

Oracle® OFS RR Cloud Service

AUS SMR User Guide



Release 25.08.01

G39887-01

August 2025

ORACLE®

Copyright © 2000, 2025, Oracle and/or its affiliates.

This software and related documentation are provided under a license agreement containing restrictions on use and disclosure and are protected by intellectual property laws. Except as expressly permitted in your license agreement or allowed by law, you may not use, copy, reproduce, translate, broadcast, modify, license, transmit, distribute, exhibit, perform, publish, or display any part, in any form, or by any means. Reverse engineering, disassembly, or decompilation of this software, unless required by law for interoperability, is prohibited.

The information contained herein is subject to change without notice and is not warranted to be error-free. If you find any errors, please report them to us in writing.

If this is software, software documentation, data (as defined in the Federal Acquisition Regulation), or related documentation that is delivered to the U.S. Government or anyone licensing it on behalf of the U.S. Government, then the following notice is applicable:

U.S. GOVERNMENT END USERS: Oracle programs (including any operating system, integrated software, any programs embedded, installed, or activated on delivered hardware, and modifications of such programs) and Oracle computer documentation or other Oracle data delivered to or accessed by U.S. Government end users are "commercial computer software," "commercial computer software documentation," or "limited rights data" pursuant to the applicable Federal Acquisition Regulation and agency-specific supplemental regulations. As such, the use, reproduction, duplication, release, display, disclosure, modification, preparation of derivative works, and/or adaptation of i) Oracle programs (including any operating system, integrated software, any programs embedded, installed, or activated on delivered hardware, and modifications of such programs), ii) Oracle computer documentation and/or iii) other Oracle data, is subject to the rights and limitations specified in the license contained in the applicable contract. The terms governing the U.S. Government's use of Oracle cloud services are defined by the applicable contract for such services. No other rights are granted to the U.S. Government.

This software or hardware is developed for general use in a variety of information management applications. It is not developed or intended for use in any inherently dangerous applications, including applications that may create a risk of personal injury. If you use this software or hardware in dangerous applications, then you shall be responsible to take all appropriate fail-safe, backup, redundancy, and other measures to ensure its safe use. Oracle Corporation and its affiliates disclaim any liability for any damages caused by use of this software or hardware in dangerous applications.

Oracle®, Java, MySQL, and NetSuite are registered trademarks of Oracle and/or its affiliates. Other names may be trademarks of their respective owners.

Intel and Intel Inside are trademarks or registered trademarks of Intel Corporation. All SPARC trademarks are used under license and are trademarks or registered trademarks of SPARC International, Inc. AMD, Epyc, and the AMD logo are trademarks or registered trademarks of Advanced Micro Devices. UNIX is a registered trademark of The Open Group.

This software or hardware and documentation may provide access to or information about content, products, and services from third parties. Oracle Corporation and its affiliates are not responsible for and expressly disclaim all warranties of any kind with respect to third-party content, products, and services unless otherwise set forth in an applicable agreement between you and Oracle. Oracle Corporation and its affiliates will not be responsible for any loss, costs, or damages incurred due to your access to or use of third-party content, products, or services, except as set forth in an applicable agreement between you and Oracle.

Contents

1	Preface	
1.1	Audience	1
1.2	Help	1
1.3	Related Resources	1
1.4	Comments and Suggestions	1
2	About AUSMR	
2.1	RR AUS SMRApplcation	1
2.2	User Workflow	2
3	Getting Started	
3.1	User Access	1
3.2	Accessing the OFS CRR RR goAML STR Application	1
3.3	Managing Preference	2
4	Searching Reports	
4.1	Basic Search	1
4.2	Advanced Search	2
4.3	Saving Views	5
4.4	Views	5
4.5	Regulatory Reports List	6
4.5.1	Regulatory Reports List Features	6
5	Creating Reports	
5.1	Acknowledgment to OFS Case Investigation	1
5.2	Creating a Report Manually	1
6	Analyzing a Report	
6.1	Accessing Report Details	1

6.2	Subject Information	1
6.2.1	Main Address and Postal Address, Phone, and Alternate Name	3
6.3	Transaction	5
6.3.1	Foreign Currency Involved, Digital Currency Involved, and Person Role in Transaction	5
6.4	Services & Suspicion	7
6.5	Entity and Additional Details	7
6.5.1	Entity Details	7
6.5.2	Previous Report Details and Other Australian Government Body	8
6.6	Narrative	8
6.7	Documents	9
6.8	Audit	10

7 Acting on Reports

7.1	Requesting the Report for Approval	1
7.2	Approving Reports	2
7.3	Canceling Report Filing	2
7.4	Reopening Reports	3
7.5	Adding Comments	3
7.6	Setting a Due Date	3

8 Filing Reports

8.1	Approved Reports	1
8.1.1	Searching Approved Reports	2
8.1.2	Generating E-File	3
8.2	E-File Summary	3
8.2.1	Searching E-Files	4
8.2.2	Submitting E-Files	5
8.2.3	Rejecting Reports from E-Files	5
8.2.4	Uploading E-File Acknowledgment	6

1

Preface

Oracle Financial Services Compliance Regulatory Reporting Cloud Service Australia SMR User Guide.

1.1 Audience

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

1.2 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 the pages have help icons. You can also access the <https://docs.oracle.com/en/> to find guides and videos.

1.3 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>.

1.4 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/>.

2

About AUSMR

The Australian Suspicious Report (AUS SMR) is a report of when the reporting entity formed a suspicion of a matter that may be related to an offense. Such offenses include money laundering, the financing of terrorism, proceeds of crime, tax evasion, a person is not who they claim to be, or any offense under an Australian Commonwealth, State, or Territory law.

The XML schema for the electronic reporting of suspicious matter reports is based on the design of the data entry SMR form. The overall report and sections of the report are broken down into the various elements outlined in this specification.

The Australian Transaction Reports and Analysis Centre (AUSTRAC) is a Commonwealth government agency that was established in 1989. AUSTRAC plays an important role in the global fight against crime and works to support an Australian community that is hostile to money laundering and the financing of terrorism.

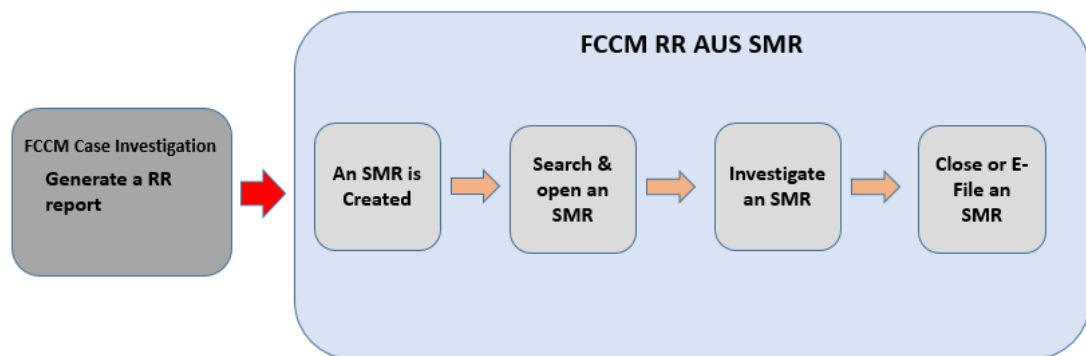
AUSTRAC is Australia's financial intelligence unit, and one of the first such units to be established in the world. AUSTRAC collects financial transaction reports, analyses the information, and disseminates financial intelligence which is used in the investigation of major crime and tax evasion.

