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ComplyTrack Creatio

Ensuring compliance with the requirements of the regulator (KYC, AML, CTF, legislation and industry standards)

Version 1.0

Admin's Manual





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1. Introduction

App ComplyTrack Creatio is delivered as .zip file containing all the necessary packages. Installation is carried out from section Installation; deletion of the application is carried out in System designer. Future updates will be supplied as separate packages to be installed through console.

After installation, in sections Lookups and System settings in System designer, static groups Accounts, Contacts, Questionnaire, Incidents, Risk cases, Documents, Scoring models, Risk scoring, Sanctions list, Regular check, Universal validations are created. They contain lookups and settings necessary for the solution to function. Some lookups and settings will be filled in with demo values by default.

Detailed description of system settings and lookups designed for ComplyTrack Creatio is provided in this admin's manual.

Learn more about basic functionality of Creatio on company's website <https://academy.creatio.com>.



2. Lookups

The Lookups section is designed to manage ComplyTrack Creatio lookups. You can also edit existing lookups and register the new ones in this section.

To access the section, open the system designer by clicking the  button in the top right corner of the application. In the System setup block, click the Lookups link.

Lookups for ComplyTrack Creatio are grouped in a separate branch. The folders are named according to sections: Accounts, Contacts, Questionnaire, Incidents, Risk cases, Documents, Scoring models, Risk scoring, Sanctions list, Regular check.

Attention

When you edit the content of lookups, do not delete basic content, as this can lead to incorrect operation of pre-configured business processes.

When a lookup is selected in the section, on the top of the standard options, some additional options are available:

- Open content – opens a page for editing the content of a lookup **Error! Reference source not found..**
- Open settings — opens a page for editing the lookup settings specified when registering a lookup 0.

2.1. Lookup content page

A special window is used to view and edit lookup records. To open this page, select a lookup in the list and click the Open content button.

Most system lookups are standard and contain only the [Name] and [Description] fields. Certain custom lookups have record edit pages.

You can modify the content in the most lookups in the editable list (Image 1).

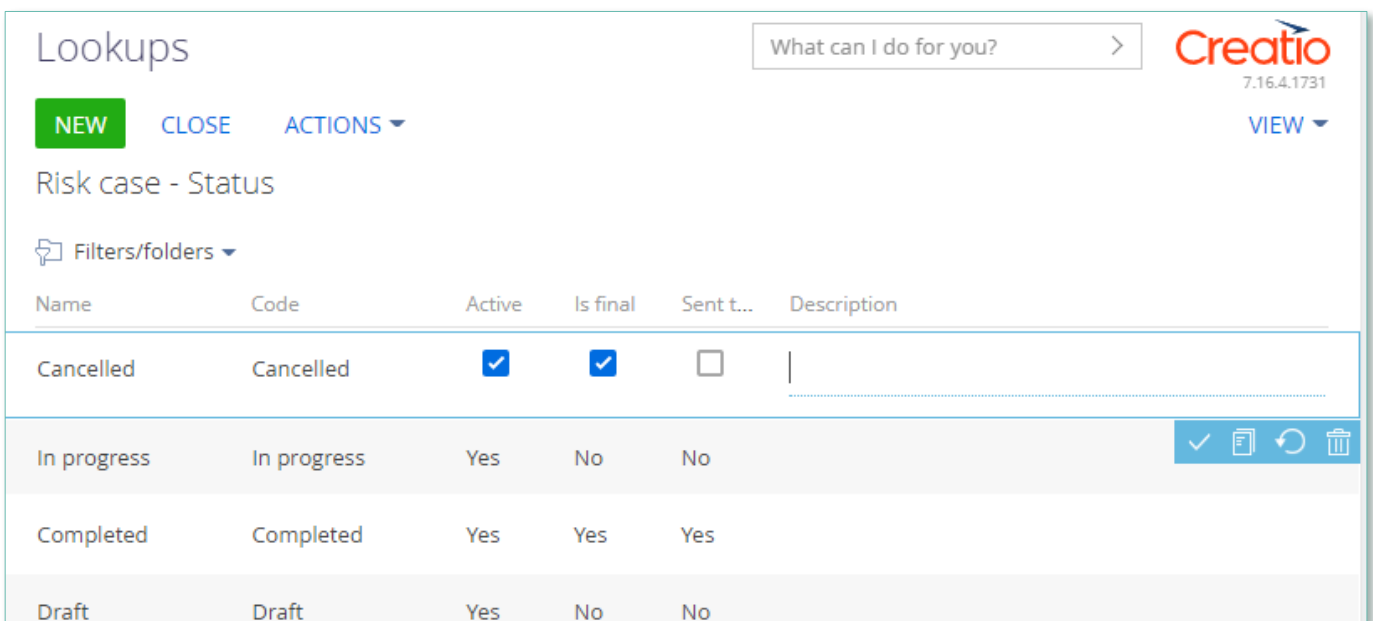


Image 1. Example of saving changes in editable list of the lookup



You can deactivate lookup values to prevent the users from selecting these values in the future.

