

# WRITING SAMPLE



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# Enterprise Case Management User Guide (ECM)

## 1.1 Introduction

Enterprise Case Management (ECM) helps your firm investigate and resolve cases. Each case has a different status during the investigation and is closed through resolution actions. ECM allows you to modify case details and related business data. The investigation workflow can vary depending on the case type. Case investigation and resolution are supported by various actions, which may differ based on the case type. User roles and permissions control access to different case types and specific actions. Cases can be manually created within ECM.

ECM also supports default case types that guide the investigation workflow. These case types are configurable to meet your firm's specific business needs.

## 1.2 Key Features

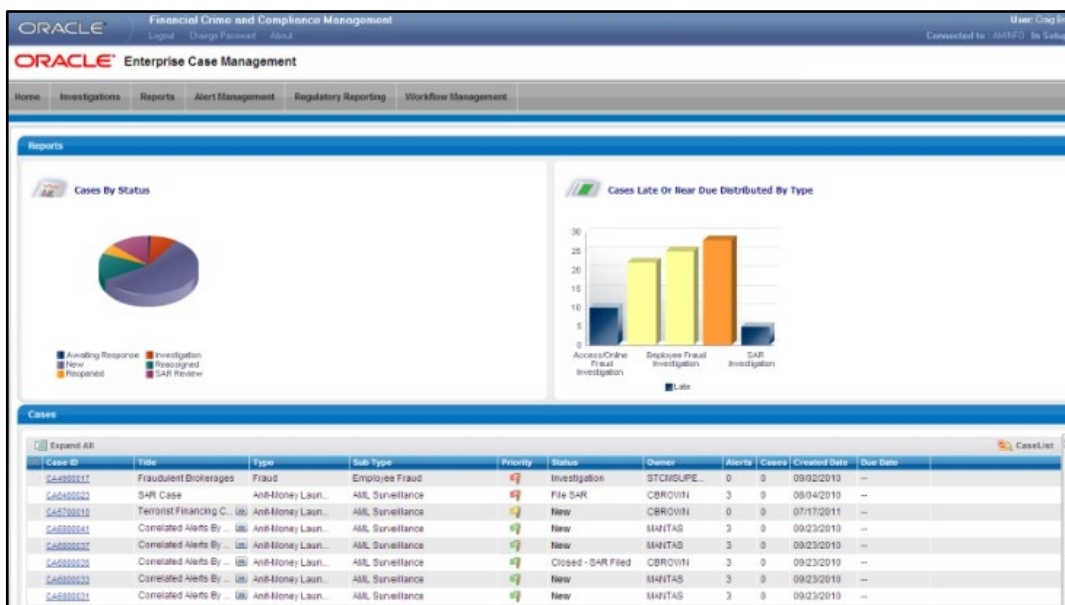
1. Create cases manually to investigate business entities involved in potentially suspicious events.
2. Add events manually to a case or create them and place them in the correlation pool.
3. Perform an in-depth analysis of each case using Case Summary details.
4. Assist in gathering various information to investigate a case for resolution.
5. Categorize supporting data into smaller tabs by data type (e.g., account information, customer information) to aid case analysis.
6. View and analyze correlation details, including source correlation, linked events, and business data correlation.
7. See how the case score is divided into individual scoring components.
8. Act on the case based on the analysis.
9. Filter cases based on the Case or Event IDs and search criteria, and create and manage Personal Search Views.
10. Record the complete audit history of the case.

## 1.3 Enterprise Case Management User Interface (UI)

The ECM UI facilitates the review of case details for investigative purposes. Depending on user privileges, various tasks can be performed within the system.

