

# Oracle® FCCM Know Your Customer Cloud Service Administration Guide



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The Oracle logo, consisting of a solid red square with the word "ORACLE" in white, uppercase, sans-serif font centered within it.

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## 2 Integrating KYC with External Case Management System

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# Preface

*Using Know Your Customer Administration* describes how to configure various parameters available on the Know Your Customer Administration screen.

## Audience

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

## Help

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## Related Resources

For more information, see these Oracle resources:

- 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   |
|-----------------|---|
| <b>boldface</b> | Boldface type indicates graphical user interface elements associated with an action, or terms defined in text or the glossary.          |
| <i>italic</i>   | 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. |

## Comments and Suggestions

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# 1

## Know Your Customer Administration

Use Know Your Customer Administration to define the following parameters:

- [Age of Incorporation Configuration](#)
- [CIP Verified Status Configuration](#)
- [Custom Risk Indicator](#)
- [Jurisdiction Pipeline Mapping](#)
- [KYC System Parameters](#)
- [Length of Relationship Configuration](#)
- [Periodic Review Assessment Configuration](#)
- [Reasons for Case Creation](#)
- [Relationship Type Assessment Mapping](#)
- [Risk Category Configuration](#)
- [Risk Dimension](#)
- [Risk Element Configuration](#)

 **Note**

The [Relationship Type Assessment Mapping](#) must be performed for the assessment mapping and case creation to happen.

To access the administration:

1. In your web browser, enter the application URL to open the **Oracle Cloud Account Sign In** page.
2. On the sign-in page, enter your username and password to log in to the **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** home page.  
After you sign in, the **Applications**, **Application Administration**, and **Business Processes** tiles are displayed.
3. Select **Application Administration**. The **Application Administration** page is displayed.
4. Select **Know Your Customer Administration**. The **Know Your Customer Administration** page is displayed.

You can either add a new configuration or edit an existing configuration. There are two ways to add configurations:

1. To add a record, click **Add**  and save the record. The new record appears on the UI grid.

The bottom of the screen displays the read-only configured Master Data values if available. You can click the **First**, **Previous**, **Next**, and **Last** icons to navigate through the records. You can click the **Records Per Page** text-box and enter the number of records to display.

- To edit a record, select the record, click **Edit** , and then save the record.

#### Note

The Parameter name values are consumed by other screens like KYC Risk Assessment and KYC Case Type, and they do not remain the same as given during the configuration or batch execution or assessment creation or case creation. However, the Parameter values are updated as they are updated on the Know Your Customer Administration page. You will see the updated values as of date.

- Export the configured data from a specific environment, add values in the applicable columns, or add a new row and provide values in the applicable columns. Upload the file to another environment. You cannot change the structure of the file.

## 1.1 Age of Incorporation Configuration

Age of Incorporation is used as a risk attribute for risk assessment of Legal Entity customers.

The duration of the Age of Incorporation (in years) is computed based on the Date of Incorporation field for prospects and existing customers. Use Age of Incorporation to set the age ranges for an organization. The duration of the Age of Incorporation is based on the value provided in the Date of Incorporation field in [Onboarding JSON](#).

### 1.1.1 Adding a Record

Use the Age of Incorporation window to add a new record.

To add a record:

- Click **Add Age of Incorporation**  to open the Add Age of Incorporation window.
- Enter the values as mentioned in the following table.

**Table 1-1 Fields and Description - Age of Incorporation**

| Fields      | Description   |
|-------------|---|
| Code        | Enter a unique Age of Incorporation code for master data. Valid values are Alphanumeric and underscore with maximum length of 30.   |
| Name        | Enter the display name for the Age of Incorporation. This name is available for selection as part of configuring KYC risk-scoring model. The maximum allowed length is 255. |
| Start Range | Enter the duration in years from the Date of Incorporation of the entity.   |
| End Range   | Enter the duration in years from the start range till the time when the entity continues to operate.  |

**Note**

All the fields are mandatory.

3. Click **Save** and click **OK** to save the record. A new record appears on the Age of Incorporation grid.
4. Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.1.2 Editing a Record

To edit a record:

1. Select the check box in line with the record you want to edit.
2. Click **Edit Age of Incorporation**  to open the Edit window.
3. Edit the required fields.
4. Click **Save** and click **OK** to save the record.
5. Click **Reset** and click **OK** if you want to reset the fields to previously saved values.

## 1.1.3 Exporting or Importing Records

To export or import records:

1. Click **Export Age of Incorporation**  to download all records in the selected menu.  
A json file will be downloaded to local system.
2. Click **Import Age of Incorporation**  and select the Json file. Uploading the file displays the records on the **Age of Incorporation** grid.

## 1.2 CIP Verified Status Configuration

A Customer Identification Program (CIP) is a regulatory requirement that requires Financial Institutions to verify the identities of their customers. A CIP verified status means that the customer has passed the verification process.

