

# Oracle® FCCM Monitor Cloud Service

## User Guide



Release 25.11.01  
G48415-01  
November 2025

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# 1

## Preface

*FCCM Monitor User Guide* explains you step-by-steps instruction to use Oracle Financial Crime and Compliance Management Monitor cloud service.


## Audience

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

## Comments and Suggestions

Please give us feedback about Oracle Applications Help and guides! You can send an e-mail to: <https://support.oracle.com/portal/>.

## Help

Use Help Icon  to access help in the application. If you don't see any help icons on your page, click your user image or name in the global header and select Show Help Icons. Not all pages have help icons. You can also access the <https://docs.oracle.com/en/> to find guides and videos.

## 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>.



# 2

## Introduction

Global financial institutions are using a wide range of Transaction Monitoring, Know Your Customers, Sanctions Screening, and so on products/tools to stay compliant with various guidelines issued by Regulatory Authorities. Customers buying any FCCM engine expect comprehensive reporting and analytics, which we currently lack.

Oracle Financial Services Crime and Compliance Management Monitor Cloud Services provides a centralized view of an organization's compliance efforts, allowing them to identify areas of risk, enable proactive risk management and better manage their cost of compliance. It can also help organizations demonstrate their compliance efforts to regulators and stakeholders. Oracle Financial Services Crime and Compliance Management Monitor Cloud Services is a single product that delivers reports (dashboard, widgets, and so on) to various personas across all FCCM products. This solution also serves all FCCM Cloud Services with plans to make it work with our on- premise engines.

### Key Features

- **Interactive Visualizations:** Choose from a variety of chart types, including bar charts, line graphs, pie charts, heat maps, and more, to convey data in a meaningful way.
- **Drill-Down Capabilities:** Users can drill into more detailed data by clicking on specific elements, providing deeper insight.
- **Data Filters:** Users can filter the data displayed on the dashboard to focus on specific time periods, categories, or other criteria.
- **Report Customization:** User can customize reports based on their requirements.

# 3

## Getting Started

This chapter explains the steps to log in to the FCCM Monitor cloud service and provides a brief overview of the users and their roles.

### Accessing FCCM Monitor Application

The FCCM Monitor application is qualified to run on Microsoft Edge Chromium or Google Chrome web browsers.

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

To access the FCCM Monitor application, follow these steps:

1. Enter the URL in the web browser using the following format:  
`https://fccmcloud.us-phoenix-1.ocs.oc-test.com/qamayregression-prd/dashboard-ui/main/home.jsp`
2. The FCCM Monitoring Application login page is displayed.
3. Enter the login field details.

**Table 3-1 Login Fields**

Fields	Description
User Name	Enter the unique identification of the user. You can enter up to twenty alphanumeric values.
Password	Enter the unique password of the user. You can enter up to twenty alphanumeric values.

4. Click **Sign in**. The **Oracle Financial Services Crime and Compliance Management Anti Money Laundering Cloud Service** landing page is displayed.
5. Click **Applications** and select **Monitor CS** in the Navigation List (LHS menu). The Monitor CS landing page is displayed.
6. Click **Shared Folder** tab. Dashboards are displayed based on your privileges.
7. You can also access various Monitor CS dashboards from the **Navigation Menu**.
8. Click required dashboard to view the reports.

# 4

## Common Features

You can perform the following actions on the reports based on your privileges.

**Topics:**

- [Actions](#)
- [Views](#)
- [Filters](#)

### Actions

This section explains various common actions that you can perform in the application.


**Topics:**

- [Exporting and Copying Data](#)

### Exporting and Copying Data

Use this option to export the current report into a PowerPoint (pptx), image( png), data( csv), package application (dva), or PDF formats.

To export the data, follow these steps:

1. Go to a report and hover over the right top corner. An Options icon is displayed.
2. Click on the option  icon and select **Export**. Save your local copy in the - PowerPoint (pptx), image( png), data( csv), Package application (dva), or PDF formats.
3. To print the data, click **Print** option.
4. To copy the data, select Copy in the Edit.
5. Click **Copy Data**. The data is copied to your local system.
6. To duplicate the visualization, select **Duplicate Visualization** in Edit.
7. To copy the visualization, select **Copy Visualization** in Edit

### Views

This section explains various ways to view components in the application.

#### **Note**

This option is only applicable for Admin User.


**Topics:**

- [Maximize](#)
- [Sort By](#)
- [Zoom Chart](#)
- [Keep or Remove Selected](#)
- [Drill to Attribute/Hierarchy](#)
- [Drill Down Report](#)

## Maximize

Use this option to maximize the view size.


To maximize the selected report, follow these steps:

1. Go to a report and hover over right top corner. A Maximize Visualization icon is displayed.
2. Click on the Maximize Visualization  icon. The selected report or chart is maximized.

## Sort By

Use this option to sort the reports such as Total Reports, Report Creation Month, Report Creation Month Year, and so on.


To sort the report, follow these steps:

1. Go to a report and hover over the right top corner. An Options icon is displayed.
2. Click on the option  icon and select **Sort By**. Based on the reports, the options are displayed.
3. To clear the existing sorts, click **Clear Sort**.
4. To create your sorting list, click **Custom**. The Sort Order window is displayed. Select the option from Sort By and click **OK**.

## Zoom Chart

Use this option to zoom charts.

To zoom charts, follow these steps:

1. Go to a report and hover over the right top corner. An Options icon is displayed.
2. Click on the option  icon and select Zoom Chart. The zoom view of the chart is displayed.

## Keep or Remove Selected

Use this option in reports to keep or remove the selected element in the report.

To keep or remove a selected item, follow these steps:

1. Go to a report and right-click on any element of the graph.

2. Click **Keep Selected** to keep only the selected element and remove all others from the report. Similarly, click Remove Selected to remove the selected element from the report

## Drill to Attribute/Hierarchy

Use this option in reports to drill-down attributes or hierarchies directly in selected elements in the report.

To drill to attribute/hierarchy, follow these steps:

1. Go to a report and right-click on any element of the graph. Click **Drill to Attribute/Hierarchy**. A list of data pertaining to the selected element in the report is displayed.
2. Enter keywords in the Search box to view required details in the list.

## Drill Down Report

Use this option in reports to drill-down to have more insight about the selected element in the report.

To drill to drill down report, follow these steps:

1. Go to a report and right-click on any element of the graph.
2. Click **Drill Down Report**. A comprehensive list of the selected elements is displayed in tabular format.

## Filters

This section explains various ways to filter reports in the application.

**Topics:**

- [Date Range](#)
- [List](#)
- [Relative Time](#)
- [Top Bottom N Filters](#)

## Date Range

Use calendar controls to adjust time or date selections. You can select a single contiguous range of dates or use a date range filter to exclude dates within the specified range.

To use the date range option, follow these steps:

1. Click on the **Date Range**. The Date Range dialog is expanded.
2. Select the **Start Date** and **End Date** from the calendars. You can also select the time as well. Click **Done**. The selected date range result is displayed.

## Relative Time

Use the relative time filter on a Date or Date/Time to display data for a specified time period based on the current date and time. For example, Year To Date includes data from 1 January to the current date, and Month To Date includes data from the beginning of the month to the current date.

1. Select the Relative Time tab. The Relative Time dialog is expanded with the following list of filter options.
  - Type: Select any one of the following options:
    - Last: Includes values for previous N time increments from the current date
    - Next: Includes values for next N time increments from the current date. For example, 'Next Three Months' will include the next 90 days from today
    - To Date: includes values from the beginning of the indicated time level to today. For example, 'Year to Date' will include all days from January 1st to today
  - Increment: Enter the required number.
  - Time Level : Select Years, Quarters, Weeks, Days Hours, minutes, and seconds.
  - Relative to: is by default to Today.
2. Click on **Apply**. Based on your selection, the result is displayed.

## Top Bottom N Filters

Use the Top Bottom N filter to filter a measure or attribute and display its highest or lowest values.