2.1 RR AUS SMR Application

The Oracle Financial Services Compliance Regulatory Reporting Cloud Service (OFS CRR CS) Australian Suspicious Report (AUS SMR) application is used to create, investigate, and take appropriate action on the report for a resolution.

Reports are generated in the OFS CRR CS AUS SMR application as a result of the Generate STR action taken on a case or cases in the OFS Case Investigation Cloud Service. The business data (transaction, account, and entity details) and operational data (narratives, documents, and comments) related to the case which led to the creation of a report are available in the OFS CRR CS AUS SMR application. Using this information, authorized users investigate reports and report them to the AUSTRAC or close them by providing appropriate details.

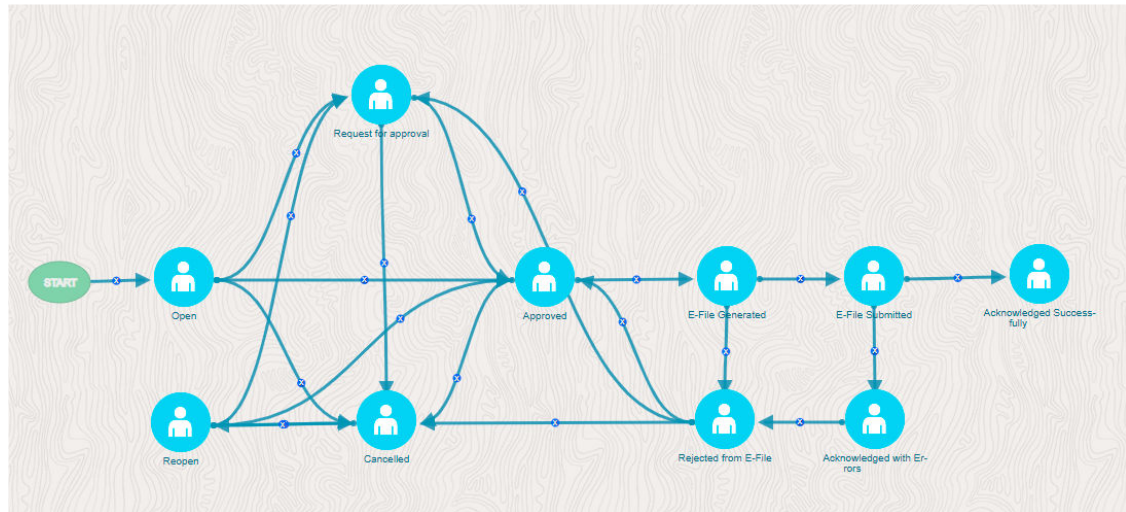
Figure 2-1 Report Workflow



- **Generatean OFS CRR RR Report:**After investigating a suspicious case, if it is required to report to the regulator,you can take action as *CloseSAR Required* in the OFS Case Investigation Cloud Service.
- **Createa Report:**A report is created in OFS Case Investigation Cloud Service and the related information is passed to the *OFS CRR CS AUS SMR* application using web service. The newly created report is available in the *OFSCRR CS AUS SMR* application and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable. When you identify a report of suspicious behavior that is not reported through the OFS Case Investigation Cloud Service but want to report it to the regulator, you can manually create a new report using the *Create New Report* option in the *OFS CRR CS AUS SMR* application.
- **Search and Open a Report:** To investigate the existing reports, you must open reports using basic, advanced, or views search criteria.
- **Investigate a Report:** To take any kind of action on a selected report, you must thoroughly analyze the details. You must verify the details of the report such as involved accounts, transactions, reporting entity details, related documents, narratives, and audit history. .
- **Act on a Report:** Post analysis, you must take action on the selected report to close or report it to the regulator based on your privileges.

2.2 User Workflow

This section explains the workflow of OFS CRR CS AUS SMR for Analyst and Supervisor role.

Figure 2-2 User Workflow

When a report is created in the OFS CRR CS AUS SMR application through the OFS Case Investigation Cloud Service, the report details are auto-populated with information from the case, which triggered the action to generate the report. Users mapped to the role of Analyst can update a report that is in an Open status and request the report's details for approval. During the edit and review process, the report is available to be viewed as a draft report.

A Supervisor can approve, rework, or cancel the filing of reports after the Analyst requests for approval. Supervisors can also edit report details and approve reports directly if required.

If the report is approved by the Supervisor, the Regulatory Reporting application generates the report in the final .pdf or .png, format after all the necessary validations. The report is then manually submitted to the Regulator. The submission to the Regulator occurs outside the *OFS CRR CS AUS SMR* application. The report status can then be marked as *Submitted* in the *OFS CRR CS AUS SMR* application.

If required, the Supervisor can send the reports for rework when the report is in *Request for Approval* status. The Analyst must then rework and re-submit the report for approval. This process continues until the report is approved or canceled.

Authorized users can reopen the canceled reports. The report status then changes to *Reopened*.

For the complete list of actions the Analyst, Auditor, or Supervisor can perform on various report statuses. See the following tables.

A Report has a life cycle that begins with the *Open* status and ends when it is in the *Submitted* status.

If the report is already opened by another user, then that report is locked and can only be viewed.

Table 2-1 Action that can be performed in various statuses

Report Status	Actions	User Roles	Status Changes To
Open	Request for Approval	Analyst	Requested for Approval
Open	Approve	Supervisor	Approved

Table 2-1 (Cont.) Action that can be performed in various statuses

Report Status	Actions	User Roles	Status Changes To
Open	Cancel Filing	Analyst and Supervisor	Canceled
Reopened	Request for Approval	Analyst	Requested for Approval
Reopened	Approve	Supervisor	Approved
Reopened	Cancel Filing	Analyst and Supervisor	Canceled
Requested for Approval	Approve	Supervisor	Approved
Requested for Approval	Cancel Filing	Supervisor	Canceled
Approved	Submit	Supervisor	Submitted
Approved	Submit	Supervisor	Submitted
Canceled	Reopen	Analyst and Supervisor	Reopened
E-File Generated	E-File Submit Reject E-File	Supervisor	E-File Submitted Rejected from E-File
Rejected from E- File	Request for Approval	Analyst	Requested for Approval
Rejected from E- File	Approve	Supervisor	Approved
Rejected from E- File	Cancel Filing	Analyst and Supervisor	Cancelled
E-File Submitted	Upload Acknowledgment	Supervisor	NA
Acknowledged with Errors	NA	Supervisor	Acknowledged with Errors
Acknowledged Successfully	NA	Supervisor	Acknowledged Successfully

Table 2-2 User Statuses

Status	Analyst	Supervisor	Auditor
Open	View and Edit	View and Edit	View-only
Reopened	View and Edit	View and Edit	View-only
Requested for Approval	View-only	View and Edit	View-only
Approved	View-only	View-only	View-only
Submitted	View-only	View-only	View-only
Canceled	View-only	View-only	View-only

3

Getting Started

This chapter explains the steps to log in to the *OFS CRR CS AUS SMR application* and provides a brief overview of the users and their roles.

Topics:

- [User Access](#)
- [Accessing the OFS CRR RR goAML STR Application](#)
- [Managing Preference](#)

3.1 User Access

This chapter provides different user roles in the OFS CRR CS AU SMR.