### 1.2.1 Adding a Record

Use the CIP Verified Status window to add a new record.

To add a record:

1. Click **Add CIP Verified Status**  to open the Add CIP Verified Status window.
2. Enter the values as mentioned in the following table.

**Table 1-2 Fields and Description - CIP Verified Status**

| Fields | Description   |
|--------|---|
| Code   | Enter the status code.<br>Valid values are Alphanumeric and underscore with maximum length of 30. |
| Name   | Enter the status name.<br>The maximum allowed length is 255.                                      |

**Note**

All the fields are mandatory.

3. Click **Save** and click **OK** to save the record. A new record appears on the CIP Verified Status grid.
4. Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.2.2 Editing a Record

To edit a record:

1. Select the check box in line with the record you want to edit.
2. Click **Edit CIP Verified Status**  to open the Edit CIP Verified Status window.
3. Edit the required fields.
4. Click **Save** and click **OK** to save the record.
5. Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.2.3 Exporting or Importing Records

To export or import records:

1. Click **Export CIP Verified Status**  to download all records in the selected menu.  
A JSON file will be downloaded to local system.
2. Click **Import CIP Verified Status**  and select the JSON file. Uploading the file displays the records on the **CIP Verified Status** grid.

## 1.3 Custom Risk Indicator

Custom Risk Indicator is used to define various risk indicators based on the activity of the customers across transaction types like cash transactions, online transactions, wire transfers, and so on. These risk indicators can be used for KYC risk scoring as part of KYC Daily Batch Execution. Using the Search bar, you can search for a Custom Risk Indicator by Risk Element Mapping Code and Name. You can add your own Custom Risk Parameter as part of KYC Risk Assessment policy by extending the KYC specific business data model (Customer/Account) using Data Model Extension.

## 1.3.1 Adding a Record

Use the Add Custom Risk Indicator window to add a new record.

To add a record:

1. Click **Add Custom Risk Indicator** 
2. Enter the values as mentioned in the following table.

**Table 1-3 Fields and Description - Add Custom Risk Indicator**

| Fields                  | Description  |
|-------------------------|--|
| Risk Indicator Category | Select a risk indicator category from the list: <ul style="list-style-type: none"> <li>• Data Model Extension</li> <li>• Transaction Risk Indicator</li> <li>• Business Tables</li> </ul>  |
| Table Name              | <p>This field is displayed when Risk Indicator Category is <b>Data Model Extension</b> or <b>Business Tables</b>.</p> <p>Select a table from the list (Data Model Extension):</p> <ul style="list-style-type: none"> <li>• KYC Account Dimension Extension</li> <li>• KYC Customer Dimension Extension</li> </ul> <p>Select a table from the list (Business Tables):</p> <ul style="list-style-type: none"> <li>• KYC Customer Country Relation</li> <li>• KYC Customer Dimension</li> <li>• KYC Customer Phone</li> <li>• KYC Customer Address</li> <li>• KYC Customer Email Address</li> <li>• KYC Customer Anticipatory Profile</li> <li>• KYC Customer Product</li> <li>• KYC Customer ID Documentation</li> <li>• KYC Account Dimension</li> <li>• KYC Customer Custom Attribute</li> <li>• KYC Customer Operating Economic Zone</li> <li>• KYC Customer Attribute</li> <li>• KYC Account-Customer Account Map</li> </ul> |
| Risk Indicator Pipeline | <p>Lists the KYC Scenario pipelines and other copied transaction pipelines. Select a risk indicator pipeline from the list.</p> <p>This field is displayed when Risk Indicator Category is <b>Transaction Risk Indicator</b>.</p> <p>For example: KYC Transaction Based Risk Factors.</p>  |