To apply the Top Bottom N Filters, follow these steps:

1. Select the Top Bottom N Filters tab from the Filter drop-down list. The Top Bottom N Filters dialog is expanded with the following list of filter options.
  - Method: User this filter to select the top or bottom option. This segregates the records from top to bottom or vice versa
  - Count: Use this filter to select the number of records to display.
  - By: User this filter to select measures to display records. For example, total, average, and so on.
2. Based on your selection, the result is displayed.

## List

Use list filters to include or exclude data from the records.

To apply the List filter, follow these steps:

1. Select the List tab. The List dialog is expanded to include the available list of records.
2. Click **Add** to move all available records from LHS to RHS. The result is displayed accordingly.
3. Or, click one or more records to move from LHS to RHS. The result is displayed accordingly.
4. Click **Search Option Menu** to configure the filter type list. For example, it contains, begins, ends, pattern Matches, and is case sensitive.
5. Enter the required alphanumeric value in the Search box. The result is displayed based on your Search Option configuration.
6. Select **Exclude** to ignore those records that are in the RHS list.
7. Click **Null** to include data with null values in the list.

# 5

## Case Management Reports

Use this section to view types of reports pertaining to Case Management using different graphs.

You can search Case Management Dashboard using the Case Creation Date Range filter.

On the top of the Dashboard, this displays - Total Cases, Total Open Cases, Reopened Cases, and Total Due Cases.

The following is the list of reports:

- [Total Cases](#)
- [Open Cases](#)
- [Reopened Cases](#)
- [Due Cases](#)
- [Case Ageing](#)
- [Geography of Customers with Number of Cases](#)
- [Case # vs. Prior Period](#)
- [Product to Case Relation over a Period of Time](#)
- [Scenario Efficiency - Count of Cases by Top 5](#)
- [TM Case- Product to Transaction Details](#)
- [TM Cases - Scenarios Not Generating Cases](#)
- [TM Cases- Scenarios Out of Bounds- Top 10](#)
- [TM Cases - Transaction & Products Top 5](#)
- [Events and Cases Score](#)
- [Customers Transaction Total](#)
- [TMCS \(AML\) - Case Trends \(in Min\)](#)
- [Customer to Customer Relationship](#)
- [Customer to Account Relationship](#)
- [Customer Cases](#)
- [Scenario Efficiency - Count of Cases by All Scenarios](#)
- [TM\(AML\) Case - All Transactions](#)
- [TM\(AML\) Scenarios Out of Bounds](#)

**Note**

There is a known performance issue in the following reports:

- TM Cases- Scenarios Out of Bounds- Top 10
- Scenario Efficiency - Count of Cases by Top 5

**Note**

Total Cases, Open Cases, and Closed Cases are executing for longer time. To improve the performance of these reports, narrow down the search by selecting the filters available in the Dashboard.

## Case Ageing

Use this section to view case ageing over a period of time. A Pie graph is used to display reports.

To view Case Ageing details, follow these steps:

1. Select Case Creation Date from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hove-rover the Bucket Name to view the Case Ageing Total Cases and Bucket Name details. Different color display represent different bucket names in form of days.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Case Ageing Drill Down**.

## Geography of Customers with Number of Cases

Use this section to view the Geography of Customers with Number of Cases reports. A Tabular graph is used to display reports. Case Creation Date filter is used to generate this report.

To view the Geography of Customers with the Number of Cases details, follow these steps:

1. Select the date from the Case Creation Date drop-down list. Based on your selection, the report is displayed.
2. This report displays - Address City Name and Cases by Customer.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Geography of customers with number of cases Drill Down**.

## Product to Case Relation over a Period of Time

Use this section to view Product to Case Relation reports over a Period of Time. A Bar graph is used to display reports. Case Creation Date filter is used to generate this report.

To view Product to Case Relation over a Period of Time details, follow these steps:

1. Select the date from the Case Creation Date drop-down list. Based on your selection, the report is displayed.



2. Hover over the graph to view Case Created Month Name and Case Created Year to view Account Type Display Name - Wholesale/Correspondent Banking details and Cases by Products Over a Period.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **AML Cases - Product to case relation over a period of time Drill Down**.

## Scenario Efficiency - Count of Cases by Top 5

Use this section to view Scenario Efficiency - Count of Cases by Top 5 reports. A Tabular graph is used to display reports. Case Creation Date filter is used to generate this report.

To view Scenario Efficiency - Count of Cases by Top 5 details, follow these steps:

1. Select the date from the Case Creation Date drop-down list. Based on your selection, the report is displayed.
2. Hover over each scenario name to view Cases by Top 5 Scenarios, Case Created Year, Scenario Name, Case Created Month.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Scenario Efficiency Report Drill Down**.

## TM Case- Product to Transaction Details

Use this section to view TM Case- Product to Transaction Details reports. A Combination Chart is used to display reports. Case Creation Date filter is used to generate this report.

To view TM Case- Product to Transaction Details details, follow these steps:

1. Select the date from the Case Creation Date drop-down list. Based on your selection, the report is displayed.
2. Hover over line graph to view Total Cases and Transaction Type.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **AML Case - Product to Transaction Details Drill Down**.

## TM Cases - Scenarios Not Generating Cases

Use this section to view TM Cases - Scenarios Not Generating Cases reports. A List Visualization is used to display reports. Case Creation Date filter is used to generate this report.

To view TM Cases - Scenarios Not Generating Cases details, follow these steps:

1. Select the date from the Case Creation Date drop-down list. Based on your selection the report is displayed.
2. Hover over the line graph to view Total Transaction and Transaction Type details.

## TM Cases - Scenarios Out of Bounds - Top 10

Use this section to view Scenarios Out of Bounds - Top 10 reports. A Combination Chart is used to display reports. Case Creation Date filter is used to generate this report.

To view Scenarios Out of Bounds - Top 10 details, follow these steps:

1. Select the date from Case Creation Date drop-down list. Based on your selection, the report is displayed.
2. Hover over line graph to view Threshold, Scenario Name, Case created month and year details.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) Scenarios Out of Bounds Drill Down**.

## TM Cases - Transaction & Products Top 5

Use this section to view TM Cases - Transaction & Products Top 5 reports. A Combination Chart is used to display reports. The Case Creation Date filter is used to generate this report.

To view TM Cases - Transaction & Products Top 5 details, follow these steps:

1. Select the date from the Case Creation Date drop-down list. Based on your selection, the report is displayed.
2. Hover over Bar graph displays Total Transactions and Transaction Product Code.
3. Hover over Line graph displays Cases by Top 5 Transaction Details and Transaction Product Code.

## Forecast Trend Report for Cases

Use this section to view Forecast Trend Report for Cases. A Line graph is used to display reports. The Case Created Date and Case Type filters are used to generate this report.

To view TM Cases - Transaction & Products Top 5 details, follow these steps:

1. Select the date range from the Case Creation Date (default 12 months) and select the Case Type from the list. Based on your selection, the report is displayed.
2. Hover over Line graph displays Total cases and Case Created Month.

## Events and Cases Score

Use this section to view Events and Cases Score. A Line graph is used to display reports.

To view the Total Cases, follow these steps:

1. Select Case Creation Date, Case Type, Jurisdiction, Business Domain, and Status Description from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the line graph to see the total cases.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TMCS(AML) - Events and Cases Score Drilldown**.

## Customers Transaction Total

Use this section to view Customer Transaction Total. A bar graph is used to display reports.

To view the Customer Transaction Total, follow these steps:

1. Select Case Creation Date, Case Type, Jurisdiction, Business Domain, and Status Description from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the bar graph to see the total cases.

3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TMCS (AML) - Customers Transaction Total Drill Down**.

## TMCS (AML) - Case Trends (in Min)

Use this section to view Case Trends (in Min). A tag cloud is used to display reports.

To view the Total Cases, follow these steps:

1. Select Case Closed Date and Case Class Name from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the tag cloud to see the average status time.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TMCS (AML) - Case Trends Drilldown**.

## Customer to Customer Relationship

Use this section to view Customer to Customer Relationship. A table is used to display reports.

To view the Customer to Customer Relationship, follow these steps:

1. Select Case Creation Date, Case Type, Jurisdiction, Business Domain, Relationship, and Status Description from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the table to see the customer identifier and related customer identifier.

