



User Guide

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Introduction

Enterprise Case Management supports the investigation and resolution of cases. Once created, a case is taken through various statuses as part of the investigation and reaches closure through resolution actions.

Enterprise Case Management supports modifying the case details and the associated business data. Investigation workflows can vary based upon the type of case being investigated. Case investigation and resolution are supported by various actions, which may be specific to the case type. Access to types of cases as well as certain actions can be controlled based on a user's role and access permissions. Cases can be manually created within Enterprise Case Management.

Enterprise Case Management supports product default case types that drive the investigation workflow. Case types are configurable values and can be defined by your firm to meet your business needs. For more information on configuring case type, see the Managing Case Designer chapter in Administration and Configuration Guide.

Key Features

The following are the key features of the Enterprise Case Management application:

- Create cases manually for investigating business entities involved in the potentially suspicious event
- Add events manually to a case or create them and have them place in the correlation pool
- Perform in-depth analysis of each case by using Case Summary details
- Operational tabs: assist to capture various information to investigate a case for resolution
- Business tabs: help in categorizing large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information) to aid in the analysis of a case
- View and analyze correlation details - source correlation, linked events, and business data correlation
- View how the case score breaks down into individual scoring components
- Act on the case based on the analysis
- Filter cases based on the Case or Event IDs, search criteria and create and manage Personal Search Views
- Record the complete audit history of the case
- Export case information in Excel and BSV formats

Enterprise Case Management new features

Trusted Pair

Is the concept of reducing the number of false positive events by identifying transactions between parties viewed as having a trusted relationship. After analyzing events, you can determine two parties are trusted when the activity between the two parties is an acceptable business practice and poses little risk to the institution.

These transactions can be optionally excluded from detection for many Money Laundering (ML) class scenarios through the use of a threshold parameter. If the relationship between a pair of parties is marked Trusted for a designated period of time and has excluded from the process of behavior detection, the workload of an analysis can be greatly reduced. This allows institutions to potentially score these types of alerts as lower priority or execute automated auto-close rules.

When investigating a case, ECM users can define a trust for two parties on a transaction and then define the direction of the transaction and the duration of the trust.

Transaction Chart

It is a graphical representation of all the transactions for all the customers involved in the selected case within the defined time period. This helps investigators identify patterns of expected customer activity.

Preview Case

It helps a user to quickly overview the case details without having to leave the ECM Search and List page.

Alerted Party Tab

It is a new tab grouping is introduced to group the business entities such as Account, Customer, External Entity, Employee, Household, Investment Advisor, Correspondent Bank, Financial.

Enterprise Case Management UI

The Enterprise Case Management User Interface (UI) is used to understand case details for the investigation and based on the user privileges you can perform various tasks.

- [Case Creation](#)
- [Case Search](#)
- [Case Investigation](#)
- [Action on Case](#)
- [Case Audit History](#)

Case Creation

The cases are listed on the ECM UI based on the case type and user privilege.

Cases are also created manually by privileged users by entering new case information. Cases are created based on the base type. The case types are displayed based on the logged-in user. See the Creating Cases for more information.

Case Search

The Case Search enables to filter cases to view and investigate the Case List section. The Views search option represents pre-populated search queries and Case HD search criteria is mutually exclusive with all other filter criteria. Various other search criteria assist in filtering required bases for the investigation. See the Searching Cases for more information.

Case Investigation

The comprehensive case investigation is carried out for the selected case resolution using the Case Summary page. This page provides details of the selected case to have complete insight of the base for the analysis.

The Case Summary page has the Case Context section, which provides a snapshot of the selected case. It also has Case tabs, which provide the comprehensive details of the selected case in form of Operational tabs (mandatory tabs) and Business tabs (optional tabs, available based on the case type). See the Investigating Cases for more information.

Action on Case

After investigating the case, you can take appropriate action on the selected case or cases for the resolution. You can assign a case to another user and add evidence to the case. Using Take Action button, you can set due date, email a case, and take resolution action on the case. See the Acting on Cases for more information.

Case Audit History

The Audit History displays complete historic details of the case. This allows to view and analyze actions previously performed on the current case by the system or user and the date and time of the case action, status.

