risk Rating
<input type="checkbox"/> 2	786	Health I...	KK TEST	Central/State Government ow...	Active	--	High Risk Account
<input type="checkbox"/> 1	ACT124	Others	ACTNAME124	Others	Closed	05-12-2019	High Risk Account

To modify or delete an existing account, follow these steps:

1. On the **Account Involved** section, click the record number to open the required account to view and update the information. For more information on the fields, see [Adding a New Account](#) section.
2. To delete an existing account from the list, select the required account(s) and click **Remove**. The *Involved Account* list is updated.

6.3.2 Adding a New Account

Use this section to add a new account if you identify a suspicious account involved with the selected report. Use the *Add* option to add account details, corresponding branch details, account owner details, and transactions. When you opt to add an account, the initial section allows you to add only account details and corresponding branch details. To add [Person/Account Owner Details](#) and [Transactions](#), go to the Account Involved List and select the required account number and then add respective details.

To add an account, follow these steps:

1. On the *Account Involved* section, click **Add**. The Account Details section is displayed.

Figure 11: Adding a New Account

2. Enter the information in the Account Details fields.

[Table 10](#) explains the Involved Account field details. Fields marked with * asterisk are mandatory.

Table 10: Involved Accounts Details

Fields	Description
Account Number	Enter the account number. NOTE: Enter twenty or fewer numbers.
Account Type	Select the account type as savings account, current account, or so on.
Account Holder Name	Enter the name of the first/sole account holder. NOTE: Enter eighty or fewer characters.
Account Holder Type	Select the account holder type as a resident individual, legal person/entity, central/state government, and so on.
Account Status	Select the account status as active, closed, and so on.
Account Opening Date	Enter the account opening date.
Risk Rating	Select the risk category as per the internal risk assessment as High-Risk Account, Medium Risk Account, Low-Risk Account, or Not categorized.

Table 10: Involved Accounts Details

Fields	Description
Cumulative Credit Turnover	Enter the cumulative credit turnover. This is the sum of all credits in the Bank account from 1st April of the financial year till the last day of the month of reporting. If a report is being furnished for January 2020 then transactions from the 1st of April 2019 to 31st of January 2020 have to be aggregated. The amount should be rounded off to the nearest rupee without decimal. For STRs generated in the middle of the month, the transactions up to the generation of alert need to be aggregated.
Cumulative Debit Turnover	Enter the cumulative debit turnover. This is the sum of all debts in the account from the 1st of April of the financial year till the last day of the month/alert. The amount should be rounded off to the nearest rupee without decimal.
Cumulative Cash Deposit Turnover	Enter the cumulative cash deposit turnover. This is the sum of cash deposits in the account from 1st of April of the financial year till the last day of the month/alert. The amount should be rounded off to the nearest rupee without decimal.
Cumulative Cash Withdrawal Turnover	Enter the cumulative cash withdrawal turnover. This is the sum of cash withdrawals in the account from the 1st of April of the financial year till the last day of the month/alert. The amount should be rounded off to the nearest rupee without decimal.
No Transaction to report	<p>If no transaction is required to be reported then select:</p> <ul style="list-style-type: none"> ● Yes (No transaction to be reported) ● No (Transactions are reported) ● Not Categorized <p>This information will be used to identify accounts in which no transactions are required to be reported due to threshold requirements (50,000/- for CTRs by banking companies) or attempted transactions (for STR).</p>

3. Go to the **Corresponding Branch Details**.
4. Select the branch name to view the corresponding branch details such as city, address, phone, and so on.
5. Click **Save**. A new account is created and added to the *Accounts Involved List*.

NOTE Using the Add option, you can add only Account details and corresponding details. To add **Person/Account Owner Details** and **Transactions**, go to the Account Involved List and select the required account number and then add respective details. For more information, see **Involved Account**.

6.3.2.1 Person/Account Owner Details

Use this section to view, remove, and modify the existing person or account owner details. You can also add a new account owner when you identify another person or entity is associated with the involved account.

6.3.2.1.1 Viewing and Updating Person/Account Owner Details

To update the person/account owner details, follow these steps:

1. On the *Involved Account list* section, select the required account number. The *Involved Accounts Details* page is displayed.
2. To modify the person/account owner details, on the *Person/Account Owner Details* section, select the required person type. The *Account Owner Details* page is displayed.

Modify the necessary information and click **Save**. The person/account owner details are updated. For more information on the fields, see [Table 11](#).

To delete the person/account owner from the list, select the required type of person and click **Remove**.