## Customer to Account Relationship

Use this section to view Customer to Account Relationship. A table is used to display reports.

To view the Customer to Account Relationship, follow these steps:

1. Select Case Creation Date, Case Type, Jurisdiction, Business Domain, Relationship, and Status Description from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the table to see the customer identifier and related account identifier.

## Customer Cases

Use this section to view Customer Cases. A table is used to display reports.

To view the Customer Cases, follow these steps:

1. Select Case Creation Date, Case Type, Jurisdiction, Business Domain, Relationship, and Status Description from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the table to see the customer internal ID and case internal ID.

## Scenario Efficiency - Count of Cases by All Scenarios

Use this section to view Scenario Efficiency - Count of Cases by All Scenarios. A pivot table is used to display reports.

To view the Count of Cases by All Scenarios, follow these steps:

1. Select Case Creation Date, Case Type, Jurisdiction, Business Domain, and Status Description from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the pivot table to see the customer internal ID and case internal ID.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) Total Scenarios Out of Bounds Drill Down**.

## TM(AML) Case - All Transactions

Use this section to view TM(AML) Case - All Transactions. A pivot table is used to display reports.

To view the All Transactions, follow these steps:

1. Select Case Creation Date, Case Type, Jurisdiction, Business Domain, and Status Description from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the pivot table to see the customer internal ID and case internal ID.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **AML Total Case Transaction Drill Down Report**.

## TM (AML) Scenarios Out of Bounds

Use this section to view TM (AML) Scenarios Out of Bounds. A pivot table is used to display reports.

To view the Scenarios Out of Bounds, follow these steps:

1. Select Case Creation Date, Case Type, Jurisdiction, Business Domain, and Status Description from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the pivot table to see the customer internal ID and case internal ID.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) Total Scenarios Out of Bounds Drill Down**.

## Customer Centric Reports - Customer Transactions with Large Amounts

Use this section to view Customer Centric Reports - Customer Transactions with Large Amounts. A combo graph is used to display the report.

To view the Customer Centric Reports - Customer Transactions with Large Amounts, follow these steps:

1. Select the Transaction Execution Date Range (default is 6 months) and Top X Transactions by Amount Range (minimum 1, maximum 10). Based on your selection, the report is displayed.
2. Go to a report and right-click on any element of the graph.
3. Click Drill Down Report. A comprehensive list of the selected elements is displayed in tabular format.

**Note**

A tool tip is enabled for Total Transactions and Total Flagged Transactions.

## Customer Centric Reports-Top 10 customers having more number of cases

Use this section to view the summary of **Customer Centric Reports-Top 10 customers having more number of cases (TMCS/KYC/TF/CS)**. A tag cloud is used to display the reports.

To view the summary of **Customer Centric-Top 10 customers having more number of cases (TMCS/KYC/TF/CS)** report, follow these steps:

1. Navigate to the **Case Management workbook** and click **Customer Cases**. The **Cases by Top 10 Customers** page appears.
2. Select the values of Case Created Date, Case Closure Date, Case Class Name, Jurisdiction, Status Description, and Case Priority filters. Based on your selection, reports are displayed.
3. Hover-over the tag cloud to see the Total Cases by Customer.
4. Right-click on the report aggregate measure (Tag Cloud) to navigate to corresponding drill-down detailed report named **The Cases by Top 10 Customers-Drilldown**.

# 6

## Productivity Reports

Use this section to view types of reports pertaining to Productivity Reports using different graphs.

The following is the list of reports:

- [Average Time \(in Days\) by Users - Top 10](#)
- [Average Time \(in Days\) to Close by Case by Jurisdiction](#)
- [Average Time \(in Days\) to Close Case by Type](#)
- [Total Closed Cases](#)

### ① Note

There is a known performance issue in the following report:

- Average Time (in Days) to Close by Case by Jurisdiction

### Average Time (in Days) by Users - Top 10

Use this section to view Average Time (in Days) by Users - Top 10 reports. A Bar graph is used to display reports. Case Closed Date filter is used to generate this report.

To view Average Time (in Days) by Users - Top 10 details, follow these steps:

1. Select the date from the Case Closed Date drop-down list. Based on your selection, the report is displayed.
2. Hove-rover the Case Owner ID to view Average Closure Time and Owners Names.

### Average Time (in Days) to Close by Case by Jurisdiction

Use this section to view Average Time (in Days) to Close by Case by Jurisdiction reports. A Bar graph is used to display reports. Case Closed Date filter is used to generate this report.

To view Average Time (in Days) to Close by Case by Jurisdiction details, follow these steps:

1. Select the date from the Case Closed Date drop-down list. Based on your selection, the report is displayed.
2. Hove-rover the Jurisdiction Code to view the Average Closure Time and Jurisdiction Name, and Jurisdiction Code.

### Average Time (in Days) to Close Case by Type

Use this section to view Average Time (in Days) to Close Case by Type over a period of time. A Bar graph is used to display reports.

To view Average Time (in Days) to Close Case by Type details, follow these steps:

1. Select Case Closed Date from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hove-rover the Case Type bar to view the Average Closure Time and Case Class Name details.

## Total Closed Cases

Use this section to view total closed cases. Case Closed Date filter is used to generate this report.

To view total closed cases details, follow these steps:

1. Select the date from the Case Closed Date drop-down list. Based on your selection, the report is displayed.
2. Hove-rover the number to see the total closed cases count.

# 7

## Customer Screening Reports

This section covers the following topics:

- [CS Cases](#)
- [CS Events](#)
- [Watch List](#)

### CS Cases

Use this section to view types of reports pertaining to Customer Screening using different graphs.

You can search Customer Screening Dashboard using the Case Creation Date, Jurisdiction, Case Type, Case Priority, and Case Status filters.

The Dashboard displays the following list of reports:

- [Total Cases](#)
- [Count of All Cases Over the Due Date](#)
- [Total Cases by Case Type](#)
- [Total Cases by Jurisdiction](#)
- [Total Cases by Priority](#)
- [Top 10 Customer Names contributing to My Cases](#)

### Total Cases

Use this section to view the Total Number of Cases with CS Case Type.

To view the total number of cases, select the required criteria from the following different filter drop-down lists:

- Case Creation Date
- Jurisdiction
- Case Type
- Case Priority
- Case Status

You can right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Total CS Cases Drill Down**.

### Count of All Cases over the Due Date

Use this section to view the Count of All Cases nearing the due date or after the due date.



To view the total number of cases, select the required criteria from the following different filter drop-down lists:

- Case Creation Date
- Jurisdiction
- Case Type
- Case Priority
- Case Status

## Total Cases by Case Type

Use this section to view the total cases by Case Type.

To view the total number of cases, follow these steps:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Creation Date
  - Jurisdiction
  - Case Type
  - Case Priority
  - Case Status
2. Hover-over the Bargraph to view the Total Cases by Case Type-CS and Case Type Name.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Count of CS cases broken up by case type (CS\_EDD/CS\_SAN/CS\_PEP) Drill Down**.

## Total Cases by Jurisdiction

Use this section to view the total cases by Jurisdiction.

To view the total cases by Jurisdiction, follow these steps:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Creation Date
  - Jurisdiction
  - Case Type
  - Case Priority
  - Case Status
2. Hover-over the bar graph to view the Total Cases by Jurisdiction-CS and Jurisdiction Name.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **CS Total Cases Count By Jurisdiction Drill Down**.

## Total Cases by Priority

Use this section to view the total cases by Priority.

To view the total cases by Priority, follow these steps:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Creation Date
  - Jurisdiction
  - Case Type
  - Case Priority
  - Case Status
2. Hover-over the bar graph to view the Total Cases by Priority-CS and Case Priority.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **CS cases count based on priority (latest number) Drill Down**.

## Auto Eliminated Cases

Use this section to view Auto Eliminated Cases. A bar graph is used to display reports.

To view the Auto Eliminated Cases, follow these steps:

1. Select Case Created Date, Case Closed Date, Case Jurisdiction, Case Type, Case Status, and Case Priority from the drop-down filters. Based on your selection, reports are displayed.
2. Hover-over the bar graph to see the auto eliminated cases.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Auto Eliminated Cases Drilldown**.