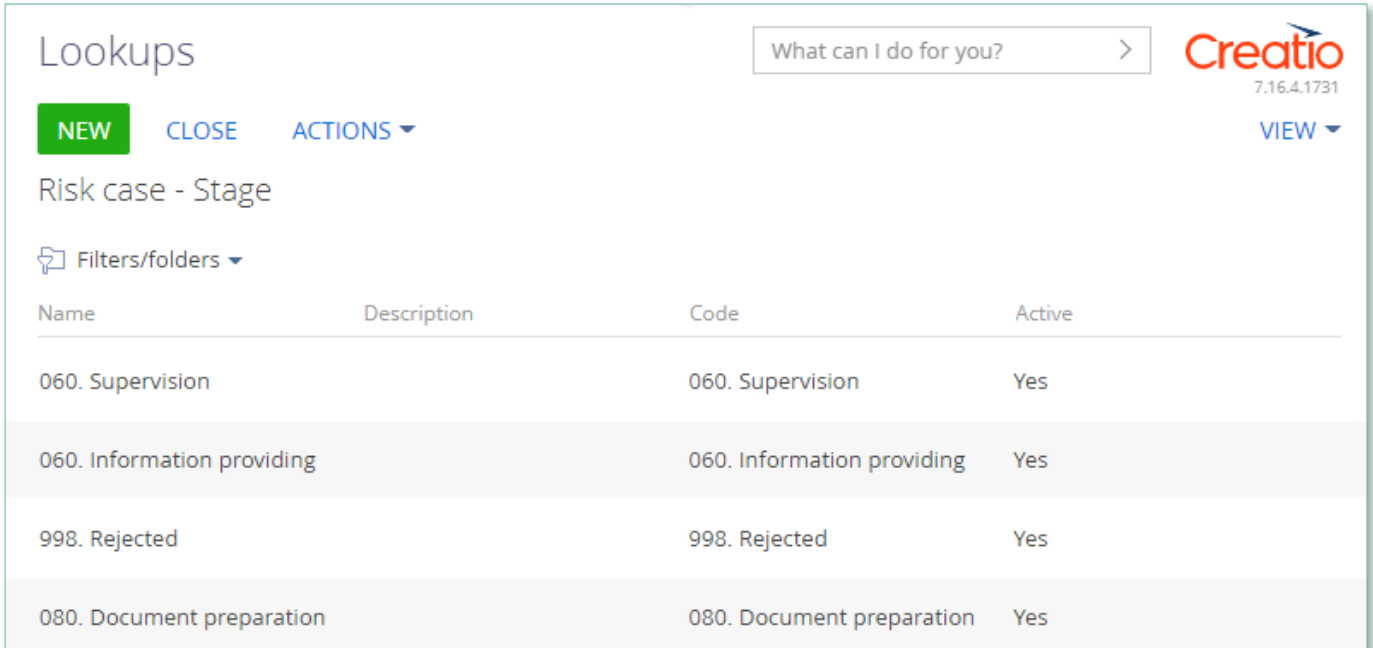


Image 2. Active value of lookup Audit case status

Deactivated values will not be available for selection in the corresponding lookup fields. All existing records where an inactive lookup value had been previously set will remain unchanged. Lookup record deactivation is disabled by default.

2.2. Lookup settings page

Use the lookup settings page to add or change settings of existing lookups. To open this page, select a lookup in the list and click the Open settings button.

Field	Description
Name	Lookup name
Object	Object that contains the structure of lookup content. For example, in the registration card of the Normative document levels of confidentiality lookup, the Normative document levels of confidentiality object is specified in this field. The lookup of this field contains items of the "Object" type.
List page	Page schema used for editing the content of the lookup. If this field is not set, the standard lookup content page will be used.
Description	Description of the lookup, e.g., its purpose and function.

2.3. List of lookups

The system contains several principal configurable lookups, which are used upon filling in the document.



