Oracle® FCCM Monitor Cloud Service

User Guide

Release 24.6.1

F96580-01
June 2024

Oracle FCCM Monitor Cloud Service User Guide, Release 24.6.1

F96580-01

Contents

1
Preface

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

1.1 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.

1.2 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/.

1.3 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.

1.4 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 peri- ods, 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.

3.1 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 **Monitor CS** in the Navigation List (LHS menu) and select USSAR. The Monitor CS landing page is displayed.
6. Click Shared Folder tab. Dashboards are displayed based on your privileges.
7. 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**

4.1 Actions

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

Topics:

- Exporting and Copying Data

4.1.1 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

4.2 **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

4.2.1 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.

4.2.2 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**.

4.2.3 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.

4.2.4 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

4.2.5 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.

4.2.6 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.

4.3 Filters

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

Topics:

- Date Range
- List
- Relative Time
- Top Bottom N Filters

4.3.1 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.

4.3.2 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.

4.3.3 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.

4.3.4 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 date 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:

- Case Ageing
- Geography of Customers with Number of Cases
- 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

5.1 Case Ageing

Use this section to view case aging 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.

5.2 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.

5.3 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.

5.4 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.

5.5 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.

5.6 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.

5.7 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.

5.8 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.

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**

6.1 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.

6.2 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.

6.3 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.

6.4 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

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

7.1 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. Hove-rover the Case to SAR ratio graph to view Total Reports/Ratio and Total Case/Ratio.

7.2 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. Hove-rover the Channel to SAR ratio to view the Total Reports by channel and Transaction Type associated with it.

7.3 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. Hove-rover each Jurisdiction to view the Total Reports by jurisdiction and jurisdiction code associated with it.

7.4 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. Hove-rover the month to view Total Reports, Report Creation Year, and Report Creation Month.

7.5 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. Select the required criteria from different filter drop-down lists. Based on your selection, reports are displayed.
2. Hove-rover the Event to SAR ratio graph to view Total Reports/Ratio and Total Events/ Ratio.

7.6 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. Hove-rover each category to view the Total Reports and case priority associated with it.

7.7 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. Hove-rover each category to view the Total Reports associated with it.

7.8 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. Hove-rover the SAR Classification to view the Total Reports and classifications associated with it.

7.9 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. Hove-rover the Product to SAR Ratio graph to view the Total Reports by product and Account Type display name.

7.10 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. Hove-rover the Notable SARs to view the Total number of notable reports.

8

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
- KYC Status

8.1 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. Hove-rover the Risk Category graph to view the Previous Risk Category, Current Risk Category, and #Customers.

8.2 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. Hove-rover the Account Opened Date bar to view Account Opened Year, Total Account, and Account Opened Month details.

8.3 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. Hove-rover the month-wise bar to view #Risk score Overridden Customers and Creation Month Name.

8.4 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 date from the KYC On boarding Date drop-down list. Based on your selection, the report is displayed with Accepted or Rejected status.
2. Hove-rover the KYC Status report to view Total Requests and Customer status.