Oracle FLEXCUBE Core Banking

Security Management User Manual

Release 11.11.0.0.0

Part No. F55410-01

May 2022

Security Management User Manual

5/24/2022

Oracle Financial Services Software Limited

Oracle Park

Off Western Express Highway

Goregaon (East)

Mumbai, Maharashtra 400 063

India

Worldwide Inquiries:

Phone: +91 22 6718 3000

Fax: +91 22 6718 3001

www.oracle.com/financialservices/

Table of Contents

1. Security Management System (SMS)

1.1 753 - Enable/Disable User

Using this option you can enable/ disable a user of any branch through single administrator log in. The user IDs are created in the **User Profile Maintenance** (Task Code: SMM02) option.

This option refers to UBS infra to perform the transactions.

Note: The system cannot disable the already logged in users.

Definition Prerequisites

Not Applicable

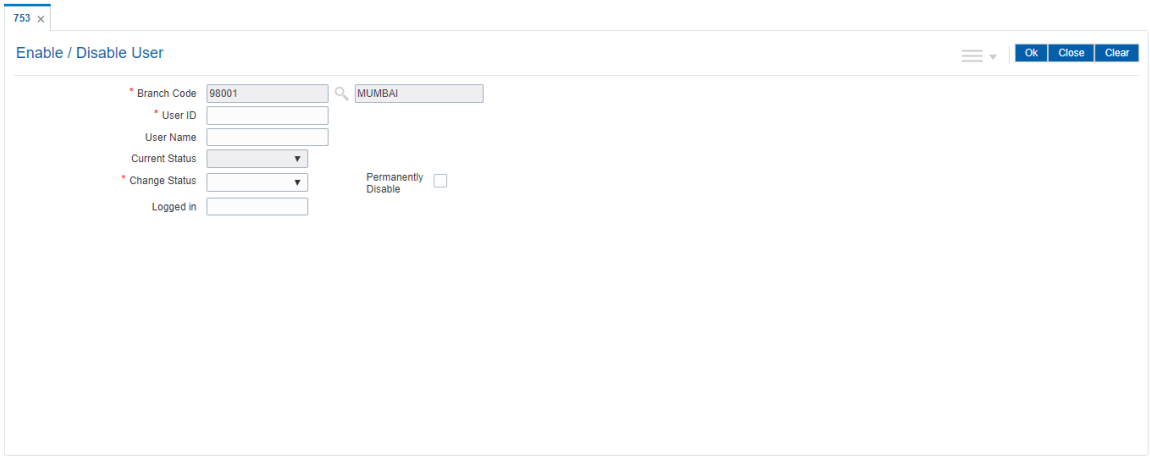
Modes Available

Not Applicable

To enable or disable a user

1. In the **Dashboard** page, Enter the Task code **753** and then click or navigate through the menus to **Front Office Transactions > Internal Transactions > Security > Enable / Disable user**.
2. You will be navigated to **Enable / Disable User** screen.

Enable / Disable User



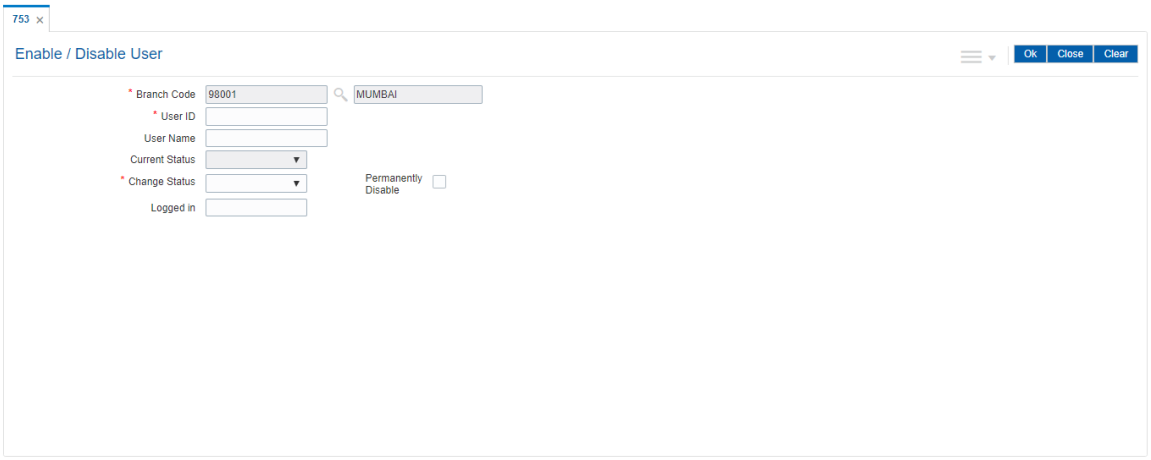
Field Description

Field Name	Description
Branch Code	[Display] This field displays the branch code. The name of the branch is displayed in the adjacent field.
User ID	[Mandatory, Search List] Select the ID of the user, who has to be enabled or disabled, from the Search List. These user ID's are maintained in the **User Profile Maintenance** (Task Code: SMM02) option.
User Name	[Display] This field displays the name of the user for the selected user ID.

Current Status	[Display] This field displays the current status of the user. The status can be enable, disable, and lock.
Change Status	[Mandatory, Drop-Down] Select the option to change the status of the user from the drop-down list. The options are: • ENABLE • DISABLE
Permanently Disable	[Conditional, Check Box] Select the check box to permanently disable a user. This field is enabled only if **DISABLE** option is selected in the **Change Status** drop-down list.
Logged in	[Display] This field displays the logged in status of the user. The options are: • Y: User is logged in. • N: User is not logged in.

3. Select the branch code and user ID from the Search List.
4. Select the change status from the field.

Enable / Disable User



4. If the user is enabled, the system displays the message "Do you wish to permanently disable the user?".
5. If the user is disabled, the system displays the message "User is Disabled. Do You Want to Enable".
6. If the user is not logged in, the system displays the "User Not Logged in. Want to Disable?".
7. Click **OK**.

1.2 755 - Modify Login Status

Using this option you are forcibly logged out of the system . This option is used when you have logged into **FLEXCUBE** and the application/system crashes. When you try to login after the system is restored, it does not allow , as the system still maintains the user status as logged in. Also, the system will not permit a login more than once. In such cases this option is used to modify the login status.