6.3.2.1.2 Adding Person/Account Owner Details

To add person/account owner details, follow these steps:

1. On the *Person/Account Owner Details* section, click **Add**. The *Account Owner Details* page is displayed.

Figure 12: Adding Person/Account Owner Details

2. Enter the information in the Account Owner's fields.

[Table 11](#) explains the Account Owner's field details. Fields marked with * asterisk are mandatory.

Table 11: Account Owner's Details

Fields	Description
Type of Person	Select if the account owner is a legal entity or an individual. NOTE: Based on your selection the respective fields are displayed in this section. Enter eighty or fewer characters.
Full Name/Legal Entity Name	Enter the full name of the person or legal entity.
Customer ID	Enter the customer's unique identification number.
Relation Flag	Select the relation of the person to the account as an introducer, guarantor, guardian, nominee, and so on.
Communication Address	Enter the communication address of the account owner.
City/Town	Enter the city or town where the account owner resides.
State	Select the state in which the account owner resides.

Table 11: Account Owner's Details

Fields	Description
Country	Select the country in which the account owner resides.
PIN	Enter the PIN code of the account owner's address.
Telephone Number	Enter the telephone number of the account owner.
Mobile	Enter the mobile number of the account owner.
Fax	Enter the fax number of the account owner.
Email	Enter the email of the account owner.
PAN	Enter the ten-digit PAN card number issued by Income Tax Department.
UIN	Enter the Unique Identification Number (UIN) of the account owner.

If you have selected the **Individual** as the person or account owner, the *If Individual* section is displayed.

Figure 13: Individual

▼ If Individual

Gender* <input style="width: 90%;" type="text"/>	Date of Birth <input style="width: 80%;" type="text"/>
Identification Type* <input style="width: 90%;" type="text"/>	Identification Number <input style="width: 90%;" type="text"/>
Issuing Authority <input style="width: 90%;" type="text"/>	Place of Issue <input style="width: 90%;" type="text"/>
Nationality* <input style="width: 90%;" type="text"/>	Place of work <input style="width: 90%;" type="text"/>
Father/Spouse Name <input style="width: 90%;" type="text"/>	Occupation <input style="width: 90%;" type="text"/>

3. Enter the information in the If Individual fields.

Table 12 explains the If Individual field details. Fields marked with * asterisk are mandatory.

Table 12: If Individual

Fields	Description
Gender	Select the gender of the account owner.
Date of Birth	Enter the date of the birth in YYYY-MM-DD format.
Identification Type	Select the document submitted as proof of identity of the individual such as passport, election Id card, pan card and so on.
Identification Number	Enter the unique number mentioned in the identification document.
Issuing Authority	Enter the authority which had issued the identification document.
Place of Issue	Enter the place where the document was issued.
Nationality	Select the nationality of the person.
Place of Work	Enter the name of the organization/employer.
Father/Spouse Name	Enter the full name of the father/spouse.

Table 12: If Individual

Fields	Description
Occupation	Enter the job of the individual.

If you have selected **Legal Entity** as the person or account owner, the *If Legal Entity* section is displayed.

Figure 14: Legal Entity

▼ If Legal Entity

Constitution Type* <input style="width: 90%;" type="text"/>	Registration Number <input style="width: 90%;" type="text"/>
Date of Incorporation <input style="width: 90%;" type="text"/>	Place of Registration <input style="width: 90%;" type="text"/>
Country Code* <input style="width: 90%;" type="text"/>	Nature of business <input style="width: 90%;" type="text"/>

- Enter the information in the If Legal Entity fields.
- [Table 13](#) explains the If Legal Entity field details. Fields marked with * asterisk are mandatory.

Table 13: If Legal Entity

Fields	Description
Constitution Type	Select the type of constitution of legal entity as a sole proprietorship, public limited company, partnership firm, and so on.
Registration Number	Enter the registration number as mentioned in the document.
Date of Incorporation	Enter the date of incorporation in YYYY-MM-DD format.
Place of Registration	Select the place where the document was registered.
Country Code	Select the country code.
Nature of Business	Enter the nature of business.

- Click **Save** to add a new person/account owner details to the selected account.

6.3.2.2 Transactions

Use this section to view and update the transaction details such as transaction ID, transaction amount, and so on. You can also add a new transaction when you identify another suspicious transaction is associated with the involved account.

You can view and modify the transaction information based on the status of the report and your user privileges. For more information, see [Table 3](#).

