Oracle® FCCM Investigation Hub Cloud Service

Using Investigation Hub

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Preface

Using Investigation Hub helps case investigators with an enriched contextualized view of the case, consolidating data from multiple sources and providing graph view and ML insights to enhance the investigation experience. The purpose of this application is to help Case Analysts and Case Supervisors search, investigate, and take action on cases.

Audience

This document is intended for users who are responsible for provisioning and activating Oracle FCCM Investigation Hub Cloud Service or for adding other users who would manage the services, or for users who want to develop Oracle Cloud applications.

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- Oracle Public Cloud: http://cloud.oracle.com

- Community: Use https://community.oracle.com/customerconnect/ to get information from experts at Oracle, the partner community, and other users.

- Training: Take courses on Oracle Cloud from https://education.oracle.com/oracle-cloud-learning-subscriptions.

Conventions

The following text conventions are used in this document:

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.
italic	Italic type indicates book titles, emphasis, or placeholder variables for which user supply particular values.
`monospace`	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that user enter.

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About Investigation Hub

Investigation Hub Cloud Service provides case investigators with an enriched contextualized view of the case, consolidating data from multiple sources and providing graph view and ML insights to enhance the investigation experience. The purpose of this application is to help Case Analysts and Case Supervisors search, investigate, and take action on cases.

Key Features

The key features of the application include the following:

• [Viewing and Searching Cases](#) and filter based on Case IDs, search criteria, and Views.

• [Investigating Cases](#) by performing an in-depth analysis using detailed information provided for each case.

• Resolve cases ([Acting on Cases](#)) by taking appropriate actions on cases.

• [Generating Dossier](#) of the pertinent information on the case as a summary and to tailor the information passed to Regulatory Reporting Cloud Service.

User Roles and Privileges

You can perform activities associated with your user group throughout the functional areas in the application. For more information about which actions can be performed by your user role, see [User Roles in Investigation Hub](#).

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Getting Started

This section provides step-by-step instructions to log in to the application.

Accessing the Application

To access the application, follow these steps:

1. Enter the URL in the web browser.

2. The **Oracle Cloud** login page is displayed.

3. Enter your **User ID** and **Password**.

4. Click **Sign In**. The **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** landing page is displayed.

5. Click **Application Navigation** ☰ icon at the top left corner and the **Navigation List** displays the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** module.

6. Click **Application Administration** and then click **Investigation Hub Administration**

7. Click the required option such as Process Modeling Framework, Case Priority, Case System Parameters, or Audit History.

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Viewing and Searching Cases

This section describes how to view a case and multiple ways to search cases and select case(s) for investigation.

About All Case Types

The All Case Types tab displays a list of all types of cases. And, the cases that are assigned to the logged in user and that are in open status. Based on your role privileges, you can select a case by clicking the corresponding Case ID link to view the details, analyze, and resolve it. To view all the cases for which you have access to, click the **All Cases** button. All the cases both open and close are all listed.

You can view the AML and the AML sub-type cases on the **AML Cases** tab, CS and CS sub-type cases on the **CS Cases** tab, KYC and KYC sub-type cases on the **KYC Cases** tab and TF and TF sub-type cases on the **TF Cases** tab. To view all the closed cases, enable the **Include Closed Cases** toggle button.

Update

To view the actions you can take on a case, select a case and then click the **Update** drop-down menu. The available options are Case Details, Assignee, Status, and Evidence.

The following table lists all the field names displayed on the cases tab based on the case type selected.

Table 3-1   Case List and Search - Columns and Descriptions based on Case Type

Column	Description
Case ID	The unique case identification number. This is a link navigate to the Case Summary Page for further analysis.
Case Title	The title of the case. This will be generated automatically, based on the Case Type. You can also edit the Case Title on the Case Context page.
Case Description	The description of the case.
Candidate/Customer Type	This shows if it is a customer or an entity.
Priority	The priority which has been assigned to the case. Possible options are High, Medium, and Low.
Case Type	A logical grouping of cases. For example, AML, CS, and KYC. **Note:** The supported case types are **AML_SURV**, **CS**, **KYC** and **TF** cases.
Event Type Count	The number of events based on the type of event associated with this case.
Case Status	Status the case is currently in. For example, New, Investigation, Pending Review, or Closed.
Reason	The reason selected for the last resolution action performed.
Case Age	Specify a case's age in the number of days. A case's age is calculated as the number of calendar days between its date of creation and the current date.
Due Date	Date by which action must be taken on the case.
KYC Risk Score	The KYC Risk Score originally associated with this case.

Table 3-1   (Cont.) Case List and Search - Columns and Descriptions based on Case Type

Column	Description
Effective Risk Score	Displays the effective risk score for this case.
Events Count	The number of events associated with this case.
Assignee	The user to this case is currently assigned to.
Scenarios	The scenarios supported for AML cases.
Case Resolution Comments	The reason selected for the last resolution action performed.
Data Origin	Origin of the data in the case.
Created On	Date when the case was created.
Jurisdiction	The name of the jurisdiction under which the case was filled.
Policy ID(s)	The policy number associated to the case.
Scenarios	The scenario associated with this case event.
Entity Risk	Displays risk of the primary entity.
Risk Assessment ID	Displays the unique risk assessment ID assigned for the case in the application.
Application ID	Displays the unique ID for the application which triggered the risk assessment.
Batch Type	Displays the type of batch associated with this risk assessment. For example, Deployment Initiation (DI), Periodic Review, New Account Review, and Accelerated Review (ARR).
KYC Risk Score	Displays the risk score of the profile.
KYC Risk Category	Displays the risk category assigned to the case.
Next Review Date	Displays the next review date when customer should be considered for risk assessment review.
Overridden Risk Score	Displays the risk score overwritten over the system generated risk score.
Overridden Risk Category	Displays the overwritten category of the risk assessment.
Overridden Review Date	Displays the overridden review date when customer should be considered for risk assessment review.
Case Closure Date	By when the case has to be closed.
Amount	Displays the transaction amount value details.
Currency	Displays the currency name.
Message Category	This displays the type of messages for scanning.
Message Direction	This displays the type of transaction if its an inbound or outbound transaction.
Message Reference	Displays the message reference details.
Message Type	Displays the message type details
Transaction Reference	Displays the transaction reference details.

> ⓘ **Note**
>
> The columns can be customized using the **Actions** menu. For more information, see the [Using Interactive Reports](#) section.

On the Case List View page, click the **Case ID** link to view details of the selected case. When you return to the Case List View page after viewing a case, any tabs that you have opened, search criteria you have applied, or pagination settings are retained.

About My Cases

To view the cases assigned to the logged in user, click **My Cases**. To view the closed cases of the logged in user, enable the **Include Closed Cases** toggle button.

> ⓘ **Note**
>
> For a case, the queue assessment happens on case creation time either manually or via batch and on case closure provided in workflow steps you have the queue assignment trigger for the close actions.

Using the Search Bar

You can filter, search and customize the reports by using options on the search bar. For more information, see the Using Interactive Reports section.

Using the Column Heading Option

Clicking a column heading in an interactive report displays the Column Heading option. The options are:

- **Sort Ascending**: Sorts the report by the column in ascending order.
- **Sort Descending**: Sorts the report by the column in descending order.
- **Hide Column**: Hides the column.
- **Control Break**: Creates a break group on the column. This pulls the column out of the report as a master record. For more information, see the Creating a Control Break section.
- **Filter**: Enter a case-insensitive search criteria. Entering a value reduces the list of values at the bottom of the menu. You can then select a value from the bottom. The selected value will be created as a filter using either the `equal sign (=)` or `contains` depending on the List of Values Column Filter Type.

> ⓘ **Note**
>
> Use the hot keys to navigate through different sections of the Investigation Hub screen:
>
> - Use the tab key to move to the next field on the screen.
> - Use Shift + Tab to go to the previous field.
> - To view the details of the record, hit enter key on the case id.
> - To move to the next page in pagination, hit tab and enter keys.

You can download all the cases from Investigation Hub to CSV, Excel, or HTML files using the **Download** button on the case list page.

> **ⓘ Note**
>
> There is a delay in downloading the records if there are more than 20 thousand cases.

When downloading cases from specific case type tabs, ensure that you apply the required filters and reduce the number of cases for downloading to avoid any delay in downloading the cases.

You can download a maximum of 50 thousand records in `.CSV` and `.excel` file formats and a maximum of five thousand records in `.html` file formats.

4

Investigating Cases

This section explains how to investigate cases and determine the actions to resolve them.

4.1 Investigating AML Cases

This topic describes how to investigate Anti Money Laundering Surveillance (AML_SURV) case.

After opening AML_SURV case from the Case List page, users can view following in the Case Summary page:

- **Case Details**: The case details are:
    - **Case Status**: Current status of the case. For example, the statuses are New, Assigned, Investigation, Pending Review, and Closed.
    - **Priority**: The priority which has been assigned to the case. The options are High, Medium and Low.
    - **Jurisdiction**: Displays the jurisdiction to which the case belongs.
    - **Status**: Displays the current status of the case.
    - **Case Type**: The type of case is selected. It is applicable only for the AML_SURV case type.
    - **Due Date**: Displays the due date by which action must be taken on the case.
    - **Created Date**: Displays the date when the case is created.
    - **Closed Date**: Displays the date when the case is closed.
    - **Assignee**: Displays the user which is currently assigned to.
- Investigate the case Using Case View / Using Entity View.
- Acting on Cases after completing the investigation.
- Generating Dossier after reviewing all the case information and will be used for regulatory reporting.

4.1.1 Using Case View

This topic provides information about investigating the AML_SURV case type in a Case view.

You can view case details at the top of the Case Summary Page. Users can investigate cases either in Case View or Entity View.

> ⓘ **Note**
>
> By default, **Case View** is displayed on the Case Summary Page. Click on the **Entity View** button to view the entity details. For more information about entity view, see the Using Entity View section.

Case Details and Description

The Case Details and Description section provides detailed information about the case. The sections displayed will be based on the type of case you are viewing. You can view high-level case information in the Case Information section at the top of the page.

On the Case List View page, click the **Case ID** link to open the Case Details and Description in a new window. The Case Details and Description includes the Case Events, Primary Entity, Alerted Transactions Graph, Alerted Transactions, and Accounts.

Case Events

Use the Case Events section to view complete details of events associated with the selected case and identify if they are relevant to the case. You can view case events in either card view or list view using **Card View** and **List View** buttons, respectively. By default, the case event is displayed with a **Card View**.

There are two types of scenarios for the AML cases:

*   **AML Scenarios**
    Click on any **Event** to view the following information.

    The Event ID and date of the event is displayed.

Table 4-1   Event Details - Fields and Descriptions

Field	Description
Mark as Relevant	Enable the check box if events are relevant to this case. If it is enabled, the case events are displayed as relevant **Note:** Marking events as relevant determines if they are included in any regulatory report and will be used to improve the relevance of events in cases in the future.
Score	Displays the score for the event.
Event ID	Displays the ID for the event.
Event Reason	The reason event was generated. **Note:** The overall, effective, and activity risks are listed for the **Anticipatory Profile Account Focus** scenarios.
Scenario ID	Displays the ID of the scenario used to create the event.
Evented Date	Displays the date this event was created.
Incoming Profile Metric Activities	This section is displayed only for **Anticipatory Profile Account Focus** scenarios. The graph shows incoming transactions and information about the actual amount, anticipated amount, threshold amount and difference of Anticipated vs Actual amount for each profile metric.
Outgoing Profile Metric Activities	This section is displayed only for **Anticipatory Profile Account Focus** scenarios. The graph shows outgoing transactions and information about the actual amount, anticipated amount, threshold amount and difference of Anticipated vs Actual amount for each profile metric.
Incoming Activities	This section is displayed only for **Anticipatory Profile Account Focus** scenarios. This is a tabular representation of the incoming transactions.
Outgoing Activities	This section is displayed only for **Anticipatory Profile Account Focus** scenarios. This is a tabular representation of the outgoing transactions.

You can filter the transaction details in the table using the start and end dates.

To download the transaction details click the Download icon(**Download Transactions**) button.

Threshold Breach: The polar chart depicts the selected Case Event's relevant data.

- **Trade Scenarios**
  Click on any **Event** to view the following information:

  The Event ID and date of the event is displayed.

  The trade scenario along with information about the event is displayed. The supported trade scenarios are:

  – Customers Engaging in Offsetting Trades - Customer Focus

  – Movement of Funds without Corresponding Trade - Customer Focus

  – Trades in Securities with Near-Term Maturity Exchange of Assets - Customer Focus

  > ⓘ **Note**
  >
  > For creating and running custom pipelines related to trade scenarios, see the *Copying Pipeline* section of [Oracle® Financial Crime and Compliance Management Cloud Service Using Pipeline Designer](#).

  The following sections are displayed only for the trade scenario AML cases:

  – Threshold Parameters: Lists the defined threshold parameters and their values.

  – Trade Details: The trade details which are relevant to the event such as customer account, offset account trade id and so on are represented in graphical form and a tabular format.
    You can filter the data for the graph or the trade table by selecting the required security, the start and end date of the trade.

    * The start date is the difference between the end date and the lookup period as listed in Threshold Parameters.

    * End date is is the evented date.

    > ⓘ **Note**
    >
    > For customer focus graphs, the Offset Percentage Difference Buy and Offset Percentage Difference Sell is also displayed. Select or unselect other options on the graph to view the difference. If there is only a slight difference between the offset sell and offset buy the line representing the difference is a very small line on the graph. If the difference is significant the line is displayed evidently.

    > ⓘ **Note**
    >
    > If there are no details about the dates, then all the trade transactions are listed.

  Hover over the graph to view details like security name, sell, offset buy, and percentage difference between buy and sell.

To download the trade details click the Download icon(**Download Offset**) button.

– Threshold Breach: The polar chart depicts the selected Case Event's relevant data.

To view the trade details of the event, click the **Trade Details** tab.

The customer account and offset accounts are displayed. You can click on the respective tile to view the trade details of each account.

All the trade details related to the accounts that are part of the trade are listed in a tabular format with start and end date filters.

– The start date is the evented date.

– End date is the sum of start date and look up date listed in Threshold parameters.

To download the trade details click the Download icon button.

- **Customer Holdings**
  Click this tab to view the securities held by customers. The customer holdings are represented in a graphical format (when buying quantity of securities is greater than selling quantity of the securities).

  By default, the graph displays data till the evented date. You can select a date from the **Select Date** filter to view the holdings till the selected date.

  The details of the various instruments held by the customer are listed in a tabular column.

  To filter the data on tabular column, you can use the search bar or click the graph to drill-down the data till Product Sub-Type level.

  Click the download button to download the holding details to an excel sheet.

- **Networks of Accounts and Entities and Customers Scenario**
  Click on network event to view the following information:

  – Networks of Accounts and Entities and Customers - Account focus: Details such as event score, average transaction amount, distinct node pair count, household, link and total node counts along with maximum transaction amounts and number of accounts are listed.

  – Threshold Breach: The polar chart depicts the selected Case Event's relevant data.

  – Network Structure: This is a tabular representation of the details of the network transaction between two entities.

Table 4-2   Network Structure Details

Column	Description
Node Pair	Shows the two entities that are linked together.
Link Type	Indicates how the entities are connected.
Linked Attributes	Displays the specific attribute or transaction reference that establishes the link.
Network Visualization Total Count	Shows how many transactions and count of attributes for any type of link.
Network Visualization Total Amount	Displays the total monetary value of transactions between these two entities.

– Transactions: The following tab details the transactions involved. You can download the transactions to a CSV file. And, you can filter the data by selecting the start and end date.

Table 4-3   Transaction Details

Column	Description
Transaction ID	A unique identifier assigned to each transaction.
Transaction Date	The date on which the transaction occurred.
Transaction Type	The category or nature of the transaction.
Transaction Source	Indicates the source system or module that generated this transaction.
Base Amount	The monetary amount of the transaction expressed in the base currency of the institution.
Base Currency	The currency in which the base amount is recorded.
Activity Amount	The transaction amount in the activity currency—this is relevant when the transaction involves currency conversion.
Activity Currency	The currency associated with the activity amount.
Originator ID	Identifier of the account, customer, or entity that initiated the transaction.
Originator Name	Name of the individual or entity who initiated the transaction.
Beneficiary ID	Identifier of the counterparty who receives the transaction.
Beneficiary Name	Name of the recipient of the transaction.
Added Date	The date on which the transaction record was loaded into the system or added to the event.

> ⓘ **Note**
>
> To view case events detail through List View, follow these steps:
>
> 1. Click **List View**.
> 2. Click **View Detail** hyperlink to view the Event Details.

Event Details

The Event Details pane displays a complete description of the events associated with the selected case. Events can be focused on customers, accounts, or external entities. This section also displays the details of the scenario or ML model that triggered this event.

Transaction Details

The Event Details pane lists all transactions associated with this event.

Table 4-4   Transactions - Fields and Descriptions

Field	Description
Transaction ID	The unique identification number of the transaction.
Transaction Date	The date on which this transaction was conducted.

Table 4-4   (Cont.) Transactions - Fields and Descriptions

Field	Description
Transaction Type	The transaction type such as fund transfer or monetary instrument.
Product Type	The product used for this transaction.
Transaction Base Amount	The monetary value of the funds transferred via this transaction.
Base Currency	The currency value in which the transaction has happened.
Transaction Activity Amount	The latest transaction amount.
Transaction Activity Currency	The currency value of the transaction.
Originator ID	The ID of the party who is the originator of the transaction.
Originator Name	The Name of the party who is the originator of the transaction.
Beneficiary ID	The ID of the party who is the beneficiary of the transaction.
Beneficiary Name	The Name of the party who is the beneficiary of the transaction.
Added Date	Displays the date when this beneficiary was created.
Is Alerted	Displays if this transaction is alerted or not.

Sort Transactions

To sort transactions in the list, follow these steps:

1. In the Transactions list of the **Transactions** tab, select a column (for example, Transaction ID, and so on).

2. Sort in ascending or descending order by clicking the up or down arrow buttons.

Threshold Breach

This polar chart displays the selected Case Event's relevant data which helps to determine relevance.

For **Anticipatory Profile Account Focus** scenarios, on selecting the **Show Threshold Breaches** check-box, only the entries having threshold breaches are displayed.

Primary Entity

The Primary Entity section provides details about the primary subject of the investigation, such as Risk Score, Overall SAR score, Entity Name, and so on. For any case created by the system, the Primary Entity will be automatically provided based on the events associated with the case.

Click **View SAR(s)** hyperlink to show previous SARs filed for the primary entity.

Alerted Transactions

You can view the total transactions amount and count in the graphical view and transactions list view by clicking the Alerted Transactions tabs. By default, the Alerted Transactions Graph is displayed. In the graph, the left column displays the total transaction amount, and the right column displays the transaction count.

The list view displays the list of all transactions associated with this case. To use the search bar options on the **Alerted Transaction** tab, see the Using Interactive Reports section.

Accounts

Click **Accounts** tab to view the details of accounts associated with the selected case

Adding Accounts

> ⓘ **Note**
>
> You cannot add an account when status of the case is closed.

To add an account of the selected case, follow these steps:

1. Click **Add Accounts**. The Select Account pane is displayed.
2. Select the required check box(es) and click **Add Accounts**. The selected account(s) is added successfully to the case.

Table 4-5   Transactions - Fields and Descriptions

Field	Description
Account ID	Displays the Account ID for this account.
Internal Account ID	Displays the Internal Account ID for this account.
Account Type	Displays the account type for this account (for example, Savings, Investment, and so on).
Current Balance	Displays the current balance for this account.
Account Status	Displays the status of this account. The statuses are Active and Inactive.
Age	Displays the account's age in the number of days.
Last Transaction Date	The date on which this transaction was conducted.
Account Open Date	The date on which this account was opened.
Effective Risk	Level of effective risk associated with this account.

> ⓘ **Note**
>
> To use the search bar options, see the Using Interactive Reports section.

4.1.2 Using Entity View

This topic provides information about investigating case type in an Entity view.

On the Case Summary page, click on the **Entity View** button to view the entity details. The Entity Details page contains the following sections.

Selecting an Entity

From the **Entity Details** drop-down list, select the entity. The available entities are **internal entities (customers)** and **external entities**.

> ⓘ **Note**
>
> Users can delete entities associated with the case using the **Delete** option, but you cannot delete the primary entity of the case.

Adding an Entity

You can add either internal entities (customers) or external entities using the **Add Entity** button.

> ⓘ **Note**
>
> You cannot add entity when status of the case is closed.

To add an entity, follow these steps:

1. Click **Add Entity**. The select Entity pane is displayed.

Table 4-6   Entity List - Fields and Descriptions

Field	Description
Add Entity	Add a new entity to the case.
Customer ID	Displays the Customer ID of this Entity.
Internal ID	Displays the Internal ID of this Entity.
Full Name	Displays the Full Name of this Entity.
Tax ID	Displays the Tax ID of this Entity.
Customer Type	Displays the type of customers of this Entity.
Entity Type	Displays the Entity Type. The types are Customer and External.
Organization Name	Displays the Organization Name of this Entity.
Phone	Displays the phone number of this entity.
Email	Displays the Email ID of this entity.
Address	Displays the address information of this entity.

2. Click **Add Entity** ⊞ icon to add a new entity to the case. The **Add Entity** pane is displayed.

3. Select the **Involvement Type** from the drop-down list. The available options are:

   • Conductor

   • Not Involved

   • Other

   • Suspect

   • Unknown

   • Victim

   • Witness

4. Click **Add Entity**. The newly added records are displayed in the Entity list.

> ⓘ **Note**
>
> To apply the filter to narrow down your search, click on the **Search** bar and select the required filter options from the drop-down list. The available options are Customer Type, and Entity Type.
>
> For example, if Entity Type is selected then select the required options. The options are Internal Entity and External Entity.

Profile Summary

This section displays the profile summary of the entity. Click on the **Profile Summary** hyperlink to view more information about this entity, such as Details, Customer Info, Shared attributes, Additional Involvement and Related accounts.

> ⓘ **Note**
>
> To update **Involvement Type** for the particular entity, follow these steps:
>
> 1. Click **Profile Summary** hyperlink to view the Profile page.
> 2. Click **Update** hyperlink on the Involvement Type. The **Set Involvement Type** pane is displayed.
> 3. Select the required **Involvement Type** from the drop-down list.
> 4. Click **Update Involvement Type**. The entity is updated with the selected Involvement Type.

Risk Summary

This section displays the risk summary of the entity. Click on the **Risk Summary** hyperlink to view more information about this entity, such as Adverse Media Scans, Risk Summary, Risk Score History, and Watch List Scans.

Compliance Summary

This section displays the compliance summary of the entity. Click on the **Compliance Summary** hyperlink to view more information about this entity, such as Case Details, Events, SARs, Timeline, and so on.

To view the compliance summary details, follow these steps:

1. Click on the **Compliance Summary** hyperlink. The Compliance Summary pane is displayed.
2. Click **View SAR, Event and Case Details** hyperlink. The SAR(s), Events and Case Details pane is displayed. You can view SAR(s), Events and Case Details in detail.