This screen refers to UBS infra to perform the transactions.

Definition Prerequisites

Not Applicable

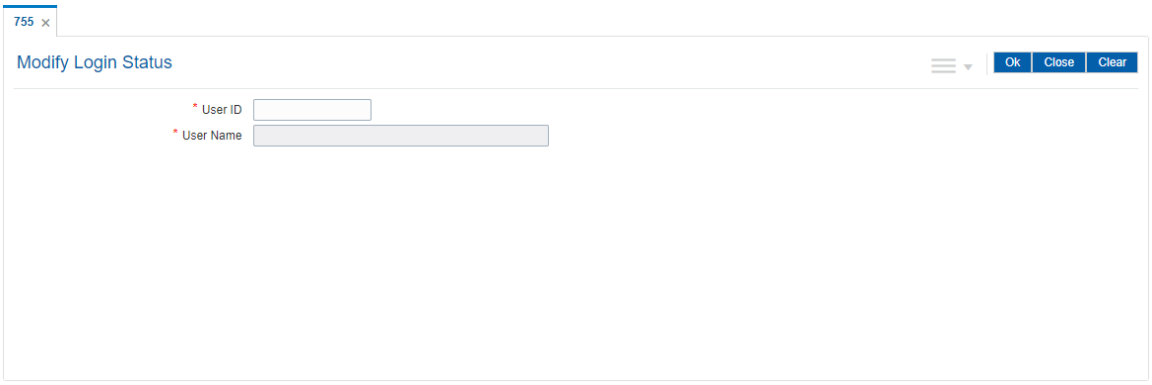
Modes Available

Not Applicable

To modify login status

1. In the **Dashboard** page, Enter the Task code **755** and then click or navigate through the menus to **Front Office Transactions > Internal Transactions > Security > Modify Login Status**.
2. You will be navigated to **Modify Login Status** screen.

Modify Login Status



Field Description

Field Name	Description
User ID	[Mandatory] Enter the user ID of the user, whose login status is to be modified. These user ID's are maintained in the **Defining User Profile** (Task Code: SMM02) option.
User Name	[Display] This field displays the user name of the user, whose login status is to be modified.

3. Enter the user ID and user name.
4. The system displays the message "User already logged in do you want to log out the user". Click **OK**.

1.3 757 - Enquiry for Logged in Users

Using this option you can view the list of users that are logged in to the system in their own branch.

The system provides information on user ID, user name, the terminal ID in which the user has logged in and the login date and time. You can refresh the screen to get the latest status.

This screen refers to UBS infra to perform the transactions.

Definition Prerequisites

Not Applicable

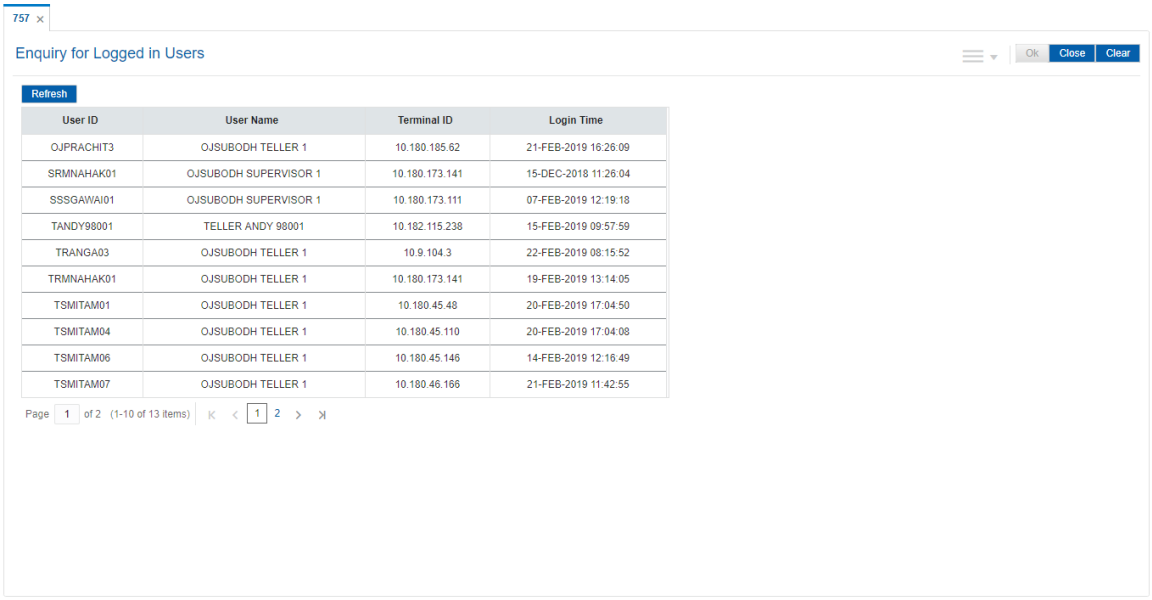
Modes Available

Not Applicable

To view a list of currently logged in users

1. In the **Dashboard** page, Enter the Task code **757** and then click or navigate through the menus to **Front Office Transactions > Internal Transactions > Security > Enquiry For Logged In Users**.
2. You will be navigated to **Enquiry for Logged in Users** screen.

Enquiry for Logged in Users



Field Description

Column Name	Description
User ID	[Display] This column displays the user ID for all those users who are currently logged into the system.
User Name	[Display] This column displays the list of users who are currently logged into the system.
Terminal ID	[Display]

	This column displays the identification code of the terminal where each user has logged into the system.
Login Time	[Display] This column displays the login date and time when the users have logged into the system.

3. The system displays the users who are currently logged in to the system.
4. Click the **Refresh** button to refresh the screen with the latest details.

1.4 768 - Change Password

Using this option you can change your own password by entering the old one. You can not use the passwords which are prohibited specifically in **User Prohibited Passwords** (Task Code: 756) option. These are commonly used words specific to the person such as place of residence, spouse name, name of son/daughter, etc.

This option utilises the UBS framework to complete the transaction.