Lookup	Description
Tab Questionnaire	
Details in questionnaire	Standard lookup Contains fields: Name, Description, Code, Active
Questionnaire opening reason	Standard lookup Contains fields: Name, Description, Code, Active
NACE Group	Standard lookup Contains fields: Name, Description, Code, Active
NACE Classification	Standard lookup Contains fields: Name, Description, Code, Active
NACE Division	Standard lookup Contains fields: Name, Description, Code, Active
Questionnaire version	Non-standard lookup In each type of Questionnaire there can be additional attributes defined
Risk activity types	Standard lookup Contains fields: Name, Description, Code, Active
Questionnaire information blocks	Standard lookup Contains fields: Name, Description, Code, Active
Questionnaire income source	Standard lookup Contains fields: Name, Description, Code, Active
Products & Services	Standard lookup Contains fields: Name, Description, Code, Active
Questionnaire status	Standard lookup Contains fields: Name, Description, Code, Active
Questionnaire type	Non-standard lookup In each type of Questionnaire there are available versions of the Questionnaire defined
Type of politically exposed person	Standard lookup Contains fields: Name, Description, Code, Active
Tab Documents	
Document subtype classification	Standard lookup Contains fields: Name, Description, Code, Active
Document subtype	Standard lookup Contains fields: Name, Description, Code, Active
Document status	Standard lookup Contains fields: Name, Description, Code, Active
Document type	Non-standard lookup In each type of Document the possible characteristics and access rights are defined
Characteristics in document type	Standard lookup Contains fields: Characteristic, Document type, Add as default



Lookup	Description
Tab Incidents	
Risk case - Incident origin	Standard lookup Contains fields: Name, Description, Code, Active
Risk case incidents result	Standard lookup Contains fields: Name, Description, Code, Incident type
Risk case - Incident type	Non-standard lookup In each type of Incident the possible characteristics, results and access rights are defined
Risk case - Characteristics in incident type	Standard lookup Contains fields: Name, Description, Code, Active
Risk case - Incident status	Standard lookup Contains fields: Name, Description, Code, Active
Tab Contacts	
Departments	Standard lookup Contains fields: Name, Description
Job titles	Standard lookup Contains fields: Name, Description
Salutations	Standard lookup Contains fields: Name, Description
Reasons for job change	Standard lookup Contains fields: Name, Description
Contact roles	Standard lookup Contains fields: Name, Description
Contact types	Standard lookup Contains fields: Name, Description
Tab Accounts	
High risk business activity	Standard lookup Contains fields: Name, Description, Code, Active
Annual revenue	Standard lookup Contains fields: Name, Description, From, base currency, To, base currency
Account identified by	Standard lookup Contains fields: Name, Description, Code, Active
Account categories	Standard lookup Contains fields: Name, Description
No. of employees	Standard lookup Contains fields: Name, Description, Position
Industries	Standard lookup Contains fields: Name, Description



Lookup	Description
Risk scoring product	Standard lookup Contains fields: Name, Description, Code, Active
Risk factor	Standard lookup Contains fields: Name, Description, Parent, Position
Account (contact) role	Standard lookup Contains fields: Name, Description, Code, Active
Country relation type	Standard lookup Contains fields: Name, Description, Code, Active
Account types	Standard lookup Contains fields: Name, Description
Restriction types	Standard lookup Contains fields: Name, Description, Code, Active
Password type	Standard lookup Contains fields: Name, Description, Code, Active
Ownership types	Standard lookup Contains fields: Name, Description, Country
Tab Regular check	
Ignored sanctions list item release reason	Standard lookup Contains fields: Name, Description, Code
Person control status	Standard lookup Contains fields: Name, Description, Code
Object check types	Standard lookup Contains fields: Name, Description
Tab Risk Scoring	
Risk scoring types	Non-standard lookup In each type of Risk scoring there are Scoring models added, by which the risk is calculated
Client risk level	Standard lookup Contains fields: Name, Description, Code, Active
Tab Risk cases	
Risk case purpose	Standard lookup Contains fields: Name, Description, Code, Active
Risk case - Characteristics in risk case type	Standard lookup Contains fields: Characteristics, Type, Add as default, Stage
Risk case - Shortcoming type	Standard lookup Contains fields: Name, Description, Code, Active
Risk case type in risk case result	Standard lookup Contains fields: Risk case type, Risk case result, Stage settings