Table 3-1 User Access

Actions	Analyst	Supervisor	Auditor	RR Admin
View Report	x	x	x	
Request for Approval	x			
Approve		x		
Cancel Filing from Open and	x	x		
Cancel Filing from Requested for Approval		x		
Add Report Comments	x	x	x	
Generate E-File		x		
Submit E-File		x		
Reopen Canceled Reports	x	x		
Reopen Canceled Reports	x	x		x
Create a New Report	x	x		

3.2 Accessing the OFS CRR RR goAML STR Application

The *OFS CRR CS AUS SMR application* is qualified to run on Microsoft Internet Explorer (IE) 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 OFS CRR CS AUSMR application, follow these steps:

1. Enter the URL in the web browser using the following format:
<Protocol>://<HostName>:<Port_Number >/crr/login <Enter a step example.>
2. The Transaction Monitoring Application login page is displayed.
3. Enter the login field details.

Table 3-2 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. In the Left Hand Side (LHS) Navigation List, click **Compliance Regulatory Reporting**. The Compliance Regulatory Reporting tasks list is displayed.

3.3 Managing Preference

The preferences section enables you to set your OFS CRR default Home Page, time zone, and language.

To set the user preferences, follow these steps:

1. On the **Application** page, select Preferences from the **Application User** drop-down menu. The Preferences window is displayed.
2. Enter the required information in the **User Preference** fields.

Table 3-3 User Preference

Fields	Description
Start Page	Select the default page, which you want to display as your Home Page
Time Zone	Select the time zone you prefer from the Time Zone drop-down
Locale	Select the language you prefer from the Locale drop-down list. By default, it is US English

3. Click **Save** to update the preference.

4

Searching Reports

Use the Report Summary page to filter the list of reports that you want to open, view, analyze, and/or take action. This page also displays the Overdue Reports, Nearing Due date Reports, Pending Review Reports, Last Report ID Accessed in the dashboard.

By default, all reports are listed on the Report Summary page. You can also search required reports using search types and criteria. The types of search supported are: Views, Basic Search, and Advanced Search. The Report Summary page displays the list of reports you have specified in the search parameters.

- **Basic Search:** This search is based on a limited set of search fields, such as Report Number and Report Name. This is the default search option. You can use either of them or both to narrow down the search.
- **Advanced Search:** This search is based on the ability to specify an additional set of fields to narrow down your search results. Click Filter to open the Advanced Search.
- **View:** This option helps you to quickly filter the reports based on pre-defined search queries. Select the search criteria from the View drop-down list and filter the list of reports.
- **Regulatory Reports List:** This is the list of reports that matches the search criteria provided.

4.1 Basic Search

This search is based on a limited set of search criteria and helps retrieve the required reports for your analysis. This search type is very useful if you know the report details such as report name and report ID. Only those reports that match the criteria you specify are displayed.

To search for reports using basic search criteria, follow these steps:

1. Go to the **Report Summary** page. By default, the **Basic Search** option is displayed.
2. Enter the following information in the Basic Search pane as tabulated.

Table 4-1 Basic Search Fields

Fields	Description
Report ID	Enter report ID you want to view. For multiple report numbers, separate the report numbers with a comma (for example, 660, 671). Ensure that you do not enter a space after the comma. Report numbers are not case-sensitive. This overrides other filter criteria.
Report Name	For example, if you enter Report Number in search criteria, then this option overrides other details that you have entered previously in other search criteria such as Report Status, Types of Report, Approved By, and so on.
NOTE: You can enter a maximum of 50 numeric values in this field	

3. Click **Search**. Report or reports matching your search criteria are displayed.

4.2 Advanced Search

The advanced search offers an additional set of fields to the search report or reports provided with the Basic Search. This option helps you narrow down your search results. You can use combinations of these search criteria to quickly find the required reports.

To search for reports using advanced search criteria, follow these steps:



1. In the Summary Report page, click the **Advanced Search** The Advanced Search window is displayed.



Use the Expand or Collapse buttons to maximize or minimize the window.

2. Enter the following information in the Advanced Search window as tabulated. You can enter all the search fields or required fields. If you use more search fields, it will narrow down your search results.

Table 4-2 Advanced Search Fields

Fields	Description
Report ID	Enter one or more report IDs you want to view. For multiple report numbers, separate the report numbers with a comma (for example, 660, 671). Ensure that you do not enter a space after the comma. Report numbers are not case-sensitive. This overrides other filter criteria. For example, if you enter Report Number in search criteria, then this option overrides other details that you have entered previously in other search criteria such as Report Status, Types of Report, Approved By, and so on. NOTE: You can enter a maximum of 50 numeric values in this field.
Report Name	Enter the report name you want to view. This field supports a wildcard search. You can use '%' and '_' as wildcard indicators. NOTE: You can enter a maximum of 50 characters in this field.
Report Status	Select one or more statuses from the drop-down list. For example, Acknowledged, Approved, Reopened, and so on.
Reported Subject Name(s)	Enter the name of the subject(s) who reported. This field supports a wildcard search. You can use the '%' and '_' as wildcard indicators
Report Offence	Select the type of offence that led to the creation of this report. For example, Money laundering, Terror Financing, and so on.

Table 4-2 (Cont.) Advanced Search Fields

Fields	Description
Last Modified By	Enter the customer or customer's name reported as subjects in the report. This field supports a wildcard search. You can use the '%' and '_' as wildcard indicators. Select the user who last modified the report. Use this criterion to view all the reports modified by the user. For example, Analyst1, Supervisor2, and so on.
Last Modified Date >=	Select the last modified date to view reports having a last modified date greater than or equal to the specified date. Using this criterion, you can view the reports modified during the date range. For example, reports modified on or after July 27, 2020 NOTE: You can either perform a range search using 'Last Modified Date >=' and 'Last Modified Date <=' or use them independently.
Last Modified Date <=	Select the Last Modified Date from the calendar to view reports having a last modified date lesser than or equal to the specified date. Using this criterion, you can view the reports modified during the date range. For example, reports were modified on or before July 27, 2020.
Approved By	Select the name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.
Approved Date >=	Select the approved date to view reports having an approved date greater than or equal to the specified date. Using this criterion, you can view the reports approved during the date range. For example, reports approved on or after December 26, 2019.
Approved Date <=	Select the approved date from the calendar to view reports having an approved date lesser than or equal to the specified date. Using this criterion, you can view the reports that are approved during the date range. For example, reports are approved on or before December 26, 2019.
Submitted By	Select the name of the user or users to search for reports submitted by the selected user. For example, Analyst1, Analyst2, and so on.
Submitted Date >=	Select the submitted date to view reports having a submitted date greater than or equal to the specified date. For example, reports submitted on or after July 18, 2020.
Submitted Date <=	Select the submitted date to view reports having a submitted date lesser than or equal to the specified date. For example, reports submitted on or before July 18, 2020.

Table 4-2 (Cont.) Advanced Search Fields

Fields	Description
Case ID	Enter the Case ID to view reports associated with the specific Case ID. For multiple case IDs, separate them with a comma. Ensure you don't enter a space after the comma. For example, CA660, ca671. This overrides all other filter criteria. NOTE: This search is not case-sensitive. You can enter a maximum of 255 characters in this field. Case ID is the identifier that has triggered the creation of a report in the OFS CRR AUSMR application.
Created By	Select the user or users who have created the report.
Created Date >=	Select the created date to view reports having a created date greater than or equal to the specified date. Using this criterion, you can view the reports created during the date range. For example, reports were created on or after December 26, 2019. NOTE: You can either perform a range search using 'Created Date >=' and 'Created Date <=' or use them independently.
Created Date <=	Select the created date from the calendar to view reports having a created date lesser than or equal to the specified date. Using this criterion, you can view the reports created during the date range. For example, reports were created on or before December 26, 2019.
Jurisdiction	Select one or more jurisdictions to view reports mapped to the jurisdiction. NOTE: Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction that was associated with that case.
Due Date>=	Select the due date to view reports having a due date greater than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the date range. For example, reports having a due date on or after December 26, 2019.
Due Date<=	Select the due date from the calendar to view reports having a due date lesser than or equal to the specified date. Using this criterion, you can view the reports that have a due date during the date range. For example, reports having a due date on or before December 26, 2019.