6.3.2.2.1 Viewing and Updating a Transaction

To view and update the transaction, follow these steps:

- On the *Involved Account list* section, select the required account number. The Involved Accounts Details page is displayed.
- To view or modify the transaction details, select the required record number from the *transaction* section. The Transaction Details page is displayed.

Modify the necessary information and click **Save**. The transaction details are updated. For more information on the fields, see [Table 14](#).

To delete the transaction from the list, select the required record number and click **Remove**. The transaction list is updated.

6.3.2.2.2 Adding a Transaction

To add the transaction, follow these steps:

1. On the Transaction section, click **Add**. The Transaction Details section is displayed.

Figure 15: Transaction Details

2. Enter the information in the Transaction fields.

Table 14 explains the Transaction field details. Fields marked with * asterisk are mandatory.

Table 14: Transaction Details

Fields	Description
Date of Transaction	Enter the date of the transaction in YYYY-MM-DD format.
Transaction ID	Enter the unique ID to identify the transaction.
Transaction Mode	Select the mode in which the transaction was conducted as cheque, internal transfer, cash, and so on.
Debit/Credit	Select if the transaction is debit or credit.
Transaction Amount	Select the currency and enter the amount of transaction. The amount should be rounded off to the nearest rupee without decimal. If this amount is not in Indian Rupees, then convert to Indian Rupees.
Disposition of Funds	Enter the disposition of funds.
Related Account Number	Enter the account number (if available) from/to which funds were transferred.
Related Institution Name	Enter the name of the institution (if available) from/to which funds were transferred.
Related Institution Reference Number	Enter the Institution reference number of the institution (if available) from/to which funds were transferred.
Remarks	Enter additional information that needs to be provided.

3. In the *Product* section, enter the information in the respective fields.

Table 15 explains the Product field details. Fields marked with * asterisk are mandatory.

Figure 16: Product Details

Product

Product Type* <input style="width: 100%;" type="text"/>	Product Identifier <input style="width: 100%;" type="text"/>
Product Transaction Type* <input style="width: 100%;" type="text"/>	Units <input style="width: 100%;" type="text"/>
Rate <input style="width: 100%;" type="text"/>	

Table 15: Product

Fields	Description
Product Type	Select the type of product linked with the transaction as bonds, securities, certificates of deposit, and so on.
Product Identifier	Enter the product identifier such as An International Securities Identification Number (ISIN) for security.
Product Transaction Type	Select the type of product transaction linked to the financial transaction as pension, commutation, death claim, and so on.
Units	Enter the unit of the product If the product is measured in units, mention the number of units involved in the transaction.
Rate	Enter the unit rate of the product in Indian rupees If the transaction involves a rate, update the applicable rate for the transaction.

4. Click **Save** to add a new transaction to the selected account.

6.4 Description of Suspicious Activity

A report is created based on true sources and valid reasons, this section provides information on the suspicious activity that led to the creation of the selected report. This information will help you to analyze and take appropriate decisions on the report.

Use the *Description of Suspicious Activity* section to view and update the suspicious activity information for the selected report.

You can view and modify the description of suspicious activity information based on the status of the report and your user privileges. For more information, see [Table 3](#).

To view and update suspicious activity information, follow these steps:

1. On the *Report Details page*, click **Description of Suspicious Activity** tab. The *Reported Activity Information* is displayed.

Figure 17: Description of Suspicious Activity

The screenshot shows a web form titled "Reported Activity Information". It contains several input fields, some of which are highlighted with red boxes. The fields are: "Source of Alert*" (dropdown), "Alert Indicator1" (text), "Alert Indicator2" (text), "Alert Indicator3" (text), "Reasons for Suspicion*" (dropdown), "Any Law Enforcement Agency Informed*" (dropdown), "LEA Details" (text area), "Priority Rating*" (dropdown), "Report Coverage*" (dropdown), and "Want to Submit Additional Document*" (dropdown). In the top right corner, there are buttons for "Save", "Validate", and "Reset".

2. Enter the information in the Reported Activity fields.

Table 16 explains the Reported Activity field details. Fields marked with * asterisk are mandatory.

Table 16: Reported Activity Information

Fields	Description
Source of Alert	Select source of alert such as watch list, business associate, law enforcement agency, and so on.
Alert Indicator 1, 2, and 3	Enter the alert indicators resulting in a report. One report can have up to three alert indicators.
Reason for Suspicion	Select the reason for suspicion from the following options: <ul style="list-style-type: none"> • Due to proceeds of crime • Due to complex transactions • Due to no economic rationale • Nature of financing terrorism • Attempted transactions
Any Law Enforcement Agency Informed?	Specify whether you have received any information from Law Enforcement Agency (LEA), you have informed LEA, you have corresponded or not with LEA, or none of these.
LEA Details	Enter the LEA Details.
Priority Rating	Select the priority of the report whether it is very high, high, low, or not categorized.
Report Coverage	Select the report coverage status whether it is complete, partial, or not categorized
Want to Submit Additional Document	Specify whether you want to submit an additional document.