Lookup	Description
Risk case – Type	Non-standard lookup For more information, see clause 2.4.2 Lookup Risk case - Type
Risk case - Status	Standard lookup Contains fields: Name, Description, Code, Active, Is final, Sent tasks
Risk case - Stage	Standard lookup Contains fields: Name, Description, Code, Active
Risk case - Role in risk case	Standard lookup Contains fields: Name, Description, Code, Active
Risk case - Stage validation result	Standard lookup Contains fields: Name, Description, Code
Risk case - Result	Standard lookup Contains fields: Name, Description, Code, Active
Risk case - Priority	Standard lookup Contains fields: Name, Description, Code, Active
Risk case - Source	Standard lookup Contains fields: Name, Description, Code, Active
Risk case - Subtype	Standard lookup Contains fields: Name, Risk case type
Tab Sanctions List	
Risk case - Sanctions list type	Standard lookup Contains fields: Name, Description, Code, Active
Sanctions list entry	Standard lookup Contains fields: Black list name, Black list Id, Blacklist entry type, Legal basic
Text comparison methods	Standard lookup Contains fields: Name, Description, Code, Active
Folder Universal Validation	
Settings of universal validation messages	Non-standard lookup Contains conditions for checking, Message for the user
Folder Characteristics management	
Characteristics - Custom lookup value	Standard lookup Contains fields: Possible value, Characteristic, Code
Characteristics - Yes / No	Standard lookup Contains fields: Name, Description, Code, Active
Characteristics	Non-standard lookup The possible types of characteristics in Questionnaires, Documents, Risk cases, Incidents are configured
Characteristics date/time format	Standard lookup Contains fields: Name, Description




Lookup	Description
Characteristics decimal accuracy	Standard lookup Contains fields: Name, Description
Characteristics types	Standard lookup Contains fields: Name, Description

2.4. Description of non-standard lookups

This chapter describes the non-standard lookups used in ComplyTrack Creatio.

2.4.1 Email templates lookup

The [Email templates] lookup is used to create email templates for business processes and customer communications.

Field	Description
Template name	The title of a template. The field is required. In localized templates, the template name is followed by abbreviations of the used languages.
Macro source	System object (section or detail), whose fields will be used in the template as macros.
Template area	The template displays the template text. If the template is localized, different tabs are used to display its text in different languages. The  button in the top right area of the template enables adding new language tabs. Each tab contains: <ul style="list-style-type: none"> • [Edit] button, which is used for opening the content designer; • [Subject] field. This field value is automatically populated in the Subject field of the message page, when you select a bulk email (in Creatio marketing) or a lookup template.