Definition Prerequisites

Not Applicable

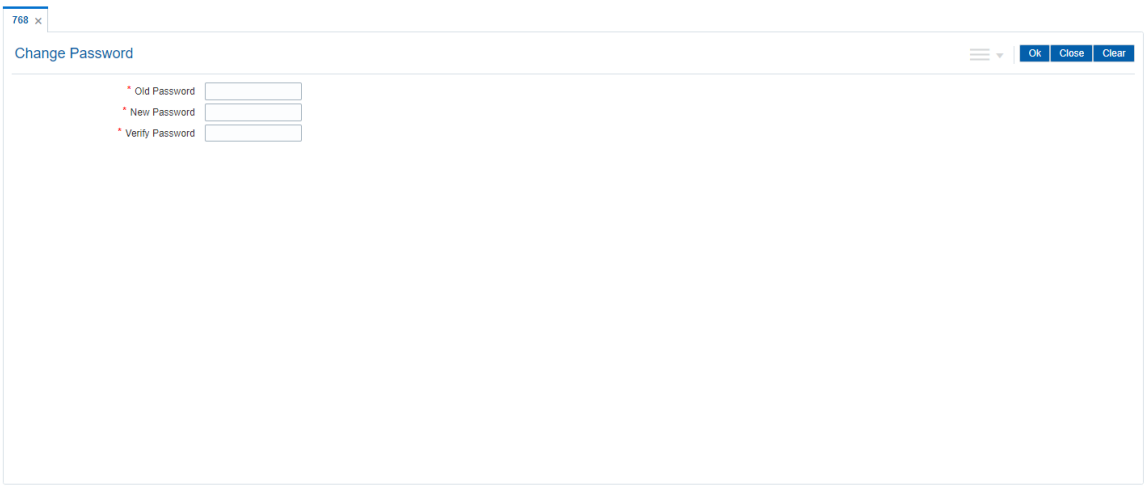
Modes Available

Not Applicable

To change primary password

1. In the **Dashboard** page, Enter the Task code **768** and then click or navigate through the menus to **Front Office Transactions > Internal Transactions > Security > Change Password**.
2. You will be navigated to **Change Password** screen.

Change Password



Field Description

Field Name	Description
Old Password	[Mandatory, Alphanumeric] Type the valid current or old password.
New Password	[Mandatory, Alphanumeric] Type the new password, which you would like to use. Password must meet at least 3 out of the following four complexity rules: • at least 1 uppercase character (A-Z) • at least 1 lowercase character (a-z)

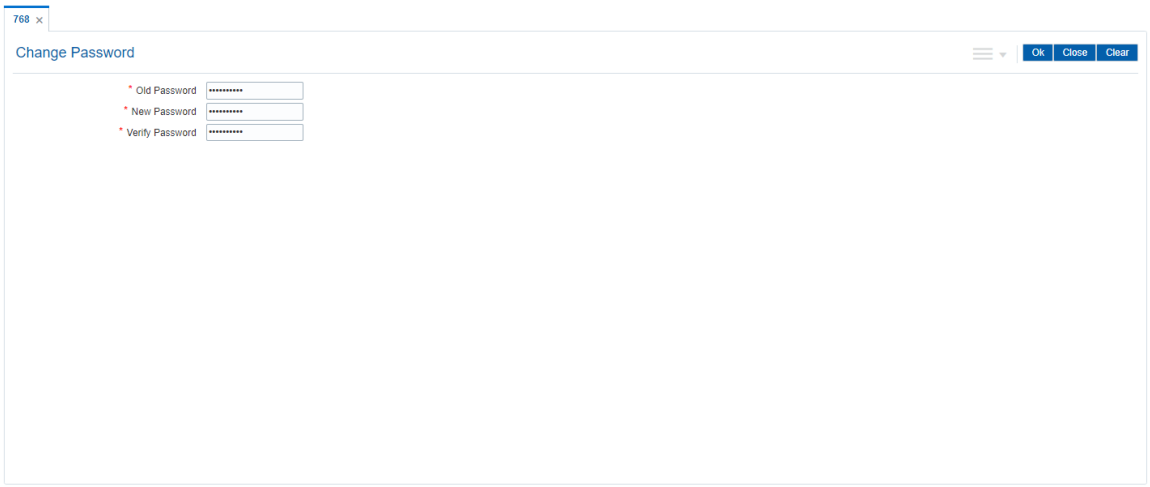
- at least 1 digit (0-9)
- at least 1 special character (!"£$%&...)

The password should have a minimum of six characters.
The password cannot have three or more successive characters or digits. For example, abc, xyz etc.

Verify Password [Mandatory, Alphanumeric]
Type the new password again to verify it.

3. Enter the old password.
4. Enter the new password and re-type it for confirmation.

Change Password



5. Click **OK**.
6. The system changes the primary password.

1.5 AT002 - Transaction Audit Trail

Using this option you can view the audit trail of financial transactions performed on **Oracle FLEXCUBE**. The audit trail can be queried using this maintenance on any of the following parameters:

- Originating Branch
- Date Range
- Teller ID or Super ID
- Customer ID or Account Number
- Transaction mnemonic and/or Amount range
- Type of transaction, Transaction number

