



Siebel Finance Guide

Version 8.0

December 2006

ORACLE®

Copyright © 2005, 2006, Oracle. All rights reserved.

The Programs (which include both the software and documentation) contain proprietary information; they are provided under a license agreement containing restrictions on use and disclosure and are also protected by copyright, patent, and other intellectual and industrial property laws. Reverse engineering, disassembly, or decompilation of the Programs, except to the extent required to obtain interoperability with other independently created software or as specified by law, is prohibited.

The information contained in this document is subject to change without notice. If you find any problems in the documentation, please report them to us in writing. This document is not warranted to be error-free. Except as may be expressly permitted in your license agreement for these Programs, no part of these Programs may be reproduced or transmitted in any form or by any means, electronic or mechanical, for any purpose.

PRODUCT MODULES AND OPTIONS. This guide contains descriptions of modules that are optional and for which you may not have purchased a license. Siebel's Sample Database also includes data related to these optional modules. As a result, your software implementation may differ from descriptions in this guide. To find out more about the modules your organization has purchased, see your corporate purchasing agent or your Siebel sales representative.

If the Programs are delivered to the United States Government or anyone licensing or using the Programs on behalf of the United States Government, the following notice is applicable:

U.S. GOVERNMENT RIGHTS. Programs, software, databases, and related documentation and technical data delivered to U.S. Government customers are "commercial computer software" or "commercial technical data" pursuant to the applicable Federal Acquisition Regulation and agency-specific supplemental regulations. As such, use, duplication, disclosure, modification, and adaptation of the Programs, including documentation and technical data, shall be subject to the licensing restrictions set forth in the applicable Oracle license agreement, and, to the extent applicable, the additional rights set forth in FAR 52.227-19, Commercial Computer Software--Restricted Rights (June 1987). Oracle USA, Inc., 500 Oracle Parkway, Redwood City, CA 94065.

The Programs are not intended for use in any nuclear, aviation, mass transit, medical, or other inherently dangerous applications. It shall be the licensee's responsibility to take all appropriate fail-safe, backup, redundancy and other measures to ensure the safe use of such applications if the Programs are used for such purposes, and we disclaim liability for any damages caused by such use of the Programs.

Oracle, JD Edwards, PeopleSoft, and Siebel are registered trademarks of Oracle Corporation and/or its affiliates. Other names may be trademarks of their respective owners.

The Programs may provide links to Web sites and access to content, products, and services from third parties. Oracle is not responsible for the availability of, or any content provided on, third-party Web sites. You bear all risks associated with the use of such content. If you choose to purchase any products or services from a third party, the relationship is directly between you and the third party. Oracle is not responsible for: (a) the quality of third-party products or services; or (b) fulfilling any of the terms of the agreement with the third party, including delivery of products or services and warranty obligations related to purchased products or services. Oracle is not responsible for any loss or damage of any sort that you may incur from dealing with any third party.

Contents

Chapter 1: What's New in This Release

Chapter 2: Overview of Siebel Finance

Siebel Finance Functionality and Modules 17

Siebel Finance Basic Functionality and Modules 22

Chapter 3: Getting Started with Siebel Finance

About Applications Administration Tasks 25

Renaming Siebel Account Objects 26

Integrating Data with Host Applications 26

Using the Show Audit Trail Button 26

Configuring Lists of Values 27

Setting Up Type, Area, and Subarea Information 27

Establishing Applets as Read and Write or Read-Only 27

About Displaying Back End/Host System Fields 28

Configuring Summary Views 28

About Command Center 29

Command Center Configuration and Administration 30

Process of Configuring the Command Center Action Form 30

 Defining the Command Center Business Object 30

 Defining the Command Center Actions 32

 Selecting the Command Center Responsibilities 34

 Example of Configuring the Command Center Action Applet 34

 Creating Global Commands for the Command Line Applet 36

Chapter 4: Managing Opportunities

About Managing Opportunities 37

About Deal Management Capability 37

Scenario for Creating a New Opportunity 38

Process of Managing Opportunities	40
Administrator Procedures	40
End-User Procedures	40
Adding Opportunities as an Administrator	40
Managing Opportunities and Team Members	41
Adding Opportunities in Siebel Finance	42
Creating Opportunities from Applications	43
Managing Deals in Siebel Finance	44

Chapter 5: Managing Companies

About Managing Companies and Accounts	47
About Company Hierarchies	48
Scenario for Managing Company Information	48
Process of Managing Companies	50
Administrator Procedures	50
End-User Procedures	50
Setting Up Values for Companies	50
Deleting Company Information	51
Managing Competitor Information	52
Verifying Coverage Team Members	52
Managing the Custom-Defined Relationship Types LOV	54
Generating Company Hierarchies for Data Aggregation	55
Default Company Hierarchies	55
Dynamic Company Hierarchies	56
Adding Companies and Investors (End User)	57
Updating Company Profiles (End User)	58
Viewing Company Hierarchies in Roll-Up Views (End User)	58
Creating Company Assessments (End User)	60
Adding Company Applications (End User)	60
Adding Company Service Requests (End User)	61
Managing Company Coverage Teams (End User)	62
Viewing Company Summaries (End User)	62
Viewing Company Relationship Hierarchies (End User)	63

Displaying Lists of Investor Transactions or Holdings (End User) 64

Chapter 6: Managing Households

About Managing Households 67

Scenario for Managing Households 68

Process of Managing Households 68

Adding Households 69

Setting the Household Privacy Option 69

Associating Contacts with Households 69

Viewing Household Summaries 70

Using the Household Relationship Hierarchy 70

Viewing and Evaluating Household Portfolios 71

Chapter 7: Managing Contacts

About Managing Contacts 75

Scenario for Adding a New Contact 76

Process of Managing Contacts 77

End-User Procedures 77

Updating or Reviewing a Contact's Holdings 78

Updating or Reviewing a Contact's Investment Profile 78

Managing Contact Information (End User) 79

Adding Contacts 79

Creating Categories for Contact Information 80

Creating Notes About Contacts 81

Adding Contacts to a Literature Distribution 81

Contact Access Level 82

Entering Securities Interest for Contacts 82

Viewing a Contact's Transaction History 82

Managing Contact Referral Information 82

Reviewing Contact Profitability 84

Creating Customer Assessments (End User) 84

Setting the Customer Value Icon (End User) 85

Viewing a Contact Summary (End User) 85

Viewing Contact Relationship Hierarchies (End User) 86

Managing Mortgages (End User) 87

Performing Mortgage Needs Analyses	87
Making Mortgage Product Recommendations	88
Performing Mortgage Prequalifications	89
Using the Mortgage Calculator	89
Creating Financial Plans (End User)	90

Chapter 8: Managing Call Reports

About Managing Call Reports	91
Scenario for Managing Call Reports	92
Process of Managing Call Reports	93
Administrator Procedures	93
End-User Procedures	93
Viewing Call Report Charts	94
Activating the New Call Report Workflow	95
Managing Call Report Templates	95
Adding Call Reports (End User)	96
Creating Call Report Distribution Lists (End User)	97
Associating Action Items, Notes, and Attachments with Call Reports (End User)	97
Setting the Call Report Privacy Flag (End User)	98
Emailing and Printing Call Reports (End User)	98

Chapter 9: Managing Activities

About Managing Activities	101
Scenarios for Managing Activities	101
Process of Managing Activities	102
Making Appointments with Customers	102
Managing the My To Do List	103
Assigning Activities to Coworkers	103
Viewing Company Coverage Team Activities	104
Creating Call Lists	104
Providing Literature Fulfillment by Email	104

Chapter 10: Managing Financial Accounts

About Managing Financial Accounts	107
-----------------------------------	-----

Scenarios for Managing Financial Accounts	108
Process of Managing Financial Accounts	109
Administrator Procedures	109
End-User Procedures	109
Financial Account Administration	110
Working with Financial Accounts	111
Setting Up Household Financial Accounts Virtual Business Components	113
Configuring Virtual Business Components User Properties	113
Setting Up a Test ASP and Testing the Local Database	114
Virtual Business Components Testing	115
Reviewing Financial Accounts (End User)	115
Creating Service Requests Using the GO Button (End User)	116
Placing Trades (End User)	117

Chapter 11: Managing Service Requests

About Managing Service Requests	119
Scenarios for Managing Service Requests	120
Process of Managing Service Requests	121
Administrator Procedures	121
End-User Procedures	121
Changing a Company Address or Name	121
Changing a Customer Address or Name	121
Creating Service Requests (End User)	122
Requesting Account Service in Service Requests (End User)	122
Changing Company Address or Name Information (End User)	124
Changing Customer Address or Personal Information (End User)	125
Recording Customer Appeals or Grievances (End User)	126

Chapter 12: Managing Financial Needs Analyses

About Managing Financial Needs Analysis	127
Scenarios for Managing Financial Needs Analysis	128
Administrator Financial Needs Analysis Procedures	129
End-User Financial Needs Analysis Procedures	129
Needs Analysis Script Creation	129

Setting Up Product Scores	129
Creating Investment Objectives and the Portfolio Mix	130
Performing General Needs Analysis for Companies or Contacts	132
Performing Investment Needs Analysis for Contacts	133
Generating Recommendations from a Needs Analysis Session	133

Chapter 13: Managing Siebel Finance Applications

About Managing Siebel Finance Applications	137
Scenario for Managing Siebel Finance Applications	138
Process of Managing Siebel Finance Applications	139
Administrator Procedures	139
End-User Procedures	139
Setting Up Application View Navigation	139
Sales Method Creation and Modification	140
Activity Plans Set Up	140
Correspondence Set Up	140
Application Form Template Creation	141
About Auto Application	141
Verifying the Run-Time Event Data for Auto Application	141
Upgrade Notes to Continue Using Customized Version of Auto Application Workflow	142
Viewing and Creating Applications (End User)	143
Navigating Applications Using the Next Button	144
Creating Applications Using the Auto Application Feature	145
Assigning Applications to Coworkers	145
Managing Application Information (End User)	146
Adding Product Detail Information	146
Adding Applicant and Guarantor Information	147
Adding Consumer Detail Information	148
Adding Reference Information	149
Adding Collateral Information	149
Reviewing Product Disclosure Information	149
Reviewing Closing Requirements	150
Managing Documents	150
Creating Small Business Loan Applications (End User)	150
Adding Business Details	151
Recording Unique Features and Terms	152

Managing Business Services Information	152
Processing Applications (End User)	152
Viewing Assigned Applications	153
Assessing Applications	153
Ordering and Viewing Reports	154
Viewing Decisions on Applications	154
Capturing Regulation C Compliance Information	154
Adding Closing Activities	155
Creating and Modifying Trailing Documents	155
Creating Notes About Applications	155

Chapter 14: Managing Commercial Loans

About Managing Commercial Loans	157
Scenarios for Managing Loan Requests	158
Process of Managing Commercial Loans	160
Administrator Procedures	160
End-User Procedures	160
Activating Loan Request Workflows	161
Assessment Templates for Loan Approvals	161
Activities Plan for Loan Requests	162
Document Template for Loan Requests	162
Setting Up Approval Levels	162
Setting Up Portfolio Types for Commercial Loans	163
Associating Facilities with Financial Accounts	164
Creating Commercial Loan Requests (End User)	165
Setting Up Facilities (End User)	167
Syndicating Facilities (End User)	167
Setting Pricing and Fees for Facilities (End User)	168
Adding Guarantors to Loan Facilities (End User)	168
Adding Covenants to Facilities (End User)	169
Adding Collateral to Loan Facilities (End User)	170
Creating Policy Exceptions (End User)	170
Reviewing Underwriting Standards for Loan Requests (End User)	171
Reviewing Group Exposure (End User)	171

Entering Credit Decisions for Commercial Loans (End User) 172

Assigning Loan Requests (End User) 172

Chapter 15: Managing Holdings And Interests

About Managing Holdings and Interests 173

Scenario for Promoting a Market Opportunity to Targeted List of Clients 174

Process of Administering Securities 174

Setting Up Securities Lists of Values 175

Defining Industry Values 175

Defining Product Lines 175

Defining Product Classes 176

Adding Categories 177

Creating and Modifying Stock, Bond, and Mutual Fund Records 177

Process of Tracking Clients' Interests and Creating Interest-Based Call Lists 179

Entering Interests and Holdings Information 179

Creating and Using Targeted Call Lists 181

Configuring Call List Generation 183

Chapter 16: Managing Products and Pricing

About Managing Products and Pricing 185

Scenario for Managing Products and Pricing 185

Process of Managing Products and Pricing 186

Administrator Procedures 187

End-User Procedures 187

Creating New Products 187

Defining Fees and Rates 188

Using Product Information (End User) 190

Chapter 17: Managing Access Exceptions

About Managing Access Exceptions 191

Scenario for Analyzing Access Exceptions 192

Administering Access Exceptions 192

Setting Access Levels for Literature and Lists 192

Activating Access Workflows for Distribution Exceptions 193

Using Access Exceptions	194
Adding Access Exceptions	194
Setting Access Levels	195
Viewing Access Exceptions Charts	195
Viewing Access Exceptions Associated with Literature	196
Viewing Access Exceptions Associated with a List	196

Chapter 18: Managing Group Pensions

About Managing Group Pensions	197
Scenario for Creating a Company 401(k) Plan	197
Group Pension Sample Tasks	198
Process of Managing Group Pension Plans	198
Administrator Procedures	199
End-User Procedures	199
Defining Group Pension Products	199
Defining Group Pension Plans	200
Administering Group Pension Plans (End User)	202

Chapter 19: Business Services for Siebel Financial Services

About a Business Service	206
About Siebel Financial Services Business Services	206
VBC Cache and Instance Manager	208
Caching VBC Overview	208
Components	209
Stages of the Caching VBC Process	209
Caching VBC Configuration	210
Purging the VBC Cache	211
Free Format Converter	213
Data Validation Manager	214
Business Rule Processor	215
Process of Defining Business Rule Processes	216
Creating and Managing Business Rule Processes	217
Defining Properties for a Business Rule Process	220
About Business Rule Process Property Types	220

Defining Procedures for a Business Rule Process	224
Fine-Tuning the Assignment Statement	232
Handling Business Rules Processor Errors	234
Throwing Errors Within a Business Rules Process	235
Recovering From Errors Within a Business Rules Process	235
Using BRP Helper Business Services	236
FINS CAP Buscomp Data Loader Business Service	236
FINS CAP Buscomp Handler Business Service	240
Invoking the Business Rule Processor	246
Using eScript to Invoke the Business Rule Processor	247
Logging Business Rules Processor Debug Messages	248
Requirements Manager	248
About Requirements Manager	249
Administering Requirements Manager	250
Creating Record Templates	250
Creating Requirement Templates	251
Using Requirements Manager	254
Creating Record Group Templates	254
Example of Using Requirements Manager for Record Group Templates	256
Customer Authentication Manager	257
Creating Customer Authentication Templates	258
Defining Customer Authentication Rules	260
Invoking Customer Authentication Manager	261
Using the Calculation Manager	263
Specifying Calculation Rules	263
Example of Using Embedded eScript for Mortgage Calculation	266
Invoking Calculation Manager	268
Using the Customer Expectations Manager	269
Defining Customer Expectation Manager Rules	270
Invoking Customer Expectations Manager	272
Using Data Transfer Utilities (DTU)	272
About Data Maps	272
Using Named Parameters in DTU	277
Calculation Expressions in DTU	278
Data Transfer Utilities Methods	279
Considerations for Data Transfer Utilities	282
Configuring Event-based Commands	284
Dynamic Enabling of Commands	285

Automating Approval Processing	287
Defining Approval Items and Approval Stages	287
Invoking FINS Approval Item Service from a Workflow	288
Approving or Declining Approval Stages (End User)	290
Automating the Display of Disclosure Documents	291
Setting Up Disclosures	291
Understanding and Activating Disclosure Workflows	292
Invoking the Disclosure UI Service Business Service	293
Viewing Disclosures Associated with Contacts (End User)	294
SmartScript Integration with Workflow	294
Example of Integrating SmartScript with Workflow	295
FINS Web Shopping Service Methods	296
FINS SmartScript Output Service Methods	297
Dynamic UI Business Service	297
Example of Creating a Dynamic Applet with the Dynamic UI Business Service	297
Displaying Dynamic Applets in a Workflow	298
Creating a View Template for Dynamic Applets	299
FINS Application View Navigation	300
Business Service Methods	301
Business Service Behaviors	301
Business Service Administration	302
Example of FINS Application View Navigation	302
Upgrade Note	303

Appendix A: Siebel Finance Reports

Appendix B: Sample ASPs for Household Financial Accounts Virtual Business Components

cashflow.asp	309
Performance.asp	315
ModelValueByClass.asp	321
ModelValueBySector.asp	327
holdings.asp	334

Index

1

What's New in This Release

What's New in Siebel Finance Guide, Version 8.0

This guide has been updated to reflect product name and user interface changes. It was previously published as *Siebel Finance Guide*, Version 7.8. For more information about changes to the user interface, see *Siebel Fundamentals*.

2 Overview of Siebel Finance

Oracle's Siebel Finance includes various modules that you can mix and match according to your business needs. The next topic, [“Siebel Finance Functionality and Modules” on page 17](#), describes Siebel Finance functionality.

Siebel Finance is built upon the Siebel Business Architecture, which includes Siebel Sales, Siebel Service, and Siebel Call Center applications. Like many other Siebel Business Applications, Siebel Finance uses the Siebel Data Model, the Siebel Object Architecture, and the Siebel Application Server Architecture.

For customers with the Siebel Janna applications, the Siebel Finance Basic application and modules provide a migration path. Siebel Finance Basic also uses the Siebel Data Model, the Siebel Object Architecture, and the Siebel Application Server Architecture. For more information on Siebel Finance Basic, see [“Siebel Finance Basic Functionality and Modules” on page 22](#).

Siebel Finance Functionality and Modules

Siebel Finance Functionality

Siebel Finance provides the following functionality:

- Multiple lines of business management, permitting use by a range of users in retail and investment banking, which includes call center representatives, commercial bankers, investment bankers, mutual fund managers, small business officers, private bankers, division and regional managers, tellers, and others
- Financial account management, allowing the user to see and manage different types of financial accounts such as checking, savings, mutual funds, and credit products
- Campaign management, allowing product promotion to specific segments, accounts, and other targeted opportunities
- Activity management, integrated with the Calendar, promoting streamlined call planning and call reporting
- Enterprise-wide product management, promoting product information sharing across sales teams and regional branches
- Knowledge management, supporting customer-service centers and providing solutions for Financial Services-specific inquiries
- Multi-channel correspondence management, supporting a large number of inbound telephone calls, faxes, email, and Internet correspondence for customer service, sales, banking agents, and investment specialists

- Outbound campaign management, supporting outbound calling for telesales, telemarketing, and meeting planning
- Multi-channel relationship management, supporting all customer touch points and modules of interaction, which includes Supermarket, Call Center, Field Sales, Marketing, Sales, Service, Kiosk, Branch, and Relationship Managers

Siebel Finance Modules

Siebel Finance includes the following modules:

- **Small Business Banking.** Formerly called the Business Relationship Management module, this module is primarily targeted at Business Lending and Relationship Management. Within a small business banking organization, the primary users of this module include vice presidents, assistant vice presidents, line officers, and credit officers who have responsibility for business accounts. These positions are often referred to as relationship managers, account officers, or bankers. The Small Business Banking module provides detailed client profile information, competitive information, and summary charts to allow relationship managers to better identify and close opportunities with business customers.

- **Needs Analysis/Applications.** Siebel Needs Analysis/Applications, which is designed for sales personnel, their managers, and their associates, focuses on consumer sales opportunities. This module identifies appropriate product recommendations for deposit, investment, and home banking products for consumers and small businesses.

The Needs Analysis/Applications module also allows agents to capture information required to open and establish new liabilities products or services for customers. This module supports universal applications to facilitate a streamlined application process. For credit products application, use the Credit origination module.

- **Call Reports.** Siebel Call Reports are records of meetings and conversations with clients or other organizations and individuals. Financial institutions often require employees to generate call reports when they meet with customers.
- **Credit Origination.** The Siebel Credit Origination module supports loan origination. This module helps call center, field, and branch personnel do what if analysis to determine the needs of customers, recommend the right loan products, prequalify the customer, take the application, provide additional information about the product's fees, rate, and conditions, and manage loan documentation. This module further supports the consumer credit industry with the five most frequently used calculators in the industry, which includes Loan Amount, Monthly Payment, Loan Comparison, Refinance Break Even, and Loan Payoff.
- **Financial Accounts.** The Siebel Financial Accounts module allows organizations to view account details along with associated transactions. This module supports products such as checking, savings, credit cards, certificates of deposit (CDs), and all types of loans. It also includes investment accounts and holdings.
- **Securities.** Siebel Finance also provides functionality for investment accounts that support brokerage financial accounts and their related investment holdings. This module records and provides information about various securities (stocks, bonds, mutual funds, options, or unit investment trusts [UITs]) that make up these holdings. A financial institution using this module can execute trades of securities (buy and sell orders) on behalf of its clients.

- **Institutional Sales & Research.** Siebel Institutional Sales & Research provides a client management system for securities firms serving institutional clients. By facilitating communication across product groups and geographic regions, Siebel Finance allows client team members to work with the entire firm's relationships and competencies, thus institutionalizing the client relationship. Siebel Institutional Sales & Research includes the following functionality:
 - **Holdings & Interests Tracking.** Siebel Institutional Sales & Research provides institutional salespeople with a tool for tracking client holdings and contact interests. Siebel Finance accepts feeds from third-party vendors of holdings data, and also allows individual salespeople to import spreadsheets sent to them from clients. Salespeople can query holdings and interests data to build their day's call list, and then make the calls with the assistance of Siebel CTI. Activity records are automatically generated, thus reducing data entry for the salesperson while still maintaining accurate contact histories.
 - **Research Distribution Management.** Siebel Institutional Sales & Research provides a central repository for company research publications, and allows professionals to fax or email research documents to clients. Siebel Finance automatically tracks research distribution, allowing sales and research professionals to better understand their clients' interests. Security firms can also use Siebel Finance to better understand the channels through which its research is being distributed, and to manage entitlements.
 - **Investor Profiling.** Siebel Institutional Sales & Research provides institutional salespeople with an understanding of organizations or companies as investors, with their holdings and transaction history, charts and profiles of the investor, and the literature distributed to the organization. As well, you can integrate Siebel Finance with external news sources to display additional information about the investor.
 - **Securities.** Siebel Institutional Sales & Research includes the Securities module. This module provides for the set up and profiling of securities, which includes mutual funds. The Securities module provides the salesperson with a picture of each security available for sale to his or her clients, which includes literature about the security and information about mutual funds, their objectives, risk profile and asset mix.
- **Commercial Banking Loan Approval.** Siebel Commercial Banking Loan Approval provides the necessary tools and functions for the commercial banking market. Commercial Lending allows end users to automate the application approval process in commercial banking. It allows agents to capture the information necessary for a credit committee to make decisions. Users can capture both customer and facility-level information. The customer-level information includes the Request Summary view, and displays general information about the primary borrower and the relationship. The information at the facility level includes the facility detail views, which display detailed information about the specific facilities for which approval is requested.
- **Corporate & Commercial Banking.** Siebel Corporate & Commercial Banking is designed for financial services professionals working with corporations and other business customers in corporate banking. This module augments the customer relationship management features of Siebel Finance.

Company profiling provides corporate bankers with an in-depth picture of companies, which includes their investment and financial profile, competitors, third-party providers, and investors. Also, it includes summary views to provide quick snapshots of the key information about the company. Siebel Corporate & Commercial Banks includes the following functionality:

- **Retail Brokerage.** Siebel Retail Brokerage provides tools that allow an advisor or a broker to provide the right advice to the right customer at the right time. This results in increased returns on investment for the customer and increased profitability for the financial institution. Siebel Retail Brokerage includes the following functionality:
 - **Household Holdings.** Because retail brokerage sales are often to residents in the same household, this module also provides the total household picture which includes all the holdings for individuals within the household. It provides the advisor the ability to select and aggregate holdings for a household with multiple accounts, view the time-weighted rate of return or anticipated cash flows for an identified period, and compare the household's actual portfolio by asset class or by industry sector against a selected model portfolio.
 - **Holdings & Interests Tracking.** Brokers and advisors can use this module as a tool for tracking an individual's holdings and interests. Siebel Finance accepts feeds from third-party vendors of holdings data, and also allows individual brokers and planners to import spreadsheets sent to them from clients. Brokers and advisors can query holdings and interests data to build their day's call list and then make the calls. Activity records are automatically generated, thus reducing data entry for the salesperson while still maintaining accurate contact histories.
 - **Securities.** Siebel Retail Brokerage includes the Securities module. This module provides for the setup and profiling of securities, which includes stocks, bonds, mutual funds, and other investment products. The salesperson is provided with a picture of each security available for sale to his or her clients, such as literature about the security and information about mutual funds, their objectives, risk profile and asset mix.
 - **Research Distribution Management.** Siebel Retail Brokerage provides a central repository for company research publications, and allows brokers and planners to fax or email research documents to clients. Siebel Finance automatically tracks research distribution, which allows sales and research professionals to better understand their clients' interests. The securities firm can also use Siebel Finance to better understand the channels through which its research is being distributed and to manage entitlements.
- **Retirement/Pension Management.** Siebel Retirement/Pension Management provides comprehensive support for group pensions. It allows a user to manage private group pensions, which includes defined contribution plans, such as 401(k) plans and occupational pensions, and defined benefit plans. It is designed to meet the needs of sales and service professionals, managers, and pension administrators. The module allows users to define group pension plans, plan classes, plan eligibility rules, and plan funding vehicles. Siebel Retirement/Pension Management also provides eligible and enrolled participants tracking, participant contribution and investment allocation management, as well as a participant beneficiary management.

Siebel Retirement/Pension Management includes the Securities module that provides for the set up and profiling of funding vehicles such as mutual funds for pension plans. The plan administrators are provided with a picture of each mutual fund available for investment under the terms of the plan, which includes literature about the fund, fund objectives, risk profile, and asset mix.
- **Investment Banking.** Siebel Investment Banking offers investment bankers and their managers the tools to identify which customers need the most attention to push deals through to closure. Siebel Investment Banking includes the following functionality:

- **Company Profiling.** Company profiling provides investment bankers with an in-depth picture of companies. This information includes their investment and financial profile, competitors, and investors. Also, summary views provide quick snapshots of the key information about the company.
- **Investor Profiling.** Siebel Investment Banking provides bankers with an understanding of companies as investors with their holdings and transaction history, charts and profiles, and the literature distributed to the company. Users can integrate Siebel Finance with external news sources to display additional information about the investor.
- **Research Distribution Management.** Siebel Investment Banking provides a central repository for company research publications, and allows bankers to fax or email research documents to clients. Siebel Finance automatically tracks research distribution, which allows sales and research professionals to better understand their clients' interests. The firm can also use Siebel Finance to better understand the channels through which its research is being distributed, and to manage entitlements.
- **Investment Management.** Siebel Investment Management gives the account manager the tools to determine how best to build and maintain customer relationships, and how best to manage customer assets. Information is provided on customer financial accounts and holdings, as well as recent activity within customer accounts. Siebel Investment Management includes the following functionality:
 - **Company Profiling.** Company profiling provides account managers with an in-depth picture of companies. This information includes their investment and financial profile, competitors, and investors. Also, summary views provide quick snapshots of the key information about the company.
 - **Investor Profiling.** Siebel Investment Management provides account managers with an understanding of companies as investors with their holdings and transaction history, charts and profiles of the investor company, and the literature distributed to the company. Users can integrate Siebel Finance with external news sources to display additional information about the investor.
 - **Holdings & Interests Tracking.** It also provides account managers with a tool for tracking holdings for both corporate and individual clients and their interests. Siebel Finance accepts feeds from third-party vendors of holdings data, and also allows individual account managers to import spreadsheets sent to them from clients. Account managers can query holdings and interests data to build their day's call list and then make the calls. Activity records are automatically generated, thus reducing data entry for the salesperson, while still maintaining accurate contact histories.
 - **Research Distribution Management.** Siebel Investment Management provides a central repository for company research publications and allows account managers to fax or email research documents to clients. Siebel Finance automatically tracks research distribution, which allows sales and research professionals to better understand their clients' interests. The firm can also use Siebel Finance to better understand the channels through which its research is being distributed and to manage entitlements.

- **Rollup.** Siebel Rollup provides a comprehensive view of a client relationship in a single click, thereby eliminating the process to collect this information.

Siebel Rollup offers four views of the relationship with a client—Activities, Opportunities, Coverage Team, and Contacts. These views show the records for the selected client and for any hierarchical children. For example, the Contacts Rollup view displays all contacts associated with the selected company, all subsidiaries of the selected company, and the regional offices.

Executives, sales managers, or sales professionals are often looking for aggregate information across a corporate enterprise, and the individuals who work there. For example, before the Global Relationship Manager visits the CEO at his client company, he may want to view a report of all the latest activities, and deals conducted with the client company or with any of the subsidiaries, divisions and offices of the client company. This information arms the Global Relationship Manager with a picture of the relationship between the client and his company, and is an excellent preparation tool for his meeting.

NOTE: Optional modules from Siebel Business Applications can provide enhanced functionality to support various business processes. For information about the optional modules, contact your Siebel sales representative.

Siebel Finance Basic Functionality and Modules

Siebel Finance Basic Functionality

Siebel Finance Basic (exclusively for customers upgrading from the Siebel Janna applications) provides comparable functionality to Siebel Janna for Institutional Finance or Siebel Janna Contact Enterprise, which includes the following functionality:

- Relationship management, provides a graphical, hierarchical representation of an entity's relationship with other entities for use by a range of users in financial services
- Specific querying, which allows product promotion to specific segments, accounts, and other targeted opportunities
- Activity management, integrated with the Calendar, promotes streamlined call planning and call reporting
- Enterprise-wide literature repository at your employees' fingertips, provides information sharing across sales teams and locations

Siebel Finance Basic Modules

Two modules, Siebel Opportunity Manager and Siebel Household Management, are exclusively for use with Siebel Finance Basic:

- **Siebel Opportunity Manager.** When used with Siebel Finance Basic, Siebel Opportunity Manager helps financial sales professionals develop, manage, and drive their pending opportunities or deals to closure. Siebel Opportunity Manager's opportunity and deal management capabilities include lead generation, managing opportunities, and forecasting.

- **Siebel Household Management.** When used with Siebel Finance Basic, Siebel Household Management helps financial sales professionals manage consumer household information.

3

Getting Started with Siebel Finance

This chapter lists the applications administration tasks that are specific to Siebel Finance. Use this chapter in combination with *Siebel Applications Administration Guide*.

This chapter includes the following topics:

- ["About Applications Administration Tasks" on page 25](#)
- ["Renaming Siebel Account Objects" on page 26](#)
- ["Integrating Data with Host Applications" on page 26](#)
- ["Using the Show Audit Trail Button" on page 26](#)
- ["Configuring Lists of Values" on page 27](#)
- ["Setting Up Type, Area, and Subarea Information" on page 27](#)
- ["Establishing Applets as Read and Write or Read-Only" on page 27](#)
- ["About Displaying Back End/Host System Fields" on page 28](#)
- ["Configuring Summary Views" on page 28](#)
- ["Using the Show Audit Trail Button" on page 26](#)
- ["About Command Center" on page 29](#)
- ["Command Center Configuration and Administration" on page 30](#)
- ["Process of Configuring the Command Center Action Form" on page 30](#)

About Applications Administration Tasks

Siebel Applications Administration Guide covers the setup tasks that are common to all Siebel Business Applications, such as using license keys, defining employees, and defining your company's structure. It also provides the information you will need to implement, configure, and monitor the Siebel sales, service, and marketing products and to perform data administration and document administration tasks.

This guide assumes that you have already installed or completed the upgrade of Siebel Finance. If you have not, go to the Installation/Upgrade section of the *Siebel Bookshelf* and click the links to the guides that are relevant to your company's implementation.

The Siebel database server installation creates a Siebel administrator account that can be used to perform the tasks described in this guide. For more information about this process, see the *Installation Guide* for your operating system.

CAUTION: Do not perform system administration functions on your local database using the Mobile Web Client. Although there is nothing to prevent you from doing this, it can have serious results, such as data conflicts, an overly large local database, or a large number of additional transactions to route.

Renaming Siebel Account Objects

In general, Siebel applications refer to companies as accounts. In the Financial Services industry, the term *account* has typically been synonymous with financial accounts, so historically the word *company* has been used in many places in Siebel Finance. By default, Siebel Finance installs using the term *accounts*. Users can change this term and use another description, such as *Companies*, *Clients*, or *Customers*. Users wishing to change this default need to rename all Siebel Account objects prior to deployment. Make changes to the UI layer (for example, applet titles and control labels), rather than the Business Objects layer. For more information, see *Siebel Database Upgrade Guide*.

NOTE: All of the chapters in this guide are written assuming you have renamed Siebel Account objects to *Companies*.

Integrating Data with Host Applications

Siebel Finance is not designed as a financial institution's primary system of record for financial account information. Typically, financial institutions operate mainframe systems, or sometimes multiple systems, as their core operating systems. Financial account information from these systems is made accessible in Siebel Finance by loading it in batches using Enterprise Integration Manager, or in real time using one of Siebel applications' real-time integration technologies.

Using the Show Audit Trail Button

The Show Audit Trail toolbar button is not visible in the preconfigured Siebel Finance product. Using Siebel Tools, you can activate the Show Audit Trail button to display the audit trail for the selected record.

For more information on configuring the Audit Trail in Siebel Tools, see the Audit Trail chapter in *Siebel Applications Administration Guide*.

To use the Show Audit Trail button

- 1 Navigate to the Administration - Audit Trail screen.
- 2 In the Audit Trail Buscomp list, create a new record and complete the necessary fields.
- 3 Click the Field tab, and create a new record for the field that you want to audit.

- 4 Repeat [Step 3](#) until the Field list shows all the fields in the business component that you want to audit.
- 5 Click the Show Audit Trail button on the toolbar to show the audit trail records.

Configuring Lists of Values

In Siebel Finance, modify the List of Values (LOV) in accordance with the terminology used by your financial institution. For example, the list of transaction types used in Siebel Finance should match those used by your financial institution. For more information on configuring a LOV, see *Siebel Applications Administration Guide*.

NOTE: This may impact certain forms and lists, which rely on the preconfigured values for correct operation.

Setting Up Type, Area, and Subarea Information

Many records in Siebel Finance are associated with a type of product, such as a bank account, mutual fund, or security. Based on a record's associated product type, a corresponding list of values may be used along with the record, and in some instances, a subarea is assigned. As a result, you must set up the account categories and account types so that they are associated with the proper products.

For more information about setting up financial product types, see *Siebel Product Administration Guide*. For more information on setting up securities, see ["Process of Administering Securities" on page 174](#).

Establishing Applets as Read and Write or Read-Only

The preconfigured Siebel Finance functionality allows read and write data modification for many of the Siebel Finance views. This may not be desirable in all cases; for example, your financial institution may not want end users to modify account balances or create transaction records. Each view should be carefully evaluated to determine the appropriate read and write configuration, and the accessibility of each view to the various classes of employee users.

Where data is considered to be editable, it may be desirable to send these transactions to the host system that is the system of record. If not, data may not be synchronized between the Siebel database and the system of record.

About Displaying Back End/Host System Fields

Make sure that fields returned by back end/host system are displayed within the Siebel application. There may also be additional fields that are displayed only within the Siebel application, such as calculated or otherwise denormalized fields, or data for which Siebel is the system of record. Also, make sure the Siebel required fields match those captured by the financial institution. Where certain required fields are not used, it may be necessary to provide a default value.

Configuring Summary Views

In Siebel Finance, summary views have been restructured. In the past, multiple summary views existed, typically one summary view for a particular type of user. For example, there were preconfigured summary views specifically for salespeople and customer service agents. This has been replaced by common summary views whose appearance can be configured by individual end users.

Users can change the way a list appears in a summary view by using the controls in the top right corner of each list. These controls, described in [Table 1](#), allow users to manage what appears on the summary view.

Table 1. Summary View Controls

Button	Description
Hide	Temporarily hides a list or form from view.
Collapse	Collapses the list of records. If the list cannot be collapsed, the expand button appears instead of the collapse button.
Expand	Expands the list of records. If the list cannot be expanded, the collapse button appears instead of the expand button.

Any changes made to a summary view layout are only visible to the current user and remain in effect until that user changes them again or reverts to the default layout. If users hide a list, they must click Edit Layout to restore it. For more information, see ["Editing a Summary View Layout."](#)

Editing a Summary View Layout

Using the Edit Layout view, users can restore hidden lists, collapse or expand all lists, move lists or forms up or down on the page, or revert to the default layout. The edit layout buttons, described in [Table 2](#), allow users to change the way a summary view appears and apply those changes to future sessions.

Table 2. Edit Layout Buttons

Button	Description
Collapse	Collapses the list or form.
Expand	Expands the list or form.
Move up	Moves the list or form up on the home page.
Move down	Moves the list or form down on the home page.
Show	Displays the list or form on the home page.
Hide	Hides the list or form from view on the home page.

For more information on available summary views, see [“Viewing a Contact Summary \(End User\)” on page 85](#), [“Viewing Company Summaries \(End User\)” on page 62](#), and [“Viewing Household Summaries” on page 70](#).

About Command Center

The command center allows you to launch a process, perform a task, or jump to a view. Command center actions are preconfigured by your system administrator in accordance with your company's business process requirements. For example, if the financial services agents at your company often need to jump to the financial accounts view for a contact, you could configure the command center to perform this action, saving them time and keystrokes. See [“Command Center Configuration and Administration” on page 30](#) for information on how to configure the command center.

Out of the box, the command center is only available from the Summary views on the Contacts and Companies screens.

Command Center Interface Types

There are two interface types for the command center:

- Action form
- Command line

Figure 1 shows the action form, a menu-driven interface guiding the end user through preconfigured choices in order to launch an action. The command line requires the end user enter specific command line syntax to launch the action.

Figure 1. Command Center Action Form

Command Center Configuration and Administration

Command Center configuration and administration should only be done by expert users accustomed to working with business services.

Process of Configuring the Command Center Action Form

To configure the appearance and function of the Command Center Action form you must:

- 1 Define the business object where the Command Center Action form appears and what business component and fields are to be used. See ["Defining the Command Center Business Object."](#)
- 2 Define actions available for the business object, indicating for each combination of possible attribute values what action is taken (launch a business service or workflow, go to a view, and so on). See ["Defining the Command Center Actions."](#)
- 3 For actions defined as private, select the defined roles for which the actions will be available. See ["Selecting the Command Center Responsibilities."](#)

An example configuration is included at ["Example of Configuring the Command Center Action Applet" on page 34.](#)

Defining the Command Center Business Object

The first step in configuring the Command Center Action form is to define the business object where the Command Center form appears, and what business component and fields are to be used. Out of the box, the Command Center forms appear on the Contact Summary and Company Summary views.

This task is part of ["Process of Configuring the Command Center Action Form."](#)

To define the business object

- 1 Navigate to Site Map > Administration - Command Center screen > Defined Objects view.
- 2 Create a new object definition record and complete the fields as follows:

Field	Parameters	Description
Business Object	Any Business Object for which the forms have been defined. For example, Contact or Companies.	This identifies the screen where the Command Center form is to appear.
Source Business Component	The business component against which the Driving Field will be compared. For example, FINCORP Account. This should be a business component available on the view where the Command Center applets are visible (for example, Contact Summary view).	The value of this field is constrained by the value of Business Object field. In turn, it is a constraint for the Driven Field.
Source Business Search Specification	A filter on the source business component. For example, Acct. Status = Open. Only Financial accounts with a status of Open will be available in the Command Center.	Use this field to enter an optional filter criteria on the selected Business Component.
Driving Field	A field name from the Source Business Component. The field name can be ascertained using Siebel Tools. Following the examples in the preceding field parameter descriptions, this could be the Financial Account name or ID.	The value of this field is constrained by Source Business Component and Source Business Search Specification (if entered). The driving field is equivalent to Attribute 1.
Driving Field Label	Free text field, 20 character limit.	The text label exposed in the UI for Driving Field (Attribute 1). If blank, the label defaults to the Driving Field on the Command Center form.
Attribute 2,3,4 Label	Free text fields, 20 character limit.	The text label for each of Attributes 2-4. If left blank, the attribute will not appear on the form.

Field	Parameters	Description
Driving Field on Cmd Form	Check box.	If checked, it exposes the Driving Field label on the Command Center form preceding the Command field.
Expression	Free text field.	<p>Use this field to constrain the available set of actions based on what the user has selected in the Driving Field. As each object definition can have multiple action definitions, the expression field is a way to limit the available actions based on a business component field.</p> <p>For example, if the user selects a checking account, investment based actions may not be appropriate.</p> <p>For example: IIF([Account Number] LIKE '1800*', Liability, Asset). That is, if the account number starts with 1800, it maps to action definitions in the Action Definition list that have the Attribute 1 Map field set to Liability. Otherwise, it is mapped to action definitions that have the Attribute 1 Map field set to Asset.</p> <p>If there is no need to constrain the actions, then any value will suffice (for example, Contact - All).</p>

Defining the Command Center Actions

After you define the business object, you define actions for each object. These actions indicate for each object a combination of possible attribute values what action is taken (launch a business service or workflow). The relationship is one-to-many.

This task is part of ["Process of Configuring the Command Center Action Form" on page 30.](#)

To define actions for the Command Center applet

- 1 Navigate to Administration - Command Center screen > Defined Objects view, and select the Object Definition for which you wish to define actions.

- 2 Scroll down to the Action Definition list, create actions and complete the fields as described in the following table.

Field	Parameters	Description
Attribute 1 Required	Check box.	Indicates whether or not an entry in the Driving Field (Attribute 1) is required for the Command Center to return results.
Attribute 1 Map	Free text.	Works in concert with the Expression field of the Object Definition to determine the contents of the Command Center dropdown menus.
Attribute 2-4	Free text.	Value lists for Attributes 2-4.
Command	Free text. Each entry must be unique, that is, you cannot use the same command for different actions.	<p>The command line equivalent for the action.</p> <p>These commands are restricted to the Business Object with which they are associated.</p> <p>See also "Creating Global Commands for the Command Line Applet" on page 36.</p>
Command Help Text	Free text.	<p>The Help text for the command help feature when a question mark (?) is entered using the command line.</p> <p>This field is reserved for future use. You can expose it in some manner, should you choose, using a custom configuration.</p>
Business Service	Free text. EX: FINS Goto View Service	The name of the Business Service to be run.
Business Service Context	Free text.	The parameters for the Business service.
Business Service Method	Free text.	The method for the selected Business service.
Public Flag	Check box.	<p>If checked (true), then any roles selected for the action do not apply.</p> <p>If unchecked (false), then any roles selected do apply and visibility to actions will be limited by the selected roles.</p>
Inactive	Check box.	This hides the defined action and attribute combination.

Selecting the Command Center Responsibilities

For each action, select the defined responsibilities for which the action will be available. The relationship between actions and responsibilities is one-to-many.

This task is part of [“Process of Configuring the Command Center Action Form” on page 30.](#)

To select responsibilities for a Command Center action

- 1 Navigate to Administration - Command Center screen > Defined Objects view, and select the Action for which you wish to define responsibilities.
- 2 Scroll down to the Responsibility list, create a new record, and select the desired responsibility.

The responsibilities information appears as read-only in the Responsibility list. Selected responsibilities are only enforced if the Public Flag for the action is unchecked (false).

Example of Configuring the Command Center Action Applet

This topic gives an example of configuring the Action applet. You may use this feature differently, depending on your business model.

NOTE: This example uses a view available only in Siebel Healthcare. Although it is not visible to Siebel Finance users, the example is still useful to all Siebel Financial Services users to illustrate how to set up the Command Center.

The Command Center is available on the Siebel Healthcare Member Summary view and can be configured to launch several key sales processes such as ordering a new ID card or changing a primary care physician. For more information on using the Member Summary Command Center when configured as in this example, see *Siebel Healthcare Guide*.

The Command Center is set up using the Administration - Command Center view.

To configure the action applet to run the business service FINS Goto View

- 1 Navigate to FINS Command Center Admin Object view and create a new object definition record. Complete the fields as follows:

Field	Value
Business Object Name	FINS Members
Source Business Component	FINS Members
Driving Field	Last Name
Driving Field Label	Name
Attribute 2 Label	Area

Field	Value
Attribute 3 label	Action
Expression	RedundantExpression
Driving Field On Cmd Form	Checked

- 2 To set up a pop-up applet, in the Action Definition list create a new action record and complete the fields as follows:

Field	Value
Attribute 2	ID Card Requests
Attribute 3	Show History
Command	IDCSH
Business Service	SLM Save List Service
Business Service Context	'Applet Mode', '6', 'Applet Name', 'FINS Service Request Order ID Popup Applet'
	NOTE: The applet in this example is only available in Siebel Healthcare. Siebel Finance customers would select a suitable view and applet available in their respective applications.
Business Service Method	LoadPopupApplet
Public Flag	Checked

- 3 To set up a view navigation, in the Action Definition list create a new action record and complete the fields as follows:

Field	Value
Attribute 2	ID Card Requests
Attribute 3	Order New ID Card
Command	IDCOR
Business Service	FINS Goto View Service
Business Service Context	'ViewName', 'FINS Member Benefits View', 'RowId', '[Current Src Rec Id]', 'AppletName', 'FINS Member Form Applet - short'
	NOTE: The view and applet in this example are only available in Siebel Healthcare. Siebel Finance customers would select a suitable view and applet available in their respective applications.

Field	Value
Business Service Method	GotoView
Public Flag	Checked

Creating Global Commands for the Command Line Applet

Some users may prefer to use only the Command form. In this case, the only configuration required is to indicate the command line syntax and the associated business service and responsibility information. Use these global commands through the Command line form on whatever business object it appears.

To create global commands for the Command Line applet

- 1 Navigate to the Administration - Command Center screen > Global Commands view.
- 2 In the Global Commands list, create a command record, and complete the fields as described in ["To define actions for the Command Center applet" on page 32](#).
- 3 For each Command, record select responsibilities as described in ["To select responsibilities for a Command Center action" on page 34](#).

4

Managing Opportunities

This section includes the following topics:

- [“About Managing Opportunities” on page 37](#)
- [“About Deal Management Capability” on page 37](#)
- [“Scenario for Creating a New Opportunity” on page 38](#)
- [“Process of Managing Opportunities” on page 40](#)
- [“Adding Opportunities as an Administrator” on page 40](#)
- [“Managing Opportunities and Team Members” on page 41](#)
- [“Adding Opportunities in Siebel Finance” on page 42](#)
- [“Creating Opportunities from Applications” on page 43](#)
- [“Managing Deals in Siebel Finance” on page 44](#)

About Managing Opportunities

An *opportunity* is a potential revenue-producing event related to one or more companies or individuals. An opportunity often has a close date, a win probability, and a sales team. It is typically related to contacts, products, decision issues, activities, and competitors.

In Siebel Finance, opportunities help an organization to nurture and manage the entire life cycle of a revenue-generating opportunity, from creation to closing. Relationship managers and sales representatives, who are responsible for managing and generating revenue, use opportunity information on a regular basis. Top management also uses the opportunity analysis tools in Siebel Finance to analyze pipeline performance and help manage overall business performance through well-planned strategic-selling activities.

About Deal Management Capability

In addition, Siebel Finance includes deal management capabilities through extensions to the basic opportunity management functionality. Using deal management, end users can manage and track deal information throughout the deal life cycle. Specifically, users can track the following types of information:

- Deal type
- Industry
- Product line
- Related activities

- Related attachments
- External deal contacts
- Closure information
- Related products
- Status information

Users can control access to deals and deal details by adding and deleting people to the deal team. Users can further narrow deal visibility and any associated activities and attachments by enabling the Secure flag. The combination of these restrictive visibility features provides basic security functionality.

End users use the Opportunities screens to add an opportunity, create an opportunity from an application, and review opportunity details. From a deal management perspective, end users can create new deals, manage deal team members, secure deals, change the primary deal team member, create deal activity plans, create new deal activities and associate team members, and add attachments to deals.

This chapter describes opportunity functionality that is unique to Siebel Finance. For more information on basic opportunity functionality, see *Siebel Applications Administration Guide*.

Scenario for Creating a New Opportunity

This scenario features sample opportunities tasks performed by a sales representative, an investment banker, and their managers in the securities and banking industries. Your company may follow a different workflow according to its business requirements.

Sales Representative Records a Loan Opportunity

The sales representative has a new lead. The company is already entered in Siebel Finance, and the individual the representative is calling on is already a contact for that company.

The customer calls to let the sales representative know that she is interested in negotiating a loan. She would like the sales representative to present a proposal. If that goes well, she will want to discuss the terms of the deal.

First, the sales representative creates a new opportunity record. Then, he schedules the meeting, records the associated activities on his to-do list, and enters the terms of the proposal.

As the sales process continues, the sales representative continues to gather information about the company, its contacts, and the opportunity. At any time, he can review a summary of the profile, sales team, contacts, and activities associated with this opportunity.

Every morning, the sales representative's manager reviews the opportunities created the previous day. The manager evaluates the new opportunities and determines if she should add more members to each opportunity's sales team to make sure it is covered sufficiently. In a few critical cases, she decides to change the primary team member from the sales representative to herself.