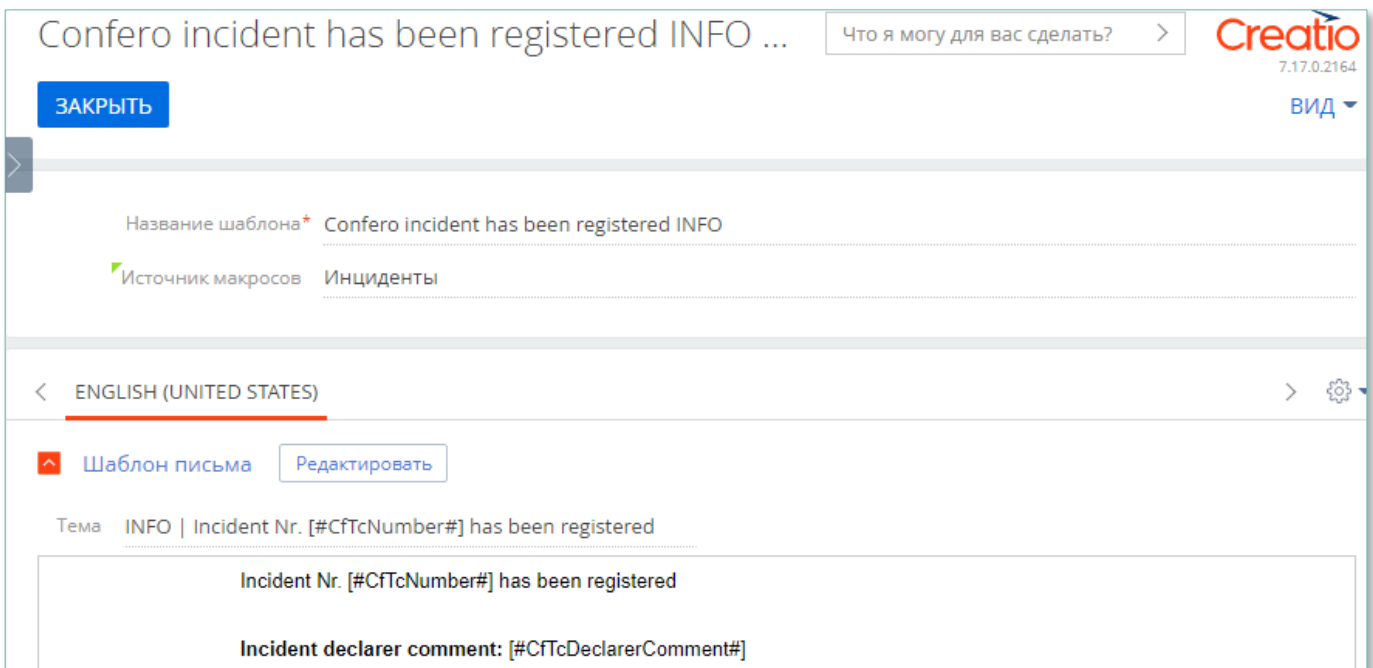


Image 3. Template Confero incident has been closed INFO



Product ComplyTrack Creatio is using several templates to create body text for emailing.

Template	Subject
Confero incident has been closed INFO (US)	INFO Incident Nr. [#CfTcNumber#] has been closed
Confero incident has been registered INFO	INFO Incident Nr. [#CfTcNumber#] has been registered
Confero incident INFO	INFO [#CfTcType#] [#CfTcNumber#]; [#CfTcStatus#]
Confero Risk case To Do	ToDo [#CfTcType#] [#CfTcNumber#]; [#CfTcStage#]
Confero Risk case INFO	INFO [#CfTcType#] [#CfTcNumber#]; [#CfTcStage#]

2.4.2 Lookup Risk case - Type

In lookup Risk case - Type one can find all the principal settings related to the risk cases.

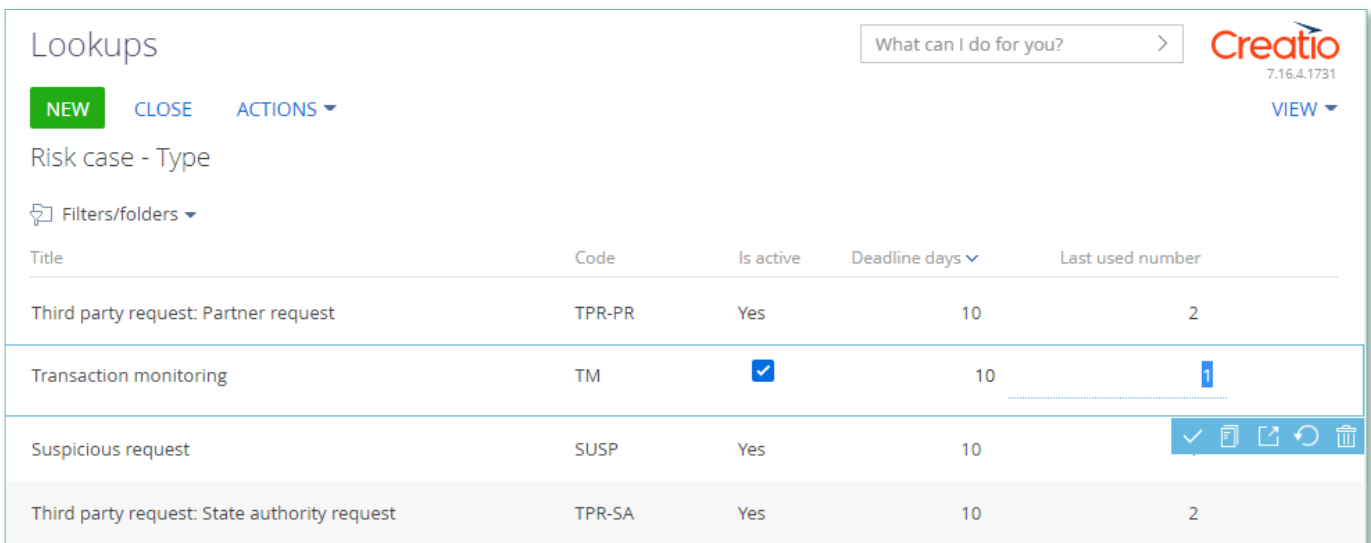


Image 4. Lookup Risk case - Type

- Title – type name
- Code – code of the type which is used for generating the index number of the risk case
- Deadline days – number of days automatically granted for processing the risk case when it is created
- Last used number – the last used number of this type which is used for generating the index number of the risk case
- Is active – a checkbox about that this type of risk case is active

Each type of risk case contains separate fields and settings. They can be accessed by clicking  Settings panel of the risk case provides three blocks which contain separate settings page:

1. Group of fields – Default access

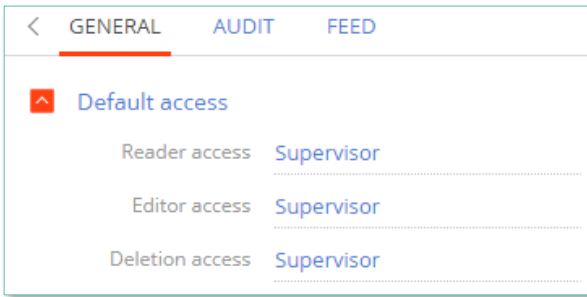


Image 5. Default access

- Reader access – group of users, which upon generating this type of risk case is granted reading rights to the entry by default
- Editor access – group of users, which upon generating this type of risk case is granted editing rights to the entry by default
- Deletion access – group of users, which upon generating this type of risk case is granted deletion rights to the entry by default

2. Detail Stage

A separate page opens – Risk case stage settings

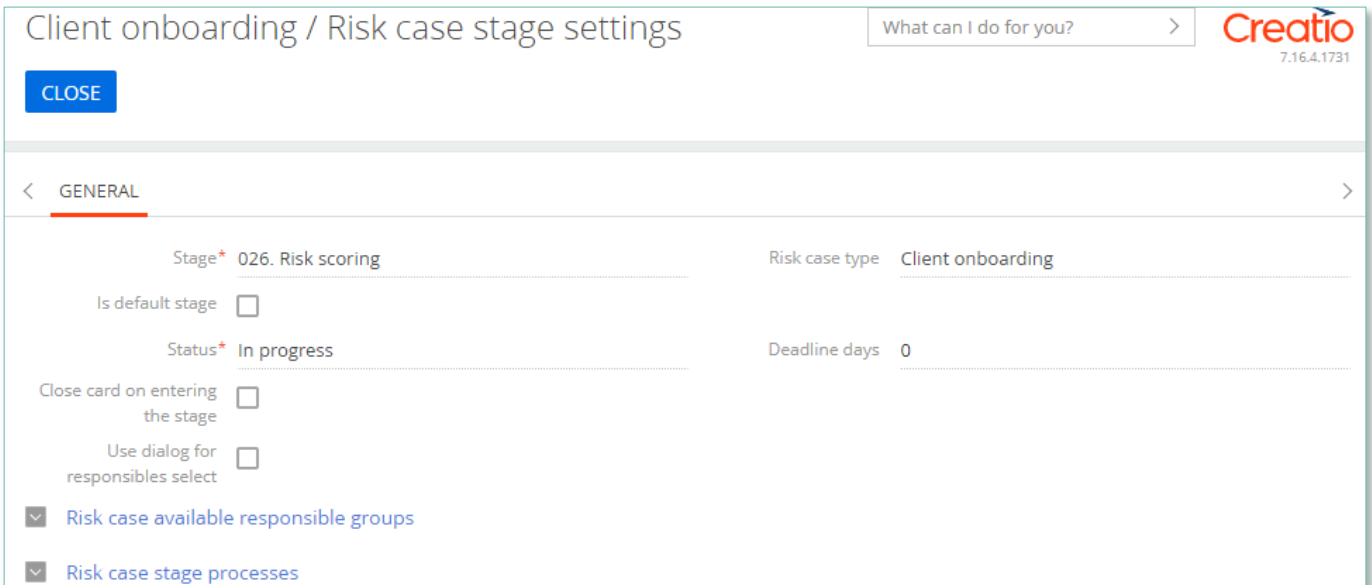


Image 6. Risk case stage settings

- Stage - name of the stage (selected from lookup)
- Risk case type – type of the risk case
- Is default stage – checkbox about whether this stage is the initial one
- Status – status that is set upon entering this stage
- Close card on entering this stage – a checkbox about that the card of the risk case will be automatically closed upon entering this stage
- Deadline days – number of days given for executing this stage (there is no validation for the total number of days for the risk case)



Group of fields Responsible on page Stages

Responsible

Use specific responsible Specific responsible _____

Leave responsible

Use previous stage responsible Previous stage _____

Reset responsible

Image 7. Group of fields Responsible

- Use specific responsible – checkbox about appointing a specific employee to be responsible for this stage
- Specific responsible – employee responsible for the stage (choose from lookup of employees)
- Leave responsible – to not make changes in the field Responsible
- Use previous stage responsible – checkbox about appointing an employee responsible for the previous stage to be in charge of current stage
- Previous stage – previous stage, which is used in setting Use previous stage responsible
- Reset responsible – clear value in the field Responsible