- Click **Apply Filter**. The reports matching your search criteria are displayed on the Report Summary page. Enter the next step.

To perform a different search, click the **Reset** button and enter your search criteria again

4.3 Saving Views

The Save as View option allows you to save your search criteria as a View. The saved views are available in the View drop-down list.

For example, if you regularly search for reports approved by Supervisor1 and reports approved on or before December 2019, you can pre-define a search as SupDecember under View. When you log in to the application next time, you need not enter all the search criteria again, select the pre-defined view as SupDecember and filter the reports.

To save your search criteria as a View, follow these steps:

1. In the Report Summary page, click Advanced Search . The Advanced Search window is displayed:
2. Enter the search criteria parameters in the search fields.
3. Click **Save as View**. The Save as View window is displayed.
4. Enter the view name and view details. The fields marked with asterisk * are mandatory.

Note

The View Description field allows a maximum of 255 characters.

5. Click **Save**. A confirmation message is displayed
6. Click **OK**. The view is saved and is displayed in the View drop-down list

Note

The saved view is available only to the user who has created it, not to other users

4.4 Views

Views search helps you quickly filter the reports based on pre-defined search queries. You can save your search criteria as Views. For more information on pre-defining the search as views, see Saving Views.

To search reports using the Views option, follow these steps:

1. On the **Summary** page, go to the View search option.
2. Select the pre-defined views from the View drop-down list. The Summary page refreshes to show the results matching the View search criteria.

Note

The saved view is available only to the user who has created it, not to other users.

4.5 Regulatory Reports List

Use the Regulatory Reports section to view the list of reports based on your search criteria. Additional information on the reports is provided for analyses or take actions.

By default, all reports are displayed if you do not use any search criteria to filter the list.

4.5.1 Regulatory Reports List Features

The Reports List pane displays the list of all or specific reports you are looking for. You can select a report by clicking the corresponding Report link to view the details, analyze, and take action based on your role privileges.

The Reports List pane has the following User Interface (UI) controls.

- Sort Ascending/Descending: You can sort the Report List in ascending or descending



order using Ascending or Descending , respectively. By default, the Report List is in descend- ing order.

- Column Labels: The column labels provide you with the names of the columns. For example, Report Name, Report Type, and so on. This helps you to sort the information on the required report. To download E-File, click  . This is enabled only when Generate E-File action is taken. For more information see, Generating E-File.
- Tool Tip: A ToolTip that provides additional information is displayed when you position the cursor over a column label.
- Column Size: You can change the width of the column by dragging the column to right or left direction using the mouse or you can select the Resize Column option. To resize the column, right-click on the column. The Resize option is displayed.
- Click



arrow icons to decrease and



increase the size of the column or enter a number between 10 to 10,000 and click OK. The size of the column is updated based on your selection.

- Page Display: Use this option to modify the number of reports you want to view on a page (records per page) and also navigate back and forth between pages to view all reports in the Report List.

To view a specific page, enter the page number, use arrow marks to go to the next or previous page, or click on the existing numbers such as 1, 2, 3, and so on to go directly to that page. The following table describes the column details.

5

Creating Reports

When a report is created in the OFS CRR CS AUS SMR application through the OFS Case Investigation Cloud Service, the report details are auto-populated with information from the case, which triggered the action to generate the report. The newly created report is available in the OFS CRR CS AUS SMR application and it is assigned to a specific user with a due date to take appropriate action. These parameters are configurable.

When you identify a report of suspicious behavior that is not reported through the OFS Case Investigation Cloud Service but want to report it to the regulator, you can manually create a new report using the Create New Report option in the OFS CRR CS AUS SMR application.

5.1 Acknowledgment to OFS Case Investigation

When the *OFS CRR CS AUS SMR application* receives a report from the OFS Case Investigation application, it sends an acknowledgment to the OFS Case Investigation application when all the mandatory information is verified.

The following information is sent as a part of the acknowledgment:

- Filing type
- Status changed date
- Status changed by
- Submitted date
- Submitted by
- Report Status

5.2 Creating a Report Manually

When you identify a report of suspicious behavior that is not reported through the OFS Case Investigation Cloud Service but want to report it to the regulator, you can manually create a new report using the Create New Report option in the OFS CRR CS AUS SMR application.

Only Analyst and Supervisor users can create a new report.

To create a new report from the OFS CRR AU SMAR application, follow these steps:

1. In the Report Summary page, click **Create Regulatory Report** . The Create Report window is displayed.
2. Enter the following information in the Create Report window as tabulated.

Table 5-1 Creating a New Report fields

Fields	Description
Report Name	Enter the name for the new report.

Table 5-1 (Cont.) Creating a New Report fields

Fields	Description
Report Type	Select the report type from the drop-down list. For example, AML_DD, AML_PAT, and so on.
Jurisdiction	Select the jurisdiction from the drop-down list.
Business Domain	Select the business domain from the drop-down list

3. Click **Save**. A confirmation message is displayed. The newly created report is available in the Report Summary List for further analysis and actions.

A new report is created and the due date is set as per the number of days configured by your administrator in the static data table. The status of the new report is set to Open.

 Note

The report details of a manually created report are not sent to the OFS Case Investigation application.

6

Analyzing a Report

Use the Report Details page to investigate the selected report by analyzing the existing information about the report such as subject, transaction, service, narrative, and so on you can also add and manage the related information for the selected report.

6.1 Accessing Report Details

To access the Report Details page, follow these steps:

1. In the **Report Summary** page, click the required **Report Number** link. The Reports Details page is displayed. By default, the Reporting Entity Information pane is displayed
To view the report details, click the **More Details** tab on the top of the page. The Reporting Context window is displayed. The Reporting Context window details Report Name, Report Status, Created By, and so on
2. To collapse the **Reporting Context** window, click Less Details

Note

You must validate every tab before you move to the next tab. The tab color changes to green if validation is successful or it will be yellow.

6.2 Subject Information

The Subject Information pane provides a list of the subjects (persons or organization) involved in the transaction. This pane also provides complete information about the subject's details such as subject record, person or organization name, date of birth, country of citizenship, and other details that led to the creation of the report. You can also add a new involved subject if it is required.

To add a new involved subject, follow these steps:

1. On the Subject Information pane, Click **Add** . The Person/Organization Details pane is displayed.
2. Enter the required person or organization details.

Table 6-1 Person or organization Details

Fields	Description
Is Suspicious Matter Related to?	Select Yes, No-Other Person, or Unidentified to determine whether person or organization, another person, or unidentified entity is involved in the transaction. - If you select Yes, the information is recorded in Part -C of report. - If you select No-Other Person, the information is recorded in Part -D of report. - If you select Unidentified, the information is recorded in Part -E of the report
Person Type	Select whether the involved person is an individual or an organization. Note This field is enabled only if you have selected Yes, No- Other Person in the <i>Is Suspicious Matter Related to?</i> field
Is Bank's Customer?	Select whether the involved person is a bank's customer or another person. Note This field is enabled only if you have selected No-Other Person in the <i>Is Suspicious Matter Related to?</i> field.
Name of the Person/ Organization	Enter the name of the person or organization. This field is enabled only if you have selected Ind or Org in the <i>Person Type</i> field.
Date of birth	Enter the date of birth of the person. Note This field is enabled only if you have selected Ind in the <i>Person Type</i> field.
Country Of Citizenship	Select the country of citizenship of the person. Note This field is enabled only if you have selected Ind in the <i>Person Type</i> field.