3. Click **Save** to update the information.

6.5 Narrative and Actions

Use the *Narrative* option to summarize suspicious activity and mention the action taken by the reporting entity.

To use the *Narrative and Actions* option, follow these steps:

1. On the *Reports Details* page, click the **Narrative** tab. The Narrative page is displayed.

Figure 18: Narrative

The screenshot shows a web form titled "Part G: Description of Suspicious Activity". It contains two large text input areas. The first is labeled "Grounds/Summary of Suspicion*" and the second is labeled "Description of Suspicious Activity/Investigation Details*". In the top right corner of the form, there are three buttons: "Validate", "Save", and "Reset".

2. Enter the following information in the respective fields. Fields marked with * are mandatory.
 - *Grounds/Summary of Suspicion*: Enter the following information:
 - Background/profile/occupation of the customer and other related individuals/entities.
 - When did the relationship with the customer begin?
 - How was suspicion detected?
 - What information was linked or collected during the review process?
 - What explanation was provided by the subject(s) or other persons (without tipping off)?
 - Summary of suspicion of whether the suspicious activity is an isolated incident or relates to another transaction?
 - Who benefited, financially or otherwise, from the transaction(s), how much, and how (if known)?
 - What is the volume of transactions in reported accounts in the financial year, and what is the volume of cash transactions? Whether any STR filed for the customer earlier?
 - Any additional information that might assist law enforcement authorities.
 - *Description of Suspicious Activity/Investigation Details*: Enter the following details.
 - Details about the investigation being conducted covering the name of the agency, contact person, and contact details.
 - The source of the investigation could be both internal to the reporting entity or any investigation by the law enforcement agency.
 - Whether any Law enforcement agency is informed about the incident reported in the STR.
 - Contact details of the person in the law enforcement agency which is conducting the investigation.

3. Click **Save** to update the narration of suspicious activity.

The *Audit* section tracks both actions and comments entered while performing the *Narrative* action.

6.6 Documents

While filing the report with regulatory authorities, you can also send additional documents. This additional information aids in taking the correct decision on the report. When you attach a document to a report, the status of that report does not change. However, the attachment is added to the report's history.

An Analyst or a Supervisor can attach, modify, or delete documents in all statuses except when the report is in *View Only* mode. For more information on user roles, see [Table 4](#).

To modify or attach a document, follow these steps:

1. On the *Reports Details* page, click the **Document** tab and click **Add** to attach a new document to the selected report. The Add Document window is displayed.

Figure 19: Documents tab

2. Enter the information Documents fields.

[Table 17](#) explains the Documents field details.

Table 17: Add Document

Fields	Description
Description	Enter a brief description of the document attached.
Type of File	Enter the type of document.
Document Date	Enter the date of the document.
Logical Name	Enter the logical name.
Sending Option	Enter the option for sending the document.

3. Click **Browse** to select the document from your computer and then click **Attach File**. The file is attached to the selected report.

6.7 Audit

Use the *Audit* tab to view the audit history of a report. It provides details of actions performed on the report and comments provided by the users in the various statuses.

To use the *Audit* tab, follow these steps:

1. On the *Reports Details* page, click the **Audit** tab. The Audit window is displayed.

Figure 20: Audit Tab

Action (13) Unwrap Export to Excel		
Date	Action By	Action
02-03-2020 08:34:21	insup	Added Account Involved Details
02-03-2020 08:33:16	insup	Added Account Involved Details
02-03-2020 08:32:34	insup	Added Account Involved Details
02-03-2020 08:32:24	insup	Added Account Involved Details
02-03-2020 08:16:22	insup	Added Transaction
02-03-2020 06:30:42	insup	Amended Report Created.
02-03-2020 06:18:12	insup	Modified Account Involved Details
02-03-2020 06:17:55	insup	Modified Account Involved Details
02-03-2020 06:17:39	insup	Modified Account Involved Details

A record is created in the Audit tab when a user performs any of the following actions:

- Created From Case
- Created Manually
- Modified Reporting Entity
- Modified Account Involved Details
- Modified Person or Account Owner details
- Modified Transaction Details
- Modified Suspicious Activity Description
- Modified Narrative and Action
- Added New Document
- Modified Document
- Removed Document
- Edit/ Delete Report
 - Originating Report
 - New Report
- E-File Generation Unsuccessful
- Acknowledgment Details
 - If the report is accepted then *Upload Acknowledgment* (Comments displayed - *Report is Accepted*)

- If the report is rejected then *Upload Acknowledgment* (Comments displayed- *Report is Rejected* along with error message)

The *Actions* section displays all the actions taken on the report.