Group of fields Responsible group on page Stages

Responsible group

Use specific responsible group Specific responsible group _____

Leave responsible group

Image 8. Group of fields Responsible group

- Use specific responsible group – a checkbox about that a specific group of responsible employees should be used
- Specific responsible group – choice from lookup of certain group of employees responsible
- Leave responsible group – a checkbox about that the responsible group remains unchanged

Group of fields Notifications on page Stages



Notifications

Send notification to responsables

Send notification to author

Send notification to specific group Notify specific group _____

Send notification to followers

Image 9. Group of fields Notifications

- Send notification to responsables – send a notification to persons responsible
- Send notification to author – send a notification to the author
- Send notification to specific group – send a notification to a specific group
- Notify specific group – the group from the previous setting
- Send notification to followers – send notification to the followers

Group of fields Email on page Stages

Email

Send email to responsables Email to responsible template _____

Send email to author Email to author template _____

Send email to specific group

Email specific group _____ Email to specific group template _____

Send email to followers Email to followers template _____

Image 10. Group of Email fields

- Send email to responsables – send an email to the persons responsible
- Email to responsible template – a template of email to the persons responsible
- Send email to author – send an email to the author
- Email to author template – a template of email to the author
- Send email to specific group – send an email to a specific group
- Email to specific group – a group for the previous setting
- Email to specific group template – template of email for the specific group
- Send email to followers – send an email to followers (from the detail Followers in the risk case)
- Email to followers template – template of email to the followers



3. Detail Characteristics in risk case type

A screenshot of a table titled 'Characteristics in risk case type'. The table has three columns: 'Characteristics', 'Type', and 'Add as default'. There is one row of data: 'Financial loss', 'Preventive case', and 'Yes'. Above the table, there is a header bar with a red arrow icon, the title 'Characteristics in risk case type', a plus sign, and a vertical ellipsis icon.

Characteristics	Type	Add as default
Financial loss	Preventive case	Yes

Image 11. Detail Characteristics in risk case type

- Characteristics – characteristics available in this type of risk case
- Add as default – a checkbox about that the characteristics will be added to the risk case automatically upon creating it


2.4.3 Lookup Characteristics

Lookup Characteristics is located in section Lookups in folder Characteristics management.

A screenshot of the 'Lookups' section in the system. At the top, there is a search bar with the text 'What can I do for you?' and a right arrow. To the right is the 'Creatio 7.16.4.1731' logo and a 'VIEW' dropdown menu. Below the search bar are buttons for 'NEW CHARACTERISTIC' (in a green box), 'CLOSE', and 'ACTIONS' with a dropdown arrow. The main content is a table titled 'Characteristics' with a 'Filters/folders' dropdown icon. The table has four columns: 'Name', 'Description', 'Type', and 'Lookup'. There are three rows of data. The first row is 'Passport/ID card number' with type 'String'. The second row is 'Financial loss' with description 'Financial loss due risk' and type 'Decimal', and it has search icons in the 'Lookup' column. The third row is 'Is a client a U.S. person?' with type 'Boolean' and a set of action icons (checkmark, copy, share, refresh, delete) in the 'Lookup' column.


Name	Description	Type	Lookup
Passport/ID card number		String	
Financial loss	Financial loss due risk	Decimal	🔍
Is a client a U.S. person?		Boolean	✅ 📄 🔄 🗑️

Image 12. View of lookup Characteristics

This section contains various characteristics. One can choose the necessary one, click on the setting  and choose the type of questionnaire inside the characteristic.

Financial loss

What can I do for you? >



SAVE
CANCEL

Code

Name*

Type

Accuracy*

Description

< SETTINGS IN OBJECTS >

+
:
Characteristics in questionnaire version

Characteristic	Version	Required	Default
Financial loss	v.01	No	No

Image 13. Detail Characteristics in questionnaire version

2.4.4 Lookup Universal validations

In Lookup Universal validations there are settings for validation messages stored.



Lookups What can I do for you? > **Creatio**
7.16.4.1731 VIEW ▾

NEW CLOSE ACTIONS ▾

Universal validations

Filters/folders ▾

Name	Message	Active	On o...	With block...
Client onboarding CDD/EDD / Completed Rejected / PEP validation	In case customer / beneficiary / representative has PEP indication case must be reviewed via "Escalation" stage!	Yes	No	Yes
Client onboarding CDD/EDD / Completed Rejected / Risk level validation	In case person scored as high and very high risk level onboarding must be reviewed via "Supervision" stage	Yes	No	Yes
Client onboarding / Completed Rejected / Characteristics validation	All "Features" must be filled!	Yes	No	Yes
Client onboarding / Completed Rejected / Person check STOP validation	In case customer or related person matched with sanctions list onboarding must be reviewed via "Escalation" stage!	Yes	No	Yes
Client onboarding Client CDD/EDD / Completed Rejected / Person check validation	Customer and related persons screening must be completed!	Yes	No	Yes
Client onboarding / Rejected / Result validation	Result must be set and must match the stage!	Yes	No	Yes
Client onboarding CDD/EDD / Completed / Result validation	Result must be set and must match the stage!	Yes	No	Yes

Image 14. Lookup Universal validations

Moving through stages of risk cases is regulated by the validations: the system is checking the status of person's screening in the lists, characteristics filled in, and allows moving to the certain stage.