3. Click **Save**. A confirmation message is displayed and a new subject is added.
You must add Main Address and Postal Address, Phone, and Alternate Name to this subject before you validate
4. To validate the subject, go to the Subject Information list page, select the required subject and click Validate. If all the required criteria are met, the validation is successful. The color of the pane is marked with Green . If any validations fail, the color changes to yellow .
5. To remove the subject from the list, click **Delete**.

6.2.1 Main Address and Postal Address, Phone, and Alternate Name

Use Main Address and Postal Address, Phone, and Alternate Name pane to add, edit, delete, and validate.

To add a new address, phone, and Alternate Name, follow these steps:

1. On the Subject Information page, select the required Subject Record. A Subject Information Details pane is displayed.
2. Go to the Main Address and Postal Address, Phone, or Alternate Name pane. Click Add . The respective window is displayed and enter the required details.

Table 6-2 Main Address and Postal Address, Phone, or Alternate Name Details

Fields	Description
Full Street Address	Enter the full street address of the subject.
Country	Select the country from the drop-down list.
City/Town/Suburb	Enter city, town, or suburb details.
State	Select the state from the drop-down list.
Postal Code	Enter the postal code of the area.
Phone	Enter the country code and phone number
Alternate Name	Enter the required alternate name details.
Email Address	Enter the required email address details.
Account Title	Enter the account title.
Account Balance	Enter the account balance.
BSB	Enter the Australian Bank State Branch (BSB) number of where the account is held, if applicable.
Account Type	Select the account type from the drop-down list. For example, Betting Account, Credit Account, and so on.
Account Number	Enter the unique account number.
Other Description	Enter the description about the account.
Account Open Date	Enter the account opening date.
Account Documentation	Enter account documentation details. The documents used to open an account.
Signatory	To add Signatory details, select the required account and click Signatory Details link. Enter signatory Name and click Save. A signatory is added to the account information.
Digital Currency Wallet	Enter the required digital currency wallet details.
Type	Select the type of industry or occupation from the drop-down list.

Table 6-2 (Cont.) Main Address and Postal Address, Phone, or Alternate Name Details

Fields	Description
ABN	Enter the Australian Business Number (ABN) of the person or organization.
Code	Enter the code number of the business.
ACN	Enter An Australian Company Number (ACN). ACNs are issued to companies registered in Australia by the Australian Securities and Investments Commission (ASIC).
Description	Enter the description of the business and industry.
ARBN	Enter an Australian Registered Body Number (ARBN). ARBNs are issued to foreign companies and certain Australian bodies by ASIC.
ID Type	Select the unique identification from the drop-down list. For example, Birth Certificate, Bank Account, and so on.
Issuer	Enter the name of the authority who issued the ID.
Other ID Type	Enter other ID types if your ID type is not mentioned in the ID Type field.
Issuer Date	Select the date on which the ID was issued.
ID Number	Enter the ID number.
Expiry Date	Select the expiry date of the ID.
Issuer Country	Select the country that has issued ID.
Digital Data Verification	Click Configure Electronic Data Source to add a new electronic data source. Modify, delete, and validate an existing electronic data sources.
Configure Device	Click Configure Device Information. The Configure Device Information window is displayed. Enter the required device information.
Device Type	Select the device type from the drop-down list. For example, Internet Protocol Address, Secure Element ID, and so on.
Device Type Other	Enter the name of the device if it is not mentioned in the Device Type field.
Device Identifier	Enter device identifier. Internet Protocol address, Media Access Control address, and so on.
Agent to Suspicious Person	Select Yes or No to specify whether the other person is an agent to suspicious person.
Relation Type	Enter the relation of the suspicious person and the agent.
Evidence Document	Enter document details.

3. Click **Save**. A confirmation message is displayed.
4. To modify the existing Subject Information details, select the required IDs and click **Edit** . Modify the required information and click **Save**.
5. To validate details, select the required IDs and click Validate. If all required criteria are met, the validation is successful.
6. To remove respective details from the list, click Delete . The Subject Information list is updated.

6.3 Transaction

The Transaction page provides a list of transactions that led to the creation of a report. This pane also provides information about the transaction date, amount, reference number, and so on that led to the creation of the report. You can also add a new transaction if it is required.

To add a new transaction, follow these steps.

1. On the Transaction pane, Click **Add** . The Transaction Details pane is displayed.
2. Enter the transaction information in the required fields.

Table 6-3 Transaction Details

Fields	Description
Transaction Reference	Enter a unique reference number to define the transaction. A transaction reference number assigned to the transaction by the reporting entity, if any.
Transaction Date	Select the transaction date.
Transaction Date	NOTE: Must be the current or previous date.
Transaction Amount	Enter the total amount involved in the transaction.
Cash Amount	By default, it is disabled. if the transaction type is cash, then the same amount is displayed.
Was Completed?	Specify whether the transaction is completed.
Transfer Type	Select the type of transfer. For example, money or property.
Transfer Type Description	Enter the description for transfer type.
Transfer Type Description	NOTE: This field is enabled only if you have selected Property in the Transfer Type.
Transaction Type	Select transaction type. For example, account open, account deposit, and so on.
Other Transaction Type	Select other transaction types from the drop-down list (Other monetary value provided or Other monetary value received).

3. Click **Save**. A confirmation message is displayed and a new Transaction is added. You must add and update Foreign Currency Involved, Digital Currency Involved, and Person Role in Transaction details to this transaction before you validate.
4. To validate the transaction, go to the Transaction list page, select the required transaction and click Validate. If all required criteria are met, the validation is successful. The color of the pane is marked with Green . If any validations fail, the color changes to yellow.
5. To remove the transaction from the list, click Delete.

6.3.1 Foreign Currency Involved, Digital Currency Involved, and Person Role in Transaction

This section details the involvement of foreign currency, digital currency, and person in the transaction for the selected report. Use the Foreign Currency Involved, Digital Currency Involved, and Person Role in the Transaction pane to add, edit, and validate.

1. To add a new Foreign Currency Involved, Digital Currency Involved, and Person Role in Transaction on the Transaction Summary page, select the required Transaction. A Transaction Details pane is displayed.
2. Go to the Foreign Currency Involved, Digital Currency Involved, or Person Role in Transaction pane, click **Add** . The respective window is displayed.
3. Enter the required details in the fields.

Table 6-4 Foreign Currency Involved, Digital Currency Involved, and Person Role in Transaction

Fields	Description
Currency Code	Select the currency code from the drop-down list. For example, Australian dollar or US dollar.
Currency Value	Enter the value of the currency.
Blockchain Transaction ID	Enter the unique number for blockchain transaction.
Digital Currency Code	Select digital currency code. For example, Bitcoin, Letecoin, or Australian Dollars. The code or symbol associated with the digital currency.
# of Units	Enter the number of units. The number of units or value of the digital currency. If more than 10 decimal places, truncate
Backing Assets	Enter the backing asset. The description of the commodity, product, object, or thing the digital currency is backed by or pegged to. For example, gold, exchange-traded funds, US dollars.
Fiat Currency Code?	Select the fiat currency code. For example, Australian Dollars or American Dollars. The monetary or settlement value of the digital currency in fiat currency (for example. Australian dollars, US dollars, Euros), including the three-letter ISO currency code for the fiat currency.
monetary or settlement	The monetary or settlement value of the digital currency in fiat currency (for example. Australian dollars, US dollars, Euros), including the three-letter ISO currency code for the fiat currency.
Fiat Value	Enter the fiat value.
Person Name	Select the person's name from the drop-down list.
Party Role	Select party role from the drop-down list.