> ⓘ **Note**
>
> To use the search bar options, see the Using Interactive Reports section.

3. Click **Cancel** to close the pane.

In the **Top Case List** section,

- You can view the top case lists that are associated with this entity.

In the **Timeline** section,

- You can view the timeline for the actual events.

Account Data

This section displays the account summary of the entity. Click on the **Account Summary** hyperlink to view more information about this entity, such as Account, Account Detail, Account Stats Current Year, Source of Funds, and so on.

You can navigate to the following sections by clicking the **Account Summary** hyperlink on the Entity View page.

Account & Trade Accounts

You can view the account and trade information in detail.

Account Detail

You can view the account details.

Account Stats Current Year

You can view average and current amounts for deposits and withdrawals made in the current year.

Account Address

You can view the account address details.

Account Domicile Address

You can view the legal or permanent address associated with the account.

Investment Advisor

You can view the investment advisor details.

Channel Utilization

This chart displays the channel utilization for the selected account.

Transaction History and List View Tabs

This section displays the withdrawal and deposit amounts for the selected account. You can view this transaction history periodically using the **From** and **TO** drop-down lists.

List View Tab

This section lists all the transaction information for the selected account.

> ⓘ **Note**
>
> - You can view the alerted transaction list which is tagged as **Alerted** in the **Alerted Flag** column. It also displays the Case and Event IDs that are associated with this transaction.
>
> - To use the search bar options, see the <u>Using Interactive Reports</u> section.
>
> - Enable **Alerted Transactions** toggle switch to the right to view the transaction amount to be alerted.

Trade Account Lists

You can view the trade account details.

Source of Funds

This graph represents the source of funds for the selected account.

Most Common Counter Party

This graph represents which counter party is most active on the account. You can view data in the list view by clicking the **List View** button. By default, it is displayed as **Chart View**.

Customer Activity (Current vs. Prior Year)

This graph compares the selected account's current and prior years of customer activity.

4.1.3 Viewing an Entity Graph

This section displays a graphical representation of the case consisting of Customers, Accounts, and Derived Entity (External Entity) involved in the selected case.

- Customers, Accounts, External Entities, Cases, and Events are displayed as nodes.

- The relationships which occur between these nodes display as links. Edges may be relationships between the nodes like a customer having an account, similarity edges, and relationship edges to show linked entities or transactions.

- Back-office transactions are not displayed in this graph.

To customize the graph, follow these steps:

1. To enable the **Graph Settings**, assign the case to the logged in user using the **Assign To Me** option.

   The **Network Evolution Settings** drawer is displayed.
   Configure the graph as per your requirements for basic, chart and playback settings along with layout changes and then click **Save**.

2. Right-click on the individual icon to view the details. For example, if you right-click on the account, then view the details such as Address, Business Domain, City, Entity type, Jurisdiction, and so on.

   - Click **Expand - Fetch neighbors based on configurable hop count** to expand that particular node 1 hop in each direction to view the additional information about Account/Customer/Derived Entity.

> ⓘ **Note**
>
> You can expand graph from any given node 1 hop in each direction using
> **Expand - Fetch neighbors based on configurable hop count**.

- Click **Drop - Delete selected vertices and edges** to remove vertices and edges from the network.

- Click **Focus - Drops everything and fetches n-hop neighbors of selected vertices** to focus only from the network.

3. On the right pane, click on the individual check box such as Account, Case, Customer, Event and so on to unlink from the case.

4. Click **Update Graph Data** to view the updated graph based on changes made in the transactions and the entities of the case. For example, if users remove a customer from the graph and then click Update Graph Data, then a decision needs to be made whether to remove the accounts for that customer, and the associated transactions tied to the accounts will be removed from the list of case transactions and will not be included in the dossier.

5. Click **Network Evolution** to visualize evolution of the entity graph.

- Click **Play Network Evolution** ▷ icon to view the network evolution in the case.

- Click **Reset Network Evolution** ☐ icon to reset the network evolution.
  To control network evolution settings, follow these steps:

  a. Click **Settings**. The Network Evolution Settings pane is displayed.

  Table 4-7   Network Evolution Settings pane - Fields and Descriptions

Field	Description
Based on	Select type from the drop-down list based on which network evolution to be performed . The available options are Vertices, Edges, Vertices and Edges.
Increment	Enter increment value for which network evolution chart to be incremented.
Time Unit	Select time unit from the drop-down list for X-axis of the network evolution chart. The available options are Second, Minute, Hour, Day, Week, Month, and Year.
Chart Type	Select chart type from the drop-down list. The available options are Bar chart and Line chart.
Height (in px)	Enter height of the network evolution chart (in pixels) to be displayed.
Milliseconds Between Steps	Enter milliseconds between the steps to control speed of the network evolution.
Number of Items per Step	Enter number to control vertices/edges changes per step.

  b. Click **Reset to Default** to retain the default settings.

  c. Click **Save** to save the updated changes.

6. Click **Full Screen** to expand a graph and view the graph in full-screen mode for better investigation process.

7. Click **UI Setting** button to customize the graphical representation. The Graph UI Settings pane is displayed.

- Click **Edit** and select the column that you want to be added/edited.

- Click **Save** to save your updates.
  Or

- Click **Reset to Default** to retain the default settings.

8. Click **Move/Zoom** ⊙ icon to move the graph and also zoom in or zoom out based on your requirement.

9. Click **Fit to Screen** ⤢ icon to fit the graph as per page size.

10. Click **Toggles Sticky Mode** 🖑 icon to press the keys in a key combination in sequence rather than simultaneously.

11. Click **History** button to view the actions carried out in the graph.

4.1.4 Viewing the Transaction List

This section describes list of all transaction details associated with the case.

> ⓘ **Note**
>
> - You cannot add/remove transactions when status of the case is closed.
>
> - You can view the alerted transaction list which is tagged as **Alerted** in the **Is Alerted** column.
>
> - To use the search bar options, see the Using Interactive Reports section.

Click **Transaction List** tab to view lists of all transaction.

To add a transaction, follow these steps:

1. Click **Add Transactions**. The Add Transactions pane is displayed.

2. Select the Transaction(s) and click **Add Transactions**. The selected transaction(s) is added successfully to the case.

> ⓘ **Note**
>
> If you want to remove transactions, select the Transaction(s) and click **Remove Transactions**. The selected transaction(s) is removed successfully from the case.

4.2 Investigating CS Cases

There are a number of case types for Customer Screening (CS) cases which correspond to the source of the data and the categorization of the watchlist record for example CS_SAN are sanctions matches on customer records.

After selecting CS case type on the Case List page, users can view following in the Case Summary page:

- **Case Details**: The case details are:

  – **Case Status**: Current status of the case. For example, the statuses are New, Assigned, Investigation, Pending Review, and Closed.

  – **Priority**: The priority which has been assigned to the case. The options are High, Medium and Low.

  – **Case**: Displays the unique case identification number.

  – **Jurisdiction**: Displays the jurisdiction to which the case belongs.

  – **Business Domain**: Displays the business domain to which the case belongs.

  – **Status**: Displays the current status of the case.

  – **Case Type**: Displays the case type for Customer Screening.

  – **Due Date**: Displays the due date by which action must be taken on the case.

  – **Created Date**: Displays the date when the case is created.

  – **Closed Date**: Displays the date when the case is closed.

  – **Assignee**: Displays the user which is currently assigned to.

- Investigate the case Using Case View / Using Entity View.

- Acting on Cases after completing the investigation.

4.2.1 Using Case View

This topic provides information about investigating the Customer Screening cases in a Case view.

You can view case details at the top of the Case Summary Page. Users can investigate cases either in Case View or Entity View. By default, **Case View** is displayed on the Case Summary Page. Click on the **Entity View** button to view the entity details. For more information about entity view, see the Using Entity View section.

> ⓘ **Note**
>
> From this release, AI Investigator is supported for CS RT, CS Batch and 314a cases (except CS_314aTRXN cases) that give a conclusion summary based on each event details.

The AIInsightGeneration batch is to generate the AI insights for the cases in Investigation Hub. This feature can only be used if Artificial Investigation Assistant Cloud Service is deployed.

The GenerativeAIInsights Task batch has two options:

- Generate for All - select this option to run new and failed events.

- Re-generate for All - select this option to run existing successful events only.

For more information about running batches, see the Scheduler Services User Guide.

To enable AI Generative feature, ensure that you:

1. Enable AI Investigator (AII).

2. Run the **AIInsightGeneration** batch after running other batches for case creation.

The AI Investigator for an event is displayed on the Case Summary page along with a summary of the event.

The following attributes are supported for AI Investigator for Individuals:

- Full Name
- Nationality
- Address
- Date of Birth
- Occupation

The following attributes are supported for AI Investigator for Entities:

- Full Name
- Country of Taxation
- Address
- Country of Incorporation

The following are the AI narrative status for a CS case:

- Narrative has not yet been initiated
- Narrative generation is in progress
- Actual narrative after it is generated
- Narrative generation failed

To get the updated status refresh the page manually and this is applicable for the AI narrative view also.

> ⓘ **Note**
>
> If either customer or Watchlist information or both are unavailable, then the AI narrative is not generated for CS and RT CS cases.

Customer Details

On the left pane, users can view customer details associated with the case.

> ⓘ **Note**
>
> The Customer Details display for all CS cases except the **CS_314a_TRXN** case type.

- The **CS_314a** case type enables the screening of **Customer** against the 314(a) watchlist and the events cover the time period of 12 months.
- The **CS_314a_TRXN** case type enables the screening of **External Entity** along with transaction counterparties against the 314(a) watchlist.

The address displayed in this section is the primary address of the customer. If there are more addresses linked to a customer, they are displayed in Event Details page when you click Event ID.

External Entity Details

On the left pane, users can view external entity and transactions details with customers for this case. Click **Transaction Details** link to view the list of transactions associated with this external entity.

> ⓘ **Note**
>
> The External Entity Details display only for **CS_314a_TRXN** case type.

Event Details

On the right pane, view the event details associated with the case and you can also filter the case details either **Event ID** or **Match quality** using **Sort By** drop-down list. Click **Event ID** link to view the following event details. On the **Event Details** drawer, the attributes are categorized under the respective collapsible sections and in a tabular format. Expand the relevant sections to view more information and a high level summary for the event.

- Basic Details
- Additional Details
- Address Details
- Identifiers
- Policy Details
- Watchlist URLs

You can search for the required values using the search bar. All the attributes having this match are displayed. To view only the attributes have the search value, select the **Show only Matched Information** checkbox.

The following details are available only for CS_314a cases along with the previous details:

- Contact
- IP Address
- Website

A new banner appears next to the Match Quality label in the case list view for CS cases. If an AI recommendation is present and the AI Investigator Insight is enabled, the Match Quality badge will be grey; otherwise, the match quality is displayed in the standard color. The same banner appears in the Event drawer for normal view.

To search for similar data, select the **Show only similar info** check-box.

The status of all events associated with the case is always **Open** status. Based on your investigation, change the event status from **Open** to **Closure** (Closed as **True Positive** or **False Positive**).

> ⓘ **Note**
>
> You can close the case (make it false positive or true positive) only after providing your comments.

After the Event is set to **False Positive**, you can change the Event status from **False Positive** to **True Positive** or **Reopen** status and vice versa.

To view the events as a list, click the List View icon on the right-hand side of the screen. Using this view you can take actions on multiple events at the same time. The card and list views are unchanged and continue to show the standard Match Quality badge.

You can also sort the list of events based on event id, match quality, watchlist type and watchlist subtype. And, also you can filter the list based on the watchlist.

Some events are automatically moved to the **Auto-Eliminated Events** section after the case is created and the reason is mentioned in the **Event Details** page. For more information about auto-elimination, see the *Using Auto Elimination Rules Widget* section in the Oracle® Financial Crime and Compliance Management Cloud Service Using Pipeline Designer Guide.

To move the status of multiple events at the same time, click the List View and then select the events and click **True Positive** or **False Positive**.

You can view the latest comments against the event by clicking the comment icon.

To view all comments for an event, click the **Audit History**.

To view the events that are open, click the **Open** tab.

To view the events categorized as false positive, click the **False Positive** tab.

To view the events categorized as true positive, click the **True Positive** tab.

To view the events that are auto-eliminated, click the **Auto Eliminated** tab.

> ⓘ **Note**
>
> Some events are auto-closed due to some rules defined in case designer pipeline. These events are closed automatically when the case is created and if all the events are auto-closed, then the case is also **Auto-Closed**.

> ⓘ **Note**
>
> The AI Investigator is not applicable for the **Auto Eliminated** and **Auto-Closed** events.

4.2.2 Using Entity View

This topic provides information about investigating the Customer Screening cases in an Entity view.

For investigating case in an entity view, see the Using Entity View section.

> ⓘ **Note**
>
> The Primary Entity can be either Customer or External Entity for all CS cases except **CS_314a_TRXN** case type whereas External Entity is the Primary Entity for this case type.

4.3 Investigating TF Cases

Transaction Filtering is a Sanctions screening system that identifies Individuals, entities, cities, countries, goods, ports, BICs, and Stop keywords that may be suspicious, restricted, or sanctioned in relation to a financial transaction that is processed through the TF application.

The application enables you to integrate with any clearing or payment system, accept messages from the source system, and scan them against different watch lists maintained within the application to identify any suspicious data present within the message. The TF application supports scanning of messaging systems that are SWIFT, ISO20022, and Fedwire. For more information about creating ISO batches, see the *Run the ISO20022 Batch Screening* section in the [Oracle FCCM Transaction Filtering Cloud Service Administration Guide](#).

On the Case List View page, select the Transaction Filtering case and user can view the following sections.

Case Context

You can view case details at the top of the Case Summary Page. The case details are:

*   **Priority**: The priority which has been assigned to the case. The options are High, Medium, and Low.

*   **Case Type**: The type of case is selected. The supported sub-types for TF cases are TF_RT, TF_ISO_BATCH and TF_NACHA.

*   **Status**: Current status of the case. The statuses are New, Assigned, Investigation, Escalated, Blocked, Rejected, Released and Closed.

*   **Message Category**:

*   **Message Type**: Displays the message type details.

*   **Case Due Date and Time**: Displays the case due date with time.

*   **Transaction Reference**: Displays the transaction reference details.

*   **Message Reference**: Displays the message reference details.

*   **Amount**: Displays the transaction amount value details.

*   **Audit History**: Click **Audit History** to view the record of all actions taken on the selected case. For more information, see the [Viewing the Audit History](#) section.

*   **Case Details**: Click **Case Details** to view basic details about the case. The details include Transaction Details, Reference Information, Message, comments, Attachments, etc.

*   **Assignee**: The current owner of this case. If the case is currently not assigned and you would like to assume ownership of the case, you can click **Assign to me**.

> ⓘ **Note**
>
> If the **Auto-Claim** configuration is enabled, then the **Assign to me** option is not displayed.

Case Event List

All the events of the case are listed here along with Watchlist Type and Sub Type.

Case Details and Description

The case description is derived based on the template set by the Admin in the **Manage Case Templates** UI. The default template for the TF_RT case is the **Transaction Filtering Case Summary Template for the TF_RT template**. If you want to update the Substitution Variables, then you can update the following variables for the TF_RT case type:

- TXN_AMT

- TXN_DIRECTION

- MESSAGE_CATEGORY

- MSG_TYPE

- TXN_DATE

For more information on how to update case template, see the Updating Case Template section.

Event

This section describes the message transferred from the Originator (Details of the party who is the originator of the transaction) to the Beneficiary (Details of the party who is the beneficiary of the transaction). The messages are:

- **Raw Message**: The raw message is displayed from the JSON file and highlights the corresponding match when an event is selected.

- **Structured Message**: This will display transaction details in a structured manner, such as sender, receiver, originator identifier, destination country, and so on.

Event Status

This section describes different types of status based on the action. The available statuses are **Pending**, **Clean**, and **Suspicious**. By default, all the events are in **Pending** status except the approved exemption events.

> ⓘ **Note**
>
> Use the hot keys to navigate between events of a case.
>
> - To move to the next record, hit the tab key.
>
> - To go to the previous record, hit the Shift + Tab key.
>
> - To view the record details, hit the Enter key.
>
> - To move to the next page in pagination, hit tab and enter keys.

4.3.1 Configuration for Case Disposition

There are two options available for case closures. Administrative users can select the configuration to allow users to disposition a case by taking decisions for each event prior to case closure actions, or alternatively, the configuration to only take actions at case-level. Depending on the configuration selected, the case summary page and the options change.

4.3.1.1 Configuration for Event-level Disposition

To close a case and require event-level dispositions:

1. Select the **Event-level disposition required before case decision** option in Set Transaction Filtering Case Closure Configuration in Administration section.

2. Follow the existing work flow for closing the TF cases:

   - Event Decision
   - Event Exemption

4.3.1.1.1 Event Decision

This topic describes how to take decision for the selected event(s).

> ⓘ **Note**
>
> Enable the **Select All** check box to select all the events associated with this case from the Event Status (Pending, Clean, and Suspicious) to make a decision. By default, one event (top most) is always selected in the Event Status pane.

To take decision of the selected event(s), follow these steps:

1. On the left pane, select an **Event** by selecting the check boxes.

   Select the check box against an event to view the details.
   If there are any watchlist matches in the event description, that is highlighted. If there is an exact match to the watchlist keyword, then that word is highlighted in red.

2. (Optional) Select the events you want to download and click the download icon.

3. (Optional) To add an exemption to the event:

   a. Click Add Exemption icon against an event. The Add Exemptions page is displayed.

   b. Provide an expiry date and comments.

   c. Click **Save and mark as Clean**.

4. Select one or more events and then select a reason from the **Standard Reasons** drop-down list.

5. Provide your comments in the **Comments** field for the selected reason and then select either **Clean** or **Suspicious**.

   If you select **Suspicious**, the selected event(s) will be moved under Suspicious status to take decision.

   > ⓘ **Note**
   >
   > The **Suspicious** button displays only when you are selecting suspicious reason from the **Standard Reasons** drop-down list.

   OR
   Click **Clean**. The selected event(s) will be moved under Clean status to take decision.

> ⓘ **Note**
>
> The **Clean** button displays only when you are selecting clean reason from the **Standard Reasons** drop-down list.

4.3.1.1.2 Event Exemption

This topic describes how to recommend an exemption from an event.

To recommend an exemption from the event, follow these steps:

1. On the left pane, select the **Event**.

2. Click Add Exemption icon. The Add Exemptions pane is displayed.

> ⓘ **Note**
>
> - The Add Exemptions icon is enabled when matching type is Name And Address or Narrative.
>
> - To create an exemption or to exempt a string, the user must select only one event rather than selecting all events.
>
> - Once the exemption for matching type is approved for a particular duration, any further cases generated with such matching type will be automatically moved to **Clean** status.

3. Enter the exemption which you want to recommend.

4. Click **Save and mark as Clean**. The event will be moved to **Clean** status, and the exemption record will be sent to the Supervisor for approval.

> ⓘ **Note**
>
> - If the Supervisor takes action on the exemption, the exemption status will be updated accordingly on the event list. The exemption statuses are:
>   – Exemption Pending
>   – Exemption Approval
>   – Exemption Rejected
>
> - For more information on approving/rejecting the exemption, see the Transaction Filtering Cloud Service Administration Guide.

4.3.1.1.3 Configuration for Case-level Disposition

To close a case based on case-level disposition:

1. Select the **Case-level disposition only** option in **Set Transaction Filtering Case Closure Configuration** in **Administration** section.

2. On the home page, on the left pane, select the **Event**.

New events are highlighted with a blue circle. Click each event to view the details. After the event is reviewed the blue circle is cleared.

3. (Optional) Select the events you want to download and click the download icon.

4. (Optional) To add an exemption to the event:

    a. Click Add Exemption icon against an event. The Add Exemptions page is displayed.

    b. Provide an expiry date and comments.

    c. Click **Save and mark as Clean**.

5. In Case Decision pane, provide the following inputs for the case:

    a. Select a state for the case:

> ⓘ **Note**
>
> Based on the logged in user, you can see some of these options for disposing the case:
>
> - Release
> - Recommend to Release
> - Block
> - Recommend to Block
> - Escalate
> - Reject

    b. Based on the decision, select a reason from the **Select Reason** drop-down menu.

    c. Select a due date for this case from the **Set Due Date**.

    d. (Optional) Select supervisor from the **Select Supervisor** drop-down menu if you have selected your decision as **Recommend to Release** , **Recommend To Block**, or **Escalate**.

    (Optional) Select analyst from the **Select Analyst** drop-down menu if you have selected your decision as **Reject**.

    e. (Optional) Provide your comments.

    You can provide your comments for the decision in the **Comments** field.
    Also, you can provide your comment as a running comment by clicking on the tick mark next to the **Comments** field. After saving the comment, the comment is displayed below in the comment history section (this section contains all the comments provided for that case).

    You can delete the comments from history by clicking the delete icon next to the comment.

    f. (Optional) Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

6. Click **Submit**.

> ⓘ **Note**
>
> If you click **Submit and Next**, user will be navigated to the next case details for action for the logged in user.

4.3.2 Case Action

This section describes how to take action on the selected TF case(s). It is important to note that the case cannot be actioned until all events have been viewed by the user taking the case closure action.

> ⓘ **Note**
>
> IHTFSUPASSIGNEE is the new function created for supervisor users for TF cases. By default, for existing user roles, the IHTFSUPASSIGNEE function is mapped to IHSUPERVSR and IHTFSUPERVSR roles. When creating new role code for supervisor role, map it to the IHTFSUPASSIGNEE function to get the supervisor users in the Select Supervisor drop-down menu in TF case actions.

> ⓘ **Note**
>
> IHTFANLYSTASSIGNEE is the new function created for analyst users for TF cases. By default, for existing user roles, the IHTFANLYSTASSIGNEE function is mapped to IHANALYST and IHTFANALYST roles. When creating new role code for analyst role, map it to the IHTFANLYSTASSIGNEE function to get the analyst users in the Select Analyst drop-down menu in TF case actions.

4.3.2.1 Analyst User

The following actions are available for the Analyst user:

> ⓘ **Note**
>
> The **IHTFANALYSTGRP** user group is specifically added only for Case Level Disposition for reviewing all events before closing a case.

- **Escalate**: Analyst users can escalate when they cannot decide whether to recommend blocking or releasing the case, to the Supervisor.
- **Recommend To Block**: The Analyst user can recommend a block for the case that requires investigation, to the Supervisor.
- **Recommend To Release**: The Analyst user can recommend release, to release the case to the Supervisor.

4.3.2.1.1 Escalating the Case

This section describes how to escalate the cases when user cannot decide whether to recommend blocking or releasing the case.

To escalate the case, follow these steps:

1. If the configuration in the administration page is selected as **Case-level disposition only**, then:

   a. Review the events.

> **ⓘ Note**
>
> Reviewing all events are mandatory only when new user is mapped to new user group.

b. Select **Escalate** from the **Case Decision** pane.

c. Select **Reason** from the drop-down list.

d. Update the **Due Date** by entering a date into the text box or by selecting a date from the calendar.