**Table 1-3 (Cont.) Fields and Description - Add Custom Risk Indicator**

| Fields                  | Description  |
|-------------------------|--|
| Field Name              | <p>You add the columns for Data Model Extension and Transaction Risk Indicator using the Data Model Extension and Risk Element Configuration screens. You can select risk indicators which are inside the pipeline. Select a Field Name from the list.</p> <p>When Risk Indicator Category is <b>Transaction Risk Indicator</b>, this field is dynamically populated based on <b>Risk Indicator Pipeline</b> selected.</p> <p>For example: KYC Transaction Based Risk Factors</p> <p>When Risk Indicator Category is <b>Data Model Extension</b> or <b>Business Tables</b>, <b>Field Name</b> is dynamically populated based on <b>Table Name</b> selected.</p> <p>For example: KYC Customer Dimension Extension or KYC Customer Address.</p>  |
| Filter By               | <p>The Filter By checkbox is enabled for the business child tables. This is an optional field.</p> <p>For example: KYC Customer Address.</p> <p>When the Filter By checkbox is selected, the following drop-down lists/textbox are enabled:</p> <ul style="list-style-type: none"> <li>Filter By drop-down: This drop-down displays the field names for the selected table. However, it does not display the Date and Time Stamp data type fields for the selected table.</li> <li>Filter by Operator: Displays operators <b>IN</b> and <b>NOT IN</b>.</li> <li>Free textbox: You can enter text.</li> </ul> <div style="border: 1px solid #ccc; border-radius: 10px; padding: 10px; margin-top: 10px;"> <p><b>Note</b></p> <p>The Filter By field is not applicable for tables KYC Account Dimension &amp; KYC Customer Dimension.</p> </div> |
| Data Type               | This field is auto-populated based on <b>Field Name</b> .  |
| Risk Indicator Type     | Based on the Data Type, select a risk indicator type from the list.  |
| Risk Indicator Sub Type | <p>Select a risk indicator sub type from the following:</p> <ul style="list-style-type: none"> <li>Amount</li> <li>Ratio</li> <li>Count</li> </ul>   |

**Table 1-3 (Cont.) Fields and Description - Add Custom Risk Indicator**

| Fields                    | Description   |
|---------------------------|---|
| Time Unit                 | <p>This field is enabled when <b>Data Type</b> is Date and <b>Field Name</b> is related to date.</p> <p>The available options are Day, Month, and Year. It is calculated based on the current date.</p> <p>For example: If the selected time unit is Year and the time interval is 24 years, 11 months, and 29 days, the highlight for the corresponding rule in the Risk Assessment screen displays as 24 years (rounding off to the floor value). Similarly, if the selected time unit is Month, and the time interval is 11 months and 29 days, the highlights for the corresponding rule in the Risk Assessment screen displays as 11 months.</p> |
| Compute Basis             | <p>This field is auto-selected as Current Date for both Prospect and Customer.</p> <p>However, you can change it to FIC MIS Date for Customer.</p> <div data-bbox="750 772 1466 989" style="border: 1px solid #ccc; border-radius: 10px; padding: 10px; margin-top: 10px;"> <p><b>Note</b></p> <p>While uploading records via the spreadsheet, you can update the field as Current Date or FIC MIS Date as required. If the field is blank, the system considers it to be Current Date.</p> </div>  |
| Risk Element Mapping Code | <p>Enter a unique risk element mapping code that has not been used before. You can enter up to 20 characters. Allowed characters are numbers, alphabets, and underscore.</p> <p>For example: DEBIT_TXN_AMNT</p> <div data-bbox="750 1188 1466 1350" style="border: 1px solid #ccc; border-radius: 10px; padding: 10px; margin-top: 10px;"> <p><b>Note</b></p> <p>Click the in-line Help icon to view all existing risk element mapping codes already configured in the system</p> </div>  |
| Risk Element Mapping Name | <p>Enter a unique risk element mapping name. You can enter up to 255 characters. The allowed characters are numbers, alphabets, space, hyphen, and underscore.</p> <p>For example: Debit Transaction Amount</p>   |
| Master Data Mapping       | <p>Lists the Master Data currently available in the system, Generic Master Data or KYC Admin menu items.</p> <div data-bbox="750 1619 1466 1780" style="border: 1px solid #ccc; border-radius: 10px; padding: 10px; margin-top: 10px;"> <p><b>Note</b></p> <p>The field populates only selective master data list that are applicable for - Fields Data Type &amp; Risk Indicator Type.</p> </div>  |

3. Click **Save** and click **OK** to save the record. A new record appears on the **Custom Risk Indicator** grid.
4. Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.3.2 Editing a Record

To edit a record:

1. Click **Edit**  to open the Edit Custom Risk Indicator window.
2. You will be able to edit only the **Risk Element Mapping Name**.
3. Click **Save**. The **Saved Successfully** message appears.
4. Click **Reset** and then click **OK** if you want to reset the fields to previously saved values. If you want to cancel editing the record, click **Cancel**.

## 1.3.3 Viewing or Deleting or Deactivating a Record

1. To view (read-only) details of a particular record, click **View**  inline with the record.
2. To delete a particular record, click **Delete**  inline with the record.
3. To deactivate a record, uncheck the **Activate/Deactivate Rule** next to the **Delete** icon. By default, the new record is active on addition. It can be disabled only if the same is not configured in Risk Element Configuration screen.

## 1.3.4 Exporting or Importing Records

To export or import records:

1. Click **Export Custom Risk Indicator**  to download all records in the selected menu.  
A csv file is downloaded to local system.
2. Click **Import Custom Risk Indicator**  and select the file. Once the file is successfully uploaded, the records are displayed on the **Custom Risk Indicator** grid.

# 1.4 Jurisdiction Pipeline Mapping

After adding or configuring a pipeline, you must create a pipeline job and map them using the job screen.