## Auto Closed Cases

Use this section to view Auto Closed Cases. A bar graph is used to display reports.

To view the Auto Closed Cases, follow these steps:

1. Select Case Created Date, Case Closed Date, Case Jurisdiction, Case Type, Case Status, and Case Priority from the drop-down filters. Based on your selection, reports are displayed.
2. Hover-over the bar graph to see the auto eliminated cases.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Auto Closure Cases Drilldown**.

## Top 10 Customers Contributing to Cases

Use this section to view Top 10 Customers Contributing to Cases. A tag cloud is used to display reports.

To view the Top 10 Customers Contributing to Cases, follow these steps:

1. Select Case Created Date, Case Closed Date, Case Jurisdiction, Case Type, Case Status, and Case Priority from the drop-down filters. Based on your selection, reports are displayed.
2. Hover-over the tag cloud to see the Top 10 Customers Contributing to Cases.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Top 10 Customer Names contributing to my Cases Drilldown**.

## CS Events

Use this section to view false positive events by period.

You can search False Postive Events by Evented Date filter.

### % of False Positive Events by Period-CS

This report displays data for the date range defined in the search criteria. Data is displayed in a pivot table format with evented year, evented month, and FP %.

Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **CS - Percentage of False Positive Events in the specified time period Drill Down**.

## Watchlist

Use this section to view types of reports pertaining to Watchlist using different graphs.

You can search Customer Screening Dashboard using the following filters:

- Case Created Date
- Watchlist Rule
- Case Closed Date
- Jurisdiction
- Watchlist Name
- Case Type
- Status
- Priority

The Dashboard displays the following list of reports:

- [CS-Top 10 Watch List Name Contributing to My Cases](#)
- [Match Rules Not Triggering Cases](#)
- [Top 10 Match Rules that are contributing to My Volumes](#)

## CS-Top 10 Watch List Name Contributing to My Cases

Use this section to view the CS-Top 10 Watch List Name contributing to My Cases.

To view the CS-Top 10 Watch List Name Contributing to My Cases:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Created Date
  - Watchlist Rule
  - Case Closed Date
  - Jurisdiction
  - Watchlist Name
  - Case Type

- Status
  - Priority
2. Hover-over the line graph to view the CS-Top 10 Watch List Name Contributing to My Cases and Watchlist Name.
  3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Top 10 watchlists Contributing to Cases Drill Down**.

## Match Rules Not Triggering Cases

Use this section to view Match Rules Not Triggering Cases. A table is used to display reports.

To view the Total Cases, follow these steps:

1. Select Case Created Date, Case Type, Case Jurisdiction, Case Status, Case Priority, and Watchlist Full Name from the Date drop-down filters. Based on your selection, reports are displayed.
2. Hover-over the table to see the average status time.

## Top 10 Match Rules that are contributing to My Volumes

Use this section to view the Top 10 Match Rules that are contributing to my volumes.

To view the Top 10 Match Rules that are contributing to my volumes:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Created Date
  - Watchlist Rule
  - Case Closed Date
  - Jurisdiction
  - Watchlist Name
  - Case Type
  - Status
  - Priority
2. Hover-over the line graph to view the match rule cases and rule name.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **CS - Top 10 Match Rules that are contributing to my volumes Drill Down**.

# 8

## Transaction Filtering

This chapter covers the following topics:

- [TF Cases](#)
- [Productivity](#)
- [TF Cases Score and Transaction Amount](#)
- [Top 10 Words or Causes of Hits Identified](#)

### TF Cases

Use this section to view types of reports pertaining to Transaction Filtering using different graphs.

You can search Transaction Filtering Dashboard using the Case Generation Date, Jurisdiction, Case Type, Case Reason, and Status filters.

The Dashboard displays the following list of reports:

- [Number of Cases \(All Status\)](#)
- [Case and Risk Event Relation](#)
- [Number of Closed Cases](#)
- [Number of Cases by Currency](#)
- [Number of Cases generated for given Period of Time](#)
- [Case Ageing \(In Days\)](#)
- [Cases by Decision Reason](#)
- [TF Due Cases beyond SLA](#)

### Number of Cases (All Status)

Use this section to view the Total Number of TF Cases for all statuses.

To view the total number of cases:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Jurisdiction
  - Status
  - Case Reason
  - Case Type
2. Hover-over the donut chart to view the TF Total Cases and Status description for all the available statuses.

3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Number of Cases (all status) Drill Down**.

## Case and Risk Event Relation

Use this section to view the relation between the TF Total Events and TF Total Cases.

To view the relation between the TF Total Events and TF Total Cases:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Jurisdiction
  - Status
  - Case Reason
  - Case Type
2. Hover-over the respective section of the donut chart to view the TF Total Events and TF Total Cases.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Case and Risk Event Relation Drill Down**.

## Number of Closed Cases

Use this section to view the Total Number of Closed Cases.

To view the total number of closed cases:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Jurisdiction
  - Status
  - Case Reason
  - Case Type
2. Hover-over the donut chart to view the TF Total Number of Closed Cases and Status description.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Closed Cases Blocked or Released Status Drill Down**.

## Number of Cases by Currency

Use this section to view the Number of Cases by Currency.

To view the total number of cases by currency:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Jurisdiction
  - Status
  - Case Reason

- Case Type
2. Hover-over the donut chart to view the TF Total Cases by Currency and Currency.

## Number of Cases for given Period of Time

Use this section to view the Number of Cases for a given Period of Time.

To view the total number of cases for given period of time:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Jurisdiction
  - Status
  - Case Reason
  - Case Type
2. Hover-over the bar graph to view the total TF Cases, Case Created Year, and Case Created Month.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Number of cases generated for given period of time Drill Down**.

## Case Ageing

Use this section to view the total Ageing Cases and Case Age.

To view the total number of ageing cases and case age:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Jurisdiction
  - Status
  - Case Reason
  - Case Type
2. The tree map displays the TF Ageing Cases and TF Case Age. Alternatively, hover-over the tree map to view the TF Ageing Cases and TF Case Age.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Number of cases with ageing (in time) Drill Down**.

## Cases by Decision Reason

Use this section to view the Number of Cases for a given Decision Reason.

To view the total number of cases for a given decision reason:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Jurisdiction

- Status
  - Case Reason
  - Case Type
2. The tag cloud UI displays the Decision Reason. Hover-over the Decision Reason to view the Cases by Decision Reason and Reason.
  3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Cases decision reason Drill Down**.

## TF Due Cases beyond SLA

Use this section to view the number of Cases which meet the due date or exceed the due date.

To view the total number of cases beyond the SLA:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Jurisdiction
  - Status
  - Case Reason
  - Case Type
2. The bar graph displays the total due cases for each status category.

## Productivity

Use this section to view types of reports pertaining to Productivity Reports using different graphs.

You can search Transaction Filtering Dashboard using the Case Closed Date.

The Dashboard displays the following list of reports:

- [Productivity - Average Time \(Days\) to close a case by Message Category](#)
- [TF Productivity - Average Time \(In Days\) to close a case by Jurisdiction](#)
- [Productivity - Average Time \(Days\) to close a case by Case Decision](#)
- [TF Productivity - Average Time \(In Days\) to close a case by User](#)

## Productivity - Average Time (in Days) to close a case by Message Category

Use this section to view Average Time (in Days) to close a case by message category.

To view Average Time (in Days) to close a case by message category, follow these steps:

1. Select the date from the Case Closed Date drop-down list. Based on your selection, the report is displayed.
2. A table format is used to display the average time to close the case for each message category.



## TF Productivity - Average Time (in Days) to close a case by Jurisdiction

Use this section to view Average Time (in Days) to close a case by jurisdiction.

To view Average Time (in Days) to close a case by jurisdiction, follow these steps:

1. Select the date from the Case Closed Date drop-down list. Based on your selection, the report is displayed.
2. A bar graph is used to display the average time to close the case by jurisdiction.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Productivity - Average time to close by case by jurisdiction Drill Down**.

## Productivity - Average Time (in Days) to close a case by Case Decision

Use this section to view Average Time (in Days) to close a case by case decision.