- **Case Creation:** Cases are listed on the ECM UI according to their type and the user's privileges. Privileged users manually create cases by entering new information. The types of cases available for creation are displayed based on the logged-in user.
- **Case Search:** The Case Search allows you to filter cases for viewing and investigation in the Case List section. The Views search option represents pre-populated search queries, while the Case ID search criteria are mutually exclusive with all other filter criteria. Additional search criteria help filter the necessary cases for investigation.
- **Event Creation:** This feature allows authorized users to manually add events to a case or create them directly for inclusion in the correlation pool. To make an event, users need to enter relevant information specific to the event, ensuring each entry is tailored to the case's unique needs. Events can be categorized based on various entity types, such as Account, Customer, Correspondent Bank and External Entity.
- **Event Search:** The Event Search feature helps investigators find and view details of events within the ECM application that are related to the case.
- **Case Investigation:** The comprehensive case investigation is conducted using the Case Summary page, which provides detailed information about the selected case, offering complete insight for analysis.
- **Action on Case:** After investigating the case, you can take appropriate action on the selected case or cases for resolution. You can assign a case to another user and add evidence.
- **Case Audit History:** The Audit History provides complete historical case details. It allows you to view and analyze actions previously performed by the system or user on the current case, including each action's date, time, and status. This feature helps save time when analyzing case details and determining the next course of action for case resolution.

Figure 1: Enterprise Case Management User Interface



## Getting Started

This section provides step-by-step instructions for logging into the OFSECM application and managing the various features of the Oracle Financial Services Analytical Applications (OFSAA) application page.

### Topics:

- **System Requirements:**

This section details the qualified operating systems, databases, web servers, web application server versions, and other variant information for this OFS ECM Application Pack release.

- **Accessing OFSECM Application:**

Access to the Oracle Financial Services Enterprise Case Management application depends on the Internet or Intranet environment. The application can be accessed through Microsoft Internet Explorer or Chrome. Your system administrator will provide the URL to access the application on the Intranet.

Your system administrator will provide you with a User ID and Password for the OFSAA login page. You'll be prompted to change your password on the first login and can do so whenever needed for security reasons.

**NOTE:** It is good practice to change your password regularly for security purposes. If you need more information, contact the OFSAA customer support team.

- **Troubleshooting Display:**

If you have trouble logging into Oracle Financial Services ECM or experience display issues, it may be due to incompatible browser settings for running OFSAA applications.

## 3 ECM Features

### 3.1 Creating Cases

This feature will cover creating cases manually, including the users involved, and provide step-by-step instructions.

The following topics are covered in this feature.

- [About Case Creation](#)
- [Accessing Create Case Page](#)
- [Creating a New Case](#)

#### 3.1.1 About Case Creation

- Cases are established to investigate business entities involved in potentially suspicious events.
- Only privileged users have the authority to create a case.
- Users have to provide new case information to create cases manually.
- The case types displayed are based on the logged-in user.
- Cases are created based on the selected case type, such as an AML Surveillance and Fraud Account.
- The fields displayed are based on the selected case type.
- The Administrator configures case type attributes (fields) in the Case Designer.

#### 3.1.2 Accessing Create Case Page

This feature explains how to access the Create Case page.

To access the Create Case page, follow these steps.

1. Navigate to the Enterprise Case Investigation page.
2. Select the Create Case. The Create Case page is displayed.

#### 3.1.3 Creating a New Case

If you need to investigate an entity without open cases, you can manually create a case and proceed with the investigation. This feature explains how to create a new case.

To create a new case, follow these steps.

1. Navigate to the Create Case page.
2. Select the case type from the Type drop-down list. The Create New Case page displays the relevant fields based on the selected case type.

**NOTE:** Only the Case Types mapped to the respective user are available in the drop-down list.

Figure 2: New Case Creation Screen

The screenshot shows the 'Create Case' interface. At the top, there's a header with 'Financial Services Enterprise Case Management' and user information 'en\_US' and 'AUTOCHMSUP'. The form fields are as follows:

- Type:** AML\_DD (dropdown)
- Title:** Text input field
- Jurisdiction:** Dropdown menu
- Business Domain:** Multi-select dropdown
- Priority:** Dropdown menu
- Due:** Date picker (MM/dd/yyyy)
- Assignee:** Dropdown menu
- Owner:** Dropdown menu
- Auto Assignment:** Checkbox
- Description:** Text area

Buttons for 'Reset' and 'Create' are located at the bottom right of the form.