3. Section System settings

The System settings section is designed for managing additional Creatio settings. For example, here you can assign a colour for the section panels, select the base currency for calculating the Creatio financial indicators, specify parameters for sending emails, etc.

With the help of system settings, you can also specify default values for various fields when new records are created, like a default activity status, for example.

To access the section, open the system designer by clicking the  button in the top right corner of the application. Click the [System settings] link in the [System setup] block.

3.1. System setting page

To register a system setting, use the system setting page.

Field	Description
Name	The [Name] field shows the title of the system setting that will display to users.
Type	System setting field type. The type of field defines the method of filling in the value of system setting. This field is editable while adding a new system setting and is non-editable for the previously registered records.
Default value	Use this field to set the value for the system setting. For example, you can set the “Not Started” value for the activity default status, or “5 minutes” value as an interval for notification check. The method of filling in the Value field depends on the type of system setting. For example, activity default status can be selected from the Activity statuses lookup, while the interval for notification check is specified as an integer number.
Code	The code is used for the unique designation of the system setting to identify it in the system. The field value can consist of Latin letters and numbers only and must not contain spaces.
Cached	Select the [Cached] checkbox if the value of the system setting changes relatively rarely and thus must be calculated only once per user session. Examples of cached system settings could be the main menu logo or login page colour of overdue activities or base currency settings.
Personal	Select this checkbox to have the system setting be configured for the current user individually.
Allow for portal user	Select this checkbox to make the system setting available for the portal users.

3.2. List of system settings

The system contains several system settings used for filling in a document in ComplyTrack Creatio. The settings for ComplyTrack Creatio are grouped in a separate branch. The folders are named in accordance with the section: Questionnaire, Documents, Incidents, Risk cases, Sanctions lists, Scoring.



Name	Code	Note
Folder Confero		
Site URL	CfTcSiteUrl	Line (250 characters) The system setting must be filled in to ensure correct operation of match search in the lists
Keep individual customers (Contacts) in account section	CfTcKeepContactsInAccountSection	If “ Yes”, then in certain cards field “Contact” is hidden
Enable custom document section	CfTcEnabledCustomDocumentSection	Value by default Switching between the documents
Tab Questionnaire		
Questionnaire last number	CfTcQuestionnaireLastNumber	Value by default Counting number
Questionnaire approval process	CfTcQuestionnaireVisaProcess	Value by default Setting from the lookup
Questionnaire code mask	CfTcQuestionnaireCodeMask	Questionnaire number format Q{0:000000}
Tab Document		
Document code mask	CfTcDocumentCodeMask	Document number format {0}/{1} - {2:000}
Tab Incidents		
Incident last number	CfTcIncidentsLastNumber	Value by default
Incident code mask	CfTcIncidentsCodeMask	Incident number format I{0:0000000}
Tab Risk cases		
Mailbox for sending emails about risk cases	MailboxForInvestigation	Setting from the lookup
Risk case default stage	CfTcInvestigationsDefaultStage	Setting from the lookup Value by default



Name	Code	Note
Risk case code mask	CfTcInvestigationsCodeMask	{0}/{1}/{2:0000}
Tab Sanction list		
Fuzzy Logic Alg Rate	CfTcFuzzyLogicAlgRate	Defines the threshold percentage of match in phrases Value by default
SanctionListStopWords	CfTcSanctionListStopWords	These words will be ignored during search in sanctions lists Value by default
SanctionListNameSeparators	CfTcSanctionListNameSeparators	The set characters will be deemed word separators and shall be perceived as spaces
SanctionsList hits amount into report	CfTcSanctionsListHitsAmountIntoReport	This setting defines a maximum number of matches displayed for the user

NB!

Elements available for generating document number: {0} – company code (to be indicated in the field “Numbering code” in Account card), {1} – document type code, {2} - year, {3} – document’s index number (within the given type or subtype).
Elements available for forming the number of the appendix document: {0} – number of the main document, {1} – index number of the appendix.