To view Average Time (in Days) to close a case by case decision, follow these steps:

1. Select the date from the Case Closed Date drop-down list. Based on your selection, the report is displayed.
2. A bar graph is used to display the average time to close the case by case decision.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Productivity - Average time to close case by case status Drill Down**.

## TF Productivity - Average Time (in Days) to close a case by User

Use this section to view Average Time (in Days) to close a case by user.

To view Average Time (in Days) to close a case by user, follow these steps:

1. Select the date from the Case Closed Date drop-down list. Based on your selection, the report is displayed.
2. A bar graph is used to display the average time to close the case by user.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Productivity - Average time by user Drill Down**.

## TF Cases Score and Transaction Amount

Use this section to view types of reports pertaining to TF Cases Score and Transaction Amount using different graphs.

You can search Transaction Filtering Dashboard using the Case Generation Date, Case Closed Date, Case Type, Business Domain, Jurisdiction, Message Category, Currency, Status Category, and Status.

The Dashboard displays the following list of reports:

- [TF Cases by Score](#)
- [TF Cases by Transaction Amount](#)

## TF Cases by Score

Use this section to view TF Cases by Score.

To view the total number of cases:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Case Closed Date
  - Case Type
  - Business Domain
  - Jurisdiction
  - Message Category
  - Currency
  - Status Category
  - Status
2. Hover-over the linegraph to view the TF Cases by Score and Score.

## TF Cases by Transaction Amount

Use this section to view TF Cases by Transaction Amount.

To view the total number of cases:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Generation Date
  - Case Closed Date
  - Case Type
  - Business Domain
  - Jurisdiction
  - Message Category
  - Currency
  - Status Category
  - Status
2. Hover-over the scattergraph to view the Cases by Transaction Amount, TF Transaction Amount, Currency, Case Created Year, and Case Created Month.

## Top 10 Words or Causes of Hits Identified

Use this section to view Top 10 Words or Causes of Hits Identified.

To view the Top 10 Words or Causes of Hits Identified, follow these steps:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Created On

- Case Closed on
  - Case Status
  - Jurisdiction
  - Matched Type
  - Score
  - Top X Matches
2. Hover-over the horizontal bar to view the Total Cases by Priority-CS and Case Priority.
  3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Top 10 Words or Causes of Hits Identified Drill Down**.

# 9

## Transactions

Use this section to view the types of reports pertaining to Transactions using different graphs. The following reports are covered in this section:

- [Customer Information with Transaction details](#)
- [Transactions and Amount by Transaction Type](#)

### Customer Information with Transaction details

Use this section to view the Customer Information with transaction details. A table enlists all the details.

Navigate to the **Transaction** workbook. The **Customer Information with transaction details** page appears.

Select the values for Transaction execution date, Transaction ID, Account ID, Customer ID, and Customer Name filters. Based on your selection, reports are displayed in a tabular format.

### Transactions and Amount by Transaction Type

Use this section to view the summary of Transactions and Amount by Transaction Type. A scatter plot is used to display reports.

To view the summary of Transactions and Amount by Transaction Type, follow these steps:

1. Navigate to the Customer Information workbook and click **Transactions and Amount by Transaction** tab. The **Transactions and Amount by Transaction** page appears.
2. Select the values for Transaction Executed On, Transaction Currency Code, and Transaction Product Code filters. Based on your selection, reports are displayed.

#### Note

If the scatter-plot is not visible, try disabling the **Transaction Executed On** filter.

3. Hover-over the data point to view the following details:
  - Transaction Amount
  - Total Transactions
  - Transaction Type
  - Transaction Currency Code
4. Right-click on the report aggregate measure (data point) to navigate to corresponding drill-down detailed report named **Transactions and Amount by Transaction Type Drilldown**.

# Suspicious Activity Report (SAR) Reports

Use this section to view types of reports pertaining to Suspicious Activity Report (SAR) using different graphs.

You can search Suspicious Activity Report (SAR) reports using Report Creation Date, SAR Classification, Report Type, Jurisdiction, Channel, and Industry Type filters.

The following is the list of reports:

- [Case to SAR Ratio](#)
- [Channel to SAR Ratio](#)
- [Jurisdiction to SAR Relation](#)
- [Number of SARs \(reported\) over a period of time](#)
- [Event to SAR Ratio](#)
- [Risk Category to SAR](#)
- [SAR Reports by Industry Type](#)
- [Type of SARs-Top 10](#)
- [Product to SAR Ratio](#)
- [Notable SARs](#)
- [Total Reports by Risk Category](#)
- [TM \(AML\) Types of SARs Details](#)

## Case to SAR Ratio

Use this section to view the Case to SAR Ratio relation. A Donut graph is used to display these reports.

To view case to SAR ratio reports details, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over the Case to SAR ratio graph to view Total Reports/Ratio and Total Case/Ratio.

## Channel to SAR Ratio

Use this section to view the Channel (transaction type) to SAR Ratio relation. A Donut graph is used to display these reports.

To view the channel to SAR ratio reports details, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over the Channel to SAR ratio to view the Total Reports by channel and Transaction Type associated with it.

## Jurisdiction to SAR Relation

Use this section to view Jurisdiction to SAR Relation such as APAC, EMEA, AUS, and so on. A Donut Chart is used to display these reports.

To view Jurisdiction to SAR relation report details, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over each Jurisdiction to view the Total Reports by jurisdiction and jurisdiction code associated with it.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) Jurisdiction to SAR relation Drill Down**.

## Number of SARs (reported) over a period of time

Use this section to view the Number of SARs (reported) over a period of time. A Line graph is used to display reports.

To view the number of SARs (reported) over a period in details, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over the month to view Total Reports, Report Creation Year, and Report Creation Month.

## Event to SAR Ratio

Use this section to view the Event (Alerts) to SAR Ratio relation. A Donut graph is used to display these reports.

To view event to SAR ratio reports details, follow these steps:

1. Navigate to the Suspicious Activity Reporting workbook and click SARs & Events(AML) tab. The Event to SAR Ratio page appears.
2. Select the values for Evented Date filter, based on your selection, reports are displayed.
3. Hover over the Event to SAR ratio graph to view Total Reports/Ratio and Total Events/Ratio.

## Scenarios not generating SARs

Use this section to view the summary of the number of scenarios that did not trigger any suspicious activities. A Donut chart is used to display reports.

To view the summary of Scenarios not generating SARs , follow these steps:

1. Navigate to the Suspicious Activity Reporting workbook and click **SARs & Events(AML)** tab. The **#Scenarios not generating SARs** page appears.
2. Select the values for Evented Date filter. Based on your selection, reports are displayed.
3. Hover over the donut chart to view the number of transactions which are not generating Suspicious Activity Report(SAR).

## Risk Category to SAR

Use this section to view the Risk Category to SAR relation such as high, low, and medium. A Donut Chart is used to display these reports.

To view Risk Category to SAR report details, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over each category to view the Total Reports and case priority associated with it.

## SAR Reports by Industry Type

Use this section to view SAR Reports by Industry Type relation such as high, low, and medium. A Cloud Tag is used to display these reports.

To view SAR Reports by Industry Type reports using expression filter, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over each category to view the Total Reports associated with it.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) SAR Reports by Industry Type Drill Down**.

## Type of SARs-Top 10

Use this section to view the Types of SARs Top 10 relation. A Horizontal Bar graph is used to display these reports.

To view the type of SARs report details, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over the SAR Classification to view the Total Reports and classifications associated with it.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) Types of SARs Drill Down**.

## Product to SAR Ratio

Use this section to view the Product to SAR Ratio. A Donut Bar graph is used to display these reports.

To view the Product to SAR Ratio report details, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over the Product to SAR Ratio graph to view the Total Reports by product and Account Type display name.

## Notable SARs

Use this section to view the Notable SARs relation. A Pie Bar graph is used to display these reports.

To view the Notable SARs report details, follow these steps:

1. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hover over the Notable SARs to view the Total number of notable reports.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) Notable SARs Drill Down**.

## Total Reports by Risk Category

Use this section to view Total Reports by Risk Category. A donut chart is used to display reports.