In this scenario, end users are sales representatives who manage opportunities in the field. They use the Opportunities screen to:

- Create new opportunities for new and existing accounts
- Update existing opportunities
- View information about an opportunity
- Perform actions related to an opportunity. These actions include reviewing details about products, projects, and competitors, creating activity plans, performing organization assessments and analyses, entering campaign leads and call reports, accessing decision issues, or generating proposals, quotes, and presentations

Investment Banker Creates IPO Deal

An investment banker, who is responsible for helping companies raise funds in the form of equity or debt, is starting work on an IPO deal for one of his companies. He creates the deal in the Opportunity screen. As the deal creator, he is automatically added as the primary deal team member. He sets the deal attributes, and secures the deal by checking the Secure flag. As the primary deal team member, he has the ability to add and delete other deal team members as needed; he adds his manager and a research associate to the deal team to make sure they have visibility to the deal and all its details. Finally, the banker assigns a task, the pitch book creation, to the research associate.

Instead of starting from scratch, the research associate copies and modifies an IPO pitch book document that she previously created for another deal. After the pitch document is completed, the associate's involvement in the deal is finished, so the investment banker takes her off the deal team to restrict her visibility.

During the life cycle of the deal, the investment banker's manager occasionally reviews the deal with respect to the current pipeline, revenue numbers, and forecasts.

After the deal is won, the investment banker includes closing information, such as the reason the deal was won, and a closure summary. He also unchecks the Secure flag so that other employees in the company outside the deal team now have visibility to this completed deal.

In this scenario, the end users are an investment banker, his manager, and a research associate in the banking industry. They enter information to:

- Create a new deal
- Secure the deal
- Add or delete deal team members
- Create deal activity plans
- Create new deal activities and assign deal team members
- Add attachments to a deal

Process of Managing Opportunities

This section details sample tasks often performed by administrators and end-users when managing opportunities. Your company may follow a different process according to its business requirements.

Administrator Procedures

The following list shows tasks administrators typically perform to manage opportunities:

- [“Adding Opportunities as an Administrator” on page 40](#)
- [“Managing Opportunities and Team Members” on page 41](#)

End-User Procedures

The following list shows tasks end users typically perform when managing opportunities:

- [“Adding Opportunities in Siebel Finance” on page 42](#)
- [“Creating Opportunities from Applications” on page 43](#)
- [“Managing Deals in Siebel Finance” on page 44](#)
- [“To change the primary deal team member” on page 44](#)

Adding Opportunities as an Administrator

Administrators can add, modify, and delete opportunities from the Opportunity Administration view, as well as the Opportunities List view.

To add an opportunity from the Opportunities Administration screen

- 1 Navigate to the Opportunities screen > Opportunities Administration view.
- 2 In the Opportunities form, add a new record, and complete the necessary fields.

NOTE: Deleting an opportunity completely removes the opportunity, as well as every activity related to the opportunity, from the system. If you are unsure whether the opportunity is still active (and therefore should not be deleted), you can remove yourself from the opportunity team instead of deleting the record.

Managing Opportunities and Team Members

You may want to modify the members of the sales team for an opportunity, or change the primary team member designation. When the existing primary team member is a direct report, a manager can change the designate using the Opportunity Sales Team view or the My Team's Opportunities view. If you are logged in as an administrator, you can change the primary team designate for any opportunity in the Opportunity Administration view.

The primary designate of the opportunity can use any of the opportunity views to secure an opportunity in order to restrict visibility to just the members of the sales team. When the Secure flag is checked, the opportunity is hidden from other users. A secured opportunity can only be viewed by members of the sales team from the All Opportunities or the My Opportunities view.

NOTE: The primary sales team member for an opportunity can add and delete sales team members, and edit the Secure flag setting. Only managers or administrators can change the primary designate of an opportunity. Use the MVG Set Primary Restricted user property to overwrite this behavior. For more information, refer to *Using Siebel Tools*.

To add or delete members of the sales team for an opportunity

- 1 Navigate to Opportunities screen > Opportunities Administration view.
- 2 In the Opportunities list, drill down on the desired opportunity.
- 3 In the Sales Team field, click the select button and you can:

To...	Select...
Add an employee to the sales team.	The employee and click Add in the Team Members dialog box.
Delete an employee from the sales team.	Select the employee in the Selected Team Members list and click Remove.

To change the primary sales team member for an opportunity

- 1 Navigate to Opportunities screen > Opportunities Administration view.
- 2 In the Opportunities list, drill down on the desired opportunity.
- 3 In the Sales Team field, click the select button, and click the check box in the Primary field to select a new Primary designate.

To secure an opportunity

- 1 Navigate to Opportunities screen > Opportunities Administration view.
- 2 In the Opportunities list, select an opportunity that you want to secure (lock).

- 3 In the Opportunity form, click the Secure check box.

Only the primary member of the sales team or the Siebel administrator can set the Secure check box. When an opportunity is marked Secure, only members of the sales team can view it in the All Opportunities view. Sales team members can also see a secure opportunity in their My Opportunities views.

Adding Opportunities in Siebel Finance

When end users identify a unique opportunity, they add a new opportunity record.

To add an opportunity

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 Add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Closure Summary	Summary comments about the closing of an opportunity. Financial institutions use this information when closing deals in order to track the circumstances and success or failure of closing.
Commitments	A read-only monetary value representing sum of commitments made in a commercial loan opportunity. This value is entered on the Opportunity Detail, Commercial Loans view. For more information, see "Adding Opportunity Details" on page 43 .
Deposits	A read-only monetary value representing the sum of deposits made in a commercial loan opportunity. This value is entered through the Opportunity Detail, Commercial Loans view. For more information, see "Adding Opportunity Details" on page 43 .
Lead Quality	Estimate of the quality of the deal.
Loans	A read-only monetary value representing the total amount of loans made in a commercial loan opportunity. This value is entered through the Opportunity Detail, Commercial Loans view. For more information, see "Adding Opportunity Details" on page 43 .
Probability %	The estimate of the likelihood that the opportunity will result in business, expressed as a percentage: <ul style="list-style-type: none"> ■ 0% means it is doubtful that business will result ■ 100% means it is certain that business will result
Product Line	Select the product line associated with the opportunity.
Revenue	Enter the amount of money you expect this opportunity to generate. When combined with the probability you assign to the opportunity, the Expected Value field is calculated.

Field	Comments
Sales Cycle	Select the current cycle of the opportunity. The total number of opportunities in a specific cycle stage, and the length of time that a particular opportunity has been in that cycle, are important data for evaluating that opportunity.
Secure	Click on this check box to restrict the visibility of an opportunity in the All Opportunities view to the members of the sales team. Only the primary member of the sales team or the Siebel administrator can set the Secure field. Leave this field unchecked, to make the opportunity visible to every end user in the All Opportunities view.
Start Date	Start date for the opportunity.

Adding Opportunity Details

End users can add details specific to commercial lending, equity, fixed income, advisory, and lending syndicate opportunities in the Opportunities Details view tab.

To add specific opportunity details

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 In the Opportunities list, drill down on the desired opportunity, and click the Opportunity Detail view tab.
- 3 Select one of the following links:
 - Advisory
 - Commercial Loan
 - Equity
 - Fixed Income
 - Lending Syndicate
- 4 In the appropriate lists, add a record and complete the necessary fields.

Creating Opportunities from Applications

End users can also create opportunities when they create a financial application.

To create an opportunity from an application

- 1 Navigate to the Applications screen > Application List view.

- 2 In the Applications list, add a record, and complete the necessary fields.

The new application is saved and an opportunity is created.

Managing Deals in Siebel Finance

Perform the deal management end user tasks detailed in this section from any of the Opportunities views. In Siebel Finance, user's responsibilities can limit the availability of certain views and functionality. As a result, the views that appear may vary from those documented here.

The primary deal team member, and occasionally the primary's manager, act as the deal administrator. End users add a new deal by creating a new opportunity in the Opportunities screen. For more information, see ["To add an opportunity" on page 42](#).

NOTE: Deals can also be added from the Opportunities Administration view.

The deal primary members and their managers can restrict other deal team and non-deal team members' visibility to a deal by securing it. Securing a deal also secures the deal activities associated with the deal. Give end users visibility to the deals and activities by adding them to both the deal team and the activities team.

For information on adding and deleting deal team members, see ["To add or delete members of the sales team for an opportunity" on page 41](#).

To secure a deal

- 1 Navigate to the Opportunities screen > Opportunities Administration view.
- 2 In the Opportunities list, drill down on the desired deal.
- 3 In the opportunity form, select the Secure field to indicate that the deal is secure.

NOTE: Administrators can secure deals from the Opportunities Administration view.

To change the primary deal team member

- 1 Navigate to the Opportunities screen > Opportunities Administration view.
- 2 In the Opportunities list, drill down on the desired opportunity.
- 3 In the Sales Team field, click the select button.
- 4 In the Sales Team list, select the Primary field of the contact.

NOTE: Only the primary's manager in the My Team's Opportunities view or the Opportunities Administration view can change the primary deal team member. Use the BC user property - MVG Set Primary Restricted: visibility_mvlink_name to overwrite this. See *Siebel Developer's Reference* for additional details.

To create a new activity plan for a deal

- 1 Navigate to the Opportunities screen > Opportunities List view.

- 2 In the Opportunities list, drill down on the desired opportunity, and click the Assessments view tab.
- 3 In the Assessments list, add a record, and complete the necessary fields.
- 4 In the Template Name field, select an activity plan template.

To create a new activity and assign a deal team member

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 In the Opportunities list, drill down on the desired opportunity, and click the Activities view tab.
- 3 In the Activities list, add a record, and complete the necessary fields.
- 4 In the Employees field, select the employee to assign to the activity.

To create a new attachment for a deal

- 1 Navigate to the Opportunities screen > Opportunities List view.
- 2 In the Opportunities list, drill down on the desired opportunity, and click the Attachments view tab.
- 3 In the Attachments list, add a record by clicking either New File or New URL.
- 4 In the resulting dialog box, do one of the following:
 - Select the file to add as an attachment.
 - Type a URL to the file to add as an attachment.

The remaining fields are automatically updated using the selected file's properties.

5

Managing Companies

This chapter describes managing companies and accounts information. It includes the following topics:

- "About Managing Companies and Accounts" on page 47
- "About Company Hierarchies" on page 48
- "Scenario for Managing Company Information" on page 48
- "Process of Managing Companies" on page 50
- "Setting Up Values for Companies" on page 50
- "Deleting Company Information" on page 51
- "Managing Competitor Information" on page 52
- "Verifying Coverage Team Members" on page 52
- "Managing the Custom-Defined Relationship Types LOV" on page 54
- "Generating Company Hierarchies for Data Aggregation" on page 55
- "Adding Companies and Investors (End User)" on page 57
- "Viewing Company Hierarchies in Roll-Up Views (End User)" on page 58
- "Creating Company Assessments (End User)" on page 60
- "Adding Company Applications (End User)" on page 60
- "Adding Company Service Requests (End User)" on page 61
- "Managing Company Coverage Teams (End User)" on page 62
- "Viewing Company Summaries (End User)" on page 62
- "Viewing Company Summaries (End User)" on page 62

About Managing Companies and Accounts

Within Siebel Finance, the term *companies* refers to entities that are typically referred to as *accounts* in other Siebel applications. A company represents the relationship between your organization and companies or organizational entities (or structures) with which you do business. Use the Companies screen and its associated views to view company information and interactions.

CAUTION: This chapter assumes you have renamed Siebel Account objects to Companies. By default, Siebel Finance installs using the term Accounts. For more information on renaming Siebel Account objects, see *Siebel Database Upgrade Guide*.

In Siebel Finance, the term investors refers to financial organizations such as mutual fund or money management institutions; investors are not contacts, rather they are companies that are identified as investors. In Siebel Financial Services, the investors functionality has migrated to the Companies screen. This chapter covers both regular company and investor procedures.

Use the procedures in this chapter to perform the administrator tasks of adding industries and territories, controlling company information, generating company hierarchies, managing competitor information, verifying coverage team members, and managing custom-defined relationship types.

End users use the Companies views to add new companies and investors, create company assessments, associate service requests with a company, update the coverage team, define relationships to other companies, contacts, and households, and view company summary information. In addition, end users can retrieve information about investors, including investors' preferences, holdings, and transactions.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Framework: Workflow Guide*.

About Company Hierarchies

A company hierarchy is a group of companies that are organized by parent-child relationships. Siebel Industry Applications support displaying these company relationships in a hierarchical tree.

The hierarchical tree is a visual representation of company hierarchy data that allows end users to view the relationships between companies. By viewing a company roll-up, users can see aggregated company information, including contacts, coverage teams, activities, and opportunities.

When end users have access to a company, they can review the hierarchical structure for that company, its child divisions, and the contacts that work there. Company hierarchies are displayed in five subviews of the Companies screen—Relationship Hierarchy view, Activity Roll-up, Contact Roll-up, Opportunity Roll-up, and Coverage Team Roll-up.

Depending on your configuration, a company that does not have a parent-child relationship with another company may not appear in the roll-up views.

For more information on company hierarchies, see [“Generating Company Hierarchies for Data Aggregation” on page 55](#) and [“Viewing Company Hierarchies in Roll-Up Views \(End User\)” on page 58](#).

Scenario for Managing Company Information

This scenario features sample tasks performed by a sales representative, investment banker, and research analyst in the securities or banking industries. Your company may follow a different workflow according to its business requirements.

In this scenario, end users are the sales representatives who manage company information. They enter information to:

- Add new companies to the database and create company assessments

- Associate applications and service requests with a company
- Manage company coverage teams
- View company summary information
- View relationships in a graphical manner

Sales Representative Tracks Company Information

A sales representative uses the Companies screen to capture and manage profile information about her business customer, such as contacts, organizational structure, management, and financial information. In addition to viewing market statistics and D&B reports. Using Siebel Finance, she can capture and track information about a company's:

- Relationship with her organization, such as the coverage team, contract terms, sales and service information
- Preferred delivery channels, at both summary and detailed levels

She can also view details of competitors and create and access marketing and sales presentations.

The sales representative can create a new company record or view and modify information about existing companies. For example, if the sales representative is preparing for a sales call, she can use the Companies screen to answer the following questions:

- What business is this company in?
- Who are the executives I should be calling on?
- What is this company's financial profile?
- What financial accounts and products does the company already own?
- What types of service issues has the company had?

Investment Banker and Research Analyst Analyze Research Literature to Send to Client

An investment banker for a sell-side institutional firm is reviewing one of her accounts to decide what research literature she should send to her client. The client's profile suggests a conservative stance and includes significant cash on hand. The investment banker decides to send some literature about various secured fixed-income instruments. The banker creates a service request for the literature distribution and assigns it to a research analyst at her firm.

The research analyst receives a service request to send literature to a client. The analyst determines the literature to send to the client. He then creates a new email, attaches the required literature, and sends it to the client.

In this scenario, users are bankers and research analysts. They enter information in Siebel Finance to:

- Add new investors
- Display an investor organizational chart

- Add investor holdings
- Add coverage team members and track coverage roles
- Display a list of transactions or holdings by investor

Process of Managing Companies

This section details sample tasks often performed by administrators and end-users when managing companies. Your company may follow a different process according to its business requirements.

Administrator Procedures

The following list shows tasks administrators typically perform to manage companies:

- [“Setting Up Values for Companies” on page 50](#)
- [“Deleting Company Information” on page 51](#)
- [“Managing Competitor Information” on page 52](#)
- [“Verifying Coverage Team Members” on page 52](#)
- [“Managing the Custom-Defined Relationship Types LOV” on page 54](#)
- [“Generating Company Hierarchies for Data Aggregation” on page 55](#)

End-User Procedures

The following list shows tasks end users typically perform when managing companies:

- [“Adding Companies and Investors \(End User\)” on page 57](#)
- [“Viewing Company Hierarchies in Roll-Up Views \(End User\)” on page 58](#)
- [“Creating Company Assessments \(End User\)” on page 60](#)
- [“Adding Company Applications \(End User\)” on page 60](#)
- [“Adding Company Service Requests \(End User\)” on page 61](#)
- [“Managing Company Coverage Teams \(End User\)” on page 62](#)
- [“Viewing Company Summaries \(End User\)” on page 62](#)
- [“Viewing Company Relationship Hierarchies \(End User\)” on page 63](#)

Setting Up Values for Companies

Administrators can create new industries and territories so that the appropriate selections are available to end users when they add companies.

When a company is added to Siebel Finance, the end user adding the company is responsible for indicating the industry to which the company belongs. Administrators are responsible for creating the industries that appear to end users.

To add an industry

- 1 Navigate to the Administration - Data screen > Industries view.
- 2 In the Industries list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Language Code	Primary language of the classification used.
SIC Code	Standard Industry Classification code as defined by the U.S. Department of Commerce.
Type	The classification used to describe the industry.

Companies are often associated with a territory. Administrators can create the territories that appear in the Territory field when end users add a company to Siebel Finance.

To add a territory

- 1 Navigate to the Administration - Assignment screen > Territories view.
- 2 In the Territory List list, add a record, and complete the necessary fields.

Deleting Company Information

Deleting a company completely removes the company, as well as all activities related to the company, from the system. Only delete a company record if you are certain that the company is no longer active. If end users are unsure whether or not a company is still active (and therefore should not be deleted), they have the option of removing themselves from the company team instead of deleting the record.

As the Siebel administrator, you can make a company unavailable to all other users. First, you can assign yourself as the primary team member. Second, you remove all other employees from the company's team.

To make a company unavailable to all other users

- 1 Navigate to the Companies screen > Companies Administration view.
- 2 In the Company list, drill down on the Name link.
- 3 In the Company Team dialog box, locate the administrator, and click in the Primary field.

- 4 In the Company Team dialog box, delete all other coverage team members and click OK.

Only those users with access to the All Companies and All Companies Across Organizations views will be able to see this company.

Managing Competitor Information

Effective sales and marketing requires that your employees have up-to-date and consistent information about the competition and their products. This section describes how to administer information about competitors and competitive products within the Companies screen.

To indicate that a company is a competitor

- 1 Navigate to the Companies screen > Companies Administration view.
- 2 In the Company list, add or select a company.
- 3 In the Company form, click the show more button.
- 4 Select the Competitor check box to add the company to the Competitor's list.

The company appears in the Competitor's list. The Competitor's list is available in the Competitors screen and related screens, such as Opportunities.

NOTE: Non-administrators can specify that a company is a competitor by selecting Competitor from the Type drop-down list. However, selecting Competitor from the Type drop-down list does not add the company to the Competitor's list as seen on the Competitor's screen, or in the Pick Competitors dialog box, which is accessible on related screens, such as Opportunities.

When a company has been indicated as a competitor, you may want to add document files of comparative and competitive literature. For more information, see the chapter on literature administration in *Siebel Applications Administration Guide*.

Removing Records from the Competitors List

You cannot delete records that have been added to the Competitors list, since deleting them would also remove them from related screens, like Opportunities. For example, a company may have been a competitor for an opportunity last month. Even if the company is no longer a competitor, the competitor record should remain as part of the history of the opportunity.

If you no longer want a record to appear in the Competitor's list, deselect the Competitor check box. This removes the record from the Competitors screen without affecting other screens.

Verifying Coverage Team Members

If you are logged on as a Siebel administrator, you can search for companies that do not have any coverage team members.

Managers can add or delete the members of a company's coverage team if they are the existing primary team member, or the primary team member is one of their direct reports. If you are logged in as an administrator, you can change the primary team designate for any company in the Company Administration view. (Navigate to the Companies screen > Companies Administration view.)

NOTE: In Siebel Financial Services, the terms sales team and account team are equivalent to coverage team.

The procedures that follow involve making selections in the Account Team field. If the Account Team field does not appear in your installation, you may need to reveal it using the Columns Displayed dialog box.

NOTE: Usually, Assignment Manager resolves problems with coverage teams and owner assignment automatically. For more information on Assignment Manager, see *Siebel Assignment Manager Administration Guide*.

To search for a company without any coverage team members

- 1** Navigate to the Companies screen > Companies Administration view.
- 2** In the Companies list, define a new query where the Name field is:

```
count(
) = 0
```
- 3** Execute the query.
 The query returns a list of all companies that do not have any coverage team members.

To add or delete members of the coverage team for a company

- 1** Navigate to the Companies screen > Companies Administration view.
- 2** In the Companies list, select a company, and click the More Info view tab.
- 3** In the Account Team field, select an employee in the Coverage Team dialog box, and click Add or Remove.

To change the primary coverage team member for a company

- 1** Navigate to the Companies screen > Companies Administration view.
- 2** In the Companies list, select a company, and click the More Info view tab.
- 3** In the Account Team field, select the Primary field for the new primary coverage team member.

Managing the Custom-Defined Relationship Types LOV

If you are logged in as the Siebel administrator, you can create and maintain a list of predefined custom-defined relationship types. A default list of values is provided with the application. These relationship types appear in the drop-down LOV for the Type field found on the Relationship Hierarchy views, in the Party Relationship applet.

To add a custom-defined relationship type

- 1 Navigate to the Administration - Data screen > List of Values view.
- 2 In the List of Values list, create a New Query where Type equals PARTY_RELATIONSHIP_TYPE.
At least six records will be returned, showing the existing list of values for custom-defined relationship type.
- 3 In the List of Values list, add a record, and complete the necessary fields.
Some fields are described in the following table.

Field	Comments
Active	Determines whether the value is displayed to the end user in the Relationship drop-down list.
Display Value	Value as displayed in the Relationship drop-down list.
Language Independent Code	Code used internally by the Siebel application.
Language Name	Language used for the list of values Display Value field.
Order	Numerical order in which a value is displayed within the Relationship drop-down list.
Parent LIC	Language-independent code of a parent list of values. It is used in hierarchical list of values.
Translate	When checked, indicates that the list of values is part of a multilingual list of values (MLOV).
Type	The type of list of values. For this procedure, select PARTY_RELATIONSHIP_TYPE.

NOTE: You cannot delete LOV table entries. Use the Active check box to deactivate an LOV entry and thereby remove it from the Relationship drop-down list.

Generating Company Hierarchies for Data Aggregation

Data aggregation is available by using the Roll-up views, providing the administrator defined one or more hierarchies. The application administrator typically defines a default hierarchy by associating accounts with one another using the parent field on a company form, or the subaccount view for child accounts. Administrators can define Company hierarchies to display aggregated data—the activities, opportunities, contacts, and coverage teams—across organizational structures. For example, the top node of the hierarchy contains activities for the organization, the subsidiaries below the organization, the departments at the subsidiaries, and contacts working at any level of the tree. As the end users move up and down the tree, they see more or less data rolled up to the selected level.

By default, only companies that are part of a relationship hierarchy can display roll-up data. You can modify the application to display roll-up data for companies which are not part of a hierarchy.

To configure display of roll-up data for companies not in a hierarchy

- Using Siebel Tools, set the DynHierarchy user property of the Dynamic Hierarchy Direct Relationship business component to LoadAllAccounts

For more information on setting user properties, see *Configuring Siebel Business Applications*.

Siebel Global Accounts is the module that provides this aggregation functionality. For more on global accounts, see *Siebel Applications Administration Guide*.

The application administrator can define two types of hierarchies for data aggregation:

- Default hierarchy for all end users, see [Default Company Hierarchies on page 55](#)
- Specific hierarchies that are used only by certain end users, see [Dynamic Company Hierarchies on page 56](#)

Default Company Hierarchies

The application administrator sets up a default company hierarchy one time, during the initial application setup. The default hierarchy is available to all end users who are not tied to a specific hierarchy, and who have been granted view access to the companies represented in the hierarchy. It is the administrator's responsibility to give end users access to Company views. For more information, see *Siebel Applications Administration Guide*.

When new companies are added, they are automatically added to the default hierarchy tree. The contacts, coverage teams, activities, and opportunities that are associated with the company are automatically displayed in the roll-up views.

In the preconfigured application, using the Generate Hierarchy button adds only parent account and child companies to the hierarchy. Any company that does not have a child or parent is not displayed in the roll-up views. Use Siebel Tools to change the DynHierarchy LoadAllAccounts user property to alter this behavior.

You can set the DynHierarchy LoadAllAccounts user property on the Dynamic Hierarchy Direct Relationship business component to N or Y. When it is set to N, only parent and children appear in the a generated hierarchy. When DynHierarchy LoadAllAccounts user property is set to Y, all companies are added to the generated hierarchy. For more information on setting user properties, see *Siebel Developer's Reference*.

To generate a default company hierarchy

1 Navigate to the Companies screen > Global Companies Administration view.

2 In the Company Hierarchies list, click Generate Hierarchy.

The parent-child account relationships that have been defined in your application are registered for participation in the roll-up views. This process may take some time, depending on the quantity of account records that are in your existing environment.

When the company hierarchy has been generated, a new record appears in the Company Hierarchies list. The Hierarchy Name field of the record contains the user ID of the administrator who generated the hierarchy and the time it was generated. If it is the only hierarchy record, the Default field is automatically checked. The companies that have been added for participation in the roll-up views appear in the Company Relationships list.

NOTE: If no accounts are visible in the Company Relationships list, click the query button, step off the query, and click Go to refresh the view.

3 (Optional) Rename the company hierarchy and, if necessary, check the Default field.

NOTE: If end users are using the application when you generate a hierarchy, they must log off and log on again to see the default hierarchy in the roll-up views.

Dynamic Company Hierarchies

In some cases, users work with particular companies within a large corporation, but not with others. In these instances, some end users do not need to or should not see aggregated data across the entire corporation. An administrator can define a custom hierarchical structure across which data can be aggregated. This defined structure, called a *dynamic hierarchy*, can be as simple or complex as needed and offers users the ability to aggregate data across the companies they are interested in seeing.

To create a dynamic company hierarchy of selected companies

1 Navigate to the Companies screen > Global Companies Administration view.

2 In the Company Hierarchy list, and create a new record.

3 Scroll down to the Company Relationships list, create a new record, and select company.

All the accounts in the Company Relationship list belong to the new account hierarchy.

4 To define parent and child relationships:

a Select an company in the Company Relationship list that has no parent.

b In the Parent field, select a parent.

NOTE: Only companies entered in the Company Relationships list (Step 3) are available for selection in the parent field.

5 Repeat Step 4 for all companies that have no parents.

To associate the dynamic hierarchy with an organization

- 1** Navigate to the Administration - Group screen > Organizations view.
- 2** Select the organization in the Organizations list.
- 3** In the organization form, select the desired hierarchy in the Account Hierarchy field.

End users can only see the hierarchy with which their current position's primary organization is tied. It is the administrator's responsibility to associate end users with positions, positions with organizations, and organizations with hierarchies. For more information, see *Siebel Applications Administration Guide*.

Adding Companies and Investors (End User)

When end users identify a possible lead, the lead can be added as a company. Users can then begin to add and track information about the company.

To add a company or investor

- 1** Navigate to the Companies screen > Companies List view.
- 2** In the Companies form, click the show more button, add a record, and complete the necessary fields.
- 3** To specify a privacy level, in the Privacy Option field select one of the following:
 - **Opt-In.** Sharing of non-public personal information is allowed without restrictions.
 - **Opt-Out - Affiliates.** Sharing of non-public personal information with affiliates is not allowed.
 - **Opt-Out - Third Party.** Sharing of non-public personal information with third parties is not allowed.
 - **Opt-Out - All Parties.** Sharing of non-public personal information with any affiliate or third party is not allowed.

United States law requires that financial institutions disclose their privacy policies regarding the sharing of non-public personal information with third parties, and fair credit reporting, that impacts the sharing of non-public personal information with affiliates. End users can specify a privacy level by making a selection from the Privacy Option field.

The Privacy Option field is for registering the privacy level requested by the company; it does not impact record visibility in any way.

- 4 To identify the company as an investor, check the Investor box in the Company form.

Updating Company Profiles (End User)

A company's profile information should always be kept up to date. The information in a company's profile is used throughout Siebel Finance to make decisions about and manage company records. For example, in the Commercial Loans screen, a company's profile information automatically appears in the Borrower Detail view.

To update a company profile

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the desired company.
- 3 Click the Client Profile view tab.
- 4 In the Client Profile form, select the link to one of the following profile areas to update:
 - Business
 - Financial
 - Investors
 - Management
 - Market Statistics
 - Transactions
- 5 In the Profile form, update the information as needed.

Viewing Company Hierarchies in Roll-Up Views (End User)

End users can review the company and its parent organization, subsidiaries, contacts, opportunities and relationships to other entities using the graphical relationship hierarchy tree control. This control is available in the roll-up views. By drilling down on hypertext links on the hierarchy tree, end users can navigate to related views.

NOTE: If the company has not been added to a hierarchy tied to the user's position's organization (either default hierarchy or dynamic hierarchy), the hierarchy tree is not visible to the end user. The following message appears: "The selected record is not included as part of your defined hierarchy. If you feel this is in error, please contact your system administrator." The administrator is responsible for associating positions with organizations and an organization with a hierarchy.

The Activities-Roll-up view shows all of the activities associated with the selected company and its children. End users can apply filters to the list to find specific activity records and save the filtered list.

NOTE: If a company is not associated with any other organizations through the relationship hierarchy, then the roll-up views will not contain any data. A company must have a parent organization, or have children organizations, in order to display roll-up data.

To view aggregated activities for a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 Drill down on the desired company, and click the Activities-Roll-up view tab.

The associated hierarchy appears on the right side of the screen. All activities associated with the company and all of its children appear in the Activities-Roll-up list.

In the Activities-Roll-up List, you can:

- Drill down on an activity type to navigate to the Activities screen > Attachments view.
- Drill down on a company name to navigate to the Companies screen > Contacts view.

NOTE: If you create an activity in the Activities screen and do not set the Company field, the activity will not appear in the Activities-Roll-up list.

To view the aggregated coverage team for a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 Drill down on a company, and click the Coverage Team-Roll-up view tab.

The associated hierarchy appears on the right side of the screen. All coverage team members associated with the company and all of its subsidiaries appear in the Coverage Team-Roll-up list.

In the Coverage Team-Roll-up list, you can:

- Drill down on a last name to navigate to the Employees screen.
- Drill down on an email address to open a blank email message addressed to the team member who has that address.

To view aggregated opportunities for a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 Drill down on a company, and click the Opportunities-Roll-up view tab.

The associated hierarchy appears on the right side of the screen. All opportunities associated with the company and all of its children appear in the Opportunities-Roll-up list.

In the Opportunities-Roll-up list, you can:

- Drill down on an opportunity name to navigate to the Opportunities screen.
- Drill down on a company name to navigate to the Companies screen > Contacts view.

To view an aggregated list of contacts for a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 Drill down on a company, and click the Contact-Roll-up view tab.

The associated hierarchy appears on the right side of the screen. All contacts associated with the company and all of its children appear in the Contacts-Roll-up list.

In the Contacts-Roll-up list, you can:

- Drill down on a last name to navigate to the Contacts screen.
- Drill down on a company to navigate to the Companies screen > Contacts view.
- Drill down on an email address to open a blank email message addressed to the contact who has that address.

Creating Company Assessments (End User)

An *assessment* is a set of attributes used to assess the business potential or credit worthiness of a company. Company assessments can be used to compare companies to each other or against a model, or to learn about companies and sales situations. End users complete the company assessment by selecting the appropriate values for the different attributes.

To perform a company assessment

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the company for which the assessment is being performed.
- 3 Click the Assessments view tab, and create a new record.
- 4 In the Template Name field, select the appropriate template.

Attribute records are automatically generated in the Assessment Attributes list.

- 5 In the Assessment Attributes list, make a selection in the Value field for each attribute.

NOTE: Administrators must create the assessment templates. See *Siebel Applications Administration Guide* for more information on how to create assessment templates.

Adding Company Applications (End User)

Applications are used for companies that want to apply for offered services or products. For example, a small business wants to apply for a business checking account. The end user handling the inquiry finds the company in the All Companies view, navigates to the Applications view, and creates an application record for this business checking account application.

To associate an application with a company

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the company to associate with an application.
- 3 Click the Applications view tab, create a new record, and complete the necessary fields.

NOTE: Drill down on the Application Name link to enter more detailed application information.

Adding Company Service Requests (End User)

A service request is a request from a company for information or assistance with a problem related to purchased products or services. When a customer calls about an existing service request, end users can find the service request and give status information to the caller in several ways. They can:

- Review the service request information
- Create an activity to record the customer's call
- Update the service request with additional information from the customer
- Resolve the service request
- Assign the service request
- Transfer the caller to another service representative

If a call requires that an end user create a new service request, she can create one. Siebel Finance automatically assigns a unique service request (SR) number to track the new service request throughout the system.

To add a service request associated with a company

- 1 Navigate to the Companies screen > Companies List view.
 - 2 From the Show drop-down list, select All Companies.
 - 3 In the Companies list, drill down on the desired company.
 - 4 Click the Service Requests view tab, create a new record, and complete the necessary fields.
- The application automatically assigns a service request number (SR#).

Managing Company Coverage Teams (End User)

A coverage team is the group of employees that are assigned to manage the relationship with a given company. The coverage team for a company is defined as all users who have access to the company in the My Companies view.

NOTE: Similar coverage team functionality is also available for contacts. You can use the Contact Coverage Team view (Navigate to the Contacts screen > Coverage Team view) to manage the contact coverage team.

End users can use the company coverage team functionality available in Siebel Finance to:

- Record and display employees covering a company within a single company record
- Specify and review the nature of the employee's relationship with each covered company, defined as the Coverage Role and Attributes list

To add a member to a coverage team

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the desired company.
- 3 Click the Coverage Team view tab, create a new record, and select an employee.
- 4 If known, select the employee's coverage role using the drop-down list in the Coverage Role field.

NOTE: The Siebel administrator maintains the Coverage Role LOV in the List of Values screen under the Type field value type FINS_COVERAGE_ROLE_TYPE. Navigate to the Administration - Data screen > List of Values view, to access the List of Values screen.

- 5 If desired, scroll down to the Categories and Securities view tabs and select values defining the coverage relationship between the employee and the company; you can select one or more attributes.

The application adds the employee to the coverage team with a defined relationship. The company will appear in the employee's My Companies view.

End users can create coverage team activities. For more information, see ["Viewing Company Coverage Team Activities" on page 104](#).

Viewing Company Summaries (End User)

The Company Summary view provides a comprehensive view of a company in an editable format. This view displays basic company information, financial accounts, call reports, logged alerts, and contacts associated with a company.

To view company summary information

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the desired company.
- 3 Click the Summary view tab.

For more information on editing summary view information, see [“Configuring Summary Views” on page 28](#).

Viewing Company Relationship Hierarchies (End User)

End users use the Relationship Hierarchy view to identify and capture key relationships for a company. This view features a graphical tree that provides a visual representation of a company's relationships. The tree shows the natural hierarchy of a company's parent-child relationships to entities such as companies, subsidiaries, divisions, contacts, and coverage relationships with employees, as well as custom-defined relationships.

Custom-defined relationships are ad-hoc associations between the company and any contact, organization, household, or employee. End users can record custom-defined relationships between any two entities in the adjacent Party Relationships list.

NOTE: The Relationship Hierarchy view is also available on the Contacts, Employee (read only) and Households screens. For more information, see [“Viewing Contact Relationship Hierarchies \(End User\)” on page 86](#) and [“Using the Household Relationship Hierarchy” on page 70](#).

To establish a natural parent-subsidiary relationship between two companies

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the company to be established as the subsidiary.
- 3 Click the More Info view tab.
- 4 In the Parent field, select the parent company.
- 5 Repeat [Step 2](#) through [Step 4](#) to set up companies, subsidiaries, branches, and departments as needed for your deployment.
- 6 Click the Relationship Hierarchy view tab.

The new parent-subsidiary relationship is shown in the Relationship Hierarchy explorer in the lower-left corner of the screen.

To create a custom-defined relationship

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the company for which you want to create a custom-defined relationship.
- 3 Click the Relationship Hierarchy view tab.

- 4 In the Party Relationship list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Relationship	<p>Categorizes the relationship between the company and another entity. Field has an LOV for custom-defined Relationship values. Predefined values include Reports To, Spouse, Child, Lawyer, Board Member, Primary Contact (Backup), Admin Assistant, Competitor, Referral, Service Provider, Investor, Wealth Management Rep, Related Subsidiary, Bank Attorney, Trustee Attorney, and Debtor Attorney.</p> <p>This LOV can be modified by the Siebel administrator. For more information, see “Managing the Custom-Defined Relationship Types LOV” on page 54.</p>
Start Date	If the custom-defined relationship falls:
End Date	<ul style="list-style-type: none"> ■ Between the Start and End Dates, it appears in the tree. ■ Outside the range, it does not appear to the user. The user can enter a start or end date, or both.
Type	Use this field to determine the type of entity with which you wish to establish a relationship. Defaults to Contact. Other values include Household, Organization, and Employee.
Value	The value in this field is based on the Type field. For example, if Type equals Contact, then clicking the select button in the Value field displays the Select Contact dialog box.

The newly defined relationship appears in the Relationship Hierarchy explorer.

Displaying Lists of Investor Transactions or Holdings (End User)

End users can view lists of transactions associated with an investor.

To display a list of transactions by investor

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the investor for which you want to display transactions.
- 3 Click the Investor Profile view tab.
- 4 Scroll down to the All Transactions as Investor list to review the transaction history.

To display a list of holdings by investor

- 1** Navigate to the Companies screen > Companies List view.
- 2** In the Companies list, drill down on the investor for which you want to display holdings.
- 3** Click the External Holdings view tab.

End users can also enter holdings information in the External Holdings view.

6

Managing Households

This chapter includes the following topics:

- "About Managing Households" on page 67
- "Scenario for Managing Households" on page 68
- "Process of Managing Households" on page 68
- "Adding Households" on page 69
- "Setting the Household Privacy Option" on page 69
- "Associating Contacts with Households" on page 69
- "Viewing Household Summaries" on page 70
- "Using the Household Relationship Hierarchy" on page 70 "Viewing and Evaluating Household Portfolios" on page 71

About Managing Households

A *household* is a group of contacts generally sharing a common link or association. Households provide valuable segmentation information on the household as a whole, as well as a summary of information about the household member contacts. Users can use the Households screen for identifying and capturing demographic information about a household. They can also use the Households screen to review customer's financial accounts, products, and contact information associated with that household. This information allows them to assess customers' data.

CAUTION: This chapter assumes you have renamed Siebel Account objects to *Companies*. By default, Siebel Finance installs using the term *Accounts*. For more information on renaming Siebel Account objects, see the *Upgrade Guide* for your operating system.

Grouping all of a customer's accounts by household allows a service provider to identify a client's real value to the organization and seek opportunities to cross-sell and up-sell additional products and services to them, such as homeowners insurance and loans for children's education. In addition, the ability to view all of a customer's financial accounts and related portfolio information by household allows an organization to view the household's overall financial position.

By following the procedures described in this chapter, users can enter, manage, and review information about household members (contacts), accounts, policies, underwriting reports, claims, opportunities, activities, service requests, and relationship hierarchies.

NOTE: Many of the views are read-only, as they provide a summary of information about household contacts. The only editable views are Contacts and Relationship Hierarchy.

The Households screen and associated views that appear in Siebel Finance share much of the functionality found in Siebel Business Applications. This chapter focuses on the household functionality that is unique to Siebel Finance. For more information on basic household functionality, see *Siebel Applications Administration Guide*.

Scenario for Managing Households

The following business scenario contains sample tasks performed by a sales representative; it covers insurance, healthcare, securities, and banking businesses. Your company may follow a different workflow according to its business requirements.

Household information supports sales and service decisions for segmentation and cross-selling. It also provides background information for the finance and insurance industries about a household and all of its contacts.

A sales representative uses the Household screen for identifying and capturing demographic and relationship information about the household, and for reviewing accounts and products associated with that household. From the Households screen, the sales representative creates a new household for a new bank customer. He then adds contacts to the household.

Some weeks later, the sales representative wants to review household information. He navigates to the My Households view and then selects the Summary view tab to review lists of contacts and service requests associated with that household. Next, using the Relationship Hierarchy view, the sales representative reviews the various parties related to the household.

NOTE: In the wealth management industry, a relationship manager, retail broker, or wealth manager has access to view the household's aggregated holdings within their financial accounts, the performance on these accounts, cash flows expected for the household for a specified period, and the household's current versus model portfolio allocations by sector and by asset class. For more information, see ["Viewing and Evaluating Household Portfolios" on page 71](#).

In this scenario, end users are the sales representatives or relationship managers who manage household information in the field. They enter and review information to:

- Add a household
- Add a contact to a household
- View household summary information
- View household relationships
- View household financial account, performance, cash flow, and portfolio allocation details

Process of Managing Households

This section details sample tasks often performed by end-users when managing households. Your company may follow a different process according to its business requirements.

- ["Adding Households" on page 69](#)
- ["Setting the Household Privacy Option" on page 69](#)

- [“Associating Contacts with Households” on page 69](#)
- [“Viewing Household Summaries” on page 70](#)
- [“Using the Household Relationship Hierarchy” on page 70](#)
- [“Viewing and Evaluating Household Portfolios” on page 71](#)

Adding Households

End users can collect and manage information about a customer’s household. Households are added from the Households screen. For detailed information on how to add a household see *Siebel Applications Administration Guide*.

Setting the Household Privacy Option

United States law requires that financial institutions disclose their privacy policies regarding the sharing of non-public personal information with third parties, and fair credit reporting, that impacts the sharing of non-public personal information with affiliates. End users can specify a privacy level by making a selection from the Privacy Option field.

The Privacy Option field is for registering the privacy level requested by the household; it does not impact record visibility in any way.

To set the privacy option for a household

- 1 Navigate to the Households screen > List view.
- 2 To specify a privacy level, scroll down to the Privacy Option field and select one of the following:
 - **Opt-In.** Sharing of non-public personal information is allowed without restrictions.
 - **Opt-Out - Affiliates.** Sharing of non-public personal information with affiliates is not allowed.
 - **Opt-Out - Third Party.** Sharing of non-public personal information with third parties is not allowed.
 - **Opt-Out - All Parties.** Sharing of non-public personal information with any affiliate or third party is not allowed.

Associating Contacts with Households

Contacts are persons associated with a household. End users can specify one person in the household as the head of household and then identify the others as spouse, child, or dependent parent.

To add a contact to a household

- 1 Navigate to the Households screen > List view.

- 2 In the Households list, drill down on the household to which the contacts will be added.
- 3 Click the Contacts view tab.
- 4 In the Contacts list, click Add, and do one of the following:
 - Select an existing contact and click OK.
 - Perform a query to choose an existing contact.
 - Select New to add a new contact.

The contact is associated with the household.

NOTE: In the Households screen, a contact's address is his or her residential or personal address. In the Contact's screen, a contact's address is his or her work address. Household addresses can only be selected from among residential addresses.

Viewing Household Summaries

The Household Summary view provides a comprehensive view of the household's relationship with an end user's organization in an editable format. This view displays basic information about the household, contacts, financial accounts, and past or pending service requests.

To view household summary information

- 1 Navigate to the Households screen > List view.
- 2 In the Households list, drill down on the household, and click the Summary view tab.

Using the Household Relationship Hierarchy

End users use the Household Relationship Hierarchy view to identify and capture key relationships for a household. This view features a graphical tree that provides a visual representation of a household's relationships, which includes its natural relationships to the household contacts as well as custom-defined, ad-hoc relationships.

Users can create custom-defined relationships between a household and any contact or organization. End users can record custom-defined relationships between any two entities in the adjacent Party Relationships list.

NOTE: The Relationship Hierarchy view is also available on the Contacts and Companies screens. For more information, see ["Viewing Contact Relationship Hierarchies \(End User\)" on page 86](#) and ["Viewing Company Relationship Hierarchies \(End User\)" on page 63](#).

To create a custom-defined relationship

- 1 Navigate to the Households screen > List view.

- 2 In the Households list, drill down on the household for which you wish to define relationships.
- 3 Click the Relationship Hierarchy view tab, and in the Party Relationship list, add a record.
- 4 Complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Relationship	The value in this field categorizes the relationship between the household and the other entity. The field has an LOV for custom-defined Relationship values. Predefined values include Reports To, Spouse, Child, Lawyer, Board Member, Primary Contact (Backup), Admin Assistant, Competitor, Referral, Service Provider, Investor, Wealth Management Rep, Related Subsidiary, Bank Attorney, Trustee Attorney, and Debtor Attorney. This LOV can be modified by the Siebel administrator. For more information, see “Configuring Lists of Values” on page 27 .
Type	The value in this field determines the type of entity with which you wish to establish a relationship. Defaults to Contact. Other values include Household, Organization, and Employee.
Value	The value in this field is based on the Type field. For example, if Type equals Contact, then clicking the select button in Value field displays the Select Contact dialog box.

The newly defined relationship appears in the Relationship Hierarchy explorer.

Viewing and Evaluating Household Portfolios

End users can use the Financial Accounts view tab to view a household's portfolio information from a number of different perspectives:

- **Financial Accounts list.** Displays financial accounts associated with contacts in the selected household. For more information, see [“To select a financial account associated with a household” on page 72](#).
- **Aggregated Holdings List.** Displays holdings within the selected accounts by asset class, such as securities, mutual funds, or bonds. For more information, see [“To view aggregated holdings for a financial account” on page 72](#).
- **Class Allocation List.** Displays a comparison of the selected account holdings against a portfolio model. For more information, see [“To compare account holdings against a portfolio model” on page 72](#).
- **Sector Allocation List.** Displays the selected account holdings by sector, allowing the user to view the degree of portfolio diversification. For more information, see [“To view the selected account holdings by sector” on page 72](#).

- **Cash Flow List.** Displays future cash flows for the selected financial accounts, allowing users to estimate the amount of cash that may be available for future investments. For more information, see [“To view expected future cash flows for selected accounts” on page 73.](#)
- **Performance List.** Displays how the selected accounts have performed over time. For more information, see [“To view selected accounts’ past performance” on page 73.](#)

NOTE: These views are virtual business components and need to be configured before they can be used. For more information, see [“Setting Up Household Financial Accounts Virtual Business Components” on page 113.](#)

To select a financial account associated with a household

- 1 Navigate to the Households screen > List view.
- 2 In the Households list, drill down on the desired household, and click the Financial Accounts view tab.
- 3 In the Financial Accounts list, select the Aggregation Select field for the accounts you want to select.

NOTE: You can also click **Select All** to select all accounts, or click **Select None** to clear all accounts.

To view aggregated holdings for a financial account

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See [“To select a financial account associated with a household” on page 72.](#))
- 2 Scroll down and click the Aggregated Holdings subview tab.
- 3 Scroll up to the Financial Accounts list, and click **Generate Holdings**.

The Aggregated Holdings list appears, displaying all holdings in the selected account by asset class, such as securities, mutual funds, or bonds. Selecting a specific asset class in the Aggregated Holdings displays the individual positions in the Holdings subview.

To compare account holdings against a portfolio model

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See [“To select a financial account associated with a household” on page 72.](#))
- 2 Scroll down and click the Class Allocation subview tab.
- 3 Scroll up to the Financial Accounts list, select a portfolio model from the drop-down list, and click **Go**.

The Class Allocation list and model and actual holdings charts appear.

To view the selected account holdings by sector

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See [“To select a financial account associated with a household” on page 72.](#))

- 2 Scroll down and click the Sector Allocation subview tab.
- 3 Scroll up to the Financial Accounts list, select a sector from the drop-down list and, click Go.

The Sector Allocation list appears, displaying the account holdings by sector, allowing the user to view the degree of portfolio diversification versus the selected model portfolio.

To view expected future cash flows for selected accounts

- 1 Select the financial accounts by checking the Aggregation Select field of the desired accounts. (See [“To select a financial account associated with a household” on page 72.](#))
- 2 Scroll down and click the Cash Flow subview tab.
- 3 Scroll up to the Financial Accounts list, and click Generate Cash Flow.
- 4 In the period filter, select the period for which you want to view cash flows, and click Go.

The Cash Flow subview displays an estimate of the amount of cash that may be available for future investments.

NOTE: In order to work, the preceding procedure requires preconfiguration. For more information, see [“Setting Up Household Financial Accounts Virtual Business Components” on page 113.](#)

To view selected accounts’ past performance

- 1 For the desired financial accounts, check the Aggregation Select field. (See [“To select a financial account associated with a household” on page 72.](#))
- 2 Scroll down and click the Performance subview tab.
- 3 Scroll up to the Financial Accounts list, and click Generate Performance.
- 4 In the period filter, select the period for which you wish to view an account’s performance, and click Go.

The Cash Flow list appears, displaying how the account performed over time.

NOTE: In order to work, the preceding procedure requires preconfiguration. For more information, see [“Setting Up Household Financial Accounts Virtual Business Components” on page 113.](#)

7

Managing Contacts

This chapter includes the following topics:

- "About Managing Contacts" on page 75
- "Scenario for Adding a New Contact" on page 76
- "Process of Managing Contacts" on page 77 "Updating or Reviewing a Contact's Holdings" on page 78
- "Managing Contact Information (End User)" on page 79
- "Creating Customer Assessments (End User)" on page 84
- "Setting the Customer Value Icon (End User)" on page 85
- "Viewing a Contact Summary (End User)" on page 85
- "Viewing Contact Relationship Hierarchies (End User)" on page 86 "Managing Mortgages (End User)" on page 87
- "Creating Financial Plans (End User)" on page 90

About Managing Contacts

Contacts are entities or individuals with whom the company does business with or with whom it expects to do business with in the future. Contacts includes employees of other companies, independent consultants, vendors, or personal acquaintances. Contacts can belong to only one company, but they can be part of many opportunities, including opportunities that do not involve their companies. Within Siebel Finance, contacts are presented in a single view of the customer and your relationship with the customer.

CAUTION: This chapter assumes you have renamed Siebel Account objects to *Companies*. By default, Siebel Finance installs using the term *Accounts*. For more information on renaming Siebel Account objects, see the *Upgrade Guide* for your operating system.

End users can:

- Enter and track information about contacts, which includes products bought, details of signed agreements or contracts, and products previously recommended to the customer.
- Document marketing campaigns and details of each customer's response.
- Maintain a complete history of service requests and product applications that the customer has made in the past.
- Analyze a customer's financial health as well as a customer's needs.