Definition Prerequisites

- Financial Transactions should have been performed

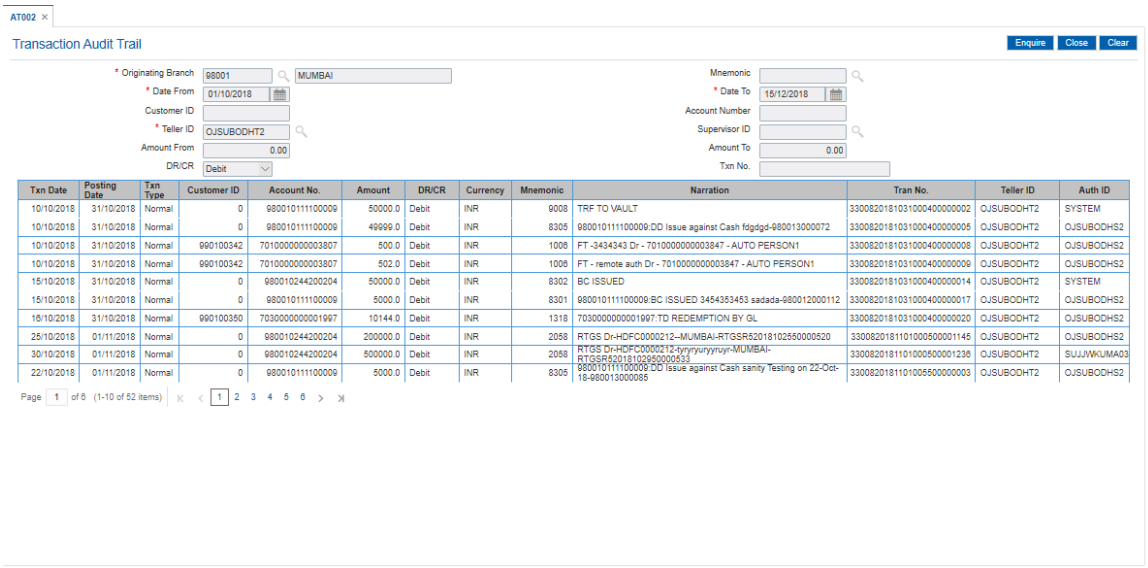
Modes Available

Not Applicable

To inquire on audit trail

1. In the **Dashboard** page, Enter the Task code **AT002** and then click or navigate through the menus to **Front Office Transactions > Internal Transactions > Enquiries > Transaction Audit Trial.**
2. You will be navigated to **Audit Trail Financial Transactions Enquiry** screen.

Transaction Audit Trail



Field Description

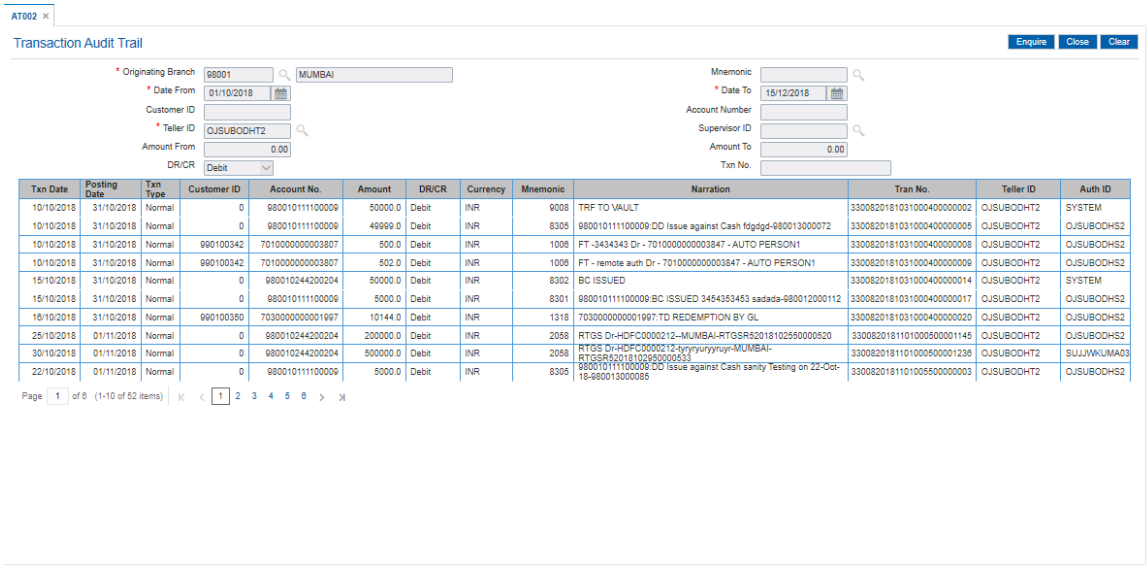
Field Name	Description
Originating Branch	[Mandatory, Drop-Down] Select the originating branch, for which the audit trail is required, from the drop-down list.

Mnemonic	[Optional, Search List] Select the maintenance task code to be audited from the Search List.
Date From	[Mandatory, Search List, dd/mm/yyyy] Select the date from which the data has to be retrieved from the Search List.
Date To	[Mandatory, Search List, dd/mm/yyyy] Select the date up to which the data has to be retrieved from the Search List.
Customer ID	[Optional, Alphanumeric, 10] Type the id of the customer on whom the maintenance was done.
Account Number	[Optional, Numeric, 14] Type the account number on which the maintenance was done.
Teller ID	[Mandatory, Search List] Select the id of the teller who has performed the maintenance from the Pick list.
Super ID	[Optional, Search List] Select the id of the authoriser who has authorised the maintenance from the Pick list.
Amount From	[Optional, Alphanumeric, 13, Two] Type the minimum amount from which the records are to be displayed.
Amount To	[Optional, Alphanumeric, 13, Two] Type the maximum amount upto which the records are to be displayed.
DR/CR	[Optional, Character, One] Enter the type of transaction. You can type D or C to view the debit or credit transactions.
Txn No.	[Optional, Alphanumeric, 40] Type the transaction number for which the records are to be displayed.

Column Name	Description
Txn Date	[Display] This column displays the date of transaction.
Posting Date	[Display] This column displays the posting date.
Txn Type	[Display] This column displays the type of tansaction.
Customer ID	[Display] This column displays the id of the customer on whom the maintenance was done.
Account No.	[Display] This column displays the account number on whom the maintenance was done.
Amount	[Display] This column displays the transaction amount.
Dr/Cr	[Display] This column displays the type of tansaction i.e Debit or Credit.
Currency	[Display] This column displays the account currency.
Mnemonic	[Display] This column displays the transaction mnemonic.
Narration	[Display] This column displays the narration for the transaction.
Tran No.	[Display] This column displays the transaction number.
Teller ID	[Display] This column displays the id of the teller who has performed the transaction.
Auth ID	[Display] This column displays the id of the authoriser who has authorised the transaction.

3. Select the originating branch and teller id from the list.
4. Enter the date range for which transactions are to be displayed.
5. Click **OK**. The system displays the financial transactions based on the criteria entered.