> **ⓘ Note**
>
> This field is optional.

e. (Optional) From the **Select Supervisor** drop-down list, select Supervisor user that you want to assign the case to.

f. (Optional) Enter the **Comments** to explain your analysis.

Also, you can provide your comment as a running comment by clicking on the tick mark next to the **Comments** field. After saving the comment, the comment is displayed below in the comment history section (this section contains all the comments provided for that case).

You can delete the comments from history by clicking the delete icon next to the comment.

g. Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

> **ⓘ Note**
>
> This field is optional.

h. Click **Submit**. The submission happens, the case status will be changed to **Escalated**, and the user will be navigated to the Case List page.

> **ⓘ Note**
>
> If you click **Submit and Next**, the case status will be **Escalated**, and the user will be navigated to the next case details for action for the logged in user.

2. If the configuration in the administration page is selected as **Event-level disposition required before case decision**, then:

a. On the Case Summary Page, click **Escalate**. The Escalate Case pane is displayed.

b. Select **Reason** from the drop-down list.

c. Update the **Due Date** by entering a date into the text box or by selecting a date from the calendar.

> **ⓘ Note**
>
> This field is optional.

    d. (Optional) From the **Select Supervisor** drop-down list, select Supervisor user that you want to assign the case.

    e. Enter the **Comments** to explain your analysis.

    f. Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

> **ⓘ Note**
>
> This field is optional.

    g. Click **Submit**. The submission happens, the case status will be changed to **Escalated**, and the user will navigate to the Case List page.

> **ⓘ Note**
>
> If you click **Submit and Next**, the case status will be **Escalated**, and the user will be navigated to the next case details for action for the logged in user.

4.3.2.1.2 Recommending to Block the Case

This section describes how to recommend cases to block when it is suspicious data.

To recommend case to block, follow these steps:

1. If the configuration in the administration page is selected as **Case-level disposition only**, then:

    a. Review the events.

    b. Select **Recommend to Block** from the **Case Decision** pane.

    c. Based on the decision, select a reason from the **Select Reason** drop-down menu.

    d. Select a due date for this case from the **Set Due Date**.

    e. (Optional) Select supervisor from the **Select Supervisor** drop-down menu if you have selected your decision as **Recommend to Release** , **Recommend To Block**, or **Escalate**.

    f. (Optional) Provide your comments.

    You can provide your comments for the decision in the **Comments** field.
    Also, you can provide your comment as a running comment by clicking on the tick mark next to the **Comments** field. After saving the comment, the comment is displayed below in the comment history section (this section contains all the comments provided for that case).

    You can delete the comments from history by clicking the delete icon next to the comment.

    g. (Optional) Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

h. Click **Submit**. The submission happens, the case status will be changed to **Block Recommended**, and the user will be navigated to the Case List page.

> ⓘ **Note**
>
> If you click **Submit and Next**, the case status will be Block Recommended, and the user will be navigated to the next case details for action for the logged in user.

2. If the configuration in the administration page is selected as **Event-level disposition required before case decision**, then:

> ⓘ **Note**
>
> At least one event should be in **Suspicious** status for recommending to block the case.

a. On the Case Summary Page, click **Recommend Block**. The Recommend Case to Block pane is displayed.

b. Select **Reason** from the drop-down list.

c. Update the **Due Date** by entering a date into the text box or by selecting a date from the calendar.

> ⓘ **Note**
>
> This field is optional.

d. (Optional) From the **Select Supervisor** drop-down list, select Supervisor user that you want to assign the case.

e. Enter the **Comments** to explain your analysis.

f. Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

> ⓘ **Note**
>
> This field is optional.

g. Click **Submit**. The submission happens, the case status will be changed to **Block Recommended**, and the user will navigate to the Case List page.

> ⓘ **Note**
>
> If you click **Submit and Next**, the case status will be **Block Recommended**, and the user will be navigated to the next case details for action for the logged in user.

4.3.2.1.3 Recommending to Release the Case

This section describes how to recommend case to release.

To recommend case to release, follow these steps:

1. If the configuration in the administration page is selected as **Case-level disposition only**, then:

   a. Review the events.

   b. Select **Recommend to Release** from the **Case Decision** pane.

   c. Based on the decision, select a reason from the **Select Reason** drop-down menu.

   d. Select a due date for this case from the **Set Due Date**.

   e. (Optional) Select a Supervisor from the **Select Supervisor** drop-down menu if you have selected your decision as **Recommend to Release** , **Recommend To Block**, or **Escalate**.

   f. (Optional) Provide your comments.

   You can provide your comments for the decision in the **Comments** field.
   Also, you can provide your comment as a running comment by clicking on the tick mark next to the **Comments** field. After saving the comment, the comment is displayed below in the comment history section (this section contains all the comments provided for that case).

   You can delete the comments from history by clicking the delete icon next to the comment.

   g. (Optional) Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

   h. Click **Submit**. The submission happens, the case status will be changed to **Release Recommended**, and the user will be navigated to the Case List page.

   > ⓘ **Note**
   >
   > If you click **Submit and Next**, the case status will be **Release Recommended**, and the user will be navigated to the next case details for action for the logged in user.

2. If the configuration in the administration page is selected as **Event-level disposition required before case decision**, then:

   > ⓘ **Note**
   >
   > Release action is possible only when all the events are in Clean status.

   a. On the Case Summary Page, click **Recommend Release**. The Recommend Case to Release pane is displayed.

   b. Select **Reason** from the drop-down list.

   c. Update the **Due Date** by entering a date into the text box or by selecting a date from the calendar.

> ⓘ **Note**
>
> This field is optional.

d. (Optional) From the **Select Supervisor** drop-down list, select Supervisor user that you want to assign the case.

e. Enter the **Comments** to explain your analysis.

f. Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

> ⓘ **Note**
>
> This field is optional.

g. Click **Submit**. The submission happens, the case status will be changed to **Release Recommended**, and the user will navigate to the Case List page.

> ⓘ **Note**
>
> If you click **Submit and Next**, the case status will be **Release Recommended**, and the user will be navigated to the next case details for action for the logged in user.

4.3.2.2 Supervisor User

The following actions are available for the Supervisor user:

> ⓘ **Note**
>
> For the Supervisor user, these actions enable the four-eyes approval process.

> ⓘ **Note**
>
> The **IHTFSUPERVISORGRP** user group is specifically added only for Case Level Disposition for reviewing all events before closing a case.

- **Block**: Users can block the case for any suspicious transaction.
- **Release**: Users can release the case after completing the investigation.
- **Reject**: Users can reject the case that must be reanalyzed by the Analyst.

4.3.2.2.1 Blocking the Case

This section describes how to block the cases when it is suspicious data.

To block the case, follow these steps:

1. If the configuration in the administration page is selected as **Case-level disposition only**, then:

a. Review the events.

b. Select **Block** from the **Case Decision** pane.

c. Based on the decision, select a reason from the **Select Reason** drop-down menu.

d. Select a due date for this case from the **Set Due Date**.

e. (Optional) Provide your comments.

You can provide your comments for the decision in the **Comments** field.
Also, you can provide your comment as a running comment by clicking on the tick mark next to the **Comments** field. After saving the comment, the comment is displayed below in the comment history section (this section contains all the comments provided for that case).

You can delete the comments from history by clicking the delete icon next to the comment.

f. (Optional) Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

g. Click **Submit**. The submission happens, the case status will be changed to **Blocked**, and the user will be navigated to the Case List page.

> ⓘ **Note**
>
> If you click **Submit and Next**, the case status will be **Blocked**, and the user will be navigated to the next case details for action for the logged in user.

2. If the configuration in the administration page is selected as **Event-level disposition required before case decision**, then:

> ⓘ **Note**
>
> At least one event should be in **Suspicious** status for blocking the case.

a. On the Case Summary Page, click **Block**. The Block pane is displayed.

b. Select **Reason** from the drop-down list.

c. Enter the **Comments** to explain your analysis.

d. Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

> ⓘ **Note**
>
> This field is optional.

e. (Optional) Click **Submit**. The submission happens, the case status will be changed to **Blocked**, and the user will navigate to the Case List page.

> ⓘ **Note**
>
> If you click **Submit and Next**, the case status will be **Blocked**, and the user will be navigated to the next case details for action for the logged in user.

4.3.2.2.2 Rejecting the Case

This section describes how to reject cases that must be reanalyzed by the Analyst.

To reject the case, follow these steps:

1. If the configuration in the administration page is selected as **Case-level disposition only**, then:

   a. Review the events.

   b. Select **Reject** from the **Case Decision** pane.

   c. Based on the decision, select a reason from the **Select Reason** drop-down menu.

   d. Select a due date for this case from the **Set Due Date**.

   e. (Optional) Select an analyst from the **Select Analyst** drop-down menu if you have selected your decision as **Reject**.

   f. (Optional) Provide your comments.

   You can provide your comments for the decision in the **Comments** field.
   Also, you can provide your comment as a running comment by clicking on the tick mark next to the **Comments** field. After saving the comment, the comment is displayed below in the comment history section (this section contains all the comments provided for that case).

   You can delete the comments from history by clicking the delete icon next to the comment.

   g. (Optional) Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

   h. Click **Submit**. The submission happens, the case status will be changed to **Rejected**, and the user will be navigated to the Case List page.

   > ⓘ **Note**
   >
   > If you click **Submit and Next**, the case status will be **Rejected**, and the user will be navigated to the next case details for action for the logged in user.

2. If the configuration in the administration page is selected as **Event-level disposition required before case decision**, then:

   a. On the Case Summary Page, click **Reject**. The Reject pane is displayed.

   b. Select **Reason** from the drop-down list.

   c. Update the **Due Date** by entering a date into the text box or by selecting a date from the calendar.

   > ⓘ **Note**
   >
   > This field is optional.

    d. (Optional) From the **Select Analyst** drop-down list, select Analyst user that you want to assign the case.

    e. Enter the **Comments** to explain your analysis.

    f. Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

> ⓘ **Note**
>
> This field is optional.

    g. Click **Submit**. The submission happens, the case status will be changed to **Rejected**, and the user will navigate to the Case List page and it is assigned back to the Analyst.

> ⓘ **Note**
>
> If you click **Submit and Next**, the case status will be **Rejected**, and the user will be navigated to the next case details for action for the logged in user.

4.3.2.2.3 Releasing the Case

This section describes how to release cases after completing the investigation.

To release the case, follow these steps:

1. If the configuration in the administration page is selected as **Case-level disposition only**, then:

    a. Review the events.

    b. Select **Release** from the **Case Decision** pane.

    c. Based on the decision, select a reason from the **Select Reason** drop-down menu.

    d. Select a due date for this case from the **Set Due Date**.

    e. (Optional) Provide your comments.

    You can provide your comments for the decision in the **Comments** field.
    Also, you can provide your comment as a running comment by clicking on the tick mark next to the **Comments** field. After saving the comment, the comment is displayed below in the comment history section (this section contains all the comments provided for that case).

    You can delete the comments from history by clicking the delete icon next to the comment.

    f. (Optional) Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

    g. Click **Submit**. The submission happens, the case status will be changed to **Released**, and the user will be navigated to the Case List page.

> ⓘ **Note**
>
> If you click **Submit and Next**, the case status will be **Released**, and the user will be navigated to the next case details for action for the logged in user.

2. If the configuration in the administration page is selected as **Event-level disposition required before case decision**, then:

> ⓘ **Note**
>
> Release action is possible only when all the events are in **Clean** status.

a. On the Case Summary Page, click **Release**. The Release pane is displayed.

b. Select **Reason** from the drop-down list.

c. Enter the **Comments** to explain your analysis.

d. Click **Drag and Drop**. Select the required file and click **Open** to upload the supportive documents.

> ⓘ **Note**
>
> This field is optional.

e. Click **Submit**. The submission happens, the case status will be changed to **Released**, and the user will navigate to the Case List page.

> ⓘ **Note**
>
> If you click **Submit and Next**, the case status will be **Released**, and the user will be navigated to the next case details for action for the logged in user.

4.4 Investigating KYC Cases

This topic describes how to investigate Know Your Customer (KYC) cases.

KYC cases assess the risk a customer poses to the bank or financial institution. It is not a one-time assessment but is a continuous process of assessing customers. Customers are assessed in different stages of their relationship with the bank. Each assessment captures the customer risk at a particular moment in time. The different stages of relationship are described as follows:

• Onboarding

• Deployment Initiation

• Real Time Account on Boarding

• Account on Boarding or Default Review

• Re-review

After selecting KYC case type on the Case List page, users can view following in the Case Summary page:

• **Case Details**: The case details are:

   – **Case Status**: Current status of the case. For example, the statuses are New, Assigned, Investigation, Pending Review, and Closed.

- **Priority**: The priority which has been assigned to the case. The options are High, Medium and Low.

- **Case Type**: Displays the selected case type. The supported case types are **KYC Batch** and **KYC Onboarding**.

- **Batch Type**: Displays the type of batch associated with this risk assessment. For example, Deployment Initiation (DI), Periodic Review, New Account Review, and Accelerated Review (ARR).

- **Jurisdiction**: Displays the jurisdiction to which the case belongs.

- **Created Date**: Displays the date when the case is created.

- **Due Date**: Displays the due date by which action must be taken on the case.

- **System-Generated Risk Score**: Displays the risk score which is generated by the system.

- **Next Review Date**: Displays the next review date when customer should be considered for risk assessment review.

- **Assignee**: Displays the user which is currently assigned to.

- **Overridden**: Displays this status when user update the risk score using the **Override KYC Score** action.

- **Overridden Score**: Displays the risk score which is updated by the user.

- **Overridden Review Date**: Displays the overridden review date when customer should be considered for risk assessment review.

> ⓘ **Note**
>
> The Overridden Review Date is only applicable for KYC Batch Case Type.

- Investigate the case Using Case View / Using Entity View.
- Acting on Cases after completing the investigation.

4.4.1 Using Case View

This topic provides information about investigating the Know Your Customer (KYC) cases in a Case view.

You can view case details at the top of the Case Summary Page. Users can investigate cases either in Case View or Entity View.

> ⓘ **Note**
>
> By default, **Case View** is displayed on the Case Summary Page. Click **Entity View** button to view the entity details. For more information about an entity view, see the Using Entity View section.

Case Details and Description

The Case Details and Description provides information such as Risk Assessment, Risk Score, and Risk Category of the case associated with the entities. The Case Details and Description contains the following:

- Reason for Case Creation

- Risk Assessment

- External Risk Assessment

- Primary Entity

- High Risk Affiliated Parties

- Watchlist Matches

- Alerted Transactions Graph

- Investigation Timeline

- Alerted Transactions

- Accounts

Reason for Case Creation

This section shows the reason why the case was created along with other details.

Risk Assessment

The Risk Assessment provides the top three assessed risk categories and its risk score associated with this case. Click **View Complete Risk Assessment Details** link to view the Risk Assessment Details pane, where any additional risk categories and scores can be observed. You can also sort the Risk Assessment Details using **Sort By** drop-down list.

External Risk Assessment

> ⓘ **Note**
>
> The External Risk Assessment displays only for KYC Batch Case Type.

The External Risk Assessment provides the top three assessed risk categories and its risk score for external of the affiliated parties associated with this case. Click **View External Risk Assessments of Affiliated Parties** link to view the External Risk for Affiliated Parties pane. The External Risk for Affiliated Parties displays based on adverse media data from Quantifind graphyte search and you can select the party using the **Select Affiliated Party** drop-down list.

Primary Entity

The Primary Entity provides details about the primary subject of the investigation, such as Entity ID, Entity Type, Jurisdiction, Business Domain, and so on. For any case which is created by the system, the Primary Entity will be automatically populated based on the entity associated with the case.

High Risk Affiliated Parties

The High Risk Affiliated Parties provides the list of Affiliated Parties which are considered as High Risk. Click **View All Affiliated Parties** link to view Primary Entity and Affiliated Parties pane. In this pane, you can view primary entity and its affiliated parties information such as Personal Details, Location, Risk Score, Current Risk Assessment and so on.

Watchlist Matches

The Watchlist Matches list the number of entities associated with this case. You can sort the watchlist matches using **Sort By** drop-down list. The available options are **Name** and **Match Quality**.

For **KYC Onboarding** Case Type, users can take action on the watchlist matches for the entity. The status of all entities associated with this case is always **Open** status. Based on your investigation, change the entity status from **Open** to **Closure** (Closed as **True Positive** or **False Positive**). You can also recompute the risk score against the system generated risk score using the **Re-Compute Risk Score** button.

> ⓘ **Note**
>
> Once the Entity has been set to **False Positive**, you can also change the status from **False Positive** to **True Positive** and vice versa.

Alerted Transactions Graph

The Alerted Transactions Graph displays the total transactions amount and count in a graphical view.

Investigation Timeline

You can view timeline for this case based on the Deployment Initiation.

Alerted Transactions

The Alerted Transactions display the list of transactions associated with this case. For **Actions** drop-down list, see the Using Interactive Reports section.

Accounts

The Accounts display the list of accounts associated with this case. Users can add or remove an account from the case using **Add Accounts** and **Remove Accounts** buttons. You can view the account details either in List View or Card View. By default, it is displayed with list view. For **Actions** drop-down list, see the Using Interactive Reports section.

Add Account

To add an account to the case, follow these steps:

> ⓘ **Note**
>
> You cannot add an account when status of the case is closed.

1. Click **Add Accounts**. The Select Account pane is displayed.

2. Select the required Account(s) and click **Add Accounts**. The selected account(s) is added successfully to the case.

> ⓘ **Note**
>
> - If you want to remove added account from this case, select the Account and click **Remove Accounts**.
> - If you want to remove all accounts, click **Select All** check box and click **Remove Accounts**.
> - If you want to delete an account from this case, click **Delete Account**.

Entity Graph View

The Entity Graph View displays the graphical representation of the case contains Customers, Accounts, and Derived Entity (External Entity) involved in the selected case.

To customize the graph, see the Viewing an Entity Graph section.

Transactions List

The Transactions List displays list of all transaction details associated with the case. To add/remove Transactions, see the Viewing the Transaction List section.

4.4.2 Using Entity View

This topic provides information about investigating the Know Your Customer (KYC) cases in an Entity view.

On the Case Summary page, click **Entity View** to view the entity details. The Entity Details page contains the following sections.

Selecting an Entity

From the **Entity Details** drop-down list, select the entity. The available entities are **internal entities (customers)** and **external entities**.

> ⓘ **Note**
>
> Users can delete entities associated with the case using the **Delete Entity**, but you cannot delete the primary entity of the case.

Adding an Entity

You can add either internal entities (customers) or external entities using the **Add Entity** button.

> ⓘ **Note**
>
> You cannot add entity when status of the case is closed.

To add an entity, follow these steps:

1. Click **Add Entity**. The select Entity pane is displayed.

2. Click **Add Entity** ⊞ icon to add a new entity to the case. The **Add Entity** pane is displayed.

3. From the drop-down list, select the **Involvement Type**. The available options are:

   - Conductor

   - Not Involved

   - Other

   - Suspect

- Unknown

- Victim

- Witness

4. Click **Add Entity**. The new entity will be added and listed in the Entity Details pane.

> ⓘ **Note**
>
> To apply the filter to narrow down your search, click **Search** bar and select the required filter options from the drop-down list. The available options are Customer Type, and Entity Type.
>
> For example, if Entity Type is selected then select the required options. The options are Internal Entity and External Entity.

On the left pane, click an **Entity** to view Profile Summary, Risk Summary, Compliance Summary, and Account Data on the right pane.

Profile Summary

This section displays profile summary of the entity. Click **Profile Summary** link to view more information about this entity such as Customer Details, Shared Attributes, Related Accounts, and Related cases.

Risk Summary

This section displays risk summary of the entity. Click **Risk Summary** link to view more information about this entity, such as Adverse Media Scans, Risk Summary, Risk Score History, and Watch List Scans.

Compliance Summary

This section displays compliance summary of the entity. Click **Compliance Summary** link to view more information about this entity, such as Case Details, Events, SARs, Top Case List and Timeline. Click **View SAR, Event and Case Details** link to view additional details for this case and events.

> ⓘ **Note**
>
> For Actions drop-down list, see the Using Interactive Reports section.

Account Data

This section displays account data of the entity. Click **Account Data** link to view more information about this entity such as Accounts, Account Detail, Account Stats Current Year, Source of Funds, and so on.

Select the Account and view the following sections:

Account Detail

You can view the account information in detail.

Account Stats Current Year

You can view average and current amounts for deposits and withdrawals made in the current year.

Channel Utilization

This chart displays the channel utilization for the selected account.

Transaction History and List View Tabs

This section displays the withdrawal and deposit amounts for the selected account. You can view this transaction history periodically using the **From** and **TO** calendar icons.

List View Tab

This section lists the transaction information for the selected account.

> ⓘ **Note**
>
> - You can view the alerted transaction list which is tagged as **Alerted** in the **Alerted Flag** column. It also displays the Case and Event IDs that are associated with this transaction.
>
> - For Actions drop-down list, see the Using Interactive Reports section.
>
> - Enable **Alerted Transactions** to view the transaction amount to be alerted.

Source of Funds

This graph represents the source of funds for the selected account.

Most Common Counter Party

This graph represents which counter party is most active on the account. You can view data in the list view by clicking the **List View** button. By default, it is displayed in **Chart View**.

Customer Activity (Current vs. Prior Year)

This graph compares the selected account's current and prior years of the customer activity.

Entity Graph View

The Entity Graph View displays the graphical representation of the case contains Customers, Accounts, and Derived Entity (External Entity) involved in the selected case.

To customize the graph, see the Viewing an Entity Graph section.

Transactions List

The Transactions List displays list of all transaction details associated with the case. To add/remove Transactions, see the Viewing the Transaction List section.

5

Acting on Cases

This topic describes how to take an action for the selected case(s).

Users can take action on both Case List and Case Summary pages as follows:

- On the Case List page, select case and click **Actions Menu** [...] and then select the appropriate action.
- On the Case Summary page, select the appropriate action from the **Actions** drop-down list. The Actions drop-down list displays only for the AML_SURV and KYC cases.

> ⓘ **Note**
>
> If the logged in user is mapped to IHUBVIEWROLE role, then you can only view the cases in iHUB and the audit history of the case. You cannot perform any actions on a case.

5.1 Using Actions

The Actions menu has several options that you can take on a selected case(s). The options are based on the case type, case status, and the user role for the selected case(s).

> ⓘ **Note**
>
> - You should be assignee for the case to take an appropriate action except to the assignee action.
> - If the case is locked, then you can assign the case to you and take the appropriate actions. For more information about assigning cases, see the Assigning the Cases section.

5.1.1 Watchlist Details

This section displays watchlist details and highlights the matches when an event is selected. This helps in the analysis of the case and in deciding whether to release or block the transaction. A unique Record ID is assigned to every watchlist/sanctioned record. The supported watchlist types are:

- OFAC Reference Data
- WC STANDARD
- WC Premium
- EU Reference Data

- HM Treasury Reference Data

- UN Reference Data

- Dow Jones Watchlist

> ⓘ **Note**
>
> Complete Watchlist details tab is added for all CS case types (CS_RT, CS_Batch, and CS_314ATXN) only if an event is matched to the DJW watchlist. This tab provides an extended view of the match details through the new Complete Watchlist tab. This provides a comprehensive profile view sourced from the DJW system along with Profile Details, Country or Territory Details, Relationship Information, Sanctions List (graph or list view), Profile Notes and ID Information.