The Contacts screen provides an alternative view of data that is available in other screens. Many tasks that can be performed in the Contacts views can also be performed in other screens. For example, users can create activities for a contact either in the Contact Activities view, or they can go to the My Activities view to enter a new activity, and then associate it with the contact.

For more information on basic contact functionality and administration, see *Siebel Applications Administration Guide*.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Framework: Workflow Guide*.

Scenario for Adding a New Contact

These scenarios feature sample tasks performed by a sales representative and a private banker in the securities or banking industries. Your company may follow a different workflow according to its business requirements.

Sales Representative Adds a New Contact

At a conference, a new account representative meets a potential customer. The potential customer gives the new account representative his business card and informs her that he had recently moved to the area and is still looking for a financial institution to serve his small business and personal banking needs.

The new account representative returns to her office and enters her new acquaintance into Siebel Finance as a new contact. She can also enter his company information and associate the company with the contact. In the Relationship Hierarchy view, she can enter the relationships for this contact, including all companies he is associated with, the contact's business partners, lawyer, his family members, and other influential relationships. As the creator of this new contact record, she is automatically added to the coverage team as the primary representative for the customer. If necessary, she can also add the small business manager and other product experts to the coverage team so they can see this new contact in their My Contacts view.

As the customer is looking for personal and business services, the account representative can create separate opportunity records in Siebel Finance associated with the contact. In the opportunity records, she records the products and services the customer is interested in as well as other follow-up activities to serve the customer's financial needs.

In the scenario, end users are the new account representatives who manage company information in the field. They enter information to:

- Add a new contact and associate him/her with companies
- Use the Relationship view to enter all the contact's influential relationships
- Add other account representatives to the coverage team
- Create new opportunities associated with the contact
- Create follow-up activities and assign them to the right representatives to close the potential opportunities

Private Banker Prepares for Sales Call

A private banker is preparing for a sales call. He reviews his client's information by answering the following questions:

- What company does this person work for?
- What is the value of this customer's relationship?
- What is this person's financial profile?
- What financial accounts and products does the person already own? What might the person need in addition?
- What types of service issues has the person had?

Access the Contacts screen to answer all of these questions.

In the scenario, end users are private bankers in the banking industry. They enter information to:

- Add a new contact
- Create a customer value assessment
- View contact summary information
- View the results of a customer value assessment

Process of Managing Contacts

This section details sample tasks often performed by administrators and end-users when managing contacts. Your company may follow a different process according to its business requirements.

End-User Procedures

The following list shows tasks end users typically perform when managing contacts:

- ["Managing Contact Information \(End User\)" on page 79](#)
- ["Creating Customer Assessments \(End User\)" on page 84](#)
- ["Setting the Customer Value Icon \(End User\)" on page 85](#)
- ["Viewing a Contact Summary \(End User\)" on page 85](#)
- ["Viewing Contact Relationship Hierarchies \(End User\)" on page 86](#)
- ["Managing Mortgages \(End User\)" on page 87](#)
- ["Creating Financial Plans \(End User\)" on page 90](#)

Updating or Reviewing a Contact's Holdings

Administrators can perform various procedures to review, add, and modify contact information through the Contacts Administration views in the Finance Administration screen.

The Investment Profile view allows administrators to create contacts' profiles, such as overall objectives, financial goals, annual income, liquid net worth, experience, risk assessment, knowledge levels, and income tax bracket.

To update or review a contact's holdings

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, select a contact and drill down on the contact's name.
- 3 Update the contact's information as needed.
- 4 Click the Holdings view tab, and select a financial account.

The Financial Accounts and Holdings lists appear; the Financial Accounts list includes all of the Contact's financial accounts at your organization.

- 5 Scroll down to the Holdings list, and update the information as needed.

Updating or Reviewing a Contact's Investment Profile

The Investment Profile view allows administrators to create contacts' profiles, such as overall objectives, financial goals, annual income, liquid net worth, experience, risk assessment, knowledge levels, and income tax bracket.

To update or review a contact's Investment Profile

- 1 Navigate to the Administration - Finance screen > Contacts view.
- 2 In the Contacts form, query to retrieve the desired contact.
- 3 Update the contact's information as needed.
- 4 Click the Investment Profile view tab.
- 5 Update the contact's investment profile as needed.

Managing Contact Information (End User)

Contacts are entities or individuals with whom the company currently does business with or with whom it expects to do business with in the future. End users manage contact information by:

- Adding new contacts. See [“Adding Contacts” on page 79](#).
- Creating contact categories and notes. See [“Creating Categories for Contact Information” on page 80](#) and [“Creating Notes About Contacts” on page 81](#).
- Adding a contact to a literature distribution list. See [“Adding Contacts to a Literature Distribution” on page 81](#).
- Setting a contact’s access level. See [“Contact Access Level” on page 82](#).
- Setting a contact’s securities interest. See [“Entering Securities Interest for Contacts” on page 82](#).
- Viewing a contact’s transaction history. See [“Viewing a Contact’s Transaction History.”](#)
- Managing contact referral information. See [“Managing Contact Referral Information” on page 82](#).
- Viewing contact profitability. See [“Reviewing Contact Profitability” on page 84](#).

Adding Contacts

When end users meet someone in the course of business, they add a contact record for that individual to track pertinent personal information and possible potential future business.

NOTE: The Personal Contacts List is different from the Contacts Lists because it is designed for contacts not associated with a company. Therefore, in the Personal Contacts List, adding a company to a record does not also add it to the My Contacts view, All Contacts view, and so on. End users must add business contacts in one of the Contacts List views proper. They must create, review, and manage activities for their personal contacts only in the Activities view of the Personal Contacts List view, not in the other Contacts views.

To add a contact

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts form, click the show more button, add a record, and complete the necessary fields.
- 3 To specify a privacy level, drill down on the contact name link, scroll down to the Privacy Option field, and select one of the following:
 - **Opt-In.** Sharing of non-public personal information is allowed without restrictions.
 - **Opt-Out - Affiliates.** Sharing of non-public personal information with affiliates is not allowed.
 - **Opt-Out - Third Party.** Sharing of non-public personal information with third parties is not allowed.

- **Opt-Out - All Parties.** Sharing of non-public personal information with any affiliate or third party is not allowed.

United States law requires that financial institutions disclose their privacy policies regarding the sharing of non-public personal information with third parties, and fair credit reporting, that impacts the sharing of non-public personal information with affiliates. End users can specify a privacy level by making a selection from the Privacy Option field.

The Privacy Option field is for registering the privacy level requested by the contact; it does not impact record visibility in any way.

To associate a contact with a company

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the More Info view tab.
- 4 In the Account Name field, select a record from the list of available companies.
The application automatically associates the company with the contact and populates the address with the default company address information.
- 5 To change the address, click the select button in the Address Line field, and select an address.
- 6 To specify an address as the contact's primary address, click the Primary field.
NOTE: The primary address in the Contact Addresses dialog box appears in the address fields on the More Info form.
- 7 In the Time Zone field, select the contact's time zone.

Creating Categories for Contact Information

If the default Contacts list and More Info form do not contain fields to track the type of information that end users need to track, they can add additional categories. A manager may have set up a list of values from which they can select.

To add a category to a contact

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts form, query for the desired contact.
- 3 Drill down on the Last Name link, click the Categories view tab, and create a new record.
- 4 In the Categories list, select a category from the list of values or create a new category.
- 5 Complete the necessary fields.
- 6 Create additional categories by repeating [Step 4](#) through [Step 5](#).

Creating Notes About Contacts

As end users work with contacts, they learn things they may want to remember. Often these tidbits of information are best stored as notes. Users can create notes that everyone with access to the contact record can see, or they can create notes that only they can see.

To create a note regarding a contact

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
NOTE: If the contact does not exist, add it. For more information, see [“Adding Contacts” on page 79](#).
- 3 Click the Notes view tab.
- 4 From the link bar, select one of the following:
 - Public Notes. Notes that others can see.
 - Private Notes. Notes that only their creators can see.
- 5 In the Notes list, add a record and complete the necessary fields.
TIP: Click [Check Spelling](#) to check the spelling in your note.

Some fields are described in the following table.

Field	Comments
Created	Automatically populates with a date and timestamp.
Type	Default value is Note. Select alternate value to categorize the type of note.
Description	Text field for the content of the note.

Adding Contacts to a Literature Distribution

The Literature Distribution view displays all the literature that has been distributed to a contact. Typically, a literature distribution record is created each time literature is emailed to a contact. For more information about the activity of distributing literature using an email message, see [“Providing Literature Fulfillment by Email” in Chapter 9, “Managing Activities.”](#)

To distribute literature to a contact

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Literature Distribution view tab, create a new record, and complete the necessary fields.
- 4 In the Distribution Channel field, select a distribution channel.

- 5 Scroll down to the Literature list, add a record, and complete the necessary fields.
- 6 Repeat [Step 5](#) for all the pieces of literature to be distributed.

Contact Access Level

Siebel Finance uses access levels to grant customers access to different levels of service, research, events, and literature. Setting a contact's access to a specific level allows that contact access and visibility to literature items that have the same or lesser access level. For more information about setting a contact's access level, see ["Setting Access Levels" on page 195](#).

Entering Securities Interest for Contacts

End users can record a contact's securities interest. For more information about entering a contact's securities interest, see ["Entering Interests and Holdings Information" on page 179](#).

Viewing a Contact's Transaction History

The Contacts Transaction History view allows end users to display a contact's transaction history by financial account for all the accounts held by the contact at your organization.

To view a contact's transaction history

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Transaction History view tab.

The Transactions view appears, displaying all the financial accounts associated with the contact, and the investment transactions that took place in each account.

Managing Contact Referral Information

The Referrals view tab allows end users to enter referral information associated with contacts. Referrals are potential opportunities.

In the Referrals tab view, end users can record both referrals they give to their contacts, as well as referrals received from a contact.

To create a new contact for a referral

- 1 On the Contacts screen, create contacts. For more information, see ["To add a contact" on page 79](#).

- 2 Associate those contacts with the new company. For more information, see ["To associate a contact with a company" on page 80](#).
- 3 On Referrals view tab, select the Contact from the Pick Contact dialog box associated with this field.

To enter a referral received from a contact

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Referrals view tab.
- 4 From the drop-down list, select Referral From This Contact.

NOTE: View all referrals from the contact by selecting Referrals From This Contact in the drop-down list.

- 5 In the form, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Company	Select an existing company or create a new one. The company selected represents the potential opportunity for your organization.
Last Name	Select a contact to associate with the referral company, as selected in the Company field; if you entered a Company, the list of Contacts is restricted to those associated with the selected company.
Referred By	Select the employee who made the referral.

To create a referral to a contact

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Referrals view tab.
- 4 Scroll down to the Referrals to This Contact list, and from the drop-down list, select Referrals To This Contact.
- 5 In the list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Disposition	The status of the referral.
Company	Select an existing company or create a new one. The company selected represents the potential opportunity for your service provider.

Field	Comments
Last Name	Select a contact to associate with the referral company, as selected in the Company field; if you entered a Company, the list of Contacts is restricted to those associated with the selected company.
Referred By	Select the employee from your organization who made the referral.

Reviewing Contact Profitability

End users can use the Profitability view to review customer profitability calculations. These calculations help financial institutions adjust their sales, pricing, service, and marketing activities appropriately. This information also helps institutions cross-sell to their customers.

NOTE: In Siebel Finance, end users can access the Profitability view from the Contacts, Households, and Companies screens.

To review a contact's profitability

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Profitability view tab.

Creating Customer Assessments (End User)

The Contacts Assessments view can help end users qualify contacts. Contact assessments are created in the Contacts Assessments view.

NOTE: A similar assessment functionality is available for companies. For more information, see ["Creating Company Assessments \(End User\)"](#) on page 60.

A customer assessment evaluates a contact based on defined criteria. Each assessment template has a group of assessment attributes that make up the different measurement points of the assessment. A Siebel administrator can create new templates and add or modify assessment attributes. For more information on assessment templates and how to define and manage them, see *Siebel Applications Administration Guide*.

To create a customer assessment

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact for whom the assessment will be added.
- 3 Click the Assessments view tab, and create an new record.

- 4 In the Template Name field, select the desired template.
Assessment attributes, as defined for the template, are automatically created in the Assessment Attributes list.
- 5 Scroll down to the Assessment Attributes list, and where possible, select a value for each attribute by clicking the select button in the Value field.

Setting the Customer Value Icon (End User)

In addition to the customer value assessment tool described in [“Creating Customer Assessments \(End User\)” on page 84](#), there is an alternative customer value measurement device in Siebel Finance.

The customer value icon is a series of five stars visible on the contact form. The number of stars activated indicates the perceived value of the contact.

To adjust the customer value stars

- From the Contacts > More Info view, adjust the value in the Tier field.

Viewing a Contact Summary (End User)

The Contact Summary view provides a comprehensive view of a contact's relationship with an end user's organization in an editable format. This view displays the customer's contact information, financial accounts, applications, alerts, campaigns targeted at the customer, and service requests and opportunities associated with the customer.

The Customer Value stars on the Contact form indicates the customer's value to the organization. For more information, see [“Setting the Customer Value Icon \(End User\)” on page 85](#).

To view contact summary information

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on a contact.
- 3 Click the Summary view tab.

For more information on editing summary view information, see [“Configuring Summary Views” on page 28](#).

Viewing Contact Relationship Hierarchies (End User)

A contact's relationships are those of influence. End users may have a contact who relies heavily on the opinions of others when making purchasing or other decisions. If so, they may want to keep track of the relationships between a contact having purchasing authority and those who might influence his purchasing decisions.

End users use the Contacts Relationship Hierarchy view to identify and capture key relationships for a contact. This view features a graphical tree that provides a visual representation of a contact's relationships. The tree displays both the natural hierarchy of a contact's parent-child relationships to entities such as companies and households, as well as custom-defined relationships.

Custom-defined relationships are ad-hoc associations between the contact and any other contact, organization, or household. End users can record custom-defined relationships between any two entities in the adjacent Party Relationships list.

NOTE: The Relationship Hierarchy view is also available on the Companies and Households screens. For more information, see ["Viewing Company Relationship Hierarchies \(End User\)"](#) on page 63 and ["Using the Household Relationship Hierarchy"](#) on page 70.

To view a contact's relationship hierarchy

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact for whom you want to view a relationship hierarchy.
- 3 Click the Relationship Hierarchy view tab.

The Contacts Relationship Hierarchy view appears.

To define a relationship between contacts

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact for whom you want to describe relationships; if the contact does not exist, add it.

For more information on adding contacts, see ["Adding Contacts"](#) on page 79.

- 3 Click the Relationship Hierarchy view tab.

- 4 In the Party Relationship list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Relationship	<p>Categorizes the relationship between the contacts. The field has an LOV for Custom Defined Relationship values. Predefined values include Reports To, Spouse, Child, Lawyer, Board Member, Primary Contact (Backup), Admin Assistant, Competitor, Referral, Service Provider, Investor, Wealth Management Rep, Related Subsidiary, Bank Attorney, Trustee Attorney, and Debtor Attorney.</p> <p>The Siebel administrator can modify this LOV. For more information, see “Configuring Lists of Values” on page 27.</p>
Type	Defaults to Contact. Other values include Household, Organization, and Employee.
Value	Identifies the other member of the relationship. The values are constrained by the Type field selection. For example, if Type equals Contact, then clicking the select button displays the Select Contact dialog box.

The newly defined relationship is expressed in the Relationship Hierarchy explorer.

Managing Mortgages (End User)

Using the Contacts screen, end users can perform the following mortgage-related tasks:

- Perform a mortgage needs analysis. For more information, see [“Performing Mortgage Needs Analyses” on page 87](#).
- Make a mortgage recommendation. For more information, see [“Making Mortgage Product Recommendations” on page 88](#).
- Perform a mortgage prequalification. For more information, see [“Performing Mortgage Prequalifications” on page 89](#).
- Use the mortgage calculator. For more information, see [“Using the Mortgage Calculator” on page 89](#).

Performing Mortgage Needs Analyses

End users can use the Needs Analysis Mortgage view to perform a mortgage needs analysis for a contact.

To perform a general needs analysis for a contact

- 1 Navigate to the Contacts screen > Contacts List view.

- 2 In the Contacts list, drill down on the contact.
- 3 Click the Needs Analysis view tab, and click the Mortgage link.
- 4 In the Needs Analysis form, add a record and complete the necessary fields.
- 5 If the values to enter are unknown:
 - a Click Script.
The script session appears.
 - b Complete the questions as prompted.

You can generate a recommendation after the Needs Analysis form is completed.

NOTE: For more information about needs analysis and generating recommendations, see [Chapter 12, "Managing Financial Needs Analyses."](#)

Making Mortgage Product Recommendations

End users can use the Product Recommendation view to recommend mortgage products based on the loan term that a customer specifies. This view also displays the mortgage monthly payments, detail fees, interest rate, and points for each recommended mortgage product.

CAUTION: All Siebel Finance calculators described provide results intended for comparison purposes only; the accuracy of the results is not guaranteed. Rounding or the mathematical formula used may account for any differences from the expected results. Modifying the formula used to perform calculations requires administrative responsibilities.

To recommend mortgage products for which a customer qualifies

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Product Recommendation view tab, and select Calculator Detail from the drop-down list.
- 4 In the Calculator Detail form, add a record, and complete the necessary fields.
The monthly payment is automatically calculated for the request loan terms.
- 5 Click Recommend.
All the mortgage products that have the same loan term as that set in the Calculator form, appear in the Recommendations list.
- 6 In the Recommendations list, select a mortgage product.
The Rate/Points list displays the loan rate and points associated with the product, while the Fees list displays the fees associated with the product.

Performing Mortgage Prequalifications

End users can use the Mortgage Pre-Qualification view to prequalify mortgage prospects before starting the application process.

To perform a mortgage prequalification

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Mortgage Pre-Qualification view tab, add a record, and complete the necessary fields.
The Pre-Qualification Output, such as purchase price, loan amount, and closing cost, is automatically calculated based on the values in the Prequalification Attributes fields.
- 4 To see the calculation results, step off or save the record.

Using the Mortgage Calculator

Loan officers, loan originators, and other financial representatives can use the Siebel Finance Mortgage Calculator to calculate and compare the following amounts for customers:

- Early Payoff, which calculates the new monthly payment amounts that are required to pay off a loan in a specified amount of time prior to the original mature date
- Loan Amount, which calculates the amount of money a customer can borrow, given a loan's monthly payment, interest rate, loan term, and down payment
- Loan Comparison, which compares different types of mortgage loans (ARM versus Fixed Rate) from which the customer can choose one
- Monthly Payment, which calculates a customer's monthly payment, given the loan amount, interest rate, loan term, property tax, and insurance payment
- Refinance Breakeven, which calculates monthly savings and costs associated with refinancing an existing loan

CAUTION: All Siebel Finance calculators described in this guide provide results intended for comparison purposes only; the accuracy of the results is not guaranteed. Rounding or the mathematical formula used may account for any differences from the expected results. Contact your Siebel administrator to modify the formula for your use.

To use the mortgage calculator

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Calculator view tab, and from the link list in the Calculator form, select a calculation function:
 - Early Payoff

- Loan Amount
 - Loan Comparison
 - Monthly Payment
 - Refinance Breakeven
- 4 In the Input section in the form, complete the necessary fields.
 - 5 To see the calculation results, step off or save the record.

Creating Financial Plans (End User)

End users can use the Financial Planning view to ask customers questions about their specific financial goals and recommend a required monthly savings amount.

To create a financial plan

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Financial Planning view tab.
- 4 In the Financial Planning list, add a record and complete the necessary fields.
- 5 To follow a script of questions:
 - a Scroll down to the Details form and click Script.
 - b In the SmartScript list, drill down on the Name link.

NOTE: If the script does not exist, add it. For more information about scripts, see *Siebel SmartScript Administration Guide*.
 - c Complete the questions as prompted.

The Savings (Future Value), Additional Funds Required, and Monthly Saving Required are automatically calculated based on the values entered in the Financial Planning list.

8

Managing Call Reports

This chapter includes the following topics:

- [“About Managing Call Reports” on page 91](#)
- [“Scenario for Managing Call Reports” on page 92](#)
- [“Process of Managing Call Reports” on page 93](#)
- [“Viewing Call Report Charts” on page 94](#)
- [“Activating the New Call Report Workflow” on page 95](#)
- [“Managing Call Report Templates” on page 95](#)
- [“Adding Call Reports \(End User\)” on page 96](#)
- [“Creating Call Report Distribution Lists \(End User\)” on page 97](#)
- [“Associating Action Items, Notes, and Attachments with Call Reports \(End User\)” on page 97](#)
- [“Setting the Call Report Privacy Flag \(End User\)” on page 98](#)
- [“Emailing and Printing Call Reports \(End User\)” on page 98](#)

About Managing Call Reports

Call reports are records of meetings and other conversations with clients, organizations, and individuals. Call reports are often required of employees because they:

- Are a means for new relationship managers to learn about the client and its history with the organization.
- Allow senior managers and product specialists associated with a certain client to keep up with the developments in the client relationship, even if they do not meet with the client on a regular basis.
- Provide a record of important and informal agreements. In the event that a failed financing transaction results in legal proceedings, these reports are an important component of the legal process.

Administrators use these procedures to view a chart of call reports and manage call report templates. End users use the Call Reports screen to add a new call report, create a call report distribution list, designate a report as private, and email or print call reports.

Siebel Finance can provide notification of new call reports to designated individuals. For more information, see *Siebel Business Process Framework: Workflow Guide*.

Scenario for Managing Call Reports

This scenario features sample tasks performed by an investment banker or commercial lending officer and their manager. The scenario outlined in this section is based on the business requirements of the banking industry. Your company may follow a different workflow according to its business requirements.

The investment banker spends approximately 35 percent to 50 percent of his time calling his companies and prospects. Most company meetings revolve around discussing the company's financial plans, understanding the company's business strategies, and presenting his bank's investment banking or lending experience and capabilities.

The investment banker uses Siebel Finance integrated calendar and activity management functionality to plan his day and maintain his to-do list. Today, he reviews his calendar and sees that he has a meeting scheduled with a client to discuss a \$10 million private investment that the company is considering. The investment banker will be making the call with a commercial lending officer, his counterpart from the bank's Commercial Lending group. He uses Siebel Finance to review his bank's relationship with the client. He uses the Company Summary view to review the client's financial and business profile. The investment banker attends the meeting with an understanding of the client and its needs.

After returning to the office following a successful meeting with the client, the investment banker loads Siebel Finance to complete his call report. His bank encourages its bankers to maintain call reports so other professionals working with the client can understand recent events in the relationship. The investment banker navigates back to his calendar and marks the meeting as Done. He navigates to the Call Reports screen and enters a new call report to document the conversation. In the Report Detail view, he types a brief log of the meeting and adds the names of contacts and employees who participated.

Upon completing his report, the investment banker turns to the action items that resulted from the meeting. First, he needs to send an email to a fellow employee in the firm's Private Investments group to alert her about the deal. He uses the Email Report button on the Call Report form to accomplish this task.

Next, he remembers that he promised to include the client on the invitation list for the upcoming Charity Ball, so he adds an action item on the Call Reports Action Items view tab. He does this by clicking Add Action Items on the Call Report form. After he enters his action item, along with several others, he assigns them to members of his team for follow-up. Finally, he attaches several of the financial spreadsheets that his analyst prepared for the meeting so that the call report record is complete.

When the commercial lending officer arrives at the office the next day, he sees that there is a new call report from his joint meeting with the investment banker. Upon reviewing the report in his My Call Reports view, he adds several comments based on his knowledge of the company. He does this by clicking Add Notes on the Call Report form and adding his comments in the Notes list. Due to regulatory requirements, he also prints a copy of the report for the credit file by clicking the toolbar Reports icon.

The commercial lending officer's manager is also a member of the client team. When she arrives in the office the next day and loads Siebel Finance, she reviews the new call reports on the Call Reports screen, by reading about the meeting details and notes. While the manager is on the Call Reports screen, she views the Call Report Charts view tab to see an analysis of her team's call volume and call types by employee and by customer, in order to determine which clients are receiving the most service.

In this scenario, managers or Siebel administrators can use Siebel Finance to view graphical representations of their call reports, and perform volume analysis of their own calls, their team's calls, or all call reports.

The end users are the investment bankers and commercial lending officers who create call reports to record their meetings and activities. They enter information to:

- Create new call reports
- Create call report distribution lists
- Create call report action items
- Attach related documents
- Specify a call report as private
- Review and add additional notes or comments
- Email or print call reports

Process of Managing Call Reports

This section details sample tasks often performed by administrators and end-users when managing call reports. Your company may follow a different process according to its business requirements.

Administrator Procedures

The following list shows tasks administrators typically perform to manage call reports:

- ["Viewing Call Report Charts" on page 94](#)
- ["Activating the New Call Report Workflow" on page 95](#)
- ["Managing Call Report Templates" on page 95](#)

End-User Procedures

The following list shows tasks end users typically perform when managing call reports:

- ["Adding Call Reports \(End User\)" on page 96](#)
- ["Creating Call Report Distribution Lists \(End User\)" on page 97](#)
- ["Associating Action Items, Notes, and Attachments with Call Reports \(End User\)" on page 97](#)

- [“Setting the Call Report Privacy Flag \(End User\)” on page 98](#)
- [“Emailing and Printing Call Reports \(End User\)” on page 98](#)

Viewing Call Report Charts

As a manager or Siebel administrator, you can use the Call Report Charts view for call volume analysis of your own calls, your team’s calls, or all call reports in Siebel Finance. Use this view to analyze call volume and call types by employee and by customer, in order to determine which clients are receiving the most service.

To view a chart for your call reports

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 From the visibility filter, select one of the following:
 - My Call Reports
 - My Team’s Call Reports
 - All Call Reports

The view selected returns an appropriate set of call report records to be analyzed.

- 3 Click the Charts link on the link bar.

The chart reflects only those call report records in the current query; that is, those records listed in the Call Reports list preceding the chart.

- 4 From the lower Show drop-down list, select one of the following chart types:

Chart	Comments
Call Type Analysis	A breakdown of all selected call reports by Call Type.
Call Volume Analysis	Charts the number of calls per month, quarter, or year.
Call Volume by Employee	Charts the number of calls per month, quarter, or year, per employee.
Company Calling Analysis	Charts the number of calls per company.
Employee Calling Analysis	Charts the number of calls per company, by employee.

NOTE: Place your cursor over any chart segment to reveal additional information about that segment. Click a segment to drill down and refocus on just the call reports in that segment.

Activating the New Call Report Workflow

When activated, the New Call Report Workflow allows end users to create call report records automatically from the Contacts, Companies, Activities, and Opportunities screens. After the administrator activates the New Call Report Workflow, the New Call Report icon appears in the upper-left corner of those screens for end users.

To activate the New Call Report Workflow

- 1 Navigate to the Administration - Business Process screen > Workflow Deployment view.
- 2 In the Repository Workflow Processes list, query for the New Call Report Workflow record.
- 3 Click the Activate button at the top of the list to activate this workflow process.

When activated, the definition is written to the run-time tables and appears in the Active Workflow Processes view.

To use the New Call Report feature after it is activated, end users can do one of the following:

- Click the icon
- Choose File > Auto > Call Report from the application-level menu
- Use the short cut key Alt+P

NOTE: The New Call Report Workflow uses the Data Transfer Utility business service to transfer fields from one view to another. For information on modifying the New Call Report Workflow, so that it is available from more screens, or populating more fields when moving from one screen to the next, see [“Using Data Transfer Utilities \(DTU\)” on page 272](#) “Using Data Transfer Utilities (DTU)” on page 272 for details on the Data Transfer Utilities business service. The current Data Map Objects used for the New Call Report in the Data Transfer Utility business service include: New Call Report - Account, New Call Report - Activity, New Call Report - Contact, and New Call Report - Opportunity.

Managing Call Report Templates

You can email call reports. Emailed call reports, like other communications in Siebel applications, use templates to automatically format information in a message sent as an email. When you email a call report, Siebel Finance uses the Call Report Email template to populate the email message.

For more information on configuring communication templates, see *Siebel Communications Server Administration Guide*.

To view or change the call report email template

- 1 Navigate to the Administration - Communications screen > All Templates view.
- 2 In the Templates list, query for the template named Call Report Email.
- 3 Review or change the call report in the Call Report Email form.

Siebel Finance provides additional syntax for customizing message templates, offering a way to embed multi-value fields within the body of the message templates. As an example of this syntax, examine the template text for the Call Report Email template.

Adding Call Reports (End User)

End users add call reports to create a record of meetings and other conversations with clients, organizations, and individuals.

To add a call report

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Report form, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Associated Activity	The activity that is the subject of the call report; each call report can have only one associated activity. Selection of the associated activity is governed by the following constraints if those fields are populated: <ul style="list-style-type: none"> ■ Same Company ID ■ Same Primary Opportunity ID ■ Same Primary Contact ID
Contacts	Enter the participating contacts who were at the meeting. Designate a primary contact if desired, otherwise the first contact selected is defaulted as the primary. Entries appear in the Report Detail view and on the printed Call Report.
Description	A summary description of the call report; enter a more detailed report in the Report Detail view.
Distribution	List additional employees from your organization who should receive the Call Report, but should not appear on the list of participants. The call report creator and all Employee Participants are automatically placed on the distribution list.
Employees	List employees from your organization who participated in the call. Entries appear in the Report Detail view and on the printed Call Report. The call report creator is automatically listed as a participant.
Opportunity	Associate an opportunity with the call report. You can view all call reports associated with any given opportunity from the Opportunities screen.
Type	The LOV type for this field is FINCORP_CALLRPT_CONTACT_TYPE.

NOTE: In the Call Reports list, the New flag is a calculated field and appears checked for five days after the creation of a call report. Your systems administrator can change this setting.

- 3 In the Call Reports list, drill down on the Description link to navigate to the Report Detail view.
- 4 In the Employees and Contact lists, enter detailed information about the call.
Information you enter here appears in emailed or printed call reports.

Creating Call Report Distribution Lists (End User)

A distribution list is the list of contacts who need to know what is happening with a particular client. Usually, it is the coverage team for the client, plus any additional employee participants. The application automatically places the call report creator and each employee participant on the distribution list. For other employees, such as the coverage team, to receive a call report, end users must manually add them to the distribution list.

When end users use the call report Email Report feature, the distribution list controls who receives the report. The call report Print Report function and the Send Email function, both available through the application-level File menu (F9), are not affected by the distribution list.

To create a distribution list

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, drill down on the call report for which you want to create a distribution list.
- 3 In the Distribution field, select one or more employees to add to the distribution list.
The selected name or names are added to the distribution list.

Associating Action Items, Notes, and Attachments with Call Reports (End User)

After an end user has added a call report, they can associate it with action items, notes, and attachments.

NOTE: Call report attachments, like the attachments for other activities, are stored in the S_ACTIVITY_ATT table.

To associate action items, notes, and attachments

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, drill down on the desired call report.
- 3 To add notes or action items to the call report, in the Call Report form click the appropriate view tab:

- **Notes.** Adds notes or comments.
 - **Action Items.** Adds an action item.
- 4 To attach external documents to a call report, click the Attachments view tab, and choose a file or select a URL.

Setting the Call Report Privacy Flag (End User)

Certain call reports may contain sensitive or confidential information about a given company or opportunity. Users can designate certain calls as private by clicking the Private check box in the call report form or list. After a call report is marked as private, only those employees on the employees list can access it.

To set a privacy flag

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, select the desired call report, and click the Private field.
The call report is now categorized as private. Only the employees on the employees list can access it.

Emailing and Printing Call Reports (End User)

You can email or print call reports for distribution and record keeping. First, submit a call report and then email or print the report.

To submit a call report

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, select the call report to submit.
- 3 In the Call Report form, select Submitted from the drop-down list.

To email or print a call report

- 1 Navigate to the Call Reports screen > Call Report List view.
- 2 In the Call Reports list, drill down on the call report to email or print.

- 3 In the Call Report form, do one of the following:

To...	Click...
Email the report.	Email Report. The report is automatically emailed to everyone on the distribution list.
Print the report.	The toolbar Reports icon. In the Reports dialog box, select Summary or Detail and click Run.

9

Managing Activities

This section includes the following topics:

- "About Managing Activities" on page 101
- "Scenarios for Managing Activities" on page 101
- "Process of Managing Activities" on page 102
- "Making Appointments with Customers" on page 102
- "Managing the My To Do List" on page 103
- "Assigning Activities to Coworkers" on page 103
- "Viewing Company Coverage Team Activities" on page 104
- "Creating Call Lists" on page 104
- "Providing Literature Fulfillment by Email" on page 104

About Managing Activities

Activities are the duties, tasks, and actions performed to maintain relationships with customers. These customers are companies or individuals with which your company conducts business.

End users use these procedures to make appointments with customers, manage their My To Do List, assign an activity to a coworker, create a call list, and provide literature fulfillment by email.

This chapter describes the activity procedures and functionality that are specific to Siebel Finance. For more information about the Activities screen and about administrative tasks associated with the Activities screen, see *Siebel Applications Administration Guide*.

NOTE: Only team members of the secured opportunity can view the activities that belong to secured opportunities.

Scenarios for Managing Activities

These scenarios feature sample tasks performed by end users. Your organization may follow different workflows according to its business requirements.

In these scenarios, end users are the account representatives and agents who manage day-to-day interactions with customers. They enter information to:

- Make an appointment with a customer
- Manage their My To Do Lists
- Assign activities to coworkers

- Create call lists
- Provide literature fulfillment by email

Institutional Finance Account Rep Creates a Call List

While reviewing her accounts, an account representative realizes that she should catch up with one of her contacts at a client investor company. The representative decides to send her contact some literature regarding new investment opportunities. To do so, the account representative goes to the My Call List view, creates a new call list, drafts an email to one of the contacts listed in the call list, and attaches the respective literature item.

Retail Finance Agent Creates an Activity for Customer Follow Up

An agent at a retail financial service institution receives a call from a customer inquiring about investment products with respect to his 401(k) plan. The call center agent creates a new activity to follow up with the customer and assigns it to an investment specialist.

Process of Managing Activities

This section details sample tasks often performed by end-users when managing contacts. Your company may follow a different process according to its business requirements.

- [“Making Appointments with Customers” on page 102](#)
- [“Managing the My To Do List” on page 103](#)
- [“Assigning Activities to Coworkers” on page 103](#)
- [“Viewing Company Coverage Team Activities” on page 104](#)
- [“Creating Call Lists” on page 104](#)
- [“Providing Literature Fulfillment by Email” on page 104](#)

Making Appointments with Customers

Typically, end users use the Appointment feature to schedule meetings with their customers. From the Activities view, end users can create appointment activities, which can be automatically added to their calendars.

To make an appointment with a customer

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Activities view tab.
- 4 In the Activities list, add a record, and complete the necessary fields.

- 5 In the Type field, select Appointment.

NOTE: You can view all activities associated with your contacts by navigating to the Activities screen and selecting All Activities for My Contacts from the Show drop-down list.

Managing the My To Do List

In Siebel Finance, an end user's My To Do List view shows all To Do items assigned to the end user. End users can create these To Do items using any one of the views from the Activities screen. Typically, end users can use their To Do Lists to help manage their daily activities.

To manage the My To Do List

- 1 Navigate to the Activities screen > Activity List view.
- 2 From the Show drop-down list, select My To Do List.
- 3 In the Activities list, drill down on the Type link.
- 4 In the To Do form, complete the necessary fields:
 - Status field. Select an appropriate value from the drop-down list, or check the Done box to indicate the activity is complete.
 - Comments field. Explain the change to the activity information.
- 5 To add an attachment, click the Attachments view tab, add a record, and complete the necessary fields.

Assigning Activities to Coworkers

End users with the appropriate responsibilities can assign activities to coworkers. This provides a communication mechanism among coworkers to coordinate tasks. End users can create new activities and then assign them to others, or they can assign existing activities to one another.

To assign an activity to a coworker

- 1 Navigate to the Activities screen > Activity List view.
- 2 In the Activities list, select an activity to assign.
- 3 In the form, for the Employees field, select one or more employees.

Viewing Company Coverage Team Activities

A coverage team is the group of employees that are assigned to manage the relationship with a given company. The coverage team for a company is defined as all users who have access to the company in the My Companies view. For more information on adding coverage team members see [“Managing Company Coverage Teams \(End User\)” on page 62](#).

To view coverage team activities involving a company

- 1 Navigate to the Activities screen > Activity List view.
- 2 In the Show drop-down list, select All Activities for My Companies.

The All My Companies' Activities list appears, displaying all activities for the companies for which you are on the coverage team. This list displays all activities for these companies, including your activities and other users' activities.

NOTE: You can view the user associated with each activity in the Users field. However, this field does not display by default. Use the Columns Displayed dialog box to reveal the Users field.

Creating Call Lists

A call list is a tool to help end users manage customer calls related to a specific security. End users can create call lists in the Activities and Holdings and Interests screens.

To create a call list

- 1 Navigate to the Activities screen > Activities List view.
- 2 In the Show drop-down list, select My Call List.
- 3 Create a new record, and complete the necessary fields.
- 4 In the Last Name field, select contacts to add to the call list.
- 5 In the Security Symbol field, select the securities to associate with the call list.

Providing Literature Fulfillment by Email

End users can distribute literature directly to activity participants or contacts. For example, emailing meeting minutes to everyone who attended a specific meeting.

By following this procedure, the application creates a new Activity record with Type of Literature Distribution, and associates the same list of participants or contacts with this new activity.

To provide a literature fulfillment by email

- 1 Navigate to the Activities screen > Activity List view.
- 2 In the Activities list, select the Activity record for which you want to send follow-up literature.
- 3 From the application-level menu, choose File > Send Email.

TIP: Press F9 instead of choosing the option from the File menu.

- 4 In the Pick Recipient dialog box, select one of the following values:
 - **Activity Contacts.** Sends an email to the external contacts associated with the activity.
 - **Activity Employees.** Sends an email to the employees who participated in the activity.
 - **None.** Chooses a specific recipient.

A new email message appears.

- 5 In the From field, select a profile.

NOTE: If a default profile has been set up for the user, the From field is automatically populated with the user's information.

- 6 Click the Add Literature button, preceding the Check Spelling button.

10 Managing Financial Accounts

This section includes the following topics:

- [“About Managing Financial Accounts” on page 107](#)
- [“Scenarios for Managing Financial Accounts” on page 108](#)
- [“Process of Managing Financial Accounts” on page 109](#)
- [“Financial Account Administration” on page 110](#)
- [“Working with Financial Accounts” on page 111](#)
- [“Setting Up Household Financial Accounts Virtual Business Components” on page 113](#)
- [“Reviewing Financial Accounts \(End User\)” on page 115](#)
- [“Creating Service Requests Using the GO Button \(End User\)” on page 116](#)
- [“Placing Trades \(End User\)” on page 117](#)

About Managing Financial Accounts

Siebel Finance provides financial institutions with a graphical interface that allows qualified employees to access financial account information. The Financial Accounts screen provides users with a way to view loan and deposit accounts, which includes the related contacts, balance history, investment holdings, and investment transaction details.

The Financial Accounts screen allows companies to service the needs of retail or institutional customers, in either a high-transaction environment, such as a consumer call center, or a higher touch environment, such as corporate banking. Call center agents can use the Financial Accounts screen to handle common service requests, such as inquiries about current account balances, past transactions, or investment holdings. Corporate bankers can use the Financial Accounts screen to answer detailed questions about complex corporate accounts and advise their clients. By monitoring their clients' financial accounts through this format, relationship managers are better equipped to recognize changes in their clients' portfolios and to identify new cross-selling opportunities.

Administrators use these procedures to create a financial account, add a new authorized user to a financial account, and associate holdings information with a contact's financial account.

End users use the Financial Accounts screen to:

- Create and maintain financial accounts for multiple product types, which includes loans, direct deposits (checking and savings), market interest deposits (or money market accounts, MMA), time deposits (or Certificates of Deposit), and more. Financial Accounts tracks the unique set of information to describe and manage each of these account types.
- Associate additional products and services affiliated with an account. (For example, a checking account may have lock box service, account reconciliation service, and online bank reporting.)

- Create and maintain hierarchical account relationships, which includes relationships with accounts held by other clients.
- Automatically generate service requests based on the type of account and associate those requests with the primary contact and financial account.

Scenarios for Managing Financial Accounts

These scenarios feature sample tasks performed by a financial institution's relationship managers and call center agents. Your organization may follow a different workflow according to its business requirements.

In these scenarios, the Siebel administrator is responsible for administering Siebel Finance and requires administrative responsibilities to:

- Add a financial account or a new authorized user to a financial account
- Associate holdings information with a contact's financial account

The end users are the call center agents and relationship managers who answer customer calls. They enter information and create service requests:

- Review financial account information
- Create service requests using the Go button or place a trade
- Create a call list based on account holdings/balances
- Generate account reports
- Place a trade

Call Center Agent Provides Account Information to Customer

An agent receives a call from a customer with both brokerage and banking accounts at the financial institution. The customer first wants to know the current balance on her checking account. After identifying and authenticating the customer, the call center agent views each of the customer's accounts and locates the customer's checking account. The call center agent reads the current balance to the customer, who then wants to know whether a recent deposit has been posted to her account. The call center agent confirms that the deposit was posted yesterday. Finally, the caller wants to know the exact time and purchase price of two recent transactions in her brokerage account. Using Financial Accounts, the call center agent locates the trades and provides the time and value of the transactions to the customer.

Relationship Manager Resolves Customer Service Charge Inquiry

A corporate relationship manager receives a call from a contact at one of the companies she handles. The contact wants more details about a service charge that appeared on her company's last financial statement. After authenticating the contact, the relationship manager determines the type of authority that the contact has over the account. The relationship manager sees that this contact can sign a check, send a wire transfer, or request a loan advance. The relationship manager also sees that the company the caller works for has significant deposit balances with the firm. After locating the service charge the customer is calling about, the relationship manager is able to reverse the charge based on the overall value the caller's company contributes to the financial institution.

Wealth Management/Brokerage Relationship Manager Creates Call List

A wealth manager reviews the morning research and news and relates it to client account balances and holdings information. After reviewing his clients' portfolio and account balances, the wealth manager creates a list of clients to call that may be interested in a particular security discussed in that morning's research. After contacting the client, the wealth manager sends the client a copy of a news and research article. After receiving the customer's consent, he conducts a trade. While on the phone, the wealth manager schedules a portfolio review meeting, and in preparation for the meeting, produces account summary/portfolio reports.

Process of Managing Financial Accounts

This section details sample tasks often performed by administrators and end-users when managing financial account. Your company may follow a different process according to its business requirements.

Administrator Procedures

The following list shows tasks administrators typically perform to manage financial accounts:

- ["Financial Account Administration" on page 110](#)
- ["Working with Financial Accounts" on page 111](#)
- ["Setting Up Household Financial Accounts Virtual Business Components" on page 113](#)

End-User Procedures

The following list shows tasks end users typically perform when managing financial accounts:

- ["Reviewing Financial Accounts \(End User\)" on page 115](#)
- ["Creating Service Requests Using the GO Button \(End User\)" on page 116](#)
- ["Placing Trades \(End User\)" on page 117](#)

Financial Account Administration

This section provides those with the required administrative responsibilities, such as Siebel administrators, with background information about financial accounts. This information is helpful for understanding the administrative tasks described in subsequent sections.

A financial account is an instance of a financial product. For example, a checking account is an instance of a checking product. Therefore, you must first establish a library of products in Siebel Finance. These products should correspond to the financial account types that are being retrieved from the back-end system. For more information about setting up products, see [Chapter 16, "Managing Products and Pricing."](#)

Siebel Finance provides users with information about the financial accounts in their portfolios. There are two broad categories of financial accounts: assets and liabilities. For each of these categories, there are also multiple account types. Siebel Finance dynamically modifies certain applets to provide information that is specific to certain financial account products. This modification increases the relevance of the data provided for each individual account.

For example, for Certificates of Deposit (CDs), Siebel Finance presents the user with the maturity date and the withdrawal penalty; for loan accounts, risk-rating and payoff amounts are also displayed. It is the Type attribute that determines the set of detailed information displayed for financial accounts associated with the product. Types include:

- Analysis Accounts
- Certificates of Deposit
- Credit Cards
- Demand Deposit Accounts
- Facility
- Investments
- Loans
- None
- Retirement
- Savings and Money Market Accounts
- Trust Accounts

Financial institutions can also expand the account types supported by Siebel Finance through the use of Siebel Tools. For more information about Siebel Tools, see *Using Siebel Tools*.

Examples of financial account products include business checking accounts, 180-day certificates of deposit, market interest accounts, and revolving lines of credit. An account held by a client is considered an instance of one of these products. For example, a \$1,000,000 loan can be an instance of the revolving line of credit product.

NOTE: Many of the products offered by a financial institution will *not* be related to either Assets or Liabilities.

The ATM Card Administration view provides information about cards associated with an account. The Siebel Finance data model allows establishing many-to-many relationships between Financial Accounts and ATM Card records. Although the out-of-the-box ATM Card Administration view allows users to add ATM Cards to Financial Account records, typically such transactions are accomplished through the initiation of a Service Request to a back-end system.

Account Categories and Types

For the Financial Accounts screen to function properly, Siebel administrators must establish the Account Category and Account Type attributes of each product.

For more information about defining products, see *Product Administration Guide*.

Working with Financial Accounts

In Siebel Finance, administrators can add financial accounts from the Financial Accounts screen. In many companies, Siebel Finance is not an organization's primary system of record for financial accounts. Typically a system administrator loads financial account information from another system into Siebel Finance. For more information on uploading financial account information into Siebel Finance, see *Siebel Enterprise Integration Manager Administration Guide*.

To add a financial account

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Status	If specified as Open, then allows the financial account to appear in Siebel eBanking.
Account #	User-assigned number.
Product	Indicates the product associated with the account. This selection populates the Type field.

- 3 (Optional) In the Financial Account form, enter at least one contact for the account.
- 4 In the Team field, add users at the financial institution responsible for maintaining the account.

NOTE: Business system administrators must determine which views and types of views their users need.

After a financial account is created, you add authorized users for the account. For each authorized user, you define the authorization actions they can take for different categories of account use. For example, one authorized user might be allowed to sign checks and make withdrawals and another is only able to request wire transfers.

To add a new authorized user to a financial account

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Account List, drill down on the account to which you want to add an authorized user.
- 3 Click the Authorized Users view tab.
- 4 In the Authorized Users list, add a record, and in the Last Name field, select the contact.

Scroll down to the Authorization list, add a record and complete the necessary fields, some of which are described in the following table.

Field	Comments
Category	The category of account use for which the authorization is granted, such as wire transfer, check signing, or withdrawal.
Action	The specific activity that is authorized for the category of authorization, such as confirm, sign, or request.
Limit	The dollar value limit for the specified authorization.

NOTE: You cannot add contacts to the system in the Authorized Users view tab. Create contacts in the Contacts screen or the Contacts Administration screen. For more information, see [“Adding Contacts” on page 79](#).

After a contact has been added to a financial account, you can specify that contact’s authorization level as described in this procedure.

After adding authorized users to a financial account, administrators can associate holdings information. Holdings information is usually only relevant to certain types of accounts, such as Investment Accounts.

To associate holdings information with a financial account

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Account List, drill down on the account to which you want to associate holdings. Click the Investment Holdings view tab.
- 3 In the Investment Holdings list, add a record, and complete the necessary fields.
- 4 In the Security Name field, select a security name you want to associate with the financial account.

Setting Up Household Financial Accounts Virtual Business Components

Siebel Finance includes virtual business components. Use these virtual business components to display financial account related data sourced from a back office or a third party system for specific financial accounts views within the Households screen. These views include FINS IBD Holdings Model Value - Asset Class, FINS IBD Holdings Model Value - Asset Sector, FINS IBD Household Cash Flow, FINS IBD Household Performance, and FINS IBD Holding External. For more information on using these views, see [“Viewing and Evaluating Household Portfolios” on page 71](#).

In Siebel Finance, the term *virtual business components* refers to external data obtained from a location other than a database table in a Siebel database, and presented in a standard Siebel user interface. Typically, information is pulled real-time from an external database, such as a Hogan or ALLTEL system.

These virtual business components are driven by the Siebel XML Gateway business service, which communicates between Siebel Finance and an external data source using XML. You can configure the XML Gateway business service using the EAI HTTP Transport.

For more information on virtual business components, see *Using Siebel Tools*. For more information on XML Gateway business service, see *Integration Platform Technologies: Siebel Enterprise Application Integration*.

Configuring Virtual Business Components User Properties

For each of the virtual business components driven by XML Gateway business service, you need to configure these user properties in Siebel Tools:

- **Service Name.** The name of the business service.
- **Service Parameters.** Any parameters required by the business service (Optional). The Siebel application passes this user property, as an input argument, to the business service only when the application is attempting to load or initialize the business service.

To configure virtual business components user properties

- 1 In Siebel Tools, lock the appropriate project.
- 2 In the Object Explorer, click the Business Component folder to expand the hierarchical tree.
- 3 Select each of the following business components and define its user properties:
 - FINS IBD Holdings Model Value - Asset Class
 - FINS IBD Holdings Model Value - Asset Sector
 - FINS IBD Household Cash Flow
 - FINS IBD Household Performance

■ FINS IBD Holding External VBC

- 4 In the Object Explorer, click the Business Component User Prop folder.

The Business Component User Properties list appears.

- 5 Choose Edit New Record to create a new blank user property record.

- 6 In the Service Name field, enter XML Gateway.

- 7 In the Service Parameters field, enter the following:

```
Transport=EAI HTTP Transport; HTTPRequestMethod=POST; XMLCharEncoding=UTF-16;  
HTTPRequestURLTemplate=http://machine name/virtual directory name/active server page  
file
```

NOTE: Business component user properties are case sensitive.