Transaction Audit Trail



6. Click **Close**.

1.6 BA777 - Audit Trail Enquiry for Non-Financial Txns

A bank can view the trail of both financial and non-financial transactions performed on **FLEXCUBE**. Only those non-financial transactions for which audit trails are required can be inquired in this Enquiry. This requirement is maintained in Audit Task Maintenance. The audit trail can be queried using this maintenance on any of the following parameters:

- Originating Branch
- Task ID
- Date Range
- Teller ID
- Authorizer ID
- Action

Using this option, the date as well as the user that has done the addition / modification / deletion in Customer Master for Aadhaar related fields can be identified..

Definition Prerequisites

- BAM04 - BA Audit Tasks Maintenance-Enquiry

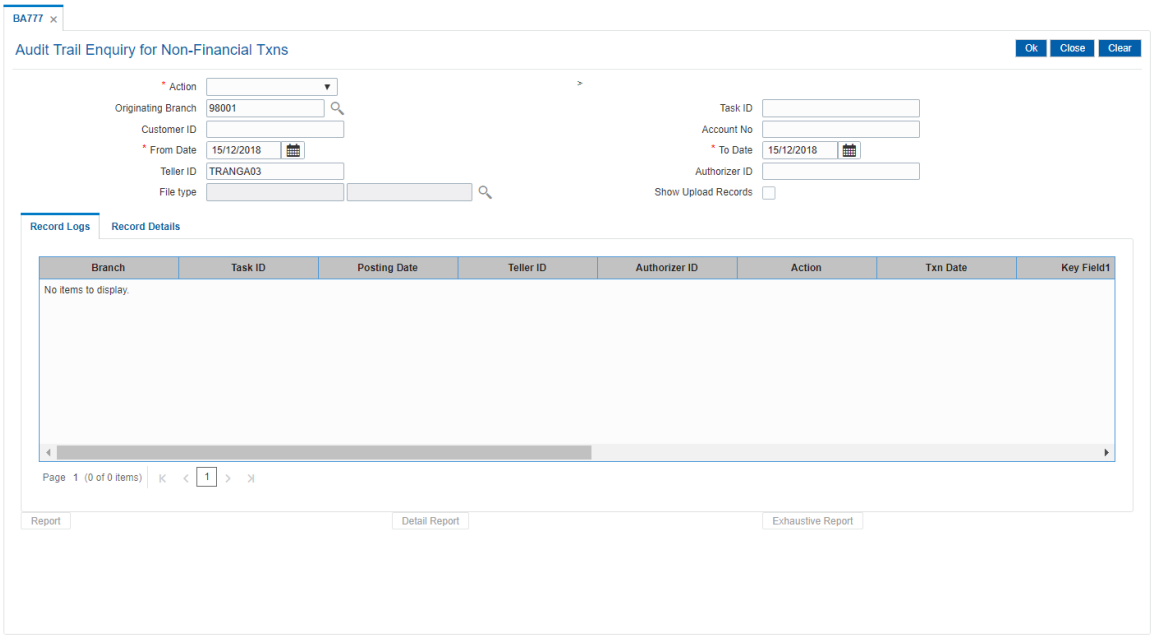
Modes Available

Not Applicable

To inquire on audit trail

1. In the **Dashboard** page, Enter the Task code **BA777** and then click or navigate through the menus to **Back Office Transactions > Other > Audit Trail Enquiry for Non-Financial Txns**.
2. You will be navigated to **Audit Trail Enquiry for Non-Financial Txns** screen.