3. Enter the following information in the respective fields.

**NOTE:** The fields marked with \* (asterisk) are mandatory.

Fields	Descriptions
Title	Enter a unique title for the case.
Jurisdiction	Select a business jurisdiction from the drop-down list to be assigned to the case. Only the Jurisdiction mapped to the user is available in the drop-down list.
Business Domain	Select one or more business domains to be assigned to the case. Only those business domains mapped to you are available in the drop-down list.
Priority	Select the priority of the case from the drop-down list. The following are the options available: <ul style="list-style-type: none"> <li>High</li> <li>Medium</li> <li>Low</li> </ul>
Due	Select the date from the calendar to set a due date for resolution. The system will set the default due date if the due date is not provided.
Auto Assignment	Select this check box to automate the new case's ownership assignment.
Owner	Select the user from the drop-down list to assign as the case owner.
Assignee	Select the user from the drop-down list to assign to investigate and take action on the case.  The assignee can be different than the owner of the case or can be the same user.
Risk Score	Select the customer's risk score generated for this case. This field is enabled for the KYC case types.
Description	Enter the details to describe the case.

4. Click **Save**. A case ID will be generated. A message will be displayed.
5. Click **OK** to continue with the Case Summary for your newly created case or **Cancel** to remain within the Create case workflow.

## 3.2 Event Search

The Event Search feature helps investigators find and view details of events related to the case within the ECM application.

This chapter uses the Event workflow to search for and gather information about a specific focus type.

### Topics:

- [Key Features](#)
- [Accessing Search Event Page](#)
- [Searching for an Event](#)
- [Trusted Pairs](#)

### 3.2.1 Key Features

The following are the key features in the Event Search feature:

- Search for a specific event
- Analyze the event using detailed information
- View cases and events that are related to the event being viewed
- View event details

### 3.2.2 Accessing Search Event Page

To access the Search Event page,

1. Navigate to the Enterprise Case Investigation menu.
2. Select Search Events.

**NOTE:** Users mapped to Supervisor and Analyst user roles can access this page.

### 3.2.3 Searching for an Event

The Event Search and List page allows you to search Events. This page captures your selection criteria related to a type of event and then searches to find the specified event.

By default, the Search Events window displays all the events of the ECM system. You can also view the migrated events and other ECM system events.

For more information, refer to the Configure Include Historical Migrated Alerts Parameter section in [Oracle Financial Services Enterprise Case Management Administration & Configuration Guide](#).

When you configure the Include Historical Migrated Alerts parameter, the Include Historical Migrated Alerts checkbox displays on the Search Event window and all the Relationship tab UIs. Select Include Historical Migrated Alerts if you want to view migrated events and other ECM system events.

An alert's details, including audit history, narrative, and evidence, can be viewed through ECM. This allows customers to upgrade without logging into AM. All historical alert information can be viewed in ECM.



Figure 3: Event Search Screen

The screenshot displays the 'Event Search' interface. The search form includes the following fields:

- Created From:** 12/28/2021
- To:** 01/04/2022
- Event ID:** (empty)
- Focus Type:** (dropdown menu)
- TIN:** (empty)
- Event Age:** (dropdown menu)
- Score:** (dropdown menu)
- Focus ID:** (empty)
- Event Type:** (empty)
- Jurisdiction:** (empty)
- Focus Name:** (empty)
- Scenario:** (empty)
- Business Domain:** (empty)

Below the search form is the 'Event List' table:

Event ID	Case ID	Jurisdiction	Business Domain	External Source System	Event Type	Focus Type	Focus ID	Focus Name
ECMR1641266067399		AMEA	GEN	DLY	AML	External Entity	WELLS FARGO	WELLS FARGO
ECMR164126517826		AMEA	GEN	DLY	AML	Customer	CUNINGSTRELPARTY-001	HAMIS SINGH T.
ECMR1641264460021		AMEA	RET	DLY	AML	Account	ACRHLACACTRSTAC-01	SAPNA GOBA

Page 1 of 1 (1-3 of 3 items) | < > >> | Records Per Page 15

To search for an event, follow these steps:

1. Navigate to the Event Search and List page.
2. Enter the following details to search for an event.

**NOTE:** All Name Type fields have a wildcard search, and all search fields are mutually exclusive unless otherwise noted. You can search for an event by only one criterion at a time.