4. Click **Save**. A confirmation message is displayed and details are updated in the Foreign Currency Involved list.. A confirmation message is displayed and details are updated in the Foreign Currency Involved list.
5. To modify the existing foreign currency involved details, select the required Foreign Currency code and click **Edit** . Modify the required information and click **Save**.
6. To validate the foreign currency involved, select the required Foreign Currency Code and click **Validate**. If all required criteria are met, the validation is successful.
7. To remove the foreign currency involved, from the list, click **Delete** Involved list is updated.

6.4 Services & Suspicion

All suspicious transactions and activities need to be reported to AUSTRAC within three (3) business days of forming the suspicion.

Use this page to update the designated service to which the matter is related, the designated service, and specify suspicion.

To update services and suspicion details, follow these steps:

1. On the Services & Suspicion pane, go to Designated Service to which the matter is related, Was the designated Service, or Specify Suspicion panes and select the required options from each pane.
2. Click **Save**. A confirmation message is displayed.
3. To validate the services and suspicion, click **Validate**. If all required criteria are met, the validation is successful. The color of the pane is marked with Green

6.5 Entity and Additional Details

The Entity and Additional Details pane allows you to add and manage entity details, previous report details, and other Australian Government bodies.

Topics:

6.5.1 Entity Details

Use this pane to add information pertaining to business/residential address, details of person submitting the report, and services and suspicion.

To add the entity details, follow these steps:

1. On the Entity and Addition Information page, go to the Entity Details pane.
2. Enter the required entity details in the Business/Residential Address, Details of person submitting the Report, and Services & Suspicion panes.

Table 6-5 Entity Details

Fields	Description
Entity Name	Select the entity name.
Transaction Branch/Location	Select the transaction branch and location.
Business/Residential Address	Enter address, state, city, and postal code.
Details of person submitting the Report	Enter name, title, email, and phone number.
Part-G	Select offence type. For example, Money laundering, Financing of terrorism, and so on. Select Yes or No to specify the intercept flag.

3. Click **Save**. A confirmation message is displayed and entity details are added. You must update Previous Report Details and Other Australian Government Body to this entity before you validate.
4. To validate the subject, go to the Entity and Additional Details list page, select the required subject and click **Validate**. If all required criteria are met, the validation is successful. The color of the pane is marked with Green.

6.5.2 Previous Report Details and Other Australian Government Body

This section provides the details of the other Australian government body this suspicious matter has been or will be reported to.

Use this pane to manage Part-G, previous reports, and other Australian government body details.

To manage previous report details, follow these steps:

1. To add a new previous report or other Australian government body details, click **Add** . A respective pane is displayed.
2. Enter the required previous report or other Australian government body details.

Table 6-6 Previous Report and Other Australian Government Body Details

Fields	Description
Earlier Report Date	Select earlier report date. A Date on which a previous suspicious matter report, relating to the person(s) or organisation(s) in which this suspicious matter relates, was given to AUSTRAC.
Report ID	Enter report unique identification. The reporting entity's internal reference number of the previous report, if any.
Name	Select the name from the drop-down list. Details of the other Australian government body this suspicious matter has been or will be reported to.
Full Street Address	Enter the full street address.
State, City, Pin Code	Enter state, city, pin code details. The address of the Australian government body.
Date to be Reported	Select the date to be reported. The date on which this suspicious matter had or will be reported to this Australian government body.
Information Provided to this Australian Body	Enter the information provided to this Australian body. A description of the information provided to the other Australian government body, if any.

3. Click **Save**. A confirmation message is displayed and previous report or other Australian government body is added to the list.
4. To validate the previous report, or other Australian government body select the required Previous Report or Other Australian Government Body Number and click **Validate**. If all required criteria are met, the validation is successful.
5. To remove the previous report or other Australian government body, from the list, click **Delete** - The Previous Report or Other Australian Government Body list is updated.

6.6 Narrative

Use the Narrative option to summarize any suspicious activity and to mention the action taken by the reporting entity.

To use the Narrative option, follow these steps:

1. In the Reports Details page, click **Narrative** . The Description of Activity window is displayed.
2. Enter the narration for the selected report.
3. Click **Save**. A confirmation message is displayed.
4. Click **OK**. The updated Report Details page is displayed. The Audit section tracks both actions (the actions are taken on a report) and comments entered while performing the Narrative action.

6.7 Documents

While filing the report with regulatory authorities, you can also send additional documents. This additional information aids in taking the correct decision on the report. When you attach a document to a report, the status of that report does not change. However, the attachment is added to the report's history.

An Analyst or a Supervisor can attach, modify, or delete documents in all statuses except when the report is in View Only mode.

To modify or attach a document, follow these steps:

1. On the Reports Details page, click the Document tab and click **Add** to attach a new document to the selected report. The Add Document window is displayed.
2. Enter the following information in the Add Document pane.

Table 6-7 Document Fields

Fields	Description
Description	Enter a brief description of the document.
Type of File	Enter the type of document.
Document Date	Enter the date on which the document was created.
Sending Option	Enter the option for sending the document.

3. Click **Drop Files Here** or Click to **Upload** to select the document from your computer. The selected file is displayed in the document list. The document list provides the information of the document such as file name, size of the document, and type of document.

Note

You can attach only .jpeg, .png, .xlsx, and .pdf format with no limit on the document size. file.

4. Select the document from the list and click **Upload**. The document is attached to the selected report.

Note

You can upload a single file at a time.

6.8 Audit

Use the Audit pane to view the audit history of a report. It provides complete details of the actions performed on the report and comments provided by the users in the various statuses.

To use the Audit option, follow these steps:

In the Reports Details page, click **Audit** . The Audit Details window is displayed.

A record is created in the Audit tab when a user performs any actions.

7

Acting on Reports

After reports are analyzed using the Reports Details page, an authorized user can take the following actions on reports:

- **Requesting the Report for Approval:** As an Analyst, you can request the supervisor to approve the report for filing when it is in the Open, Reopened, Requested for Approval, or Rework status. Click Request Report for Approval to take this action. The status of the report changes to Requested for Approval.
- **Approving Reports:** As a Supervisor, you can assess the reports that are requested for your approval. You can approve reports that are in Open, Reopened, Requested for Approval, or Rework status. Click Approve Report to take this action. If you approve the request, the status of the report changes to Approved.
- **Canceling Report Filing:** As an Analyst or a Supervisor, you can decide to cancel the filing of the report. You can cancel the reports from e-filing when they are in the Open, Reopened, Requested for Approval, or Approved status. Click Cancel Filing to take this action. The status of the report changes to Canceled.
- **Reopening Reports :** If a report is canceled for any reason and needs to be evaluated again, an Analyst or a Supervisor can reopen a report. You can reopen a report only when it is in the Can- celed status. Click Reopen a Report to take this action. The status of the report changes to Reopen.
- **Adding comments:** You can add comments to a report in any status. By adding comments, the status of the report does not change.
- **Setting a Due Date:** As an Analyst or a Supervisor, you can set due date to a report in any status. By setting due dates, the status of the report does not change.

7.1 Requesting the Report for Approval

An Analyst requests the supervisor to approve the report for filing when it is in the Open, Reopened, Requested for Approval, or Rework status. A Supervisor evaluates and then approves the report, sends the report for rework, or cancels the filing of the report.