Audit Trail Enquiry for Non-Financial Txns



Field Description

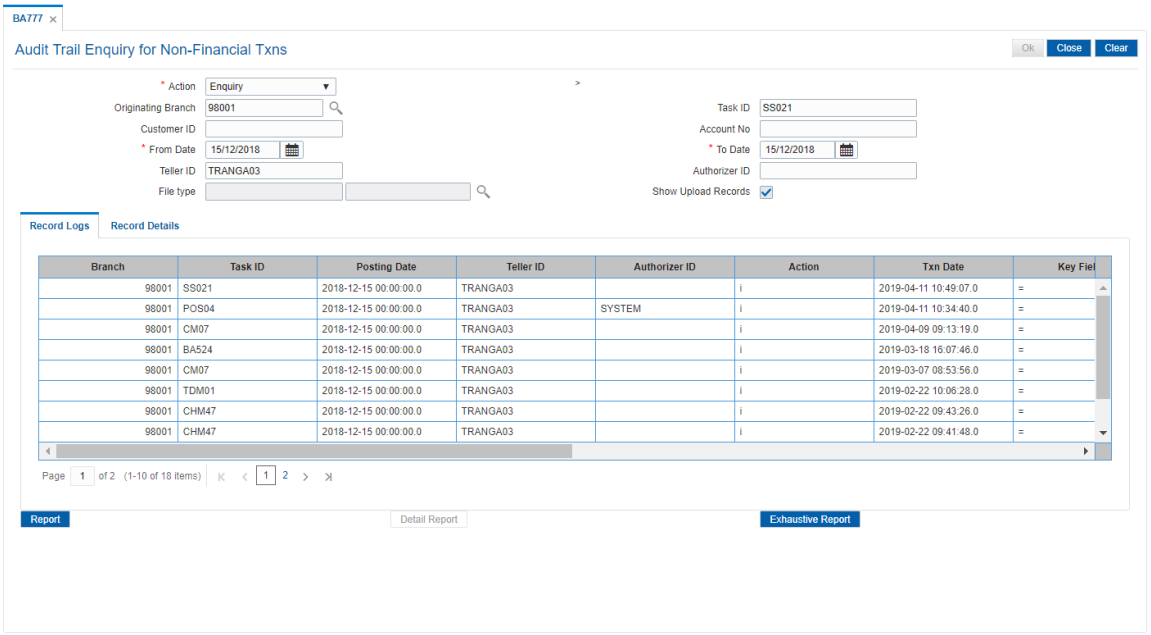
Field Name	Description

Action	[Mandatory, Dropdown] Select the maintenance action being audited from the drop-down list. The options are: • Enquiry • Add • Modify • Delete • All • All Unauthorised
Originating Branch	[Optional, Search List] Select the originating branch, for which the audit trail is required, from the Search List. The Branch Code will be defaulted to SMS User Branch.
Task ID	[Optional, Alphanumeric, Five] Type the maintenance task code being audited.
Customer ID	[Optional, Alphanumeric, 48] Type the id of the customer (if any) on whom the maintenance was done
Account No.	[Optional, Numeric, 14] Type the account number (if any) on which the maintenance was done.
From Date	[Optional, Date editor, dd/mm/yyyy] Select the date from which the data has to be retrieved from the Date editor.
To Date	[Optional, Date editor, dd/mm/yyyy] Select the date up to which the data has to be retrieved from the Date editor.
Teller ID	[Optional, Alphanumeric, 16] Type the id of the teller who performed the maintenance.
Authorizer ID	[Optional, Alphanumeric, 36] Type the id of the authoriser who authorised the maintenance.
File Type	[Optional, Pick-List] Select the file type and XF system from the Search List.
Show Upload Records	[Optional, Checkbox] By default, checkbox is selected for all action types except for the last option All Unauthorised. If checkbox is not selected, the record log will display changes done through FCR screens as well as uploads.

3. Select the action from the list and enter the required details in the remaining fields.
4. Click **Ok**.

5. The system displays the records matching the entered criteria in the **Record Log** tab.
6. Double-click a record to view its details in the **Record Details** tab.
7. Reports can be executed by clicking **Report** button (Only Record Details Tab), Detail Report button (Only Record Details Tab for a particular selection) or Exhaustive Report button (Complete details of all Record Log records).
8. Click **Close**.

Record Log

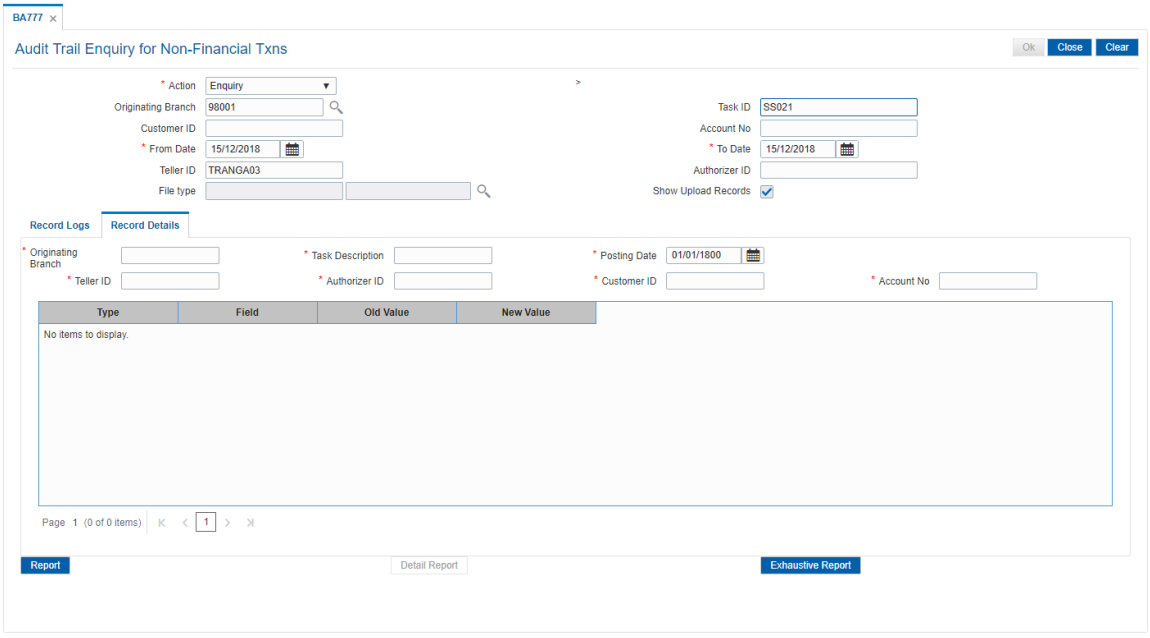


Field Description

Column Name	Description
Branch	[Display] This column displays the originating branch for which the audit trail is required.
Task ID	[Display] This column displays the maintenance task code being audited.
Posting Date	[Display] This column displays the date from which the data has to be retrieved.
Teller ID	[Display] This column displays the id of the teller who performed the maintenance.
Authorizer ID	[Display] This column displays the id of the authoriser who authorised the maintenance.
Action	[Display] This column displays the maintenance action being audited.

Txn Date	[Display] This column displays the date of transaction.
Key Field 1	[Display] This field display the value in key field 1.
Key Field 2	[Display] This field display the value in key field 2.
Key Field 3	[Display] This field display the value in key field 3.
Key Field 4	[Display] This field display the value in key field 4.
Key Field 5	[Display] This field display the value in key field 5.
Account No.	[Display] This column displays the account number (if any) on whom the maintenance was done.
Customer ID	[Display] This column displays the id of the customer (if any) on whom the maintenance was done.
Source	[Display] This column displays the source. If changes are done from screen the value in source column is displayed as MOW, whereas the changes from uploads will have the value in source as GEFU.

Record Details



Field Description

Field Name	Description
Originating Branch	[Display] This field displays the originating branch for which the audit trail is required.
Task Description	[Display] This field displays the maintenance task description.
Posting Date	[Display] This field displays the date from which the data has to be retrieved.
Teller ID	[Display] This field displays the id of the teller who performed the maintenance.
Authorizer ID	[Display] This field displays the id of the authoriser who authorised the maintenance.
Customer ID	[Display] This field displays the id of the customer (if any) on whom the maintenance was done
Account No.	[Display] This field displays the account number (if any) on whom the maintenance was done.

Column Name	Description
Type	[Display] This column indicates if this is a Key to identify the particular record in the **FLEXCUBE** database. Blank value indicates that this is not a Key field.
Field	[Display] This column displays the field name in the database which has changed. For a Key field, the actual value will also be indicated here. For Task ID - BA995 field names Cod_cc_brn and Cod_Xfer_brnhave been relabled as Old Branch Code and New Branch Code respectively
Old Value	[Display] This column displays the previous value for the field being modified. This will be blank in case of Add option.
New Value	[Display] This column displays the new value for the field being modified. This will be blank in case of Delete option.