To view the Customer Risk Model Break Down, follow these steps:

1. Select Report Created On, Jurisdiction, Report Type Code, Classification, and Transaction Channel from the Date drop-down filters. Based on your selection, reports are displayed.
2. Hover-over the donut chart to see the Total Reports by Risk Category.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) Risk Category to SAR Drill Down**.

## TM (AML) Types of SARs Details

Use this section to view Types of SARs Details. A horizontal bar is used to display reports.

To view the TM (AML) Types of SARs Details, follow these steps:

1. Select Report Created On and Classification from the Date drop-down filters. Based on your selection, reports are displayed.
2. Hover-over the horizontal bar to see the Types of SARs Details.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **TM (AML) Types of Total SARs Drill Down**.

## Top 10 customers having more number of SARs

Use this section to view the summary of Top 10 customers having more number of SARs report. A tag cloud is used to display reports.

To view the summary of Total Report of Top 10 Customers, follow these steps:

1. Navigate to the SAR report workbook and click **Customer SARs**. The **Total Report of Top 10 Customers** page appears.
2. Select the values for Report Created On and Case Class filters. Based on your selection, reports are displayed.
3. Hover-over the tag cloud to see the Total Reports by Customer.



4. Right-click on the report aggregate measure (tag cloud) to navigate to corresponding drill-down detailed report named **Total Report of Top 10 Customers Drilldown**.

## Trend of Cases Submitted for SAR by Owner

Use this section to view the Trend of Cases Submitted for SAR by Owner. A stacked bar chart is used to display reports.

To view the summary of Trend of Cases Submitted for SAR by Owner report, follow these steps:

1. Select the values of Case Owner, Report Created On, Case Status Category, Case Type, and Classification description filters. Based on your selection, reports are displayed.
2. Hover-over the stacked bar chart to see the Total Reports by Owner.
3. Right-click on the report aggregate measure(Stacked bar chart) to navigate to corresponding drill-down detailed report named **Trend of Cases Submitted for SAR by Owner-Drilldown**.

# Know Your Customer (KYC) Reports

Use this section to view types of reports pertaining to Know Your Customer (KYC) using different graphs.

You can search Know Your Customer (KYC) Reports using the Date Range filter.

The following is the list of reports:

- [KYC Movement of Customers Between Risk Categories](#)
- [KYC New Customer Accounts](#)
- [KYC Number of Customer Whose Score is Overridden](#)
- [Know Your Customer Risk Assessment Report](#)
- [KYC Status](#)
- [Customer Risk Model Breakdown](#)
- [Risk Assessment Due for a Period of Time Risk Assessment Due for a Period of Time](#)
- [Trigger for Risk Assessment](#)

## KYC Movement of Customers Between Risk Categories

Use this section to view the Movement of Customers Between Risk Categories. A Donut Chart is used to display reports. The Risk Assessment Date filter is used to generate this report.

To view the Movement of Customers Between Risk Categories using the date filter, follow these steps:

1. Select Risk Assessment Date from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover over the Risk Category graph to view the Previous Risk Category, Current Risk Category, and #Customers.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **KYC Movement of Customer between Risk Categories Drill Down**.

## KYC New Customer Accounts

Use this section to view the KYC New Customer Accounts. A Bar graph is used to display reports. Account Opened Date filter is used to generate this report.

To view KYC New Customer Accounts using the Account Opened Date filter, follow these steps:

1. Select Account Opened Date from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover over the Account Opened Date bar to view Account Opened Year, Total Account, and Account Opened Month details.

## KYC Number of Customer Whose Score is Overridden

Use this section to view the KYC Number of Customer Whose Score is Overridden. A Bar graph is used to display reports. The Risk Assessment Date filter is used to generate this report.

To view the KYC Number of Customer Whose Score is Overridden using the date filter, follow these steps:

1. Select Risk Assessment Date from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover over the month-wise bar to view Risk score Overridden Customers and Creation Month Name.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **KYC Number of customer whose Risk score is Overridden Drill Down**.

## KYC Status

Use this section to view the KYC status reports. A Donut graph is used to display these reports. KYC On boarding Date filter is used to generate this report.

To view KYC Status reports using the KYC On boarding Date filter, follow these steps:

1. Select Account Open Date, Review, and Created On from the drop-down lists. Based on your selection, the report is displayed with Accepted or Rejected status.
2. Hover over the KYC Status report to view Total Requests and Customer status.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **KYC Accepted Customer Accounts Drill Down**.

## Customer Risk Model Break Down

Use this section to view Customer Risk Model Break Down. A pivot table is used to display reports.

To view the Customer Risk Model Break Down, follow these steps:

1. Select Case Created On from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the pivot table to see the average status time.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Customer KYC Risk Model Breakdown Drilldown**.

## Risk Assessment Due for a Period of Time

Use this section to view Risk Assessment Due for a Period of Time. A donut chart is used to display reports.

To view the Risk Assessment Due for a Period of Time, follow these steps:

1. Select Account Open Date, Review, and Created On from the Date drop-down filters. Based on your selection, reports are displayed.

2. Hover-over the donut chart to see the risk assessment.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Risk Assessment Due Drilldown** and **KYC Rejected Customer Accounts Drill Down**.

## Trigger for Risk Assessment

Use this section to view Trigger for Risk Assessment. A bar graph is used to display reports.

To view the Trigger for Risk Assessment, follow these steps:

1. Select Case Created On from the Date drop-down filter. Based on your selection, reports are displayed.
2. Hover-over the bar graph to see the total risk assessment.
3. Right-click on the report aggregate measure to navigate to corresponding drill-down detailed report named **Trigger for risk assessment - Drilldown**.

# Transaction Monitoring Reports

Use this section to view types of reports pertaining to Transaction Monitoring Reports.

The following is the list of reports:

- [Case Qualification Report](#)
- [Unusual Case Qualification Report](#)
- [Unusual Case Qualification Report by Origin](#)
- [Unusual Case Qualification Report by Origin - Previous Date Range](#)

## Case Qualification Report

Use this section to view Case Qualification Report.

To view the Top 10 Words or Causes of Hits Identified, follow these steps:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Created Date
  - Case Closed Date
  - Case Owner
  - Case Owner Rule
  - Status Placeholder Code
  - Jurisdiction
  - Status Category
  - Status Description
  - Business Domain
2. Hover-over the pivot table to view the Total Cases by Priority-CS and Case Priority.

## Unusual Case Qualification Report

Use this section to view Unusual Case Qualification Report.

To view the Unusual Case Qualification Report, follow these steps:

1. Select the required criteria from the following different filter drop-down lists:
  - Case Created Date
  - Case Closed Date
  - Case Owner
  - Case Owner Rule
  - Status Placeholder Code

- Jurisdiction
  - Status Category
  - Status Description
  - Business Domain
2. Hover-over the pivot table to view the Unusual Case Qualification Report.

## Unusual Case Qualification Report by Origin

Use this section to view Unusual Case Qualification Report by Origin.

## Unusual Case Qualification Report by Origin - Previous Date Range

Use this section to view Unusual Case Qualification Report by Origin - Previous Date Range.

To view the Unusual Case Qualification Report by Origin - Previous Date Range, follow these steps:

1. Select the required criteria from the following different filter drop-down lists:
2. Hover-over the pivot table to view the Unusual Case Qualification Report by Origin.

## Transactions and Amount by Transaction Type

Use this section to view the summary of Transactions and Amount by Transaction Type. A scatter plot is used to display reports.

To view the summary of Transactions and Amount by Transaction Type, follow these steps:

1. Navigate to the Customer Information workbook and click **Transactions and Amount by Transaction** tab. The **Transactions and Amount by Transaction** page appears.
2. Select the values for Transaction Executed On, Transaction Currency Code, and Transaction Product Code filters. Based on your selection, reports are displayed.

### Note

If the scatter-plot is not visible, try disabling the **Transaction Executed On** filter.

3. Hover-over the data point to view the following details:
  - Transaction Amount
  - Total Transactions
  - Transaction Type
  - Transaction Currency Code
4. Right-click on the report aggregate measure (data point) to navigate to corresponding drill-down detailed report named **Transactions and Amount by Transaction Type Drilldown**.