Getting Started

This chapter provides step-by-step instructions to log in to the Enterprise Base Management application and manage the different features of the Oracle Financial Services Analytical Applications (OFSA) application page.

- [System Requirements](#)
- [Accessing ECM Application](#)
- [Troubleshooting Your Display](#)

System Requirements

This section describes the various Operating Systems, Database, Web server, and Web application server versions, and other variant details on which this release of the OFS ECM Application Pack has been qualified.

EBM System Requirements

Operating System	
Oracle Linux / Red Hat Enterprise Linux (x86-64)	Oracle Linux Server release 6.5 and above - 64 bit Oracle Linux Server release 8 - 64 bit Note: Same version of RHEL is supported
Oracle Solaris (SPARC)	10.3+- 64 bit
Shell	KORN Shell (KSH)
Note: If the operating system has RHEL, install the package lsb_release with one of the following commands by logging in as root user: <pre>yum install redhat-lsb-core</pre> <pre>yum install redhat-lsb</pre>	

Java Runtime Environment	
Oracle Linux / Red Hat Enterprise Linux	Oracle Java Runtime Environment (JRE) 1.8.x - 64 bit
Oracle Database Server and Client	
Oracle Database Server Clients 19.3+ Oracle Database Server Enterprise Edition 19.3+ - 64 bit RAC/ Non-RAC with/ without partitioning option	
OLAP	
V 11.1.2.0+ (Server and Client) with Oracle 11g Database V 11.1.2.3+ (Server and Client) with Oracle 12c Database V 11.2.0.3+ with Oracle 10g Database V 12.1.0.1+ with Oracle 12c Database	
Web server/ Web application server	
Oracle Linux / Red Hat Enterprise Linux/ IBM Solaris	<ul style="list-style-type: none"> Oracle HTTP Server 11.1.1.0/ Apache HTTP Server 2.2.x/ IBM HTTP Server. Oracle WebLogic Server 12.2.x and 14.1.x - 64 bit

	<ul style="list-style-type: none"> · IBM WebSphere Application Server 9.0.0.x with bundled IBM Java Runtime - 63 bit · Apache Tomcat 9.0.x - 64 bit
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Note:

OFS@A Infrastructure web component deployment on Oracle WebLogic Server with Oracle JRockit is not supported.

For deployment on Oracle WebLogic Server (64 bit) with Java 8, download from <http://support.oracle.com/>.

Desktop Requirements

Operating System	Windows 10
Browser	Chrome Version 90.0.4420.212 Firefox Version 78.10.1esr Microsoft Edge Version 91.0.818.62 Turn off Pop-up blocker settings.
Office Tools	MS Office 2010/2013 Adobe Acrobat Reader 8 or above
Screen Resolution	Minimum screen resolution & Scaling should be "1365 * 768 with 100% scaling.
Other Software	

Directory Services

NFSAAI is qualified on both OPEN LDAP 2.1.29+ and Oracle Internet Directory v 11.0.1.3.0. However, it can be integrated with other directory services software such as MS Active Directory.

Note: Configuration of Directory services software for NFSAAI installation is optional. Open LDAP must be installed on MS Windows Server machine.

Accessing OFSECM Application

Access to the Oracle Financial Services Enterprise Case Management application depends on the Internet or Intranet environment. Oracle Financial Services Enterprise Case Management is accessed through Microsoft Internet Explorer (IE) or Chrome. Your system administrator provides the intranet address uniform resource locator (URL).

Your system administrator provides you with a User ID and Password. Log in to the application through the OFSAA login page. You will be prompted to change your password on your first login. You can change your password whenever required after logging in. For security purposes, you can change the password. For more information, see Change Password section.

Note: Based on your firm's configuration, you can also log in with Single Sign-On (SSO).

