



FI Safety and Security

EmployeeSafetyAndSecurity.DNAapp.dnax
DNAapp ID bfc402de-c65a-483b-a5a9-0b7d9592cf93

Fiserv Confidential: Distribution restricted to:

- Clients using or considering purchase of the product described in this document
- Fiserv associates

© 2020 -2021 Fiserv, Inc. or its affiliates. All rights reserved. This work is confidential and its use is strictly limited. Use is permitted only in accordance with the terms of the agreement under which it was furnished. Any other use, duplication, or dissemination without the prior written consent of Fiserv, Inc. or its affiliates is strictly prohibited. The information contained herein is subject to change without notice. Except as specified by the agreement under which the materials are furnished, Fiserv, Inc. and its affiliates do not accept any liabilities with respect to the information contained herein and is not responsible for any direct, indirect, special, consequential or exemplary damages resulting from the use of this information. No warranties, either express or implied, are granted or extended by this document.

<http://www.fiserv.com>

Fiserv is a registered trademark of Fiserv, Inc.

Other brands and their products are trademarks or registered trademarks of their respective holders and should be noted as such.

Overview:

Financial Institution will use this application to impose restrictions on members who are deemed threats to the credit union and its employees. This application will inform Safety and Security team of institution and provide member information to the teller the moment member's profile is accessed through DNA.

Currently, Safety and Security flag members profile in DNA to alert employees upon access to member's profile. However, the current process does not provide immediate information to employees on what to do or how to handle the member, until Notes section is accessed. Safety and Security would like to provide employees the pertinent member's information on the account as quickly as possible. This will help determine what proper action to take.

Key Benefits:

- Safety and Security team of the Institution will be informed the moment member profile is accessed by teller.
- Instant member alert with instructions to employees will be triggered if warning flag exists in person level with description as "Employee Safety and Security".
- Alert screen will include the photo uploaded by Safety and Security team of institution. The photo is stored on OnBase or any other document management solution.
- Alert screen will include a link to the member letter for employees to print as needed. The letter will be stored on OnBase or any other document management solution.
- Notification emails will be send to security department of the institution when member profile is accessed.

Processing:

Below are the steps to access the functionality.

1. Institution identifies the member who is safety and security threat.

Safety and Security team of the institution uploads the photo of the member and the warning letter that is issued to the member on OnBase or any other document management solution so that when the member walks in to the branch the Security team is notified. DNA uses the employee's service account when retrieving files from OnBase.

2. If the document management solution is Onbase then set the calculation variables ES03, ES04, ES05 and ES06 values to the URL pointing to document and letter. A typical secured Onbase URL has below structure.

https://ONBASE-TESTWEB2/AppNet2/docpop/docpop.aspx?KT581_0_0_0={0}&clienttype=activex&doctypeid={1}

{0} – Is the placeholder for the person number of the member whose profile is accessed. This is filled by application at run time.

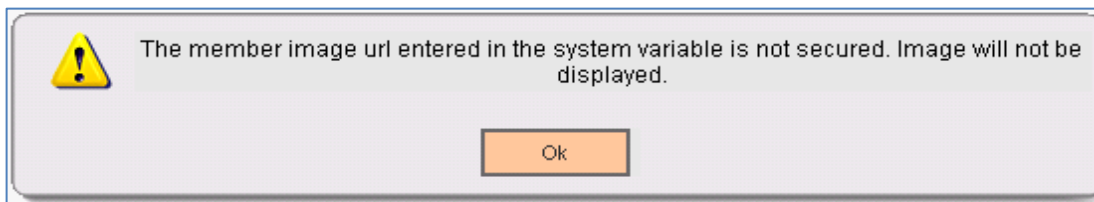
{1} – Is the placeholder for the document type Id for the photo or letter. This is filled by ES04 or ES06 calculation variable value at runtime.

3. If the institution uses its own document management solution then set the calculation variables ES03 and ES05 values to the URL pointing to document and letter. A typical secured URL should have below structure.

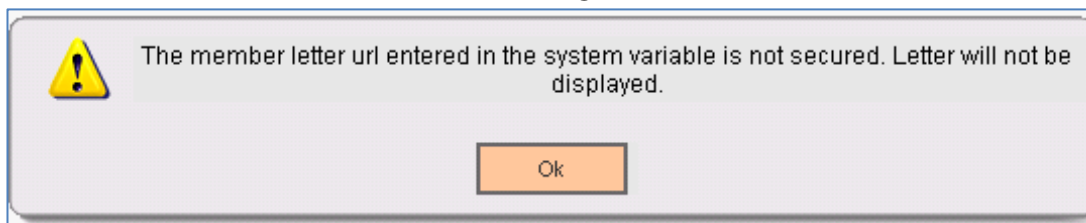
<https://InstitutionURL/AppNet2/docpop/docpop.aspx?Parameter={0}>

{0} – Is the placeholder for the person number of the member whose profile is accessed. This placeholder is mandatory and its value should be filled by the application at run time to fetch the details for the person accessed.