One pipeline can be mapped to multiple jurisdictions. However, one jurisdiction can be associated with only one pipeline job of KYC Onboarding type and one pipeline job of KYC Batch type.

### Note

After you add or edit the mappings on the screen, ensure that you save your changes.

## 1.4.1 Adding a Record

Use the Pipeline Jurisdiction Mapping window to add a new record.

To add a record:

1. Click **Add a Pipeline**  to add the **Pipeline Job Name** field.
2. Select the **Pipeline Job Name** and the **Pipeline Type** get populated automatically. This is added to the **Jurisdiction Pipeline Mapping** grid.
3. Click **Add Jurisdiction**  and select the **Jurisdiction Name** that you want to map. You can map as many jurisdictions as required.
4. Click **Save**  and click **OK** to save the record. The new record appears on the **Jurisdiction Pipeline Mapping** grid.
5. Click **Cancel**  and click **OK** if you want to cancel the pipeline mapping.

## 1.4.2 Deleting a Record

You can delete a complete Jurisdiction Pipeline Mapping record or delete a mapped Jurisdiction.

1. To delete a complete record, click **Delete**  on the top-right inline with that record. You will receive a message for confirmation.
2. To delete a Jurisdiction mapped to a particular pipeline, click **Delete Jurisdiction**  inline with that jurisdiction of that record.

## 1.4.3 Exporting or Importing Records

To export or import records:

1. Click **Export Jurisdiction Pipeline Mapping**  to download all records in the selected menu.  
A JSON file will be downloaded to local system.
2. Click **Import Jurisdiction Pipeline Mapping**  and select the .JSON file. Uploading the file displays the records on the **Jurisdiction Pipeline Mapping** grid.

## 1.5 KYC System Parameters

KYC System Parameters allow the user to set a limit on a few pre-defined configurable parameters or define certain default options.

The following are pre-defined parameters:

- **Customer Risk Assessment Export Limit**
  - This parameter defines the maximum number of customer risk assessment records that you will be able to export. The maximum value that this parameter can accept is 10,000.
- **Customer Risk Assessment Default Period**
  - This parameter defines the default period over which the created customer risk assessments are shown.
- **Prospect Risk Assessment Export Limit**

- This parameter defines the maximum number of prospect risk assessment records that you will be able to export. The maximum value that this parameter can accept is 10,000.
- **Prospect Risk Assessment Default Period**
  - This parameter defines the default period over which the created prospect risk assessments are shown.
- **Default Assessment Mode for Onboarding**
  - This parameter defines the default assessment mode for KYC Onboarding.
  - This applies to Relationship Types for which the **Assessment Mode** is not explicitly configured in the **Relationship Type Assessment Mapping** screen under the **Know Your Customer Administration** menu.
  - Valid values are **Watch list Screening** and **Full KYC Assessment**. Default assessment mode is **Watch list Screening**.
- **Default Assessment Mode for KYC Continuous Monitoring (Batch)**
  - This parameter defines the default assessment mode for KYC Continuous Monitoring (Batch).
  - This applies to Relationship Types for which the **Assessment Mode** is not explicitly configured in the **Relationship Type Assessment Mapping** screen under the **Know Your Customer Administration** menu.
  - Valid values are **Watch list Screening** and **Full KYC Assessment**. Default assessment mode is **Watch list Screening**.
- **Interested Party Derivation flag for KYCDeploymentInitiation Batch**
  - This parameter enables interested party derivation for primary customers selected as part of the KYCDeploymentInitiation batch.
  - The parameter value can be set to **Yes** or **No**. Default value is **Yes**.
- **Interested Party Derivation flag for KYCDaily Batch**
  - This parameter enables interested party derivation for primary customers selected as part of the KYCDaily batch.
  - The parameter value can be set to **Yes** or **No**. Default value is **Yes**.
- **Consider Customers without Account for Risk Assessment**
  - This parameter specifies if customers without account should be considered for KYC risk assessment as part of the KYCDaily batch.
  - The parameter value can be set to **Yes** or **No**. Default value is **Yes**.
  - A new batch type *NACR - Non-Account Customer Review* is added for this risk assessment.

**Note**

For all the customers, even when the Interested Parties do not have accounts linked with Primary Customers, they will be included in Interested Party derivation with just customer-to-customer relationship. Customer-to-Account relationship is not mandatory for Interested Party derivation.

- **Update KYC RA with Overridden Review Date**

- This parameter specifies if customers' latest risk assessment displayed Next Review Date is to be updated with the review date as part of the KYCReviewDateUpdate batch.
- The parameter value can be set to Y or N. Default value is Y.

## 1.5.1 Editing a Record

Use the KYC System Parameters window to view or edit the pre-defined records.