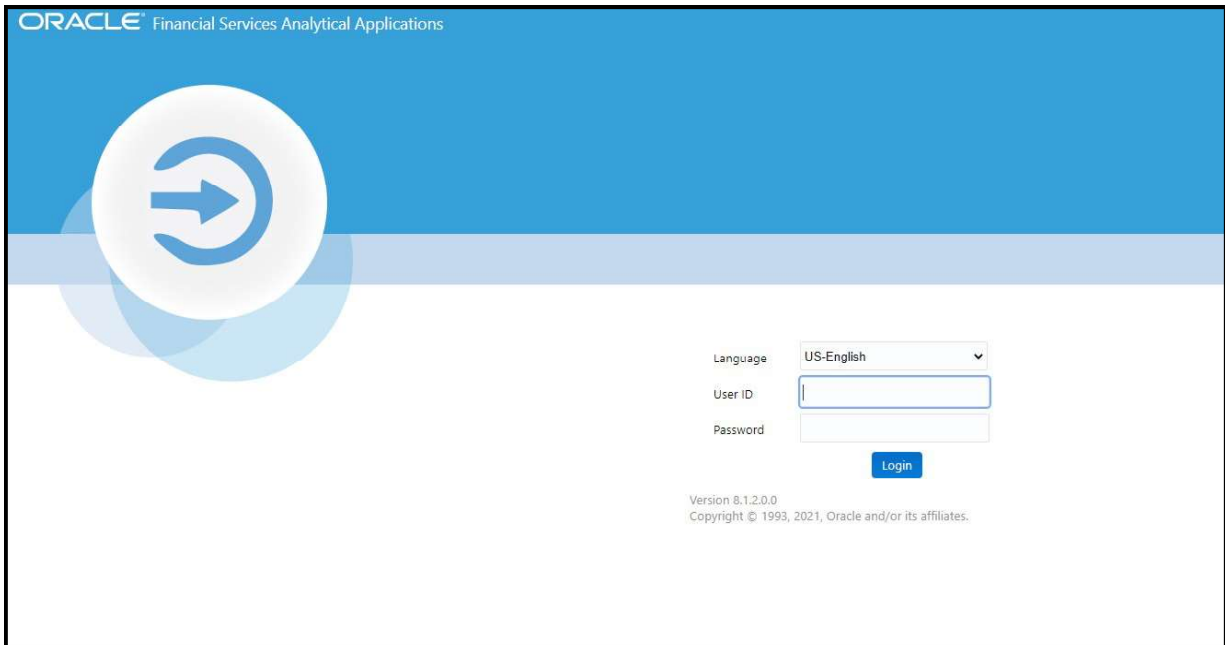
To access OFSECM Application, follow these steps:

Enter the URL into your browser using the following format:

<scheme/ protocol>://<ip address/ hostname>:<port number>/<context-name>/login.jsp

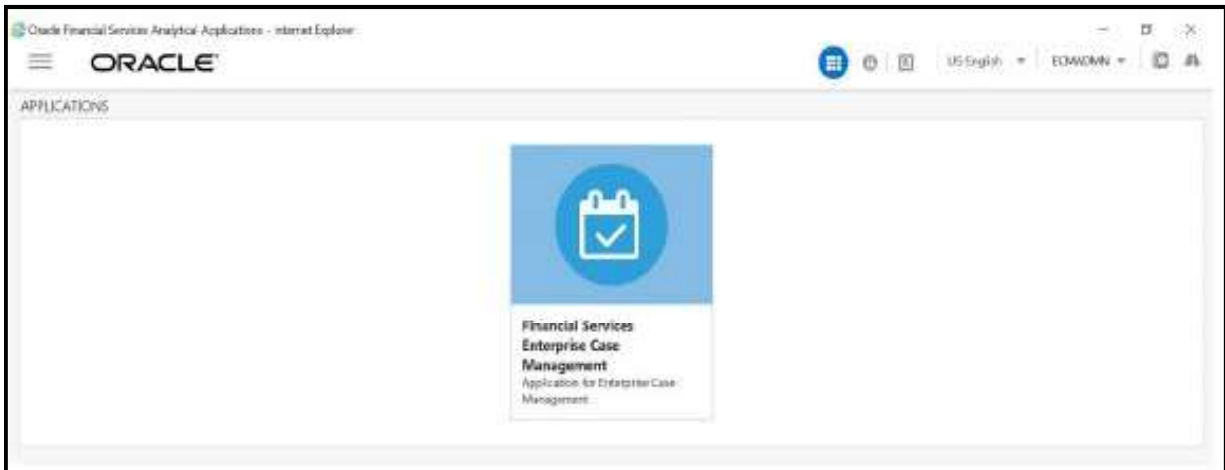
For example: <https://myserver:9080/nfsaaapp/login.jsp>

The OFSAA login page displays.