Note: From actual number of records, the system displays only 100 records.

1.7 BAM04 - BA Audit Tasks Maintenance

Using this option you can decide the auditing matrix for a particular task. This option can be used to define whether an audit is allowed on a maintenance option, and the actions (add, modify, delete, etc.) from that window should be recorded in an audit log.

All online transactions with financial impact except for Voucher Entry transaction are recorded in the Electronic Journal (EJ) stored at the respective branch. This maintenance is used for auditing all the other transactions. The audit log is stored in the central host and is common to all the branches.

Definition Prerequisites

Not Applicable

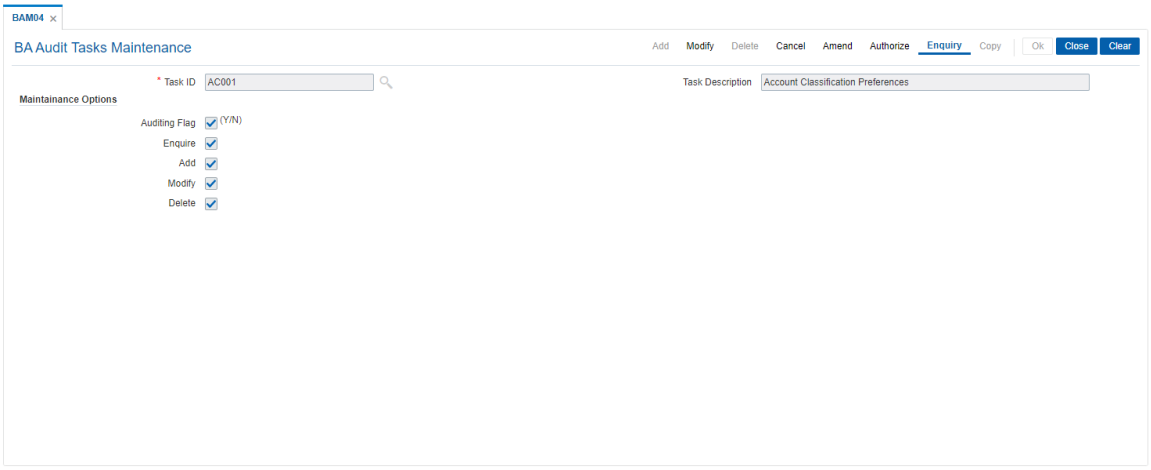
Modes Available

Add, Modify, Delete, Cancel, Amend, Authorize, Enquiry, Copy. For more information on the procedures of every mode, refer to **Standard Maintenance Procedures**.

To add audit task details

1. In the **Dashboard** page, Enter the Task code **BAM04** and then click or navigate through the menus to **Back Office Transactions > Other > BA Audit Tasks Maintenance**.
2. You will be navigated to **BA Audit Tasks Maintenance** screen.

BA Audit Tasks Maintenance



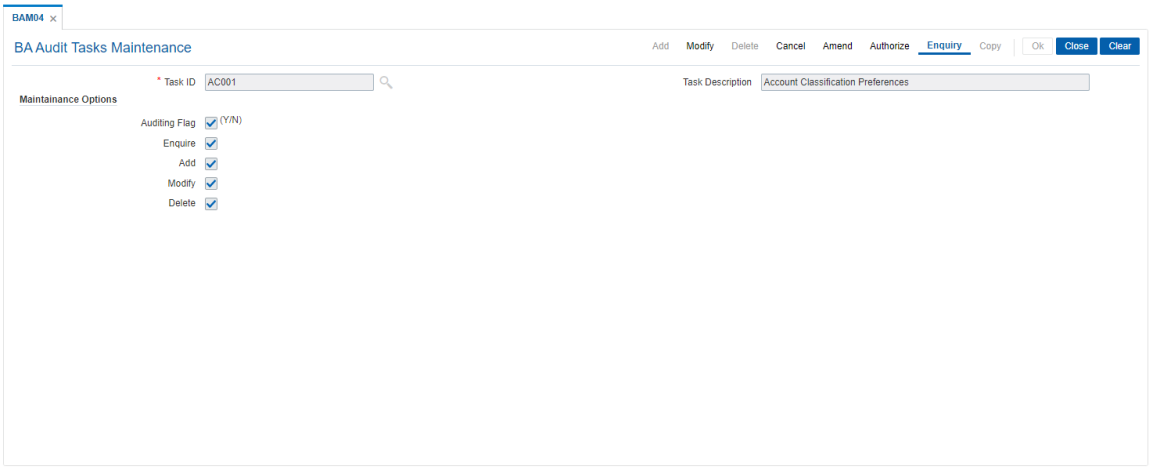
Field Description

Field Name	Description
Task ID	[Mandatory, Search List] Select the task ID from the Search List. Task ID lists all the transaction codes maintained in the **Transaction Mnemonic Codes** (Task Code: BAM15) option. This ID acts like a Task Code. The Task Code is a mnemonic which allows the user to access the options.
Task Description	[Display] This field displays the description of the selected task code.
Maintenance Options	

Auditing Flag	[Mandatory, Check Box] Select the Auditing Flag check box, to enable the auditing flag. If the check box is selected, the details of the transaction will be recorded and stored for audit purposes. The maintenance options will also be enabled if the auditing flag is selected.
Enquiry	[Conditional, Check Box] Select the Enquiry check box, if you want the system to record the inquire actions and store the same for audit purposes. If the **Enquiry** check box is selected it enables you to inquire about an authorised record. This field is enabled only if the **Auditing Flag** check box is selected.
Add	[Conditional, Check Box] Select the Add check box to enable you to add a new record to the selected task id. If the **Add** check box is selected, the system records the add actions and stores the same for audit purposes. This field is enabled only if the **Auditing Flag** check box is selected.
Modify	[Conditional, Check Box] Select the **Modify** check box to enable you to modify a record in the selected task id. If the Modify check box is selected, the system records the modify actions and stores the same for audit purposes. This field is enabled only if the **Auditing Flag** check box is selected.
Delete	[Conditional, Check Box] Select the Delete check box to enable you to delete a record from the selected task id. If the **Delete** check box is selected, the system records the delete actions and stores the same for audit purposes. This field is enabled only if the **Auditing Flag** check box is selected.