For more information on XML Gateway business service, see *Integration Platform Technologies: Siebel Enterprise Application Integration*.

Setting Up a Test ASP and Testing the Local Database

You can use an Active Server Page (ASP) to retrieve data from a test database and return an XML file in Siebel format to the Siebel XML Gateway business service.

To set up an ASP and local test database

- 1 Install Microsoft Internet Information Server (IIS) 4.0 on a local Windows machine (for example Windows NT or Windows 2000).
- 2 Create a virtual directory with the name you specify. Make sure the property for the virtual directory has write permission.

- 3 Create the following files in the folder to which the virtual directory points:

- cashflow.asp
- Performance.asp
- ModelValueByClass.asp
- ModelValueBySector.asp
- holdings.asp

NOTE: For information on viewing these sample ASPs, see [Appendix B, "Sample ASPs for Household Financial Accounts Virtual Business Components."](#)

- 4 In the same virtual folder, create a test database for all the fields in a Microsoft Access database titled mdb.mdb.

Virtual Business Components Testing

Assuming everything is configured correctly, [Table 3](#) describes how to verify that your virtual business components are working.

Table 3. Testing the Virtual Business Components

Virtual Business Component	Description
FINS IBD Holdings Model Value - Asset Class FINS IBD Holdings Model Value - Asset Sector	View the model types for these virtual business components in the drop-down list in the Financial Accounts, Class Allocation, and Sector Allocation subviews in the Households screen. For more information, see "To compare account holdings against a portfolio model" on page 72 and "To view the selected account holdings by sector" on page 72 . After clicking Go, the application recalculates the model value at each subview and displays the percentage for each model weight. You can compare this with data in mdb.mdb database.
FINS IBD Household Cash Flow FINS IBD Household Performance	View the Financial Accounts, Cash Flow, and Performance subviews in the Households screen. For more information, see "To view expected future cash flows for selected accounts" on page 73 and "To view selected accounts' past performance" on page 73 .
FINS IBD Holding External	This virtual business component replaces FINS Holding. In Buscomp FINS IBD Aggregated Holdings, specify which buscomp your aggregation is based at. The business component User Property Name is Aggregate Business Component.

Reviewing Financial Accounts (End User)

Aside from being able to execute securities trades in the Trades view, end users typically have read-only access to the Financial Accounts screen; therefore, most end-user tasks involve using the Financial Accounts screen to gather information as opposed to entering data.

To review a financial account

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 Click a view tab to review specific financial information.

As users review financial accounts, they can create activities for use as a call list. You can base the selection of financial account records on a number of different criteria, such as account holdings and balances. Users can view detailed information on a specific account, which includes minimum balance, statement date, and current changes in the Account Analysis view tab.

To view an account analysis

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 Click the Account Analysis view tab.

To create a call list based on account criteria

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 Click the Activities view tab.
- 4 In the Activities list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
New	Indicates a new activity.
Type	Default value is Other. Select alternate value to categorize the type of activity.

Creating Service Requests Using the GO Button (End User)

Call center agents and relationship managers often review the Financial Accounts screen to answer customers' questions about their accounts. During these conversations, customers frequently request changes to their accounts. Enter a change, such as a fee reversal or statement copy, by clicking the GO button from the Financial Accounts screen.

The GO button allows end users to choose from a predefined list of service requests for a given account type. After selecting the GO button, a user is automatically navigated to the view in the Service Requests Screen to handle that type of request. The contact and account are automatically associated with the new service request.

To create a service request using the GO button

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account, and click the More Info view tab.

- 3 In the New Service Request drop-down list, select the type of service request to create, and click GO.
- 4 In the resulting Service Request view, complete the necessary fields.

Placing Trades (End User)

End users can place securities trades using the Trades view in the Financial Accounts screen.

To place a trade

- 1 Navigate to the Financial Accounts screen > Financial Account List view.
- 2 In the Financial Accounts list, drill down on the desired account.
- 3 Click the Trades view tab.
- 4 In the Trades list, add a record, and complete the necessary fields.
- 5 In the Action field, select a type of trade.

NOTE: Based on the action that is selected, another trade information form appears at the bottom of the screen. For example, if the transaction is a stock trade, a Stock Trade form appears and some fields are automatically filled in as you complete the fields in the Trades list.

- 6 Complete the fields in the Trades list and the related form beneath it.

11 Managing Service Requests

This section includes the following topics:

- "About Managing Service Requests" on page 119
- "Scenarios for Managing Service Requests" on page 120
- "Process of Managing Service Requests" on page 121
- "Changing a Company Address or Name" on page 121
- "Changing a Customer Address or Name" on page 121
- "Creating Service Requests (End User)" on page 122
- "Requesting Account Service in Service Requests (End User)" on page 122
- "Changing Company Address or Name Information (End User)" on page 124
- "Changing Customer Address or Personal Information (End User)" on page 125
- "Recording Customer Appeals or Grievances (End User)" on page 126

About Managing Service Requests

A *service request* in Siebel Finance acts as a container for a customer request or an account service. Entering a service request in Siebel Finance can create an extract file. You can use the extract file to transmit data to legacy systems.

CAUTION: This chapter assumes you have renamed Siebel Account objects to *Companies*. By default, Siebel Finance installs using the term *Accounts*. For more information on renaming Siebel Account objects, see *Siebel Database Upgrade Guide*.

Administrators use these procedures to change a company address, contact address, or contact name. End users use the Service Requests screen to view and update existing requests and create new requests. Based on the requirements of the individual making a request, users can create service requests for companies or customers. After identifying the caller and understanding the nature of the request, the agent takes action to complete the request. Service Requests provide status and substatus information about the request, which closes the loop of the customer service process.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For example, you can use a workflow to handle all exception processing at a financial institution. If an exception is generated by a call center or a relationship manager, you can route this exception automatically to the administrator for handling. For more information, see *Siebel Business Process Framework: Workflow Guide*.

Scenarios for Managing Service Requests

These scenarios feature sample tasks performed by a financial institution's call center agents, relationship managers, and application administrators. Your organization may follow a different workflow according to its business requirements.

Call Center Agent Creates a Service Request

A customer calls a financial institution's call center and is routed to a call center agent. As the call center agent is talking with the customer, she finds out that the customer wants to get a copy of a specific account statement for one of his accounts. The call center agent talks with the customer and gets his first name and last name. The agent also authenticates the customer with information such as his social security number or his mother's maiden name. After authenticating the caller, the call center agent creates the appropriate service request.

Relationship Manager Creates a Service Request

Siebel Finance allows financial institutions' relationship managers to have an overall view of every aspect of their relationship with the customer. This scenario illustrates how a relationship manager can assist a customer to address any type of customer concern.

A customer calls his relationship manager regarding some issues with his account. The relationship manager gets his first and last name. The customer has indicated that he has a number of issues that need to be resolved with the account. The customer requests that the relationship manager review the status of each request and enter a new request. After authenticating the customer, the relationship manager reviews the existing service requests with the customer and updates the necessary information in the service requests.

Application Administrator Changes a Company Name

A client notifies her bank that her company name is changing. The organization allows only Siebel administrators to make name changes in Siebel Finance. The organization's policy states that the representative taking the request should submit a service request for a name change. In addition, the appropriate person may need to get permissions or signatures from the client's company to send to the Siebel administrator in order to confirm this change. The submitted service request could be automatically sent to the Siebel administrator using a business service set up by the institution. The administrator then determines whether the name change is approved and updates either Siebel Finance or another computer system that feeds data to Siebel Finance.

Process of Managing Service Requests

This section details sample tasks often performed by administrators and end-users when managing service requests. Your company may follow a different process according to its business requirements.

CAUTION: All Siebel Finance calculators described in this guide provide results intended for comparison purposes only; the accuracy of the results is not guaranteed. Differences from the expected results may be due to rounding or the mathematical formula used. Modifying the formula can only be done by someone with the appropriate responsibilities, such as the Siebel administrator.

Administrator Procedures

The following list shows tasks administrators typically perform to manage service requests:

- [“Changing a Company Address or Name” on page 121](#)
- [“Changing a Customer Address or Name” on page 121](#)

End-User Procedures

The following list shows tasks end users typically perform when managing service requests:

- [“Creating Service Requests \(End User\)” on page 122](#)
- [“Requesting Account Service in Service Requests \(End User\)” on page 122](#)
- [“Changing Company Address or Name Information \(End User\)” on page 124](#)
- [“Changing Customer Address or Personal Information \(End User\)” on page 125](#)
- [“Recording Customer Appeals or Grievances \(End User\)” on page 126](#)

Changing a Company Address or Name

The following procedure describes how to change a company address or name.

To change a company address or name

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, select a company.
- 3 In the Company form, update the company information as needed.

Changing a Customer Address or Name

The following procedure describes how to change a customer address or name.

To change a customer address or name

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, select a contact.
- 3 In the Contacts form, update the contact's information as needed.

Creating Service Requests (End User)

There are several ways to create a new service request. Typically, service requests are created from the Service screen, Contacts screen, Companies screen, or Financial Accounts screen.

One of the easiest ways to create a service request is within the Financial Accounts screen using the GO button. Using the GO button, end users can choose from a predefined list of service requests for a given account type. After selecting the GO button, a user is automatically navigated to the view in the Service screen to handle that type of request. The contact and account are automatically associated with the new service request. For more information on creating a service request using the GO button, see [Chapter 10, "Managing Financial Accounts."](#)

The Service screen allows end users to initiate a service request to change customer address and name information so that this information can be updated in their organization's database.

To create a service request from the Contacts screen

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact for which you want to create a service request.
- 3 Click the Service Requests view tab.
- 4 In the Service Requests list, add a record and complete the necessary fields.

For more information about service requests, see *Siebel Applications Administration Guide*.

Requesting Account Service in Service Requests (End User)

The Account Services view tab in the Service screen allows end users to create service requests that are related to an organization's service. Available account services are described in [Table 4](#).

Table 4. Account Services View Items

Account Service	Description
Add Payment Schedule	Creates a customer's payment schedule.
Auto Payment / Saver	Associates an auto payment request with a service request.
Bank Check	Requests a replace credit card or an additional card.

Table 4. Account Services View Items

Account Service	Description
Bill Pay Sign Up	Creates or changes a customer's bill pay service with a service request.
Card Services	Requests issuance of a bank check to a specified payee and his/her address.
Check Copy Request	Requests a copy of a check.
Check Order	Orders additional checks.
Close Account	Closes the specified account.
Extension	Records a one-time short extension under an existing contract. Typically, extensions are granted for up to six-months and no new paperwork is required.
Extra Payment	Changes a customer's monthly payment schedule or amount. You can use the Service Request Extra Payment view to record the new monthly payment and provide the customer with updated loan information, such as the new term and interest saved.
Funds Transfer	Requests a funds transfer.
Interest/Fee Reversal	Reverses an interest payment or fee.
Line Increases	Increases a customer's credit line or cash limit.
Lost/Stolen Information	Records information regarding lost or stolen items, such as credit cards.
Lump Sum	Records a lump sum transaction and provides a customer with new monthly terms. This feature allows customers to: <ul style="list-style-type: none"> ■ Reduce the amount of their monthly payment, while maintaining the same terms, or ■ Continue paying the same monthly payment while reducing their terms
Modify Payment Schedule	Modifies a customer's payment schedule.
New Assumption	Records a new assumption if a lease gets traded to a new party, and this party assumes the future payments of the lease.
Payment Inquiry	Records information for customers who claim to have made a credit card payment, but the payment has not shown up on their statement.
Payment Promise	Records customer payment promises during a collection call or campaign.
Payoff	Records a payoff of the lease.

Table 4. Account Services View Items

Account Service	Description
Payoff Status	Records a payoff transaction and provides customers with their payoff amounts.
POS Support	Handles merchant requests related to credit card point of sales (POS) equipment such as terminal repairs, paper orders, and order signage.
Quick Pay	Records check transactions as if the customer had sent the check in as a payment. Customers can provide check information, such as the ABA number, check number, and amount, to expedite a monthly payment.
Re-lease	Records the re-lease of the vehicle to the customer.
Redeem Points	Records information for customers who want to redeem points.
Refinance	Records the refinance request.
Statement Copy	Orders a statement copy for customers.
Stop Payment	Stops a payment.
Title Move	Records moving the title from one party to another.
Transaction Dispute	Creates a record of a customer dispute. End users can associate disputes with notes and attachments.
Wire Transfer	Provides wire transfer information if applicable.

To request an account service using a service request

- 1 Navigate to the Service screen > Service Request List view.
- 2 Create a new record and drill down on the SR #.
- 3 In the Service Request Detail form complete the necessary fields.
- 4 Click the Account Services view tab.
- 5 From the view link bar, select an account service.

For a description of the service types, see [Table 4 on page 122](#).

NOTE: In the Account Services list, the following views have additional drop-down lists: Check Copy Request, Extra Payment, Fee Reversal, Payoff Status, Quick Pay, Statement Copy, and Stop Payment. From the values in these drop-down lists, end users can choose to display the list or the more detailed form in which they can enter an account service request.

Changing Company Address or Name Information (End User)

If users are:

- Allowed to change company-wide address and name information, they can update the appropriate information in the Service screen. After the information is captured in Siebel Finance, users can use this information to update existing host systems. For more information about updating company information, see [Chapter 5, "Managing Companies."](#)
- Not allowed to change company-wide address and name information, they can use the Company Address Maintenance view and the Company Name Information Change view to send service requests to administrators responsible for updating the information.

To submit a service request to change a company's name or address

- 1 Navigate to the Service screen > Service Request List view.
- 2 In the Service Requests list, add a record, and drill down on the SR #.
- 3 In the Service Request form, complete the necessary fields.
- 4 Then:

To...	Click...
Update the company name.	The Company Name Information Change view tab.
Update the company address.	The Company Address Maintenance view tab.

Changing Customer Address or Personal Information (End User)

If end users are:

- Allowed to change company-wide address and name information, they can update the appropriate information in the Service screen. After the information is captured in Siebel Finance, users can use this information to update their company's host systems.
- Not allowed to change company-wide address and name information, they can use the Customer Address Maintenance and Personal Information Change views to send service requests to administrators responsible for updating the information.

To submit a service request to change a customer's address or personal information

- 1 Navigate to the Service screen > Service Request List view.
- 2 In the Service Requests list, add a record and drill down on the SR #.
- 3 In the Service Request form, complete the necessary fields.

4 Then:

To...	Click...
Update the customer's address.	The Customer Address Maintenance view tab.
Update the customer's personal information.	The Personal Information Change view tab.

Recording Customer Appeals or Grievances (End User)

End users can record customer complaints.

To record a new customer complaint

- 1 Navigate to the Service screen > Service Request List view.
- 2 In the Service Requests list, add a record and drill down on the SR #.
- 3 In the Service Request form, complete the necessary fields.
- 4 Click the Appeals & Grievances view tab.
- 5 In the Complaint Detail form, complete the necessary fields.

12 Managing Financial Needs Analyses

This section describes the procedures necessary to administer and perform a needs analysis session using Siebel Finance and includes the following topics:

- [“About Managing Financial Needs Analysis” on page 127](#)
- [“Scenarios for Managing Financial Needs Analysis” on page 128](#)
- [“Administrator Financial Needs Analysis Procedures” on page 129](#)
- [“End-User Financial Needs Analysis Procedures” on page 129](#)
- [“Needs Analysis Script Creation” on page 129](#)
- [“Setting Up Product Scores” on page 129](#)
- [“Creating Investment Objectives and the Portfolio Mix” on page 130](#)
- [“Performing General Needs Analysis for Companies or Contacts” on page 132](#)
- [“Performing Investment Needs Analysis for Contacts” on page 133](#)
- [“Generating Recommendations from a Needs Analysis Session” on page 133](#)

About Managing Financial Needs Analysis

Needs analysis is the process sales agents use to gather information about their customers and recommend the best products to them. In a needs analysis, an agent asks questions and selects answers with preassigned scores. The scores for each product are aggregated, and by clicking on the Recommend button, an agent can recommend and cross-sell a package of products or a single product to customers. In addition, a relationship manager can use the investment needs analysis to recommend model fund and asset distributions for an investment portfolio.

Following the procedures in this chapter, administrators will be able to:

- Develop needs analysis scripts, which are specifically worded sets of questions. Call center agents use these scripts in a needs-based selling process to gather information from customers interested in learning about or purchasing a specific product. The scripts can also include pick list values for the customer answers.
- Set up product scoring, which assigns number values to needs analysis script answers. Based on the script answers, a needs analysis recommendation lists the products for the agent to recommend to the customer; recommended products having higher scores more closely meet the customer’s needs than those with lower scores.
- Create investment objectives.
- Create an optimal portfolio mix for asset and fund types for each investment objective.

Following the procedures in this chapter, end users will be able to:

- Perform a needs analysis.
- Recommend products that best match customer needs.
- Recommend model fund and asset distributions for an investment portfolio.

Scenarios for Managing Financial Needs Analysis

These scenarios feature sample tasks performed by a financial institution's applications administrator, a call center agent, and a relationship manager. Your organization may follow different workflows according to its business requirements.

The Needs Analysis views within Siebel Finance allow financial institutions to capture customer requirements in a needs-based selling process for multiple products including checking, convenience, investment, credit, mortgage, savings, and retirement products. The views specifically support both the individual customer as well as the business customer.

Application Administrator Creates a New Needs Analysis Script

An applications administrator is given the business requirements to create a new needs analysis script. The administrator supports the requirements by defining the product scores for each needs analysis question. The product scores are used to calculate and define the product recommendations. The administrator also sets up the optimal portfolio mix and investment objectives for the Investment Needs Analysis view.

Agent Uses Needs Analysis Script to Determine Product Requirements

A call center sales agent receives a call from a prospective new customer who is interested in opening a checking account. The agent uses the Siebel Finance Needs Analysis script to walk the customer through a series of questions to gather her product requirements, and to record the answers used to calculate the best financial products for her. The agent provides the customer with key information about the recommended checking accounts with the highest scores. The call center agent tells the customer that she can apply for more than one product if she chooses; however, the customer decides to go with the first product on the list, and the sales agent begins the application process using the Auto Application feature.

Relationship Manager Uses Investments Needs Analysis Script

A relationship manager receives a call from a customer who has an investment account with the financial institution. The customer is interested in finding out about a general investment strategy. The relationship manager uses the Investments Needs Analysis script to walk the customer through a series of portfolio interest, risk tolerance, investment horizon, and profile information questions to recommend a model portfolio of assets and fund types.

Administrator Financial Needs Analysis Procedures

The following administrator procedures are included in this chapter:

- [“Needs Analysis Script Creation” on page 129](#)
- [“Setting Up Product Scores” on page 129](#)
- [“Creating Investment Objectives and the Portfolio Mix” on page 130](#)

End-User Financial Needs Analysis Procedures

The following list of end-user procedures are included in this chapter:

- [“Performing General Needs Analysis for Companies or Contacts” on page 132](#)
- [“Performing General Needs Analysis for Companies or Contacts” on page 132](#)
- [“Performing Investment Needs Analysis for Contacts” on page 133](#)
- [“Generating Recommendations from a Needs Analysis Session” on page 133](#)

Needs Analysis Script Creation

Those with the required administrative responsibilities, such as Siebel administrators, can set up and modify needs analysis questions and the related scripts.

Before creating a script, define each question that the script will use. If you add questions to a script, you need to add score values to the Product Scores for the questions. You also need to add the questions to the appropriate Business Component. For example, if you are modifying a checking account needs analysis script for a contact, then you would need to add questions to the FIN NA RET Checking Business Component. When the user clicks the Recommend button in the script wizard to calculate the score, changes to the script are taken into account.

For additional information about creating SmartScripts, see *Siebel SmartScript Administration Guide*.

Setting Up Product Scores

Administrators use the Product Scores Administration subview in the Administration - Product screen to define the product scores associated with each of an organization's products. You can include each product in one or more needs analysis view.

To associate questions and scores with products

- 1 Navigate to the Administration - Product screen > Products view.

- 2 In the Products list, drill down on the product for which you want to define questions and scores.

NOTE: If the product does not exist, add it. For more information about adding products, see *Product Administration Guide*.

- 3 Click the More Info view tab.
- 4 On the More Info link bar, click the Product Scores view link.

The Product Scores list displays the questions and corresponding answers that are currently associated with a selected product.

- 5 In the Product Scores list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Answer	The answer given by the customer. For each possible answer the customer can give, you can assign a score.
Question	The asked question.
Score	The score associated with the answer. You assign this value according to the importance you attach to the customer's response.
Script Name	The script used for this question. You are not limited to a single script for a product; you can use any number of the scripts listed.

NOTE: During a needs analysis session, if the sum of the product scores appears incorrect after you click the Recommend button to select a product, check for duplicate product score questions.

To correct a script problem with a product score

- 1 Navigate to the Administration - Product screen > Products view.
- 2 In the Products list, drill down on the product with the script to correct.
- 3 Click the Product Scores view link.

The Product Score displays the questions and corresponding answers that are currently associated with the selected product.

- 4 Edit the Score list.

For example, if the same question-and-answer pair appears more than one time, delete the extra question and answer.

Creating Investment Objectives and the Portfolio Mix

Administrators can add or modify investment objectives as well as create asset and fund portfolio distributions in the Securities views in the Finance Administration screen.

Several Portfolio Objectives are provided in the standard Siebel Finance application. If you need to make changes to the assets or funds used to score the investment objectives in the Investments subview of the Needs Analysis view in the Contacts screen, you can change the score calculations in the FINS Investment NA Action business component by making changes to the applicable fields, such as these:

- The Computed INV NA Score Calc field is used to calculate the average score of the first 13 questions.
- The fields Score1 to Score5 are used to convert the average score to a number divisible by 4.
- The field Computed INV NA Score is used to calculate the final score.

You can even apply a different algorithm to compute the scores if, for example, you want to add more questions or convert the average score to a number divisible by 3 or 5 instead of 4.

To create an investment objective

- 1 Navigate to the Administration - Finance screen > Investment Objectives view.
- 2 In the Portfolio Investment Objectives list, add a record, and complete the necessary fields.

After you create a new investment objective, you can set up the portfolio mix for the investment objective.

To perform portfolio mix administration

- 1 Navigate to the Administration - Finance screen > Investment Objectives view.
- 2 In the Portfolio Investment Objectives list, select a portfolio investment objective to administer.

To...	Add...
Add a new asset.	A record in the Asset Recommendation list and complete the necessary fields.
Add a new fund.	A record in the Fund Recommendation list and complete the necessary fields.

Performing General Needs Analysis for Companies or Contacts

Table 5 shows the needs analysis sessions that can be performed by product type.

Table 5. Needs Analysis by Product

Product	Available For
Checking	■ Companies ■ Contacts
Convenience	■ Companies ■ Contacts
Credit	■ Companies ■ Contacts
Investments	■ Contacts
Mortgage	■ Contacts
Retirement	■ Companies ■ Contacts
Savings	■ Companies ■ Contacts

After entering specific details in the selected Needs Analysis view, end users can prompt Siebel Finance to recommend the best product or service for the company or contact.

To perform a general needs analysis for a company or contact

- 1 Navigate to the one of the following views depending on the type of needs analysis to perform:
 - Companies screen > Companies List view.
 - Contacts screen > Contacts List view.
- 2 In the list, drill down on a company or contact for which you want to perform a needs analysis.
- 3 Click the Needs Analysis view tab.
- 4 On the Needs Analysis link bar, select the desired type of needs analysis.
- 5 In the Needs Analysis form, add a record and complete the necessary fields.
- 6 To use a script to help determine values to enter, click Script.
- 7 In the SmartScript list, drill down on the Name link.
- 8 Complete the questions as prompted, and click Finish.

- 9 (Optional) Click the Recommend button to generate a recommendation.

See [“Generating Recommendations from a Needs Analysis Session” on page 133](#) for more information on recommendations.

Performing Investment Needs Analysis for Contacts

An investment needs analysis is similar to a general needs analysis. The results, however, are different. After completing an investment needs analysis, a recommended mix of assets and funds appears, based on the customer’s needs.

The Investment Needs Analysis view provides an approach to understanding the customer’s needs and recommending an investment strategy. A script is used to guide the customer through a series of questions. The average score from the set of answers, in conjunction with the time that the customer may need his or her money invested, drives the model and determines the asset and fund allocation.

To perform an investment needs analysis for a contact

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact for which you want to perform a needs analysis.
NOTE: If the contact does not exist, add it. For more information about adding contacts, see [“Adding Contacts” on page 79](#).
- 3 Click the Needs Analysis view tab.
- 4 Select the Investments link at the top of the Needs Analysis form.
- 5 In the Needs Analysis form, add a record and complete the necessary fields.
- 6 To use a script to help determine values to enter, click Script.
- 7 In the SmartScript list, drill down on the Name link for the script you want.
- 8 Complete the questions as prompted, and click Finish.
- 9 (Optional) Click the Recommend button to generate a recommendation.

Generating Recommendations from a Needs Analysis Session

After performing a needs analysis, end users can generate a list of recommended products or a proposed mix of investments.

For more information on performing a needs analysis, see [“Performing General Needs Analysis for Companies or Contacts” on page 132](#) and [“Performing Investment Needs Analysis for Contacts” on page 133](#).

After customers have determined the product or products they are interested in, the end user can select the Apply field for those specific products. If it has been set up, the end user can then use the Auto Application feature to automatically create a new application for the customer. The Application is prepopulated with the company and product-related information already captured in this screen. For more information about creating an application, see [Chapter 13, "Managing Siebel Finance Applications."](#)

You can select products recommended in all Needs Analysis views in the Contacts screen, except the Investments view.

To generate a recommendation from a needs analysis session

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact for which you want to generate a recommendation.

NOTE: If the contact does not exist, add it. For more information about adding contacts, see ["Adding Contacts" on page 79](#).

- 3 Click the Needs Analysis view tab.
- 4 In the Needs Analysis form, select the link for the needs analysis type, and click Recommend.
- 5 Scroll down to see the generated recommendations.

For an Investment Needs Analysis, the application generates a recommended asset and fund distribution. The Asset Distribution and Fund Distribution display information in either lists or charts.

For other types of needs analysis, the recommendation list displays a score (a relative ranking), a product name, and a description.

- 6 In the Recommendation list, drill down on the Product Name field to view further information about the product.

To select a recommended product using the Apply field

- 1 If necessary, return to the generated Recommendation list based on the needs analysis.
- 2 Click to place a check mark in the Apply field to the left of each product for which the customer wants to apply.

There is no limit to the number of products that can be selected.

NOTE: If the customer wants to apply for more than one product (for example, a checking account and a mortgage loan), you can go to a different Needs Analysis view for each product type desired, perform the needs analysis, and apply for additional products. When you select Auto Application, you are taken to the Application screen, where you can fill out applications for all the selected products.

- 3 Leave the record containing the checked Apply field.
- 4 Select Auto Application by doing one of the following:
 - Click the Auto Application icon in the upper left corner.

- From the application-level menu, choose File > Auto > Application.
- 5 In the first Application view, click the select button in the Product Name field.
The recommended products appear in the Applications view.
- 6 In the Products dialog box, select the Primary field for the product whose name should appear in the Product Name field.

For more information about filling out applications, see [Chapter 13, "Managing Siebel Finance Applications."](#)

13 Managing Siebel Finance Applications

This section describes navigating through the Siebel Finance application and defining a sequence of views required to capture application data elements, creating sales methodologies to match business processes, creating activity plans, and setting up correspondence and application form templates.

This section covers the following topics:

- [“About Managing Siebel Finance Applications” on page 137](#)
- [“Scenario for Managing Siebel Finance Applications” on page 138](#)
- [“Process of Managing Siebel Finance Applications” on page 139](#)
- [“Setting Up Application View Navigation” on page 139](#)
- [“About Auto Application” on page 141](#)
- [“Verifying the Run-Time Event Data for Auto Application” on page 141](#)
- [“Upgrade Notes to Continue Using Customized Version of Auto Application Workflow” on page 142](#)
- [“Viewing and Creating Applications \(End User\)” on page 143](#)
- [“Managing Application Information \(End User\)” on page 146](#)
- [“Creating Small Business Loan Applications \(End User\)” on page 150](#)
- [“Processing Applications \(End User\)” on page 152](#)

About Managing Siebel Finance Applications

In Siebel Finance the application process is conducted by navigating through a series of screens to capture information for a product application. Sales representatives can create applications for different types of banking products, such as depository, checking, savings, auto loans, mortgages, and home equity loans. Sales representatives, customer service representatives, small business managers, and underwriters are the primary users.

End users are sales representatives, customer service representatives, small business managers, and underwriters within your organization. Sales representatives use the procedures in this chapter to create new applications, enter application information for different types of products, generate prefilled application forms, and submit applications to the back office. Customer service representatives or small business managers use the Applications screen to check the status of an application, update application information, and follow up on trailing documentation.

NOTE: Small business manager activities are similar to the sales representative activities, except that the small business manager completes the applications for small business companies instead of individual customers.

If the application is a loan, underwriters use the procedures in this chapter to check and review the application data, update third-party data in applications, such as credit bureau information, and make decisions on applications.

Scenario for Managing Siebel Finance Applications

This scenario features sample tasks performed by a financial institution's applications administrator and branch agents. Your company may follow different workflows according to its business requirements.

Application Administrator Creates a New Financial Product and Application

An application administrator receives a list of business requirements from the Product department for a new checking product. The requirement list includes:

- The fields necessary to capture the application
- The new sales methods and their stages
- The activities to complete after the application is submitted
- The form template for the application and the correspondence templates for this product to complete this application

With these requirements, the application administrator determines which views have the required fields for this product. He then defines the sequence of views in the Application Workflow view of the Administration - Product screen.

After setting the view sequence, the administrator creates new application stages for the product. Because it is a new product, the application stages differ from those of other products. The administrator then sets up an activities plan to associate with the product. The activities plan allows agents to accomplish and coordinate complex tasks by automatically creating and assigning the appropriate follow-up activities to support the review and processing of the application. It also provides a way to monitor the progress of these activities after the application is submitted.

The administrator then sets up the application form template in a Microsoft Word document and associates the template with fields in the application screen. Finally, the administrator works on the correspondence views to set up new correspondence templates for the product.

Branch Agent Prepares a Customer Application for the New Product

A branch agent assists a customer who wants to open the new checking account product. The agent creates a new checking application by using the Next button to navigate through the application screens and views. He also generates the activities plan for this application in order to create activities to follow up on trailing documents, set up the review process, and call back the customer.

Process of Managing Siebel Finance Applications

This section details sample tasks often performed by administrators and end-users when managing applications. Your company may follow a different process according to its business requirements.

Administrator Procedures

The following list shows tasks administrators typically perform to manage applications:

- [“Setting Up Application View Navigation” on page 139](#)
- [“About Auto Application” on page 141](#)
- [“Verifying the Run-Time Event Data for Auto Application” on page 141](#)
- [“Upgrade Notes to Continue Using Customized Version of Auto Application Workflow” on page 142](#)

End-User Procedures

End users can create applications in a variety of ways, using various screens and views. Typically, they create applications using the Auto Application feature, or they navigate to the Applications screen to create a new application record and then fill in the required information.

The following list shows tasks end users typically perform when managing applications:

- [“Viewing and Creating Applications \(End User\)” on page 143](#)
- [“Managing Application Information \(End User\)” on page 146](#)
- [“Creating Small Business Loan Applications \(End User\)” on page 150](#)
- [“Processing Applications \(End User\)” on page 152](#)

Setting Up Application View Navigation

Setting up an application view navigation allows end users to use the Next button to navigate through the screens required to complete an application in Siebel Finance. This view navigation can include views from screens other than just the Applications screen, although navigation is restricted to the current screen. The Next button is supported by the FINS Application View Navigation Service business service. For more information on this business service, see [“FINS Application View Navigation” on page 300](#).

The application view order varies from product to product; therefore, you will need to set up the view order for every product for which your agents will fill out applications. As an administrator, you set up the view order using the Application Workflow view in the Administration - Product screen.

The view order determines the next view the agent sees when filling out one or more applications for a customer in a single session. For instance, the view order of a basic checking application may use the following views in the following order: Applicant, Income Sources, Check Order, and Funding. If the end user manually starts in the Income Sources view, then clicks the Next button, the next view to appear is the Applicant view. The Application view sequence for the checking application process then follows the sequence for basic checking that was set in the Application Workflow Administration view.

NOTE: If the product does not exist, add it. For more information about adding products, see *Product Administration Guide*.

To set up an application view navigation

- 1 Navigate to the Administration - Product screen > Products view.
- 2 In the Products list, drill down on the product for which you want to set up an application workflow.
- 3 In the More Info form, from the Show drop-down list, select Application Workflow.
- 4 In the Application Workflow list, add a record.
- 5 In the Add View Order dialog box, select a view to add to the workflow.
- 6 To change the view order of a view, change the Sequence Number in the Application Workflow list.
- 7 Continue adding views an end user needs to complete an application.

Sales Method Creation and Modification

Sales methods consist of various stages from start to finish. Depending on the specific sales method, the stages can differ. The sales method should map to the product type. Each product type may have a different set of stages for review and approval. For example, depository products will not have an underwriting stage that credit products might. For information on creating a sales method and setting up sales stages, see *Siebel Applications Administration Guide*.

Activity Plans Set Up

For information about creating an activity plan, see *Siebel Applications Administration Guide*.

Correspondence Set Up

For information on setting up correspondence, see the chapter on Correspondence in *Siebel Correspondence, Proposals, and Presentations Guide*.

Application Form Template Creation

For information on creating application form templates, see the section on creating proposal templates in *Siebel Applications Administration Guide*.

About Auto Application

Auto Application allows end users to create application records automatically from the Contact, Companies, and Products screens. End users access the Auto Application icon on the toolbar in those three screens.

Auto Application uses the Data Transfer Utility (DTU) business service to transfer fields from one view to another view. For more information on DTU, see [“Using Data Transfer Utilities \(DTU\)” on page 272](#).

NOTE: Previous versions of Siebel Financial Services used a workflow to automatically place three run-time events associated with Contact, Internal Products, and Account. The Auto Application Workflow has been retired and removed from the seed data. Instead of using workflow, the invocation is defined by seed data run-time events and action sets. See [“Verifying the Run-Time Event Data for Auto Application” on page 141](#) to learn how to set this up.

Verifying the Run-Time Event Data for Auto Application

For new Siebel Finance 7.7 and higher installations, Auto Application is configured to automatically invoke the DTU business service through seed data run-time events and action sets. There are no additional steps you need to take to activate the function.

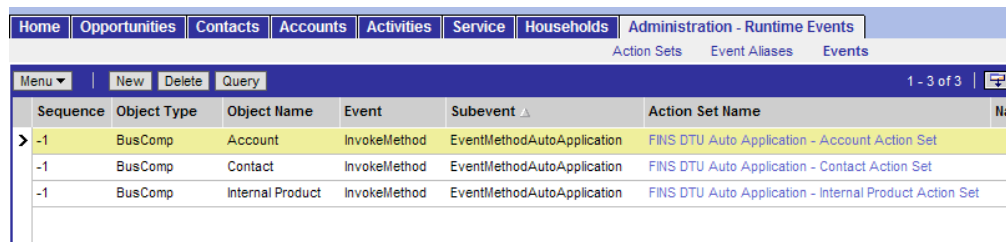
However, if you have upgraded from a previous version before 7.7 and you want to use the DTU invocation method, you should:

- 1 Verify the seed data run-time events and action sets.
- 2 Remove the Auto Application workflow.

To confirm you have the Siebel Finance 7.7 and higher seed data

- 1 Navigate to the Administration - Runtime Events > Action Sets.
- 2 Query for Action Sets named:
FINS DTU Auto
- 3 Select each record returned, and verify in the Actions list that only one action named DTU is listed.
If any additional actions are listed, deactivate them by deselecting the Active checkbox.
- 4 Select the Events view link.

- 5 In the Events list, query for Subevents named:
EventMethodAutoApplication
- 6 Check that the Action Set Name for each record returned is as shown in the following figure; make any adjustments as necessary.



Sequence	Object Type	Object Name	Event	Subevent	Action Set Name
-1	BusComp	Account	InvokeMethod	EventMethodAutoApplication	FINS DTU Auto Application - Account Action Set
-1	BusComp	Contact	InvokeMethod	EventMethodAutoApplication	FINS DTU Auto Application - Contact Action Set
-1	BusComp	Internal Product	InvokeMethod	EventMethodAutoApplication	FINS DTU Auto Application - Internal Product Action Set

- 7 Refresh the run-time event by selecting Reload Runtime Events from the Events menu.

To deactivate the auto application workflow

- 1 Navigate to the Administration - Business Process screen > Workflow Deployment view.
- 2 In the Active Workflow Processes list, query for a workflow named:
Auto Application Workflow
- 3 If your query returns an active workflow, deactivate it using the Active Workflow Processes menu item Deactivate Process.

Upgrade Notes to Continue Using Customized Version of Auto Application Workflow

If you wish to continue to use your customized version of Auto Application workflow, you need to modify the actions in the actions sets to route the actions to the workflow.

To route actions to the Auto Application workflow

- 1 Navigate to the Administration - Runtime Events screen > Events List view.
- 2 In the Events list, query for Subevents named:
EventMethodAutoApplication
- 3 Delete the three run-time event records as shown in [Step 6](#) in ["To confirm you have the Siebel Finance 7.7 and higher seed data" on page 141](#).
- 4 Upgrade the workflow and activate it.
See *Siebel Business Process Framework: Workflow Guide* for details.

- 5 Check the run-time events by following [Step 4](#) through [Step 6](#) in “To confirm you have the Siebel Finance 7.7 and higher seed data” on page 141.

The action set names are not necessarily the same as described. They might be called something like Workflow XXX. Drill down into each action set.

- 6 For each action set, there should be one action item that invokes the Auto Application workflow you just activated. Define the action as shown in the following table.

Field	Value
Action Type	BusService
Business Service Name	Workflow Process Manager
Business Service Method	RunProcess
Context	"ProcessId", "42-4PVA1"
	The actual workflow process ID may be different.

- 7 If there are other items in the action list, deactivate them.
- 8 Refresh the run-time events by selecting Reload Runtime Events from the Events menu.

Viewing and Creating Applications (End User)

The Siebel Finance Applications screen provides access to consumer and small-business applications. The Applications list displays information about applications, such as applicant address, phone number, and application stages. End users can use the Applications screen to locate, view, and update applications.

To access the Applications view from the Contacts screen

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the desired contact.
- 3 Click the Applications view tab.
- 4 To view more detailed information about an application, in the Applications list, drill down on the application Name link.

To access the Applications view from the Companies screen

- 1 Navigate to the Companies screen > Companies List view.
- 2 In the Companies list, drill down on the desired company.

- 3 Click the Applications view tab.

The Applications list displays applications associated with the selected company.

- 4 To view more detailed information about an application, in the Applications list, drill down on the application Name link.

To create an application

- 1 Navigate to the Applications screen > Application List view.
- 2 In the More Info form, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Product Name	Indicates the product or products for this application.
Stage	Indicates the application status. This value changes according to the Method selection.

NOTE: Only those with the required administrative responsibilities, such as Siebel administrators, can set the Sales Stage and Sales Method values in the Siebel Assistant Administration screen, Sales Method view. For more information, see *Siebel Applications Administration Guide*.

Navigating Applications Using the Next Button

Siebel Finance allows end users to create an application with multiple products. When filling out an application with multiple products, end users can move from one view to the next view by clicking the Next button instead of selecting a view tab. Based on the views that have been set up for each specific application (for example, a savings account application or a mortgage loan application), Siebel Finance automatically navigates users to the views they need to fill in.

With the Next button functionality, users do not have to fill out the same view more than one time, even if the same view appears in several product applications. For more information on creating multiple applications from performing needs analyses, see [Chapter 12, "Managing Financial Needs Analyses."](#)

NOTE: Only Siebel administrators can set up a Next Button Application Workflow. For more information, see ["Setting Up Application View Navigation"](#) on page 139.

To complete an application using the Next button

- 1 Navigate to the Applications screen > Application List view.
- 2 In the Applications list or form, create a new record, and complete the appropriate fields.

NOTE: A product must be selected in the Product field in the Application form to use the Next button to navigate to another view.

- 3 Click the Next button in the Applications form.

The next application view appears with the uncompleted fields required for the customer's application.

- 4 Continue filling in application views and clicking the Next button in the Applications form.

Creating Applications Using the Auto Application Feature

The Auto Application feature is available in the following screens in Siebel Finance:

- Contacts
- Companies
- Products

End users can use the Auto Application feature to automatically create an application using information from the selected record. For example, in the Companies screen, end users can select the Auto Application option from the application-level menu (File > Auto > Application) to automatically create and populate the application using the information from the selected company.

To create an application using the Auto Application feature

- 1 Navigate to the Companies screen > Companies List view.
- 2 Select the company for which you want to create an application.

NOTE: If the company does not exist, add it. For more information on adding companies, see ["Adding Companies and Investors \(End User\)" on page 57](#).

- 3 Select Auto Application by doing one of the following:
 - Click the Auto Application icon in the upper left corner
 - From the application-level menu, choose File > Auto > Application

The first required Application view appears.

- 4 In the Product Name field in the Application form, click the select button, and then select a product for which you want to apply.
- 5 Complete the remaining Application fields using the Next button.

NOTE: You can also use the Auto Application feature from the Contacts and Products views.

Assigning Applications to Coworkers

After an application has been saved, an end user can assign an application to a coworker. The assignment can be done from the Applications screen by:

- Implementing an assignment button and using Siebel Assignment Manager. For more information on Assignment Manager, see *Siebel Assignment Manager Administration Guide*.
- Using the Approval business service. See [“Automating Approval Processing” on page 287](#).

NOTE: The application does not have to be complete to assign it.

Managing Application Information (End User)

In Siebel Finance, end users can capture the following types of applicant information:

- Details about the products in the application
- Details about the applicant
- Reference information
- Collateral information
- Mortgage information
- Documents submitted by applicants

NOTE: Typically, end users would click the Next button to move between views and capture this detail information. For more information, see [“Navigating Applications Using the Next Button” on page 144](#) and [“Setting Up Application View Navigation” on page 139](#).

Adding Product Detail Information

End users use Product Detail subviews to capture information about the products in the application. Siebel Finance supports multiple products under one application.

To add product detail information

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Account Setup view tab.
- 3 On the Account Setup list, select one of the following view links:
 - Account Funding
 - Account Services
 - Check Order
 - Credit Card
 - Debit card & CD
 - Loan Servicing
 - Loan Terms

- Mortgage Detail

- 4 In the Product Detail list, select a product.
- 5 In the subviews, complete the necessary fields.

Adding Applicant and Guarantor Information

End users use the Applicant view to record the name and address information specific to the primary, secondary, and guarantor applicants.

The Applicant view has additional subviews to add other information about:

- Co-applicant
- Applicant and Co-applicant security
- Employment

NOTE: The Applicant Info and Applicant Security Info views show information on the primary applicant only. The Co-applicant Info and Co-applicant Security Info views show information on the rest of the applicants.

To add applicant information

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Applicant view tab.
- 3 In the Applicant Details list, add a record for all applicants.
- 4 In the Applicant Type field, select the appropriate applicant type:
 - Primary
 - Secondary
 - Guarantor
 - Joint
 - Authorized Signer
- 5 Complete the necessary fields for each applicant.

To create an updated statement

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Applicant view tab.

- 3 In the Applicant list, click Create Statements.

If the applicant has an existing financial statement, then the Siebel application copies the latest financial statement into the Consumer Detail view.

Financial statements are automatically created for the applicant and co-applicant. These statements are used in the Consumer Detail view, as described in [“Adding Consumer Detail Information” on page 148](#).

NOTE: The Create Statements button only performs this function if the applicant has an existing financial statement.

Adding Consumer Detail Information

From the Consumer Detail view in the Applications screen, end users can create or view one of many financial statements for a customer. In Siebel Finance, the Financial Statement is used to manage consumer detail information. A financial statement is a snapshot of the customer condition at a certain point in time.

For example, a customer applies for a product today; the end user creates a financial statement with all customer detail, such as income sources, assets, and liabilities. If the customer applies for another product in three months, the end user can pull the same financial statement, and Siebel Finance will prefill all customer details. The end user can then ask the customer if that information has changed since the last time. If the information has changed, the end user can make a copy of the old Financial Statement and modify it. Using the copied financial statement, the end user does not need to type the consumer information again.

To add consumer detail information

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Consumer Detail view tab.
- 3 From the Consumer Detail link list, select the following subviews:
 - **Credit Information.** Records credit information for all applicants.
 - **Income & Expenses.** Records income and expense information about the primary and secondary applicants.
 - **Assets & Liabilities.** Records the current asset holding and liabilities of all applicants.
 - **Real Estate.** Records applicant real estate holdings.
 - **Residence Information.** Records residency information for all applicants.
- 4 In the Financial Statements list, select an existing statement or add a new one.
- 5 In each subview list or form, add records and add additional details as necessary.

Adding Reference Information

Some product applications require reference information from the applicant. Users can use the Reference view to capture this information.

To add reference information

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Reference view tab.
- 3 In the Reference list, complete the necessary fields.

Adding Collateral Information

End users can use the Real Estate Collateral, Vehicle Collateral, and Other Collateral views to track collateral information. For consumer loans, collateral typically consists of real estate, automobiles, bonds, and cash.

To add collateral information

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click one of the following view tabs:
 - Real Estate Collateral
 - Vehicle Collateral
 - Other Collateral
- 3 In the collateral list, add a record and complete the necessary fields.

NOTE: To select collateral to add to the application, the collateral must first be defined as an asset in the Financial Position view. For more information about adding assets, see [“Adding Consumer Detail Information” on page 148](#).

Reviewing Product Disclosure Information

As part of the application process, an agent is required to read general and product disclosure to customers, and record whether or not customers have read and understood them. Using the Compliance view, end users can record this information.

To capture a product-specific disclosure, please see [“Automating the Display of Disclosure Documents” on page 291](#).

To capture general disclosure information

- 1 Navigate to the Applications screen > Applications List view.

- 2 Drill down on an application, and click the Compliance view tab.
- 3 In the disclosure form, complete the necessary fields.

Reviewing Closing Requirements

The agent should review closing requirements before submitting the application. The closing requirement lists all requirements that the customer needs to provide, or agents need to do, before the further processing and closing the product application.

Please see ["Requirements Manager" on page 248](#) to set up the Closing Requirements view.

Managing Documents

After the agent captures all information on the application, he can then generate a custom application form with application data already prefilled by Siebel Finance. He can also attach any additional documents related to the application, and send any required correspondence to the customer.

End users may use the following subviews under the Application Document view to manage documentation related to applications:

- **Attachment.** Attach additional documents related to an application.
- **Correspondence.** Capture correspondence information, which includes template, recipients, and enclosures. For more information on setting up and generating correspondence, see *Siebel Correspondence, Proposals, and Presentations Guide*.
- **Documents.** Produce custom application form with data prefilled from the Siebel database. For more information on setting up and generating proposals, see *Siebel Correspondence, Proposals, and Presentations Guide*.

Creating Small Business Loan Applications (End User)

To create a small business loan application, end users need to record the following customer information:

- **Business Details.** Records the business name, address, and contact information as well as asset information, liabilities, income statements, and cash flow. For more information, see ["Adding Business Details" on page 151](#).
- **Applicant Information.** Captures personal information about the primary, secondary, and principle loan applicants. For more information, see ["Adding Applicant and Guarantor Information" on page 147](#).

- **Guarantor and Applicant Employment Details.** Captures loan guarantor information and applicant employment, income, assets, and liabilities information. For more information, see [“Adding Consumer Detail Information” on page 148](#).
- **Unique Product Features and Terms.** Records unique loan features or terms. For more information, see [“Recording Unique Features and Terms” on page 152](#).
- **Business Services.** Manages business service information for an application. For more information, see [“Managing Business Services Information” on page 152](#).

NOTE: Typically, users would click the Next button to move between views and enter this customer information. To create an application view navigation, a Siebel administrator would need to create a view workflow that follows the views described in this section. For more information, see [“Navigating Applications Using the Next Button” on page 144](#) and [“Setting Up Application View Navigation” on page 139](#).

Adding Business Details

End users use the Business Details view to track detailed information about a business applying for a small business loan. Siebel Finance automatically populates some of the information in this view from Companies Profile view tab. In addition to the business profile information, users use this view to capture financial information such as income statement, balance sheet and cash flow statement.

To add small business details

- 1 Navigate to the Applications screen > Applications List.
- 2 In the Applications list, drill down on an application.
- 3 Click the Business Detail view tab.
- 4 From the Business Detail link list, select the following subviews, and complete the necessary fields:
 - **Business Profile.** Records the business name, phone numbers, and addresses.
 - **Assets.** Captures company asset information, including cash, accounts receivable, inventory, fixed assets, and depreciation values.
 - **Liabilities.** Records company liabilities such as accounts payable, long term debt, noncurrent debt, capital stock, and retained earnings and treasury.
 - **Income Statement.** Captures income information such net sales, cost of goods sold, other income, expenses, interest, depreciation, taxes, dividends, and adjustments.
 - **Cash Flow.** Records cash flow statements based on customer balance sheet and income statement information.

Recording Unique Features and Terms

End users use the Loan Terms subview to record special features and terms about the small business loan.

To record loan features and terms

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Account Setup view tab.
- 3 From the link list, select Loan Terms.
- 4 In the Loan Terms list, select a product.
- 5 In the Loan Terms form, complete the necessary fields.

Managing Business Services Information

End users can use the Business Services views in the Applications screen to add, modify, copy, or delete business service application information.