1. Select the Language from the Language drop-down list.
2. Enter your User ID and Password.
3. Click Login.

The OFSEBM Application landing page displays.



Troubleshooting Your Display

If you experience problems logging into Oracle Financial Services ECM or wish to troubleshoot your display, the browser settings may be incompatible with running OFSAA applications. The following sections provide instructions to set the Web display options for OFSAA applications within Internet Explorer (IE).

Note: The following procedures apply to all versions of IE listed in the “[System Requirements](#).” Separate procedures are listed for each version where differences exist in the location of settings and options.

Searching Cases

This chapter describes various search mechanisms and the process to search for cases.

- [About Case Search and Case List](#)
- [Accessing Case Search and List Page](#)
- [Managing Case List](#)

About Case Search and Case List

Case Search enables you to filter cases that you want to view and analyze on the Case List section. You can filter the Case List based on the following case search criteria.

The screenshot shows the 'Case Search and List' section of the 'Financial Services Enterprise Case Management' application. It displays a table of cases with columns: Case ID, Title, Type, Due Date, Priority, Status, Owner, Assigned To, Created, Jurisdiction, and Business Unit. The table lists 15 cases, all with a 'High' priority and 'Investigation' status. The 'Due Date' for all cases is '01/05/2022 16:30:00'. The 'Owner' is 'AUTOECMSUP' for most cases, and 'AUTOANALYST' for one. The 'Assigned To' is 'AUTOECMSUP' for most cases, and 'AUTOECMSUPA' for one. The 'Created' date is '01/04/2022' for all cases. The 'Jurisdiction' is 'AMEA' for all cases. The 'Business Unit' varies: 'GEN', 'RS/PC', 'INST', 'C/WS', and 'RET'.

Case ID	Title	Type	Due Date	Priority	Status	Owner	Assigned To	Created	Jurisdiction	Business Unit
CA103	AML_Events_Processing...	AML_SURV	01/02/2022 23:59:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	01/04/2022 00:46:55	AMEA	GEN
CA104	AML_Events_Processing...	AML_SURV	01/04/2022 23:59:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	01/04/2022 00:46:55	AMEA	RS/PC
ARS204	Title_AML_SURV	AML_SURV	01/05/2022 16:30:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	01/04/2022 04:34:40	AMEA	RS/PC
CA200	Title_AML_SURV	AML_SURV	01/05/2022 16:30:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	01/04/2022 04:14:30	AMEA	INST
CA201	Title_AML_SURV	AML_SURV	01/05/2022 16:30:00	High	New	AUTOANALYST	AUTOECMSUP	01/04/2022 04:17:33	AMEA	GEN
CA202	Title_AML_SURV	AML_SURV	01/05/2022 16:30:00	High	Investigation	AUTOECMSUPA	AUTOECMSUPA	01/04/2022 04:22:33	AMEA	C/WS
CA203	Title_AML_SURV	AML_SURV	01/05/2022 16:30:00	High	Investigation	AUTOECMSUPB	AUTOECMSUPB	01/04/2022 04:27:41	AMEA	C/WS
CA205	Title_KYC_IND	KYC_IND	01/05/2022 16:30:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	01/04/2022 04:37:19	AMEA	GEN
CA206	Title_AML_SURV	AML_SURV	01/05/2022 16:30:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	01/04/2022 04:39:55	AMEA	RET
CA209	Title_AML_SURV	AML_SURV	01/05/2022 16:30:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	01/04/2022 05:33:36	AMEA	GEN
CA211	Title_AML_SURV	AML_SURV	01/05/2022 16:30:00	High	Investigation	AUTOECMSUP	AUTOECMSUP	01/04/2022 05:41:47	AMEA	C/WS

- Enterprise Case Management filters cases based on the following conditions:
 - The Case/Event IDs, Views, and search criteria.
 - Your access control permissions.
- The Views search option represents pre-populated search queries.
- The Case ID Search Criteria are mutually exclusive with all other filter criteria.
- The Case List displays the list of cases as per the search criteria specified in the Case Search section.
- Various actions can be taken on the filtered cases.
- Export cases in Excel or CSV format.