3. Click **Add**.
4. Select the task ID from the Search List.
5. Select the auditing flag check box and the appropriate maintenance option check boxes.

BA Audit Tasks Maintenance



6. Click **OK**.
7. The system displays the message "Record Added...Authorisation Pending..". Click **OK**.
8. The audit task is added once the record is authorised.

EXERCISE

Prepare a Task ID maintenance for the **Cash Deposit** (Task Code: 1401) option.
Allowable maintenance option are: Add, delete, cancel, authorize.
Audit Trail tracking to be checked.

1.8 BAM10 - Teller Account Restriction Maintenance

Using this option you can restrict a particular teller from accessing the details of particular customer or GL accounts.

For example: If the bank decides to restrict the access to income and expenses accounts this option can be used. For a restricted account, the teller is not allowed to post any transaction, inquire, or maintain details.

Definition Prerequisite

Not Applicable

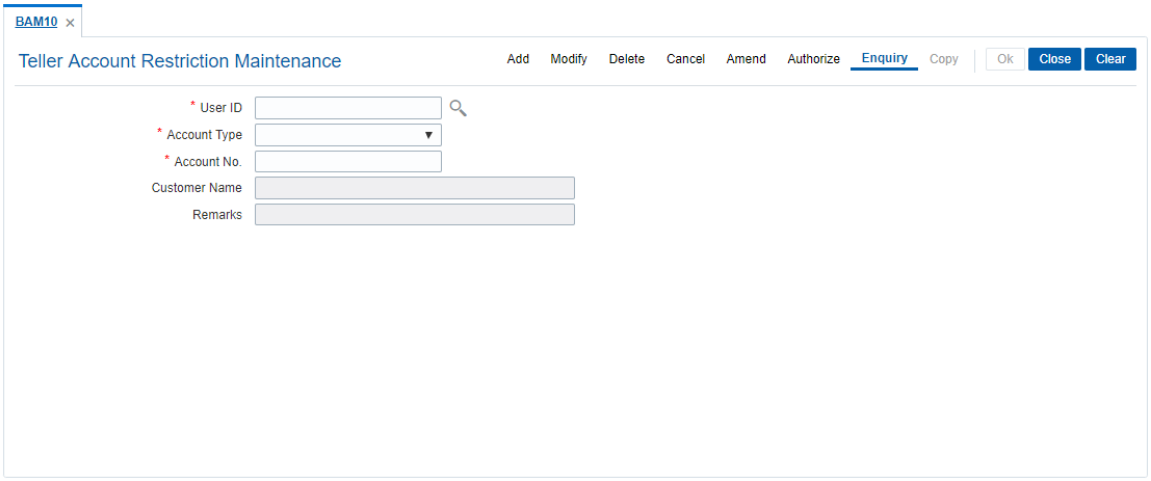
Modes Available

Add, Modify, Delete, Cancel, Amend, Authorize, Enquiry, Copy. For more information on the procedures of every mode, refer to **Standard Maintenance Procedures**.

To add a teller restricted account

1. In the **Dashboard** page, Enter the Task code **BAM10** and then click or navigate through the menus to **Front Office Transactions > Internal Transactions > Others > Teller Account Restriction Maintenance**.
2. You will be navigated to **Teller Account Restriction Maintenance** screen.

Teller Account Restriction Maintenance



Field Description

Field Name	Description
User ID	[Mandatory, Search List] Select the user ID from the drop-down list. These user IDs are added and maintained in the **Defining User Profile** (Task Code: SMM02) option. Once added, this field cannot be modified or amended.
Account Type	[Mandatory, Drop-Down] Select the account type on which restriction is to be imposed from the drop-down list. The options are:

- Customer A/C: It enables the **Account No** field in which you enter the customer account number.
- General Ledger A/C: It enables the **Account No** field in which you enter the GL account number.

Once added, this field cannot be modified or amended.

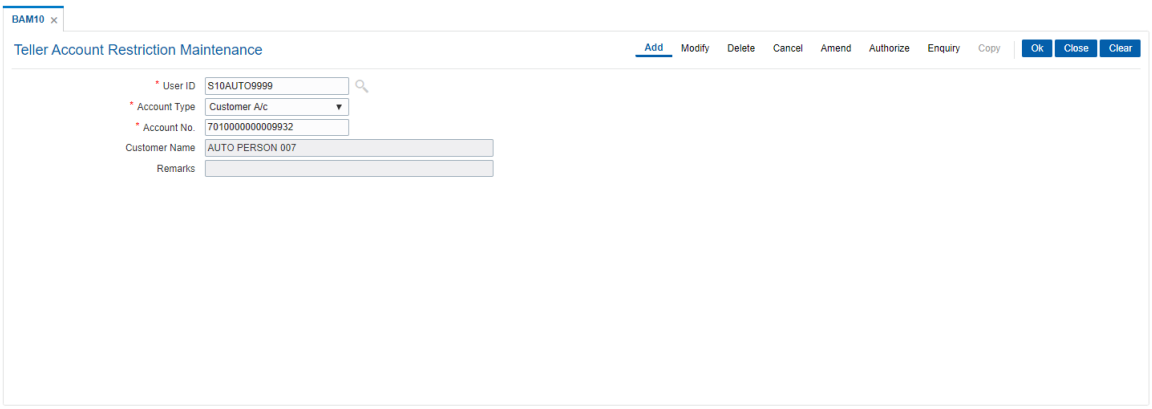
Account No. [Mandatory, Alphanumeric, 16]
Type the account number based on the selected account type.
The system does not validate the status of the account.

Customer Name [Display]
This field displays the name of the customer if you select the **Customer A/C** option from the **Account Type** drop-down list.

Remarks [Optional, Alphanumeric, 40]
Type the reason for the restriction. This is for information purposes only.

3. Click **Add**.
4. Select the user ID from the Search List and the account type from the list.
5. Enter the account number and press **Tab or Enter** key.

Teller Account Restriction Maintenance



6. Click **OK**.
7. The system displays the message "Record Added...Authorisation Pending...". Click **OK**.
8. The teller restricted account is added once the record is authorised.