To add business services

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, click the Business Services view tab.
- 3 In the Business Services list, from the link list, select one of the following subviews:
 - Business Payroll
 - Business Tax Service
 - Merchant Card Accepted
 - Merchant Card Location
 - Merchant Card Services
- 4 In the list for the associated subview, select a business service product.
- 5 Complete the necessary fields.

Processing Applications (End User)

After the application information is captured in [“Managing Application Information \(End User\)” on page 146](#) and [“Creating Small Business Loan Applications \(End User\)” on page 150](#) and submitted, the processing agent or underwriter may perform any of the tasks described in the following sections to process an application:

- [“Viewing Assigned Applications” on page 153](#)

- [“Assessing Applications” on page 153](#)
- [“Ordering and Viewing Reports” on page 154](#)
- [“Viewing Decisions on Applications” on page 154](#)
- [“Capturing Regulation C Compliance Information” on page 154](#)
- [“Adding Closing Activities” on page 155](#)
- [“Creating and Modifying Trailing Documents” on page 155](#)
- [“Creating Notes About Applications” on page 155](#)

NOTE: Typically, end users would click the Next button to move between views, and process the application. To create an application view navigation, a Siebel administrator would need to create a view navigation for processing an application. For more information on setting up an application view workflow, see [“Setting Up Application View Navigation” on page 139](#).

Viewing Assigned Applications

After users have been assigned an application for processing, they can view their applications in the My Applications list.

Use the Application screen for application assignment by:

- Implementing an assignment button and using Siebel Assignment Manager. For more information on Assignment Manager, see *Siebel Assignment Manager Administration Guide*.
- Using the Approval business service. See [“Automating Approval Processing” on page 287](#).

To view assigned applications

- 1 Navigate to the Applications screen.
- 2 From the visibility filter, select My Applications.

The Applications list appears displaying the applications that are assigned to the current user.

Assessing Applications

Application assessment is done by using:

- **Assessment view.** The processing agent or underwriter can use the Application Assessment view to make application assessments, as to whether or not the application should be approved. For more information on assessment templates, see *Siebel Applications Administration Guide*.
- **Integration to decisioning system using Siebel integration method.** You can configure integration to a legacy system or a decisioning system. For more information, see *Overview: Siebel Enterprise Application Integration*.

Ordering and Viewing Reports

During the processing of an application, the processing agent or underwriter might need to order reports such as appraisal or credit report. The agent can use the Report view to order such reports.

To enter report information

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Reports view tab.
- 3 In the Report list, create a new record and complete the necessary fields.
- 4 Scroll down to the Report Detail list, and enter detail information for the selected report.

NOTE: For information on how to integrate Siebel Finance with third-party systems, such as a credit bureau system to automatically prepopulate the fields, see *Overview: Siebel Enterprise Application Integration*.

Viewing Decisions on Applications

The processing agent or underwriter uses the Decisioning views to see decisioning information from the back-end or decisioning system. End users see the financial and product information by accessing:

- Decisioned Financial view to view insurance, fees, and cost borrowing information.
- Decisioned Product view to view to see the approved product terms and conditions.

NOTE: These views are virtual business components and need to be configured before they can be used. For more information, see [“Setting Up Household Financial Accounts Virtual Business Components”](#) on page 113.

Capturing Regulation C Compliance Information

If the loan is declined, the processing agent or underwriter needs to enter the reason of the decline for regulation C reporting. The agent uses the Regulation C view to capture the information.

To enter regulation C information

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Compliance view tab.
- 3 In the Compliance list, select the Regulation C Information view link.
- 4 In the Product list, select the product that is being declined.
- 5 In the Regulation C Information form, complete the necessary fields.

Adding Closing Activities

End users use the Closing Activities view to record all closing activities associated with the currently selected application.

For more information on activities and activity plans, see [Chapter 9, "Managing Activities."](#)

To add closing activities associated with an application

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Closing Activity view tab.
- 3 In the Activities list, add a record and complete the necessary fields.

Creating and Modifying Trailing Documents

Some applications, such as those for mortgages, require documentation from the applicants. End users can use the Trailing Documents view to track documents to be provided by the applicants. After they set the target date for a trailing document, Siebel Finance, with the help of business processes, creates activities to remind them to call the applicant to provide the necessary document, expediting the approval process.

NOTE: For more information on setting up a workflow, see *Siebel Business Process Framework: Workflow Guide*.

To add trailing documents

- 1 Navigate to the Applications screen > Applications List view.
- 2 Drill down on an application, and click the Closing Activity view tab.
- 3 Select the Trailing Documents view link.
- 4 In the list, add a record for each trailing document to track.

To view outstanding trailing documents

- Navigate to Applications > My Outstanding Documents view.

Creating Notes About Applications

As the processing agent or underwriter works with an application, they might want to enter notes about the application. End users can create notes that everyone with access to the application record can see, or they can create notes that only they can see.

To create a note regarding an application

- 1 Navigate to the Applications screen > Application List view.
- 2 Drill down on the desired application, and click the Notes view tab.
- 3 From the Notes link view bar, select one of the following:
 - Public Notes. Notes that others can see.
 - Private Notes. Notes that only their creators can see.
- 4 In the Notes list, add a record and complete the necessary fields.

TIP: Click *Check Spelling* to check the spelling in your note.

14 Managing Commercial Loans

This section includes the following topics:

- ["About Managing Commercial Loans" on page 157](#)
- ["Scenarios for Managing Loan Requests" on page 158](#)
- ["Process of Managing Commercial Loans" on page 160](#)
- ["Activating Loan Request Workflows" on page 161](#)
- ["Assessment Templates for Loan Approvals" on page 161](#)
- ["Activities Plan for Loan Requests" on page 162](#)
- ["Document Template for Loan Requests" on page 162](#)
- ["Setting Up Approval Levels" on page 162](#)
- ["Setting Up Portfolio Types for Commercial Loans" on page 163](#)
- ["Associating Facilities with Financial Accounts" on page 164](#)
- ["Creating Commercial Loan Requests \(End User\)" on page 165](#)
- ["Setting Up Facilities \(End User\)" on page 167](#)
- ["Syndicating Facilities \(End User\)" on page 167](#)
- ["Setting Pricing and Fees for Facilities \(End User\)" on page 168](#)
- ["Adding Guarantors to Loan Facilities \(End User\)" on page 168](#)
- ["Adding Covenants to Facilities \(End User\)" on page 169](#)
- ["Adding Collateral to Loan Facilities \(End User\)" on page 170](#)
- ["Creating Policy Exceptions \(End User\)" on page 170](#)
- ["Reviewing Underwriting Standards for Loan Requests \(End User\)" on page 171](#)
- ["Reviewing Group Exposure \(End User\)" on page 171](#)
- ["Entering Credit Decisions for Commercial Loans \(End User\)" on page 172](#)
- ["Assigning Loan Requests \(End User\)" on page 172](#)

About Managing Commercial Loans

This chapter presents the procedures necessary to create, maintain, and process a commercial loan request in Siebel Finance. The commercial loan request process involves navigating through a series of screens used to capture client and facility information. Loan officers, credit committee team officers, and administrators are the primary users.

Use these procedures to perform the administrator tasks of defining assessment templates, activities plans, documents templates, commercial loan approval stages, the contacts required to approve a commercial loan, portfolio types for a commercial loan, and underwriting standards.

End users are commercial loan and credit committee officers. Commercial loan officers will use the procedures in this chapter to:

- Create new commercial loan requests
- Create additional borrowers for a loan
- Create a facility
- Associate facilities with borrowers
- Create bank syndication for a facility
- Set the pricing and fees for a facility
- Capture the guarantors for a facility
- Create covenants for a facility
- Copy covenants to a facility
- Set up collateral for a facility
- Create and review policy exceptions for borrowers and facilities
- Review group lending exposure
- Review underwriting standards
- Submit a loan request to a credit committee

Credit committee officers will use the procedures in this chapter to:

- Check and review the data in a loan request
- Make decisions on a loan request
- Assign a loan request to the next person on the credit committee

Scenarios for Managing Loan Requests

These scenarios feature sample tasks performed by a financial institution's applications administrator and commercial bankers. Your company may follow different workflows according to its business requirements.

In these scenarios, the applications administrator is responsible for setting up approval stages and underwriting standards. He requires administrative responsibilities to:

- Set up an assessment template and activities plan
- Create a document template
- Set up an approval level
- Define portfolio types and underwriting standards

End users are loan officers and credit administrators. They enter information to:

- Create a loan request
- Create a facility for borrowers
- Attach a company and financial needs analysis to the loan request
- Choose a loan approval level
- Assign the loan request to a credit committee

Administrator Sets Up Approval Stages and Underwriting Standards

An administrator receives a request to set up two new loan approval stages and add a new underwriting standard for a chemical portfolio. The request specifies that a loan smaller than one million dollars requires two approval stages, whereas a loan larger than one million dollars requires three approval stages. The administrator sets up the following two approval levels:

- Level A for a loan less than one million
- Level B for loans greater than one million

He also sets up the individuals who are responsible for approving each stage of the loan. Finally, the administrator sets up the new underwriting standard.

Loan Officer Creates New Loan Request

A loan officer receives a call from a chemical company that wants to borrow 1.25 million dollars for working capital. She creates a new loan request and then sets up a working capital facility. The officer determines the price and fees, collateral, covenants, and policy exceptions for this facility. She then attaches the company analysis and financial statement to the loan request.

When the loan officer chooses the chemical portfolio, the underwriting standard that is set by the administrator automatically appears. The loan officer chooses approval level B for the loan and selects the credit committee name for each stage.

Credit Committee Officer Reviews Loan Request

A credit committee officer reviewing her loan requests sees that there is a loan request in the queue waiting for her approval. She reviews the loan request details and the attachments that contain company and financial analysis. She decides to approve the credit. After adding her decision and comments to the loan request, the credit committee officer sends the request to the next credit committee officer for the officer's approval.

Credit Administrator Sets Up Capital Facility

A credit administrator looks at his queue and sees that one request has been approved. The administrator prints the credit summary with the decision and adds it to the company's credit file. The administrator then sets up the working capital facility that has been approved.

Process of Managing Commercial Loans

This section details sample tasks often performed by administrators and end-users when managing commercial loans. Your company may follow a different process according to its business requirements.

Administrator Procedures

The following list shows tasks administrators typically perform to manage commercial loans:

- [“Activating Loan Request Workflows” on page 161](#)
- [“Assessment Templates for Loan Approvals” on page 161](#)
- [“Activities Plan for Loan Requests” on page 162](#)
- [“Document Template for Loan Requests” on page 162](#)
- [“Setting Up Approval Levels” on page 162](#)
- [“Setting Up Portfolio Types for Commercial Loans” on page 163](#)
- [“Associating Facilities with Financial Accounts” on page 164](#)

End-User Procedures

The following list shows tasks end users typically perform when managing commercial loans:

- [“Creating Commercial Loan Requests \(End User\)” on page 165](#)
- [“Setting Up Facilities \(End User\)” on page 167](#)
- [“Syndicating Facilities \(End User\)” on page 167](#)
- [“Setting Pricing and Fees for Facilities \(End User\)” on page 168](#)
- [“Adding Guarantors to Loan Facilities \(End User\)” on page 168](#)
- [“Adding Covenants to Facilities \(End User\)” on page 169](#)
- [“Adding Collateral to Loan Facilities \(End User\)” on page 170](#)
- [“Creating Policy Exceptions \(End User\)” on page 170](#)
- [“Reviewing Underwriting Standards for Loan Requests \(End User\)” on page 171](#)
- [“Reviewing Group Exposure \(End User\)” on page 171](#)
- [“Entering Credit Decisions for Commercial Loans \(End User\)” on page 172](#)
- [“Assigning Loan Requests \(End User\)” on page 172](#)

Activating Loan Request Workflows

For the commercial loan processes to work correctly, you must activate two workflows.

- FINS Commercial Loan - Populate Company Group Name. This workflow makes sure that the Parent Account value is kept up to date as the Account value is modified.
- FINS Commercial Loan - Refresh Company Group Name. This workflow is called to refresh the user interface as the Parent Account value is changed.

To activate the commercial loan request workflows

- 1 Navigate to the Administration - Business Process screen > Workflow Deployment view.
- 2 In the Repository Workflow Processes list, use a query to find all processes where the Name begins with FINS Commercial Loan.

NOTE: You can query on FINS Commercial Loan.

- 3 To activate each of the two workflows processes listed:
 - a Select the workflow process record.
 - b Click Activate.
- 4 To verify that the workflow is active:
 - a In the Active Workflow Processes list query for Name = FINS Commercial Loan.
 - b Confirm the value in the Deployment Status field = Active.

To reload runtime events

- 1 Navigate to the Administration - Runtime Events screen > Events view.
- 2 From the menu, select Reload Runtime Events.

Assessment Templates for Loan Approvals

The assessment template must be set up so that end users can assess loan requests to determine whether they need to go through the approval process. Some loan requests, with adequate assessment scores, may not be required to go through the approval stages. After an administrator sets up the assessment templates, end users can select the appropriate one and enter the answer for each attribute. Based on the answers, the final score is calculated.

For more information on setting up an assessment template, see *Siebel Applications Administration Guide*.

Activities Plan for Loan Requests

You must set up the activities plan so that end users can accomplish and coordinate complex tasks. The activities plan creates a set of activities for the loan request. The end user can select a particular activities plan template, and let the Siebel application execute or prompt the user for those activities.

For more information about creating an activity plan, see *Siebel Applications Administration Guide*.

Document Template for Loan Requests

You must set up the document template so that end users can print a prefilled document. After the administrator sets up the document templates, end users can select the appropriate template, which is automatically populated with information from the Siebel Finance database.

For more information on creating document form templates, see the section on creating proposal templates in *Siebel Applications Administration Guide*.

Setting Up Approval Levels

Siebel Finance supports an automated commercial loan approval process. The administrator is responsible for setting up a financial institution's approval levels and the corresponding approval stages. For example, an administrator may set two approval levels: one for commercial loans under one million dollars, the other for commercial loans over one million dollars. The approval level assigned to a loan request depends on the details of the loan.

To set up the approval level for a commercial loan

- 1 Navigate to the Administration - Finance screen > Commercial Loan view.
- 2 Click the Approval Administration view tab.
- 3 To create a new approval level, add a record in the Approval Level list, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Approval Level	Name for the approval level.
Description	Describes which loans should be used with the approval level.

- 4 To add an approval stage, add a record in the Approval Administration list, and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Executive	Indicates the contacts to add to the approval stage.
Stage #	Shows the stage number.

NOTE: Modify an existing approval level by selecting a record in the Approval Level list, and updating the associated records in the Approval Administration list.

Setting Up Portfolio Types for Commercial Loans

Using the Portfolio Administration view, administrators can set up the commercial loan portfolios that are used to group similar types of commercial loans. For example, an administrator may set up Automobile, Manufacturing, and Chemical portfolio types.

In this view the administrator can also set the limit and utilization of each portfolio type. For example, an administrator may set the limit for an automobile portfolio at 100 million dollars. As a result, the organization's combined loan total for the automobile industry should not exceed 100 million. The utilization captures how much the bank already lends to the automobile industry.

After the appropriate portfolios are set up, end users can then review the portfolios in the Request Summary view to see the financial institution's exposure in each industry.

To set up a commercial loan portfolio

- 1 Navigate to the Administration - Finance screen > Commercial Loan view.
- 2 Click the Portfolio Administration view tab.
- 3 To create a new portfolio type, add a record in the Loan Portfolio Type list, and complete the necessary fields.

NOTE: Modify an existing portfolio by selecting a record in the Portfolio Administration list, and updating the record as needed.

Some fields are described in the following table.

Field	Comments
Limit	Financial organization's limit for combined commercial loans in this portfolio.

Field	Comments
Portfolio Type	Name for the portfolio.
Utilization	Captures the current exposure of the financial organization within the portfolio.

After setting up the appropriate portfolios for commercial lending, administrators can add underwriting standards to the portfolios. These standards are used by the credit committee when determining whether to finance the loan. An example of a portfolio underwriting standard is a leverage of less than 30% for a software portfolio.

The values in this view are displayed in the Portfolio Administration view tab.

To set up a commercial loan underwriting standard

- 1 Navigate to the Administration - Finance screen > Commercial Loan view.
- 2 Click the Portfolio Administration view tab.
- 3 In the Loan Portfolio Type list, select a portfolio for which you want to set up an underwriting standard.
- 4 In the Portfolio Administration list, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Definition	Definition of the standard; for example, loan to value or collateral value.
Standard	Standard set by the bank.
Type	Type of underwriting standard used for the loan request; for example, Coverage, Leverage, or Team.

Associating Facilities with Financial Accounts

After a facility is approved, administrators can use Siebel Finance to create a facility in the Financial Account screen. After the financial account for the approved facility is created, the administrator must also associate the new financial account with the approved facility. This makes certain that the next time a user chooses the approved facility, the loan information is automatically populated from the financial account screen. The administrator can also set the status of the facility in this view. If the facility is closed, the administrator must change the status to Closed so that the facility is not available for end users to select.

To associate a facility with a financial account

- 1 Navigate to the Administration - Finance screen > Commercial Loan view.

- 2 Click the Facility Financial Account Administration view tab.
- 3 In the Financial Account/Facility Association list, select the status for the facility in the Status field.
NOTE: If the financial account does not exist, add it. For more information about adding a financial account, see [Chapter 10, "Managing Financial Accounts."](#)
- 4 In the Account Number field, select the financial account number to associate with the facility.

Creating Commercial Loan Requests (End User)

End users can create a loan request using one of the following views:

- Companies screen, Loan Request view
- Commercial Loan screen, Requests view

The Siebel Finance Commercial Loan screen provides access to commercial loan requests. The Requests list displays information about the request, such as company name, request stage, and lending information. End users can use the Commercial Loan screen to locate and update the requests that they create.

To create a commercial loan request

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list or form, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Name	Descriptive name to identify the request.
Request Method	Indicates the loan request type, such as Business Loan Application or Credit Card Application.
Request Stage	The values displayed in the Request Stage field drop-down list depend on the request type chosen in the Request Method field.
Team	Organization's contacts that have access to the commercial loan request.

After creating a loan request, end users can begin adding the details that are used to make loan decisions. The Borrower Detail view is used to show the profile details of each borrower, such as business, location, and year established. The Borrower Detail information is automatically populated using the information in a company's profile. As a result, end users should first navigate to the Companies view and update the borrower's profile.

For more information about updating a company profile, see [Chapter 5, "Managing Companies."](#)

To add borrower details to a loan request

- 1 Navigate to the Commercial Loan screen.
- 2 In the Requests list, drill down on a commercial loan request.
- 3 The Borrower Detail view appears.
- 4 In the Request Borrower list, select a borrower to which to add details.
- 5 Scroll down to the Public Rating list, add a record, and complete the necessary fields.

Some of the fields are described in the following table.

Field	Description
Source	Source of the ratings information such as Moodys.
Rating	The rating level, such as AAA.
Debt Type	Indicates whether long term or short term debt.

The Request Summary view is used to capture key credit decisions and approval stages for loan requests. This view is also used to capture decisions from credit committees.

To associate an approval level with a loan request

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 In the Request form, select the approval level to associate with the loan request in the Approval Level field.

NOTE: For information on setting up an approval level, see ["To set up the approval level for a commercial loan" on page 162](#).

- 4 Click the Request Summary view tab.

The Decision list at the bottom of the screen is populated with the stages associated with the approval level, as set up by the administrator.

- 5 In the Decision list, select officers for each stage, if necessary.
- 6 To start the loan approval process, select the record for the first approval stage in the Decision list, and click Assign.

The Team field in the Request form displays the selected officer's name. This makes the record visible to that officer.

NOTE: For more information about assigning a loan, see ["To assign a loan request to the next credit committee officer" on page 172](#).

The Request Summary view is also used to manage credit issues associated with a loan request.

To create or modify a credit issue for a commercial loan request

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Request Summary view tab.
- 4 In the Key Credit Issues list, add a record and complete the necessary fields.

Setting Up Facilities (End User)

The Facility Set Up view allows end users to associate the borrowers of a commercial loan request with a corresponding facility. When end users create new records in the loan facility list, an Association dialog box displays all facilities under the company group name. The user can select an existing facility for a facility that is renewed or create a new one for a new facility.

To share one facility between two companies

- 1 Highlight the first company and create a new facility.
- 2 Highlight the second company and associate the same facility with this second company.

To create a new facility and associate a borrower

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Facility Set Up view tab.
- 4 In the Borrower list, select a borrower.
- 5 To create a new facility for the borrower, scroll down to the Loan Facility list, add a record, and complete the necessary fields.

NOTE: When an existing facility is selected, some fields in the Facility Set Up views are automatically populated using information in the Financial Account screen. Additionally, when you select an existing facility, all other information related to this facility, such as prices, fees, and covenants, is copied over to the new request.

Syndicating Facilities (End User)

In some instances, the facility requested by a customer may exceed the maximum amount that an organization can handle. In these cases, end users can syndicate the loan to spread the loan facility among other organizations.

To syndicate a facility

- 1 Navigate to the Commercial Loan screen.

- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Facility Syndication view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
- 6 In the Bank Syndication list, add a record and complete the necessary fields.

Setting Pricing and Fees for Facilities (End User)

End users can use the Pricing and Fees view to set up the pricing and fees for facilities. For example, an organization may charge a setup fee for each facility created. The end user can use the Fees list to add a fee.

The prices and fees that appear in the Pricing and Fees view are populated automatically, with data from the products that the administrator has set up. For more information on creating new products, see [Chapter 16, "Managing Products and Pricing,"](#) or see *Product Administration Guide*.

To set the pricing and fees for a facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Pricing and Fees view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
The Rates list and the Fees list are automatically updated.
- 6 To add a new rate, add a record in the Rates list, and complete the necessary fields.
- 7 To add a record in the Fees list, and complete the necessary fields.

Adding Guarantors to Loan Facilities (End User)

Some borrowers may use a guarantor to secure a commercial loan. Using the Guarantors view, end users can add guarantors to a loan facility.

To add a guarantor to a loan facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.

- 3 Click the Guarantors view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
- 6 In the Guarantors list, add a record and complete the necessary fields.

Adding Covenants to Facilities (End User)

Using the Covenants view, end users can associate facilities with covenants. For example, an organization may require a borrower to submit a financial statement every quarter. This type of requirement can be created and managed in the Covenants view.

To add a covenant to a facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Covenants view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
- 6 In the Covenants list or Covenant Detail form, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Covenants Type	Select Coverage or Leverage.
Current	The current value of the covenant.
Proposed	The proposed value for the client to comply with the covenant.
Definition	Brief description of the covenant.
Measurement	Measurement used to define the covenant, such as month or year.
Operand	Operand used to define the covenant conditions. For example, <, >, =, .

To copy existing covenants from one facility to another

- 1 Select the facility that has the covenants to be copied.
- 2 In the Covenants list, click Apply To Facility.
- 3 In the Pick Loan Facility dialog box, select the facility to which the covenants are to be added, and click OK.

Adding Collateral to Loan Facilities (End User)

Some borrowers may use collateral to secure a commercial loan. Using the Collateral view, end users can add collateral to a loan facility.

To add collateral to a loan facility

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Collateral view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
- 6 In the Collateral list, add a record and complete the necessary fields.

Creating Policy Exceptions (End User)

After setting up the loan details and adding all the necessary information to make a decision, end users can review loans and determine whether the loan request conforms to all of the organization's standard policies. If it does not conform, create a policy exception explain differences.

You can create policy exceptions at one of the following three levels:

- Loan request level
- Borrower level
- Facility level

To create a policy exception at the loan request level

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Request Detail view tab.
- 4 Scroll down to the Request Policy Exceptions list and add a record.
- 5 In the Type field, select a type of exception to add.
- 6 In the Comments field, type a detailed explanation for the policy exception.

To create a policy exception at the borrower level

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.

- 3 Click the Policy Exception view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Borrower Policy Exception list, add a record and complete the necessary fields.
- 6 In the Comments field, type a detailed explanation for the policy exception.

To create a policy exception at the facility level

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Policy Exception view tab.
- 4 In the Borrower list, select a borrower.
- 5 In the Loan Facility list, select a facility for the borrower.
- 6 In the Loan Facility Policy Exception list, add a record and complete the necessary fields.
- 7 In the Comments field, type a detailed explanation for the policy exception.

Reviewing Underwriting Standards for Loan Requests (End User)

Before submitting a loan request, loan officers must determine whether the request conforms to the organization's underwriting standard.

To review an underwriting standard

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 In the Request form, select a portfolio to which the borrowers belong in the Portfolio field.
- 4 Click the Request Detail view tab.

The Underwriting Standard list is populated with the standard for the selected portfolio.

- 5 Update the fields as needed.

NOTE: For information on entering the underwriting standard for a portfolio, see ["To set up a commercial loan underwriting standard" on page 164.](#)

Reviewing Group Exposure (End User)

End users can use the Exposure Summary view to display the combined loan total given to an organization and all its subsidiaries.

To review the group exposure

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Exposure Summary view tab.

The Group Exposure list is populated with information from the Financial Account screen. If this list does not display any records, make sure that a financial account is associated with the company group name.

Entering Credit Decisions for Commercial Loans (End User)

After reviewing a loan, credit committee officers can use the Request Summary view to enter their decisions about the loan.

To enter a credit decision for a commercial loan

- 1 Navigate to the Commercial Loan screen.
- 2 In the Request list, drill down on a commercial loan request.
- 3 Click the Request Summary view tab.
- 4 Scroll down to the Decision list and select a record for the decision.
- 5 In the Decision field, select Approved, Counter Offer, or Decline.
- 6 In the Comments field, type a detailed description of the decision.

Assigning Loan Requests (End User)

After a credit committee officer enters a decision about a loan request, the end user can assign the request to the next credit committee officer.

To assign a loan request to the next credit committee officer

- 1 Navigate to the Commercial Loan screen.
- 2 From the Show drop-down list, select My Requests.
- 3 In the Request list, drill down on a commercial loan request.
- 4 Click the Request Summary view tab.
- 5 In the Decision list, select the next credit committee officer, and click Assign.

15 Managing Holdings And Interests

This section is about administering securities records in Siebel Finance and managing contacts' interests and holdings. It includes the following topics:

- ["About Managing Holdings and Interests" on page 173](#)
- ["Scenario for Promoting a Market Opportunity to Targeted List of Clients" on page 174](#)
- ["Process of Administering Securities" on page 174](#)
- ["Setting Up Securities Lists of Values" on page 175](#)
- ["Creating and Modifying Stock, Bond, and Mutual Fund Records" on page 177](#)
- ["Process of Tracking Clients' Interests and Creating Interest-Based Call Lists" on page 179](#)
- ["Entering Interests and Holdings Information" on page 179](#)
- ["Creating and Using Targeted Call Lists" on page 181](#)
- ["Configuring Call List Generation" on page 183](#)

About Managing Holdings and Interests

In Siebel Finance, there is a collection of screens and views that helps financial representatives track multi-dimensional information on client's investment interests, including:

- Products, such as stocks, bonds, mutual funds, options, and investment trust units
- Industries
- Sectors
- Analyst ratings

Use these procedures to perform the administrator tasks of modifying product information as well as adding industries, security product classes, security categories, security exchanges, and new securities.

End users use Siebel Finance to capture specific details about each investment, such as basic product information, issuer fundamentals, market data, literature, research, and news.

Securities information assists users in searching for a type of investment that would satisfy a customer's specific requirements and providing details on specific investments. Institutional salespeople can search to determine the contacts and investors who have either expressed an interest in a specific security or are currently holding that security in their portfolios. Also, sales agents and financial representatives can generate a call list, which is a list of targeted contacts that is associated with one or more securities.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Framework: Workflow Guide*.

Scenario for Promoting a Market Opportunity to Targeted List of Clients

This scenario features sample tasks performed by a financial institution's applications administrator and an investment representative. Your company may follow different workflows according to its business requirements.

An administrator is requested to add a new municipal bond issue to Siebel Finance. The administrator checks if all the required information to define the security exists in the application, and creates list of values entries as necessary. Then, the administrator adds the municipal bond by entering product information, which includes such details as the product name, symbol, industry, region, and sector.

In the morning sales meeting, they discuss the new bond product. After covering the details of the new product on the morning call, the sales team cross references the new bond's profile against the list of their clients' interested in purchasing the new bond. The firm anticipates the current bond market rally to continue and the firm takes a substantial position in NYC municipals. The fixed income desk is requested to promote the product heavily for the week.

At the conclusion of the call, the bond desk creates a targeted, prioritized call list to promote the product. They search for investors and contacts who have expressed interest in bonds. Further, they target investors and individuals who are holding or have expressed interest in Munis. The financial instrument held has a B rating. The salesperson first targets investors and individuals interested in B rating or better, and also customers with accounts registered in NY or managing NY mutual funds. Munis represent the highest values to these customers.

Process of Administering Securities

This process represents a portion of the tasks carried out in the [“Scenario for Promoting a Market Opportunity to Targeted List of Clients” on page 174](#). This process includes:

- 1 [Setting Up Securities Lists of Values on page 175](#)
- 2 [Creating and Modifying Stock, Bond, and Mutual Fund Records on page 177](#)

Typically, securities information is imported into Siebel Finance using Enterprise Integration Manager (EIM). Your organization can import the data displayed in the Securities views from one or more other systems (such as a trading system).

You can also manually add or edit records of securities using administrative functions described in this section.

For more information about EIM, see *Siebel Enterprise Integration Manager Administration Guide*.

Setting Up Securities Lists of Values

Before entering new securities into Siebel Finance, you should make sure that all the fields used to define a security are populated with the appropriate terms and classifications used by their organization. The following securities fields need to be set up with the appropriate values:

- Industry
- Product Line
- Product Class
- Category
- Exchange

The task is part of [Process of Administering Securities](#).

Defining Industry Values

When you enter a new security, the Industry field is used to indicate the industry or sector to which the security belongs. Populate the industry field with a list of values that are relevant to your organization. For example, if you are adding a new biotechnology stock as a security to Siebel Finance, you may need to add Biotechnology if the industry does not already exist. For details on how to modify the industry field values, see ["To add an industry" on page 51](#).

NOTE: The Industries table is used throughout Siebel Finance. Be sure to add industries that represent your companies and clients.

The task is part of [Setting Up Securities Lists of Values on page 175](#).

Defining Product Lines

When you enter a new security, the Product Line field is used to indicate the asset class of the security. For example, if your company is an investment firm you might want to add equity, fixed income, derivatives, and mutual fund product lines, if they do not already exist.

NOTE: In Siebel Finance, the Product Line field and the Product Class field are used to indicate a security asset class in different modules of the application. The fields are used exclusively in different modules of the application. As a result, both fields should be populated with the same list of values to indicate the asset classes.

For more information about creating a product line, see [Chapter 16, "Managing Products and Pricing."](#)

The task is part of [Setting Up Securities Lists of Values on page 175](#).

Defining Product Classes

The Product Class field is used in addition to the Product Line field to indicate the asset classes of securities when they are added to Siebel Finance. Using Siebel Finance, you can add and modify the asset classes that appear in the Product Class field.

The task is part of [Setting Up Securities Lists of Values on page 175](#).

To add a product class for a security

- 1 Navigate to the Administration - Data screen > List of Values view.
- 2 Run a new query for Type = FINS_ASSET_CLASS.

The current FINS_ASSET_CLASS records are returned with the existing list of values for the Product Class type.

- 3 In the List of Values list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Active	Check box to determine whether or not the value is displayed to the end user in the Product Class dialog box.
Display Value	Value as displayed in the Product Class drop-down list.
Language-Independent Code	Code used internally by the Siebel application.
Language Name	Language used for the list of values Display Value field.
Order	Numerical order in which a value is displayed within the Product Class drop-down list.
Parent LIC	Language-independent code of a parent list of values. It is used in hierarchical lists of values.
Translate	When checked, indicates that the list of values is part of a multilingual list of values (MLOV).
Type	The type of list of values. Select FINS_ASSET_CLASS.

NOTE: Deleting LOV table entries is not recommended; instead, use the Active check box to deactivate an LOV entry and thereby remove it from the Product Class drop-down list.

Adding Categories

When you enter a new security, the Category field is used to indicate another level of classification in addition to the Product Class field. For example, a security with a Product Class value of Stock may be further classified as a Category of Preferred Stock. A security with a Product Class value of Bond may have a Category of Mortgage or Corporate Bond. Using Siebel Finance, you can add the categories that appear in the Category field.

The task is part of [Setting Up Securities Lists of Values on page 175](#).

To add a security category

1 Navigate to the Administration - Data screen > List of Values view.

2 Run a new query for Type = FINS_INVST_CATEGORY.

The current FINS_INVST_CATEGORY records are returned with the existing list of values for the Category type.

3 In the List of Values list, add a record, and complete the necessary fields.

Adding Security Exchanges

In some instances, you may need to add new exchange information to Siebel Finance. The Exchange field is used to indicate the securities exchange systems. For example, a brokerage organization may populate the Exchange field with values, such as NASDAQ, FTSE, and Nikkei. You should add all the exchanges that are relevant to your organization.

The task is part of [Setting Up Securities Lists of Values on page 175](#).

To add a security exchange

1 Navigate to the Administration - Data screen > List of Values view.

2 Run a new query for Type = SECURITY_EXCHANGE.

The current SECURITY_EXCHANGE records are returned with the existing list of values for the Product Class type.

3 In the List of Values list, add a record, and complete the necessary fields.

Creating and Modifying Stock, Bond, and Mutual Fund Records

Once the securities lists of values are populated correctly, you can then add and modify individual securities records. You can also associate a literature item with a security.

Typically, securities information is imported into Siebel Finance using Enterprise Integration Manager (EIM). An organization can import the data displayed in the Securities views from one or more other systems (such as a trading system). Administrators can also add or modify securities for their organizations in the All Securities view in the Finance Administration screen.

For more information about EIM, see *Siebel Enterprise Integration Manager Administration Guide*.

This task is part of [Process of Administering Securities on page 174](#).

To add a new securities record

- 1 Navigate to the Administration - Finance screen > Securities view.
- 2 In the Securities list, add a record, and complete the necessary fields.

To edit mutual fund information

- 1 Navigate to the Administration - Finance screen > Mutual Funds view.
- 2 In the Mutual Fund form, locate the appropriate fund.
- 3 Click the Mutual Fund Holdings view tab.
- 4 In the Fund Holdings list, do one of the following:
 - Add a record and complete the necessary fields for each security that makes up the mutual fund
 - Modify or delete existing securities
- 5 From the Asset Allocation drop-down list, select Asset Allocation List.
- 6 In the Asset Allocation list, do one of the following:
 - Add an asset class and associate the percentage of holdings in each mutual fund
 - Modify or delete existing asset classes

NOTE: The Asset Allocation Chart provides a graphical representation of the asset allocation for the mutual fund.

To associate a literature document with a security

- 1 Navigate to the Administration - Finance screen > Securities view.
- 2 In the Securities list, select a security.
- 3 Click the Literature view tab.
- 4 In the Literature list, add a record, and complete the necessary fields.

Process of Tracking Clients' Interests and Creating Interest-Based Call Lists

This process represents a portion of the tasks carried out in the [“Scenario for Promoting a Market Opportunity to Targeted List of Clients” on page 174](#). This process includes:

- 1 [“Entering Interests and Holdings Information” on page 179](#)
- 2 [“Creating and Using Targeted Call Lists” on page 181](#)

From the Holdings and Interests views, end users can track a particular security. From the List Management Call List view, end users can review and manage their generated call lists.

Enterprise Integration Manager (EIM) imports the market data displayed in the Securities views. An organization can import the data displayed in the Securities views from one or more other systems (such as a trading system). Also, those with the required administrative responsibilities, such as Siebel administrators, can manually add or edit records of securities using administrative functions described in [“Process of Administering Securities” on page 174](#).

For more information about EIM, see *Siebel Enterprise Integration Manager Administration Guide*.

Entering Interests and Holdings Information

Tracking your clients' interests and holdings is an important first step towards building targeted call lists.

This task is a step in [“Process of Tracking Clients' Interests and Creating Interest-Based Call Lists” on page 179](#).

To record an interest

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 Drill down on the contact for which you wish to add interests information.
- 3 Click the Interests view tab.

4 Create a new record and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Description	Enter text to describe the contact's interest, or the system will automatically enter a string containing a compiled list of the interest attributes.
Ticker	Select any of the securities previously entered into your Siebel application.
Volume	Desired trading volume of the security.
Quantity	Number of shares the contact is interested in transacting.
Interest Type	Registers if the interest is in selling or buying.
Analyst	A particular research analyst.
Industry Group	The high-level industry interest, for example Technology. Also known as a sector.
Industry	Specific industry interest, for example Software.
Internal Rating	The research rank of the product, for example Strong Buy.

NOTE: You can record a contact's interests using either the Contacts or the Holdings and Interests screen.

To record an interest based on a holding

- 1 Navigate to the Holdings and Interests screen > Interests view.
- 2 In the Interests list, create a new record and complete the necessary fields, some of which are described in [Step 4](#) of "To record an interest."
- 3 In the Interests form, check the Holding box to signify this is an interest based on a holding.

NOTE: You cannot perform a search on a holding unless the holding has been saved as an interest with the Holding box checked.

Entering Holdings Information

You can add individual holdings information for Investors from the Holdings and Interests Holdings view. In addition, use the Financial Accounts Investment Holdings view to add holdings to financial accounts.

NOTE: These holdings are not searched in the Holdings and Interests Search view. Only interests based on holdings are searched. See ["To record an interest based on a holding."](#)

To add a holding record

- 1 Navigate to the Holdings and Interests screen > Holdings view.
- 2 In the Holdings list, add a new record and complete the fields.
- 3 In the Holdings form, enter additional information about the holding.

Creating and Using Targeted Call Lists

Generate and execute call lists based upon your client's interests and holdings-based interests through a:

- Batch search to add multiple contacts
- Single selection to add an individual client

NOTE: If your organization chooses to use the call list functionality, you should coordinate with your IT department to run a regular batch process to remove dated lists.

This task is a step in [“Process of Tracking Clients’ Interests and Creating Interest-Based Call Lists”](#) on page 179.

To search for contacts with particular interests

- 1 Navigate to the Holdings and Interests > Search view.
- 2 In the Criteria form, enter investment and classification criteria.

Some of the fields are described in the following table.

Field	Description
Ticker(s)	<p>Select any of the securities previously entered into your Siebel application.</p> <p>Search for multiple tickers by listing them separated by a comma. For example: CSCO, SEBL, IBM.</p>
Search	<p>Select whether to search Interests only, Holdings only, or both Interests and Holdings.</p> <p>Interests only returns contacts with an active interest in the named security. If the Inactive checkbox is checked on the interest record, then it is ignored in the search.</p> <p>Holdings only returns contacts with an active holdings-based interest in the named security. For information on how these types of records are created, see “To record an interest based on a holding” on page 180.</p> <p>Holdings and Interests returns contacts with either an interest or holdings-based interest in the named security.</p>

Field	Description
Market Cap	The market cap ranking of the issuing company, for example Small Cap.
Product	The security type in which the client is interested, for example Equities, Fixed Income, or Options.

- Click Add Above Criteria to add the criteria to the search.

NOTE: If multiple criteria are entered within a single criteria search record, the search includes an AND clause such that all field values must be met to return a contact. For example, within a single search record you enter an interest in ticker IBM and interest type Buy, then only contacts who have both an interest in IBM with an interest type of Buy will be returned in the search results.

- Repeat [Step 2](#) and [Step 3](#) to add additional desired criteria.

NOTE: The search aggregates multiple criteria search records into an OR clause, so if, for example, two criteria forms are added, one specifying an interest in ticker SEBL and another specifying an interest in ticker IBM, contacts with an interest in either or both tickers are returned.

- Click Go to execute the search.

Contacts that meet the search criteria appear in the Contacts list.

- There are now three active buttons in the Contacts list, each providing a different way to proceed to an existing or new call list:

- **Add to Active Call List.** Adds contacts to the user's most recently created call list from the current date, while remaining on the Holdings and Interests Search view. If no call list exists for the current date, a new call list is created.
- **Create New Call List.** Adds contacts to a new call list identified by the user's ID and the current date and time, while remaining on the Holdings and Interests Search view.
- **Go to Call Lists.** Navigates to the List Management Call List view where the user can see all of their own generated call lists.

To modify the contacts in a targeted call list

- Navigate to the List Management screen > Call List view.
- Select a call list to modify.
- In the Call List list, review the contacts, modifying as necessary.

To...	Then...
Remove a contact.	Select it in the list and click Remove.
Add a contact.	Click Add and select a contact in the Pick Contact dialog box. Contacts added in this way will have no criteria associated with them.

To use a targeted call list

- 1 Navigate to the List Management screen > Call List view.
- 2 Select a call list to use and work through the call list, marking the contacts according to the action performed:
 - Ignore
 - Called
 - Emailed
- 3 Clarify the list of calls remaining by clicking Refresh List.
 If the Show drop-down list is set to Outstanding Items, an updated list containing only the contacts not yet marked as either Ignore, Called, or Emailed is displayed.
- 4 To return to the full call list, click the drop-down list and select All List Members.

Configuring Call List Generation

The call list generation functionality, which included the three Call List Buttons on the Holdings and Interests Search view, are supported by user properties definitions for predesigned behavior. You may wish to modify these user properties to fit your own business processes.

The following options are all configured through the business component FINS Contact Interest Search Result. [Table 6](#) lists the user properties.

Table 6. Call List Generation User Properties

User Property	Value	Comment
Reset Called Flag	Y	Called flag is reset to N when a duplicate contact is added to the call list.
	N	Called flag is not updated when a duplicate contact is added to the call list.
Reset Emailed Flag	Y	Emailed flag is reset to N when a duplicate contact is added to the call list.
	N	Emailed flag is not updated when a duplicate contact is added to the call list.
Reset Ignore Flag	Y	Ignore flag is reset to N when a duplicate contact is added to the call list.
	N	Ignore flag is not updated when a duplicate contact is added to the call list.
Merge Criteria	Y	Criteria Matched field is merged when a duplicate contact is added to the call list.
	N	Criteria Matched field is not updated when a duplicate contact is added to the call list.

Table 6. Call List Generation User Properties

User Property	Value	Comment
Merge or Ignore Duplicate Contact	Merge	If a contact is already in the call list, other attributes of this contact record are merged.
	Ignore	If a contact is already in the call list, no action is taken with this record.
Popup When Add Call List	Y	A dialog box pops up when the user adds contacts to an active call list.
	N	No dialog box pops up when the user adds contacts to an active call list.
Popup When Create Call List	Y	A dialog box pops up when the user creates a new call list.
	N	No dialog box pops up when the user creates a new call list.
Reflect Holding	Holding (default)	The value of this property shows as prefix text on the Criteria Matched field to indicate that the matched criteria is associated with a holding.
Reflect Holding and Interest	Holding/ Interest (default)	The value of this property will show as prefix text on the Criteria Matched field to indicate that the matched criteria is associated with both holdings and interests.
Reflect Interest	Interest (default)	The value of this property shows as prefix text on the Criteria Matched field to indicate that the matched criteria is associated with an interest.

16 Managing Products and Pricing

This section is about administering and working with products and pricing. It includes the following topics:

- ["About Managing Products and Pricing" on page 185](#)
- ["Scenario for Managing Products and Pricing" on page 185](#)
- ["Process of Managing Products and Pricing" on page 186](#)
- ["Creating New Products" on page 187](#)
- ["Defining Fees and Rates" on page 188](#)
- ["Using Product Information \(End User\)" on page 190](#)

About Managing Products and Pricing

In Siebel Finance, products are the physical goods and services that a financial institution offers to its customers. Only those with the required administrative responsibilities, such as Siebel administrators, can set up and create new products.

The Products screen provides a collection of views to supply service representatives, sales agents, and managers with product information in an organized format. Managing product information and pricing structures requires setting up and maintaining products, product lines, product features, and price lists.

Use these procedures to perform the administrator tasks of setting up product and pricing information in Siebel Finance. End users use the Products screen to view product information.

The Products screen and associated views that appear in Siebel Finance share much of the functionality found in Siebel Business Applications. This chapter focuses mainly on the products functionality that is unique to Siebel Finance. For more information on creating and administering products, see *Product Administration Guide* and *Siebel Applications Administration Guide*.

Scenario for Managing Products and Pricing

These scenarios feature sample tasks performed by a Siebel administrator and a customer service representative. Your company may follow a different workflow according to its business requirements.

In this scenario, end users are the customer service representatives who answer customer calls. They use the Products screen to:

- View lists of products

- Obtain information about each product, which includes the product line, products code, rates, fees, key features and benefits, and description
- Compare products by feature
- View literature about a product
- View and create news items associated with a product

The Siebel administrator is responsible for administering Siebel Finance and requires administrative responsibilities to:

- Create a new product line
- Define a new product
- Set product fees, rates, and conditions

Administrator Defines New Products

An administrator sets up a new product line in Siebel Finance by:

- 1 Creating the new product line and then defining products.
- 2 Creating regions and associating those regions with each product.
- 3 Defining application workflows, product scores, fees, rates and conditions, and financial attributes.

Customer Service Representative Views Product Information

A customer service representative receives a call from a customer inquiring about the company's products. He navigates to the Product Details view to review product information such as key features, a product image, and other product details.

As a customer service representative talks with the customer, he learns that she is interested in a Gold Visa credit card. The representative describes the product's features and benefits, such as an increased credit limit and free insurance on goods purchased with the card. The customer also expresses interest in features the service representative knows are available in another product. Immediately, he provides the customer a feature-by-feature comparison of the two products and quotes prices from the price list. He can check for the latest news updates on the product, such as an anticipated rate change, and convey this information to the customer. After the call ends, the service representative follows up with the customer by sending her more detailed information, such as the Consumer Disclosure Statement, through the mail.

Process of Managing Products and Pricing

This section details sample tasks often performed by administrators and end-users when managing products and pricing. Your company may follow a different process according to its business requirements.

Administrator Procedures

The following list shows tasks administrators typically perform to manage products and pricing:

- [“Creating New Products” on page 187](#)
- [“Defining Fees and Rates” on page 188](#)

End-User Procedures

- [“Using Product Information \(End User\)” on page 190](#)

Creating New Products

Before creating a new product in Siebel Finance, end users must first create a product line. Then they can designate the products to be included in the product line, and set up the scoring system a financial institution's agents will use to determine customers' needs.

Administrators have the job of creating new products. The Product Administration view is used to define the finance-related products that are recommended by the sales agents and used in customer needs analyses. For more details on defining products and product lines, see *Product Administration Guide*.

To create a new product line

- 1 Navigate to the Administration - Product screen > Product Lines view.
- 2 In the Product Line list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Contracting	Indicates whether the product line is offered on a contracting basis.
Licensing	Indicates whether the product line requires a license.
Product Line	Name of the product line.
Products	List of products associated with the product line.

To create a product

- 1 Navigate to the Administration - Product screen > Products view.

- 2 In the Products list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Avg Profit	Average profit generated by product.
Sub Type	Product groupings by Pension, Asset, Liability, Life & Annuity, Personal Lines Insurance, Service, Transaction, Group Insurance, Individual Health Insurance, Derivative, Currency, Commodity, and Commercial Insurance.
Equivalent Product	Products to be used in comparisons.
Profit Rank	Ranking of product by profit generation.
Region	Geographic region using this product.
Status	Current availability of the product.

NOTE: Some of these fields may not be visible. You may need to reveal them using the Columns Displayed command from the Menu drop-down list.

Defining Fees and Rates

The Fees and Conditions view in the Product Administration screen allows administrators to set fees and rates and define conditions for products.

To set fees and conditions for a product

- 1 Navigate to the Administration - Product screen > Products view.
- 2 Drill down on the product for which you want to set fees.
- 3 Click the More Info view tab.
- 4 On the More Info link bar, click the Fees and Conditions view link.
- 5 In the Fees and Conditions list, add a record, and complete the necessary fields.
- 6 Scroll down to the Conditions list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Condition	Condition for the product.
Maximum Credit Line	Maximum amount allowed for the credit line.
Minimum Deposit Amount	Minimum amount required in the account for the condition to apply.

To set a rate for a product

- 1 Navigate to the Administration - Product screen > Products view.
- 2 Drill down on the product for which you want to set a rate.
- 3 Click the More Info view tab.
- 4 On the More Info link bar, click the Rates and Conditions view link.
- 5 In the Rates and Conditions list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Annual % Rate	Annual Percentage Rate for credit products.
Annual % Yield	Annual Percentage Yield for deposit products.
Conditions	Description of the conditions under which the rates are calculated.
Index Name	Name of the index used.
Index Rate	Percentage rate of index.
Maximum Amount	Maximum amount for the product to qualify for the rate.
Maximum Rate	Maximum interest rate for a product.
Maximum Term	Maximum term for tiered rates.
Minimum Amount	Minimum amount for the product to qualify for the rate.
Minimum Rate	Minimum interest rate for a product.
Minimum Term	Minimum term for tiered rates.
Points	Fee equal to 1% of the principal.
Rate	Rate percentage, calculated by adding Index Rate to Margin/Spread.
Rate Type	Type of rate.
Spread	Increase over index rate to determine rate.

- 6 Scroll down to the Conditions list, add a record, and complete the necessary fields.

Some fields are described in the following table.

Field	Description
Condition	The condition for the product.
Maximum Credit Line	The maximum amount allowed for the credit line.
Minimum Deposit Amount	The minimum amount required in the account for the condition to apply.

Using Product Information (End User)

End users access the Products screen either to inform a customer of the details of a given product or to educate themselves on new products or changes to existing offerings.

To view product information

- 1 Navigate to the Products screen.
- 2 From the Show drop-down list, select All Products.
- 3 In the Products list, drill down on the Product link to display more information about the product.

The Product form appears, along with the Features and Benefits list and the Product Image.