Fields	Descriptions
Created From Date	This filters the Case List with the cases whose creation date is greater than or equal to the date entered.
Created To Date	This filters the Case List with the cases whose creation date is less than or equal to the date entered.
Event ID	Entering this value will ignore the other search criteria fields.
Priority	Select the priority of the case from the drop-down list. The following are the options available: <ul style="list-style-type: none"> <li>• High</li> <li>• Medium</li> <li>• Low</li> </ul>
Focus Type	Enter the focus type of event. For example, Account
Focus ID	Enter the focus ID of the event.
Focus Name	Enter the focus name of the event.
TIN	Enter the Tax Identification Number (TIN).

Fields	Descriptions
Event Type	Select the event type from the drop-down list. For example, Anti-Money Laundering, Customer Screening, or Know Your Customer.
Scenario	Scenarios are displayed in the list based on the event type you select in the Event Type search field. If you don't select any event type, all available scenarios are displayed.
Event Age	This filters the Case List by the age of the case. The case age is the number of calendar days between case creation and the current date.
Jurisdiction	This filters the Case List by the business jurisdiction associated with the case.
Business Domain	This filters the Case List by the business domain associated with a case.
Score	Enter the Event Score.

- Click Search. If the search criteria entered are correct, the Event Search and List page displays.

**Figure 4: Event Search Screen**

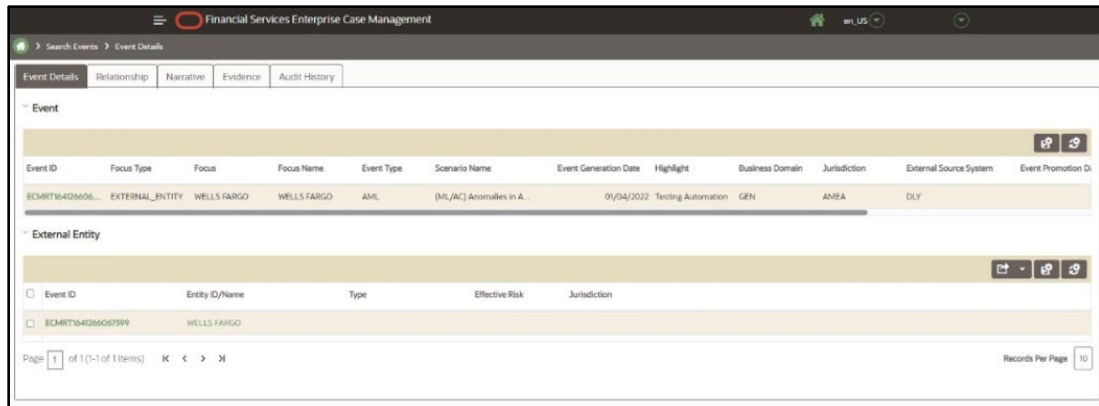
The screenshot shows the 'Event Search' interface. On the left, there are filters for 'Created From' (12/28/2021), 'To' (01/04/2022), 'Focus Type' (dropdown), 'TIN' (text), 'Event Age' (dropdown), and 'Score' (dropdown). On the right, there are filters for 'Event ID' (text), 'Focus ID' (text), 'Focus Name' (text), 'Event Type' (dropdown), 'Jurisdiction' (dropdown), 'Scenario' (dropdown), and 'Business Domain' (dropdown). A 'Reset' and 'Search' button are at the bottom right of the filters. Below the filters is the 'Event List' table.