To edit any of the records mentioned above:

1. Select a record that you want to edit.
2. Click **Edit KYC System Parameters** .
3. Update the **Parameter Value**.
4. Click **Save** and click **Reset** to reset the **Parameter Value** before Saving.

### Note

After editing the **KYC System Parameters**, refresh the **Customer Risk Assessment** and **Prospect Risk Assessment** screens for the updates to take effect if the screens are already open.

This action updates the **Parameter Value** of the selected parameter.

## 1.5.2 Exporting or Importing Records

To export or import records:

1. Click **Export KYC System Parameters**  to download all records in the selected menu. A JSON file will be downloaded to local system.
2. Click **Import KYC System Parameters**  and select the file. Uploading the file displays the records on the **KYC System Parameters** grid.

## 1.6 Length of Relationship Configuration

Length of Relationship is used as a risk attribute for risk assessment of customers based on how long they are in a relationship with the financial institution.

### 1.6.1 Adding a Record

Use the Length of Relationship window to add a new record.

To add a record:

1. Click **Add**  to open the Add Length of Relationship window.
2. Enter the values as mentioned in the following table.

**Table 1-4 Fields and Description - Length of Relationship**

| Fields      | Description   |
|-------------|---|
| Code        | Enter a unique length of relationship code for master data. Valid values are Alphanumeric and underscore with maximum length of 30.   |
| Name        | Enter the display name for the length of relationship. This name is available for selection as part of configuring KYC risk-scoring model. The maximum allowed length is 255. |
| Start Range | Enter the duration in years since relationship started.   |
| End Range   | Enter the duration in years from the start range until when the relationship continues.   |

**Note**

All the fields are mandatory.

- Click **Save** and click **OK** to save the record. The new record appears on the Length of Relationship grid.
- Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.6.2 Editing a Record

To edit a record:

- Select the check box in line with the record you want to edit.
- Click **Edit**  to open the Edit Length of Relationship window.
- Edit the required fields.
- Click **Save** and click **OK** to save the record.
- Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.6.3 Exporting or Importing Records

To export or import records:

- Click **Export Length of Relationship**  to download all records in the selected menu. A JSON file will be downloaded to local system.
- Click **Import Length of Relationship**  and select the json file. Uploading the file displays the records on the **Length of Relationship** grid.

## 1.7 Periodic Review Assessment Configuration

Periodic Review Assessment is used to configure the next assessment time-line for each KYC risk category (High/medium/Low) for single/multiple jurisdictions.

## 1.7.1 Adding a Record

Use the Periodic Review Assessment Configuration window to add a new record.

### Note

- You must add a risk category type and next assessment due (in month) for each jurisdiction.
- This screen must have the configuration for all the Risk Categories in Risk Assessment widget in the Pipeline.

To add a record:

- Click **Add Jurisdiction**  to open the Jurisdictions window.
- Select a jurisdiction.
- Click **Add Risk Category**  to add the **Risk Category** and **Next Assessment Due (In Month)** details.
- Enter the values as mentioned in the following table.

**Table 1-5 Fields and Description - Periodic Review Assessment**

| Fields                         | Description   |
|--------------------------------|---|
| Risk Category                  | Select the required risk category as high/medium/low from the risk category drop-down.                        |
| Next Assessment Due (In Month) | Enter the next assessment due date as a number of months in the input box against the selected risk category. |

### Note

All the fields are mandatory.

- Click **Save**  and click **OK** to save the record.
- Under the **Actions**, click **Reset**  and click **OK** if you want to clear the selected Risk Category and Next Assessment Due (In Month) fields and enter new values.
- Under the **Actions**, click **Cancel**  and click **OK** if you want to clear the selected Risk Category and Next Assessment Due (In Month) fields and enter new values.

## 1.7.2 Editing a Record

To edit an assessment configuration:

**Note**

Only when the record is saved, the **Actions** will be automatically updated with **Edit** and **Delete** actions.

1. Click **Edit**  to edit the next assessment due (In Month) value of a particular record.
2. Enter the new value.
3. Click **Save**  and click **OK** to save the record.

### 1.7.3 Deleting a Record

To delete a record:

1. Click **Delete**  inline with the record.
2. Click **OK** to delete the record.

### 1.7.4 Exporting or Importing Records

To export or import records:

1. Click **Export**  to download all records in the selected menu.  
A JSON file will be downloaded to local system.
2. Click **Import**  and select the file. Uploading the file displays the records on the **Jurisdictions** grid.

## 1.8 Reasons for Case Creation

When a Risk Assessment is Manually Promoted To Case (MPTC), the reasons must be provided for Case Creation. You can create the reasons on your own from Reasons for Case Creation screen.

### 1.8.1 Adding a Record

Use the Reasons for Case Creation window to add a new reasons.