Table 18 explains the fields in Audit Grid.

Table 18: Actions Grid Field Description

Fields	Description
Date	The date on which the action has occurred.
Action By	The name of the user who acted on this.
Action	A short description of the action.
Comments	The comments entered while performing an action.

7 Acting on a Report

After analyzing the reports using the *Reports Details* page, an authorized user can take the following actions on reports:

- **Requesting the Report for Approval:** As an Analyst, you can request for the supervisor to approve the report for filing when it is in the *Open*, *Reopened*, *Requested for Approval*, or *Rework* status. Click **Request Report for Approval** to take this action. The status of the report changes to *Requested for Approval*.
- **Approving Reports:** As a Supervisor, you can assess the reports that are requested for your approval. You can approve reports that are in *Open*, *Reopened*, *Requested for Approval*, or *Rework* status. Click **Approve Report** to take this action. If you approve the request, the status of the report changes to *Approved*.
- **Reworking Reports:** As a Supervisor, you can send reports for rework if they are incomplete or need more investigation. You can order reports for rework when they are in the *Open*, *Reopened*, *Requested for Approval*, or *Rework* status. Click **Rework Report** to take this action. The status of the report changes to *Rework*.
- **Canceling Report Filing:** As an Analyst or a Supervisor, you can decide to cancel the filing of the report. You can cancel the reports from filing when they are in the *Open*, *Reopened*, *Requested for Approval*, or *Approved* status. Click **Cancel Filing** to take this action. The status of the report changes to *Canceled*.
- **Reopening Reports:** If a report is canceled for any reason and needs to be evaluated again, an Analyst or a Supervisor can reopen a report. Note that you can reopen a report only when it is in the *Canceled* status. Click **Reopen a Report** to take this action. The status of the report changes to *Reopen*.
- **Generating E-File:** After the reports are approved then an Analyst or a Supervisor can generate reports by clicking **Generate Report**. The status of the report changes to *E-File Generated*.
- **Submitting the Reports:** After the reports are validated, they must be submitted. As an Analyst or a Supervisor, you can submit a report by clicking the **Submit** button.
- **Adding Comments:** You can add comments to a report in any status. By adding comments, the status of the report doesn't change.
- **Setting a Due Date:** You can set due date to a report in any status. By setting dates, the status of the report doesn't change.

7.1 Requesting the Report for Approval

An Analyst requests the Supervisor to approve the report for filing when it is in the *Open*, *Reopened*, *Requested for Approval*, or *Rework* status. A Supervisor evaluates and then approves the report, sends the report for rework, or cancels the filing of the report.

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

1. On the *Reports Details* page, click **Request for Approval**. The *Request for Approval* window is displayed.
2. Enter the comments in the *Request for Approval* window.

NOTE

In the comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save** to confirm the action. The *Report Details* page is displayed and the status of the report changes to *Requested for Approval*. The Audit section tracks both actions and comments entered while performing the Request for Approval action.

7.2 Approving Reports

A Supervisor can approve a report when it is in the *Open*, *Reopened*, *Requested for Approval*, or *Rework* status.

To approve a report, follow these steps:

1. On the *Reports Details* page, click **Approve**. The *Approve* window is displayed.
2. Enter the Comments in the *Approve* window.

NOTE In the comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.

NOTE The naming convention for the final STR is in the format STR_Case ID_Approved Date (DD-MM-YYYY_HH24-MM-SS).doc. If the report is created from the OFS ECM, you can rename the final STR while saving.

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.

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

After the report is approved, the application generates the final report containing the required information that must be submitted to the regulatory authority. The Audit section tracks both actions and the comments entered while performing the *Approve* action.

7.3 Reworking Reports

A Supervisor can send a report for rework, if it is incomplete, inaccurate, or needs additional investigation. If a report is sent for rework, an Analyst must rework the report and submit it again for the approval. This process continues until the report is approved or canceled.

To send a report for rework, follow these steps:

1. On the *Reports Details* page, click **Rework**. The *Rework* window is displayed.
2. Enter the Comments in the *Rework* window.