Another task that is commonly performed in the Products screen specifically for Siebel Finance, is to create an application using the Auto Application feature. For more information on using Auto Application, see ["Creating Applications Using the Auto Application Feature" on page 145](#).

17 Managing Access Exceptions

This section is about managing access exceptions for literature. It includes the following topics:

- ["About Managing Access Exceptions" on page 191](#)
- ["Scenario for Analyzing Access Exceptions" on page 192](#)
- ["Administering Access Exceptions" on page 192](#)
- ["Setting Access Levels for Literature and Lists" on page 192](#)
- ["Activating Access Workflows for Distribution Exceptions" on page 193](#)
- ["Using Access Exceptions" on page 194](#)
- ["Adding Access Exceptions" on page 194](#)
- ["Setting Access Levels" on page 195](#)
- ["Viewing Access Exceptions Charts" on page 195](#)
- ["Viewing Access Exceptions Associated with Literature" on page 196](#)
- ["Viewing Access Exceptions Associated with a List" on page 196](#)

About Managing Access Exceptions

This chapter describes the procedures necessary to set up and create access exceptions for literature in Siebel Finance. An access exception is an instance in which a contact, investor, or list that has purchased a basic level of service or research is provided with a premium level. Organizations generally provide different levels of service to their customers and therefore expect to generate different amounts of business based on the level of service purchased. For example, *Premium* customers receive higher levels of service for higher fees, and *Basic* customers receive lower levels of service for lower fees.

Premium levels of service could include access to premium pieces of research literature and invitations to premium events. On occasion, Basic customers are given Premium services to entice them to sign up for the Premium level. In these instances, executives do not want to stop relationship managers from sending premium pieces of literature to the basic customers or from inviting them to premium events. However, the managers want to record every instance as an access exception so that they can review all the premium services received by the basic level customers, and follow up with them to persuade those customers to sign up for the premium level of service.

Use these procedures to perform the administrator tasks of setting up:

- An access level for an existing piece of literature or a list, using the Administration - Business Process screen to monitor and generate access exceptions.
- A workflow policy for literature or distribution lists.

End users use these procedures to add an access exception, set access levels for contacts, investors, or distribution lists, and view access exception charts.

For more information about creating and managing literature, see *Siebel Applications Administration Guide*.

Scenario for Analyzing Access Exceptions

This scenario is an example of a workflow performed by a financial institution's investment bankers or sales representatives. Your company may follow a different workflow according to its business requirements.

A relationship manager at an institutional brokerage firm receives a phone call from a customer who is a non-premium contact. The contact requests the latest piece of research, which happens to be premium research that has been published by the relationship manager's brokerage firm. The relationship manager uses Siebel Finance to email this piece of literature to the customer.

When the literature is sent, a workflow created by the Siebel administrator automatically creates an Access Exception, allowing the relationship manager to track every time that premium literature has been sent to this particular contact.

Account managers can analyze access exception information at regular intervals to determine which customers are causing the most access exceptions, and try to persuade these customers to sign up for a higher level of service. Because access exceptions are tracked by employee as well as by customer, account managers can also monitor which employees are generating the most access exceptions and make sure that premium research distribution is properly executed.

Administering Access Exceptions

The following administrator procedures are described in this section:

- [“Setting Access Levels for Literature and Lists” on page 192](#)
- [“Activating Access Workflows for Distribution Exceptions” on page 193](#)

Setting Access Levels for Literature and Lists

Administrators can use the appropriate administrative screen to set an access level for a piece of literature or a list.

NOTE: Only those with the required administrative responsibilities, such as Siebel administrators, can set the access level for a piece of literature or a list.

To set an access level for an existing piece of literature

- 1 Navigate to the Administration - Document screen > Literature view.
- 2 In the Literature list, select the piece of literature for which you want to set the access level.
NOTE: If the piece of literature that you want does not exist, you can create it. For more information on creating a piece of literature, see *Siebel Applications Administration Guide*.
- 3 In the Access Level field, select a value.

To set the access level for a list

- 1 Navigate to the List Management screen > Lists view.
- 2 In the Lists list, select the list for which you want to set an access level.
- 3 In the Access Level field, select the access level for the list.

Activating Access Workflows for Distribution Exceptions

To generate access exceptions, you need to activate two workflows, as shown in [Table 7](#).

Table 7. Distribution Exception Workflows

Workflow	Description
Literature Access Workflow	Use the Literature Access Workflow when distributing literature. If the access level of the literature is higher than that of the contact, the application generates an access exception record.
List Access Workflow	Use the List Access Workflow to generate access exceptions while adding contacts to a list. If the access level of the list is higher than the level of the contact, the application generates an access exception record.

For more information on working with workflows, see *Siebel Business Process Framework: Workflow Guide*.

NOTE: Activating workflows requires administrative responsibilities.

To activate the Access workflows

- 1 Navigate to the Administration - Business Process screen > Workflow Deployment view.
- 2 In the Repository Workflow Processes list, query for the two Access workflow records.
TIP: Query for Name = * Access Workflow.

- 3 Click the Activate button at the top of the list to activate this workflow process.

When activated, the definition is written to the run-time tables and appears in the Active Workflow Processes view.

To reload runtime events

- 1 Navigate to the Administration - Runtime Events screen > Events view.
- 2 From the menu, select Reload Runtime Events.

Using Access Exceptions

The following end-user procedures are described in this section:

- [“Adding Access Exceptions” on page 194](#)
- [“Setting Access Levels” on page 195](#)
- [“Viewing Access Exceptions Charts” on page 195](#)
- [“Viewing Access Exceptions Associated with Literature” on page 196](#)
- [“Viewing Access Exceptions Associated with a List” on page 196](#)

The Access Exceptions screen and views allow end users to view or add information about access exceptions. End users can also view access exceptions associated with a piece of literature in the Literature screen or a list in the List Management screens.

Adding Access Exceptions

End users can add access exceptions for literature using the Access Exceptions screen.

To add an access exception

- 1 Navigate to the Access Exceptions screen > Access Exceptions list view.

- 2 In the Access Exceptions list, add a record, and complete the fields that correspond to the type of access exception you want to record.

Some fields are described in the following table.

Field	Comments
Access Exception Type	Types include List and Literature.
Contact Name	The contact name for which the exception was made.
Employee Name	The employee who created the exception.
Investor	The investor for which the exception was made.
List Name	The list for which the exception was made.
Literature Name	The literature item for which the exception was made.

NOTE: If your Siebel administrator has set up a workflow, data automatically appears in the appropriate fields.

Setting Access Levels

Siebel Finance uses access levels to grant customers access to different levels of research and literature. Setting a contact's access to a specific level allows that contact access and visibility to items and services that have the same or a lesser access level.

To set a contact's access level

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, click the drop-down list in the Access Level field and set the desired level.

NOTE: If the contact does not exist, add it. For more information about adding contacts, see ["Adding Contacts" on page 79](#).

You can see access levels for companies and investors by navigating to the Companies screen > Companies List view, and setting the Access Level field as in [Step 2](#).

To set an access level for a list

- 1 Navigate to the List Management > Lists view.
- 2 In the Lists list, select an access level in the Access Level field.

Viewing Access Exceptions Charts

End users can view access exceptions by employee or investor. They can also view a chart showing access exceptions by type (list or literature).

To view access exceptions by type

- 1 Navigate to the Access Exceptions screen.
- 2 Click the appropriate view tab:
 - Access Exceptions By Employee
 - Access Exception by Investor
 - Access Exception by Type

The Access Exceptions view appears with a chart showing access exceptions broken down by employee, investor, and type.

Viewing Access Exceptions Associated with Literature

The following procedure shows how to view all the access exceptions for a piece of literature. You can view access exceptions associated with literature by contact, employee, investor, or date.

To view an access exception associated with a piece of literature

- 1 Navigate to the Literature screen.
- 2 From the Show drop-down list, select All Literature.
- 3 Select the literature for which you want to view access exceptions.
- 4 Navigate to Literature > List > Access Exceptions.

The Access Exceptions list shows all access exceptions associated with the piece of literature.

Viewing Access Exceptions Associated with a List

To view an access exception associated with a list

- 1 Navigate to the List Management screen > Lists view.
- 2 In the Lists list, drill down on the list for which you want to view an access exception.
- 3 Click the Access Exceptions view tab.

The Access Exceptions list appears, showing all access exceptions associated with the list.

18 Managing Group Pensions

This chapter includes the following topics:

- [“About Managing Group Pensions” on page 197](#)
- [“Scenario for Creating a Company 401\(k\) Plan” on page 197](#)
- [“Group Pension Sample Tasks” on page 198](#)
- [“Process of Managing Group Pension Plans” on page 198](#)
- [“Defining Group Pension Products” on page 199](#)
- [“Defining Group Pension Plans” on page 200](#)
- [“Administering Group Pension Plans \(End User\)” on page 202](#)

About Managing Group Pensions

Siebel Finance provides support for group pensions and is designed to meet the needs of sales and service professionals, managers, and pension administrators. End users can use the Group Pensions screen to manage private group pensions, which includes defined contribution plans, such as 401(k) plans and occupational group pensions, and defined benefit plans.

Use these procedures to define group pension plans, plan classes, plan eligibility rules, and plan funding vehicles. Once a group pension plan is defined, users can track eligible and enrolled participants, participant contribution and investment allocations, and participant beneficiary information.

You can save time and reduce keystrokes by using a workflow to automate steps that are repeatedly performed by end users. For more information, see *Siebel Business Process Framework: Workflow Guide*.

Scenario for Creating a Company 401(k) Plan

The following business scenario features sample tasks performed by a pension administrator. Your company may follow a different workflow according to its business requirements.

Product Administration view to define a new group pension product and investment options for plan participants. She then creates a new 401(k) retirement plan and enters all the basic plan information. In this instance, she defines one class, enters the plan eligibility rules, and specifies the key contacts for the plan.

A week later, the administrator updates information for the 401(k) retirement plan participants. First, she imports a list of eligible participants. Then, she enrolls 10 new participants, specifying each employee's contribution amount, the employer match, and the selected fund allocations.

In this scenario, the end user is a pension administrator who uses the Group Pensions screen to:

- Define a group pension product and specify pension plan investment options
- Define a group pension plan, including participant classes, eligibility rules, and key group pension plan contacts
- Add eligible plan members
- Enroll group pension plan participants and record participant beneficiary information

Group Pension Sample Tasks

Figure 2 illustrates sample tasks that end users typically perform when managing group pensions.

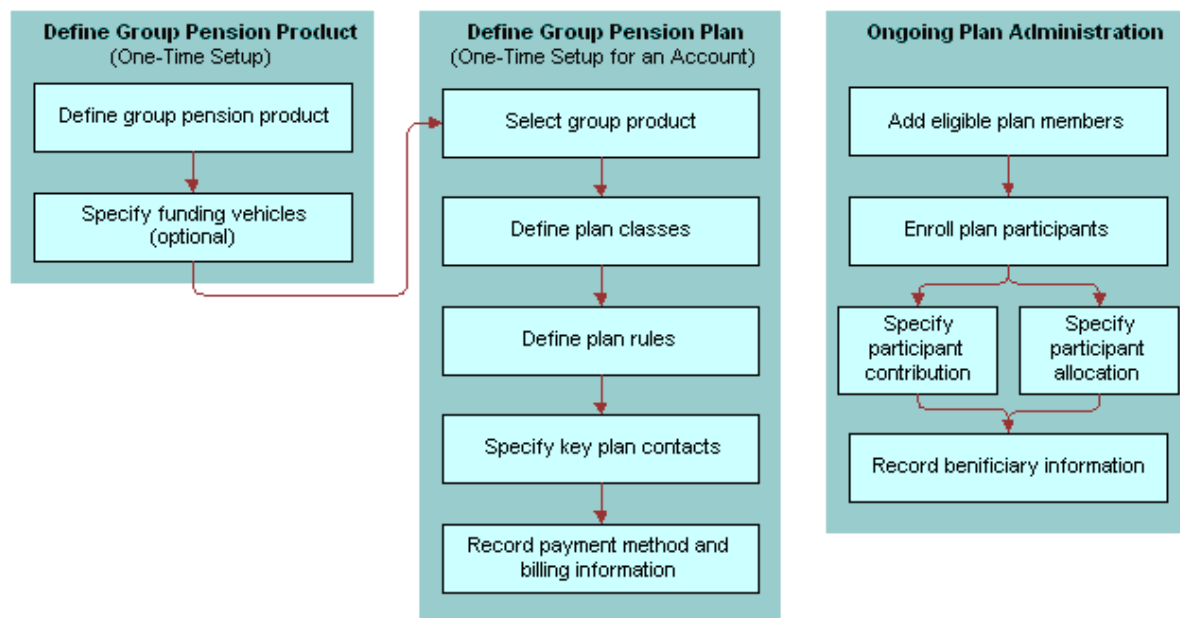


Figure 2. Group Pension Sample Tasks

Process of Managing Group Pension Plans

This section details sample tasks often performed by administrators and end-users when managing group pension plans. Your company may follow a different process according to its business requirements.

Administrator Procedures

The following list shows tasks administrators typically perform to manage group pension plans:

- ["Defining Group Pension Products" on page 199](#)
- ["Defining Group Pension Plans" on page 200](#)

End-User Procedures

The following list shows a task end users typically perform when managing group pension plans:

- ["Administering Group Pension Plans \(End User\)" on page 202](#)

Defining Group Pension Products

Before end users create an actual group pension plan, the product administrator must first define a group pension product and specify investment options for plan participants.

To define a group pension product

- 1 Navigate to the Administration - Product screen > Products view.
- 2 Click the New and Release button and do the following:
 - In the Name field, enter a name for this group pension product.
 - In the Finance Product Type field, select Retirement from the drop down list.
 - In Products form, select Pension from the Sub Type drop down list.
- 3 Drill down on the name, and on the More Info link bar, click the Group Pensions Product Administration.
- 4 In the Funding Vehicles list, create a new record and complete the fields.

To define funding vehicles for a group pension product

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Product list, select a group pension product and drill down on the Plan # link.
- 3 In the Funding Vehicles list, add a record, and complete the necessary fields.
- 4 In the Name field, select the funds and investments available on this plan.
- 5 In the Effective Date field, specify the date this plan will become available within the system.

Once users have defined a group pension product and funding vehicles, the next step is to create a group pension plan for an account (see ["Defining Group Pension Plans"](#)).

Defining Group Pension Plans

To define a group pension plan, end users must perform the following steps:

- **Define a group pension plan.** For more information, see [“To define a group pension plan” on page 200](#).
- **Specify plan rules.** End users use the Rules view tab to define the types of rules that govern the selected group pension plan. For more information, see [“To specify plan rules” on page 201](#).
- **Define participant classes.** End users define different groups of plan participants in the Classes view tab. For more information, see [“To define participant classes for plan participants” on page 201](#).
- **Record key plan contacts.** End users use the Contacts view tab to define key contacts associated with the selected plan. These contacts are not plan participants, but consist of key individuals associated with the selected plan such as a plan administrator, trustee, or investment committee member. For more information, see [“To record key group pension plan contacts” on page 201](#).
- **Enter billing information.** End users use the Bill To view tab to specify high-level payment information, such as payment frequency and a billing address. For more information, see [“To enter billing information” on page 202](#).

To define a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pensions List view.
- 2 In the lower form, add a record and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Plan Sponsor	A company or account that has a group pension plan associated with it or a company or account that provides a group pension for a group of people. For more information on adding additional companies, see “Adding Companies and Investors (End User)” on page 57 .
Name	The group pension product defined in the Group Pension Product Administration view. For more information on defining group pension products, see “To define a group pension product” on page 199 .

Field	Comments
Type	<p>The type of group pension plan. Options include:</p> <ul style="list-style-type: none"> ■ Defined Benefit. Group pension plan that defines the amount of the benefit a plan participant will receive upon retirement. ■ Defined Contribution. Group pension plan that describes the plan sponsor's annual contribution to the plan on behalf of each plan participant.
Sub Type	<p>Further defines the type of group pension plan being created. Available values are based on the Type field selection.</p> <p>If the Type is:</p> <ul style="list-style-type: none"> ■ Defined Benefit, available options include Final Salary and Average Salary. ■ Defined Contribution, available options include 401(k), 403(b), Group Occupational Pension, Group Personal Pension, and Group Stakeholder Pension (UK-specific).

To specify plan rules

- 1 Navigate to the Group Pensions screen.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link. Click the Rules view tab.
- 3 In the Rules form, complete the necessary fields.

To define participant classes for plan participants

- 1 Navigate to the Group Pensions screen.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Classes view tab.
- 4 In the Classes list, add a record and complete the necessary fields.
- 5 If this is an employer-sponsored plan, enter the appropriate percentage in the Employer Match% field.

To record key group pension plan contacts

- 1 Navigate to the Group Pensions screen.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Contacts view tab.
- 4 In the Contact list, add a record and complete the necessary fields.
- 5 In the Contact Role field, select one of the following:

- Administrator
- Investment Committee
- Trustee

To enter billing information

- 1 Navigate to the Group Pensions screen.
- 2 In the Group Pensions list, select a group pension plan and drill down on the plan # link.
- 3 Click the Bill To view tab.
- 4 In the Pay Plans list, create the appropriate number of pay plans by adding a record for each plan and completing the necessary fields.
- 5 Scroll down to the lower applet and enter the required information to complete the payment information.

Administering Group Pension Plans (End User)

End users administer group pension plans by performing the following tasks:

- **View available plan funds and investments.** End users view which funds and investments are available within a specific group pension plan in the Funding Vehicles view tab. For more information, see [“To view the funds and investments available within a group pension plan” on page 203.](#)
- **Add eligible plan members.** End users can track individuals who are eligible to participate in a group pension plan in the Eligible Members view tab. For more information, see [“To add eligible plan members” on page 203.](#)
- **Create service requests to track plan administration.** End users can use the Service Requests view tab to track general plan administration activities, which includes account value inquiries, changes in participant contributions, and updates to participant contact information. Users can also use this view to track changes to the features and benefits of a specific plan. For more information, see [“To create a service request associated with a group pension plan” on page 203.](#)
- **Enroll group pension plan participants.** End users enroll new group pension plan participants in the Participants view tab. For more information, see [“To enroll new participants in a group pension plan” on page 203.](#)
- **Record beneficiary information.** End users record beneficiary information for plan participants in the Beneficiary view tab. For more information, see [“To record participant beneficiary information” on page 203.](#)
- **Create activities and notes associated with a group pension plan.** For more information, see [“To create an activity associated with a group pension plan” on page 204](#) and [“To create a note associated with a group pension plan” on page 204.](#)

For more information on defining funding vehicles, see [“To define funding vehicles for a group pension product” on page 199](#).

To view the funds and investments available within a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Funding Vehicles view tab.

To add eligible plan members

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Eligible Members view tab.
- 4 In the Participants list, add a record and complete the necessary fields.

To create a service request associated with a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Service Requests view tab.
- 4 In the Service Requests list, add a record and complete the necessary fields.
- 5 To add further information about the service request, drill down on the SR # link.

To enroll new participants in a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Participants view tab.
- 4 In the Participants list, add a record and complete the necessary fields.

NOTE: In order for Siebel Finance to automatically populate the Employer Match % field in the Participants view tab, you must enter a value in the Class field.

- 5 In the Allocations form, add a record for each fund or investment option. Select the appropriate funds and investments options from the Pick Funding Vehicle list.

To record participant beneficiary information

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Beneficiary view tab.

- 4 In the Participants list, select a participant.
- 5 In the Beneficiary list, add a record and complete the necessary fields.

NOTE: Make sure all the values entered in the % field equal 100%.

For more information on adding participants, see [“To enroll new participants in a group pension plan” on page 203](#).

To create an activity associated with a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Activities view tab.
- 4 In the Activities list, add a record and complete the necessary fields.

To create a note associated with a group pension plan

- 1 Navigate to the Group Pensions screen > Group Pension List view.
- 2 In the Group Pensions list, select a group pension plan, and drill down on the plan # link.
- 3 Click the Notes view tab.
- 4 In the Notes list, add a record and complete the necessary fields.

19 Business Services for Siebel Financial Services

This chapter describes the business services for Siebel Financial Services. It includes the following topics:

- ["About a Business Service" on page 206](#)
- ["About Siebel Financial Services Business Services" on page 206](#)
- ["VBC Cache and Instance Manager" on page 208](#)
- ["Free Format Converter" on page 213](#)
- ["Data Validation Manager" on page 214](#)
- ["Business Rule Processor" on page 215](#)
- ["Process of Defining Business Rule Processes" on page 216](#)
- ["Creating and Managing Business Rule Processes" on page 217](#)
- ["Defining Properties for a Business Rule Process" on page 220](#)
- ["Defining Procedures for a Business Rule Process" on page 224](#)
- ["Fine-Tuning the Assignment Statement" on page 232](#)
- ["Handling Business Rules Processor Errors" on page 234](#)
- ["Using BRP Helper Business Services" on page 236](#)
- ["Invoking the Business Rule Processor" on page 246](#)
- ["Logging Business Rules Processor Debug Messages" on page 248](#)
- ["Requirements Manager" on page 248](#)
- ["Customer Authentication Manager" on page 257](#)
- ["Using the Calculation Manager" on page 263](#)
- ["Using the Customer Expectations Manager" on page 269](#)
- ["Using Data Transfer Utilities \(DTU\)" on page 272](#)
- ["Automating Approval Processing" on page 287](#)
- ["Automating the Display of Disclosure Documents" on page 291](#)
- ["SmartScript Integration with Workflow" on page 294](#)
- ["Dynamic UI Business Service" on page 297](#)
- ["FINS Application View Navigation" on page 300](#)

About a Business Service

A business service is an object that simplifies the use of a specific set of functionality. Business services are not tied to specific objects, but rather operate or act upon objects to achieve a particular goal. You can use business services to execute predefined or custom actions in a workflow process.

For more information on:

- Business services, see *Overview: Siebel Enterprise Application Integration*
- Workflows, see *Siebel Business Process Framework: Workflow Guide*

About Siebel Financial Services Business Services

Siebel Financial Services introduces a number of business services that fulfill a specific need in an end-to-end business process. The overall goal with these business services is to reduce the custom scripting that customers do during implementation. These business services benefit Siebel Financial Services customers in the following ways:

- Increased efficiency and consistency with automation
- Rapid deployment of functionality—less programming, and immediately deployable; SRF changes are not required
- Better performance than scripting
- Ease of maintenance—ability for a business analyst to maintain rules

For example, the Data Validation business service allows customers to define data validation rules in an administration view that users trigger in run time. This significantly reduces the amount of custom scripting that would otherwise be required.

Other business services, such as the Disclosure and Approval business services, bring similar benefits to customers' disclosure and approval business processes.

Table 8 lists the business services available in Siebel Financial Services.

Table 8. Siebel Financial Services Business Services

Business Service	Business Applications	Functionality
Disclosure Manager	Regulatory compliance, sales process compliance.	Present literature specific to products; logs presentation for compliance.
Approval Manager	Policy exception approvals, underwriting.	Determines necessary approval sources and routes to inbox.
VBC Cache and Instance Manager	Cache data from external applications in Siebel for display.	Cache VBC data throughout user's session and use Siebel Workflow to query external data sources.
Free Format Converter	Comma-delimited and other free-format message creation.	EAI Business Service to convert Siebel data to non-XML formats.
Workflow - SmartScript Integration	Embed Q&A style processes as part of a workflow process.	Launch SmartScript sessions within a workflow process. Pass information from SmartScript back into the workflow process for downstream processing.
Using Data Transfer Utilities (DTU)	Auto-creation, prefilling.	Copies data from one Siebel BO/BC/Field to another BO/BC/Field.
Data Validation Manager	Conditional logic, data integrity control.	Performs data validation across business component fields.
Requirements Manager	Application closings, service case resolution.	Determines requirements and next steps for transaction completion.
Customer Authentication Manager	Transaction level security, regulatory compliance.	Situation specific customer authentication data collection and logging.
Using the Calculation Manager	Lead scoring, payment calculations, prioritization.	Performs arithmetic functions and if/then/else calculations in background or through UI.
Using the Customer Expectations Manager	Customer services expectations, fulfillment expectations.	Calculates expected and promise dates, and sets priorities, based on item type and customer value.
Business Rule Processor	Definition and execution of complex, frequently changing business logic.	Higher performance and more scalable than scripting. Can change business logic without a new SRF. Flexible - supports procedure, loops, if-then-else, switch-case constructs.

Table 8. Siebel Financial Services Business Services

Business Service	Business Applications	Functionality
Dynamic UI Business Service	Create read-only view that can be changed without the need to recompile and redeploy a Siebel Repository File (SRF).	Create and render views containing a single read-only applet in the Siebel Financial Services application.
FINS Application View Navigation	View navigation.	Guides users through a series of views based on administration data.

CAUTION: As with other specialized code, users should use only the specialized business services that are documented in Siebel documentation. The use of undocumented services is not supported and can lead to undesired and unpredictable results.

VBC Cache and Instance Manager

Integrating external systems with Siebel data in real time is a common business requirement. A standard approach is to use Virtual Business Components (VBC) with a substantial amount of scripting. This approach, however, often has associated performance and scalability concerns. The Caching VBC was originally developed to address integration with external billing systems, and the design requires a minimal amount of scripting. These features, however, can be extended and applied to a broad set of integration challenges beyond billing.

Caching VBC Overview

The Caching VBC enhances the existing horizontal CSSBCVRec VBC class and works in conjunction with the SIA Billing Extern Service business service. Although the name of this business service implies that it is billing specific, it is a generic service without any industry specific functionality.

Features of the Caching VBC include:

- Caching of response data, allowing navigation between records in a parent BC without generating duplicate requests in the child VBC
- Ability to have a VBC be the parent of another VBC child within a single business object
- Forced refresh of already cached data
- Ability to generate integration object instances without using the EAI Siebel Adapter business service
- Integration with workflow process that can take advantage of any existing integration flow that uses Application Service Interfaces (ASIs), Web Services, or connector technology

Possible limitations to consider:

- Read-only behavior

- Only available as part of the Siebel Industry Applications (SIA) product
- Queries are not supported
- Only an active field of an active business component will have its value prefilled properly by the request integration object
- The business service only references the top-level from the top-level integration component when creating the request message to populate predefault fields.

Components

Figure 3 shows the components to implement the Caching VBC.

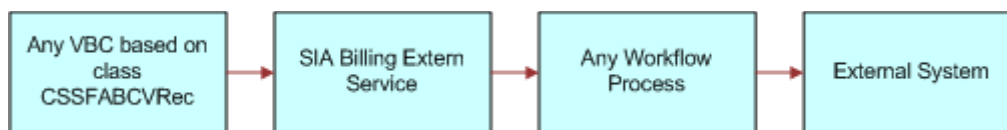


Figure 3. Caching VBC Components

Stages of the Caching VBC Process

The caching VBC process uses the following process flow.

- 1 The Caching VBC invokes the named service when queried.
- 2 User properties on the VBC identify:
 - Whether or not to enable caching
 - The service name to invoke (SIA Billing Extern Service)
 - The integration object name to be passed to the service as an input parameter
 - The workflow process name to be passed to the service as an input parameter
- 3 When the VBC is executed, the VBC calls the business service and passes it the integration object name and workflow process name.
- 4 The business service instantiates the named integration object and populates it with values in the currently active business object without using the EAI Siebel Adapter.
- 5 The business service passes the integration object instance to the SiebelMessage workflow process property and invokes the workflow process.
- 6 The workflow process handles any integration tasks, including communicating with the external system.

It receives data from the external system and populates a hierarchical process property that matches the field structure of the VBC.
- 7 The workflow process completes.

- 8 The business service reads the hierarchical output process property from the workflow process property named VBC Output and compares it with the fields in the VBC.

Where matching field names are encountered, the value in the output process property is copied to the VBC. Field names that do not match are ignored and do not generate an error.

Caching VBC Configuration

Base the VBC on the CSSFABCVRec class. [Table 9](#) lists the user properties VBC uses for its configuration.

Table 9. User Properties for VBC Configuration

User Property Name	Valid Names	Description
Enable Caching	Yes or No	Yes enables the caching of records retrieved by the VBC. No disables caching.
Outgoing Integration Object Name	An integration object name	Name of the integration object to be passed to the business service.
ProcessName	A workflow process	Name of the workflow process to be passed to the business service.
Service Name	A business service	Name of the business service to be invoked when the VBC is executed.

You must also configure the fields for your business component. No other scripting is necessary to invoke the service or the workflow.

The VBC uses a special field called Vid. This field is an internally generated unique identifier. It is not necessary to create this field in your VBC. However, if you do create this field in your VBC, do not modify this value. Considered this field as a system field.

You can create link specifications between parent business components and this VBC, and between this VBC and any child VBC. Any field can be used as a link specification.

Purging the VBC Cache

Purge the VBC cache by configuring a button to invoke method RefreshVBCCache. [Table 10](#) lists the consequences if Enable Caching is set to Yes or No.

Table 10. Consequences of Setting Enable Caching

If...	Then...
Enable Caching is set to Y.	The VBC purges cached values and forces a query of the external system.
Enable Caching is set to N.	The RefreshVBCCache method has no effect.

Business Service Configuration

Base the business services specified in the Service Name parameter of the VBC on the CSSFAExternalService class, and have a method named query defined. You do not need to specify any input arguments to this method or configure any user properties. In this way, you can reuse this business service.

Integration Object Configuration

Use the integration object specified as the Outgoing Integration Object Name user property of the VBC to communicate record data between the business service and the workflow process. This integration object is non standard because it does not need to have an integration component for all the parent business components in the business object hierarchy. For example, if your business object hierarchy consists of Contact and the VBC as a child of Contact, you do not need to include a Contact integration component as the parent integration component in your integration object.

The reason for this is that this integration object is never used by the EAI Siebel Adapter. Therefore, you do not need to include the complete business component hierarchy in the integration object.

The integration object uses the PREDEFAULT user property ([Table 11](#)) on integration component fields to identify those fields that should be prefilled with data from the active business components:

Table 11. PREDEFAULT User Property

Integration Component Field User Property	Valid Values	Description
PREDEFAULT	[Business Component Name.Field Name] For example, [Contact.Primary Personal Postal Code]	Identifies the source business component field that the Business Services uses to prefill the integration component field.

After the workflow process completes, values in the integration component fields that have matching names in the VBC are copied back to the VBC. If the integration object has fields that do not match the VBC, then those fields are ignored and no error is produced.

Workflow Configuration

The workflow process specified as the ProcessName user property of the VBC is used to identify which workflow process the business service should invoke after instantiating the named integration object. [Table 12](#) lists the two process properties that must be configured for this process to communicate with the business service.

Table 12. Workflow Process Properties

Process Property Name	Type	Description
SiebelMessage	Integration Object	<p>The input of the workflow process. This is passed in by the business service.</p> <p>Contains the integration object instance of the integration object identified with the Outgoing Integration Object Name user property on the VBC. This integration object instance contains data for integration component fields that have the PREDEFAULT user property set as described in the Integration Object Configuration section of this document.</p>
VBC Output	Hierarchy	<p>The output from the workflow process.</p> <p>This is returned to the business service. Contains the integration object instance of the result of querying the external system that is to be returned to the business service for inserting into the VBC.</p>

The SiebelMessage process property contains the query parameter for the external system. The workflow process transforms this data to a format understood by the external system, then uses a transport to send the request and receive the response from the business service. Finally, it must transform the response data back to a format that matches the VBC fields. This transformed response data needs to be stored in the VBC Output process property so that the calling business service can map it back to the VBC.

Free Format Converter

This section describes how to leverage the FINS EAI Free Format Hier Converter business service to convert a Siebel property set into a UTF-8 based text file structure for downloading.

Out of the box, the FINS EAI Free Format Hier Converter business service is used in the FINS eBanking Account Download Outbound workflow to enable the creation of flat file, tag-based data stream for download. The business service follows the same model as the EAI XML converter, but provides flexibility for manipulating the output data stream and header information.

If the desired output format is XML-based, use EAI XML Converter, XML Hierarchy Converter, or other XML related converter Business Service that Oracle provides. If the file format is not XML-based, use FINS EAI Free Format Hier Converter.

FINS EAI Free Format Hier Converter Methods

The FINS EAI Free Format Hier Converter business service provides two methods for creating text data streams:

- PropSetToPlainText
- PropSetToRawText

The difference between these two methods is that the PropSetToRawText method has the DiffBeginEndTag, EscCharSupport, and NewLineAfterNode user properties predefaulted. And in the PropSetToPlainText method, the following parameters are preset:

- DiffBeginEndTag = N
- EscCharSupport = N
- NewLineAfterNode = Y

PropSetToPlainText and PropSetToRawText User Properties

Table 13 lists the user properties for the PropSetToPlainText and PropSetToRawText methods.

Table 13. User Properties

Parameter Name	Description	Predefault Value
BeginTagLeft	A text value for the left boundary of the begin tag.	<
BeginTagRight	A text value for the right boundary of the begin tag.	>

Table 13. User Properties

Parameter Name	Description	Predefault Value
DiffBeginEndTag	Y or N If there are different tags for the begin and end tag, then for XML, they are the same. Use “,” as the separator to set it differently. For example, if this is set to Y, and the XML tag of any component is A,B, then the begin tag is A and end tag is B.	N
EndTagLeft	A text value for the left boundary of the end tag.	<
EndTagRight	A text value for the right boundary of the end tag.	>
EscCharSupport	Y or N Yes supports escape characters such as \n and \r.	Y
NewLineAfterNode	Y or N Yes prints a new-line character after each element.	N
PrintAggregateEndTag	Y or N Yes prints end tag for aggregate nodes.	Y
PrintElementEndTag	Y or N Yes prints end tag for element nodes (element that has no child).	Y
PrintEndTagBeforeChild	Y or N Yes prints the end tag before print out the first child.	N
PrintTagBound	Y or N Yes prints the tag boundaries.	Y
XMLHierarchy	The IntObj instance that is parsed into the BusSvc.	

Data Validation Manager

Many companies are governed by various regulatory agencies, as well as internal processes and procedures, to verify the quality and accuracy of their transactions. Data validation can involve many types of transactions, which includes orders, applications, claims, and various other service requests.

Data validation is a key component of almost every business process in Financial Services. The Data Validation Manager business service can validate business component data based on a set of rules.

In the case of a rule violation, a custom error message appears or a user-defined error code is returned. The validation rules are defined using the Siebel Query Language and can be conveniently constructed using the Personalization Business Rules Designer. The business service centralizes the creation and management of data validation rules without requiring Siebel Tools configuration, and does not require the deployment of a new SRF.

The Data Validation Manager business service significantly reduces the need for custom scripts, decreasing implementation costs and increasing application performance.

The Data Validation Manager features include:

- Search automatically for the proper rule set to execute based on active business objects and views.
- Write validation rules based on fields from multiple business components.
- Apply a validation rule to a set of child business component records to see if a violation occurs from one or more records.
- Invoke specific actions to be performed as a result of a validation.
- Write validation rules that operate on dynamic data supplied at run time without that data being from business component field.
- Automatic logging of data validation events.

Some example business rules that can be enforced by the Data Validation Manager business service are:

- In an insurance company, claim adjusters are required to enter a closed date whenever they close a claim. If the adjuster tries to close a claim without a closed date, he is prompted with an appropriate error message and the claim record is not committed to the database.
- In a retail bank, different data validation rules are required for each of dozens of different service request types. When a customer service representative creates a new service request, the Data Validation manager identifies the appropriate validation rule set for the specific type of service request and executes the data validation rules of that rule set.
- At a health insurance company, customer service representatives use activity plans and activities to track service requests. All activities must be closed before the service request can be closed. When the CSR closes the SR, the DVM loops through all associated activities making sure the status of each activity is closed. If any are still open, the SR cannot be closed.

For more information about Data Validation Manager, see *Siebel Order Management Infrastructure Guide*.

Business Rule Processor

The Business Rule Processor (BRP) business service is a general-purpose, highly-scalable business logic execution engine. The business logic is defined from within the Siebel client administration user interface, reducing the need to hard-code the logic into the Siebel Repository file. This supports scenarios in which there are constant changes to the business rules. The BRP can define and execute highly complex business logic.

You can invoke the BRP by a run-time event, workflow, or Siebel script. This is described in [Invoking the Business Rule Processor on page 246](#).

The Business Rule Processor features include:

- Business logic administration through the application user interface.
- Appropriate for complex business logic; supports procedure, loops, if-then-else and switch-case constructs.
- Appropriate for business logic that changes frequently. You can modify business logic without deploying a new SRF.
- Query, read, and write access to business components.
- Error handling.
- Support logging at multiple levels for easy testing and debugging.
- Can potentially replace large amounts of custom scripts.

The BRP executes business rule processes. A business rule process is constructed much like a computer program or a Siebel workflow. A process consists of procedures. Procedures are made of steps. Steps, in turn, contain statements. A statement is a conceptual line of code.

BRP configuration and administration should only be done by expert users accustomed to working with business services.

TIP: Before you begin to create a business rule process, you need to carefully consider and plan out the required steps for the process.

Process of Defining Business Rule Processes

Defining business rules processes involves the following procedures:

- 1 ["About Business Rule Process Property Types" on page 220](#)
- 2 ["Defining Procedures for a Business Rule Process" on page 224](#)
- 3 ["Using BRP Helper Business Services" on page 236](#)

Figure 4 presents an overview of defining business rule processes.

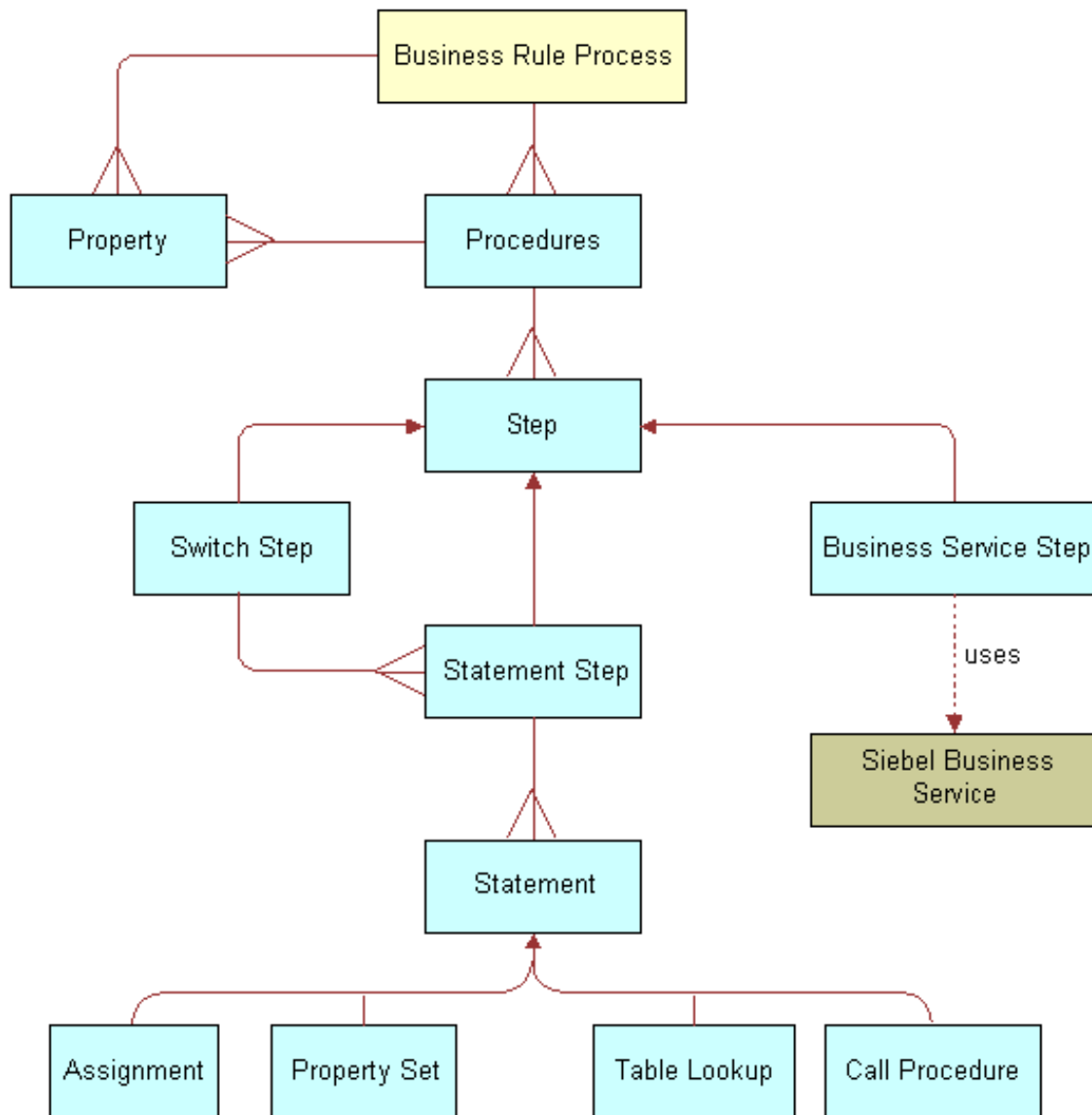


Figure 4. Business Rule Processor Design Diagram

Creating and Managing Business Rule Processes

This topic describes how to create and manage business rule processes.

About Business Rule Processes

A BRP process is uniquely identified by its name. A process name must begin with a letter. It can contain alphanumeric, space, underscore, and hyphen. The name cannot contain other special characters like @ or !.

NOTE: BRP names are case sensitive and limited to 75 characters.

TIP: It is important to establish a naming convention before you engage in the development of BRP processes.

About Defining Business Rule Processes

You define business rule processes from the Business Rule Processor screen. You can either revise an existing process or create a new one.

A business rule process is made up of procedures and properties.

A BRP process can have one of three statuses:

- In progress. You can modify only a process in the In-progress status
- Active. An Active status indicates that the process definition is released for execution
- Inactive. An Inactive process indicates that the process is no longer in use and has been retired

NOTE: The status of process indicates its edit disposition rather than its current run-time execution status.

Additionally, all BRP process definitions are cached in the object manager across all login sessions to improve scalability. Hence, if any modifications are made to the process definitions, then they are not available to the run-time sessions until the cache is refreshed.

It is recommended that you put in place procedures to promote BRP processes from development to production, and establish controls on how to refresh the cache.

You can import and export business rule processes. This makes migrating process definitions across development and production environments easier. The process is saved as an XML file for importing and exporting purposes.

This step is part of [Process of Defining Business Rule Processes on page 216](#).

To create a business rule process

- 1 Navigate to the Business Rule Processor screen.
- 2 Create a new record.

To revise an existing business rule process

- 1 Navigate to the Business Rule Processor screen.
- 2 In the Processes list, select a business rule process of status Active or Inactive and click Revise.
Clicking Revise changes the status of the process to In Progress.

- 3 Make the appropriate changes to the process.

To activate a business rule process

- 1 Navigate to the Business Rule Processor screen.
- 2 In the Processes list, select the business rule process you wish to activate.
- 3 Click the Activate button.

Clicking Activate changes the Status from In Progress to Active and makes the record read-only.

- 4 Click the Refresh Cache button.

This clears the OM cache and creates a new copy of the process definitions.

Any process that is executing when the cache is cleared is allowed to complete. However, the new process definition is available to all processes that start right after the button is clicked.

NOTE: Take care while using this feature. Refresh Cache clears the cache for all BRP process definitions. Hence, any processes that are In-progress or Inactive are lost from the cache.

To export a business rule process

- 1 Navigate to the Business Rule Processor screen.
- 2 In the Processes list, select the process you wish to export and click the More Info view tab.
- 3 In the Processes form, click the Export Process button.
- 4 Follow the on-screen prompts to save the rule set as an XML file.

To import a business rule process

- 1 Navigate to the Business Rule Processor screen.
- 2 Click the More Info view tab.
- 3 In the Processes form, click the Import Process button.
- 4 In the Workflow Process Import dialog box, locate the file you wish to import and click Import.
The imported process appears with a status of In Progress.
- 5 To activate the imported process, select it in the Processes list and click Activate.
Clicking Activate changes the rule set Status to Active and makes the record read-only.

NOTE: If the process already exists, the process status must be In progress to allow the import. View imported processes by performing a query/go operation to refresh the Processes list.

Defining Properties for a Business Rule Process

Properties are:

- Variables that are used either to facilitate flow of data in and out of a process or to store information temporarily for the life of the process.
- Either global process properties or local procedure properties. Global properties are available for all procedures that are associated with the business rule process.

The property name:

- Must begin with a letter.
- Can contain alphanumeric, spaces, underscore, and hyphen.
- Cannot contain other special characters such as an ampersand (@) or exclamation mark (!).
- Are case sensitive and limited to 75 characters.

NOTE: If a procedure defines a local property with the same name as a global property, the local property takes precedence over the global property within the scope of that procedure.

This step is part of [Process of Defining Business Rule Processes on page 216](#).

About Business Rule Process Property Types

You can categorize properties into two classes:

- Simple property types. Scalar properties such as an integer, string, or date.
- Complex property types. Non-scalar properties such as property sets, vectors, and Siebel Business Component references.

At run time, you can pass values for global properties to the BRP business service as an input argument. This run-time value overwrites the initial value definition, if any, on the property.

TIP: Use an appropriate prefix, such as `global_`, `local_`, or `l_` to designate local and global properties.

Complex properties except `PropertySet` and `Vector` cannot be passed as inputs to a BRP process.

Table 14 describes the complex types in further detail.

Table 14. Complex Property Types

Type	Description
BusComp	<p>This data type stores a reference to a Siebel Business Component (BC) and is used in conjunction with the FINS CAP Buscomp Handler business service. See Using BRP Helper Business Services on page 236.</p> <p>BusComp is used within BRP process as a stand-alone BC, without the context of Business Object (BO). Hence, you have to explicitly query the BusComp with the correct key values to establish a context.</p>
Property Set	<p>Property sets are collections of properties used for storing data. They may have child property sets assigned to them to form a hierarchical data structure.</p> <p>See <i>Siebel Object Interfaces Reference</i>.</p> <p>The Property Set itself can contain child property sets. This is particularly convenient to store array-like data. For example, to store multiple contacts and their properties such as Name, Phone Number, and Date of Birth. Each contact is stored as a child property set of Contacts. At the leaf, the property map stores data as a name-value pair.</p> <p>A property set cannot be instantiated with an assignment. Property sets are always instantiated using a business service, such as FINS CAP Buscomp Data Loader Service. See Using BRP Helper Business Services on page 236.</p>

Table 14. Complex Property Types

Type	Description
Vector	<p>Vectors are special-formatted Property Sets, where each non-leaf node stores a unique key as its value.</p> <p>NOTE: The vector root node type for a BRP process is always SEBLFACapVector.</p> <p>A vector cannot be instantiated with an assignment. Vectors are always instantiated using an business service, such as FINS CAP Buscomp Data Loader Service. See Using BRP Helper Business Services on page 236.</p> <p>The following diagram shows a ProductRate vector that has 2 levels - Region & Product name. At the leaf level the vector stores the rate and the balance as key value pairs.</p>

Table 14. Complex Property Types

Type	Description
Vector Reference	<p>Vector Reference is a reference to a property set, vector or a child property set. Once defined, you can use Vector Reference as a vector or propertyset.</p> <p>When the referenced object is reset, the dependent reference is automatically set to NULL.</p> <p>This property set is particularly useful when accessing data on the child property sets. There are two ways to make a child Property Set reference:</p> <ul style="list-style-type: none"> ■ <code>childPropertySetRef = parentPropertySet[strkeyValue]</code> ■ <code>childPropertySetRef = parentPropertySet(nIndex)</code> <p>About Using Parentheses</p> <p>Round parentheses () are used to retrieve a child Property Set by index.</p> <p>NOTE: The index starts at 0.</p> <p>Square parentheses [] are used to get a child Property Set by value.</p> <p>NOTE: Accessing by value is only valid for Vectors.</p> <p>Only literals or property names can be used within [] or (). Expressions cannot be used within.</p> <p>TIP: To use expressions within [] or (), assign these to a simple property type and use the simple property within [] or ().</p> <p>You can use square and round parentheses in combination.</p> <p>Example:</p> <pre>grandchildPropertySetRef = parentPropertySet(2)["California"]</pre> <p>In the preceding notion, parentPropertySet itself can be a reference. In other words, a reference and a property set are used interchangeably for data access.</p> <p>Retrieve leaf properties by using square parentheses [].</p> <p>Example:</p> <pre>ProductRate = productRate[productId][domain]["Annual Fee"]</pre>

To define a property for a business rule process

- 1 Navigate to the Business Rule Processor screen and select a process for which you want to create global variables.

- 2 Click the Properties view tab and create a new property completing the fields as necessary. Some fields are described in the following table.

Field	Comments
Sequence	Identifies the numeric sequence of this property. The application initializes properties in numerical order based on this number.
Data Type	<p>The data type for the property. The value can be one of the following.</p> <p>Simple types:</p> <ul style="list-style-type: none">■ String■ Integer■ Number■ Date■ Boolean <p>Complex types:</p> <ul style="list-style-type: none">■ Property Set■ Vector■ Vector Reference■ BusComp
Value	<p>Initial value of the property.</p> <p>Initial values can be set only for Simple property types.</p>
Output	<p>Select this check box to make property an output argument and is used to pass information out of the business service. which has no output arguments of its own.</p> <p>This flag does not apply to Complex property types except PropertySet and Vector.</p>

Defining Procedures for a Business Rule Process

Procedures are collections of steps. When a procedure is executed, each step in the procedure is executed in sequence.

One of the procedures is designated at the process level as the entry procedure. This procedure is executed when the process is executed. Within the entry procedure, other procedures are invoked by additional procedure statements.