- Private Watchlist

- Prohibited Identifier Watchlist

- Prohibited Country Watchlist

- Prohibited City Watchlist

- Prohibited Goods Watchlist

- Prohibited Ports Watchlist

- Stop Words Watchlist

5.1.2 Uploading the Evidence

You can upload evidence to cases in order to provide more insight into the case being investigated.

> ⓘ **Note**
>
> - You should be assignee for the case to take action.
>
> - You cannot take action when status of the case is closed.
>
> - In the **Current Evidence**, you can view all the evidence that are uploaded to the case.
>
> - For **Bulk Action**, user cannot view evidence history in the Current Evidence group.

To upload the evidence, follow these steps:

1. Click **Actions** menu and select **Evidence**. The Evidence pane is displayed.

2. Click **Add** ╋ icon and select the required file from the local machine.

3. Click **Open** to add the evidence file.

4. Enter the **Comments** about this evidence.

> **ⓘ Note**
>
> You can upload the evidence for a single or multiple cases from Case List page using the **Update** drop-down list.

5. Click **Upload**. The evidence is uploaded successfully to the case.

5.1.3 Updating the Status

You can update case status based on the investigation.

> **ⓘ Note**
>
> - To take an action, you should be the assignee for the case.
> - This **Status** Action is not applicable for **TF** case type.
> - If you want to take an action dependent on a dossier that you have created, you need to do that from within the dossier.
> - In the **Status History**, you can view the statuses in the order from which they were entered to the most recent on top to view the case progress.

To update the status, follow these steps:

1. Click **Actions** menu and select **Status**. The Status pane is displayed.
2. Select **Action** from the drop-down list.
3. Select **Reason** from the drop-down list.

> **ⓘ Note**
>
> The **Reason** drop-down list is grayed out if there are no reasons configured for the selected Action.

4. Select **Assignee** from the drop-down list.
5. Enter the **Comments** about this case status.

> **ⓘ Note**
>
> You can update the status of a single or multiple cases from Case List view using the **Update** drop-down list.

6. Click **Submit**. The status is updated successfully.

5.1.3.1 Closing the Cases

Users can close cases based on the investigation.

> ⓘ **Note**
>
> Users cannot close **TF** cases as they can Block, Reject, and Release the cases.

> ⓘ **Note**
>
> To close the KYC_Batch cases:
>
> - If you select the **Recommend Closure - Accept System Risk Score** option, then ensure that you clear the overridden risk score and date.
>
> - If you select the **Recommend Closure - Accept Overridden Risk Score** option, then ensure that add the overridden risk score and date.
>
> - If you select the **Close - Accept Overridden Risk Score** option, then ensure that you add the overridden risk score and date.
>
> - If you select the **Close - Accept System Risk Score** option, then ensure that you clear the overridden risk score and date.

For a Single Case

To close a case, follow these steps:

1. On the Case List View/Case Summary page, click **Actions** and select **Status**. The Status pane is displayed.

2. From the drop-down list, select an **Action**.

3. From the drop-down list, select the **Reason**.

4. Enter the **Comments** about this close status.

5. Click **Submit**. The case will be closed.

> ⓘ **Note**
>
> If the case type is **AML_SURV**, create a dossier and select the desired **Close** Action. For more information on creating the dossier, see the <u>Generating Dossier</u> section.

For Bulk Action

To close cases on bulk action, follow these steps:

1. On the Case List View page, select the cases that are to be closed.

2. Click **Bulk Action** and select **Status**. The Status pane is displayed.

3. From the **Action** drop-down list, select the desired **Close** action.

4. Click **Submit**. The selected cases will be closed.

> **ⓘ Note**
>
> If the case type is **AML_SURV**, the dossiers are created automatically for all the selected cases and then cases will be closed.

5.1.4 Assigning the Cases

You can assign a case to another user or assign to yourself to investigate the cases.

> **ⓘ Note**
>
> - You can assign a case to yourself using the **Assign To Me** link. On the Case Summary Page, click **Assign To Me** link to assign case to the logged in user.
> - The Assign To Me link appears only the following cases:
>   – The case is unassigned and the status is new.
>   – The logged in user and assigned user is different for the case.

To update the assignee, follow these steps:

1. Click **Actions** menu and select **Assignee**. The Assignee pane is displayed.

2. From the **Assignee** drop-down list, select the user that you want to assign case.

> **ⓘ Note**
>
> You can assign an assignee from the Case List view using the **Update** drop-down menu.

3. Click **Submit**. The case is updated with the new assignee.

> **ⓘ Note**
>
> In the Assignee History, you can view the assignees in the order from which they were entered to the most recent on top to view the case progress.

5.1.5 Updating the Narrative

Use the Narrative option to capture any narrative surrounding the analysis of a case that has helped you decide how to dispose the case.

> ⓘ **Note**
>
> - You should be assignee for the case to take action.
> - You cannot take action when status of the case is closed.
> - The **Narrative** Action is not applicable for KYC and TF case types.
> - If you want to apply the current narrative as a template for the case then use Apply Template.

The narrative exists as a single data element on a case, which allows you to add and maintain that narrative.

To update the narrative, follow these steps:

1. Click **Actions** menu and select **Narrative**. The Case Narrative pane is displayed.

2. Enter your analysis in the **Message Text** and format as required.
    a. If you want to reset the previously generated narrative, then click **Use Template**.
    b. To apply a template, select the required template from the **Template** drop-down menu and click **Apply Template**.
    The following templates are available for selection:
    - Business Non-SAR Narrative - brief summary of the business activity that does not warrant a SAR filing.
    - Individual Non-SAR Narrative - brief summary of the individual's activity that does not warrant a SAR filing.
    - AI investigator Insight - AI Investigator based narrative details from the current state of the case.

    > ⓘ **Note**
    >
    > The **AI investigator Insight** template is available only when AI Investigator is enabled.

    - You can reapply or regenerate a narrative by clicking **Apply Template** and this is applicable only for AML cases.
    - To clear the narrative, click **Clear Case Narrative**.

3. Format the narrative as required using the **Show More Items** menu.

4. Click **Save Case Narrative**. The case is updated with the new narrative.

5.1.6 Updating the Case Details

You can update the priority and due date of the selected case and provide comments.

> ⓘ **Note**
>
> - You should be assignee for the case to take action.
>
> - You cannot take action when status of the case is closed.
>
> - In the **Update History**, you can view the case's history in terms of case priority and due date related changes in the order from which they were entered to the most recent change on top.

To update the case details, follow these steps:

1. Click **Actions** menu and select **Case Details**. The Case Details pane is displayed.

2. Select case priority from the **Priority** drop-down list. The options are **High**, **Medium**, and **Low**.

3. Update the **Due Date** by entering a date into the text box or by selecting a date from the calendar.

> ⓘ **Note**
>
> You can update the priority and due date of a single or multiple cases from the Case List page using the **Update** drop-down list.

4. Enter **Comments** about this case update.

5. Click **Submit**. The case is updated with new changes.

5.1.7 Adding Transactions

You can add transactions to the selected case.

> ⓘ **Note**
>
> - You should be assignee for the case to take action.
>
> - The **Transactions** Action is not applicable for KYC, CS, and TF case types.
>
> - You cannot take action when status of the case is closed.
>
> - To use the search bar options, see the Using Interactive Reports section.

To add transactions, follow these steps:

1. Click **Actions** menu and select **Transactions**. The Transactions pane is displayed.

2. Select the required transaction check box(es) and click **Add Transactions**. The selected transaction is added to the case.

5.1.8 Viewing the Audit History

When an action is taken on a case that leads to a change of status or value, such as a transaction is added, the Case Assignee is updated, and so on, the change is recorded in the Audit History and also displays the number of records.

This allows you to understand who performed an action, why it was taken, when the action occurred, and what the value was before the change was made.

To view the audit history on the Case List/Case Summary page, click **Actions** menu and select **Audit History**. The Audit History for Case ID pane is displayed. It displays record of all actions taken on a case with the following types of details:

- **Date**: When the action was taken.
- **Action**: The specific action which was taken.
- **Before**: The value or status prior to this action being taken.
- **After**: The updated value or status after this action was taken.
- **Additional Information**: Comments given by the user when the action was taken. If the action was taken by the system, such as an automated status update, this field will be blank.
- **Action Taken By**: Who the action was taken.
- **View More Details**: More details about the case.

5.1.9 Updating Override KYC Risk Score

Users can override the system generated risk score using the Override KYC Score action.

> ⓘ **Note**
>
> This section is applicable only for Know Your Customer (KYC) cases.

To override the KYC risk score, follow these steps:

1. Click **Actions** menu and select **Override KYC Score**. The Override KYC Risk Score pane is displayed.

2. Enter the **Risk Score**. The risk score ranges are Low (0-50), Medium (51-80), and High (81-100).

   Users can modify the risk score ranges based on their requirement. To modify, follow these steps:

   a. Pipeline should be mapped to the jurisdiction. For more information, see **Jurisdiction Pipeline Mapping** section in the Know Your Customer Cloud Service Administration Guide.

   b. Select the respective pipeline and update the risk score. For more information, see **Using the Risk Assessment Widget** section in the Using Pipeline Designer Guide.

3. Update the **Next Review Date** by entering a date into the text box or by selecting a date from the calendar.

> **ⓘ Note**
>
> This field displays only for KYC Batch Case Type.

4. Enter the **Comments** about this override KYC risk score.

5. Click **Submit**. The new risk score and next review date if applicable are updated to the case.

   In the **History**, you can view the statuses in the order from which they were entered to the most recent on top to view the case progress.

5.1.10 Request for Information

Request for Information (RFI) helps investigator to gather more information from the respondent to investigate on the case. Based on the respondent information, analyst will proceed with further investigation.

> **ⓘ Note**
>
> Before taking an action with RFI, make sure that Admin user had created relevant questionnaire and its settings. For configuring RFI, see the Manage RFI and Notification Configurations section.

Users can take action to Request for Information (RFI) for all the assigned cases.

To search for a specific RFI, enter the keywords in the **Search** field and select from the list. You can search based on the **RFI Status**, **RFI Type**, and **Response Mode**. You can also sort the column based on **Status**, **Response Mode**, **ID**, **Request Date**, **Due Date**, **Request Sent to**, **Type**, and **Actions**.

To take action on the RFI in order to progress through the RFI workflow, follow these steps:

1. In the Case List page, select and click the **Case ID**. The Case Summary page is displayed.

2. Click **Actions** drop-down list and select **Request for Information**. The Request for Information pane is displayed.

3. Click **Actions Menu** corresponding to the RFI and select any of the following actions:

   • Cancel RFI

   • Acknowledge No Response for RFI

   • Send RFI Reminder

   • Resolve RFI

   • Responses

   > **ⓘ Note**
   >
   > You can create a new Request for Information using Create New Request for Information.

5.1.10.1 Create New Request for Information

Create a new Request for Information (RFI) helps investigator to gather more information from the respondent to investigate on the case. Based on the respondent information, analyst will proceed with further investigation.

To create a new RFI, follow these steps:

1. In the Request for Information pane, click **Create New.** The Request for Information Details pane is displayed.

2. From the **Questionnaire** drop-down list, select the **Questionnaire**.

> ⓘ **Note**
>
> Only the questionnaires that are mapped to a RFI workflow are listed in the drop-down menu.

3. Enter unique **Name** for the RFI.

4. Enter the **Recipient** Email id.

> ⓘ **Note**
>
> The **Response Mode** will be enabled only after entering more than one recipient email id with semicolon (;) to separate the email ids.

5. Select the **Response Mode**. The options are:

   - **Collaborative**: Using this option, more than one respondent will be involved to provide the requested information and respondent(s) can view response provided by other respondent.

   - **Independent**: Using this option, more than one respondent will be involved to provide the requested information but one respondent cannot view the others response.

6. From the **Select Email Template** drop-down list, select the **Template**.

7. Click **Respond By** and select the date by which the analyst (sender) expect the response.

8. Click **Next**. The Request for Information Preview pane is displayed.

> ⓘ **Note**
>
> If you want to remove question(s) which was loaded from the Questionnaire, select question(s) and click **Remove Checked Questions**.

9. Click **Next**. The new RFI is created and displayed in the Request for Information page.

   By default it is in **RFI Response Pending** Status.

> ⓘ **Note**
>
> To receive multiple RFI responses, ensure that you have a RFI Response Received status mapped in the relevant workflow.

> ⓘ **Note**
>
> You also receive an email with Case ID and RFI link. Click **RFI link** and log in with your credentials. Answer the question(s) displayed on the This Request for Information Details page and click **Submit**. The **Submit** button is displayed only when RFI is not in closed status type(Close Positive and Close Negative).

5.1.10.2 Cancel RFI

Use this action to cancel the requested information details.

To cancel the RFI, follow these steps:

1. In the Request for Information pane, click **Actions Menu** corresponding to the RFI details.

2. Select **Cancel RFI**. The RFI details is cancelled and displayed as **RFI Cancelled** status.

5.1.10.3 Acknowledge No Response for RFI

Use this action to acknowledge that no response has been received from the respondents.

To update no response for RFI, follow these steps:

1. In the Request for Information pane, click **Actions Menu** corresponding to the RFI details.

2. Select **Acknowledge No Response for RFI**. The RFI details is updated with **RFI Not Responded** status.

5.1.10.4 Send RFI Reminder

Use this action for sending RFI reminder to the respondents.

To send RFI reminder, follow these steps:

1. In the Request for Information pane, click **Actions Menu** corresponding to the RFI details.

2. Select **Send RFI Reminder**. The RFI Reminder pane is displayed.

3. From the drop-down list, select the **Email Template**.

   Based on the selected template, the email content will be auto-populated in the **Email Preview** field.

4. Click **Send Reminder**. The Email will be sent for reminder to respondents to act on RFI details.

5.1.10.5 Resolve RFI

Use this action to resolve the RFI based on your investigation.

To resolve the RFI, follow these steps:

1. In the Request for Information pane, click **Actions Menu** corresponding to the RFI details.

2. Select **Resolve RFI**. The RFI details is resolved and displayed status as **RFI Resolved**.

5.1.10.6 Responses

Use this action to view response(s) provided by the respondent.

To view the response, follow these steps:

1. In the Request for Information pane, click **Actions Menu** corresponding to the RFI details.

2. Select **Responses**. The Responses pane is displayed.

3. Click **Response Key** link corresponding to the recipient. The RFI Response pane is displayed.

   You can view the response provided by the respondents.

To add external users to respond to RFI emails:

1. Onboard the user in IDCS with minimal user group mapping required for RFI. For more information about, onboarding users, see Bulk Import Application Users section.

2. An Investigation Hub investigator sends a RFI for a case to above person to respond to RFI.

3. This onboarded user can now respond to the RFI based on the link received in their email inbox.

4. RFI response is registered in Investigation Hub for further reference of the investigator.

5.1.10.7 Updating RFI Status

After creating an RFI request, the requests are listed on the **Request For Information** page. You can update the RFI status based on the selected RFI workflow having the status details.

1. In the Case List page, select and click the **Case ID**. The Case Summary page is displayed.

2. Click **Actions** drop-down list and select **Request for Information**. The Request for Information pane is displayed.

3. To update the RFI Response, click the edit icon against a status.

   The **Update RFI Status** page is displayed.

4. Select the required action from the **Action** drop-down menu and click **Submit**.

5.1.11 Linking, Merging and Closing Duplicate Cases

This feature allows you to link and merge cases to the current case. You can link cases to one another, merge case to one another, and close cases as duplicate for the related cases. All the information, including events, business entities, narrative, comments, and attachments of child case are copied to the parent case.

The audit history of the parent case will record which cases were merged into it.

Currently this feature is supported only for AML cases and you can merge, close and reopen closed cases based on AML workflow designs.

5.1.11.1 Viewing Related Cases

To view the related cases for a parent case:

1. Click **Actions** menu and select **Related Cases**. The Related Cases page for the parent case is displayed with list of related cases.

   Details of each related case such as its link status, case id, case status, reason, title, involvement party, tax id, assignee, case created on, and actions you can take on the case are listed.

If a case has a common entity, account or customer, then it is categorized as related cases and the status of these cases under **Link Type** column is blank.

2. To view details of the individual related case, click the case id.

   The related case details such as overview, related entities, related accounts, events and transactions, evidence and comments, and audit history tabs are displayed. Click the required tab for more details.

3. To add a case that is not a related case by default, click **Browse Case to add**, select the required cases and click **Submit**.

   A successful message is displayed after the cases are added.
   Since the cases are added manually, the status of these cases under **Link Type** column is updated as **User Linked**.

4. You can search for cases using the search bar and sort the rows alphabetically using the **Sort By** drop-down menu.

5.1.11.2 Linking Cases

To link a related case to parent case:

1. Click **Actions** menu and select **Related Cases**. The Related Cases page for the parent case is displayed with list of related cases.

2. Click Actions Menu from one of the related cases row and select **Link**.

3. Click **Confirm** in the confirmation pop-up box.

   A successful message is displayed after the child case is merged to the parent case.
   The audit history is updated with the action of linking cases in both parent and child cases.

5.1.11.3 Unlinking Cases

To unlink a case from parent case:

1. Click **Actions** menu and select **Related Cases**. The Related Cases page for the parent case is displayed with list of related cases.

2. To unlink a case, perform one of the following actions:

   a. Click Actions Menu from one of the related cases row and select **Unlink**.

   b. Click **Confirm** in the confirmation pop-up window.

   OR

   a. Click the case id and click **Unlink**.

   The child case is successfully unlinked from the parent case.

5.1.11.4 Merging Cases

To merge a related case to the parent case:

1. Click **Actions** menu and select **Related Cases**. The Related Cases page for the parent case is displayed with list of related cases.

2. Click **Merge** under Action column and click **Confirm** in the confirmation pop-up box.

   After the cases are merged, the related case status is updated to **Closed - Merged** and the Link Type status of the case is updated to **Merged**.

When the two cases merge, the accounts, transactions and RFI information is merged to the parent case.

The merge information is captured in the Audit History of both the cases (related and parent case) along with attachment and RFI action details.

> ⓘ **Note**
>
> This is a one time activity. After the cases are merged, you cannot separate the cases again.

5.1.11.5 Closing Duplicate Cases

To close a duplicate case:

1. Click **Actions** menu and select **Related Cases**. The Related Cases page for the parent case is displayed with list of related cases.

2. Click Actions Menu from the related cases row that you want to close and select **Close as Duplicate**.

3. Click **Confirm** in confirmation pop-up window.

   If all the validations are satisfied, then the case is closed as duplicate and a successful message is displayed.

5.2 Updating Bulk Action

Users can take action on multiple cases using Bulk Action instead of taking individual case for action.

> ⓘ **Note**
>
> The Bulk Action is possible only for the following cases:
>
> - You should be the assignee for all the selected cases except Assignee action where any users can change assignee of the case.
>
> - The case type and case status should be the same for all the selected cases.
>
> - The Bulk Action button is enabled, if at least one Case ID is selected.

To take action on the multiple cases, follow these steps:

1. On the Case List View page, select the cases.

2. Click **Bulk Action** and select **Actions**. The actions are **Evidence**, **Status**, **Assignee**, and **Case Details**. For more information on the case actions, see the Using Actions section.

5.3 Generating Dossier

The dossier will be created after reviewing all the case information and a summary of the relevant case information and the dossier will be used for regulatory reporting.

> ⓘ **Note**
>
> - You should be assignee for the case to generate dossier.
> - This section is applicable only for the **AML_SURV** case type.
> - You cannot take action when status of the case is closed.

To generate a dossier for the case, follow these steps:

1. Navigate to the Case Summary page.
2. From the **Dossier** menu, select **Generate Dossier**. The Dossier for Case ID Investigation page is displayed.
3. Click **Start** to generate a dossier by the following process.

5.3.1 Viewing Case Details, Description and Narrative

This section describes the Case Details and Description, Primary Entity, case narrative, case events, evidence details and alerted transactions of the selected case.

You can verify details and update the following groups if required:

Case Narrative

To update narrative, follow these steps:

1. Click **Update Narrative**, enter your analysis in the **Case Narrative** field and format as required.
2. Click **Save Case Narrative**. This is the final opportunity to make any changes to the Case Narrative which will be used in the final dossier and any regulatory filing.

Case Events

Displays the case events associated with the case.

- Click the **Update Relevant Events** button and the Update Dossier Relevant Events pane is displayed. Select the required event by clicking the check box and click **Update**. The selected event(s) is marked as "Relevant".

This is an opportunity to mark which alerts are relevant for the final case summary and regulatory filing.

Alerted Transactions

Click on the **Alerted Transactions** tab to view the list of all transactions for this case. This is the final opportunity to add/remove transactions for the final case summary and regulatory filing.

Add Transactions

To add transaction, follow these steps:

1. Click **Add Transaction** and the Add Transaction pane is displayed.

2. Select the required transaction by clicking the check box and click **Add Transaction**. The selected transaction is added successfully to the dossier.

Remove Transactions

To remove transaction, follow these steps:

1. Click **Remove Transaction** and the Remove Transaction pane is displayed.

2. Select the required transaction by clicking the check box and click **Remove Transaction**. The selected transaction is removed successfully from the dossier only and not from the case.

Evidence Details

Users can add/view evidence in the cases.

Add/View Evidence

Click **Add/View Evidence**. The Evidence pane is displayed. For more information on uploading evidence, see the Uploading the Evidence section.

After verifying all the details, click **Continue** to navigate to the Entity details & related entities page.

> ⓘ **Note**
>
> • Click **Skip** to skip the particular section, assuming all the data is correct, and move to the next section to generate the dossier.
>
> • Click **Save** to save the changes.
>
> • Click **Cancel** to cancel the process for generating the dossier.

5.3.2 Viewing Entity and Related Entities Details

This section describes the number of entities and related entities associated with the selected case.

You can add/remove entities in this section using the **Add Entity** and **Remove Entity** buttons.

To add a new entity, follow these steps:

1. Click **Add Entity**. The Add Entity pane is displayed.

2. Select the entity that you want to add to this case using the corresponding check box.

   • You can also search for the entity name in the **Search** box and select the check box with the applied filter.

3. Click **Add Entity**. The selected entity is added successfully to the case.

To remove the entity, follow these steps:

4. Click **Remove Entity**. The Remove Entity pane is displayed.

5. Select the entity that you want to remove from this case using the corresponding check box.

6. Click **Remove Entity**. The selected entity is removed successfully from the dossier only but not from the case.

> ⓘ **Note**
>
> • These steps are required only if you are removing the entity.
>
> • You cannot remove the **Primary Entity**.

7. After viewing the entity details, click **Continue** to navigate to the Accounts page.

5.3.3 Viewing Accounts

This section describes the number of accounts associated with the selected case.