NOTE In the comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The Report Details page is displayed and the status of the report changes to *Rework*.

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

7.4 Canceling Report Filing

For any valid reasons, if you determine that a report should not be filed, then you can cancel it. After the report is canceled, you cannot edit the report details.

Only authorized users can cancel a report from filing. For more information on user privileges, see [Table 4](#).

To cancel filling the report, follow these steps:

1. On the *Reports Details* page, click **Cancel Filing**. The *Cancel Filing* window is displayed.
2. Enter comments in the *Comments* box.

NOTE In the Comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The *Report Details* page is displayed and the status of the report changes to *Canceled*.

NOTE The due date of the report is deleted on taking the *Cancel Filing* action.

The Audit section tracks both actions and comments entered while performing the *Cancel* action.

7.5 Reopening Reports

If a report is canceled for any reason or it needs to be evaluated again, an Analyst or a Supervisor can reopen a report in the *Canceled* status.

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

1. On the *Reports Details* page, click **Reopen**. The *Reopen Reports* window is displayed.
2. Enter comments in the *Reopen* window.

NOTE In the Comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The *Report Details* page is displayed and the status of the report changes to *Reopened*.

The Audit section tracks both actions and comments entered while performing the *Reopen* action.

7.6 Generating E-File

After the report is approved, authorized users can generate the E-File.

To generate an E-File, follow these steps:

1. On the *Reports Details* page, click **Generate E-File**. The *Generate Reports* window is displayed.

2. Enter comments in the *Generate Reports* window.

NOTE In the comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The *Report Details* page is displayed and the status of the report changes to *E-File Generated*.

The Audit section tracks both actions and comments entered while performing the *Generate Reports* action.

7.7 Submitting the Reports

Authorized users can submit a report after the report is validated.

To submit a report, follow these steps:

1. On the *Reports Details* page, click **Submit**. The *Submit* window is displayed.
2. Enter *Comments*, if required.
3. Click **Save**, the report is submitted.

The following activities are allowed after submitting a report:

- The final report can be viewed, saved as a local copy, or printed.
- The report can be edited by any user.
- In the revised reports, the feedback is sent to the original case from which the revised report is created. For manually created reports, no feedback is sent.

7.8 Adding Comments

An Analyst, Auditor, or Supervisor can add comments to a report in any status.

To add comments to a report, follow these steps:

1. On the *Reports Details* page, click **Audit**. The *Audit* window is displayed.
2. Enter the comments in the *Comments* box.

NOTE In the Comments box in the Request for Approval window, you can enter a maximum of 255 characters.

3. Click **Done**. The Audit section tracks both actions and comments entered while performing the *Set Due Date* action

7.9 Setting a Due Date

Analyst and Supervisor can set a due date or modify an existing due date of a report to close or report to the regulator by that date.

The **Set Due Date** action is available in the application only when an Administrator set the **Edit Due Date Flag** attribute to **Y** in the *Application Parameters* table

Table 19 explains behavior and attribute for due date.

Table 19: Behavior and Attributes for Due Date

Attribute Name	Value	Behavior
Due Date with edit		Users mapped to this role can set/edit/view the due date.
Due date with view		Users mapped to this role can only view the due date.
Number of Days	N	When a report is created either manually or through action from the case, the application automatically sets the due date to action date + N calendar days. If the parameter is blank, no date is set. The default is five days.

Table 20 explains the statuses in which the Analyst and Supervisor users can perform the *Set Due Date* action:

Table 20: User Roles and Set Due Date Action

Menu	Role			
	Analyst1	Analyst2	Supervisor	Auditor
Open	X	X	X	
Reopened	X	X	X	
Requested for Approval	X	X	X	
Rework	X	X	X	
Approved	X	X	X	
Cancelled				
Acknowledged				
Rejected from E-File				
E-File Generated	X	X	X	
Submitted				

NOTE An Auditor can only view the Due Date.

To set a due date for a report, follow these steps:

1. On the *Reports Details* page, click **Set Due Date**. The *Set Due Date* window is displayed.
2. Enter the comments in the *Comments* box.

NOTE In the *Comments* box in the *Request for Approval* window, you can enter a maximum of 255 characters.

3. Select a date from the calendar.

4. Click **Save**. A confirmation message is displayed.
5. Click **OK**. The updated *Report Details* page is displayed.

The Audit section tracks both actions and comments entered while performing the *Set Due Date* action.