Event ID	Case ID	Jurisdiction	Business Domain	External Source System	Event Type	Focus Type	Focus ID	Focus Name
ECMRT164266067899		AMEA	GEN	DLY	AML	External Entity	WELLS FARGO	WELLS FARGO
ECMRT16426517826		AMEA	GEN	DLY	AML	Customer	CUINGESTRELPARTY-001	HAMES SINGH T.
ECMRT164264460021		AMEA	RET	DLY	AML	Account	ACRMLACACTRSTAC-01	SAPNA GOBA

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The Event List allows you to view additional information about the selected events. Click Event ID to view more details of the event. You can export the list of Events to Excel or CSV format.

- From the Event Search, click Event ID in the Event Search and List page for the event you want to investigate the Event Details page displays.

**Figure 5: Event Details Screen**

- On the Event Details tab, you can view detailed information about the Event. This shows the following details:
  - Details of the event.
  - Matched business data for the event
- On the Relationships tab, you can see all cases and events related to the case being viewed. This could be because they share the same business data or the event is correlated to a related case.
  1. Click the Case ID to view the details of a related case.
    - You can view the details of the related case in the Related Case History window. This window includes the Event List, Evidence, Narrative, and Audit History details of the case.
  2. Click the Event ID in the Event List section to view the details of the relevant event.
  3. Click “Include Historical Migrated Alerts” to view migrated and other ECM system events.

### 3.2.4 Additional Events

The following additional event details are displayed for migrated events.

- On the Narrative, you can view the narrative details of the event.
- On the Evidence, you can view and analyze comments and attachments previously added to the events.
- On the Audit History, complete historical details of the event are displayed.

**Figure 6: Additional Events**

The screenshot shows the 'Financial Services Enterprise Case Management' application. The 'Event Details' tab is active, with sub-tabs for 'Narrative', 'Evidence', and 'Audit History'. The 'Event' section displays a table with the following data:

Event ID	Focus Type	Focus	Focus Name	Event Type	Scenario Name	Event Generation Date	Highlight	Business Domain	Jurisdiction	External Source System	Event Promotion D
ECMR164026006...	EXTERNAL_ENTITY	WELLS FARGO	WELLS FARGO	AML	(ML/AC) Anomalies in A...	01/04/2022	Testing Automation	GEN	AMEA	DLY	

Below the event table, the 'External Entity' section displays a table with the following data:

Event ID	Entity ID/Name	Type	Effective Risk	Jurisdiction
ECMR1640260067999	WELLS FARGO			

The interface includes a search bar, a navigation menu, and a footer with 'Page 1 of 1 (1-1 of 1 items)' and 'Records Per Page 10'.

### 3.2.5 Trusted Pairs Administration

The Trusted Pairs administration menu will be displayed for users with Trusted Pairs administration permission. For more information on the Trusted Pairs Administration, refer to the [User Guide V8.1.2.0.0.\(Section 10\)](#).

To get the permission, the user role must be mapped to the CMADMNTP (V\_FUNCTION\_CODE) function. For more information on the user role function map, refer to the [AAI Guide \(Section 7.1.2\)](#).

## 4

# Conclusion

Creating a new case to investigate potentially suspicious business entities is vital for maintaining operational integrity. Only privileged users can initiate this process to secure the management of investigations. Users can select from various case types, tailoring their investigations to specific scenarios. This customization, facilitated by the Administrator through the Case Designer, ensures adaptability to the organization's needs. Following these guidelines helps users contribute effectively to investigating suspicious activities enhancing compliance and risk management efforts.

## 4.1

# Reference Links

Please refer to the links below for more detailed information about the User Guide.

- [https://docs.oracle.com/cd/E91493\\_01/html/8.1.2.0.0/Responsive\\_HTML5/index.htm#t=about\\_ofsecm%2Fabout\\_ofsecm.htm](https://docs.oracle.com/cd/E91493_01/html/8.1.2.0.0/Responsive_HTML5/index.htm#t=about_ofsecm%2Fabout_ofsecm.htm)
- [https://docs.oracle.com/cd/E91493\\_01/PDF/8.1.2.0.0/OFSECM\\_User\\_Guide\\_8.1.2.0.0.pdf](https://docs.oracle.com/cd/E91493_01/PDF/8.1.2.0.0/OFSECM_User_Guide_8.1.2.0.0.pdf)