- Highlighted overdue cases in Red color in Due Date column
- Displays colored Case priority that helps you to easily differentiate the cases with high and low priority.

Accessing Case Search and List Page

This section explains how to access the Base Search and List page.

To access the Base Search and List page, navigate to the Enterprise Case Investigation page and click Search Cases. The Case Search and List page displays. See the [Getting Started](#) section.

Managing Case List

The Case List section displays the list of cases and summarized information of cases that you can view, analyze, and take various actions on per the search criteria specified in the Case Search section.

Investigating Cases

This chapter explains how to investigate case-related information to determine what action to take in each situation for the resolution of the case.

- [Abott Investigating Cases](#)
- [Accessing Case Summary Page](#)

About Investigating Cases

The comprehensive case investigation is carried out using the Case Summary page for the selected case resolution. This page provides complete details of the selected case and you can take appropriate action on the case. The limited Case details are also available in the List page for your analysis.

About Case Summary

The Case Summary page provides information about the case in the following ways:

- **Case Context:** The Case Context section provides a snapshot of the selected case. You can also modify a few information based on your analysis.
- **Case Tabs:** The comprehensive details of the selected case are available in the tabs. The following types of tabs are available for the selected case:
 - **Case Operational Data tabs:** These tabs are available for all types of cases. For example, Evidence, Audit History, and Narratives. The data in each tab displays based on the access privilege provided to the user. Users view, analyze, update information pertaining to cases, and provide inputs using these tabs. This information enables you to take appropriate action on the cases. For more information, see the Using Operational Data Tabs.
- **Case Business Data tabs:** These tabs are available based on the case type selection. Business tabs help users categorize large amounts of supporting data into smaller tabs of data, organized by data type (for example, account information, customer information) to aid analyzing of a case. The data in each tab displays based on the access privilege provided to the user. For more information, see the Using Business Data Tabs.
- **Action on Case:** Action can be taken on the selected case. For example, you can add evidence, assign a case, and email a case. Action buttons are available based on the case type and access privilege.

Note: When you open a case and navigate to the Case Summary page, the selected case is locked by you and other users are allowed view-only access to the case. If other users attempt to access the same case, they receive a message informing that the case is locked by another user and granted only view rights (they can take no action on the case).

Accessing Case Summary Page

This section explains how to access the Case Summary page.

To access the Case Summary page, follow these steps:

1. Navigate to the Enterprise Case Investigation page, see the [Getting Started](#) for more information.
2. Select Search Case. The Search and List page displays.
3. Search cases based on your requirement. For more information, see the [Searching Cases](#) topic.
4. Click the required Case ID link. The Case Summary page displays.

Note:

If the selected case is locked, that is, another user has currently accessed the same case, the following message displays: The selected case is locked by another user <ABC>. Click OK to view the Case Details page in view-mode only and Cancel to return to List page.

Here, ABC represents Userid/Name /IDName/NameID. This is applicable when you are taking action on a single case.