To add a record:

1. Click **Add**  to open the Add Case Creation Reason window.
2. Enter the values as mentioned in the following table.

**Table 1-6 Fields and Description - Reason for Case Creation**

| Fields | Description   |
|--------|---|
| Code   | Enter a unique code for master data.<br>Valid values are Alphanumeric and underscore with maximum length of 30. |

**Table 1-6 (Cont.) Fields and Description - Reason for Case Creation**

| Fields      | Description   |
|-------------|---|
| Name        | Enter the display name for the reason for case creation. This name is available for selection as part of Manual Promoting to Case (MPTC). The maximum allowed length is 255.                          |
| Entity Type | Select the from the drop-down menu and then select entity type as Prospect to add the reasons for Prospect Risk Assessments or else select Customer to add the reasons for Customer Risk Assessments. |

**Note**

All the fields are mandatory.

- Click **Save** and click **OK** to save the record. A new record appears on the **Reasons for Case Creation** grid.

**Note**

Records can be added in the following languages. When you add a new record, it gets added for the logged in user preferred locale (V\_SOURCE\_LOCALE) along with other available languages (V\_LOCALE) with an initial version (N\_VERSION).

- en-US (English)
- fr-FR (French)
- es-ES (Spanish)
- el-GR (Greek)
- pt-BR (Portuguese)

For example, if you are logged in as an en-US user and add a record, records will be created for each of the above languages in the background.

- Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.8.2 Editing a Record

To edit a record:

- Select the check box in line with the record you want to edit.
- Click **Edit**  to open the Edit Case Creation Reason window.
- Edit the required fields.
- Click **Save** and click **OK** to save the record.

**Note**

When you edit a record, the name of the Case Creation Reason gets updated for that particular locale only.

- Click **Reset** and click **OK** if you want to reset the fields to previously saved values.

## 1.8.3 Exporting or Importing Records

To export or import records:

1. Click **Export Case Creation Reason**  to download records available in the logged in user preferred locale.  
A csv file is downloaded to local system.
2. Click **Import Case Creation Reason**  and select the file which is in the same format as that of the exported one with additional records or changes to the existing names. Once the file is successfully uploaded, the records are displayed on the **Reasons for Case Creation** grid.

### Note

For importing records successfully:

- Logged in Locale must be same as Locale in the import file.
- Risk Dimension Source Locale can not be empty.
- Source Locale in the import file must be from the list of User Preferred Locale.

## 1.9 Relationship Type Assessment Mapping

The Relationship Type Definition allows you to add a relationship type for a secondary or related customer and for a specific jurisdiction.

Based on the relationship type, either a full KYC or only Name and Address screening is performed on the related customer for that jurisdiction. For adding Relationship Type, see the **Relationship Type** section in [OFS Know Your Customer Master Data Guide](#).

### 1.9.1 Adding a Record

Use Relationship Type Assessment Mapping screen to add records.

### Note

You must add a relationship type and an assessment type for each jurisdiction.

To add a record:

1. Click **Add Jurisdiction**  to open the Jurisdiction window.
2. Select a jurisdiction.
3. Click **Add a Relationship Type Assessment Mapping**  to open the Relationship Types window.
4. Enter the values as mentioned in the following table.

**Table 1-7 Fields and Description - Relationship Types**

| Fields            | Description  |
|-------------------|--|
| Relationship Type | Enter the relationship type. By default, a full KYC is performed on the related customer.<br>You can select more than one relationship type for a jurisdiction. For example, you can select two relationship types for the Asia Pacific jurisdiction, that is, Authorized Signatory and Legal Signatory. |
| Assessment Type   | Enter the assessment type.<br>If you select more than one combination of relationship type and assessment type and <b>Full KYC Assessment</b> is selected for any relationship type, then a full KYC is performed on the related customer.   |

**Note**

All the fields are mandatory.

- Click **Save**  and click **OK** to save the record.

**Note**

Only when the record is saved, the **Actions** will be automatically updated with **Edit** and **Delete** actions.

- Under the **Actions**, click **Reset** and click **OK** if you want to clear the selected **Relationship Type** and **Assessment Type** fields and enter new values.
- Under the **Actions**, click **Cancel** and click **OK** if you want to cancel the selected **Relationship Type** and **Assessment Type**.

## 1.9.2 Editing a Record

To edit an assessment type:

- Click **Edit**  inline with the assessment type.
- Select the new value.
- Click **Save**  and click **OK** to save the record.
- Click **Reset**  and click **OK** if you want to clear the selected **Assessment Type** and enter new values.

## 1.9.3 Deleting a Record

To delete a record:

- Click **Delete**  inline with the record.
- Click **OK** to delete the record.

## 1.9.4 Exporting or Importing Records

To export or import records:

1. Click **Export**  to download all records in the selected menu.  
A JSON file will be downloaded to local system.
2. Click **Import**  and select the file. Uploading the file displays the records on the **Jurisdictions** grid.