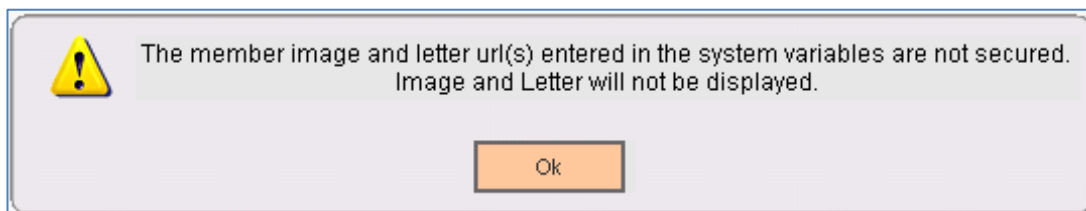
4. If the URL that is set in calculation variable ES03 or ES05 is not secured and does not contain Uri scheme as https then the respective image or letter or both are not displayed in the application and one of the below messages is shown accordingly.



Or



Or



- Institution creates and sets below warning flag code and description on the Warning Flags screen in DNA.

Table Maintenance

WRNFLAG

| Code | Description | Yes/No | Yes/No | Yes/No | Yes/No | Date Maint |
|------|-------------------|--------|--------|--------|--------|------------|
| RDHN | Employee Safet... | Yes | No | Yes | No | 09-01-2020 |

☒ Auto Hide Create Edit Delete

Update Table Row

WRNFLAGCD » RDHN

WRNFLAGDESC » Employee Safety and Security

☒ NOTIFICATIONYN

☐ ACCTFLAGYN

☒ PERSFLAGYN

☐ ORGFLAGYN

Cancel Close Clear Review Process

- Institution creates and sets below note sub class code and description to identify the notes which tells enters for the members those are identified as threat.

Table Maintenance

NOTESUBCLASS

| Code | NOTESUBCLASS Code | Description | Date Maint |
|------|-------------------|-------------------|------------|
| NOTE | RDHN | Employee Safet... | 07-28-2020 |

☒ Auto Hide Create Edit Delete

Update Table Row

NOTECLASSCD » Note

NOTESUBCLASSCD » RDHN

NOTESUBCLASSDESC » Employee Safety and Security

Cancel Close Clear Review Process

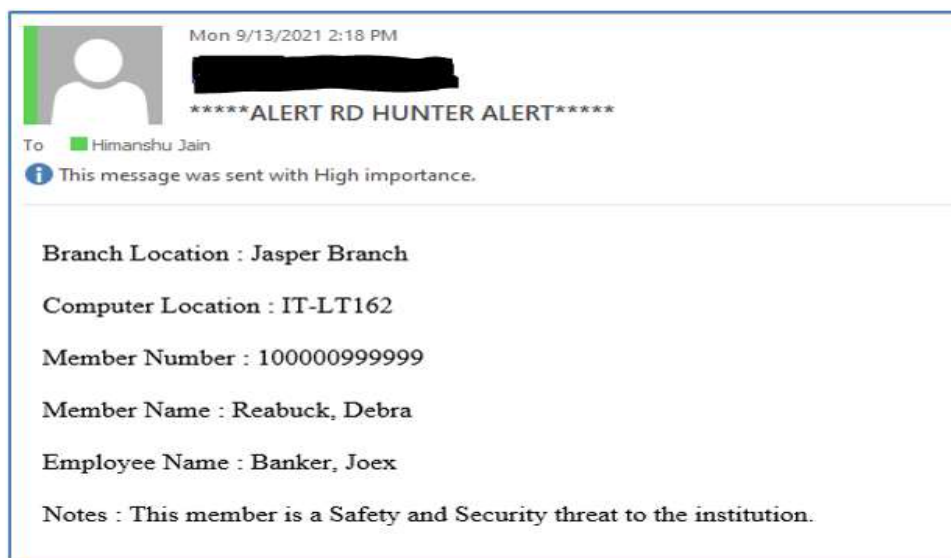
- Institution should use same warning flag code and note sub class code to identify the member as threat and the value should be updated in ES02 calculation variable. The note class code should be updated in ES01 calculation variable.
- If institution wants to notify its security department by email when the member profile is accessed, the calculation variable ES07-ES14 values needs to be configured.

9. If the institution wants to enable the email notifications set the ES07 calculation variable value to "Yes". If "Yes" then specify the SMTP server host value in ES08 calculation variable.
10. If the institution wants to pick the "From Email Address" of the teller who logged into DNA using its active directory credentials then set the ES11 calculation variable value to "Yes" and do not set any value in ES14 calculation variable.