To add a new account, follow these steps:

1. Click **Add Account**. The Add Account pane is displayed.
2. Click on the **Search** box and select **Account Type**.
3. Select the account that you want to add to this case using the corresponding check box.
4. Click **Add Account(s)**. The selected account is added successfully to the case.

To remove the account, follow these steps:

5. Click **Remove Account(s)**. The Remove Account(s) pane is displayed.
6. Select the account that you want to remove from this case using the corresponding check box.
7. Click **Remove Account(s)**. The selected account is removed successfully.

> ⓘ **Note**
>
> The account will be removed from the dossier only but not from the case.

8. After viewing the account details, click **Continue** to navigate to the Graph page.

5.3.4 Viewing Graph

This section displays the graph snapshot and transactions list of the selected case.

By default, graph visualization is displayed and click the **Transactions** tab to view transaction information associated with the case.

> ⓘ **Note**
>
> For more information about the graph, see the Viewing an Entity Graph section.

After viewing the graph details, click **Continue** to navigate to the Review page.

5.3.5 Reviewing Cases

This section displays all the details that are associated with the cases.

You can review the details and click **Continue** to navigate to the Complete dossier page.

5.3.6 Completing Dossier

This section provides information for completing the dossier creation process.

To complete the dossier, follow these steps:

1. From the drop-down list, select **Action**.

2. From the drop-down list, select **Reason**.

3. Enter your comments in the **Comments** field.

4. Click **Continue**. The dossier is generated successfully for the case and it will be used for regulatory reporting.

5.4 Watchlist Details

This section displays watchlist details and highlights the matches when an event is selected. This helps in the analysis of the case and in deciding whether to release or block the transaction. A unique Record ID is assigned to every watchlist/sanctioned record. The supported watchlist types are:

- OFAC Reference Data

- WC STANDARD

- WC Premium

- EU Reference Data

- HM Treasury Reference Data

- UN Reference Data

- Dow Jones Watchlist

> ⓘ **Note**
>
> Complete Watchlist details tab is added for all CS case types (CS_RT, CS_Batch, and CS_314ATXN) only if an event is matched to the DJW watchlist. This tab provides an extended view of the match details through the new Complete Watchlist tab. This provides a comprehensive profile view sourced from the DJW system along with Profile Details, Country or Territory Details, Relationship Information, Sanctions List (graph or list view), Profile Notes and ID Information.

- Private Watchlist

- Prohibited Identifier Watchlist

- Prohibited Country Watchlist

- Prohibited City Watchlist

- Prohibited Goods Watchlist

- Prohibited Ports Watchlist
- Stop Words Watchlist

6
Creating Cases

Cases are created for investigating business entities involved in potentially suspicious events.

If there is a need for investigation on an entity for which there are no open cases, then you can create a case manually and proceed with the investigation.

> ⓘ **Note**
>
> - To create a manual case for an Analyst User, the User should be mapped to the CM Analyst User Group (CMANALYSTGRP) along with the Investigation Hub Analyst User Group (IHUBANALYSTGRP).
>
> - To create a manual case for Supervisor User, the User should be mapped to the CM Supervisor User Group (CMSUPERVISORGRP) along with the Investigation Hub Supervisor User Group (IHUBSUPERVISORGRP).
>
> - Only users with relevant case-creation permissions can create a case.
>
> - Cases are created based on the case type and users cannot create **TF**, **CS** and **KYC** cases manually.
>
> - Case types are displayed based on the logged in user.

To create a case manually, follow these steps:

1. On the Investigation Hub page, click **Create Case**. The Select Case Attributes page is displayed. You can enter/select fields as described in the following table.

   Table 6-1   Select Case Attributes - Fields and Descriptions

Fields	Description
Case Title	Enter the unique Case Title.
Case Type	From the drop-down list, select the Case Type that you want to create a case.
Due Date	Select the Due Date by which action must be taken on the case.
Jurisdiction	From the drop-down list, select the Jurisdiction to which the case belongs.
Business Domain	From the drop-down list, Select the Business Domain. **Note**: It will be listed based on the selected jurisdiction.
Assignee	From the drop-down list, Select the Case Assignee.
Case Description	Enter description about the case.
Priority	Select the Case Priority. The available options are High, Medium, and Low.

> ⓘ **Note**
>
> All the fields are mandatory except **Case Description** and **Select Entity**.

2. Select an entity that will be the focal entity of this case. You can either search for an entity by Entity ID or Entity Name.

> ⓘ **Note**
>
> You must select an entity with Entity Type as **Customer**/**Account**/**External Entity**.

3. Click **Continue**. The selected entity is added and displayed on the Select Case Attributes page.

4. Click **Transactions**. The Select transactions pane is displayed.

> ⓘ **Note**
>
> Adding transactions to the case is optional.

5. Select one or more transactions to be linked to this case.

6. Click **Continue**. The selected transaction(s) is added and displayed on the Select Case Attributes page.

7. Click **Create Case**. The case is created and added to the Case List View page.

7
Viewing My Request for Information

Request for Information (RFI) helps user to request information from others while working on a case, within an ability to track response from the respondent.

To view RFI for those RFIs created by you, follow these steps:

1. In the **Case List** page, click **My Requests for Information**.

   You can view the list of RFIs requested by you and its status.

2. To take action on the RFI, click **Actions Menu** corresponding to the RFI.

3. Select the appropriate actions. For more information about these actions, see Request for Information.

8

Accessing Investigation Hub Administration

An Administrator can configure Workflow designer, Case designer, Match quality of events, Graph UI settings and Manage case templates used in the cases.

8.1 Updating User Preferences for Time Zone and Language

You can select your preferred time zone and language using this configuration.

To set your preferences:

1. Click **Open** icon to view the Ask Oracle page.

2. Click on the logged in user icon on the right-top side and click **Profile**.

3. Based on your preference select one of the following options:

   a. To set the time based on browser, select the **Browser** option.

   b. To set your preferred time and language, select the **USER Preference** option.

      i. Select the required time zone region specif from the **USER Time Zone / Region (UTC offset)** drop-down menu.

      ii. Select the required language from the **USER Language (Territory)** drop-down menu.

      iii. Select the required date format from the **Date Format** drop-down menu.

      > ⓘ **Note**
      >
      > The application no longer supports the YY date format. Hence, update the format to YYYY to avoid date-related errors.

      iv. Select the required time format from the **Time Format** drop-down menu.

      v. Select the required time zone format from the **Time Zone Format** drop-down menu.

4. To save your selection, click **Save User Preferences**.

   > ⓘ **Note**
   >
   > This configuration is applicable only for Transaction Filtering (TF) and Customer Screening (CS) cases.

5. (Optional) To reset to default selections, click **Reset User Preferences**.

8.2 Default Settings for Graph UI

This topic provides information about configuring default settings for Graph User Interface (UI).

> ⓘ **Note**
>
> To view graphs in Investigation Hub for AML and KYC cases, run the **IcijDataIngestion** batch and then run the **FinancialCrimeGlobalGraph** batch. For more information, see the Oracle® Financial Crime and Compliance Management Cloud Service Using Pipeline Designer Guide.

To view and update Graph UI, follow these steps:

1. Click **Open** ⬛ icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Default Graph UI Settings** link. The Default Graph UI Settings pane is displayed. You can view column and its default value for the graph associated with the case.

Table 8-1   Graph UI Settings - Description

Column	Description
Node	Displays types of nodes (for example, Account and Customer) which is used in the graph.
Colors	Displays color of the node which is used in the graph.
Sizes	Displays size of the node which is used in the graph.
Icons	Displays icon of the node which is used in the graph.
Icon Colors	Displays icon color of the node which is used in the graph.
Label	Displays label name of the node which is used in the graph.
Legend Title	Displays the node title which will be listed under legend in the graph.

4. Click any column that you want to update.

5. Click **Save**. The updated changes will be reflected in the Entity Graph View of the case.

8.3 Workflows for triggering notifications

Notification templates provide a standardized way to present messages, ensuring clarity and uniformity across different activities. Notifications guide you to take required actions promptly, reducing delays and avoiding missed tasks.

To receive notifications through the application (in-app) or externally through email:

1. Define or create a template using the Case Template feature. For more information, see Creating Case Template.

2. Select the required trigger to configure the notification type (in-app or email), the recipient (user groups, emails), which notification templates to use. For more information, see Add Trigger.

3. Map notification to the required workflows using Workflow Designer feature. For more information, see Add Workflow.

8.4 KYC Match Quality Configuration

This topic provides information about configuring match quality for Know Your Customers (KYC) events.

To update the match quality for events, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **KYC Match Quality Configuration** link. KYC Match Quality Configuration page is displayed. You can configure Minimum and Maximum values for Low, Medium and High Match Quality of events.

4. To add a custom match quality, select a row and click the **Add Match Quality Category** button.

    a. Provide a name for the Match Quality you are adding.

    b. Provide a code for the match quality.

    c. Provide a minimum value for the match quality.

    d. (Optional) Click the fill icon to add a color code to identify the match quality on the UI.

5. (Optional) In the **Badge Color** column click the fill icon to define the color to display for this match quality.

6. Click **Save**. The updated changes will be reflected in events for match quality.

8.5 Managing Case Template

Case template provides a structured framework for organizing information related to a specific case.

8.5.1 Creating Case Template

An administrator can define a template that includes substitution variables so that the investigator has a summary of the case and a starting point to begin their narrative.

To create a case template, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Manage Case Templates** link. The Create Template page is displayed.

4. Click **Create**. The Create Template page is displayed.

Table 8-2   Create Template - Fields and Descriptions

Fields	Description
Template Name	Enter the unique Template Name.

Table 8-2   (Cont.) Create Template - Fields and Descriptions

Fields	Description
Template Type	From the drop-down list, select the Template Type. The available options are Narrative and Summary.
Case Type	From the drop-down list, select the required Case Type. **Note**: If you want to create template for all cases then select **ALL** from Case Type drop-down list.
User Role	From the drop-down list, select the User Role. By default, it will be assigned to all the user roles.
Template Body	Enter your analysis and format as required.

5. Click **Substitution Variables**. The Template Substitution Variables pane is displayed.

6. Select the required **Variable** link and that will be added to the template body.

7. Click **Create**. The template is created successfully.

8.5.2 Updating Case Template

Users can update case template based on their requirement.

To update the case template, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Manage Case Templates** link. The Narrative Templates page is displayed.

4. Select and click the template that you want to update. The Create Template page is displayed.

5. Update the required changes and click **Apply Changes**. The template is updated with new changes.

> ⓘ **Note**
>
> If you want to delete the template, then click **Delete**.

8.6 Customer Screening Configurations

This topic provides information about configuring the match quality for customer screening events, enabling comments for event decisions and enabling screening history access.

8.6.1 Adding or Configuring Match Quality for Customer Screening Events

This topic provides information about configuring match quality for Customer Screening (CS) events.

To update the match quality for events, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Customer Screening Configurations** link. Customer Screening Case page is displayed. You can configure Minimum and Maximum values for Low, Medium and High Match Quality of events.

4. In the **Configure Match Quality for Customer Screening Events** section, on the Match Quality row, click **Min Value** and update based on your requirement.

> ⓘ **Note**
>
> You can update only the minimum value, while the maximum value is automatically updated based on the previous category. Ensure that the lowest minimum value is set to 0, and do not assign duplicate values, otherwise there will be a validation error.

> ⓘ **Note**
>
> After an upgrade to the current release, the custom values set for the **Minimum and Maximum values for Medium Match Quality of events** are going to be replaced with the default values. If you require the custom values, then readd these values after the upgrade.

5. To add a custom match quality, click the **Add Match Quality Category** button.

   a. Provide a name for the Match Quality you are adding.

   b. Provide a code for the match quality.

   c. Provide a minimum value for the match quality.

   d. (Optional) Click the fill icon to add a color code to identify the match quality on the UI.

6. (Optional) In the **Badge Color** column click the fill icon to define the color to display for this match quality.

7. Click **Save**. The updated changes will be reflected in events for match quality.

8.6.2 Configuring Event Decisions

This topic provides information about configuring event decisions.

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Customer Screening Configurations** link. The Customer Screening Case page is displayed.

4. In the **Configure Event Decisions** section, to add the comments field in closing a case, enable the **Capture Comments** option.

5. To make comments field as a mandatory field, select the **Yes** option. To make it as optional, select **No**.

6. To save the changes, click **Save**.

8.6.3 Enabling Screening History Access

This topic provides information about enabling access to screening history.

1. Click **Open** [icon] icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Customer Screening Configurations** link. The Customer Screening Case page is displayed.

4. To view the screening history details, toggle the **Enable Screening History Access** button under the **Configure Event Decisions** section.

8.7 Using Workflow Designer

Workflow designer is a tool used to create, manage, and visualize the flow of tasks, actions, and processes for investigation. It serves as roadmap for investigators to follow during the investigation process.

8.7.1 Workflow Configuration

This topic describes how to configure workflow for the Case and RFI (Request for Information) categories. Users can create a workflow and add configurations to them for tracking the investigation.

Users can configure workflow in the following ways:

- Add Workflow

- Add Workflow from an Existing Workflow

8.7.1.1 Viewing Workflow

To view the workflow, follow these steps:

1. Click **Open** [icon] icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed with the default view of **Configuration** tab.

   Pre-seeded workflows for different case types are listed here along with information if they are mapped to cases.
   The right side has the process described stage by stage and its trigger activity if its configured.

   Also, you can add, edit and delete custom workspaces.

8.7.1.2 Add Workflow

This topic provides information about adding a new workflow for the Case and RFI (Request for Information) categories.

To add a new workflow, follow these steps:

1. Click **Open** ⬛ icon to view the Ask Oracle page.
2. Click **Admin** menu. The Investigation Hub Administration page is displayed.
3. Click **Workflow Designer** link. The Workflow Designer page is displayed.
4. Click **Add Workflow**. The Create Workflow pane is displayed with following options:
   - **Create New**
   - **Copy from Existing**
5. Select **Create New** option.
6. Enter/Select the fields as described in the following table.

> ⓘ **Note**
>
> All the following fields are mandatory.

Table 8-3   Create New - Field Description

Fields	Description
Name	Enter unique name of the workflow.
Description	Enter description of the workflow.
Category	Select option from the Category drop-down list whether the workflow will be created through Case or Request for Information (RFI). The available options are: • Case • RFI
Start Status	From the drop-down list, select start status of the workflow.

> ⓘ **Note**
>
> Ensure that the closure status for all custom-created workflows is mapped to the Invoke – Queue Management trigger under the Trigger column. This configuration enables the system to automatically remove closed cases from their associated queues, thereby preventing them from being displayed in the Case List during load and optimizing overall system performance. However, you can continue to access the closed cases through the Closed Case toggle option when required.

> ⓘ **Note**
>
> For all the predefined CS cases workflow configurations for all the closed statuses, additional validations are added that are mandate before closing the case:
>
> - Ensure comments are added
>
> - Ensure all events in the case are closed
>
> - To mark a case as False positive, ensure that all the events are marked as false positive in the case.
>
> - To mark a case as True positive, ensure that at least one event in the case is marked as true positive.

7. Click **Save**. The new workflow will be created with **Draft** Status and listed in the Workflow List pane.

8.7.1.3 Add Workflow from an Existing Workflow

This topic provides information about adding a new workflow from an existing workflow of the Case and RFI (Request for Information) categories.

To add a new workflow from an existing workflow, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Add Workflow**. The Create Workflow pane is displayed with following options:

- **Create New**

- **Copy from Existing**

5. Select **Copy from Existing** option.

6. Select workflow from the **Copy From** drop-down list which you want to copy workflow from an existing workflow.

7. Enter the unique Workflow **Name**.

> ⓘ **Note**
>
> The remaining fields are auto-populated from the selected existing workflow and you can edit these fields based on your requirement. For more information about these fields, see the Add Workflow section. All the fields are mandatory.

8. Click **Save**. The new workflow will be created and listed in the Workflow List pane.

8.7.1.4 Edit Workflow

To edit the workflow, follow these steps:

> **ⓘ Note**
>
> To edit a mapped RFI workflow, ensure that there are no questionnaires mapped to that workflow.

1. On the Workflow List pane, select the workflow and click **Edit Workflow** 🖉 . The Edit Workflow pane is displayed.

2. Edit the workflow details as required.

3. Click **Save** to save the updated changes.

8.7.1.5 Clone Workflow

To clone the workflow, follow these steps:

1. On the Workflow Designer page, Click **Actions Menu** ••• and select **Clone**. The Create Workflow pane is displayed with **Copy from Existing** option.

2. Enter unique Workflow **Name**.

> **ⓘ Note**
>
> The remaining fields are auto-populated from the selected existing workflow and you can edit these fields based on your requirement. For more information about these fields, see the Add Workflow section. All the fields are mandatory.

3. Click **Save**. The new workflow will be created and listed in the Workflow List pane.

8.7.1.6 Delete Workflow

To delete the workflow, follow these steps:

> **ⓘ Note**
>
> You cannot delete a pre-seeded workflow or a workflow that is mapped to a case.

1. On the Workflow Designer page, Click **Actions Menu** ••• and select **Delete**. The Delete Workflow pane is displayed with the selected workflow name.

2. Click **Delete** in the confirmation screen.

   The workflow is deleted successfully.

8.7.1.7 Add Configuration

> ⓘ **Note**
>
> While creating or modifying the workflow configuration for a workflow with category as **Case**, ensure that there is a workflow configuration defined from the workflow start status for the **Assign Case** action.

> ⓘ **Note**
>
> While creating or modifying the workflow configuration for a workflow with category as **RFI**, ensure that there is a workflow configuration defined from the workflow start status for the **Respond RFI** action.

To add a new configuration to the workflow, follow these steps:

1. On the Workflow List pane, select the workflow.
2. On the right pane, click **Add New Configuration**. A new row will be added and configure the column values as described in the following table.

Table 8-4   Add New Configuration

Column	Description
When Status is	Click and select the status.
For Action	Click and select the action.
Change Status to	Click and select the target status.
Prior Action	Click to configure the last action when there are multiple transitions defined from the same status on basis of same action. The WF engine identifies the next step to be taken based on the Last Action(Prior Action).
Allowed Roles	Click and select the role to be allowed for adding configuration. **Note**: This column is optional.
Validations	Click and select the validations to be added for the workflow. **Note**: • This column is optional. • Ensure that all these validations are met before closing the case.

Table 8-4   (Cont.) Add New Configuration

Column	Description
Selection Actions	Click Row Actions and select the required option to take an action. The available options are Single Row View, Add Row, Duplicate Row, Delete Row, and Refresh Row. By default, the configuration pane is displayed in Report View.
	If single Row View is selected, users can view configuration only on the selected row. Users can perform the following: • Click Change Menu and select the option. The options are Add New Configuration, Duplicate, Delete, and Refresh. • Click Settings Menu and select the option. The options are Exclude Null Values, and Displayed Columns. • Click Next/Previous button to view the remaining configurations. • Click Report view to view all records in report view of the configuration pane.

3. Click **Save as Draft** to save the configuration.

> ⓘ **Note**
>
> • Select row and click **Edit** to edit the configuration.
>
> • The columns can be customized using the Actions menu. For more information, see the Using Interactive Reports section.

4. Click **Mark as Complete** when all the configurations are added to the workflow. The status of the workflow will be updated as **Complete** (in case of workflow for cases) or **Mapped** (in case of RFI workflow) on the Workflow List pane.

   The case workflow will be listed in the **Case Workflow Mappings** tab for mapping case type.

   And, the RFI workflow will be listed in the **Questionnaire Workflow Mapping** tab (in **Manage RFI and Notification Configurations** section).

8.7.1.8 Adding Application Rules to Workflow

To add an application rule to an existing workflow, follow these steps:

1. On the Workflow Designer page, click **Configuration** tab. The Configuration page is displayed.

2. Identify the workflow and the status you want to run this condition on and then click a workflow you and against that status click under the **Application Rule**.

3. Select one or multiple conditions from the drop-down.

4. To save the changes, click **Save as Draft**.

5. To move the status of the workflow to completed, open the workflow and click **Mark As Complete**.

> ⓘ **Note**
>
> If the specified condition is not met at the defined stage of the case, then a generic error message is displayed and you cannot move past this stage for that case.

8.7.2 Actions

Actions allow users to move case through the workflow which includes analysis, providing evidence, and making recommendations.

Administrators create and define actions, map the action to statuses and then create the workflow [Using Workflow Designer](#).

During action definition, Administrators make decisions like whether the action requires a comment, a reassignment, or a due date. After defining the actions, you must map to the case type. For more information, see [Case Workflow Mapping](#).

You can create and define actions in the following categories:

- Assign
- Due Date
- Email
- Escalate
- Evidence
- Export
- Monitor
- Print
- Reopen
- Research & Review
- Resolution
- System

8.7.2.1 Add Action

To add a new action, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.
2. Click **Admin** menu. The Investigation Hub Administration page is displayed.
3. Click **Workflow Designer** link. The Workflow Designer page is displayed.
4. Click **Actions** tab. The Actions page is displayed.
5. Click **Add Action**. The Add Action pane is displayed.
6. Enter/Select the fields as described in the following table.

Table 8-5   Add Action - Field Description

Field	Description
Code	Enter a new action code. This is the unique code of the action that identifies the action. For example, CA123. This code is not displayed on the UI. **Note**: This cannot be edited after the action has been added.
Name	Action name that is displayed on the UI, except for the Audit History window.
Description	Enter description about the action. This must be provided for auditing purposes.
Category	Select the Category within which this action is displayed on the Action window. This cannot be edited after the action has been added. For example, the Send Email action is in the Email category. Action categories allow you to segment actions into logical groups for easy reading on the UI. This does not affect the action in any way.
Name in Audit History	Action name that is displayed on the Audit History window.
Status Changing Action	Select whether this action should change the case status. It is recommended that the resulting status defined here is the same that is defined in the workflow designer.

> ⓘ **Note**
>
> All the fields are mandatory except **Status Changing Action**.

7. Click **Save**. The new action will be added and listed in the Actions page.

8.7.2.2 Edit Action

To edit an existing action, follow these steps:

1. Click **Open** ⬛ icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Actions** tab. The Actions page is displayed.

5. Select the action and click **Edit Status** ✏️ . The **Edit Action** pane is displayed.

6. Edit the action details as required.

> ⓘ **Note**
>
> You cannot edit the **Code** field.

7. Click **Update** to save the updated changes.

8.7.2.3 Delete Action

To delete an existing action, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Actions** tab. The Actions page is displayed.

5. Select the Action and click **Delete Status** . The Delete Action Reason? dialog box is displayed.

6. Click **Delete** to delete the action. This will permanently delete action and it cannot be recovered.

8.7.3 Action Reasons

The Action Reason allows to add reasons to status changing actions related to case type.

Administrators can also designate whether report generation is required or not for the particular action reason and configure the necessary report type. You can filter and sort action reasons based on Case Type, Action Name, Report Type, and Report Name.

8.7.3.1 Add Action Reason

To add a new action reason for the case type, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Action Reasons** tab. The Action Reasons page is displayed.