8 Filing a Report

An authorized user can generate an E-File for approved reports. The generated E-File is submitted with the *FIU-IND E-Filing System*. The E-File is validated by FIU-IND and an acknowledgment (.asc file) is generated. The acknowledgment file is uploaded into the OFS CRR application. The application will then associate the FIU-IND returned Identifier to each STR within the e-file. Now, the user can then mark the STR process as complete.

This section covers the following sections:

- **Opening an Approved Report:** Use this section to search and access the specific approved reports. Click the required **Report Number** on the *Approved Regulatory Reports List* page and the *Approved Report Details* page is opened.
- **Generating E-File:** Use this section to generate an e-file for all approved report(s).
- **Submitting an E-File:** Use this section to submit an e-file into FIU-IND's E-Filing System.
- **Uploading Acknowledgment:** Use this section to upload an acknowledgment for the submitted E-Files.

8.1 Opening an Approved Report

To open the *Approved Report* page, follow these steps:

1. On the **Navigation List** LHS menu, hover over **India STR** and click **File Report**. The *File Report* page is displayed with *Approved Reports Search and List* as default section.

Figure 21: Approved Report Search

2. Enter the required information in Approved Report Search fields.

Table 21 explains the Approved Report Search field details. Fields marked with *are mandatory.

Table 21: Approved Reports Search

Fields	Description
Report Number	Enter one or more report numbers you want to view. For multiple report numbers, separate the report numbers with a comma. Ensure you don't enter a space after the comma. Report Numbers are not case-sensitive. This overrides all other filter criteria. For example, 660,671. NOTE: You can enter a maximum of 50 characters in this field.

Table 21: Approved Reports Search

Fields	Description
Report Name	<p>Enter the report name you want to view.</p> <p>This field supports a wildcard search. You can use ‘%’ and ‘_’ as wildcard indicators.</p> <p>NOTE: You can enter a maximum of 50 characters in this field.</p>
Type of Report	<p>Select one or more report types from the following options.</p> <ul style="list-style-type: none"> • Replacement • Delete • New
Reporting Entity Name	Select a reporting entity name.
Principal Officer's Name	Select the principal officer's name.
Jurisdiction	<p>Select the jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution.</p> <p>Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction that was associated with that case.</p> <p>Each user has access to a set of jurisdictions. Every report is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction.</p>
Account Number(s)	<p>Enter account (s) involved in the suspicious activity report.</p> <p>You can enter multiple account numbers by using a comma to separate the values.</p>
Original E-file ID	Enter the unique identification number of the original e-file.
Case ID	<p>Enter the case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure you don't enter a space after the comma. This overrides all other filter criteria. For example, CA660,ca671</p> <p>NOTE: This search is not case-sensitive. You can enter a maximum of 255 characters in this field.</p> <p>Case ID is the identifier that has triggered the creation of a report in the Compliance Regulatory Reporting application.</p>
Created By	<p>Select the user who has created the report.</p> <p>You can enter multiple names by using a comma to separate the values.</p>
Created Date >=	<p>Select the created date to view reports having a created date greater than or equal to the specified date. Using this criterion, you can view the reports that were created during the particular date range. For example, reports created on or after December 26, 2019</p> <p>NOTE: You can either perform a range search using ‘Created Date >=’ and ‘Created <=’ or use them independently.</p>
Created Date <=	<p>Select the created date to view reports having a created date lesser than or equal to the specified date. Using this criterion, you can view the reports that were created during the particular date range. For example, reports created on or before December 26, 2019.</p>

Table 21: Approved Reports Search

Fields	Description
Approved By	Select the name of an approver who approved reports. For example, Supervisor1, Supervisor2, and so on.
Approved Date >=	Select the approved date to view reports having an approved date greater than or equal to the specified date. Using this criterion, you can view the reports that were approved during the particular date range. For example, reports approved on or after December 26, 2019.
Approved Date <=	Select the approved date to view reports having an approved date lesser than or equal to the specified date. Using this criterion, you can view the reports that are approved during the particular date range. For example, reports approved on or before December 26, 2019.
Due Date>=	Select the due date to view reports having a due date greater than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the particular date range. For example, reports having a due date on or after December 26, 2019.
Due Date<=	Select the due date to view reports having a due date lesser than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the particular date range. For example, reports having a due date on or before December 26, 2019.

3. Click **Go**. The approved reports matching your search criteria are displayed on the *Search and List* page.

To carry out a different search, click the **Reset** button and enter your search criteria again.