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## Customer Information

Use this section to view the types of reports pertaining to Customer Information using different graphs. The following reports are covered in this section:

- [Customer Information with Account Details](#)
- [High Risk Customer Reports](#)
- [Number of Events by Customers-Top 10](#)
- [High Risk Geography Customer Transactions](#)
- [Customers by Geographic Risk](#)

### Customer Information with Account Details

Use this section to view the Customer Information with account details. A table enlists all the details.

Navigate to the **Customer Information** workbook. The **Customer Information with account details** page appears.

Select the values for Customer Internal ID, Customer Name, Email ID, Phone, and Risk Assessment ID filters. Based on your selection, reports are displayed in a tabular format.

### High Risk Customer Reports

Use this section to view the summary of number of high-risk customers. A donut chart is used to display the reports.

Navigate to the **Customer Information** workbook and click **High Risk Customers**. The **High Risk Customers** page appears.

Click the Created on filter and select your desired date or date range. Based on your selection, a donut chart displays the number of high-risk customers.

### Number of Events by Customers-Top 10

Use this section to view the summary of top 10 customers with the highest number of events. A tag cloud is used to display reports.

To view the summary of number of events by top 10 customers, follow these steps:

1. Navigate to the Customer Information workbook and click **#Events by Customers** tab. The **#Events by Top 10 Customers** page appears.
2. Select the values for Evented date, Event type, Event Priority, and Event Status filters. Based on your selection, reports are displayed.
3. Hover-over the tag cloud to see the number of events associated with each customer.

4. Right-click on the report aggregate measure (tag cloud) to navigate to corresponding drill-down detailed report named **Events by Top 10 Customers Drilldown**.

## Customers by Geographic Risk

Use this section to view the summary of number of customers by geographic risk. A donut chart that breaks down customers based on their geographic risk levels is displayed.

To view the summary of number of customers by geographic risk , follow these steps:

1. Navigate to the **Customer Information** workbook and click **#Customers by Geographic Risk** tab. The **#Customers by Geographic Risk** page appears.
2. Select the value for Customer Onboarded On filter. Based on your selection, a donut chart is displayed.

### Note

If the donut chart is not visible, try disabling the **Customer Onboarded On** filter.

3. Hover over the sections of the donut chart to view the number of customers in each geographic risk category:
  - High Risk
  - Medium Risk
  - Low Risk

## High Risk Geography Customer Transactions

Use this section to view the summary of the Top 10 customers with High Risk Geographic Transactions. A tag cloud is used to display reports.

To view the summary of Top 10 Customer Transactions with High Geographic Risk , follow these steps:

1. Navigate to the **Customer Information** workbook and click **High Risk Geography Customers**. The **Top 10 Customer Transactions with High Geographic Risk** page appears.
2. Select the values for Transaction Execution Date filter and set the **Customer Risk Type to Geography Risk**. Based on your selection, reports are displayed.
3. Hover over the tag cloud to view the number of transactions with high geographic risk associated with each customer.
4. Click on a specific tag cloud element to access the drilldown report linked to it, which offers more detailed information from the **Top 10 Customer Transactions with High Geographic Risk-Drilldown** table.

### Top 10 Customer Transactions by High Industry Risk

Use this section to view the summary of the Top 10 customers with High Risk Industry Transactions. A tag cloud is used to display reports.

To view the summary of Top 10 Customer Transactions with High Industry Risk , follow these steps:



1. Navigate to the **Customer Information** workbook and click **High Risk Geography Customers**. The **Top 10 Customer Transactions with High Geographic Risk** page appears.
2. Select the values for Transaction Execution Date filter and set the **Customer Risk Type** to **Industry Risk** to view **Top 10 Customer Transactions by High Industry Risk** page . Based on your selection, reports are displayed.
3. Hover over the tag cloud to view the number of transactions with high industry risk associated with each customer.
4. Click on a specific tag cloud element to access the drilldown report linked to it, which offers more detailed information from the **Top 10 Customer Transactions with High Industry Risk-Drilldown** table.

## Enabling OAS Subject Areas access from an external OAC

Enable secure access to Oracle Analytics Server (OAS) subject areas from an external Oracle Analytics Cloud (OAC) instance, allowing OAC to query and visualize OAS data sources.

This maximizes existing Analytics investments by extending them to cloud users, promoting unified reporting, accelerating insights, and reducing duplication of data models.

You don't need to do anything to enable this feature.

## Enabling OAS BI Publisher

Enable BI Publisher in Oracle Analytics Server (OAS) to support automated report generation and scheduled data exports.

Streamlines distribution of structured data to downstream systems through scheduled exports, improving operational efficiency and ensuring timely data delivery without manual intervention.

You don't need to do anything to enable this feature.

# CAMLO Executive Dashboard

The CAMLO Executive Dashboard, is designed to provide a high-level overview of case management, Know Your Customer (KYC) compliance metrics, transaction monitoring activities for compliance and risk management purposes.

Select **CAMLO Executive Dashboard** from the Navigation menu.

The CAMLO Executive Dashboard showcases information for the following use cases:

- All Cases
- Transaction Monitoring
- Know your customer

## All cases

This section summarizes the current status of case investigations. The following categories are covered:

- **Total Due Cases:** Tracks how many cases are due today and provides upcoming due counts for the next 3, 7, and 15 days.
- **Aging Cases:** Displays the total number of open cases, categorized by aging periods (0–30 days, 31–60 days, etc.)
- **Overdue Cases:** Shows the number of overdue cases as of today, and highlights cases overdue in the past 7 days.
- Links for drilldown analysis are provided for a more detailed insight.

## Drilldown Analysis-All Cases

This section covers the following drilldown reports:

- [Due Case Details](#)
- [Aging Cases Drilldown Analysis](#)
- [Overdue Cases Drilldown Analysis](#)

## Due Case Details

This dashboard is designed for monitoring all cases that are approaching or past their due date.

To view **Due Case Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **Due Cases Drilldown Analysis** in the **All Cases** section. The **Due Case Details** page appears.

2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Due Date
  - Case Type
  - Case Owner
  - Case Priority
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.
4. The **Due Cases Details** table lists each matching case along with its key attributes.

## Aging Cases Drilldown Analysis

This dashboard is designed for monitoring the aging profile of all open cases to spot bottlenecks and act before SLAs are missed.

To view **Case Aging Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **Aging Case Drilldown Analysis** in the **All Cases** section. The **Case Aging Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Created Date
  - Case Class Name
  - Case Type
  - Case Owner
  - Status Description
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.
4. The **Case Aging Details** table lists each case along with its key attributes.

## Overdue Cases Drilldown Analysis

This dashboard is designed for monitoring all cases that are already past their due date.

To view **Overdue Case Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **Overdue Cases Drilldown Analysis** in the **All Cases** section. The **Overdue Case Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Due Date
  - Case Class Name
  - Case Type

- Case Owner
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.
  4. The **Overdue Case Details** table lists each matching case along with its key attributes.

## Transaction Monitoring

This section focuses on transaction-related cases. The following categories are covered:

- Total Due Cases: Number of transaction monitoring cases due today.
- Case Volume: Total transaction monitoring cases as of today.
- High Risk Customers: Number of high-risk customer cases currently under review.
- Overdue Cases: Transactions cases that are overdue as of today.
- Links for drilldown analysis are provided for a more detailed insight.

## Drilldown Analysis-Transaction Monitoring

This section covers the following drilldown reports:

- [Due Case Details](#)
- [Case Volume Drilldown Analysis](#)
- [High Risk Customers Drilldown Analysis](#)
- [Overdue Cases Drilldown Analysis](#)

## Due Case Details

This dashboard is designed for monitoring all cases that are approaching or past their due date.

To view **Due Case Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **Due Cases Drilldown Analysis** in the **Transaction Monitoring** section. The **Due Case Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Due Date
  - Case Type
  - Case Owner
  - Case Priority
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.

4. The **Due Cases Details** table lists each matching case along with its key attributes.

## Case Volume Drilldown Analysis

This dashboard is designed for monitoring all open Transaction Monitoring (TM) cases that are still in progress and require further action.