5. Click **Add Action Reason**. The Add Action Reason pane is displayed.

6. Enter/Select the fields as described in the following table.

Table 8-6   Add Action Reason - Field Description

Field	Description
Case Type	From the drop-down list, select the Case Type . **Note**: This field is mandatory.
Action Name	From the drop-down list, select the Action Name. **Note**: This field is mandatory.
Reason Name	Enter a name for the reason. **Note**: This field is mandatory.
Reason Description	Enter description about the reason.
Report Generation Required	Select the check box if you want to generate a report.

Table 8-6 (Cont.) Add Action Reason - Field Description

Field	Description
Report Type	From the drop-down list, select the Report Type. The available options are SAR (Suspicious Activity Report) and STR (Suspicious Transaction Report). **Note**: This field appears only when Report Generation Required is enabled.

7. Click **Create**. The new action reason will be created and listed in the Action Reasons page for the case type.

8.7.3.2 Edit Action Reason

To edit an existing action reason, follow these steps:

1. Click **Open** [icon] icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Action Reasons** tab. The Action Reasons page is displayed.

5. Select the case type and click **Edit Status** [icon]. The **Edit Action Reason** pane is displayed.

6. Edit the action reason details as required.

> ⓘ **Note**
>
> You cannot edit the **Case Type** and **Action Name** fields.

7. Click **Save** to save the updated changes.

8.7.3.3 Delete Action Reason

To delete an existing action reason, follow these steps:

1. Click **Open** [icon] icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Action Reasons** tab. The Action Reasons page is displayed.

5. Select the case type and click **Delete Status** [icon]. The Delete Action Reason? dialog box is displayed.

6. Click **Delete** to delete the action reason. This will permanently delete the action reason and it cannot be recovered.

8.7.4 Status

Status help users to navigate cases as they progress through the workflow towards investigation and resolution.

A status is associated to a workflow action; when an action is executed, the status of a case changes. For example, when an Analyst recommends a case for closure to the Supervisor, the case status changes from Investigation to Recommend for Closure.

The newly added status can be used in workflow designer to enhance your workflow. For more information, see the Using Workflow Designer section.

8.7.4.1 Add Status

To add a new status, follow these steps:

1. Click **Open** [icon] icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Status** tab. The Status page is displayed.

5. Click **Add Status**. The Add Status pane is displayed.

6. Enter/Select the fields as described in the following table.

Table 8-7   Add Status - Field Description

Field	Description
Status Code	Enter the status code. These status codes are used as stages in the workflow designer and moving the case through the workflow. This field accepts only alphanumeric and hyphen values. Other special characters are not allowed. **Note**: This code cannot be edited after the case status has been added.
Status Type	From the drop-down list, select the Status Type. The available options are: • Starting • Investigation • Review • Closed True Positive • Closed False Positive • Closed Auto Eliminated
Status Name	Enter the new status name.
Description	Enter description about the status.
Category	From the drop-down list, select the Category.

> ⓘ **Note**
>
> All the fields are mandatory except **Description**.

7. Click **Save**. The new status will be added and listed in the Status page.

8.7.4.2 Edit Status

To edit an existing status, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Status** tab. The Status pane is displayed.

5. Select the status and click **Edit Status**   . The **Edit Status** pane is displayed.

6. Edit the case status details as required.

> ⓘ **Note**
>
>   You cannot edit the **Status Code** field.

7. Click **Save** to save the updated changes.

8.7.4.3 Delete Status

To delete an existing status, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Status** tab. The Status page is displayed.

5. Select the status and click **Delete Status**   . The Delete Case Status? dialog box is displayed.

6. Click **Delete** to delete the status. This will permanently delete status and it cannot be recovered.

8.7.5 Triggers

You can now invoke triggers for certain actions. The trigger operations supported involve invoking queue management logic and invoking a stored procedure.

8.7.5.1 Add Trigger

To add a new trigger status, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Triggers** tab. The Trigger page is displayed.

5. Click **Add Trigger**. The Add Trigger pane is displayed.

6. Provide the following information and click **Create**.

   a. Provide a name and description for the trigger.

   b. Select a trigger type based on the following available options:

      • **Queue Assignment**

      • **Include Stored Procedure**

      • **In-App Notification**

      • **Email Notification**

      If you select the **Queue Assignment** option, the **Queue Assignment Required** check-box is selected by default.

      If you select the **Include Stored Procedure**, select trigger procedure from the **Select Stored Procedure** drop-down menu. The following options are available:

      • Update Overridden Score Details

      • Update OnBoarding Overridden Details

      • Update OnBoarding feedback Flag and override details

      • Update Transaction Filtering Feedback

      If you select the **In-App Notification** option, select a template from the **In-App Template** drop-down menu and select the Investigation Hub user groups from the **Select Group(s)** drop-down menu. The following user groups are available for selection:

      • IHUB Analyst User Group

      • IHUB RT CS Analyst User Group

      • IHUB Supervisor User Group

      • IHUB TF Analyst User Group

      > ⓘ **Note**
      >
      > The **In-App Notification** is displayed only in Investigation Hub Home and Investigation Hub Real Time Screening Ask oracle page, and we get notification for a case only if notification is configured in the workflow designer screen.

      If you have selected the **Email Notification** option, select a template from the **Email Template** drop-down menu. Select the user groups from the **Select Group(s)** drop-down menu. The following user groups are available for selection:

      • IHUB Analyst User Group

      • IHUB RT CS Analyst User Group

      • IHUB Supervisor User Group

      • IHUB TF Analyst User Group

Also you can enter the email id of individual recipients using ; as a seperator between multiple email ids.

> ⓘ **Note**
>
> You get notifications only for the selected user groups for Email and In-App Notification. The user groups are listed when they are mapped to any one of the below roles:
>
> • IHSUPERVSR
>
> • IHANALYST
>
> • IHTFANALYST
>
> • IHRTCSANALYST

8.7.5.2 Edit Trigger

To edit an existing trigger, follow these steps:

> ⓘ **Note**
>
> You can delete only custom created triggers.

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Trigger** tab. The Trigger pane is displayed.

5. Select the trigger and click **Edit Trigger** . The **Edit Trigger** pane is displayed.

6. Edit the trigger details as required.

7. Click **Save** to save the updated changes.

8.7.5.3 Delete Trigger

To delete an existing trigger, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Trigger** tab. The Trigger page is displayed.

5. Select the status and click **Delete Trigger** . The Delete Trigger dialog box is displayed.

6. Click **Delete** to delete the trigger. This will permanently delete trigger and it cannot be recovered.

8.7.6 Case Workflow Mapping

This topic provides information about mapping case type to the workflow. Users can map case type only when the workflow status is sets as complete on the Configuration tab.

To map a case type to the workflow, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.
2. Click **Admin** menu. The Investigation Hub Administration page is displayed.
3. Click **Workflow Designer** link. The Workflow Designer page is displayed.
4. Click **Case Workflow Mappings** tab. The Workflow Designer page is displayed.
5. Click **Edit Workflow Mapping** icon against the workflow.

    The **Edit Case Workflow Mapping** page is displayed.
6. From the drop-down list, select the required case types.
7. Click **Save**. The case type is mapped to the selected workflow and the workflow status will be **Mapped** on the Configuration tab.

> ⓘ **Note**
>
> Users should not map one case type to the multiple workflow whereas one workflow has n number of unique case types.
>
> If you want to remove case type which is mapped to the workflow, click the **Case Types** column. Click remove icon and then save.
>
> The columns can be customized using the Actions menu. For more information, see the Using Interactive Reports section.

8.7.7 Application Rule

Application rules are tied to workflow steps and determine the path of the workflow (For example, if transaction is >$10,000, proceed with one workflow step. If <$10K, proceed with another workflow.) Use this feature to run validations on different case types at a specific stage of a case.

8.7.7.1 Adding Application Rule

To create an application rule, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.
2. Click **Admin** menu. The Investigation Hub Administration page is displayed.
3. Click **Workflow Designer** link. The Workflow Designer page is displayed.
4. Click **Application Rules** tab. The Application Rules page is displayed.
5. To create a application rule, click **Add Application Rule**. The Add Application Rule page is displayed.
6. Add a rule name and a description.

7. Select a data field from the **Data Field** drop-down menu.

> ⓘ **Note**
>
> Against each field the case types supported for each field is listed. If there is a hyphen, then all case types are supported for this field.

Based on your requirement, select a data field and provide your conditions. The following data fields are available for selection:

- Amount - you can provide a number value as represented in the **Field Type** column. In the **Select Operator** field, select the condition you want to define and against the number field, provide the required number.

- Business Domain - you can provide multiple values as represented in the **Field Type** column. In the **Select Operator** field, you can select either **IN** or **NOT IN** based on the condition you want to create and in **Select Many** column, select from the domains available in the list.

- Currency - you can provide multiple values as represented in the **Field Type** column. In the **Select Operator** field, you can select either **IN** or **NOT IN** based on the condition you want to create and in **Select Many** column, select from the currency available in the list.

- Effective Risk Score - you can provide a number value as represented in the **Field Type** column. In the **Select Operator** field, select the condition you want to define and against the number field, provide the required number.

- Event Count - you can provide a number value as represented in the **Field Type** column. In the **Select Operator** field, select the condition you want to define and against the number field, provide the required number.

- Jurisdiction - you can provide multiple values as represented in the **Field Type** column. In the **Select Operator** field, you can select either **IN** or **NOT IN** based on the condition you want to create and in **Select Many** column, select from the jurisdiction available in the list.

- KYC Risk Score - you can provide a number value as represented in the **Field Type** column. In the **Select Operator** field, select the condition you want to define and against the number field, provide the required number.

8. To save the selections made, click **Create**.

8.7.7.2 Viewing Application Rule

To view the application rule, after creating it:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Workflow Designer** link. The Workflow Designer page is displayed.

4. Click **Application Rules** tab. The Application Rules page is displayed.

5. To view an application rule, click on the application rule. The application rule is displayed.

8.7.7.3 Editing Application Rule

To edit an application rule, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.
2. Click **Admin** menu. The Investigation Hub Administration page is displayed.
3. Click **Workflow Designer** link. The Workflow Designer page is displayed.
4. Click **Application Rules** tab. The Application Rules page is displayed.
5. To edit a application rule, click the edit icon against a rule. The Edit Application Rule page is displayed.
6. Make the required modifications and click **Save**.

8.7.7.4 Deleting Application Rule

To delete an application rule, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.
2. Click **Admin** menu. The Investigation Hub Administration page is displayed.
3. Click **Workflow Designer** link. The Workflow Designer page is displayed.
4. Click **Application Rules** tab. The Application Rules page is displayed.
5. To delete a application rule, click the delete icon against a rule. The Delete Application Rule page is displayed.
6. Click **Delete**.

8.8 Using Case Designer

Case designer allows to create case types and correlation rules where investigators can organize and manage their cases.

8.8.1 Case Type

The case type provides more detailed classification of a case.

The cases are classified using case class and case type. For example, if the case class is AML, then case type could be AML_SURV. The case type provides:

- Users can add and modify case type.
- Correlation rules are associated with case types to determine how the events get correlated and clubbed under the case of that particular case type.
- It allows filtering and sorting cases based on the case type and case class.

8.8.1.1 Add Case Type

To add a new case type, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Case Designer** link. The Case Types page is displayed.

4. Click **Add Case Type**. The Add Case Type pane is displayed.

5. Enter/Select the fields as described in the following table.

Table 8-8   Add Case Type - Field Description

Field	Description
Case Type Name	Enter the name for the Case Type.
Case Type Code	Enter a unique code for the Case Type. **Note**: This cannot be edited once the Case Type has been added.
Class Name	From the drop-down list, select the Class Name.
Case Type Description	Provide a description for the case type.
Correlation Rule	From the drop-down list, select the Correlation Rule. **Note**: You cannot map one Correlation Rule to multiple Case Types.
Auto-Claim	Enable the toggle button to enable an analysts user to auto-claim a case when the status of the case is new, unassigned or open. If this configuration is enabled, then the **Assign To Me** button is not displayed for a case. The case is automatically assigned to the logged in user if the status of the case is New, Unassigned or Open.

> ⓘ **Note**
>
> All the fields are mandatory except **Correlation Rule**.

6. Click **Create**. The new case type will be created and listed in the Case Types page.

   After creating the case, the case is automatically audited at the back end.

8.8.1.2 Edit Case Type

To edit an existing case type, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Case Designer** link. The Case Types page is displayed.

4. Select the case type and click **Edit Status** . The **Edit Case Type** pane is displayed.

5. Edit the case type details as required.

6. Click **Save** to save the updated changes.

8.8.2 Correlation Rules

Correlation rules are used to correlate and establish relationships between different events and help in deciding how these events get correlated and clubbed under the case of that particular case type.

The correlation rules provide:

- Users can add and modify correlation rules.
- It allows filtering and sorting rules based on the correlation name, status, and correlation required.

8.8.2.1 Add Correlation Rule

> ⓘ **Note**
>
> Ensure that each correlation rule is mutually exclusive and move all unwanted correlation rules to **Inactive** status. Because, when a new correlation with multi-focus is created the individual focus rules should be inactivated. Else, the batch will fail since we do not support conflicting rules.

To add a new correlation rule, follow these steps:

1. Click **Open** ⬛ icon to view the Ask Oracle page.
2. Click **Admin** menu. The Investigation Hub Administration page is displayed.
3. Click **Case Designer** link. The Case Types page is displayed.
4. Click **Correlation Rules** tab. The Correlation Rules page is displayed.
5. Click **Add Correlation Rule**. The Add Correlation Rule pane is displayed.
6. Enter/Select the fields as described in the following table.

Table 8-9   Add Correlation Rule - Field Description

Field	Description
Copy From	From the drop-down list, select the correlation rule which you want to copy from the existing.
Correlation Name	Enter the unique Correlation Name. **Note**: The remaining fields are auto-populated from the selected existing correlation rule and you can edit these fields based on your requirement.
Event Type	Enter the case type.
Data Origin	Oracle client's source systems from which the data was extracted.
Focus	Enter the entity type. You can provide multiple entries.
Jurisdiction	From the drop-down list, select the Jurisdiction where the case belongs.
Business Domain	From the drop-down list, select a business domain for the case.
Scenario	From the drop-down list, select a scenario for the case.
Correlation Lookback Value	Enter the lookback value for the correlation rule.

Table 8-9   (Cont.) Add Correlation Rule - Field Description

Field	Description
Is Extension Allowed for the correlation rule?	Enable this option to exclude case status for the correlation rule. **Note**: This field is optional.
Extension Exclude Case Statuses	From the drop-down list, select the case status to be excluded and this applicable only when Is Extension Allowed for the correlation rule? field is enabled.
Is Co-relation required for the case type?	Enable this option when correlation is required for the case type. **Note**: This field is optional.
Status	Enable this option to make correlation active. **Note**: This field is optional.

7. Click **Create**. The new correlation rule will be added and listed in the Correlation Rules page.

8.8.2.2 Edit Correlation Rule

To edit an existing correlation rule, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Case Designer** link. The Case Types page is displayed.

4. Click **Correlation Rules** tab. The Correlation Rules page is displayed.

5. Select the correlation rule and click **Edit Status** . The **Edit Correlation Rule** pane is displayed.

6. Edit the status whether the correlation rule to be in Active or Inactive status.

7. Click **Save** to save the updated changes.

8.9 Manage RFI and Notification Configurations

The Manage RFI and Notification Configurations is typically used for streamline and standardize the process for gathering information during investigation.

An Admin user can configure the RFI with questionnaires and templates.

8.9.1 Templates

Create a text-based template.

To search for a specific template type, enter the keywords in the **Search** field and select from the list. You can also sort the column based on the **Name**, **Type**, **Updated By**, and **Updated On**.

To create the template, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Manage RFI and Notification Configurations** link. The Manage RFI and Notification Configurations page is displayed.

4. Click **Templates**. The Templates page is displayed.

Perform the following operations to manage a template, from the Templates page.

• Create Template

• Modify Template

• Delete Template

8.9.1.1 Create Template

You can create a text-based template for Request for Information Management.

To create a template for RFI, follow these steps:

1. In the **Templates** page, click **Create Template**. The Create Template page is displayed.

2. Enter unique **Name** for the RFI template.

3. From the drop-down list, select the **Type**. The available options are:

   • **RFI Section Template**: It defines a text-based template that will appear following a Section Title.

   • **RFI Email Context Template**: It defines a text-based template used to populate the email sent to the RFI recipient.

   • **In-App Notification Template**: It defines a text-based template used to populate the notification in the application.

   • **Email Notification Template**: It defines a text-based template used to populate the email notification sent to the recipients.

4. Enter information of the template in the **Body** field. You can enter up to maximum 4000 characters.

5. If you want to add a substitution variable in the body, click **Substitution Variables**. The RFI Template Substitution Variables pane is displayed.

6. Select the required **Substitution Variable** link and the selected variable is added in the Body field. You can add multiple substitution variables in the body of the template.

> ⓘ **Note**
>
> You can now add a hyperlink to the case details page in the In-App Notification by selecting the NOTF_CASE_LINK Substitution variable.

7. Click **Create**. The new RFI template is created and displayed in the Templates page.

8.9.1.2 Modify Template

You can modify the template.

To modify a template, follow these steps:

1. In the **Templates** page, select the **Template** that you want to modify. The Edit Template page is displayed.

2. Modify the required changes.

> ⓘ **Note**
>
> You cannot modify the template **Type**.

3. Click **Apply Changes** to update the changes.

   The template is updated.

8.9.1.3 Delete Template

You can delete the template for Request for Information Management.

To delete a template, follow these steps:

1. In the **Templates** page, select the **Template** that you want to delete. The confirmation page is displayed.

2. Click **Delete**.

   The template is deleted.

8.9.2 Questionnaires

A questionnaire is a research instrument consisting of a series of questions or prompts designed to gather information from the respondents.

To access the Questionnaires, follow these steps:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Manage RFI and Notification Configurations** link. The Manage RFI and Notification Configurations page is displayed.

4. Click **Questionnaires**. The Questionnaires page is displayed.

To search for a specific status, enter the keywords in the **Search** field and select from the list. You can search based on the status column. You can also sort the column based on the **Name**, **Description**, **Active**, **Sections**, and **Questions**.

Perform the following operations to manage a questionnaire, from the Questionnaires page.

- [Create Questionnaire](#)
- [Configure Questionnaire](#)
- [Edit Questionnaire](#)
- [Preview RFI Questionnaire](#)
- [Duplicate Questionnaire](#)

8.9.2.1 Create Questionnaire

Create a questionnaire for Request for Information Management.

To create a questionnaire, follow these steps:

1. In the **Questionnaires** page, click **Create Questionnaire**. The **Create Questionnaire** pane is displayed.

2. Select the **Case Type**.

3. Enter the unique **Name** for the Questionnaire.

4. Enter **Description** about the Questionnaire. This field is optional.

5. Select **Status** from the drop-down list. The available status are **Active** and **Inactive**.

6. Enter **Introduction** about the Questionnaire. This field is optional and this will be displayed at the top of the RFI form.

7. If you want to add a image to the Questionnaire, then click **Choose File** to open the file selector dialog and select the required image or drag the file from the directory and drop it in the **Image File** box.

8. Click **Save**. The new questionnaire is created and displayed in the Questionnaires page.

8.9.2.2 Configure Questionnaire

Configure a questionnaire in the template which includes Sections, Display Conditions, and set a question with possible answers.

To configure a questionnaire, follow these steps:

1. In the Questionnaires page, click **Actions Menu** and select **Configure** corresponding to the questionnaire that you want to configure. The Template Configuration page is displayed.

2. In the Template Configuration page, you can configure the following:

   • **Sections**

   • **Questions**

   • **Display Conditions**

8.9.2.2.1 Add Section

Add a section to the questionnaire template.

To add a section, follow these steps:

1. In the **Template Configuration** page, click **Add Section**. The Section pane is displayed.

2. Enter the **Title** of the section displayed to the user.

> ⓘ **Note**
>
> This field is mandatory.

3. Select the **Case Details Templates** from the drop-down list.

   The description is auto-populated based on the selected case details template. You can modify the description if you want. If it is not auto-populated then you can enter the description.

4. Enter the **Display Sequence**. By default, it is populated with value as 10 for first section. The numerical value always incremented by 10 for the succeeding sections.

   Numerical value used to determine in what order to display the sections. Display order is top to bottom with values low to high. This value becomes read-only if the question has a display condition or it is used in an evaluation of a display condition.

5. Select the **Display Condition** from the drop-down list.

6. If you want to add a image to the section, then click **Choose File** to open the file selector dialog and select the required image or drag the file from the directory and drop it in the **Section Image** box.

7. Click **Create**. The new section is created and displayed in the Sections pane.

8.9.2.2.2 Modify Section

You can modify section in the existing section pane.

To modify a section details, follow these steps:

1. In the **Template Configuration** page, click **Section Title** link corresponding to the section from the Sections pane. The Section pane is displayed.

2. Modify the required changes.

> ⓘ **Note**
>
> You cannot modify the **Display Sequence**.

3. Click **Apply Changes** to update the changes.

8.9.2.2.3 Add Question

Add a question to the questionnaire template.

To add a question, follow these steps:

1. In the **Template Configuration** page, click **Add Question**. The Configure RFI Questions pane is displayed.

2. Enter the **Question** which will be asked to the user.

3. Select the **Section** where this question to be asked.

   It is optional section to group related questions. If left blank, the question will appear in a main section at the bottom of the form with any other questions not associated with a section.
   This value becomes read-only if the question has a display condition or is used in an evaluation of a display condition.

4. Enter the **Display Sequence**. By default, it is populated with value as 10 for first question. The numerical value always incremented by 10 for the succeeding questions.

   Numerical value to control the order in which the questions will be displayed. The questions will be displayed in order top to bottom, low value to high.

   This value becomes read-only if the question has a display condition or is used in an evaluation of a display condition.

5. Select the **Question Type**. It determines how the question will be presented to the user. The available options are:

   - **Pick One**: Select only one option.

   - **Pick Many**: Select the appropriate/all options.

   - **Text Field**: Enter the question and it must not exceed 255 characters.

   - **Multi-line Text**: Enter the question in detail and it must not exceed 4000 characters.

   This option becomes read-only if the question is used in a display condition evaluation.

6. Select the **Answer Requirement** from the drop-down list. The available options are **Mandatory** and **Optional**. By default, it is Optional.

7. Select the **Display Condition** from the drop-down list.

8. Select the **Permits File Attachment** option. The available options are **Yes** and **No**.

9. Provide the **Possible Answers** that user can select. At least one answer must be provided.

> ⓘ **Note**
>
> The Possible Answers field will be populated only when Question Type is selected as Pick One/Pick Many.

10. If you want to add a image to the question, then click **Choose File** to open the file selector dialog and select the required image or drag the file from the directory and drop it in the **Question Image** box.

11. Click **Create**. The new question is created and displayed in the Questions pane.

8.9.2.2.4 Modify Question

You can modify a question in the existing questions pane.

To modify a question, follow these steps:

1. In the **Template Configuration** page, click **Question** link corresponding to the Question from the Questions pane. The Configure RFI Questions pane is displayed.

