1. Architecture Decision – Extracting Customers without Active Products from OCIS

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| Architectural Issue or Problem Statement | Customers are extracted from OCIS daily for Screening against the PEPS and Sanctions lists.  A gap has been identified in customer screened from CMD on OCIS.  The reason for this are as follow:   1. Customers with Active products only are extracted for screening from OCIS. 2. Not all product holdings of Customers are replicated on OCIS 3. Some customers will not hold any products such as Correspondent banks   Since the basic criteria of current extraction logic is only to extract Customers with active products only any customers falling in Points 2 and 3 are not extracted for screening. |
| Assumptions | . |
| Motivation | Need to ensure all customers from CMD on OCIS are screened and there are no gaps. |
| Options | 1. Ensure all active product information for all CMD customers is replicated on OCIS 2. Extract data for all Customers from CMD without consideration for products |
| Decision (s) | 1. Extract data for all CMD customers on OCISMI |
| Justification | 1. We have a deadline for Jan to be compliant and closing the gaps discovered for Wholesale banking customers from CMD 2. Making changes to OCIS to hold product information would be a effort and cost intensive project which would go beyond the GTCs role. 3. Even if all products information is extracted we would have a gap for Correspondent banks as they have no product holding |
| Implications | Logic to extract data for CMD customers will be changed |

1. Architecture Decision – Investigation Data for CMD Customers

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| Architectural Issue or Problem Statement | In the current customer screening solution customers identified as hits are investigated in Pega.  For OCIS customers Pega retrieves data from OCISMI and Materialized Views created on OCISMI tables in teradat(tables created specifically created to enable the investigation process). This is done via a JDBC Query from Pega to Teradata.  Some of the information is available only if a customer has an Active product such as BU.  There is a requirement to be able to identify if a Customer is from Wholesale Banking BU.  Have an identifier that customers are from CMD during the investigation process |
| Assumptions | . |
| Motivation | Allow Pega to determine the right BU and brand for communication and routing purpose. This will ensure case investigation is handled by the right team |
| Options | 1. Add column to the existing extract to indicate if it is a CMD customer 2. Add BU as WBM data to the Customer Screening extract from OCIS 3. Put a dummy record in the products materialized views(tables created for Customer Screening specifically) |
| Decision (s) | Put a dummy record in the products materialized views(tables created for Customer Screening specifically) |
| Justification | 1. Ensures extracts to Datastage, Pega and Fircosoft remain consistent from all sources 2. Impact is limited to OCISMI minimizing risk 3. Ensure additional information is not passed through for screening for 60 million records |
| Implications | All changes for this release will be done on OCISMI. A dummy record entry would be created to indicate it’s a CMD customer. |

1. Software Currency

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| Architectural Issue or Problem Statement | The project is impacting the following applications which are not compliant with the defined software stack:   1. Pega is on AIX 5.3 and Oracle 10g 2. Ficrosoft is on AIX 5.3   3. BO 3.0 is on Win 2003 and SQL 2005 |
| Assumptions |  |
| Motivation | Being compliant with defined patterns.  Ensuring regulatory commitments are met |
| Options | 1. Upgrade as part of CSC&A project 2. Remediate some other project |
| Decision (s) | Remediate in some other project:  Customer Screening (Fircosoft)\_AL00786 - FircoSoft Filter annual upgrade project for 2014 will be addressing to remediate platform currency to migrate to RHEL 6.x. Currently Vendor doesn't support on AIX 7.1 version.  Pega Customer screening\_ (AL01857) - Pega CSU upgrade project will be migrating WAS 6.1 to 8.5 version and AIX 5.3 to RHEL 6.2 version, which will be started in Q1 2014.  DB upgrade is upgrading Oracle Database 10g to 11g  Business objects\_(AL02740) - Current Business Objects deployed on Windows 2003 and SQL 2005.  Upgrade to Business Object 4.0 deployed on Windows 2008 and SQL 2008, currently testing on Non-Prod environments. This project will continue to use 3.0 until available on Prod environment. |
| Justification | For Pega the pega upgrade project is already remediating the platform.  Business Objects remediation is underway.  Given current project timelines and funding it is not possible to remediate for Fircosoft. |
| Implications | Remediation for software currency will be undertaken by other projects. |