Each procedure is uniquely identified by its name. The name must begin with a letter. It can contain alphanumeric, spaces, underscores, and hyphens. It cannot contain other special characters such as an ampersand (@), exclamation mark (!), or percent sign (%). Procedure names are case sensitive.

A procedure can have its own local properties. These properties can only be accessed within the procedure where they are defined. If a local property has the same name as a global property, the local property takes precedence over the global property.

This step is part of [Process of Defining Business Rule Processes on page 216](#).

To define a procedure for a business rule process procedure

- 1 Navigate to the Business Rule Processor screen and select a process.
- 2 Click the Procedures view tab, and create a new procedure.
- 3 In the Properties list, create new records to define local variables for the procedure.

The fields for a local variable are equivalent to those of a global variable. The fields are described in [To define a property for a business rule process on page 223](#).

NOTE: Properties defined for a procedure are local variables accessible only to the parent procedure. You can define global variables in the Business Rule Processor Properties view. See [Using BRP Helper Business Services on page 236](#).

To define a step for a business rule process procedure

- 1 Navigate to the Business Rule Processor screen, select a process and a procedure.

- 2 Navigate to the Steps list and create a new record to define each step for the procedure. Some of the fields are described in the following table.

Field	Comments
Sequence	The numerical order in which the steps are executed.
Step Type	<p>There are three types of steps:</p> <ul style="list-style-type: none">■ Statement Step. Contains one or more child statements that are executed if and when the statement step is executed.■ Business Service Step. Invokes a Siebel business service. Business Service Step provides a way to extend the capabilities of BRP beyond its out-of-box features. For instance, you could code custom functionality in an eScript and then wrapped as a Siebel Business Service. You could invoke this Business Service within the Business Service step and exchange arguments between the script and the BRP process.■ Switch Step. Contains switch criterion and a switch block for each criteria. The switch block is like a statement step and contains one or more child statements. <p>TIP: Use the switch step if a variable is a bounded variable. From a performance and maintenance standpoint, a switch step is better than multiple conditional statement steps.</p>
Inactive	A check box to activate or inactivate a given step.
Comment	<p>A free text field used to document the step.</p> <p>TIP: Make sure that each step has appropriate comments for ongoing maintenance of BRP process definitions.</p>

- 3 Drill down on the Step Type and proceed to one of the following steps, depending on the step type.
- [“Statement Step” on page 226](#)
 - [“Business Service Step” on page 231](#)
 - [“Switch Step” on page 232](#)

Statement Step

For a statement step:

- a** Complete the fields in the Statement Steps form, some of which are described in the following table.

Field	Comments
Condition	<p>A Siebel Query Language expression evaluated to be TRUE or FALSE.</p> <p>If the expression is evaluated to be TRUE, then the statement step is executed. If the field is not specified, then the statement step executes every time it is encountered.</p> <p>Example: [SomeIntegerVariable] < 0</p>
Loop	<p>If checked, the statement step iterates over and over as long as the Condition is evaluated to TRUE.</p> <p>If neither Condition nor Loop is asserted, then the statement step is executed one time, unconditionally.</p> <p>The looping is counted and compared with the maximum allowed Loop Count in order to avoid infinite looping. By default, this number is set to 1000, however, you can overwrite this value by defining the system preference FINS CAP Max Iteration. If the iteration number exceeds the maximum, an error is thrown. Refer to Handling Business Rules Processor Errors on page 234 for more information on handling errors.</p> <p>TIP: Construct a For...next loop, by defining a local variable and then either incrementing or decrementing that variable in a statement. On the condition, check if the local variable has reached its limit.</p>

- b** Add one or more records to the Statements list, defining the statements of the statement step. Some of the field are described in the following table.

Statement Type	Value	Expression	Example
Assignment. Evaluates the expression and assigns the resulting value to the property listed in the Value field.	Name of a local, global, and system properties previously defined for the business rule process.	A Siebel Query Language expression.	
Procedure. Invokes another procedure defined inside the BRP process.	Name of a defined procedure which is part of the business rule process.	Null and read-only.	

Statement Type	Value	Expression	Example
PropertySet Value. Retrieves a property value from a property set or child property set, as defined by Expression. This property value is placed into the variable defined by Value.	Name of a local, global, and system properties previously defined for the business rule process.	<p>A property set value retrieve expression. The expression must begin with a variable of type property set, vector set reference, or vector.</p> <p>Each index can be either a variable of type integer or number, or numeric literal. No Siebel calculation expressions can be involved.</p> <p>EX: PropSet[AnInteger]["SomeName"] PropSet(2)["SomeName"] No Siebel calculation expressions can be involved.</p>	<p>Consider a Property Set called productRate that contains banking product information organized by Region and Product Name.</p> <p>Retrieve the Annual Fee property from the Property Set and assign this to a local property named I_Rate, by setting: Value = I_Rate Expression = productRate["West"]["Checking"]["Annual Fee"]</p>
PropertySet Set Value. Assigns a value to a property set property value.	<p>A property set value retrieve expression.</p> <p>If the stated property name value does not exist, a new name/value pair is created.</p>	<p>Name of a local or global property.</p> <p>If the property is not a string, it is internally converted to a string first by BRP.</p>	<p>Set the Annual Fee property on the Property Set productRate, by setting: Value = productRate["West"]["Checking"]["Annual Fee"] Expression = I_Rate</p>

Statement Type	Value	Expression	Example
PropertySet Reference. Creates a reference to a vector or property set. If the referenced object is a vector, the reference acts as a vector. Otherwise, the reference acts as a property set. Creates an alias to a subset of a property set.	A local or global property of type Vector Reference.	<p>The expression must begin with a variable of type property set, vector set reference, or vector.</p> <p>Each index can be either a scalar property or a string or numeric literal. No Siebel calculation expressions can be involved.</p>	<p>Create a new Property Set Reference to all the products in the "East" region from the productRate Property Set, and assign this to a local variable l_east_prod, by setting:</p> <p>Value = l_east_prod</p> <p>Expression = productRate["East"]</p>
PropertySet Sum. Retrieves an aggregation value from a vector or property set.	<p>A local, global property.</p> <p>The property should be of data type number or integer.</p>	<p>A property set value retrieve expression.</p> <p>This expression differs from other property set retrieval expressions in that one of the indexes must be a wild card, indicating summing of all indices of that node. This is done by using an empty set of parenthesis.</p> <p>If the child property set, or the property does not exist, the return value is set to null.</p>	<p>Calculate the sum of balances under the Savings product across all regions from the productRate Property Set, and assign this to a local variable l_savings_bal, by setting:</p> <p>Value = l_savings_bal</p> <p>Expression = producetrate[] ["Savings"]["Balance"]</p>

Statement Type	Value	Expression	Example
PropertySet Childcount. Retrieves the number of child property sets.	A local, global property. Property should be of data type integer or number.	A property set reference retrieve expression. If the property set does not have a child property set, the return value is 0. If the property set does not exist, the return value is -1. The latter is a useful approach to determine if a property set, or a reference is null.	Calculate the number of products available in the west region from the productRate Property Set, and assign this to a local variable l_west_count, by setting: Value = l_west_count Expression = productRate["West"]
Table Lookup. Look-up a value based on ranges. The look up table is stored as a specialized property set. The property set consists of child property sets, and the child property sets contain three properties corresponding to Lower Bound, Upper Bound, and Value. At run time, for any input value, BRP looks up the child property set and locates the leaf whose lower Bound is smaller than the input value, but whose Upper Bound is bigger than the input value, and returns the Value property.	A local, global scalar property.	The expression follows property set retrieval syntax, but in the following specialized format: PropertySet [Upper Bound Field Name] [Lower Bound Field Name][Return Value Field Name] [InputProperty] The Upper Bound Field Name, Lower Bound Field Name, and Return Value Field Name must be a string literal or a BRP string property. The InputProperty must be the name of a BRP numeric property used to do the lookup.	Consider a TaxRateTable vector, where High, Low, and Rate fields define the Upper Bound, Lower Bound, and Return Value. Lookup the effective tax rate for a person given the Total Income and assign this to a local variable l_tax_rate, by setting: Value: l_tax_rate Expression: TaxRateTable["High"] ["Low"]["Rate"] [dMyTotalIncome]

Business Service Step

For a business service step:

- a** In the Business Service Step form, complete the fields as described in the following table.

Field	Comments
Business Service	<p>The name of the business service to invoke. In particular for BRP, there are two helper business services that you are likely to use for data access: FINS CAP Buscomp Data Loader Service and FINS CAP Buscomp Handler.</p> <p>For more information on these two business services, see Using BRP Helper Business Services on page 236.</p>
Method	The business service method to use.
BusComp	<p>A reference to a Buscomp Property Type.</p> <p>This field is used only in conjunction with the two BRP helper business services, FINS CAP Buscomp Data Loader and FINS CAP Buscomp Handler. See Using BRP Helper Business Services on page 236.</p>

- b** In the Arguments list, define required input and output arguments for the business service invoked. Some of the fields required are described in the following table.

Field	Comments
Direction	Type of argument: Input, Output, or Input/Output.
Name	<p>The argument name.</p> <p>Use the pick list to select the name for registered business services. Picking the argument name automatically sets the direction.</p>
Type	<p>The mechanics of passing values to the Business Service. Select from one of three values:</p> <ul style="list-style-type: none"> ■ Literal. For Input and Input/Output arguments, the literal string in the value field is passed as an input to the Business Service method. For output arguments, this selection is invalid. ■ Property. For Input and Input/Output arguments, the value of the local or global property is passed as an input to the Business Service method. For output arguments, the return value is populated into the local or global property. ■ Expression. For Input and Input/Output arguments, the expression in the Value field is evaluated and is passed as an input to the Business Service method. For output arguments, this selection is invalid.

Field	Comments
Value	Contains different values depending on the argument type: <ul style="list-style-type: none"> ■ Literal. Contains the string value. ■ Expression. Contains the Siebel query expression. ■ Property. Disabled.
Property	Local or global property. This field is disabled for Literal or Expression type arguments.

Switch Step

For a switch step:

- a In the Switch Steps form, enter the switch criteria, a Siebel Query Language Expression that evaluates to be a string.
- b In the Switch Blocks list, create records and complete the fields as described in the following table.

Field	Comments
Value	A string value used to compare with the switch step criterion value. If they are the same, the switch block is executed, which, in turn, executes the child statements belonging to the switch block.
Default	If checked, the switch block acts as the default switch block. It is executed if no match is found for the switch step criteria. At any point, you can disengage only one Switch Block as the default block.

- c In the Statements list, enter one or more statements. See [Statement Step on page 226](#) for details on creating statements.

Fine-Tuning the Assignment Statement

You can use two fields available at the statement level to fine-tune the performance of Assignment Statements:

- Cache Flag
- Light Parser Flag

For most cases, it is recommended to leave these fields at their default values. It is only necessary to consider changing these values if performance is deemed poor.

About the Light Parser Flag

Within your Siebel application, calculation expressions are evaluated using Siebel Query Language Parser. This parser could be performance and resource intensive if the expressions are simple numeric. However, to improve performance, BRP includes a high-performance light parser, which is used solely to evaluate numeric expressions. In most cases, the light parser works many times faster than the Siebel Query Language for simple numeric.

The following examples are numeric expressions that can be handled by the light parser:

- $12 + 8 + [A] * [B]$
- $5 + (12 + [A] * ([B] + [C]))$

The following examples are considered complex and cannot be handled by the light parser:

- `IIf ([A] > [B], 0, 1)`
- `[A] IS NULL`
- `LN (10)`

When the Light Parser flag is checked, BRP attempts to use the light parser to parse and evaluate the expression. If this fails, BRP resorts to Siebel Query Language engine to parse the expression. By default, Light Parser Flag is checked.

TIP: If the Light Parser flag is checked, but the expression is not a simple expression, the BRP logs an entry in the log file at run time if the Siebel log level is informational or higher. Use these log entries to help you fine-tune assignment statements. See [Logging Business Rules Processor Debug Messages on page 248](#) for more information.

About the Cache Flag

Table 15 shows the options if the Cache flag is checked or unchecked. It is recommended that you leave this flag at its default value, that is, checked.

NOTE: The Cache flag is only meaningful when the expression is not handled by a light parser.

Table 15. Cache Flag Options

If...	Then...
The Cache flag is checked.	Only one single parse tree is established for the expression within the object manager, irrespective of the number of open sessions. Therefore, when all sessions share the same parse tree, the memory footprint is reduced, however an overhead for context switch is assumed.
The flag is not checked.	Each session has its own parse tree for the expression. There will be no context switch, but the memory footprint is increased.

Handling Business Rules Processor Errors

BRP offers a mechanism to handle errors that includes two key features:

- [“Throwing Errors Within a Business Rules Process” on page 235](#)
- [“Recovering From Errors Within a Business Rules Process” on page 235](#)

Throwing Errors Within a Business Rules Process

The BRP process definition includes three global system properties to throw errors and provide some meaningful information when a run-time error occurs. These properties are presented in [Table 16](#).

Table 16. Global System Properties for Errors

Property Name	Type	Description
System_ErrorCode	String	Alphanumeric error code. This property contains an empty string when there is no error.
System_ErrorMessage	String	Descriptive error message.
System_ErrorSource	String	Current context of the error.

After each statement, step, or procedure is executed, the BRP processor checks if System_ErrorCode is an empty string. There are two ways to set System_ErrorCode:

- **Manually** (Expected Error Conditions). An explicit assignment statement sets a non-empty string to System_ErrorCode.
- **Automatically** (Unexpected System Error Conditions). The BRP Processor detects a system error such as failure to invoke a business service, or failure to evaluate a Siebel query language expression, and sets System_ErrorCode to a Siebel error code.

When System_ErrorCode is non empty, an error occurs and the BRP processor uses the following syntax to automatically set the error source to the full context of the current execution unit:

Statement Seq (Block Seq) Step Seq Procedure Name

where, Seq represents the sequence number of the Statement, Block, or Step.

NOTE: Block is optional and occurs only inside a switch step.

The three output global properties System_ErrorCode, System_ErrorMessage, and System_ErrorSource are returned back to the calling process.

Recovering From Errors Within a Business Rules Process

For every BRP process, a procedure can be nominated as the error procedure at the process level. If defined, when an error condition occurs, this procedure is automatically invoked to handle the error.

On completion of the error procedure, System_ErrorCode property is rechecked. If it is empty, the execution continues from the point where the error was originally thrown. If the error code is still populated, the process does not necessarily end, but rather follows an error bubbling process.

For example, if an error encounters in Statement 10 Step 5 Procedure Main, the error procedure is first executed with `System_ErrorSource` to be 'Statment 10 Step 5 Procedure Main'. If the error is not handled, the error bubbles one level higher, to Step 5 Procedure Main. The error procedure is then re-executed with `System_ErrorSouce` to be 'Step 5 Procedure Main'. If error is handled there, the next step following Step 5 is executed. Otherwise, the error bubbles to Procedure Main.

The whole bubbling process continues until it reaches the process level, with `System_ErrorSource` to be Process *myProcessName*. If the error is not handled at the process level, the process ends with an error.

It is important that the error procedure be thoroughly tested. If an execution error occurs within the error procedure, the error procedure will not be recursively invoked; the error procedure will end with an error.

TIP: Use a `Switch` block within the error procedure to check for known error codes.

Using BRP Helper Business Services

In Siebel Financial Services, there are two helper business services that are used as business service steps within the BRP. They are both used to facilitate data access with a business rule process. The two business services are:

- **FINS CAP Buscomp Data Loader Business Service.** The FINS Buscomp Data Loader is used to load data for prop sets.
- **FINS CAP Buscomp Handler Business Service.** This business service takes the results of calculations done within the BRP and then either creates new buscomp records, updates existing buscomp records, or queries on calculation results.

FINS CAP Buscomp Data Loader Business Service

Use this business service to load data from a Siebel business component into a Siebel property set. Additionally, once this data is loaded into a property set, it can be cached and shared across all login sessions.

This business service exposes three methods:

- `LoadData`
- `ClearCache`
- `NewVector`

About LoadData Method

Use the LoadData method to load Buscomp data into a property set. The property set follows the vector format. [Table 17](#) describes the input and output parameters for this method.

NOTE: Default the Search Spec, Sort Spec, Hierarchical Key, Key Field, Value Field, and Aggregate field arguments by defining these as user properties on the source business component. Pre-fix the BC user property with FINS Data Loader to identify these fields.

For example, define the default search spec as the Buscomp user property: FINS Data Loader Search Spec.

Table 17. LoadData Method Parameters

Parameter Name	Direction	Description
BusComp	Input	The name of a Siebel BC.
IsCachedData	Input	<p>If true, the resulting vector is cached within the OM. Further requests to load data from the same business component are handled through the cache.</p> <p>Cached data is retrieved based on the business component name. If a second retrieval request uses different search spec, fields, format, and so on, release the original cached data first.</p>
Search Spec	Input	<p>The search spec applied to the business component when loading data.</p> <p>Since the FINS CAP Data Loader Service works outside the context of a business object, the search spec should include the appropriate user key fields.</p>
Hierarchical Key [n]	Input	<p>Hierarchical keys define the hierarchy within the vector. These keys identify the unique key at each level.</p> <p>Specify multiple hierarchical keys by defining [n] = 1, 2, 3 ... n</p> <p>Refer to the ProductRate vector illustrated under Defining Properties for a Business Rule Process on page 220. In the ProductRate vector, Region and Product fields represent the hierarchical keys.</p>

Table 17. LoadData Method Parameters

Parameter Name	Direction	Description
Sort Spec	Input	<p>The sort specification applied to the business component when loading data.</p> <p>It is important to match the Sort Spec and the hierarchical keys when creating the vector. When a business component is accessed through the FINS CAP Buscomp Data Loader Service, sorting controls the shape of the parent/child tree structure. Records are processed sequentially and are aware of only the last parent node key. When children nodes are added to a parent node, they continue to be added until a new value is retrieved for the hierarchical key. When a new key value is discovered, a new parent node is immediate created, and children are assembled under that parent. This process continues until all records are collected.</p> <p>If a key equal to a previously processed node is retrieved after a different node key has been processed, a new node is produced rather than adding to the original.</p>
Field [n]	Input	<p>The name of Buscomp fields whose values are retrieved as the leaf propertyset properties. The property name is the field name, and the property value is the field value.</p> <p>[n] = 1, 2, ...</p> <p>This represents one approach to how Buscomp fields can be retrieved. See Example of LoadData Method Using Field [n] on page 239.</p>
Key Field & Value Field	Input	<p>Used to retrieve data as Key/value pair and store as a property in the leaf propertyset. The field value of the Key Field is the name of the property and the value of Value Field is stored as the value of the property.</p> <p>This is an alternative approach to Field [n] to retrieve data. See Example of LoadData Method Using Key Field and Value Field on page 240.</p> <p>Duplicate Key/Value pairs are not allowed. If duplicates are found when the vector is created, the new entry replaces the old entry.</p>

Table 17. LoadData Method Parameters

Parameter Name	Direction	Description
Aggregate Field[n]	Input	Fields that will be aggregated if duplicates occur. Multiple aggregate fields can be specified by defining [n] = 1, 2, 3 ... n This parameter is useful with the Key Field/Value Field data retrieval approach. For example, a contact can have multiple income records with different types. If the Aggregate Field is defined, the data loader service automatically sums the income and stores this as a single income key/value pair.
Vector	Output	The resultant vector output.

Example of LoadData Method Using Field [n]

Golden Gate Bank defines its product rates in the Buscomp Financial Product. The fields in the Buscomp and some sample data are:

Region	Product	Balance	Rate
West	Checking	10000	0.2
West	Saving	29000	2.1
West	N Market	87560	2.5
East	Checking	40000	0.24

Use the following arguments to retrieve the data and store it in a format as defined by the ProductRate Vector sample diagram shown in [Vector](#) type in [Table 14](#).

Input Argument Name	Value
Buscomp	Financial Product
IsCachedData	Y
Hierarchical Key 1	Region
Hierarchical Key 2	Product
Sort Spec	Region, Product
Field 1	Balance
Field 2	Rate

The data is stored into a vector named productRateVector. Then, the rate of the Checking product in the East region can be retrieved as:

```
productRateVector["East"]["Checking"]["Rate"]
```

using a PropertySet Value statement.

Example of LoadData Method Using Key Field and Value Field

Golden Gate Bank decides to implement its product rates using a different schema. Instead of one record for one product as shown in [Example of LoadData Method Using Field \[n\] on page 239](#), they would like to store the data using name-value pairs for each product. The advantage of this approach is that they can add new attributes without schema changes. The data is stored in Financial Product Attribute buscomp in the following manner:

Region	Product	Attribute Name	Attribute Value
West	Checking	Balance	10000
West	Checking	Rate	0.2
West	Saving	Balance	29000
East	Saving	Rate	2.1

Use the following arguments to retrieve the data and store it in a format as defined by the ProductRate Vector sample diagram shown in [Vector](#) type in [Table 14](#).

Input Argument Name	Value
Buscomp	Financial Product Attribute
IsCachedData	Y
Hierarchical Key 1	Region
Hierarchical Key 2	Product
Sort Spec	Region, Product
Key Field	Attribute Name
Value Field	Attribute Value

About ClearCache Method

Use this method to create an empty Vector or PropertySet. There is one output argument, Vector. In BRP, PropertySets and Vectors are uninitialized before they are populated by a business service method, for example, the data loader LoadData method. You can use the NewVector method to generate an empty PropertySet/Vector.

FINS CAP Buscomp Handler Business Service

FINS CAP Buscomp Handler Business Service provides the ability perform data operations such as query, update, and insert within the context of a business rules process.

NOTE: The business component is established without the context of business object. Pay special care to identify the user keys for each record when inserting and setting values. Additionally, the normal Siebel error handling resulting from the business object context is not enforced.

FINS CAP Buscomp Handler Business Service provides the following five methods:

- Query
- NextRecord

- GetFieldValue
- SetFieldValue
- InsertRecord

All of these methods need a BusComp variable to be defined under the business service step definition. See [Business Service Step on page 231](#) for details on defining a business service step.

About Query Method

Use this method to retrieve data from a Siebel business component into a BRP BusComp property. [Table 18](#) describes the input and output parameters for this method.

Table 18. Query Method Parameters

Parameter Name	Direction	Description
ActivateFieldName(1,2,3...n)	Input	<p>The name of the fields that should be included in the query. List each field individually in a sequence.</p> <p>Any field that you need to use with the GetFieldValue and SetFieldValue methods, must be activated prior to using these.</p> <p>There are no limits to the number of fields that can be activated, however, care must be taken since this affects performance of the query.</p>
BusCompName	Input	The Name of the business component from which the data is to be retrieved.
SearchSpec	Input	<p>The search spec applied to the business component when retrieving data. This is a regular Siebel Query Language expression.</p> <p>Since the business service operates without a context of business object, the search spec should include the appropriate user keys when the query is used for an update.</p>
SearchSpecFieldName(1,2,3...n)	Input	<p>Search Spec Field Name/Value pair is an alternative way to set search spec on a field.</p> <p>For example, SearchSpecFieldName1=Application Flag, SearchSpecFieldValue1=Y, then this is the equivalent of setting SearchSpec to be:</p>
SearchSpecFieldValue(1,2,3...n)	Input	<p>[Application Flag] = Y</p>

Table 18. Query Method Parameters

Parameter Name	Direction	Description
SortSpec	Input	The sort specification applied to the business component when querying data.
Status	Output	<p>The status of the query operation. Status can have one of two values:</p> <ul style="list-style-type: none"> ■ Succeeded. Indicates that the query returned at least one business component record. ■ Failed. Indicates that either the query returned no business component records or the query failed due to a system error. <p>Following any data operation, use the Status field to check for error conditions and take appropriate actions. See Handling Business Rules Processor Errors on page 234 for information on error handling.</p>

Figure 5 shows the use of Query method to retrieve data from the FINS Health Provider business component.

The screenshot shows the 'Business Service Step' configuration window. The 'Type' is set to 'Business Service S', 'Business Service' is 'FINS CAP Buscomp Han', and 'Method' is 'Query'. The 'Comment' field contains 'Fetch the panel status for the provider'. The 'BusComp' dropdown is set to 'L_provider_buscomp'. Below this, the 'Arguments' table lists the parameters for the query method.

Direction	Name	Type	Value	Property	Comments	Inactive
Output	Status	Property		L_query_status	Return status of the query	
Input	ActivateFieldname1	Literal	Name		Name of the provider	
Input	ActivateFieldname2	Literal	Panel		Panel status for the provider	
Input	BusCompName	Literal	FINS Health Provider		Business component to query	
Input	SearchSpec	Expression	[ID] = "" + [g_provider_id] + ""		Query by the provider id	

Figure 5. Using Query Method to Retrieve Data

About GetFieldValue Method

Use this method to get a value of a Business Component field into a local or global property. [Table 19](#) describes the input and output parameters for this method.

Table 19. GetFieldValue Method Parameters

Parameter Name	Direction	Description
BusCompName	Input	The Name of the business component from which the data is to be retrieved.
FieldName(1,2,3...n)	Input	Name of the fields to be retrieved. This field needs to be activated prior to retrieval. See Table 18 on page 241 .
FieldValue(1,2,3...n)	Output	The output property into where the field value will be written. This is always of type property. FieldName and FieldValue need to be defined in pairs. That is, for each FieldName defined, a FieldValue should be defined as well.
Status	Output	The status of the GetFieldValue operation. The status can have one of two values: <ul style="list-style-type: none"> ■ Succeeded. Indicates that the query returned at least one business component record. ■ Failed. Indicates that either the query returned no business component records or the query failed due to a system error. Following any data operation, use the Status field to check for error conditions and take appropriate actions. See Handling Business Rules Processor Errors on page 234 for information on error handling.

About SetFieldValue Method

Use this method to set a value of a business component field. [Table 20](#) describes the input and output parameters for this method.

Table 20. SetFieldValue Method Parameters

Parameter Name	Direction	Description
BusCompName	Input	The name of a business component where the field to be updated is located.
FieldName(1,2,3...n)	Input	The name of the fields to be updated. This field needs to be activated prior to fetching. See About Query Method on page 241 .
FieldValue(1,2,3...n)	Input	The new value for the field. FieldName and FieldValue need to be defined in pairs. That is, for each FieldName defined, a FieldValue must be defined as well.
Status	Output	The status of the SetFieldValue operation. Status can have one of 2 values: ■ Succeeded. Indicates that the operation succeeded. ■ Failed. Indicates that the operation failed. Use the status field to check for error conditions and throw appropriate errors. See Handling Business Rules Processor Errors on page 234 for information on error handling.

About InsertRecord Method

Use this method to insert a record into a Business Component. [Table 21](#) describes the input and output parameters for this method.

Table 21. InsertRecord Method Parameters

Parameter Name	Direction	Description
BusCompName	Input	The name of a business component to which a record is to be inserted.
FieldName(1,2,3...n)	Input	The name of the fields to be included in the insert.

Table 21. InsertRecord Method Parameters

Parameter Name	Direction	Description
FieldValue(1,2,3...n)	Input	The value for the field. FieldName and FieldValue need to be defined in pairs. That is, for each FieldName defined, a FieldValue must be defined as well.
Status	Output	The status of the InsertRecord operation. Status can have one of 2 values: <ul style="list-style-type: none"> ■ Succeeded. Indicates that the operation succeeded. ■ Failed. Indicates that the operation failed. Following any data operation, use the Status field to check for error conditions and take appropriate actions. See Handling Business Rules Processor Errors on page 234 for information on error handling.

About NextRecord Method

Use the NextRecord method to advance to the next record in a list of business component records. [Table 22](#) describes the input and output parameters for this method.

Table 22. NextRecord Method Parameters

Parameter Name	Direction	Description
BusCompName	Input	The name of a business component.
Status	Output	The status of the NextRecord operation. Status can have one of 2 values: <ul style="list-style-type: none"> ■ Succeeded. Indicates that the operation succeeded. ■ Failed. Indicates that either the end record has reached or the operation failed with a system error. Following any data operation, use the Status field to check for error conditions and take appropriate actions. See Handling Business Rules Processor Errors on page 234 for information on error handling.

Invoking the Business Rule Processor

A business rule process can be invoked from a workflow or Siebel script. While the processor cannot be directly invoked from a run-time event, it can be invoked from a workflow that is triggered by a runtime event. For all three of these invocation methods, you can prepopulate global variables through the input arguments of the BRP. Input argument names must match the global variables you define.

For an example of how to invoke the BRP from a run-time event or a workflow, see the process for Data Validation Manager in *Siebel Order Management Infrastructure Guide*.

For information on invoking the BRP from with eScript, see [Using eScript to Invoke the Business Rule Processor on page 247](#).

NOTE: Within each session, BRP Processor creates a copy of the BRP executable objects. The executable objects belong only to a single login session and are not shared. These executable objects are cached within a login session. Release processes either explicitly or implicitly when the open session is closed.

The FINS CAP Processor Service Business Services exposes three methods. [Table 23](#) describes these methods.

Table 23. FINS CAP Processor Service Business Services Methods

Method - Description	Input Arguments	Output Arguments
LoadProcess - The named calculation process definition is loaded, and an executable instance of the process is instantiated in the current Web session.	System_ProcessName - The name of a calculation process.	None.
RunProcess - This method executes the named process. If the process definition has not been loaded, the processor loads the definition first. Whenever a BRP process is executed, the processor checks if the current process definition cached in the OM instance. If not, the processor instantiates the process definition into the OM instance.	System_ProcessName - The name of a calculation process.	System_ErrorCode System_ErrorMessage System_ErrorSource Return Codes. See Handling Business Rules Processor Errors on page 234 .
ReleaseProcess - This method releases the named process executable in the current Web session. This does not affect other open Web sessions.	System_ProcessName - The name of a calculation process.	None.

Using eScript to Invoke the Business Rule Processor

The following is an illustration of how to invoke the BRP using eScript.

Example of Loading the BRP Business Service

This example provides a sample eScript that loads a BRP process definition.

```
var psIn  = TheAppl i cati on().NewPropertySet();
var psOut = TheAppl i cati on().NewPropertySet();
var bs    = TheAppl i cati on().GetService("FINS CAP Processor Servi ce");

psIn.SetProperty ("System_ProcessName", "MyBRPPProcessName");

bs.InvokeMethod("LoadProcess", psIn, psOut)
```

Example of Running the BRP Business Service

This example provides a sample eScript that executes a BRP process definition. The script also shows how to pass an input argument (g_AssetId) to a BRP process.

```
functi on WebAppl et_PreI nvokeMethod (MethodName)
{
    if (MethodName == "I nvokeMyBRP")
    {
        var psi nputs  = TheAppl i cati on().NewPropertySet();
        var psoutputs = TheAppl i cati on().NewPropertySet();
        var oBusObj    = TheAppl i cati on().Acti veBusObj ect();
        var oBusComp   = oBusObj .GetBusComp("FINS Group Pol i cy");
        var sAssetId   = oBusComp.GetFi el dVal ue("Id");

        psi nputs.SetProperty ("g_AssetId", sAssetId);
        psi nputs.SetProperty ("System_ProcessName", "MyBRPPProcessName");

        var obs = TheAppl i cati on().GetService("FINS CAP Processor Servi ce");
        obs.InvokeMethod ("RunProcess", psi nputs, psoutputs);

        return (Cancel Operati on);
    }
    return (Conti nueOperati on);
}
```

Logging Business Rules Processor Debug Messages

BRP provides different levels of execution logging in the form of trace files to facilitate debugging a process. Currently, there are two levels of BRP logging. These levels are detailed in [Table 24](#):

Table 24. BRP Levels of Execution Logging

Level	Severity	BRP Implementation
4	Detail	Log the execution and initialization path of the BRP process without details.
5	Debug	Log execution details. Under this level of logging, the values of local and global properties are logged as a part of the assignment statements. TIP: To check the value of a variable, use a dummy assignment step.

The BRP log level is set with the environment parameter SIEBEL_FACAP_LOG_EVENTS.

BRP logging is written to the Siebel object manager log file. In order to enable BRP logging, the Siebel log level must also be informational or higher. For a mobile client, set the workstation system environment parameter SIEBEL_LOG_EVENTS = 3.

The SIEBEL_LOG_EVENTS can be set from Server Administration. Refer to *Siebel System Administration Guide* for more information.

In BRP logs, each local property is appended with its procedure name. For example, if a local property was defined as local_dMyIncome in Procedure Main, within the log file, this property would be identified as Main@local_dMyIncome.

CAUTION: BRP log files can grow quickly. In general, the logs should be enabled only for administrators to do debugging.

Requirements Manager

The section is about the Requirements Manager business service and includes the following topics:

- [“About Requirements Manager” on page 249](#)
- [“Administering Requirements Manager” on page 250](#)
- [“Creating Record Templates” on page 250](#)
- [“Creating Requirement Templates” on page 251](#)
- [“Using Requirements Manager” on page 254](#)
- [“Creating Record Group Templates” on page 254](#)

- [“Example of Using Requirements Manager for Record Group Templates” on page 256](#)

About Requirements Manager

The Requirements Manager is a business service that automatically generates activities, customer submissions, and workflows required at predetermined steps in the business process.

For example, a loan applicant may be required to submit proof of employment, account statements, and other documents. The Requirements Manager allows a business analyst to specify conditions under which certain documents would be required in order to move the application process forward. The business service is invoked at a predetermined point during the application process to generate the appropriate follow-up activities for customer submissions.

The Requirements Manager can be applied to a wide variety of usage scenarios including service processes such as the auto-creation of a fund transfer service request. Some examples of Requirements Manager scenarios are:

- **Life Insurance.** A life insurance policy might require a trailing document (a physical exam), an activity (such as an interview with an underwriter), and several forms to complete. If the product type = life insurance for instance, this set of requirements might be selected. However, an exclusion rule might be present to eliminate the need for the underwriter interview if the policy was for less than \$100,000.
- **Mortgage Application.** A mortgage application might require several documents, several disclosures, two annual tax returns (documents), an appraisal (activities), and a credit check (workflows) to complete. This set of requirements might be run for every mortgage, but there might be an exclusion rule such that if the loan-to-value is less than 50%, the tax returns are not required.

The Closing Requirement view is preconfigured in the Applications and Life & Annuities screens. You can use this to view the output of the Requirement Manager business service, for requirement templates defined on the FINS Application, and FINS Life Policy business objects respectively.

Key Features of Requirements Manager

The Requirements Manager business service provides the following key features:

- Define multiple requirement templates that supports version control
- Provide support for conditional expression in each requirement template
- Define record templates that can insert records into any Siebel business object and component
- Invoke predefined workflows automatically to support the processes

About Invoking Requirements Manager

Requirement Manager is invoked the same as any other business service; through a workflow, run-time event, or script. At the time of execution, the service evaluates the various templates from which to execute, and executes each requirement where the exclusion rule evaluates to false.

Administering Requirements Manager

Administering the Requirements Manager business service involves the following steps:

- 1 "Creating Record Templates" on page 250
- 2 "Creating Requirement Templates" on page 251

Optionally, you can create record group templates in order to aggregate other record group template and record templates. See [Creating Record Group Templates on page 254](#).

Creating Record Templates

The Record template is used to define templates that will work in a specific business object/component. It also defines the fields that will automatically populate the template in that business object/component. Upon execution, the business service generates a record in the business object/business component and populates the fields according to the specified template.

To create a record template

- 1 Navigate to the Administration - Record Template screen > Record Template view.
- 2 In the Record Template list, create a new record, and complete the fields.

Some of the fields are described in the following table.

Field	Description
Template Name	Name for the record template.
Display Name	The display name of the template as seen in the UI.
Business Object	<p>The business object for the template to be enabled.</p> <p>For example, to auto populate a record in the Applications or Life & Annuities screen, you must select FINS Application or FINS Life Policy business objects, respectively.</p>
Business Component	<p>Business Component on the selected business object.</p> <p>The Record Template Administration view is preconfigured so you can specify the prefill of two applets in the Closing Requirements view: activities and documents.</p> <p>For example, to prefill the record in one of these two applets, you must select Action or INS Policy Document, or FINS Application Mortgage Trailing Documents business component.</p>

- 3 In the Fields list, create a new record and complete the fields.

Some of the fields are described in the following table.

Field	Description
Sequence #	Sequence number for the fields.
Field Name	The field name in the specified business component.
Pre-Default Value	The prefilled value for the field. NOTE: You can put conditional statements on this field.
Business Component	Read-only field of the business component name.

- 4 In the Related Record Template list, create a new record and complete the fields.

The Related Record Template applet is used to specify child and grand child of record templates. Upon execution, the business service inserts a record as specified in the parent record template, as well as all records specified in child and grandchild templates.

Creating Requirement Templates

The Requirement Template is used to aggregate several record templates. The record template specified in [Creating Record Templates on page 250](#) only inserts one record in the business object/business component. Insert multiple records in different business objects/components, by aggregating multiple record templates in a single requirement template. Additionally, in a requirement template, you can specify a workflow to invoke.

To create a requirement template

- 1 Navigate to the Administration - Requirement Template screen > Workflows view.
- 2 In the Requirement Template list, create a new record and complete the fields.

Some of the fields are described in the following table.

Field	Description
Template Name	Name for the requirement template.
Display Name	The display name of the template as seen in the UI.
Business Object	The business object for the template to be enabled. For example, to pick the template name in Applications or Life & Annuities screen, you must select FINS Application or FINS Life Policy business objects, respectively.

Field	Description
Business Component	Business Component on the selected business object. For example, to be able to pick the template name in the Applications or Life & Annuities screen, you must select Opportunity or FINS Life Policy business components, respectively.
Condition	A valid Siebel query language expression. If this conditional expression evaluates to True then the rules under the rule-set would be evaluated. TIP: Use the expression builder to test the validity of conditional expressions.
Version	The version number of the template. NOTE: When you select the Revise button, the Siebel application automatically versions the template.
Status	Status of the template with values: active, pending active, inactive, outdated, and in progress.
Start Date	Start date for the template. You can specify a date in the future, and when activated, the status of the template changes to Pending Active. The application automatically changes the status to Active on the specified date and time, and executes the appropriate version of the template.
End Date	End date for the template. The application sets the status of the template to Outdated once the specified end date arrives.

- 3 In the Workflow list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Description
Sequence #	Sequence number for the workflow.
Workflow Name	Name of the workflow that is enabled for the business object/business component specified in the requirement template. NOTE: The workflow called here should be deployed and active. Please see <i>Siebel Business Process Framework: Workflow Guide</i> for further information.
Exclusion Rules	A valid Siebel query language expression. If this conditional expression evaluates to True, then the workflow is excluded.

Field	Description
Execute Immediately	<p>A flag to automatically execute the workflow when the requirement template is executed. This field should be empty to execute the workflow manually.</p> <p>See Using Requirements Manager on page 254 for information on executing the workflow manually.</p>
Workflow Context	<p>A text field passed as process properties to the workflow.</p> <p>The format of this field should be in the form of comma delimited, Name-Value pairs. For example:</p> <p>"State", "CA", "Source BusComp", "FINS Life Policy"</p> <p>Where State and Source BusComp are property names, and CA and FINS Life Policy are property values, respectively.</p>
Business Component	<p>Read-only field similar to the business component specified in the requirement template applet. Identifies the business component on which the exclusion rules will be evaluated.</p>

- 4 Click the Record Template view tab.
 - 5 In the Record Template list, create new record, and complete the fields in the list.
- Some fields are described in the following table.

Field	Description
Template Name	Select the template you want to associate with the requirement template.
Exclusion Rule	A valid Siebel query language expression. If this conditional expression evaluates to True, then the record template is excluded.
Expectation Set	<p>A flag to automatically invoke the Customer Expectations Manager.</p> <p>NOTE: The Customer Expectations Manager should be set before hand for this to work. Please see Using the Customer Expectations Manager on page 269 for more information.</p>
Auto-Assign	<p>A flag to automatically invoke the Siebel Assignment Manager.</p> <p>NOTE: Assignment Manager should be set before hand for this to work. Please see <i>Siebel Assignment Manager Administration Guide</i> for more information.</p>

- 6 In the Requirement Template list, click Activate.
- 7 (Optional) To revise the requirement template, click Revise.
- 8 (Optional) To deactivate a requirement template, click Deactivate.

Using Requirements Manager

Use the Closing Requirement view, enabled in the Applications and Life & Annuities screens, to view the output of the Requirement Manager business service, for requirement templates defined on the FINS Application, and FINS Life Policy business objects respectively. However, through configuration, the Requirements Manager can be invoked from any screen.

When invoked, the business service automatically prefills the target list or form with records as defined in the Administration - Requirement Template screen.

To invoke Requirements Manager

- 1 Navigate to either:
 - Applications screen > Application List view > Closing Requirements view
 - Life & Annuities screen > Life Policy List view > Closing Requirements view
- 2 In the Templates list, create a new record.
- 3 Select the template name as defined in [Creating Requirement Templates on page 251](#).
- 4 In the Templates list, click Execute.

Requirements Manager prefills Activities, Workflow, and Documents lists based on the records specified in the Administration - Requirement Template screen.

- 5 Complete the fields in the Activities, Workflow, and Documents lists.

NOTE: If the workflow is not set to run automatically, you can set the workflow manually by clicking [Execute in the Workflow list](#).

Creating Record Group Templates

The Record Group Template is used to define a template that works in a specific business object/component. The Record Group Template is used to aggregate other record group template and record templates. A record group template is based on the business component relationship defined in the business object layer. You can use the record group template to recursively execute interrelated business components, and generate data in a particular business component.

A record group template can include other related record group templates and related record templates. When the business service executes a record group template, it automatically, recursively executes any other related record template or related record group template defined.

Creating a Record Group Template involves the following steps:

- 1 Creating Record Group Templates
- 2 Creating Related Record Group Templates
- 3 Creating Related Record Templates

For an example of setting up a record group template, see [Example of Using Requirements Manager for Record Group Templates on page 256](#).

To create a record group template

1 Navigate to the Administration - Record Template screen > Record Group Template view.

2 In the Record Group Template list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Description
Template Name	Name for the record group template.
Display Name	The display name of the template as seen in the UI.
Business Object	The business object for the template.
Business Component	The business component on the selected business object.

3 In the Related Record Template list, create a new record and complete the fields.

You can use the Related Record Template list to specify a child of the record group template. Upon execution, the business service inserts a record in the business component on which the record template is defined, for the corresponding parent record.

Field	Description
Template Name	Name of the child template record.
Exclusion Rules	A valid Siebel query language expression. If this conditional expression evaluates to True, then the related record template is excluded.
Repeat Expression	A field indicating the number of times the record template should be executed within the context of the parent record group template. By default this is set to 1.
Business Component	Read-only field. Identifies the business component on which the exclusion rules are evaluated.

4 In the Related Record Group Template list, create a new record, and complete the fields.

You can use the Related Record Group Template list to specify the child record group template. Upon execution, the business service executes the business component on which this record group template is defined, within the context of the corresponding parent record group template.

Field	Description
Template Name	Name of the related record group template.
Exclusion Rules	A valid Siebel query language expression. If this conditional expression evaluates to True, then the related record template is excluded.
Business Component	Read-only field. Identifies the business component on which the exclusion rules are evaluated.

Example of Using Requirements Manager for Record Group Templates

This section provides an example of configuring record group templates for automatically generating vehicle coverages.

Record group templates can be used to automatically generate default coverage for vehicles in an auto policy.

To setup auto coverage

- 1 Navigate to the Administration - Insurance screen > Auto Coverages view.
- 2 For each auto coverage in the Coverage Administration list, in the Coverage Values list, check the default flag for one of the values.

To configure a record group template for generating vehicle coverages

- 1 Navigate to the Administration - Record Template screen > Record Template view.
- 2 Create a new record in the Record Template list, and enter the values as shown in the following table.

Field	Value
Template Name	INS Vehicle Default Coverage
Display Name	Auto Default Coverages
Business Object	INS Policy
Business Component	INS Vehicle Default Coverage

- 3 Leave the Fields list empty.

The predefault values set for the fields in this business component in Siebel Tools will be considered during execution.

- 4 Click the Record Group Template link bar, create a new record in the Record Group Template list, and enter the values as shown in the following table.

Field	Value
Template Name	INS Vehicle Available Coverage Value Template
Display Name	INS Vehicle Available Coverage Value Template
Business Object	INS Policy
Business Component	INS Vehicle Available Coverage Value
Condition	[Default]='Y'

- 5 In the Related Record Template list, create a new record and pick the record template defined in [Step 2](#).
- 6 Create another new record in the Record Group Template list, and enter the values as shown in the following table.

Field	Value
Template Name	INS Vehicle Template
Display Name	Default Vehicle Coverage Template
Business Object	INS Policy
Business Component	INS Vehicle

- 7 In the Related Record Group Template list, create a new record and pick the record group template defined in [Step 2](#).

To create an new auto policy

- 1 Navigate to Auto Policies screen and create a new policy.
- 2 Drill down on the Policy # record to navigate to the Quick Quote view and create the following records:
 - a In the Vehicles list, create new vehicles
 - b In the Drivers list, create new driver records
- 3 Click the Rate Model view tab.
The vehicles list should display the vehicles created in the previous step.
- 4 Select a vehicle record and click Default Coverages.
The Select Templates to Run dialog box appears, and displays the template defined in [Step 6](#) after evaluating any conditional expressions defined.
- 5 In the dialog box, click Execute.
Default Vehicle Coverages are automatically created in the Vehicle Coverage list for the selected vehicle record. These default coverages correspond to the default coverages selected in the Administration - Insurance views in [Step 2](#).

Customer Authentication Manager

Financial service institutions require customer authentication before a financial transaction can take place. Furthermore, authentication becomes important as privacy and security regulations have become common in the retail banking, and also make their way into insurance and healthcare businesses.

Typically, a bank may enforce tiered authentication policies that require a basic validation for transactions up to certain limit, and require more rigorous transaction-based authentication for transactions over the limit. In certain cases, for customers who perform regular high-value transactions, the bank may use token validation, common ones being RSA tokens, or scratch lists.

Customer Authentication Manager is a utility that can be used to implement a secure and auditable customer authentication during a sales or service process. You can use the Customer Authentication Manager to prompt customer service representatives to authenticate a caller before providing any service. It provides the following key features:

- Ability to define multiple authentication templates using fields from the contact profile
- Rules-based, context sensitive invocation of authentication template
- Access from the global toolbar
- Audit trail of past authentication events; facilitates quick and accurate conflict resolutions
- Ability to define success and failure workflows to take appropriate actions

Administering Customer Authentication Manager business service involves the following steps:

- 1 [“Creating Customer Authentication Templates” on page 258](#)
- 2 (Optional) [“Defining Customer Authentication Rules” on page 260](#)

Creating Customer Authentication Templates

Customer authentication templates define the credentials used for authentication and the actions that follow a successful or a failed authentication attempt.

To create a customer authentication template

- 1 Navigate to the Administration - Application screen > Authentication Template view.
- 2 In the Templates list, create a new record, and complete the fields.

Some fields are described in the following table.

Field	Comments
Name	Name for the authentication template.
Description	Description for the template.
Success Workflow	<p>Invoke this Siebel workflow if the authentication is successful.</p> <p>The workflow called here should be deployed and active. The fields used for authentication are passed as process properties to this workflow.</p> <p>TIP: Use the success workflow to log the status of the authentication for audit purposes.</p>

Field	Comments
Failure Workflow	<p>Invoke this Siebel workflow if the authentication failed.</p> <p>The workflow called here should be deployed and active. The fields used for authentication are passed as process properties to this workflow.</p>
Default	<p>If flagged as default, this template is used as the default template. The default template is invoked if all rules defined in the Authentication Rules fail.</p> <p>Only one template can be flagged as default.</p>
Alternate Template	<p>Defines an alternate template to use for authentication if the caller fails to authenticate using the current template. The alternate template is invoked by clicking the alternate button on the authentication pop up window.</p>

- 3 In the Credentials list, create a new record, and complete the fields.

Some fields are described in the following table.

Field	Comments
Business Object	<p>Business Object for the credential field.</p> <p>In the current Siebel release, the Contact business object is the only business object that is available for use. Hence, this field is predefaulted and read-only.</p>
Business Component	<p>Business Component reference for the credentials field.</p> <p>The business component used here should be a valid business component on the Contact business object.</p>
Field Name	<p>Name of the business component field.</p> <p>Only single value fields are supported; multi-value fields are not supported and may cause system instability if used.</p>
Display Name	<p>The display name for the business component field. This specifies the label for the field at run time.</p>
Search Specification	<p>For any one-to-many contact business component, the search specification provides the criteria to narrow selection to a single record.</p>
Required Flag	<p>Flag indicates that the field needs to be verified for the authentication to be successful. If a required field is not confirmed at run time, the authentication fails.</p> <p>Defaults to No.</p>

Defining Customer Authentication Rules

Customer authentication rules define the logic to select an authentication template. When the authentication manager is invoked, the business service steps through each rule for all applicable rule-sets to find a rule that evaluates to true. The template defined against this rule is used for authentication. If no rules are defined, or if none of the rules succeed, the default template, if defined, is used for authentication.

To create a customer authentication rule

- 1 Navigate to the Administration - Application screen > Authentication Administration view.
- 2 In the Rule Sets list, create a new record, and complete the fields.

Some of the fields are described in the following table.

Field	Comments
Name	Name for the authentication rule set.
Description	Description for the rule set.
Business Object	Business Object context for evaluating the rules.
Business Component	Business Component context for the conditional expression and rules evaluation.
Conditional Expression	<p>A valid Siebel query language expression. If this conditional expression evaluates to True, then the rules under the rule-set are evaluated.</p> <p>TIP: Use the expression builder to test the validity of conditional expressions.</p>
Active Flag	<p>Flag to activate or inactivate a rule-set.</p> <p>The field predefaults to Inactive.</p>

NOTE: If the conditional expression is not used, there should be only one rule-set per business object/business component defined. If there are multiple rule-sets for the same BO/BC, and a conditional expression is not defined, then the sequence of examination is random.