2. Modify the required details.

   You cannot modify the following fields when question is configured with display conditions:

   • **Section**

   • **Display Sequence**

   • **Question Type**

3. Click **Apply Changes** to update the changes.

8.9.2.2.5 Add Display Condition

Add display condition to the questionnaire template.

To add a display condition, follow these steps:

1. In the **Template Configuration** page, click **Add Display Condition**. The Display Conditions pane is displayed.

2. Select the **Question** from the drop-down list.

3. Select the **Condition Type** as **Equal** from the drop-down list. The possible answer options are displayed.

   If you want to make display condition as Inactive then click on the Active? toggle.

4. Select the required **Options**.

5. Click **Create**. The new display condition is created and displayed in the Display Conditions pane.

8.9.2.2.6 Modify Display Condition

You can modify display condition in the existing display conditions pane.

To modify the display condition, follow these steps:

1. In the **Template Configuration** page, click **Question** link corresponding to the condition from the Display Conditions pane. The Display Conditions pane is displayed.

2. Modify the required changes.

3. Click **Apply Changes** to update the changes.

> ⓘ **Note**
>
> Click **Delete** to delete the existing display condition.

8.9.2.3 Edit Questionnaire

You can edit a questionnaire in the existing questionnaires.

To edit a questionnaire, follow these steps:

1. In the Questionnaires page, click **Actions Menu** and select **Edit** corresponding to the questionnaire that you want to edit. The Edit Questionnaire pane is displayed.

2. Modify the required changes.

3. Click **Apply Changes** to update the changes.

> ⓘ **Note**
>
> If you want to delete this questionnaire then click **Delete**. The Confirmation dialog box is displayed. Click **OK** for confirmation.

8.9.2.4 Preview RFI Questionnaire

You can preview a RFI questionnaire in the Questionnaires page.

To preview a RFI questionnaire, follow these steps:

1. In the Questionnaires page, click **Actions Menu** and select **Preview** corresponding to the questionnaire that you want to duplicate. The Preview RFI pane is displayed.

2. Review all the details and click **Validate**.

8.9.2.5 Delete Questionnaire

You can delete a created questionnaire.

To delete a questionnaire, follow these steps:

1. In the Questionnaires page, click **Actions Menu** and select **Delete** corresponding to the questionnaire that you want to delete. The Confirmation dialog box is displayed.

2. Click **OK**. The successful message appears.

8.9.2.6 Duplicate Questionnaire

You can duplicate a questionnaire from the existing questionnaires.

To duplicate a questionnaire, follow these steps:

1. In the Questionnaires page, click **Actions Menu** and select **Duplicate** corresponding to the questionnaire that you want to duplicate. The Confirmation dialog box is displayed.

2. Click **OK**. The successful message appears and displays the Template Configuration page. For configuring questionnaire, see the <u>Configure Questionnaire</u> section.

    Click **Questionnaires** link at the top to navigate to the Questionnaires page.

8.9.2.7 Mapping Questionnaire to RFI Workflow

This topic provides information about mapping RFI workflow to questionnaire. Users can map the RFI workflow to a questionnaire after the workflow status is sets as complete on the Configuration tab.

To map a questionnaire to RFI workflow:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Manage RFI and Notification Configurations** link. The Manage RFI and Notification Configurations page is displayed.

4. Click **Questionnaires**. The Questionnaires page is displayed.

5. Click the **Questionnaire Workflow Mapping** tab.

    The **Questionnaire Workflow Mapping** tab is displayed with all the mapped RFI workflows.

6. To map the Questionnaire to RFI workflow, click the edit icon.

    The **Edit Questionnaire Workflow Mapping** page is displayed.

7. Select the required questionnaires from the **Questionnaire Name** drop-down menu and then click **Apply Changes**.

    A message is displayed after successfully updating the workflow.

8.10 Transaction Filtering Case Closure Configuration

Admin users can use a new Admin Page to configure case closure options. Specifically, institutions can choose to close TF cases using only Case-Level Actions or mandating that event-level dispositions are required prior to case decisioning or closure.

8.11 Setting Transaction Filter

To set a transaction filtering case closure:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Transaction Filtering Case Closure Configuration** link. The **Set Transaction Filtering Case Closure Configuration** page is displayed.

4. Based on your preference select one of the options and click **Save**.

   • To permit case-level actioning once all events are viewed, select the **Case-level disposition only** option.

   • To close a case requiring that each event be actioned first, select the **Event-level disposition required before case decision**

   The summary page of a case is updated based on this selection.

8.12 Currency Transaction Reporting Administration

To provide reference data, upload the CSV files:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **Currency Transaction Reporting Administration** link. The **Reference Data** page is displayed.

4. To download the reference template for a particular reference data:

   a. Select the reference data category from the **Select File** drop-down menu.

   b. Select the template from the **Select Template** drop-down menu.

   c. Click **Download**.

5. Using the downloaded template, create the reference data file for that category and click the plus icon in the **Drag and Drop** field and then click the **Upload File**.

8.13 Setting CTR Priority

To define a priority level for a CTR report:

1. Click **Open** icon to view the Ask Oracle page.

2. Click **Admin** menu. The Investigation Hub Administration page is displayed.

3. Click **CTR Set Priority** link. The **CTR - Set Priority** page is displayed.

4. Click the edit icon against each condition and define the number of days to assign that priority after the due date is set for the report.

5. Click **Save**.

9

Performing Real-Time Customer Screening

Use the Real-time Customer Screening feature to screen individual and entity records. When you screen data in the real-time, you can see the details of the screened records. After screening is completed, you can create case in the Investigation Hub application.

In the Real-Time Screening History , the Event Decision actions (Reopen and False Positive) have been introduced across the Card View, List View, and AI Narrative View (with and without comments).

These actions can only be performed when the case status is New and the Assignee field is null (CSRT case has not yet been assigned to any user). Once the case is assigned or its status changes to Investigation (or any other state other than New), the Event Decision actions are disabled. There are two possible scenarios for this restriction.

In the first scenario, if a CSRT user attempts to take an Event Decision action while at the same time, an IHUB user assigns the same case to themselves, the CSRT user's action will not be processed, and a message is displayed indicating that the case has been assigned and the action cannot be completed.

In the second scenario, if the IHUB user has already assigned the case before the CSRT user attempts the action, the Event Decision options are disabled for that case.

Additionally, for cases that are auto-eliminated or auto-closed, the Event Decision buttons are not available in any view, regardless of whether the case status is New or the Assignee is null. This ensures that manual event actions cannot be taken on cases that have been system-closed or auto-processed.

> ⓘ **Note**
>
> The Event Decision actions are applicable for both Real-Time Customer Screening for Individual and Real-Time Customer Screening for Entity.

> ⓘ **Note**
>
> - **Prerequisite**: Users need to add Watchlist Management to perform Real-Time Customer Screening. To add watchlist management, see the Watchlist Management.
> - User (Admin/Analyst/Supervisor) should map the **IHRTANALYSTGRP** Group to view **iHub Real-Time Customer Screening** menu under **OFSCCM**.
> - The **iHub Real-Time Customer Screening** menu is displayed in the setup when the Customer Screening is deployed.

9.1 Accessing Real-Time Customer Screening for Investigation Hub

This topic provides information about accessing the Real-Time Customer Screening for Investigation Hub application.

To access the Real-Time Customer Screening for Investigation Hub, follow these steps:

1. Enter URL in the web browser.

2. The **Oracle Cloud** login page is displayed.

3. Enter your **User Name** and **Password**.

4. Click **Sign In**. The Applications landing page is displayed.

5. Click **Application Navigation** icon at the top left corner and the **Navigation List** displays the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** module.

6. Click **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service**. The menu options are displayed.

7. Click **Application** and then click **iHub Real-Time Customer Screening**. The **CSRT Landing Page** is displayed.

9.2 Real-Time Customer Screening for Individual

Users can perform real-time customer screening with and without creating a case by selecting **Screen and Create Case** and **Screen** buttons to screen individual records. By default, individual screen type is selected.

To screen the individual records, follow these steps:

> ⓘ **Note**
>
> To screen for cases ensure that the logged in user is mapped to the **IHRTCSSCREEN** role and to screen and create cases ensure that the logged in user is mapped to the **IHRTCSCREATE** role.

1. On the **Select an Individual or Entity to screen** page, select the **Individual** type.

2. Enter/Select the fields as described in the following table.

> ⓘ **Note**
>
> The fields such as **Jurisdiction**, **Business Domain**, **First Name**, and **Last Name** are mandatory and the remaining fields are optional.

Table 9-1   Field Description - Individual Records

Field	Description
Jurisdiction	From the drop-down list, select the jurisdiction to which the Individual belongs.
Business Domain	From the drop-down list, select the business domain to which the Individual belongs.
Full Name	Either you can enter the full name of the individual or this field gets populated from the entries provided in **First Name**, **Middle Name** and **Last Name** fields. **Note**: If you provide the full name, you need not provide the first, middle and last name.
First Name	Enter the individual's first name.
Middle Name	Enter the individual's middle name.
Last Name	Enter the individual's last name. **Note**: You can provide the full name or ensure that you provide the first and last name of the entity for conducting the search.
Date of Birth	Enter or select the individual's date of birth. To enter the date, click inside the field. The date must be in the format MM/DD/YY. OR To select the date, click Select Date icon and select the date from the date picker.
Place of Birth	From the drop-down list, select the country where the individual was born.
Country of Residence	From the drop-down list, select the country where the individual resides.
Citizenship	Select the individual's citizenship.
Secondary Citizenship	Select the individual's secondary citizenship.
Advanced Search	Click Advanced Search to view and update additional fields if required for matching results.
System Identifiers	Enter the following System Identifiers details: • **Source Request ID**: Enter the unique ID for the individual. The Source Request ID is used suppress the Batch alert for a customer who has a real-time screening alert. • **Applicant ID**: Enter the individual's applicant ID number. You can provide alphanumeric characters. • **Existing Internal ID**: Enter the individual's internal ID. This is a unique identification number used by the individual.
Candidate Identifiers	Enter the following Candidate Identifier details: • **Title**: Enter the honorific used to address the individual. • **Gender**: From the drop-down list, select the individual's gender. • **Year of Birth**: Enter the year of birth in the format YYYY. • **Aliases**: Enter the aliases used by the individual. • **Policy ID**: Enter the policy ID used by the individual. • **Customer ID**: Enter the customer ID used by the individual. **Note**: The **Full Name** and **Year of Birth** fields are updated automatically based on the **First Name**, **Last Name**, and **Date of Birth** fields of the individual.

Table 9-1   (Cont.) Field Description - Individual Records

Field	Description
Document Identifiers	Enter/Select the following Document Identifiers details: • **Type**: Enter the document provided to verify the individual's identity. • **Document Number**: Enter the document number of the document type provided by the individual. • **Issuing Country**: From the drop-down list, select the country where the document used to verify the individual's identity is issued. Click **Add Another Document Identifier** to add another identifier field for the document details. **Note**: If you want to delete the additionally added document identifier, then click **Delete** icon which appears on the field.
Address	Enter/Select the following address details: • **Address Type**: From the drop-down list, select the Address Type. • **Street Line 1**: Enter the individual's residential address • **City**: Enter the city in which the individual resides. • **State**: Enter the state in which the individual resides. • **Country**: From the drop-down list, select the country where the individual resides. • **Postal Code**: Enter the postal code of the city where the individual resides. Click **Add Another Address** to add another address details for the individual. **Note**: If you want to delete the additionally added address details, then click **Delete** icon which appears on the field.

3. To screen cases, click **Screen**.

   The Matches screen is displayed with details like customer prospect and the searches are displayed. To create a case, click **Create Case**.

   You can filter the searches based on the Watchlist Type and Watchlist Subtype, and sort the results based on Match Quality.

   To screen and create RT cases, click **Screen and Create Case**.

   The case is created with matches having case id, and event ids.

   To view all the screening details and case creation details, click the **Screening History** tab.

   • If there are matches to the specified keywords, then the screening is complete with status as **Matches Found**.

   • If the screening is still happening in the background the status is displayed as **Matches Found - Case Creation In Progress**.
     If the screening is in-progress, a banner is displayed stating the screening is in-progress. Click **Refresh Now** to view the latest status of the screening or screening and creation of cases.

   • If you have selected screening and create case, then the status is displayed as **Matches Found - Case Created**.

   • If there are no matches to the selected criteria, then the status is displayed as **No Matches**.

After creating the case, all the matches are converted to events and you can view the case details in card view or list view.

You can filter your search for results based on parameters like Match Quality, City, Country of Residence and Country of Birth.

To view the matches, click **View Matches** option from the **Screening History** tab. The records matching the search criteria with events are displayed. You have the card view and the table view. In the table view, you can also sort the columns in ascending or descending order. To create a case, click the **Create Case** option.

To view the screened record details, click the date link under **Screened On** column. The **Screened Record** page is displayed with all the details provided for the screening.

To view the latest matches, click **Screen Again** option from the **Screen Record** page or and create new cases using the **Screen Again** or the **Screening History** page.

To create a case, click **Create Case** option from the **Screen** tab or the actions button from the **Screening History** tab.

4. To download all the screening logs, click the download icon.

9.3 Real-Time Customer Screening for Entity

Users can perform the Real-Time screening with and without creating a case by selecting **Screen and Create Case** and **Screen** buttons to screen entity records.

To screen the entity records, follow these steps:

> ⓘ **Note**
>
> To screen for cases ensure that the logged in user is mapped to the **IHRTCSSCREEN** role and to screen and create cases ensure that the logged in user is mapped to the **IHRTCSCREATE** role.

1. On the **Select an Individual or Entity to screen** page, select the **entity** type.

2. Enter/Select the fields as described in the following table.

> ⓘ **Note**
>
> The fields such as **Jurisdiction**, **Business Domain**, and **Organization Name** are mandatory and the remaining fields are optional.

Table 9-2   Field Description - Entity Records

Field	Description
Jurisdiction	From the drop-down list, select the jurisdiction to which the entity belongs.
Business Domain	From the drop-down list, select the business domain to which the entity belongs.
Organization Name	Enter the entity's name.
Country of Incorporation	From the drop-down list, select the country in which the entity is registered.

Table 9-2   (Cont.) Field Description - Entity Records

Field	Description
Advanced Search	Click Advanced Search to view and update additional fields if required for matching results.
System Identifiers	Enter the following System Identifiers details: • **Source Request ID**: Enter the unique ID for the entity. The Source Request ID is used suppress the Batch alert for a customer who has a real-time screening alert. • **Applicant ID**: Enter the entity's applicant ID number. You can provide alphanumeric characters. • **Existing Internal ID**: Enter the entity's internal ID. This is a unique identification number used by the entity.
Entity Identifiers	Enter/Select the following Entity Identifier details: • **Country of Taxation**: From the drop-down list, select the country where the entity is located. • **Policy ID**: Enter the policy ID used by the entity. • **Customer ID**: Enter the customer ID used by the entity.
Document Identifiers	Enter/Select the following Document Identifier details: • **Type**: Enter the document provided to verify the entity identity. • **Document Number**: Enter the document number of the document type provided by the entity. • **Issuing Country**: From the drop-down list, select the country where the document used to verify the entity's identity is issued. Click **Add Another Document Identifier** to add another identifier field for the document details of the entity. **Note**: If you want to delete the additionally added document identifier, then click **Delete** icon which appears on the field.
Address	Enter/Select the following address details: • **Street Line 1**: Enter the entity's residential address • **City**: Enter the city in which the entity resides. • **State**: Enter the state in which the entity resides. • **Country**: From the drop-down list, select the country where the entity resides. • **Postal Code**: Enter the postal code of the city where the entity resides. Click **Add Another Address** to add another address details for the entity. **Note**: If you want to delete the additionally added address details, then click **Delete** icon which appears on the field.

3. Click **Screen**. It displays the screened watchlist records for the entity.

OR

Click **Screen and Create Case**. It generates case based on the configuration and displays the screened watchlist records for the entity.

9.4 Screening Results for Individual and Entity

This topic provides information about screening results based on the Individual or Entity screen type.

On the **Screening History** tab, click **View Matches**. The following details are displayed:

• **Create Case**: Users can create a case after analyzing the screened watchlist records.

> ⓘ **Note**
>
> The **Create Case** button displays only when you performed screening on the **Select an Individual or Entity to screen** page.

- **Individual/Entity Details**
  - **Jurisdiction**: Displays the jurisdiction to which the Individual/Entity belongs.
  - **Business Domain**: Displays the business domain to which the Individual/Entity belongs.
- **Prospect Details**: In this pane, displays the Individual/Entity details which was provided by the user on the **Select an Individual or Entity to screen** page.
- **Watchlist Messages**: In this pane, displays the watchlist messages based on the screened type (Individual/Entity).
  - Click **View All matches** link to view Match Details pane. You can view the Match Quality, Prospect Details and Watchlist Details in a detailed manner.
- **Show Watchlist Events**: By default, it displays all the watchlist events. You can filter watchlist events using the **Show Watchlist Events** drop-down list.

9.5 Screening and Creating Case Results for Individual and Entity

This topic provides information about screening and creating case results based on the Individual or Entity screen type.

On the **Screening History** tab, click **View Matches**. You can view the following:

- **Individual/Entity Details**
  - **Case**: Displays the unique case identification number.
  - **Jurisdiction**: Displays the jurisdiction to which the Individual/Entity belongs.
  - **Business Domain**: Displays the business domain to which the Individual/Entity belongs.
  - **Status**: Displays the case status.
  - **Case Type**: Displays the case type for Customer Screening.
  - **Due**: Displays the due date by which action must be taken on the case.
  - **Assignee**: Displays the user which is currently assigned to.
- **Prospect Details**: In this pane, displays the Individual/Entity details which was provided by the user on the **Select an Individual or Entity to screen** page.
- **Watchlist Messages**: In this pane, displays the watchlist messages based on the screened type (Individual/Entity).
  - Click **Event ID** to view Event Details pane. You can view the Match Quality, Prospect Details and Watchlist Details in more detail.
  - The case details are displayed.
- **Show**: By default, it displays all the events and all the watchlist events. You can filter the events using the **All Events** drop-down list and watchlist events using the **Show Watchlist Events** drop-down list.

- **Sort By**: You can sort watchlist details using the **Sort By** drop-down list. The available options are **Event ID**, **Auto Elimination**, **Match Quality**, **Watchlist** and **Watchlist Subtype**.

Investigating Case

If you want to investigate the case, follow these steps:

1. Copy the newly created **Case ID** from the **Case for <Individual/Entity>** page.

2. Navigate to **Investigation Hub** page which is listed under **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** module.

3. On the Case List page, search the copied Case ID in the **Search Report** field and press **Enter**.

4. Click **Case ID** link to view the Case Summary page. For more information on investigating the case, see the Investigating CS Cases section.

5. To take an action on the case, see the Acting on Cases section.

> ⓘ **Note**
>
> The AI Investigator is not applicable for the **Auto Eliminated** and **Auto-Closed** events.

9.6 Printing Receipt

To save the screened cases to a PDF:

1. On the **Select an Individual or Entity to screen** page, select a type and provide the required details for screening.

2. Click **Screen**.

   All the cases matching the criteria are listed.

3. To download all the cases to a PDF, click **Print Receipt** and save the file in a local repository.

10
About Currency Transaction Report

As part of Regulations and Compliances, organizations are required to perform appropriate analysis and report any suspicious activities which may lead to fraud or money laundering within the institution to the regulatory authorities. These regulatory bodies are responsible for safeguarding financial institutions and consumers from abuse, providing transparency in the country's financial system, enhancing that country's security, and deterring and detecting criminal activity in the financial system.

Currency Transaction Reporting (CTR), which currently applies only for Currency Transaction Reports in the United States, is a robust solution developed to meet operational and regulatory requirements of the Financial Crimes Enforcement Network (FinCEN). This product helps minimize repetitive data entry and supports parallel processing of Currency Transaction Reports. CTR also helps in reducing the process cycle time using STP (Straight Through Processing) and accommodates FinCEN compliance and real time environmental changes. This product automates the workflow, analysis and report production and offers integration capabilities with internal and external systems thereby improving the operational efficiency.

CTR supports the e-filing of cash transactions that are greater than $10,000 or multiple transactions that aggregate to greater than $10,000. The Currency Transaction Reports are created either at the branches or through the end of day files, where CTR aggregates multiple transactions performed at the branch, ATMs and Vaults. In addition, this application also captures and reports Monetary Instrument Purchases.

10.1 Creating a Currency Transaction Report

To create a currency transaction report:

1. Enter URL in the web browser.

2. The **Oracle Cloud** login page is displayed.

3. Enter your **User Name** and **Password**.

4. Click **Sign In**. The Applications landing page is displayed.

5. Click **Application Navigation** icon at the top left corner and the **Navigation List** displays the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** module.

6. Click **Application** and then click **iHUB Currency Transaction Reporting**. The **CSRT Landing Page** is displayed.

7. Click **Create Report**.

8. Provide a **Focal Entity**, select a **Focal Entity Type**, **Jurisdiction**, and **Domain** from the drop-down menus.

> ⓘ **Note**
>
> If the **Jurisdiction** or **Domain** details are not loading, navigate to **Application Security Administration** and then **Security Mappings** to add the required jurisdictions, domains, case types and reports for that logged in user.

9. Click **Continue**.

   All the cash related transactions are listed for selection.

10. Based on your requirement, select the duration of transactions from the **Look Back Period(in Days)** drop-down menu.

    You can select transactions reported for the following durations:

    • 1

    • 30

    • 60

    • 120

    • 180

    You can also search for transactions based on any column value (for example, transaction id, or customer name and so on) and select a duration from the **Look Back Period(in Days)** on the **Create CTR** page.

11. Select one or multiple transactions to add to the report and click **Continue**.

    You get a notification with the name of the reports, if the selected transaction is part of other reports.
    Use the search bar to filter the transactions.

    > ⓘ **Note**
    >
    > If the selected transactions are part of another report, the report names are displayed. Hence, remove the transaction from the report or ensure that you close the report and then proceed with this new report.

12. Click **Continue**.

    The summary page is displayed with general details provided for creating the report.

13. Review the details and click **Create CTR**.

    The report is created with status as **New**.

10.2 Preparing Reports for E-Filing

Analyst User
The following actions are available for an Analyst user:

• Cancel Filing - select this option to cancel the efiling of this report.

• Request for Approval - select this option to send this report for approval for efiling.

• Assign - select this option to assign the CTR to the logged in analyst user.

• Change Due Date - if the report is assigned to the logged in user you can select this option to change the due date of the report.

Supervisor User

The following actions are available for a Supervisor user:

- Cancel Filing - select this option to cancel the efiling of this report.
- Approve - select this option to approve this report for efiling.

After viewing and closing errors in the report, you can perform the following actions on a report:

> ⓘ **Note**
>
> A supervisor user can reject the report created by an analyst.

1. On the CTR List page, click the report id.

   The details of the report is displayed on the **Validation Errors**.