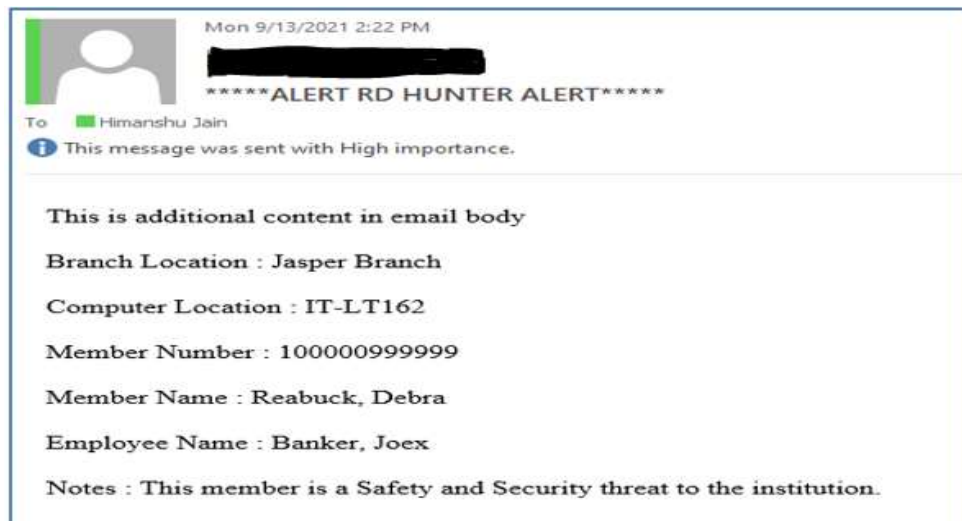
If ES11 value is set to "No" then specify the "From Email Address" explicitly in ES14 calculation variable.

11. The "To Email Address" is mandatory and needs to be set in the ES12 calculation variable. The "Cc Email Address" is non mandatory and can be set in the ES13 calculation variable if required.
12. The "Email subject" is non mandatory, pre-filled and can be set in ES09 calculation variable. The "Additional Email Content" is non mandatory and can be set in ES10 calculation variable. If ES10 value is not set then email in below content is send.

- Branch Location
- Computer Location
- Member Number
- Member Name
- Employee Name
- Notes



If ES10 value is set to say “This is additional content in email body” then first the additional content and then rest of the above content is displayed in the email as shown below.



13. Teller adds restrictions to the member by navigating to Restrictions screen under Services>Relationships>Maintenance>Person/Member>Additional.

14. Restriction is created with type as “Warning Flag” and Description as “Employee Safety and Security”.

Restrictions

Create / Edit Restrictions

Type » Warning Flag

Effective Date 09-11-2020

Description » Safety and Security

Release Date

Cancel Close Clear Review Process

15. Teller add notes for the member by navigating to Notes screen under Services>Relationships>Maintenance>Person/Member>Contact Management>Notes.

16. Note is created with Note class as “Note” and Sub Class as “Employee Safety and Security”.

Relationship Profile - Wentz, A.

Notes

| Note Class | Sub Class | Created By | Created Date/Time | Note Text | Inactive Date |
|------------|------------------------------|------------|------------------------|--|---------------|
| Note | Employee Safety and Security | Joe Banker | 10-02-2020 03:29:42 PM | This member's behavior is a threat to the institution. | |

☒ Auto Hide

Create Edit Inactivate Delete

Edit Note

Note Class » Note Sub Class » Employee Safety and Security Inactive Date

Note Text

This member's behavior is a threat to the institution.

Close Close Clear Review Process

17. The member who perceives as a threat walks in the branch and teller searches its profile either by navigating to Relationship Profile screen under Services>Relationships>Quick Inquiries>Relationship Profile
Or by navigating to Person/Member screen under Services>Relationships>Maintenance>Person/Member
18. The moment profile is searched the application displays below message to teller and in case email notification is enabled then email is sent to security team of the institution.



In case the profile searched doesn't have Employee Safety and Security warning attached to it then no message is shown, no email is sent and slide out is disabled.

19. Employee Safety and Security app is displayed as a slide out.
20. The slide out displays three sections.
The top most section displays member's image. This image is already stored on document management solution by Security team. Application fetches and displays it for the member searched.
- The middle section displays note which teller has placed for the member.

The last section displays the letter that financial institution has issued to the member. This letter is already stored on document management solution by Security team. Application fetches and displays it for the member searched.