Use the *Approved Reports List* section to view the list of approved reports based on your search criteria. Click the required report number to view additional information of reports that you can use to analyze or take actions. By default, all approved reports are displayed if you do not use any search criteria to filter the list.

NOTE If the approved report is already opened by another user, then that report is locked. You can only view that report.

8.2 Generating E-File

Use the *Approved Report* tab to generate an e-file for all approved report(s) and upload the resultant *.xml* file into FIU-IND's E-Filing System.

To generate an e-file, follow these steps:

1. On the *Approved Reports List*, select the report(s) to generate e-file.
2. Click **Generate E-File**. The *Generate E-File* window is displayed.

3. Enter the reason for revision, if any, and the required comments.
4. Click **Save** to confirm the e-file generation. The status of the report changes to *E-File Generated*. The reports on which *e-files* are generated are moved from the *Approved Reports* list to *E-File List*. For more information, see [Submitting an E-File](#).

NOTE

- If the approved report is already opened by another user, then that report is locked. You can only view that report.
- You can not e-file an approved report that is already generated or rejected.

8.3 Submitting an E-File

Use the *E-File Status* tab to submit the generated e-files into FIU-IND’s E-Filing System.

To submit an E-File, follow these steps:

1. On the *File Report* page, click the **E-File** tab. The *E-File* page is displayed with *Search and List* as a default section.

Figure 22: E-File Search

E-File Number	Type of Report	E-File Generated Date	E-File Generated By	E-File Status	E-File
10567	New	16-03-2020	insup	Efile Generated	

2. Enter the required information in E-File Search fields.

Table 22 explains the E-File Search field details. Fields marked with *are mandatory.

Table 22: E-File Search

Fields	Description
E-file Number	Enter the e-file number.
E-file Status	Select the status of the e-file: Select All, E-File Generated, or Submitted.
Type of Report	Select the type of report: New, Corrected, Delete, Corrected, and Deleted.
E-File Generated By	Select the user(s) who generated e-files.
E-File Generated >=	Select the e-files generated date to view e-files having generated date greater than or equal to the specified date. Using this criterion, you can view the e-files that were generated during the particular date range. For example, e-files generated on or after December 26, 2019.
E-File Generated <=	Select the e-files generated date to view e-files having generated date lesser than or equal to the specified date. Using this criterion, you can view the e-files that were generated during the particular date range. For example, e-files generated on or before December 26, 2019.
Report Number	Enter the regulatory report number for which the e-file is generated. Wildcard searches are supported using % as the wildcard symbol.
Report Name	Enter the name of the regulatory report for which the e-file is generated. Wildcard searches are supported using % as the wildcard symbol.
Jurisdiction	Select the jurisdiction(s) for which e-files are generated. For example, JAPAC, AMEA, CA, and so on.
Account Number	Enter the account numbers that associated with the approved report. You can enter multiple account numbers by using a comma to separate the values.
Case ID	Enter the case ID of the report.

3. Click **Go**. The E-Files matching your search criteria are displayed on the *Search and List* page. To carry out a different search, click the **Reset** button and enter your search criteria again.

NOTE If the e-file is already opened by another user, then that e-file is locked. You can only view that e-file.

4. On the *E-File List*, select the required e-file(s) and click **Submit**. The *Submit E-File* window is displayed

Updated By insup

Check here to apply single comment to all included E-File

<input checked="" type="checkbox"/> E-File Number	Comments
<input checked="" type="checkbox"/> 10567	

Save Clear Close

5. Select the *Check here to apply a single comment to all included E-File* to enter a single comment for all the selected e-files.
Or, select the e-file(s) from the list and enter respective comments (if you want to provide different comments for each e-files).
6. Click **Save**. The status of the E-file changes to *Submitted* in the *E-File list* page.

8.3.1 Uploading Acknowledgment

To upload an acknowledgment for e-files, follow these steps:

1. On the *E-File List*, select the required e-file(s) in the *Submitted* status and click **Upload Acknowledgment**. The *Upload Acknowledgment* window is displayed.

Figure 23: Uploading Acknowledgment

Action Type Upload Acknowledgement

E-File Number 7386

Logical File Name

Choose a file* Browse...

Comments*

Save Clear Close

2. Enter the logical file name.
3. Select the file to upload. The file can be selected from the system by using the **Browse** option and click **Attach File**.
4. Add the required comments.
5. Click **Save** to proceed with attachment.

- After acknowledgment is uploaded, the system will read it and reflect details in the Acknowledgment tab.
- If the system is not able to read the acknowledgment file, then it throws an error message as *Invalid Acknowledgment Format*.

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