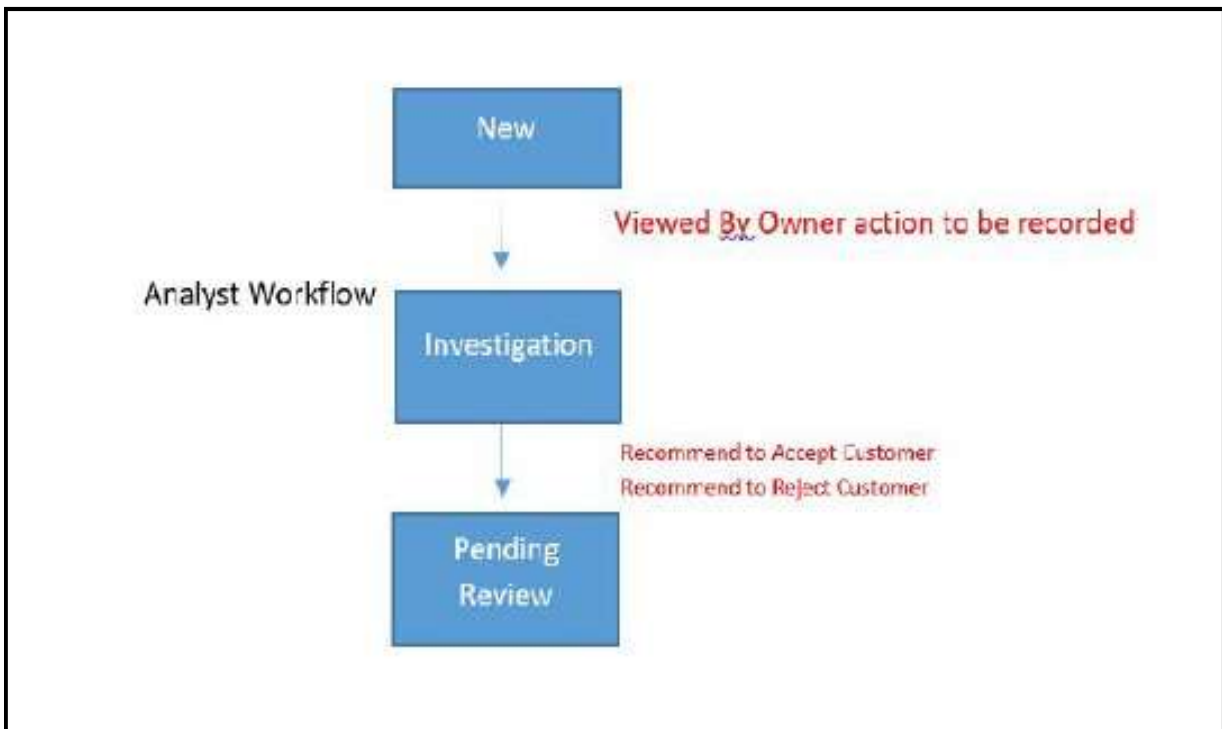
Workflows

This appendix covdrs the following sdctions:

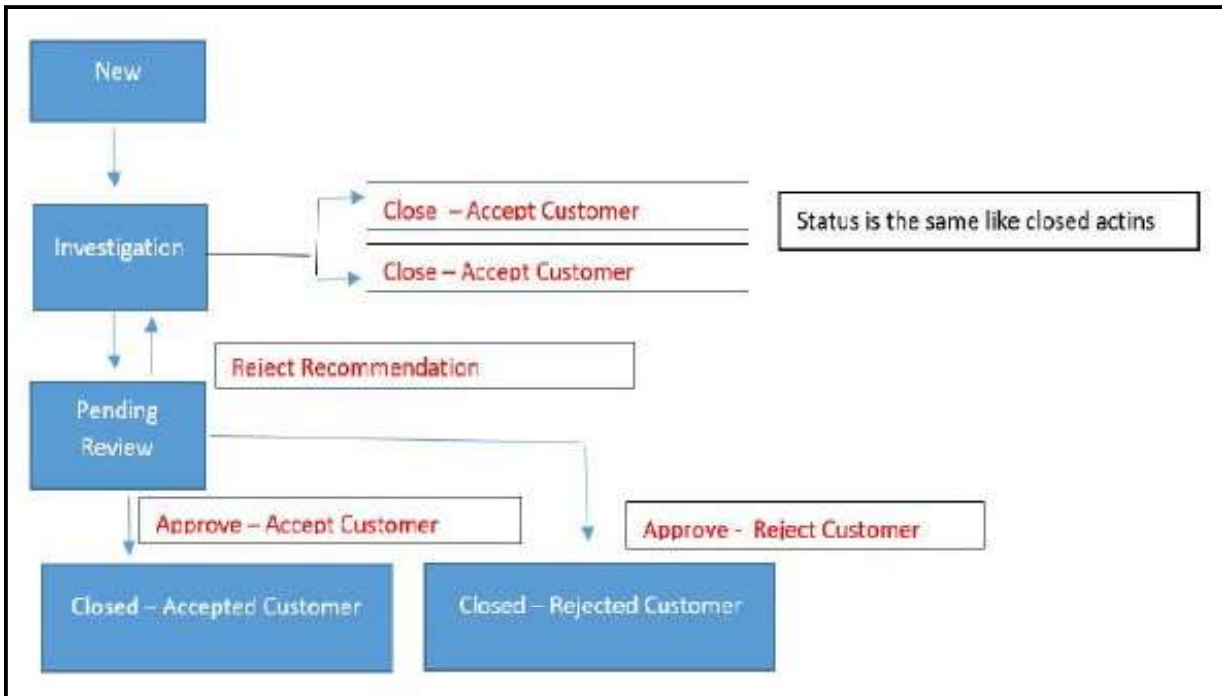
- [KYC Onboarcng Workflows](#)
- [KYC Bustomer Dashboarc Workflows](#)