Variables:

Calculation Categories:

The following calculation category is required to associate the variables to the application.

| Calculation Cat Code | Description |
|----------------------|-----------------|
| BANK | Inst Processing |

Calculation Types:

The following calculation type is required to associate the variables to the application.

| Calculation Type Code | Description |
|-----------------------|------------------------------|
| ESAS | Employee Safety And Security |

Calculation Variables:

New institution level calculation variable is added for the 'ESAS' calculation type.

| Variable | Code | Description (how used) | Data Type | Default |
|--------------------------------|------|--|-----------|-----------------------|
| NoteClassCd | ES01 | Represents Note Class Code | STR | NOTE |
| WrnFlagCd/NoteSubClassCd | ES02 | Represents Safety & Security Code | STR | RDHN |
| Member Image URL/OnBase URL | ES03 | Represent Member Image URL/OnBase URL | STR | Click |
| Membr Imge OnBase-URL-DocTypId | ES04 | Represents Member Image OnBase URL document type id | STR | 1796 |
| Member Letter URL/OnBase URL | ES05 | Represents Member Letter URL/OnBase URL | STR | Click |
| Membr Lttr OnBase-URL-DocTypId | ES06 | Represents Member Letter OnBase URL document Type id | STR | 1797 |
| Allow Email Alerts | ES07 | Enables email alert functionality in the application | YN | N |
| SMTP Server Host | ES08 | Represents SMTP server host value | STR | smtpXXX.YYY.ZZZ |

| Variable | Code | Description (how used) | Data Type | Default |
|-------------------------------|------|---|-----------|--|
| Email Subject | ES09 | Represents subject of email | STR | *****ALERT EMPLOYEE SAFETY & SECURITY ALERT***** |
| Additional Email Content | ES10 | Represents additional email content | STR | <blank> |
| Use Active Dir For From-Email | ES11 | Use active directory to fetch From email address of teller. | YN | N |
| To Email Address | ES12 | Represents To email address | STR | <blank> |
| Cc Email Address | ES13 | Represents Cc email address | STR | <blank> |
| From Email Address | ES14 | Represents From email address | STR | <blank> |

Calculation Variable values

| Code | Default |
|------|---|
| ES03 | https://ONBASE-TESTWEB2/AppNet2/docpop/docpop.aspx?KT581_0_0_0={0}&' 'clienttype=activex&' 'doctypeid={1} |
| ES05 | https://ONBASE-TESTWEB2/AppNet2/docpop/docpop.aspx?KT581_0_0_0={0}&' 'clienttype=activex&' 'doctypeid={1} |

Screens:

Navigation

1. Services > Relationships > Quick Inquiries > Relationship Profile (Search)
2. Services > Relationships > Maintenance > Person/Member (Search)

Slide Out: Employee Safety and Security

Screen Appearance:

General use of screen and button layout:

New slide out has been added to the Relationship Profile Screen. The new slide out is “Employee Safety and Security”

New slide out has been added to the Person/Member Screen. The new slide out is "Employee Safety and Security"

Employee Safety and Security
10/14/2021

[illegible]

Column Listing Grid:

| Field | Description |
|-----------------------|---|
| Member Image | Label displays on top of the member photo panel. |
| Member Photo Panel | Panel that displays the member image. |
| Notes | Label displays on top of the Notes textbox. |
| Member Notes | Textbox that displays the member notes set by teller. |
| Member Letter | Label displays on top of the member letter panel. |
| Member Document Panel | Panel that displays the letter issued to the member by institution. |
| Close | Button to close the slide out. |

Authorizations:

Since the application is a slide out it will inherit the same authorization item code and authorization permissions as set for Relationship Profile or Person/Member screen in DNA.

The application will not install any application specific authorization item code as part of installation process.

Additional Requirements:

- .NET Framework 4.5.2
- DNA 4.5 or higher

Configuration Checklist:

1. The Employee Safety and Security warning flag code should be present in the WrnFlag table. In case financial institution prefers to sets its own warning flag code then the same code should be set in ES02 calculation variable also.
2. The Employee Safety and Security note sub class code should be present in the NoteSubClass table mapped to "NOTE" note class code. In case financial institution prefers to sets its own note class code then the same code should be set in ES01 calculation variable. In case financial institution prefers to sets its own note sub class code then the same code should be same as ES02 calculation variable.
3. Institution should use same warning flag code and note sub class code value for designating the member as threat and the same value should be updated in ES02 calculation variable.
4. SMTP server host name should be set in ES08 calculation variable in case institution wants to use the email notification functionality of the application.

| Item | Test Environment | Production Environment |
|--|------------------|------------------------|
| Variables | | |
| Note, note sub class and warning flag type codes | | |
| Email notifications settings | | |
| AuthItem and permissions | | |

Revisions

| Date | App Version # | Change |
|---------|---------------|---|
| 10/2021 | 1.0.0.1 | Added the code to add notes and member name in the email notification template. |
| 10/2020 | 1.0.0.0 | Application created. |