## 1.10 Risk Category Configuration

Risk Category is used to configure the risk categories which are used in Risk Assessment Widget (for assigning scores) in on boarding or batch pipelines.

### 1.10.1 Adding a Record

Use the Risk Category window to add a new record.

To add a record:

1. Click **Add**  to open the Add Risk Category window.
2. Enter the values as mentioned in the following table.

**Table 1-8 Fields and Description - Risk Category Configuration**

| Fields | Description  |
|--------|--|
| Code   | Enter the risk category code.<br>Valid values are Alphanumeric and underscore with maximum length of 30. |
| Name   | Enter the risk category name.<br>The maximum allowed length is 255.                                      |
| Color  | Select a predefined color from the drop-down list.   |

 **Note**

All the fields are mandatory.

3. Click **Save** and click **OK** to save the record. The new record appears on the **Risk Categories** grid.
4. Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

### 1.10.2 Editing a Record

To edit a record:

1. Select the check box in line with the record you want to edit.
2. Click **Edit Risk Category**  to open the Edit Risk Category window.

3. Edit the required fields.
4. Click **Save** and click **OK** to save the record.
5. Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.10.3 Exporting or Importing Records

To export or import records:

1. Click **Export Risk Category**  to download all records in the selected menu.  
A JSON file will be downloaded to local system.
2. Click **Import Risk Category**  and select the file. Uploading the file displays the records on the **Risk Categories** grid.

## 1.11 Risk Dimension

Risk Dimension is used to configure various risk dimensions used in business and algorithmic scoring rules. You can add or edit a risk dimension as required.

### 1.11.1 Adding a Record

Use the Risk Dimension window to add a new record.

To add a record:

1. Click **Add Risk Dimension**  to open the Add Risk Dimension window.
2. Enter the values as mentioned in the following table.

**Table 1-9 Fields and Description - Risk Dimension**

| Fields | Description   |
|--------|---|
| Code   | Enter the risk dimension code.<br>Valid values are Alphanumeric and underscore with maximum length of 30.   |
| Name   | Enter the risk dimension name. This name appears for selection while configuring the algorithmic scoring and business check rules.<br>Valid values are Alphanumeric, underscore, Comma, Hyphen, and Space with maximum length of 255. |

 **Note**

All the fields are mandatory.

3. Click **Save** and click **OK** to save the record. The new record appears on the **Risk Dimension** grid.

**Note**

Records can be added in the following languages. When you add a new record, it gets added for the logged in user preferred locale (V\_SOURCE\_LOCALE) along with other available languages (V\_LOCALE) with an initial version (N\_VERSION).

- en-US (English)
- fr-FR (French)
- es-ES (Spanish)
- el-GR (Greek)
- pt-BR (Portuguese)

For example, if you are logged in as an en-US user and add a record, records will be created for each of the above languages in the background.

4. Click **Reset** and click **OK** if you want to clear the fields and enter new values.

## 1.11.2 Editing a Record

To edit a record:

1. Select the check box in line with the record you want to edit.
2. Click **Edit Risk Dimension**  to open the Edit Risk Dimension window.
3. Edit the required fields.

**Note**

Only the **Name** field is allowed to be edited in a **Risk Dimension** record.

4. Click **Save** and click **OK** to save the record.

**Note**

When you edit a record, the name of the Risk Dimension gets updated for that particular locale only.

5. Click **Reset** and click **OK** if you want to clear the risk dimension name and enter a new value.

## 1.12 Risk Element Configuration

Risk Element Configuration is used to configure various risk elements/attributes used in Business Check Rules and Algorithmic Scoring. You can activate or deactivate a risk element configuration as required.

**Note**

Do not **Deactivate** a Risk Element rule configured either in **Algorithmic Scoring** or **Business Check** widgets for risk scoring. If you choose to deactivate it, ensure to remove it from the scoring widgets of the associated pipelines.

## 1.12.1 Adding a Record

Use the Risk Element Configuration window to add a new record.

**Note**

- Do not **Add** Risk Elements using Deactivated Behavioral Risk Indicator Risk Element Mapping Names.
- Do not **Activate** an already Deactivated risk element with Risk Element Mapping that is Deactivated in the Behavioral Risk Indicator window.

To add a record:

1. Click **Add Risk Element**  to open the **Add Risk Element Configuration** window.  
By default, the new record's **Risk Element** status ID is **Active**. You can make it **Inactive** only after saving the record.
2. Select the Entity Type as **Prospect** or **Customer**. For adding risk element records to run **KYC Risk Factor** pipelines, select **Customer**.
3. Enter the values as mentioned in the following table.

