

Release Notes – Oracle Watchlist Screening 9.0.1

Installation

For installation details please see “Oracle Watchlist Screening Implementation Guide.pdf”.

This is available in the documentation folder of the ZIP file that you received containing this software.

Compatibility

This version of Oracle Watchlist Screening is compatible with the following releases of Oracle Enterprise Data Quality:

- Oracle Enterprise Data Quality 9.0.3 and later

New Features and Improvements

The following table summarizes the most important new features and improvements in the 9.0.1 release. For full information on these features, please consult the product documentation. If you require a detailed briefing and/or training on the release, please contact your account manager.

Change Reference	Title	Description
SOL-388	Separate Sanctions, PEP and EDD Screening	Separately configurable match processes for Sanctions, PEP and EDD (enhanced due diligence) records have been provided. This allows different list record types to be screened against with different levels of rigor, and on different screening schedules and frequency if required.
SOL-834	World-Check Premium Changes	Changes to the World-Check connector have been made to support the new World-Check Premium and World-Check Premium Plus products. These features include: <ul style="list-style-type: none"> • Source library – access to archived source material that was used to build a record profile • Native alias – names provided in their non-Latin original script form • Alias quality – a rating of the quality of profile alias names. This can be used to exclude low quality aliases during screening for example. • PEP sub-classification – a finer-grain classification of why a PEP has been classified as such. This can be used to further filter which PEPs are screened against. • Profile update classification – information about what has changed in a profile record since the last update More information about the World-Check Premium and World-Check Premium Plus products are available on the World-check website.

SOL-891	Provide Real-time Screening Receipt	<p>A new feature has been added to the real-time screening interface allowing the screening user to generate a receipt of the screening request.</p> <p>This receipt is generated in PDF format and can either be launched directly from the UI or saved to disk.</p> <p>The contents of the receipt is configurable by an administrator and can include any of the following content:</p> <ul style="list-style-type: none"> • Screening input data • Generated screening reference ID • Results of the screening – were there any matches identified and summary details of those matches • Other data associated with the screening request: the submitting user, date/time of the request, etc.
SOL-925	Create Separate List Management Project	<p>The list preparation and screening functions have been split into separate projects allowing them to be managed and controlled independently.</p>
SOL-976	Externalize screening configuration	<p>Screening configuration options have now been externalized, meaning that these settings can be managed without needing to open the EDQ user interface and modify job or process configuration settings. Examples of some of the settings that can administered are:</p> <ul style="list-style-type: none"> • Watch list download task details (e.g. url, username, password, etc.) • Matching execution mode (batch, real-time) • The watch list record types to screen against (Sanctions, PEP, EDD) • The match rules to enable
SOL-980	Master Commonly Changed Reference Data in List Management	<p>Reference data used for screening is now mastered and managed centrally in the new List Management project. In addition, the project also contains new processes to analyze the data quality of the mastered reference data used for the preparation of the watch lists.</p>
SOL-982	Advanced Watch List Filtering	<p>The watch list filtering mechanism has been redesigned and is now completely driven by reference data settings. This gives complete control over which watch lists and subsets of the watch lists to screen against</p> <p>It is now possible to filter centrally and/or independently at each screening instance, allowing screening against different lists for different geographies or jurisdictions</p> <p>Another key feature is the ability to filter by linked profile (where this data is available from the provider). An example use of this feature would be to configure filtering to screen against all sanctions records and all records related to those sanctions [but not appearing on a sanction list themselves].</p>

SOL-1017	Match Improvements	<p>Enhancements have been made to the match rules and clustering strategies to improve screening effectiveness, including:</p> <ul style="list-style-type: none"> • Significant improvements to the entity matching template • New individual match rules to address some customer raised enhancement requests • New rules added for matching names presented in their non-Latin “Original Script” • New entity rules added which are dedicated to matching vessel names • New elimination rules added [and enabled by default in the PEP and EDD templates] to tighten matching and help reduce false positives • Rules reordered and grouped to make use of the new grouping capability in the EDQ platform • Rules and comparisons renamed to standardize and make them more consistent and easier to understand
SOL-1032	Separate Sanctions, PEP and EDD Workflows	<p>Alerts generated during matching are now segregated by list record type in the Case Management system and follow different separate logical workflow processes. This allows different review teams to work different categories of alert.</p>
SOL-1040	Add Support for OFAC NS-PLC List	<p>Support for the OFAC NS-PLC list is now included. It is merged into the existing OFAC SDN list.</p>
SOL-1085	Create a Simplified Alert Workflow	<p>A new simple alternative alert workflow has been provided which is aimed at addressing the needs of organizations with small compliance teams.</p>
SOL-1089	Automatically assign priority to alerts	<p>Default reception rules have been added to automatically assign a priority to alerts based on the match score.</p>
SOL-1090	Automatically assign description to cases and alerts	<p>Default reception rules have been added to automatically assign a description to alerts based on the name of the customer record that was matched.</p>
SOL-1302	Dow Jones Watchlist Reference Mapping	<p>Changes to the Dow Jones connector have been made to support the new sanction list reference mapping file. This enables easier filtering of the list data by allowing grouping of the lists by common provider codes. For example, this allows a single option to control the filtering of EU sanctions records rather than needing to manage this by each individual EU resolution. More information is available on the Dow Jones website.</p>

SOL-1371	Support for UN Taliban List	<p>On 17 June 2011, the United Nations voted resolution 1988 (2011), to split their sanctions list into two separate lists (Al-Qaida and Taliban).</p> <p>The UN preparation process has been changed to tag these files separately and read them from separate data sources, with keywords UN-TAL and UN-ALQ respectively.</p>
----------	-----------------------------	---

Known Issues

None.

If you have any problems please contact Oracle support.