2. On the **Validation Errors** tab, click on each error or warning and take an appropriate action to close the error.

3. Click **Take Action**.

   The **CTR Decision** page is displayed.

4. Select an action and provide your comments and click **Submit**.

   If required, you can also set a due date for the report.

> ⓘ **Note**
>
> The set due date is applicable for Reopen and Reopen Back filing of Report.

10.3 Managing reports

This section describes all the actions you can take on reports.

10.3.1 Viewing CTR Cases

This topic provides information about viewing Currency Transaction Reporting cases. View the CTR List page with details about report priority, report id, focal entity, focal entity type, status, filing type, TIN number, date when the report got created, date when the transaction was reported, cash in and cash out amount.

- Click **iHUB Currency Transaction Reporting**. The **CTR Landing Page** is displayed.

10.3.2 Updating Assignee

You can assign a report to any user:

1. Select a report and click **Assign**.

   Or

   Open a report and click **More Actions** and then click **Assignee**.

   The **Update Assignee** page is displayed.

2. Select a user from the **Assignee** drop-down menu.

3. Provide comments, if any.

4. Click **Assign**.

   The report is assigned to the selected user.

10.3.3 Changing due date for reports

To change the due date for a report:

1. Open a report and click **More Actions** and select **Change Due Date**.

   OR
   Select multiple reports from the **Reports** tab and click **Change Due Date** button.

   The **Update Due Date** page is displayed.

2. Select a due date from the calender.

3. Provide comments, if any.

4. Click **Submit**.

   The due date is updated on the summary page.

10.3.4 Uploading Evidence

To upload an evidence for the report:

1. Click **More Actions** and select **Evidence**.

   The **Evidence** page is displayed.

2. Either drag and drop the file or browse and select the file from your system, provide your comments and click **Upload**.

10.3.5 Deleting Evidence

To delete an uploaded evidence:

1. Click **More Actions** and select **Evidence**.

   The **Evidence** page is displayed.

2. Click the delete icon against the evidence you want to delete.

10.3.6 Validating event errors in report

To fix an event error for a transaction:

1. Click an event against the error.

> ⓘ **Note**
>
> Now the XSD errors are also listed in the **Validation Errors** tab. Click the error to view the details.

2. Provide the required details and comments.

3. Click **Save and Validate**.

10.3.7 Adding or removing transactions in report

To add or remove transactions from a report:

1. Click a report.

The report's **Validation Errors** page is displayed.

2. Click the **Transaction** tab and then click **Add Transaction**.

The list of transactions are listed for selection.

3. Select the required transactions or clear the selection against a transaction and then click **Save**.

The transaction list is updated.

10.3.8 Editing transaction in report

To edit a transaction added to a report:

1. Click a report.

The report's **Validation Errors** tab is displayed.

2. Click the **Transaction** tab and then click the edit icon against a transaction.

The Edit Transaction page is displayed.

3. Edit the details of the transaction as required, provide your comments and click **Save**.

The transaction is updated with the changes.

10.3.9 Adding or removing people in report

To add or remove a person involved in a transaction:

1. Click the **Persons Involved** tab.

All the people involved in the transactions along with their details are displayed.

2. (Optional) To add a person, click **Add Persons Involved**.

a. Based on the type of person you want to add select Customer or Conductor.

The **Select from existing records to add persons involved** is displayed.

b. Search for the person you want to add and select the transaction that the person is part of.

> ⓘ **Note**
>
> When there are more than five million records, the search may take more time for displaying the results.

c. Click **Continue**.

> d. In the **Select Transaction** page, select the role of the person and the transaction you want to add as part of the report and click **Save**.
>
>   The person details are added in the **Persons Involved** tab.

3. (Optional) To remove a person from the report, click the delete icon against the person section.

-   Click **Remove** in the confirmation page.

    The person's details are removed in the **Persons Involved** tab.

10.3.10 Viewing people involved in transaction

To view a person's details who is involved in the transaction:

1. Click the **Persons Involved** tab.

    The people involved in the transaction are displayed.

2. Click the name of the person. All the details of the person is displayed.

10.3.11 Editing person details

To modify a person's details:

1. Click the **Persons Involved** tab.

    The people involved in the transaction are displayed.

2. Click the **Edit** button against a person.

    The **Edit Persons Involved** page is displayed.

3. Updated the required details, provide your comments and click **Save**.

    The updates are reflected on the person's section.

10.3.12 Viewing and changing financial institution

To view and change the parent financial institution:

1. Click the **Financial Institutions** tab.

    The parent financial institution and the financial institutions involved in these transactions are listed.

2. (Optional) To change the parent financial institution, click **Change Parent**.

    The **Change Parent FI** page is displayed.

3. Select a financial institution from the drop-down menu, provide your comments and click **Save**.

    The parent financial institution is updated.

10.3.13 Viewing CTR Summary

This page displays the summary of Currency Transaction Reporting (CTR) case.

To view the summary of a CTR:

1. Click a report.
   The report's **Validation Errors** tab is displayed.

2. Click More Actions and click **CTR Summary**.
   The CTR Summary page is displayed with details of overview, people, financial institutions and accounts involved in the transactions that are part of the case.

10.3.14 Viewing the Audit History for CTR

When you update anything on a Currency Transaction Report, these changes are recorded and listed in the Audit History page. To view the audit history for a CTR:

- Click More Actions and click **Audit History**.

  The Audit History page is displayed.

10.3.15 Deleting transaction from report

To delete a transaction from the report:

1. Click the **Transaction** tab and then click the delete icon against a transaction.

2. In the confirmation screen click **Delete**.

   The transaction is removed from the report.

> ⓘ **Note**
>
> Ensure that minimum of one transaction is part of the report.

10.4 E-Filing

By default, the **Reports** tab and inside this the **To be prepared for E-Filing** tab is displayed. All the new, open, reopen, and rejected reports are listed in the **To be prepared for E-Filing** tab.

After a report is approved, the report is moved to the **Ready for E-Filing** tab.

Prerequisites: Ensure that the reports are closed without any errors.

1. Click the **Ready for E-Filing** tab.

   All the approved reports for E-Filing are listed here.

2. Select the reports and click **Create E-Files**.

> ⓘ **Note**
>
> You can select one or multiple reports for E-Filing.

> ⓘ **Note**
>
> You can also generate the E-File from the report. Open the report, and click **Take Action** and select the **Efile Generation** option.

The E-File is generated successfully with the file number and lists the CTR reports included in this E-Filing.

3. You can now download the E-File or close the pop-up window.

    If you download the E-File, a `.XML` file is downloaded.
    After the E-Filing report is generated, the reports are moved to the **E-Filed Reports** tab.

4. To view the details of the E-Filing report, click the **E-File Documents** tab.

5. To download the E-File report, click the download icon against the E-File report in the **E-File Documents** tab.

> ⓘ **Note**
>
> Ensure that you download the E-File report and upload it in FinCEN's.

After uploading the E-File report in FinCEN's, move the E-File report to **Filed** status.

6. To move the E-File report to **Filed** status:

    a. Click the **E-File Documents** tab.

    b. Search for the E-File report.

    c. Click the **Filed** button against the E-File report.

    d. Click **Yes** in the confirmation screen.

    After the E-File report is filed, ensure that you upload the response.

7. To upload the response for the E-File:

    a. Click the **E-File Documents** tab.

    b. Search for the E-File report.

    c. Click **Upload Response** against the E-File report.

       The **Upload Regulator's Response** page is displayed.

    d. Provide the acknowledgment tracking number and date when the acknowledgment was received.

    e. Add the acknowledgment file in the **Drag and Drop** field.

    f. To save the acknowledgment file, click **Save and Parse**.

       After the E-File is filed, the status of the E-File is updated to either one of the following based on the acknowledgment:

       - Filed-Success

       - Filed-Sucessfully with Error

       - Filed-Rejected

> ⓘ **Note**
>
> You can download the error message to check for the errors.

After the report is filed, reports with status such as Filed, Filed with Success, Filed success with error, and Efile Generated are moved to the **Closed** tab that is available in **Reports** tab.

If the status of the report is **Filed - Successfully with Error**, then ensure that you rectify the errors and resubmit the report to FinCEN.
You can reopen the following CTRs for supervisors and analyst users if they are in the following status:

- Closed-Superseded

- Closed-Exempted

- Closed -Adjusted CTR

10.4.1 Viewing errors after E-Filing

When the CTR status is **Filed - Successfully with Errors** then, you can view these errors by:

1. Click **iHUB Currency Transaction Reporting**. The **CTR Landing Page** is displayed.

2. Click the **E-File Documents** tab, and search for the report with **Filed - Successfully with Error**.

3. Click the E-File ID link to view the report details.

4. To view the errors in the report, click the link in **Errors Found** column.

   The errors page as acknowledged by FinCEN is displayed with details like error code, error location, error description and error type.

10.4.2 Correcting or Amending CTR from E-Filing Tab

1. Click the **E-File Documents** tab and click the E-File ID having the report that has to be rectified.

> ⓘ **Note**
>
> You can correct or amend a report whose status is either **Filed - Successfully** or **Filed - Successfully with Error**.

2. Click the **E-File ID** link.

   The Review and Transmit 1 CTR(s) to FinCEN page is displayed.

3. To correct the report, click the **Correct/Ammend CTR** against the report.

   The Correct/Amed CTR page is displayed.

> ⓘ **Note**
>
> You can take the **Correct/Amend CTR** action only once on a report.

4. Select an assignee from the **Select Assignee** drop-down menu and provide your comments.

Correcting or Amending CTR from CTR page

To correct or amend a report from CTR page:

5. Click the report available in the **Reports** tab and under the **E-Filed Reports** tab.

    The CTR page is displayed.

6. Click the report id.

    The CTR page is displayed.

> ⓘ **Note**
>
> You can correct or amend a report whose status is either **Filed - Successfully** or **Filed - Successfully with Error**.

7. Click **Take Action**.

    Only the **Correct/Amend CTR** status is available for the report.

8. Provide your comments and click **Submit**.

9. To confirm, click **OK**.

> ⓘ **Note**
>
> You can take the **Correct/Amend CTR** action only once on a report.

This report becomes the parent report and a copy of this report is created with a new report id with status as new and type as Correct/Amend Report.

10. To save your changes, click **Submit**.

    This report becomes the parent report and a copy of this report is created with a new report id with status as open and type as Correct/Amend Report.

A

Using Interactive Reports

Interactive reports enable end users to customize reports.

The key features of the interactive reports are:

- Users can alter the layout of report data by selecting columns, applying filters, highlighting, and sorting.
- Users can also define breaks, aggregations, charts, group by, and add their own computations.
- Users can also set up a subscription so that an HTML version of the report will be mailed to them at a designated interval.
- Users can create multiple variations of a report and save them as named reports.

A.1 Using Select Columns To Search Icon

The Select columns to search icon displays to the left of the Search Report.

Click **Select columns to search** icon to display a listing of all columns in the current report.

To search specific columns, follow these steps:

1. Click **Select columns to search** icon and select a column.
2. Enter keywords in the search bar.
3. Deselect the **filter** check box to remove the searched column.
   - Click **Remove Filter** icon to delete the filter.

A.2 Using Search Report

This search report enables you to enter case-insensitive search criteria (wild card characters are implied).

A.3 Using Actions Menu

Customize an interactive report by selecting options on the Actions menu.

A.3.1 Selecting Columns to Display

Customize a report to include specific columns.

To use the select Columns option, follow these steps:

1. Click **Actions** menu and select **Columns**. The Select Columns page is displayed.
2. Select the columns you want to move.

---

3. Click **Move All**, **Move**, **Remove**, and **Remove all** arrows to move a column from Do Not Display to Display in the report.

   - To select multiple columns at once, press and hold the **CTRL** key.

4. Click **Reset** icon to reset the columns.

5. Click **Top**, **Up**, **Down**, and **Bottom** arrows on the right to change the order of the columns.

6. Click **Apply**. A revised report is displayed.

A.3.2 Adding a Filter

This topic describes how to create row and column filters on the interactive report.

About Creating Filters

You can create a filter on an interactive report using the Actions menu to create or modify a column or row filter. Users can create two types of filters to search or narrow down the report data as follows:

- **Column**: Creates a simple filter based on a column.

- **Row**: Creates a complex filter that allows multiple filter conditions, including column alias names and any Oracle functions, operators, or expressions.

For example, a Row filter could contain an OR operator or AND operator.

A.3.3 Using Data Option

Users can customize case data using data option.

A.3.3.1 Selecting Sort Order

Users can specify the column display sort order (ascending or descending), by selecting Sort on the Data submenu.

You can also specify how to handle NULL values. Using the default setting always displays NULL values last or always displays them first.

To sort by column, follow these steps:

1. From the **Actions** menu, select **Data**, and then select **Sort**. The Sort page is displayed.

2. Select a **Column**, **Direction** (Ascending or Descending), and **Null Sorting** (Default, Nulls Always Last, and Nulls Always First) from the drop-down list.

3. Click **Apply**. A revised report is displayed.

A.3.3.2 Defining an Aggregation

Aggregates are mathematical computations performed against a column. Aggregates display after each control break and are defined at the end of the report within the column.

To create an aggregation against a column, follow these steps:

1. From the **Actions** menu, select **Data**, and then select **Aggregate**. The Aggregate page is displayed.

2. Select **New Aggregation** from the drop-down list.

3. Select **Function** and **Column** from the respective drop-down list.

4. Click **Apply**. A revised report is displayed. The computation appears at the bottom of the last page of the report.

   To delete an aggregation against a column, follow these steps:

   • In the **Aggregation** drop-down list, select the previously defined aggregation.

   • Click **Delete**. The selected aggregation is removed.

A.3.3.3 Computing Columns

This option enables you to add computed columns to your report.

These can be mathematical computations (for example, NBR_HOURS/24) or standard Oracle functions applied to existing columns. Some display as examples and others (such as `TO_DATE`) can also be used).
To create the computation, follow these steps:

1. From the **Actions** menu, select **Data**, and then select **Compute**. The Compute page is displayed.

2. Select **New Computation** from the drop-down list.

3. Enter the name of the new column to be created in the **Column Label** field.

4. Select an Oracle format mask to be applied to the new column from the **Format Mask** drop-down list.

5. Select a column to add the **Column Aliases** in the computation expression.

6. Select a shortcut for commonly used keys in the **Keypad**.

7. Select the required **Function / Operators**.

   The following example computation demonstrates how to display total compensation:

   ```
   CASE WHEN A = 'SALES' THEN B + C ELSE B END
   ```

   (where A is ORGANIZATION, B is SALARY and C is COMMISSION)

8. Click **Apply**. The revised report appears with the new column.

   To delete the computation, follow these steps:

   • From the **Actions** menu, select **Data**, and then select **Compute**. The Compute page is displayed.

   • In the **Computation** drop-down list, select the previously created computation.

   • Click **Delete**. The selected computation is removed.

A.3.3.4 Executing a Flashback Query

A flashback query enables you to view the data as it existed at a previous point in time.

To run a flashback query, follow these steps:

1. From the **Actions** menu, select **Data**, and then select **Flashback**. The Flashback page is displayed.

2. Enter the number of minutes in the **Flashback Duration** field.

> ⓘ **Note**
>
> The default amount of time you can flashback is **180 minutes**, but the actual minutes will differ for each database.

3. Click **Apply**. The revised report appears with the executed query.

   To delete a flashback query, follow these steps:

   • Click **flashback query** filter. The Flashback page is displayed.

   • Click **Delete**. The executed query is removed.

A.3.4 Using Format Option

Users can format case data by using the format option.

A.3.4.1 Creating a Control Break

You can create a break group for one or several columns. This pulls the columns out of the interactive report and displays them as a master record.

To create the break group, follow these steps:

1. From the **Actions** menu, select **Format**, and then select **Control Break**. The Control Break page is displayed.

2. Select the required option from the **Column** drop-down list.

3. Select the required option from the **Status** drop-down list. The available options are:

   • **Enabled**: This is for creating the control break for the selected column.

   • **Disabled**: This is for removing the control break for the selected column.

4. Click **Apply**. The revised report displays.

   To remove the break group, deselect the **Control Break** check box to remove the group.

A.3.4.2 Adding Highlight

This option enables you to define a filter. The rows that meet the filter criteria are display as highlighted using the characteristics associated with the filter.

To add the highlight, follow these steps:

1. From the **Actions** menu, select **Format**, and then select **Highlight**. The Highlight page is displayed.

2. Enter the numeric value in the **Sequence** field to identify the sequence in which highlighting rules are evaluated.

3. Enter **Name** of this filter.

4. Select the required option from the **Highlight Type** drop-down list. The options are **Row** and **Cell**.

5. To enable this option, move toggle button to the right.

6. Select a new color for the background of the highlighted area in the **Background Color** field.

7. Select a new color for the text of the highlighted area in the **Text Color** field.

You can view the applied background and text color in the Preview field.

8. Select the **Column**, **Operator**, and **Expression** from the respective drop-down list.

9. Click **Apply**. The revised report displays.

To remove the highlight, deselect the **Highlight** check box to remove the highlight.

A.3.4.3 Formatting Rows Per Page

Users can set the number of records to display per page.

To create the row per page, follow these steps:

1. From the **Actions** menu, select **Format**, and then select **Rows Per Page**. The Rows Per Page are displayed.

2. Select the number to display the records per page.

A.3.5 Using Chart

Users can define one chart per saved report. Once defined, you can switch between the chart and report views using view icons on the Search bar.

To create the chart, follow these steps:

1. Click **Actions** menu and select **Chart**. The Chart page is displayed.

2. Select / Enter the fields as described in the following table.

Table A-1   Chart - Fields and Descriptions

Field	Description
Chart Type	Select the type of chart that you want to create. The options are Bar, Line with Area, Pie, and Line.
Label	Select the column from the drop-down list.
Axis Title for Label	Enter the title to display on the axis associated with the column selected for Label. **NOTE**: This field is not applicable for the pie chart.
Value	Select the column from the drop-down list to be used as the Value. If your function is a COUNT, a Value need not to be selected.
Axis Title for Value	Enter the title to display on the axis associated with the column selected for Value. **NOTE**: This field is not applicable for the pie chart.
Function	Select a function from the drop-down list to be performed on the column selected for Value. **NOTE**: This field is optional only.
Orientation	Select the orientation from the drop-down list. The options are Horizontal and Vertical. **NOTE**: This field is optional only.
Sort	Select the sorting method from the drop-down list.

3. Click **Apply**. The chart is displayed.

> **ⓘ Note**
>
> The Search bar contains **View Report** and **View Chart** icons. Click these icons to toggle between report and chart views.

A.3.6 Using Group By

Group sets of results by one or more columns with Group By, then perform mathematical computations against the columns.

Once defined, you can switch between the Group By and Report using view icons on the Search bar.
To create the group by, follow these steps:

1. Click **Actions** menu and select **Group By**. The Group By page is displayed.

2. Select / Enter the fields as described in the following table.

Table A-2   Group By - Fields and Descriptions

Field	Description
Group By	Select the column to be grouped from the drop-down list.
Add Group By Column	Click Add Group By Column to add another column to be grouped.
Function	Select the Function from the drop-down list.
Column	Select the column from the drop-down list.
Label	Enter the label of the column.
Format Mask	Select the Format Mask from the drop-down list.
Sum	Move the toggle button to the right to enable the Sum option.
Add Function	Click Add Function to add another function.

3. Click **Apply**. The View Group By page is displayed.

The Search bar now contains **View Report** and **View Group By** icons. Click these icons to toggle between report and Group By views.

A.3.7 Using Pivot

Pivot reports transpose rows into columns to generate results in a cross-tab format.

Select pivot columns and rows and then provide the functions to be represented in the pivot report. Once created, pivot reports display a new icon on the search bar.
To create the pivot, follow these steps:

1. Click **Actions** menu and select **Pivot**. The Pivot page is displayed.

2. Select / Enter the fields as described in the following table

Table A-3   Pivot - Fields and Descriptions

Field	Description
Pivot Column	Select the Pivot column from the drop-down list.
Add Pivot Column	Click Add Pivot Column to add another pivot column.
Row Column	Select the Row Column from the drop-down list.

Table A-3   (Cont.) Pivot - Fields and Descriptions

Field	Description
Add Row Column	Click Add Row Column to add another Row column.
Functions	Select the Function from the drop-down list.
Column	Select the column from the drop-down list.
Label	Enter the label of the column.
Format Mask	Select the Format Mask from the drop-down list.
Sum	Move the toggle button to the right to enable the Sum option.
Add Function	Click Add Function to add another function.

3. Click **Apply**. The Pivot page is displayed.

   The Search bar now contains **View Report** and **View Pivot** icons. Click these icons to toggle between report and pivot views.

A.3.8 Using Report

Users can save the customized report using the Save Report option.

About the Report List
You can view different versions of an interactive report by selecting from the Reports drop-down list. The options are:

- **Default (Primary Report)**: This is the initial report created by default and it cannot be renamed or deleted.

- **Private Report**: This is a Private report. Only the user who creates a private report can view, save, rename or delete it.

To save the report, follow these steps:

1. From the **Actions** menu, select **Report**, and then select **Save Report**. The Save Report page is displayed.

2. Enter the **Name** of the report.

3. Enter the **Description** of the report. This field is optional only.

4. Click **Apply**. The customized report page is displayed.

A.3.9 Downloading Report

Users can download or send an Email the reports in various formats such as CSV, HTML, Excel, and PDF.

To download or send an email for interactive report, follow these steps:

1. Click **Actions** menu and select **Download**. The Download page is displayed.

2. Select the report format. The options are **CSV**, **HTML**, **Excel**, and **PDF**.

3. Click **Download** to download the report.

If **Send as Email** option is enabled, then follow these steps:

1. Select the report format. The options are **CSV**, **HTML**, **Excel**, and **PDF**.

2. Enter the recipient mail id in the fields (To, Cc, Bcc).

3. Enter the **Subject** and **Body** of the Email.

4. Click **Send** to send report.

To download the report in **PDF** format, follow these steps:

1. Select the option from the **Page size** drop-down list.

2. Select the option from the **Page Orientation** drop-down list.

3. Enable the **Include Accessibility Tags** toggle switch to enable the document to be read aloud by a screen reader and other text-to-speech tools (this increases the PDF file size).

4. Click **Download** to download the PDF report.

A.3.10 Subscribing Updated Report through an Email

Users can subscribe with your email id to receive an email when the reports are updated.

To receive an email for the updated reports, follow these steps:

1. Click **Actions** menu and select **Subscription**. The Subscription page is displayed.

2. Select the report format. The options are **CSV**, **HTML**, **Excel**, and **PDF**.

3. Enter **Email Address** to receive the report.

> ⓘ **Note**
>
> For the multiple email addresses, separate them with a comma.

4. Enter **Subject** of the Email.

5. Select the option from the **Frequency** drop-down list. The options are **Daily**, **Weekly**, and **Monthly**.

6. Enable **Skip if No Data Found** toggle switch to skip the report when the data is unavailable.

7. Select the start date and time on the **Calendar** icon.

8. Select an end date and time on the **Calendar** icon.

9. Click **Apply**. You will get a report through an email when the report is updated.