**Table 1-10 Fields and Description - Risk Element Configuration**

| Fields                    | Description   |
|---------------------------|---|
| Risk Element Code         | Enter the risk element code.<br>Valid values are Alphanumeric and underscore with maximum length of 20.   |
| Risk Element Name         | Enter the risk element name. This name appears for selection while configuring the algorithmic scoring and business check rules.<br>Valid values are Alphanumeric, Underscore, Comma, Hyphen, and Space with maximum length of 100. |
| Risk Element Description  | Enter the risk element description.   |
| Prospect/Customer Type(s) | Select one or multiple customer types from the drop-down list. The available options are: <ul style="list-style-type: none"> <li>• Individual</li> <li>• Financial Institution</li> <li>• Organization</li> </ul>                   |
| Risk Dimension            | Select an option from the Risk Dimension drop-down.   |
| KYC Check(s)              | Select KYC checks as applicable for the given risk element from the drop-down list. The available options are: <ul style="list-style-type: none"> <li>• Algorithmic Scoring</li> <li>• Business Check</li> </ul>                    |

**Table 1-10 (Cont.) Fields and Description - Risk Element Configuration**

| Fields               | Description  |
|----------------------|--|
| Risk Element Mapping | Select the risk element mapping as <b>Look Up</b> if you want to add a rule on any risk element except watchlist or select <b>Others</b> to add a rule on watchlist.<br>Select the mapping values from the drop-down list. Based on the selected Customer Type(s) and KYC Check(s), the Risk Element Mapping drop-down values will be populated. |

**Note**

You can create a Risk Element rule by combining up to two Risk Elements. For a combination rule, none of the two risk elements (for example, Age of Incorporation or Length of Relationship) should be range-based. Risk Element combination rules will work only with Type selected as Varchar and Subtype as Lookup.

- Click **Save** and click **OK** to save the record. The new record appears on the **Risk Element Configuration** grid.

**Note**

Records can be added in the following languages. When you add a new record, it gets added for the logged in user preferred locale (V\_SOURCE\_LOCALE) along with other available languages (V\_LOCALE) with an initial version (N\_VERSION).

- en-US (English)
- fr-FR (French)
- es-ES (Spanish)
- el-GR (Greek)
- pt-BR (Portuguese)

For example, if you are logged in as an en-US user and add a record, records will be created for each of the above languages in the background.

- Click **Reset** and click **OK** if you want to clear all the fields and enter new values.

## 1.12.2 Editing a Record

To edit a record:

- Select the check box in line with the record you want to edit.
- Click **Edit Risk Element**  to open the Edit Risk Element Configuration window.
- If the **Risk Element** is **Inactive**, you cannot edit the **Risk Element Description**. **Activate** the record using the **Edit** option.
- Click **Save** and click **OK** to save the record.

**Note**

When you edit a record, the name of the Risk Element gets updated for that particular locale only.

5. Click **Reset** and click **OK** if you want to clear all the risk element description and enter new value.

# 2

## Integrating KYC with External Case Management System

You can integrate KYC with any External Case Management System to create cases using the Risk Assessments generated by KYC.

To integrate KYC with External Case Management System:

1. Configure the KYC Customer RA Export pipeline to extract the risk assessments. This will generate a CSV file containing the required risk assessments and the same will be available in object store. This can be consumed by the External case management system.

### Note

[KYCCustomerRAExport](#) is a pre-shipped batch containing the above pipeline. You can run this batch independently or create an additional task in the **KYCDaily** batch and map it to **KYC Customer RA Export** pipeline.

2. Once the cases are acted upon, the case feedback details are to be fed back to KYC system.
3. To send the feedback to KYC, create the External Case Management feedback `STG_FCC_KYC_EXT_SYS_FEEDBACK.csv` file and push it to object store. For more information on the CSV file format, see *Sample Templates for Data Loading* on [My Oracle Support](#). For more information on Object Store utility, see [Data Loading Guide](#)

### Note

The `N_REQUEST_ID`, `N_RA_ID` and `FIC_MIS_DATE` are composite primary keys. Make sure to check the following points while feeding External Case Management feedback into KYC via `STG_FCC_KYC_EXT_SYS_FEEDBACK.csv` file.

- Each of `N_REQUEST_ID`, `N_RA_ID` and `FIC_MIS_DATE` columns can never be null.
- `N_REQUEST_ID`, `N_RA_ID` and `FIC_MIS_DATE` columns together must be unique such that for a given `FIC_MIS_DATE`, the `N_RA_ID` and `N_REQUEST_ID` combination cannot be repeated.
- All the batch RA records must always be having `N_REQUEST_ID` column value as 0.

4. Add **Load CRM Feedback To KYC** pipeline to the KYCDaily batch. For more information on updating the KYCDaily batch, see the KYCDaily Batch Details section in [Pipeline Designer Guide](#).
5. Once the updated KYCDaily batch runs successfully, the feedback gets updated in the KYC.