To request a report for approval, follow these steps:

1. On the Reports Details page, click **Request for Approval**. The Report Actions window is displayed.
2. Enter the comments in the Comments field.

Note

You can enter up to 255 characters.

3. Click **Save**. A confirmation message is displayed and on the Report Details page, the status of the report changes to Requested for Approval. The Audit page tracks both actions and comments entered while performing the Request for Approval action.

7.2 Approving Reports

A Supervisor can approve a report when it is in the Open, Reopened, or Requested for Approval status.

To approve a report, follow these steps:

1. On the Reports Details page, click **Approve**. The Report Actions window is displayed.
2. Enter the comments in the Comments field.

Note

You can enter up to 255 characters.

3. Click **Save**. A confirmation message is displayed. Click **OK**. The Report Details page is displayed and the status of the report changes to Approved.

After the report is approved, the application generates the final report containing the required information that must be submitted to the regulatory authority. The approved report is listed in the Approved Reports page. The Audit section tracks both actions and the comments entered while performing the Approve action.

7.3 Canceling Report Filing

For any valid reasons, if you determine that a report should not be filed, then you can cancel it. After the report is canceled, you cannot edit the report details. Only authorized users can cancel a report from filing.

To cancel filling report, follow these steps:

1. On the Reports Details page, select the report. Click **Cancel Filing**. The Report Actions window is displayed..
2. Enter the comments in the Comments field.

Note

You can enter up to 255 characters.

3. Click **Save**. A confirmation message is displayed and in the Report Details page, the status of the report changes to Canceled. Click **OK**. The Report Details page is displayed and the status of the report changes to Canceled.

Note

The due date of the report is deleted on taking the Cancel Filing action.

The Audit section tracks both actions and comments entered while performing the Cancel action.

7.4 Reopening Reports

If a report is canceled for any reason or it needs to be evaluated again, an Analyst or a Supervisor can reopen a report in the Canceled status.

To reopen a report, follow these steps:

1. On the **Reports Details** page, click **Reopen**. The Report Actions window is displayed.
2. Enter the comments in the Comments field.

Note

You can enter up to 255 characters.

3. Click **Save**. A confirmation message is displayed and on the Report Details page, the status of the report changes to Reopen.
4. Click **OK**. The Report Details page is displayed and the status of the report changes to Reopened. The Audit page tracks both actions and comments entered while performing the Reopen action.

7.5 Adding Comments

An Analyst, Auditor, or Supervisor can add comments to a report in any status.

To reopen a report, follow these steps:

1. On the **Reports Details** page, click **Audit**. The Audit window is displayed.
2. Enter the comments in the Comments field.

Note

You can enter up to 255 characters.

3. Click **Done**. The Audit section tracks both actions and comments entered while performing the Set Due Date action.

7.6 Setting a Due Date

Analyst and Supervisor can set a due date or modify an existing due date to provide a resolution to the report.

Table 7-1 User Roles and Set Due Date Action

Menu	Analyst	Supervisor
Open	X	X
Reopen	X	X
Requested for Approval Rework	X	X
Approved	X	X
Cancelled	NA	NA

Table 7-1 (Cont.) User Roles and Set Due Date Action

Menu	Analyst	Supervisor
Acknowledged	NA	NA
Rejected from E-File	NA	NA
E-File Generated	X	NA
Submitted	NA	NA

Note

An auditor can only view the Due Date.

To set a due date for a report, follow these steps:

1. On the Reports Details page, click **Set Due Date**. The Report Actions window is displayed.
2. Enter the comments in the Comments field.
3. Enter or click Calendar to select the due date.
4. Click **Save**. A confirmation message is displayed and the Report Details page is updated with a new due date.
5. Click **OK**. The updated Report Details page is displayed. The Audit page tracks both actions and comments entered while performing the Set Due Date action.

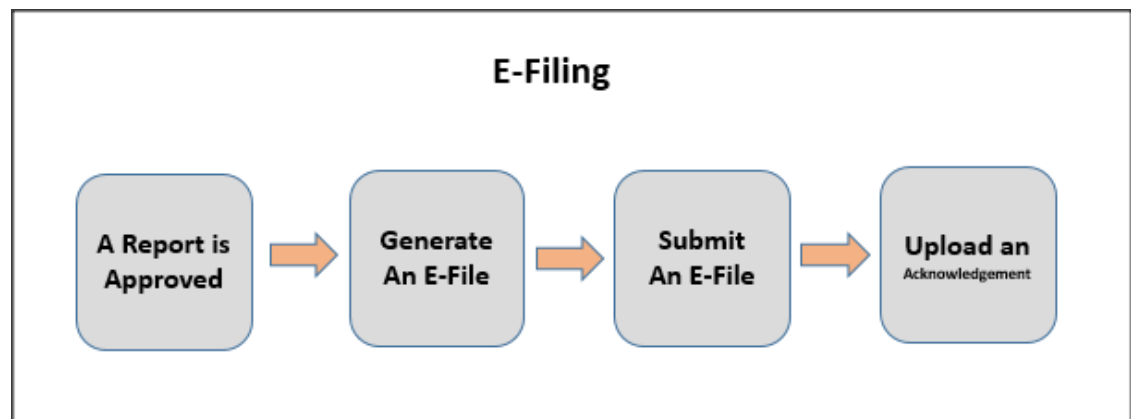
8

Filing Reports

After a report is created, the details are investigated, and then submitted for approval. An authorized user validates the report details and either approves, rejects, or closes the report.

If the report is approved the report is available for E-File generation by an authorized user. An E-File consists of an approved report. You can also generate and submit an E-File. The generated E-File is submitted to the AUS SMR E-Filing System - AUSTRAC (this activity is done outside the OFS RR AUS SMR Cloud Service). The E-File is validated by AUSTRAC and an acknowledgment is generated. This acknowledgment file must be uploaded into the OFS CRR CS AUS SMR application to complete this workflow.

Figure 8-1 E-Filing Workflow



Note

Only the users mapped to the role of Supervisor and Analyst can generate the E-File and upload the acknowledgment.

This chapter covers the following topics:

- **Approved Reports:** Use this pane to filter and select the approved report for E-File generation.
- **E-File Summary:** Use this pane to filter E-Files, submit E-Files, and upload acknowledgment into the OFS CRR CS AUS SMR application.

8.1 Approved Reports

Use this pane to search for reports that are in the Approved status for E-Filing. You can also use this pane to generate the E-File. A Supervisor and Analyst can reject or close approved reports from this tab. The tasks you can perform are as follows:

- **Searching Approved Reports:** Use this pane to filter the required approved reports that can be used to generate an E-File.
- **Generating E-File:** Use this pane to generate an E-File for the approved report(s) and submit.

8.1.1 Searching Approved Reports

Use this pane to filter the required approved reports that can be used to generate an E-File.

To search for the approved reports, follow these steps:

1. On the Report Summary page, click **File Reports**. The Approved Report page is displayed.
2. Enter the following information in the Approved Report Search pane as tabulated.

Table 8-1 Approved Reports Search Fields

Field	Description
Report Name	Enter the report name you want to view. This field supports a wildcard search. You can use '%' and '_' as wildcard indicators. NOTE: You can enter a maximum of 50 characters in this field.
Jurisdiction	Select the jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction associated with that case. Each user has access to a set of jurisdictions. Every report is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction
Case ID	Enter the case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure that you do not enter a space after the comma. This overrides all other filter criteria. For example, CA660,ca671. NOTE: This search is not case-sensitive. You can enter a maximum of 255 characters in this field. Case ID is the identifier that has triggered the creation of a report in the OFS CRR CS AUS SMR application application.
Approved By	Select the name of the approver to view reports approved by the selected user. For example, Supervisor1, Supervisor2, and so on.
Approved Date >=	Select the approved date to view reports having an approved date greater than or equal to the specified date. Using this criterion, you can view the reports approved during the date range. For example, reports approved on or after December 26, 2019.