To view **TM Open Case Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **Case Volume Drilldown Analysis** in the **Transaction Monitoring** section. The **TM Open Case Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Created Date
  - Case Class Name
  - Case Type
  - Case Priority
  - Case Owner
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.
4. The **Open Case Details** table lists each matching case along with its key attributes.

## High Risk Customers Drilldown Analysis

This dashboard is designed for monitoring all Transaction Monitoring (TM) cases that involve customers classified as High Risk.

To view **TM High Risk Customers Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **High Risk Customers Drilldown Analysis** in the **Transaction Monitoring** section. The **TM High Risk Customers Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Created Date
  - Case Owner
  - Case Priority
  - Status Description
  - Scenario
3. Hover over any chart element to see additional information.
4. The **High Risk Customer Cases Details** table lists each matching case along with its key attributes.

## Overdue Cases Drilldown Analysis

This dashboard is designed for monitoring all cases that are already past their due date.

To view **Overdue Case Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **Overdue Cases Drilldown Analysis** in the **Transaction Monitoring** section. The **TM Overdue Case Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Due Date
  - Case Class Name
  - Case Type
  - Case Owner
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.
4. The **Overdue Case Details** table lists each matching case along with its key attributes.

## Know Your Customer (KYC) Reports

This section focuses on KYC cases. The following categories are covered:

- **Total Due Risk Assessments:** Shows the number of KYC risk assessments due today, with visibility into upcoming due assessments for the next 3, 7, and 15 days.
- **Total Due Cases:** Counts KYC cases due today and their forecast for upcoming periods.
- **Total ARR Based Risk Assessments:** Tracks annual recurring reviews (ARR) based risk assessments due today, including trends for the past 7, 15, and 30 days, as well as month-to-month comparisons.
- **High Risk Customers:** Highlights the number of high-risk customers who have not been reviewed in the past 12 months, indicating areas of potential compliance risk.
- **Closed Cases with Overridden Risk Score:** The count of KYC cases closed today where the risk score was manually overridden, signaling cases that may require further scrutiny or audit.
- **KYC Cases with Pending RFI (Request for Information) Completion:** Tracks KYC cases awaiting additional information, with filtering by status code and a count of overdue or recently overdue cases.
- **Risk Assessment Completion Rate:** Displays the percentage of completed risk assessments, providing a snapshot of process efficiency and compliance.
- Links for drilldown analysis are provided for a more detailed insight.

## Drilldown Analysis-KYC



This section covers the following drilldown reports:

- [KYC Due Risk Assessments Drilldown Analysis](#)
- [KYC Due Cases Drilldown Analysis](#)
- [KYC ARR Risk Assessment Drilldown Analysis](#)
- [KYC High Risk Customers Drilldown Analysis](#)
- [Closed Cases with Overridden Risk Score Drilldown Analysis](#)
- [KYC Cases with Pending RFI Details](#)
- [RA Completion Drilldown Analysis](#)

## KYC Due Risk Assessments Drilldown Analysis

This dashboard is designed for monitoring all KYC risk assessments that are approaching or past their review date.

To view **KYC Due Risk Assessments Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **KYC Due Risk Assessments Drilldown Analysis** in the **Know Your Customer** section. The **KYC Due Risk Assessments Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Next Review
  - Risk
  - Reason
  - Case Status
3. Hover over any chart element to see additional information.
4. The **Due Risk Assessments Details** table lists each matching case along with its key attributes.

## KYC Due Cases Drilldown Analysis

This dashboard is designed for monitoring all KYC cases that are approaching or past their due date.

To view **KYC Due Case Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **KYC Due Cases Drilldown Analysis** in the **Know Your Customer** section. The **KYC Due Case Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Due Date
  - Case Type
  - Case Owner
  - Case Priority
  - Business Domain

- Jurisdiction
3. Hover over any chart element to see additional information.
  4. The **Due Case Details** table lists each matching case along with its key attributes.

## KYC ARR Risk Assessment Drilldown Analysis

This dashboard is designed for monitoring all KYC Annual/Ad-hoc Risk Review (ARR) assessments created within a specified time frame.

To view **KYC ARR Risk Assessments Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **KYC ARR Risk Assessments Drilldown Analysis** in the **Know Your Customer** section. The **KYC ARR Risk Assessments Details** page appears.
2. Select the value for the **Created On** filter. Reports refresh automatically based on your selection.
3. Hover over any chart element to see additional information.
4. The **ARR Risk Assessments Details** table lists each matching risk assessment along with its key attributes.

## KYC High Risk Customers Drilldown Analysis

This dashboard is designed for monitoring KYC customers classified as High Risk and whose profiles have not been reviewed within a specified timeframe.

To view **KYC High Risk Customers Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **KYC High Risk Customers Drilldown Analysis** in the **Know Your Customer** section. The **KYC High Risk Customers Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Not Reviewed From
  - Not Reviewed Till
  - Customer Type
3. Hover over any chart element to see additional information.
4. The **High Risk Customer Details** table lists each matching customer along with key attributes.

## Closed Cases with Overridden Risk Score Drilldown Analysis

This dashboard is designed for monitoring all KYC cases whose system-generated risk scores have been manually overridden.

To view **KYC Cases with Overridden Risk Score Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **KYC Cases with Overridden Risk Score Drilldown Analysis** in the **Know Your Customer** section. The **KYC Cases with Overridden Risk Score Details** page appears.

2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Closure Date
  - Case Type
  - Case Owner
  - Case Priority
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.
4. The **Cases with Overridden Risk Score Details** table lists each matching case along with its key attributes.

## KYC Cases with Pending RFI Details

This dashboard is designed for monitoring all KYC cases that have a pending Request for Information (RFI) and therefore require follow-up to progress.

To view **KYC Cases with Pending RFI Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **KYC Cases with Pending RFI Drilldown Analysis** in the **Know Your Customer** section. The **KYC Cases with Pending RFI Details** page appears.
2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Created Date
  - Status Code
  - Case Type
  - Case Owner
  - Case Priority
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.
4. The **Cases with Pending RFI Details** table lists each matching case along with its key attributes.

## RA Completion Drilldown Analysis

This dashboard is designed for monitoring the completion rate of KYC Risk-Assessed (RA) cases.

To view **KYC RA Completion Rate Details**, follow these steps:

1. Navigate to the **CAMLO Executive Dashboard** and click **KYC RA Completion Rate Drilldown Analysis** in the **Know Your Customer** section. The **KYC RA Completion Rate Details** page appears.

2. Select the desired values for the following filters. The charts refresh automatically with each change:
  - Case Created Date
  - Case Type
  - Case Owner
  - Case Priority
  - Business Domain
  - Jurisdiction
3. Hover over any chart element to see additional information.
4. The **Risk Assessed Cases Closure Details** table lists each matching case along with its key attributes.

## Technical Documents

This chapter covers the following topics:

- **Reporting Data Model:** Please refer to the [Doc ID 3077248.1](#) to retrieve the FCCM Monitor Cloud Service's Glossary of the Reporting Data Model (RPD Documentation).

### Create custom reports

Follow these steps to create a workbook from a dataset using ATP source tables:

1. Navigate to the **Oracle Analytics Server** home page.
2. Click the **Create** button at the top right corner, then select **Dataset**.
3. In the **Connections** pane, choose **FCCM Analytics - Public - ATP**.
4. When the New Dataset page opens, drag the **Manual Query** option into the blank area on the right.
5. Once the Manual Query widget appears, right-click it and select **Edit Definition**.
6. In the query editor, enter your SQL statement in the provided space. Click **Get Preview Data** to view the results, then select **OK**.
7. Choose the data access type: Automatic Caching or Live, based on your requirements.
8. Save the dataset using the **Save** option at the top right corner.
9. After saving the dataset, the **Create Workbook** option is enabled.
10. Click **Create Workbook**. A new canvas opens with the Data Panel displaying all attributes from your SQL query.
11. Right-click on an attribute and select **Create Best Visualization** or **Pick Visualization** from the available options.
12. You can adjust visualization properties from the **Properties** tab.
13. Finally, save the workbook to the catalog under **Shared Folders > Monitor CS > MONITORCS Ad-hoc Analysis**.