KYC Onboarding Workflows

Analyst Workflow (KYC Onboarding Case Type)

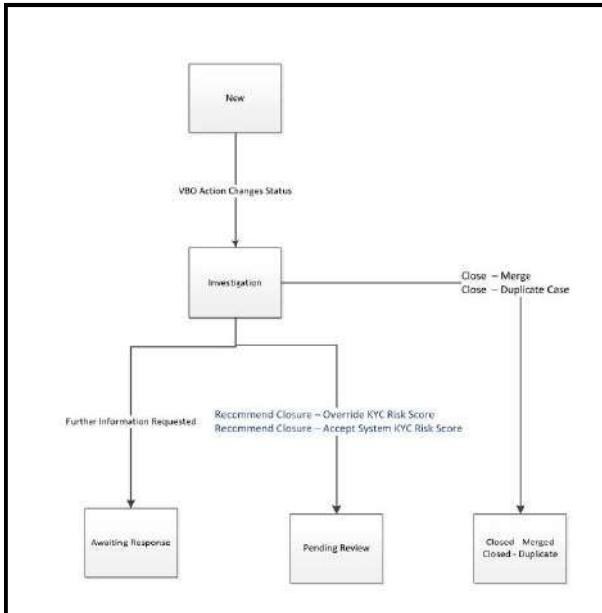


Supervisor Workflow (KYC Onboarding Case Type)

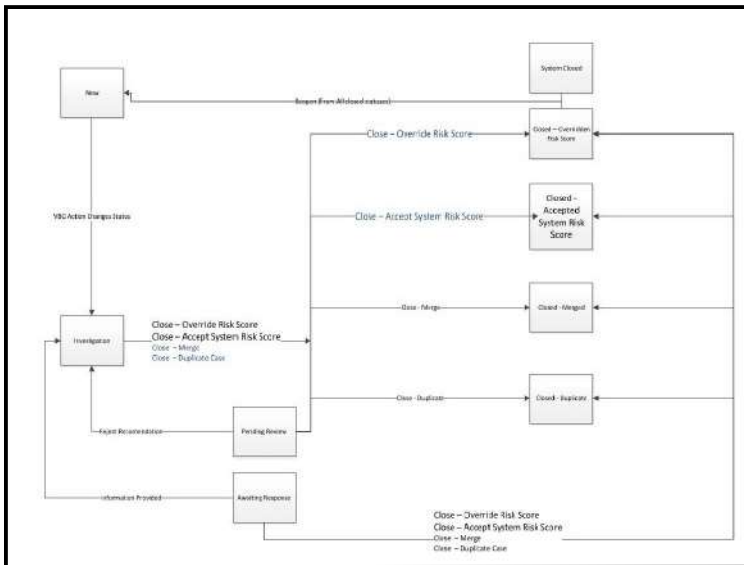


KYC Customer Dashboard Workflows

Analyst Workflow (KYC Customer Dashboard Case Type)



Supervisor Workflow (KYC Customer Dashboard Case Type)



Glossary

A

Account

A record representing an organization, customer, partner, or internal department associated with one or more cases.

Action

A discrete operation that can be performed on a case or task, such as assign, escalate, close, or add note.

Audit Trail

A detailed record of changes made to a case, including who made each change and when, for compliance and traceability.

C

Case Category

A classification used to group cases by type, such as Incident, Request, Complaint, or Inquiry.

D

Dashboard

A visual, often role-based, workspace showing summaries, charts, and key metrics for cases and tasks.

E

Escalation

The process of raising the visibility or priority of a case, often transferring it to a higher-level queue or manager.

N

Notification

An alert sent to users (for example, by email or in-app) to inform them of events such as assignment, updates, or SLA breaches.

Q

Queue

A holding area where cases or tasks are placed until they are picked up or automatically routed.

S

SLA (Service Level Agreement)

A defined target for response or resolution times, used to measure service performance.