Table 8-1 (Cont.) Approved Reports Search Fields

Field	Description
Approved Date <=	Select the approved date from the calendar to view reports having an approved date lesser than or equal to the specified date. Using this criterion, you can view the reports approved during the particular date range. For example, reports approved on or before December 26, 2019.
Created By	Select the user who has created the report. You can enter multiple names by using a comma to separate the entries.

3. Click **Search**. The relevant search list is displayed. If you click Reset, all search fields are set to default values (blank).

8.1.2 Generating E-File

Use this pane to generate an E-File for the approved report and submit the resultant .txt file into the AUSTRAC E-Filing System (using the external system).

To generate an E-File, follow these steps:

1. On the Approved Reports page, go to Approved Report List pane and select the required report or reports.
2. Click Generate E-File . The Report Action window is displayed.
3. Enter the comments in the Comments field.

Note

If the same report is already selected by another user, then that report is locked. You can only view that report.

4. Click **Save**. A confirmation message displays and click **OK**. The Summary of the report changes to E-File Generated.

Note

The reports that are used to Generate E-File are moved from the Approved Reports list to the E-File Summary List.

8.2 E-File Summary

An E-File Summary page allows you to search and submit E-File into the AUSTRAC E-Filing system (using the external system).

Use the E-File Summary page to perform the following tasks.

- **Searching E-Files:** Use this pane to filter the required E-Files to submit AUSTRAC E-Filing System.
- **Submitting E-Files:** Use pane to submit an E-File to AUSTRAC E-Filing System, which is in the E- File Generated or E-File Regenerated Summary.

- **Uploading E-File Acknowledgment:** Use this pane to download the acknowledgments from AUSTRAC E-Filing System and upload it into the OFS CRR CS AUS SMR application application.

8.2.1 Searching E-Files

Use this pane to filter the required E-Files to submit to the AUSTRAC E-Filing System.

To search an E-File, follow these steps:

1. On the File Reports page, click the **E-File Summary** tab. The E-File Summary Search and List page is displayed.
2. Enter the following information on the E-File Search page as tabulated.

Table 8-2 E-File Search Bar Field Description

Field	Description
Report Name	Enter the report name you want to view. This field supports a wildcard search. You can use '%' and '_' as wildcard indicators. NOTE: You can enter a maximum of 50 characters in this field.
Jurisdiction	Select the jurisdiction to view reports mapped to the selected jurisdiction. Jurisdictions are defined by your institution. Every report is associated with a jurisdiction. When a report is created from a case, the report inherits the jurisdiction associated with that case. Each user has access to a set of jurisdictions. Every report is associated with a single jurisdiction. A user has access to any report where the user's jurisdictions intersect with the report's jurisdiction
Case ID	Enter the case ID to view reports associated with the specific case ID. For multiple case IDs, separate them with a comma. Ensure that you do not enter a space after the comma. This overrides all other filter criteria. For example, CA660,ca671. NOTE: This search is not case-sensitive. You can enter a maximum of 255 characters in this field. Case ID is the identifier that has triggered the creation of a report in the OFS CRR CS AUS SMR application application.
E-File Generated By	Select a user who generated the E-File.
E-File Generated From Date	Select the E-File generated from date to view E-Files having a generated from that date. For example, E-File generated on or after December 26, 2019 You can either perform a range search using E-File generated Date From and E- File generated Date To or use them independently.
E-File Generated To Date	Select the E-File generated to date to view E-Files generated till that date. Using this criterion, you can view the E-File generate till that date. For example, E- File generate on or before December 26, 2019.

3. Click **Search**. The relevant search list is displayed. If you click Reset, all search fields are set to default values (blank).
4. To download and E-File, click E-File Download.

5. To view E-Files details, click E-File Details.

8.2.2 Submitting E-Files

Use this pane to submit an E-File into AUSTRAC E-Filing System. The status of the E-Files must be E- File Generated. After the E-File is submitted, the status of the E-File changes to Submitted, you must go to the AUSTRAC system to submit this E-File to AUSTRAC E-Filing System.

To submit an E-File into AUSTRAC E-Filing System, follow these steps:

1. On the Approved Reports page, go to Approved Report List pane and select the required report or reports.
2. Click **Submit**. The Submit E-File window is displayed..
3. Enter the comments in the Comments field and click Save. The status of the E-File changes to Submitted and you must go to the AUSTRAC E-Filing System and submit it. To acknowledge the receipt for submitting the E-File, the AUSTRAC E-Filing System generates an acknowledgment.

8.2.3 Rejecting Reports from E-Files

Use this pane to reject reports from an E-File. Only those reports, which are in E-File Generated and Acknowledgment - Rejected Summary can be rejected. After the report is rejected from an E-File, it is removed from the E-File Reports list and the Summary of the report changes to Rejected from E-File. The rejected report is available in the Regulatory Reports List.

You can correct a rejected report and resubmit for Supervisor's approval. After the corrected report is approved, you can follow the workflow of filing a regulatory report all over again as explained earlier.

Note

After an E-File has been uploaded and accepted by the AUSTRAC System, The Supervisor must not reject the reports from the E-File until the acknowledgment file is uploaded to the OFS RR AUS SMR application. If you reject a report after submission but before processing the acknowledgment files there will be a mismatch in the files referred in the acknowledgment file and the current E-File. If a report is rejected before uploading the acknowledgment into the OFS RR AUS SMR application, then you have to re- submit the E-File at the AUSTRAC System to get the latest acknowledgment file.

To reject reports from an E-File, follow these steps:

1. On the E-File List page, click the E-File Details. The E-File Details list is displayed below the list.
2. Select the required report number from the list and click **Reject** . The E-File Reject dialog is displayed.
3. Enter comments in the Comments field and click **Save**. A confirmation message is displayed.

Note

All the reports associated with the E-File are moved to Rejected status.

4. Click **OK**. The report is rejected and it is removed from the E-File List. The status of the report change to Rejected from E-File. The rejected report is listed in the Regulatory Reports List. Rework on this report and resubmit into AUS SMR E-Filing System following the workflow.

8.2.4 Uploading E-File Acknowledgment

The E-File is validated by AUS SMR E-Filing System and an acknowledgment is generated. Download the acknowledgments (.text file) from AUS SMR E-Filing System.

Note

The AUS SMR provides a sequence identification number but not the E-File number in the .text file.

To upload an acknowledgment into OFS CRR CS AUS SMR application, follow these steps:

1. On the E-File List pane, select the required record in the Submitted status and click Upload Acknowledgment. An Acknowledgment window is displayed.
2. Enter a Logical File Name for the acknowledgment.
3. Click **Choose File** to upload the respective .text file saved from AUS SMR's E-Filing System and click Attach File and enter comments in the Comments field.
4. Click **Save**. A confirmation message is displayed.
5. Click **OK**. You are navigated back to the E-File List results.
6. After you have uploaded the acknowledgment file successfully into the OFS RR AUS SMR application, the.text file can be viewed and saved from the E-File List results.
7. To view the acknowledgment file, select a record and click **Download**. A file download window prompts to Open or Save the.text file.

Note

- If you try to upload an acknowledgment file for an E-File, which is already uploaded, a warning message is displayed.
- If an uploaded acknowledgment action does not pass the validation check, an error message is displayed.