- 3 In the Rules applet, create a new record, and complete the fields.

Some of the fields are described in the following table.

Field	Comments
Sequence	Sequence number for rule evaluation.
Business Component	<p>Business component reference for the expression evaluation.</p> <p>This field predefaults to the BC on the rule-set definition, and is a read-only field.</p>

Field	Comments
Inclusion Expression	<p>Siebel query language expression that specifies the rule.</p> <p>If this conditional expression evaluates to True, then the template associated with the rule is selected; further evaluation of the rules is aborted.</p> <p>TIP: Use the expression builder to test the validity of Inclusion expressions.</p>
Template Name	The authentication template to use if the rule succeeds.

Invoking Customer Authentication Manager

Customer Authentication Manager is available preconfigured on the Contact, Members, and Providers screens. However, using Siebel Workflow, you can invoke the Customer Authentication Manager from any screen that contains a Contact, Member, or Provider business component.

Figure 6 shows the authentication icon on the toolbar. Click this icon to invoke the Customer Authentication Manager.

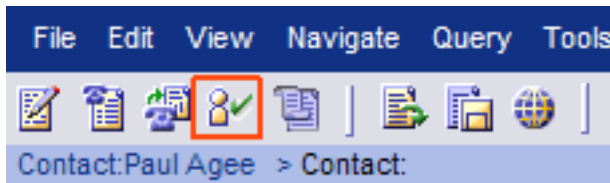


Figure 6. Authentication Icon on Toolbar

To authenticate a contact

- 1 Navigate to the Contacts List view.
- 2 Select the contact to authenticate and click the authentication icon on the toolbar.
The Siebel Authentication Manager dialog box appears.
- 3 Check the Confirmed checkbox for each field listed.

- 4 Do one of the following:

To...	Click...
Authenticate.	Authenticate. If all required fields are confirmed, the authentication succeeds.
Use an alternate template.	Alternate. If an alternate template is defined, it appears.
Cancel authentication.	Cancel.

NOTE: When Authentication Manager is invoked, if a matching template is not identified, an error message appears.

Configuring Customer Authentication Manager to Handle More Fields

By default Customer Authentication Manager is configured to handle only a maximum of three fields. To use more than three fields in Customer Authentication Manager, you must add more virtual fields to the authentication business component, and expose them through the appropriate applet.

To configure Authentication Manager to handle more fields

- 1 Log in to Siebel tools.
- 2 Navigate to the FINS Authentication Manager UI business component.
The following fields are defined for the business component:
 - Field0, Field1 and Field2
 - Required Flag0, Required Flag1, and Required Flag2
 - Ten confirmed flag fields
- 3 Define a new field called, Field3.
- 4 Define a new field called, Required Flag3.
- 5 Add a new confirmed flag field if you have more than 10 authentication fields.
- 6 Navigate to the FINS Authentication Manager Popup Form Applet.
- 7 Go to applet Control, and add the new fields: Field3, Required Flag3.
- 8 Add a confirmed flag field if you have more than five authentication fields. (The applet already contains five confirmed flag fields).
- 9 Add the fields and corresponding labels to the applet templates.
- 10 Compile the changes into the SRF.

Using the Calculation Manager

The Siebel Calculation Manager is designed to allow financial services institutions to declaratively define and execute simple to moderately complex calculations within their Siebel application. It is implemented as a business service that accepts input parameters for calculation, and the results are available as output parameters. The Calculation Manager is tightly integrated into the Siebel application architecture and can use Siebel Business component fields for input or output. The business service facilitates specification of embedded calculation by business analysts.

Some examples of how Siebel Calculation Manager could be used:

- **Loan Payment Schedule.** The term, amount, and interest rate of a consumer installment loan are captured in a Siebel Application. Calculation Manager is invoked to generate a schedule of the amounts due—split by principle and interest—for each month of the term. The user evaluates the schedule, runs several *what-if* scenarios with different loan amounts, and then exports the schedule to an excel spreadsheet.
- **Currency Conversion.** A user wants to know the value of \$100,000 in Japanese yen at the current exchange rate. Calculation Manager is invoked, and an input dialog box is presented. The current exchange rate has been prefilled into the dialog box. The user enters 100,000 as an input, and clicks Calculate to see the result. The results are not saved.
- **Early Withdrawal Penalty Calculation.** A customer wants to remove money from a retirement account he holds, but there is a penalty involved. The calculation of the penalty is complex, and has been entered into the Siebel application as eScript. Upon invoking the Calculation Manager, the Siebel application pulls in the variables necessary for the penalty calculation and runs the eScript. The result is saved in the Siebel business component.

Specifying Calculation Rules

Calculations are entered as calculation rules in a list, similar to how validation rules or Siebel personalization rules are administered.

Calculation rules are specified in three stages:

- 1 Specify a calculation rule-set.
See [To specify a calculation rule-set on page 263](#).
- 2 Specify variables used in the calculation.
See [To specify variables on page 264](#).
- 3 Specify calculation details.
See [To specify calculation details on page 265](#).

To specify a calculation rule-set

- 1 Navigate to the Administration - Application screen > Calculation Manager view.

- 2 In the Rule Sets list, create a new record, and complete the fields.

Some fields are described in the following table.

Field	Comments
Name	Calculation rule set name. Rule-set names are language independent.
Comments	Rule set description.
Business Object	Business object context for evaluating the rules.
Array Output Business Component	Business component context for writing the output of an array calculation, such as Amortization table calculation.
Active Flag	Flag to activate the calculation rule set. By default a calculation rule set is inactive.
Script Flag	Flag to indicate that the calculation rule is specified as a script, rather than declarative rules.
Type	List of values that provide the ability to categorize rules for easier administration.
Applet Title	Title for the pop-up applet that appears when the calculation manager is invoked in the interactive mode.

To specify variables

- 1 Navigate to the Administration - Application screen > Calculation Manager view.
- 2 Select a Rule Set for which you want to specify variables.
- 3 In the Variables list, create a new record and complete the fields.

Some fields are described in the following table.

Field	Comments
Sequence Number	Sequence number for the variable specification. The variables on the pop-up applet appear in the sequence specified.
Name	Internal name for the variable used when specifying the calculation rule. Variable names can contain a maximum of 35 characters and cannot include spaces or arithmetic operators.
Display Format	Display format for the variable. Example, \$###.##
Display Name	Label for the variable when presented to the user.
Type	Type of variable. Values are Input, Output, or Output Array.
Business Component	Business component context for the variable.

Field	Comments
BC Field Name	<p>Business Component field name.</p> <p>If the variable is an:</p> <ul style="list-style-type: none"> ■ Input variable, the run-time value of the business component field name is assigned to this variable. ■ Output variable, the value calculated for the variable is written into the business component field name.
Optional	<p>Optional variables are variables not critical to the calculation, but may be specified to alter the calculation.</p> <p>This flag defaults to No.</p>
Default Value	Default value for the variable in the calculations. This value appears in the dialog box for the variable.
Testing Value	Value for the variable when the Calculation Manager is invoked in the simulator.
Suppress Display	Flag to indicate that the variable is hidden, and not displayed when calculation manager is invoked in the interactive mode.
Variable Include	Include the variable in the script generation.

To specify calculation details

- 1 Navigate to the Administration - Application screen > Calculation Manager view.
- 2 Select a Rule Set for which you want to specify calculation details.

- 3 In the Rules list, create a new record, and complete the fields.

Some fields are described in the following table.

Field	Comments
Sequence Number	Sequence number for the rule execution.
Expression	<p>Calculation expression. The expression is guided by the following:</p> <ul style="list-style-type: none"> ■ Operator Support. All basic arithmetic operators, including exponents, are supported (+, -, *, /, ^). Nested quantities (that is parentheses) are also supported. ■ Simple Calculations. Simple calculations, such as $a+b=c$, are defined in a single row. ■ Compound Calculations. Multiple rows of calculations specified in a single Template. This enables multiple variables to be calculated independently, and then used in subsequent calculations. ■ For-Next Logic. Simple looping enables the generation of arrays. Use a For statement and a Next statement to accomplish looping. Example: <ul style="list-style-type: none"> ■ row 1: For N=1 to Period, ■ row 2: [calculation] ■ row3: Next N For-Next loops may be nested. ■ If-Then-Else Logic. Simple If-Then-Else logic is supported declaratively. As in the case of For-Next, If-Then-Else statements appear on multiple rows of the calculation set. Nesting of If-Then-Else statements is supported.

Example of Using Embedded eScript for Mortgage Calculation

For compound calculations, embedded eScript is a more appropriate mechanism. The following is an example of a mortgage calculation using eScript.

```
var Amount= 0;
var NumPeri ods= 0;
var Rate= 0;
var InterestPaid = new Array;
var Payment = new Array;
var Peri od = new Array;
var Pri nci pleBal ance = new Array;
var Pri nci plePai d = new Array;
```

```

var PeriodPayment = 0;
var TotalInterest = 0;
var TotalPayment = 0;

function GetInput (Inputs)
{
    with(Inputs)
    {
        var temp;
        temp = GetProperty("Amount");
        if (temp.length!=0)

            Amount= ToNumber(temp);

        temp = GetProperty("NumPeriods");
        if (temp.length!=0)

            NumPeriods= ToNumber(temp);

        temp = GetProperty("Rate");
        if (temp.length!=0)

            Rate= ToNumber(temp);
    }
}

function Main()
{
    Period[0] = 0;
    InterestPaid[0] = 0;
    PrinciplePaid[0] = 0;
    Payment[0] =0;
    PrincipleBalance[0] = Amount;
    Rate = Rate /1200;
    PeriodPayment = Amount / (1.00/Rate - (1.00/Rate)/Math.pow((1.00+Rate),
    NumPeriods));

    for(var i=1; i<=NumPeriods-1; i++)
    {
        Period[i] = i;
        InterestPaid[i] = PrincipleBalance[i-1]*Rate;
        Payment[i] = PeriodPayment;
        PrinciplePaid[i] = Payment[i]-InterestPaid[i];
        PrincipleBalance[i] = PrincipleBalance[i-1] - PrinciplePaid[i];
    }

    TotalPayment = NumPeriods * PeriodPayment;
    TotalInterest = TotalPayment - Amount;
}

```

```

}
function Service_PreInvokeMethod (MethodName, Inputs, Outputs)
{
    GetInput(Inputs);
    Main();
    SetOutput(Outputs);
    return( CancelOperation );
}

function SetOutput (Outputs)
{
    Outputs.SetType("Result");

    var psArray = TheApplication().NewPropertySet();
    psArray.SetType("Array");
    var len = InterestPaid.Length;
    for(var j=0; j<=len-1; j++)
    {
        var psArrayElement = TheApplication().NewPropertySet();
        psArrayElement.SetProperty("InterestPaid", InterestPaid[j]);
        psArrayElement.SetProperty("Payment", Payment[j]);
        psArrayElement.SetProperty("Period", Period[j]);
        psArrayElement.SetProperty("PrincipalBalance", PrincipalBalance[j]);
        psArrayElement.SetProperty("PrincipalPaid", PrincipalPaid[j]);
        psArray.AddChild(psArrayElement);
    }
    Outputs.AddChild(psArray);

    var psPeriodPayment= TheApplication().NewPropertySet();
    psPeriodPayment.SetProperty("PeriodPayment", PeriodPayment);
    Outputs.AddChild(psPeriodPayment);

    var psTotalInterest= TheApplication().NewPropertySet();
    psTotalInterest.SetProperty("TotalInterest", TotalInterest);
    Outputs.AddChild(psTotalInterest);

    var psTotalPayment= TheApplication().NewPropertySet();
    psTotalPayment.SetProperty("TotalPayment", TotalPayment);
    Outputs.AddChild(psTotalPayment);
}

```

Invoking Calculation Manager

Calculation Manager is invoked from within a Siebel workflow and can be triggered using a mini-button on an applet. Use a business service step to invoke Siebel Calculation Manager in a workflow.

Using the FINS Calculation Engine Business Service and the Calculate business service method, set the input arguments as described in [Table 25](#). There are no output arguments for this business service.

Table 25. Input Arguments to Invoke Calculation Manager

Name	Type	Comments
Rule Expression Name	Literal	Calculation Rule name
Primary BC Name	Literal	Primary Business Component name
Primary BC Rowid	Process Property	Typically the Object Id of the Workflow
Save To BC	Literal	Y or N
Child BC Namen (Optional)	Literal	Child Business Component name
Child BC RowIdn (Optional)	Literal	Child Business Component row id

When invoked interactively, the calculation manager displays a pop-up dialog box with the input and output arguments. Perform the calculation by entering all input arguments and clicking the Calculate button. A second pop-up dialog box appears with the calculated values. Finish the calculation by clicking the Cancel button.

Using the Customer Expectations Manager

Managing customer expectations around the length of time it takes to complete their requests is crucial in maintaining customer satisfaction. Although many financial transactions complete in seconds, a number of key relationship—enhancing tasks require lead time of one or more days to complete. For example:

- Bank check deposits may not be available for immediate withdrawal and are subject to clearing.
- Credit and insurance applications typically undergo an underwriting process where the application is evaluated for its creditworthiness, risk profile, and other factors that go into approval and pricing. Fast turnaround is a competitive differentiator.
- Healthcare service complaints and grievances are handled through a structured review and appeals process. In many jurisdictions, the processing of the complaints and grievances must meet regulatory standards.

The Siebel Customer Expectations Manager (CEM) provides the ability to use historical estimates of task completion times to aid the customer service representative in setting expectations for service completion. It is most useful in situations where a standardized process is being executed, and there is a need to estimate the expected completion date. Siebel CEM has the following two key features:

- Ability for an administrator to input the factors governing the time to complete task.

- A run-time engine that sets Due Date and Expected Close Date for the enabled objects.

NOTE: For CEM versus Agreements/Entitlement Metrics, it is possible to establish an agreement for an account that includes entitlements mandating the completion of Service Requests within specified entitlement metrics. When these are setup, and the user navigates to the Service screen, they see a Verify button. Clicking this button invokes the calculation of an Agent Committed Time. The entitlement metrics will calculate a contracted due date. In contrast, CEM calculates an estimated completion time or due date based on how long a process historically takes to complete. In cases where a service agreement is in place, the contracted dates take precedence.

Defining Customer Expectation Manager Rules

The CEM administration screen holds the historical estimates for task completion times and the rules for selecting an appropriate line. When CEM is invoked, the business service steps through each rule for all applicable rule-sets to find a rule that evaluates to true. The estimates defined against this rule are used for calculation of expected times.

To create a CEM rule

- 1 Navigate to the Administration - Application screen > Customer Expectations Manager view.
- 2 In the Rule Sets Applet, create a new record, and complete the fields.

Some fields are described in the following table.

Field	Comments
Name	CEM rule set name.
Business Object	Business object context for evaluating the rules.
Business Component	Business component context for the conditional expression and rules evaluation.
Conditional Expression	<p>A valid Siebel query language expression. If this conditional expression evaluates to True, then the rules under the rule-set would be evaluated.</p> <p>TIP: Use the expression builder to test the validity of conditional expressions.</p>
Active Flag	<p>Flag to activate or inactivate a rule-set.</p> <p>The field predefaults to Inactive.</p>

NOTE: If the conditional expression is not used, there should be only one rule-set per business object/business component defined. If there are multiple rule-sets for the same BO/BC, and a conditional expression is not defined, then the sequence of examination is random.

- 3 In the Rules list, create a new record, and complete the fields.

Some fields are described in the following table.

Field	Comments
Sequence	Sequence number for rule evaluation.
Business Component	Business component reference for the expression evaluation. This field predefaults to the BC on the rule-set definition and is a read-only field.
Conditional Expression	Siebel query language expression that specifies the rule. If this conditional expression evaluates to True, then the estimates associated with the rule is selected; further evaluation of the rules is aborted. TIP: Use the expression builder to test the validity of Inclusion expressions.
Name	Unique name for the rule. Used to improve performance of the rule-set search during execution. Internally, a user key is constructed on the name field.
Schedule	Schedule to use for calculating the expected completion times for the task. Schedules govern the working hours, holidays, and downtime. If selected, the start time for the task is calculated using the schedule. Schedules are administered by navigating to the Administration - Service screen > Schedules view. Refer to <i>Siebel Field Service Guide</i> for details on schedule administration.
Use Employee Schedule	If flagged, the employee schedule is used to calculate the start time. Employee schedule override the default schedule.
Unit	Unit of measure for the preparation, expected and slack times. Valid units: Minutes, Hours, or Days.
Preparation Time	Queue time for the task.
Expected Time	Expected time to complete the task.
Slack Time	Time buffer to allow for deviations from the expected completion time.
Auxiliary Field	(Optional) Specify Business Component field-value pairs. The specified fields are updated with the values based upon the rule selected. Example: "Priority", "O-ASAP"

Invoking Customer Expectations Manager

In the current version of Siebel Financial Services, CEM is enabled for the Service Request object.

To invoke CEM

- 1 Click the Calculate Dates button on the Service Request form.

The CEM business service is invoked, and based on the administrative setup a pop-up dialog box appears with the expected completion dates for the service request.

Closing the dialog box, the expected completion times are written into the current service request.
- 2 Click the show more button on the Service Request form to view the expected completion times in the Internal Tracking - Expected Times section.

Using Data Transfer Utilities (DTU)

This business service allows you to transfer data from a source business component to a destination component. For example, a user can enter data in one view, then use a toolbar command to navigate to another view. Data entered in the first view is automatically entered in the second view.

About Data Maps

Data maps are the logic defining the flow of data from one location to another. The DTU business service uses data maps to transfer data from one location in the Siebel application to another.

This section contains the following topics:

- [Data Map Objects on page 273](#)
- [Data Map Components on page 273](#)
- [Data Map Component Advanced Options on page 274](#)
- [Data Map Fields on page 276](#)

Data Map Objects

Data map objects indicate the data that is being transferred from the source business object to the destination business object. You can use the Administration - Application > Data Map Administration screen to define data map objects. Only Siebel administrators should have access to this screen. Data map objects are described in [Table 26](#).

Table 26. Data Map Objects

Object	Description
Name	Data map object name. Enter a unique name.
Source Business Object	Source business object name. You must define this name in the Siebel Repository file.
Destination Business Object	Destination business object name. You can specify the same business object as both source and destination business object.
Inactive	Check this box to make the data map object inactive.

TIP: Data map objects are cached in memory. Whenever you make changes to an existing data map object, click the Clear Cache button to refresh the cache so that your changes appear.

You can import or export data map objects as XML files through the Data Map Object applet menu items: XML Import, XML Export.

Data Map Components

Data map components define the mapping at the child business component level. Each data map object can contain multiple data map components. You can arrange data map components in a parent-child hierarchy, but you must specify a parent for all except one data map component. The parentless data map component is called the root data map component. Data map components are described in [Table 27](#).

Table 27. Data Map Components

Component	Description
Name	Data map component name. Enter a unique name for each data map component in a data map object.
Source/Destination Business Component	Source or destination business component name. If you specify a parent for this data map component, you must define this business component in the Siebel repository file as a child of the source or destination business object to which the parent data map component is mapped.

Table 27. Data Map Components

Component	Description
Parent	<p>Parent data map component name.</p> <p>If you:</p> <ul style="list-style-type: none"> ■ Specify a parent, the parent is mapped to particular source and destination business components. Generally, you map the child data map component to a child of those source and destination business components. ■ Do not want to specify a parent, leave it empty to indicate that this is the root data map component. Each data map object can have only one root data map component.
Inactive	Check this box to make the data map component inactive.

Data Map Component Advanced Options

Fine-tune data transfer at the component level by using Advanced Options multi-value fields. Data map components advanced options are described in [Table 28](#).

Table 28. Data Map Components Advanced Options

Component	Description
Source Search Specification/Source Sort Specification	<p>Defines the source Buscomp search spec and sort spec. The value can be a literal search spec/sort spec string. It can also contain a named parameter. See Using Named Parameters in DTU on page 277. For example:</p> <p>[Id] = [&ContactId]</p> <p>where ContactId is a named parameter. At run time, only named parameters are replaced by their string values.</p>
Source Record Row Number	<p>One can selectively transfer only a subset of source Buscomp records. This can be defined in three formats:</p> <ul style="list-style-type: none"> ■ Start-End ■ Start- ■ Number <p>For example, 0-5, 4-, 0.</p> <p>NOTE: The row number starts at 0.</p>
Operation Override	<p>This option allows one to override the operation at the component level. For example, if the current operation is Insert, you can use this option to set some component to operate Update instead.</p>

Table 28. Data Map Components Advanced Options

Component	Description
No Association	<p>Y/N. Applicable to buscomps that have association list. By default, it is Y. Data Transfer Utilities first try to locate the desired destination record in the associate list. If successful, the located record is associated. Otherwise, a new record is created.</p> <p>If N, association of existing records is not attempted. A new record is created instead.</p>
Cached Updates	<p>The valid values include:</p> <ul style="list-style-type: none"> ■ Source BusComp ■ Destination BusComp ■ Source/Destination BusComps <p>This is a performance enhancement option that defers sending SQL statements to the database until they can be sent together. Since none of the SQL statements is sent until the end, subsequent steps in the block cannot be dependant on a previous step having been committed to the database.</p> <p>When you turn on this option, make sure to confirm all SQL statements are generated correctly and there is no inter-dependency.</p>
Field Validation	<p>Y/N. By default it is Y.</p> <p>By default, setting field values in a Siebel BusComp triggers field value validation. If you have a bounded picklist, the new value is validated against the picklist and the fields in the pick maps are set. Disabling field validation also turns off picklists. It is a performance enhancement option.</p>

All advanced option values can contain named parameters. At run time, the named parameter is substituted by its run-time value.

If the source Buscomp has been well positioned, the source search spec, the source sort spec, and source record row number must be evaluated to be empty at run time, otherwise a wrong advanced option error is encountered. See [Well-Positioned Buscomps on page 283](#) for more information.

Advanced Options does not apply to mvg subcomponents.

Data Map Fields

Data map fields define the field-to-field mapping. Data map fields are described in [Table 29](#).

Table 29. Data Map Fields

Field	Description
Source Type/ Destination Type	<p>Type of the source/destination field. Can be: Field, Expression, or Parameter:</p> <ul style="list-style-type: none"> ■ Field. A Siebel Buscomp field as defined in the srf. ■ Parameter. A named parameter. The parameter should be pre-fixed with an ampersand (&). See Using Named Parameters in DTU on page 277. For example: &ContactId ■ Expression. A Siebel calculation expression. See Calculation Expressions in DTU on page 278.
Source/Destination.	<p>The contents of these fields depends on the source and destination type.</p> <p>If the type is:</p> <ul style="list-style-type: none"> ■ Field, it should be a Buscomp field name. ■ Expression, it should be a Siebel calculation expression. ■ Parameter, it should be a named parameter. <p>If the destination field is a calculated expression, then the record is not used to update the destination Buscomp. Instead, the result of the expression, evaluated at run time, is written back into the source field at the end of the data transfer operation of the component.</p> <p>If the Source is:</p> <ul style="list-style-type: none"> ■ A Buscomp field, then source Buscomp is updated. ■ A Parameter, the corresponding named parameter value is updated. ■ An Expression, nothing happens.

Table 29. Data Map Fields

Field	Description
Key	<p>Matches the destination records with source records.</p> <p>For example, the Update operation updates the record in the destination business component whose key destination fields all match those of the corresponding source fields.</p> <p>Each data map component in general should contain at least one key field.</p> <p>When there is no key defined, if the operation is:</p> <ul style="list-style-type: none"> ■ Insert, DTU would proceed without checking if a duplicate record with the same key fields already exists. ■ Update, it would update the current destination record. <p>If the destination business component is populated with an associated list business component, at least one key field is required.</p>
Source/Destination Multi-Value Link	<p>This link indicates that the source and destination fields are multi-value fields.</p> <p>Data is transferred from one multi-value field to another by dividing data map fields into several subcomponents. All entries with the same source and destination multi-value link constitute a subcomponent. Specify a key for each subcomponent.</p> <p>NOTE: Data transfer from a multi-value field to a single-value field is not allowed.</p>

Using Named Parameters in DTU

You can use named parameters to pass in a run-time dynamic value into DTU. For example, imagine you want to pull a contact's latest information into your Buscomp. At design-time, you cannot foresee what is the contact's Id. Instead, you use a named parameter, &ContactId, and at run time, you pass in the value &ContactId.

Named parameters are defined implicitly in two ways:

- **Business Service Arguments.** Pass in the named parameters when DTU is invoked. DTU knows an argument is a named parameter if the argument name is prefixed with an ampersand (&).

For example,

```
var psi nputs, psoutputs;
var myContactId = '0-45TU890';
psi nputs = TheAppl i cati on().NewPropertySet();
psoutputs = TheAppl i cati on().NewPropertySet();
psi nputs.SetProperty ("DataMapObj ", "My Test DTU Obj ect");
psi nputs.SetProperty ("Operati on", "Update");
```

```
psi inputs.SetProperty("&ContactId", myContactId);
var obs = TheApplication().GetService("FINS Data Transfer Utilities");
obs.InvokeMethod("DataTransfer", psi inputs, psoutputs);
```

&ContactId serves as a named parameter.

The input value of a named parameter can be a calculation expression. In order to do so, set the value to:

Expr: "YourExpression"

which is the syntax of Buscomp field predefault. At run time, the expression is evaluated against the initiator Buscomp. For more information on initiator buscomp, see the argument description in [DataTransfer Method on page 280](#).

- **Assignment by DTU.** At run time, you can transfer into a named parameter if the field type is Parameter. When this happens, if the named parameter is still not defined, it is instantiated.

A named parameter must be implicitly defined first before it can be used. In other words, unassigned named parameters cannot be used.

Named parameters can be used to define Data Map Component Advanced Options, and Data Map Field Source or Destination that are of type Expression.

All named parameters are output into the DTU service output arguments.

TIP: Whenever a named parameter is used in DTU, it should be prefixed with &.

Calculation Expressions in DTU

When Data Map Field Source/Destination Type is Expression, the Source/Destination Fields are calculation expressions that follow Siebel Query Language syntax. See *Siebel Personalization Administration Guide* for more information on Siebel Query Language.

DTU contains two extensions to Siebel Query Language:

- 1 Curly bracket pair {field}
- 2 Named Parameter

Curly Bracket Pair {field}

Use this syntax to refer to a buscomp field at the other business component side. For example, if you define the following expression as the source:

```
{ContactId}
```

[ContactId] would be evaluated at the destination bsucomp. When {} is involved, please note that {} takes the highest precedence over other operator. Thus, if you have an expression like:

```
' {Last Name}' + 'Test'
```

{Last Name} has precedence over quotes "". If the person's last name is Agee, {Last Name} is evaluated to be "Agee". As a result, the final value is

"Agee" Test
instead of
{Last Name} Test

Named Parameter

A calculation expression can contain named parameters, using the syntax of [&Parameter]. It is important to pre-fix the ampersand to indicate a named parameter. For example,

"Sadmin's opportunity #" + [&OpptyId]

For more information on named parameters, see [Using Named Parameters in DTU on page 277](#).

Data Transfer Utilities Methods

This section describes the following Data Transfer Utilities business service methods:

- [DataTransfer Method on page 280](#)
- [FAFireEventxxx Method on page 281](#)
- [GetActiveViewProp Method on page 281](#)
- [TryMockMethod Method on page 282](#)
- [QueueMethod Method on page 282](#)

DataTransfer Method

The DataTransfer method transfers data from the source business component to the destination business component.

Argument	Description
Data Map Object (Required)	The name of the data map object that defines the mapping.
Operation (Required)	Valid entries include Insert, Update, Delete, and Upsert.
GotoView (Optional)	The name of a view that appears to users after the data transfer operation.
Option (Optional)	<p>A text field that allows you to specify additional options for the operation. Supported options include:</p> <ul style="list-style-type: none"> ■ NewSrcBusObj. Force to instantiate a new Source business object. Use instead of NewBusObj. ■ NewDstBusObj. Force to instantiate a new destination business object. ■ RootNotCommitted. Suggest DTU not to commit the root component, if possible. ■ SrcRootAdminMode. Set the source Buscomp of the root data map component to Admin mode. This is valid only if the root source Buscomp has not been executed. ■ BatchMode. This is a performance enhancement option that suppresses runtime events, disables undo, and defers field pre-defaults until committing the record. Batch mode is only enabled for source or destination business objects that are not the active (initiator) business object. <p>The following syntax is recommended for defining Option:</p> <pre>/opti on1 /opti on2 ...</pre> <p>For example,</p> <pre>/NewSrcBusObj /NewDstBusObj</pre>
Initiator Business Object (Optional)	<p>Used as a sanity check. If the BusObject that invokes DTU is different from what is specified by the InitBO argument, DTU exits as an external error.</p> <p>Initiator Business Object is part of the invocation context. DTU receives a reference of the initiator business object only when invoked from Runtime Evens, Buscomp Named Methods, or workflow processes with its business object defined. See About Auto Application on page 141 as an example. In Siebel Finance, DTU can be invoked without an initiator business object.</p>

Argument	Description
Initiator Business Component (Optional)	By default, the Buscomp that invokes DTU serves as the InitBC. Initiator Buscomp plays an important role in determining how records are transferred. Use the InitBC argument to set other Buscomp in the Initiator BusObject as the Initiator Buscomp.
Initiator Search Specification / Initiator Sort Specification (Optional)	Initiator Buscomp search spec and sort spec.
Initiator Buscomp Enumerate Flag (Optional)	Y/N. By default, Initiator Buscomp Enumerate Flag is N. When it is true, DataTransfer is applied to each record in the initiator Buscomp. When InitSearchSpec or InitSortSpec is specified, InitEnumFlag is implicitly true, even if InitEnumFlg is set to N.
MockMethodReplied	Y/N.

NOTE: It is recommended that you specify both InitBO and InitBC specifically when invoking DTU.

DTU requeries the initiator buscomp when InitSearchSpec, InitSortSpec, InitEnumFlg are used.

FAFireEventxxx Method

FAFireEventxxx is a hidden method that you can use to create a toolbar command. It invokes the method "EventMethodxxx" on the primary business component of the active view. "EventMethodxxx" triggers the event manager, which invokes either a workflow or a business service.

GetActiveViewProp Method

This is an auxiliary function to retrieve the active view's properties. It does not take any input arguments.

Argument	Description
Business Object	Business object name.
View	Active view name.
Screen	Active screen name.
Thread Applet	Thread applet name.

Argument	Description
Is Administration Mode	Y or N.
View Mode Code	An integer representing Siebel view mode: <ul style="list-style-type: none"> ■ 0: SalesRep View ■ 1: Manager View ■ 2: Personal View ■ 3: AllView

TryMockMethod Method

This is an advanced auxiliary function for administration of the tool bar button workflow. It does not take any input arguments.

Argument	Description
MockMethodReplied	Y or N.

QueueMethod Method

Launch a queue method on an applet in another view. When invoked, the UI navigates to the view specified, and then the Queue method is invoked on the specified applet.

Other input arguments of this method will be cached into the application Shared Global, which can be retrieved back.

DTU DataTransfer method has built-in integration with the QueueMethod. When the input argument DataMapObject has the format:

SharedGlobal : NameofSharedGlobal

The data map object name can be retrieved from Shared Global with the name NameofSharedGlobal.

Argument	Description
GotoView	Name of the view to go to.
Applet	Applet name.
Method	Queued method to be invoked on the applet.

Considerations for Data Transfer Utilities

This section contains the following topics:

- [Use of Active Business Objects on page 283](#)
- [Invocation Context on page 283](#)

■ [Well-Positioned Buscomps on page 283](#)

■ [Recursive Invocation on page 284](#)

CAUTION: Spool SQL statements during the development stage to verify that all operations are performed.

Use of Active Business Objects

Data Transfer Utilities execute inside a client's object manager.

The DTU reuses the current active business objects. It does not instantiate an independent source business object unless directed. This leads to both a leaner memory use and better performance. This is even more so if the destination business object is the same as the source business object. In such a case, no new business objects are instantiated for the business service.

Because of the reuse of active objects, you must exercise caution to preserve the current business object context. For example, the business components should not be in the query state when DTU is launched.

Invocation Context

DTU in general needs the pass-in of a reference to the active Buscomp. To do so, the business service should be invoked from Event Manager, Buscomp Named Method, or a workflow process that is invoked by the event manager. However, in Siebel Finance 7.7, the requirement that one must have an active Buscomp is relaxed.

Not all Buscomp events can be used to invoke the DataTransfer method. For example, Query event in general should not be used to trigger DataTransfer, as the buscomps are not in an updateable state.

In general, use PreDeleteRecord event; do not use DeleteRecord event. The Siebel event manager does not pass in a reference to the active Buscomp in the DeleteRecord event.

Use special care when the service is used with other business services in a workflow. Other business services should not interfere the passing of a reference to the active buscomp. Use a spooled sql statement to confirm the operations carried out are correct.

Well-Positioned Buscomps

A well-positioned Buscomp is a Buscomp that has been positioned correctly, and whose position should not be disturbed. DTU uses the following rule:

- The initiator Buscomp is a well-positioned Buscomp.
- The ascendants of a well-positioned Buscomp are well-positioned.
- For a given data map component, the buscomps involved in all its parent data map components are well positioned.

If the source Buscomp is well-positioned:

- Data transfer is only invoked on the current row of the source BusComp. Otherwise, the operation is carried out on all rows in the source BusComp at the moment of invocation.
- Advanced options such as source search spec, source sort spec should be empty.

If the destination Buscomp is well-positioned:

- You do not need to specify key fields to retrieve the destination record. Even if you do in this case, DTU would ignore them.
- And if the current operation is Insert, it would change to Update by default, unless overridden by Operation Overrides.

Recursive Invocation

By default, you cannot use the DataTransfer operation to invoke another DataTransfer operation. In other words, at anytime within a client's object manager, there is only one DataTransfer method in the call stack.

Configuring Event-based Commands

The Data Transfer Utilities business service allows you to configure toolbar and menu commands based on Siebel Event Manager. For an example of how to use DTU to define a toolbar button, see [About Auto Application on page 141](#).

To configure event-based commands

- 1 Define a command in Siebel Tools.
Business Service = "FINS Data Transfer Utilities". Method = "FAFireEventxxx". The method name can be anything that begins with "FAFireEvent". When the command is invoked, it, in turn, invokes method EventMethodxxx on the primary buscomp of the active view, where xxx is of the same value as in FAFireEventxxx.
- 2 Define a toolbar.
- 3 Define a toolbar item for the command you defined.
- 4 In the Siebel client, define a run-time event that will receive EventMethodxxx.

- 5 Navigate to the Administration - Runtime Events screen > Events view, and create a Buscomp run-time event as listed in the following table. See *Siebel Personalization Administration Guide* for more information on run-time events.

Field	Entry
Sequence	-1
Object Type	BusComp
Object Name	The name of the business component in which the event is invoked. For a toolbar command, this is the primary business component in the view in which the command is invoked.
Event	InvokeMethod
Sub Event	EventMethodxxx. Choose the same value for xxx that you chose for FAFireEvent.
Action Set Name	The action set that invokes Siebel Workflow Manager or a business service.

Alternatively, you can define a workflow that has a Start step that contains run-time events. When the workflow is activated, both the Action Sets and run-time events are created automatically for you. See *Siebel Business Process Framework: Workflow Guide*.

- 6 Siebel run-time events are cached. After you make changes, click the Runtime Events applet menu item Reload Runtime Events.
- 7 Configure dynamic enabling of the command. For more information, see [Dynamic Enabling of Commands on page 285](#).
- 8 Define command visibility.

a In Siebel Tools, navigate to Business Services > FINS Data Transfer Utilities.

b Define a user property in which Name = MethodName GotoView, and Value = The name of a view. MethodName is the name of the command method.

When you define this user property, this method is enabled only for users who have visibility to the view defined in the value. If the method does not contain a GotoView, visibility is not imposed on the method.

Dynamic Enabling of Commands

When a command is invoked from a toolbar button or menu, the Data Transfer Utilities business service invokes the method EventMethodxxx on the primary business component of the active view. The primary business component should be derived from CSSBCBase to allow the invocation to be captured by Siebel Event Manager.

When the view is changed, Siebel framework polls each command for the application-level toolbar buttons and application menu to determine whether the button or menu items should be made read-only.

There are two mechanisms for the dynamic enabling/disabling of commands in DTU:

- Srf mode
- Mock Event Sink

The System Preference FINS DTU Enable FireEvent Mode is used to determine the mode. The value should be Srf or Runtime Event. The default value is Srf.

Srf Mode

In the Srf mode, a FAFireEventxxx invocation on a buscomp is enabled if there is a user property underneath the FINS Data Transfer Utilities business service as such that the name of the user property is:

Name: FAFireEventxxx Static Enabled BC [n]

Value: Buscomp Name

You can define multiple Buscomps for a FAFireEventxxx method.

Srf mode is introduced primarily for performance reasons. Compared with Runtime Event mode, it allows fast enabling/disabling of a command button without actually invoking a run-time event. Srf mode is the default mode.

Mock Event Sink

When System Preference FINS DTU Enable FireEvent Mode is Runtime Event, Data Transfer Utilities determines at run time whether a FAFireEventxxx method should be disabled or not by initializing Mock Event Mode. It sets up a global mock event flag within the client's object manager. It then invokes EventMethodxxx on the primary business component of the active view. If this EventMethodxxx is finally captured by a Mock Event Sink, a global response flag is set. When the Data Transfer Utilities finds out the response flag is set by a mock event sink, it enables the FAFireEventxxx method for that particular view. Otherwise, the method is disabled.

Mock Event Sinks are specialized business service methods that capture mock events. They check whether the client's OM is in the mock event mode. If not, they do nothing. If so, they reply to the mock event by setting the response flag as well as the output argument.

MockMethodReplied = Y.

TryMockMethod in Data Transfer Utilities is a mock event sink. DataTransfer method has a built-in mock event sink.

About Defining a Toolbar Button

For an example of how to use DTU to define a toolbar button, see [About Auto Application on page 141](#). For information about configuring a toolbar button, see *Configuring Siebel Business Applications*.

Automating Approval Processing

In Siebel Finance, administrators can define a number of approval levels without the need for programming, scripting, or configuring. You can define both basic or multiple step approval processing levels based on the needs of your organization. You can invoke approval processing from a workflow or a run-time event.

Automating an approval process involves the following steps:

- **Administrator defines approval items and approval stages.**

For more information, see [Defining Approval Items and Approval Stages on page 287](#).

- **Administrator invokes approval processing.**

For more information, see [Invoking FINS Approval Item Service from a Workflow on page 288](#).

- **End users approve or decline an approval stage.**

For more information, see [Approving or Declining Approval Stages \(End User\) on page 290](#).

Defining Approval Items and Approval Stages

An administrator defines the approval process by creating approval items and approval stages in the Approval Administration view.

To define approval items and stages

- 1 Navigate to the Administration - Application screen > Approval Administration view.
- 2 In the Approval Item list, add a record and enter a name in the Approval Item field.
- 3 In the Approval Flow Type field, select one of the following:
 - **Sequential.** Indicates this Approval Item is distributed to approvers one after another in the sequence specified in the Approval Stage. The application routes the Approval Item to the next approver only if the current approver approves the request. If any one approver in the approval chain declines the request, the Approval Item is rejected and no further routing is conducted.
 - **Parallel.** Indicates this Approval Item is distributed to all approvers simultaneously for approval. The Approval Item is rejected if at least one approver declines the approval request.

Once you have defined an Approval Item, the next step is to define the appropriate approval stages. The Approval Item and Approval Stage lists have a parent-child relationship.

- 4 In the Approval Stage list, add a record for each approval stage and complete the necessary fields.

Some fields are described in the following table.

Field	Comments
Sequence #	Identifies the numeric sequence of this Approval Stage in the current Approval Item. The application executes Approval Stages in numerical order based on this number.
Approval Type	Specifies whether the approver is a position or an employee.
Owner Login Name	Indicates the login name tied to this Approval Stage. Relevant only if Approval Type is Employee.
Owner Position	Indicates the position tied to this Approval Stage. Relevant only if Approval Type is Position.

End users use the My Approval Inbox view to approve an approval item. For more information, see [Approving or Declining Approval Stages \(End User\) on page 290](#).

Invoking FINS Approval Item Service from a Workflow

Invoke FINS Approval Item Service from a workflow by creating a workflow process in Siebel Tools containing the following steps:

- **Start.** Initiates the process instance. When the conditions have been met, the application initiates the process instance. See [Configuring the Start Step on page 289](#) for details.
- **Business Service.** A step in a process in which an automated call is made to the FINS Approval Item Service. A workflow process definition can have one or more business service steps. See [Configuring the Business Service Step on page 290](#) for details.
- **End.** A step in a process that specifies when a process instance is finished.

In order for your workflow to execute correctly, the Start and Business Service steps must meet the minimum requirements described in the referenced sections. For more information on workflows, see *Siebel Business Process Framework: Workflow Guide*.

Configuring the Start Step

Table 30 details some of the start step parameters for the workflow process.

Table 30. Parameters for Start Step

Field	Comments	Example
Event	The specific event that happens to the object. The set of available events is different for different object types.	Use the WriteRecord business component event if you want to trigger the approval process after the record is written to the database. Use the WriteRecordNew business component event if you want to trigger the approval process after a new record is written to the database.
Event Object	The name of the application, business component, or applet to which the event occurs.	Contact
Event Object Type	The type of object to which the event occurs. This can be an application, business component, or applet.	BusComp
Name	The name of the Next step branch. The name of the branch must be unique or you cannot import or export the workflow process.	
Next Step	The name of the step that follows when conditions are met.	Picklist of existing process steps.
Type	The type of branch.	The value can be one of the following: <ul style="list-style-type: none"> ■ Condition. This value indicates that a condition is defined for the branch. ■ Default. This value indicates that if nothing else is satisfied, then this branch is followed. Additionally, if this value is used, any conditions defined for the branch are ignored.

Configuring the Business Service Step

Table 31 and Table 32 detail some of the business service step parameters and input arguments for the workflow process.

Table 31. Parameters for Business Service Step

Field	Value
Business Service	FINS Approval Item Service
Method	Create Approval Stage

Table 32. Input Arguments for Business Service Step

Input Argument	Property Name	Comments
Approval Item ID	Object Id	Row Id of the object (for example, a Service Request) that needs approval processing.
Approval Item Name	Approval Item Name	Name of the Approval Item defined in the Approval Administration view.
Requesting Buscomp	Requesting Buscomp	Name of the buscomp object (for example, a Service Request) that needs approval processing.

Approving or Declining Approval Stages (End User)

End users approve approval items in the My Approval Inbox view. Users can view approval items by login name or position. For more information on setting up approval processing, see [Defining Approval Items and Approval Stages on page 287](#).

To approve or decline an approval stage

- 1 Navigate to the My Approval Inbox screen.
- 2 Select one of the following views:
 - **My Approvals.** Displays all approval items associated with the user's login name.
 - **My Position Approvals.** Displays all approval items associated the current user's position.
- 3 To view additional details about an approval item, drill down on the Approval Identifier link.
- 4 In that Status field, select Approve or Decline.

Once you select a status, the application populates the Approval By and Approval Date field and sets the record to read-only.

Automating the Display of Disclosure Documents

Disclosure processing allows companies to comply with internal company policies and external regulations. These policies and regulations require they display disclosure statements or external documents to users, and then record whether or not they have read and understood them. Implementing the automatic display of disclosure documents involves the following steps:

- **Set up a disclosure by associating it with a product and literature.**

For more information, see [Setting Up Disclosures on page 291](#).

- **Activate the appropriate workflows.**

For more information, see [Understanding and Activating Disclosure Workflows on page 292](#).

- **Invoke the Disclosure UI Service business service.**

For more information, see [Invoking the Disclosure UI Service Business Service on page 293](#).

- **View a disclosure history.**

For more information, see [Viewing Disclosures Associated with Contacts \(End User\) on page 294](#).

Setting Up Disclosures

To implement disclosure processing, you must associate each disclosure with a product and then, if applicable, with the appropriate document.

To associate a disclosure with a product

- 1 Navigate to the Administration - Product screen > Disclosure view.
- 2 In the Product form, query for the product.
- 3 In the Disclosure list, add a new record, and complete the necessary fields.
- 4 To activate a disclosure, select it in the Disclosure list, and click Activate.

Clicking Activate, changes the Status from In Progress to Active and makes the record read-only.

To revise an existing disclosure

- 1 Navigate to the Administration - Product screen > Disclosure view.
- 2 In the Product form, query for the product.
- 3 In the Disclosure list, select the disclosure to be revised, and click Revise.

Clicking Revise creates a new version of the disclosure and sets its status to In Progress.

- 4 Make the appropriate changes to the new disclosure, and click Activate.
Clicking Activate, changes the Status from In Progress to Active and makes the record read-only. The prior version of the disclosure still appears, but displays a Status of Outdated.
- 5 To associate literature with a disclosure, add a new record in the Literatures list, and complete the necessary fields.

For more information on loading literature into Siebel Finance, see the sharing literature discussion in *Siebel Applications Administration Guide*.

Understanding and Activating Disclosure Workflows

Siebel Finance includes three workflows that help manage the display of disclosure documents and disclosure event logging. [Table 33](#) describes each workflow.

Table 33. Disclosure Workflow Processes

Workflow Process	Comments
FINS Disclosure	<p>The FINS Disclosure Workflow process accomplishes the following tasks:</p> <ol style="list-style-type: none"> 1 Invokes the Setup method of the Disclosure UI Service business service. Invoking this method sets up the appropriate disclosure documents based on the selected product. 2 Calls the FINS Disclosure Goto File View subprocess. This sub-process navigates users to the Disclosure Documents list, where they can review all the disclosure documents pertaining to the selected product. This subprocess also navigates users back to the previous view after they accept or decline the disclosure. This final navigation step is accomplished by invoking the View Back method of the Disclosure UI Service. 3 Calls the FINS Disclosure Create Activity Sub Workflow subprocess. If the user accepts the disclosures, the workflow calls the FINS Disclosure Create Activity Sub Workflow subprocess to log the disclosure activity.
FINS Disclosure Goto File View	This subprocess navigates users to the Disclosure Documents list, where they can review all the disclosure documents pertaining to the selected product. This subprocess also navigates users back to the previous view after they accept or decline the disclosure. This final navigation step is accomplished by invoking the View Back method of the Disclosure UI Service.
FINS Disclosure Create Activity Sub	If the user accepts the disclosures, this sub process logs the disclosure activity.

Before you can display disclosure documents, you must:

- Deploy the workflow processes using Siebel Tools.
For more information, see *Siebel Business Process Framework: Workflow Guide*.
- Activate the workflow processes described in [Table 33](#).
For more information, see [To activate the workflows used to display disclosure documents on page 293](#)
- Invoke the Disclosure UI Service business service.
For more information, see [Invoking the Disclosure UI Service Business Service on page 293](#).

To activate the workflows used to display disclosure documents

- 1 Navigate to the Administration - Business Process screen > Workflow Deployment view.
- 2 In the Repository Workflow Processes list, use a query to find all processes where the Name field contains the word Disclosure.
NOTE: You can query on **Disclosure**.
- 3 Activate each workflow process shown in [Table 33 on page 292](#), that has a status of Inactive.
 - a Select the workflow process record.
 - b Click Activate.
- 4 To verify that the Status is Active for each process:
 - a In the lower Active Workflow Processes list, query again for Name = **Disclosure**.
 - b For each process, check that Deployment Status = Active.

Invoking the Disclosure UI Service Business Service

You can invoke the Disclosure UI Service from a workflow. This section describes some of the possible steps you can include to enable this invocation. You may need to modify and expand on this procedure to accommodate more complex business requirements. The workflow process you create must contain the following steps:

- **Start.** Initiates the process instance. When the conditions have been met, the application initiates the process instance.
- **Sub Process.** Calls the FINS Disclosure Workflow. When creating this step, you must populate the following inputs:
 - Contact Id. The Row Id of the contact who places the order of the product.
 - Disclosure Name. The name of the Disclosure that relates to the product.
 - Product Id. The Row Id of the product that the customer has ordered.
- **End.** A step in a process that specifies when a process instance is finished.

For more information on workflows, see *Siebel Business Process Framework: Workflow Guide*.

Viewing Disclosures Associated with Contacts (End User)

All end users can view disclosures associated with a specific contact on the Contacts Disclosures view. This view is read-only and displays the:

- Disclosure name
- Date the disclosure was presented to the user
- Date the user acknowledged the disclosure
- Date the user accepted the disclosure

For more information on setting up disclosure processing, see [Automating the Display of Disclosure Documents on page 291](#).

To view a disclosure history

- 1 Navigate to the Contacts screen > Contacts List view.
- 2 In the Contacts list, drill down on the contact.
- 3 Click the Disclosures view tab.

SmartScript Integration with Workflow

You can invoke a SmartScript from a workflow process and pass parameters from the SmartScript to the workflow process. These business services support SmartScript integration with workflow:

■ FINS Web Shopping Service.

For methods, see [FINS Web Shopping Service Methods on page 296](#).

■ FINS SmartScript Output Service.

For methods, see [FINS SmartScript Output Service Methods on page 297](#).

NOTE: In order to completely understand the concepts in this section, familiarity with SmartScript is required. For more information, see *Siebel SmartScript Administration Guide*.

For a detailed explanation about how to integrate SmartScript with Workflow, see [Example of Integrating SmartScript with Workflow on page 295](#).

Example of Integrating SmartScript with Workflow

The scenario outlined in this section is an example of how to insert a SmartScript in a workflow process. After the SmartScript ends, the workflow proceeds to the next step in the workflow process. Your company may follow a different workflow that fits its business requirements.

In this scenario, you are designing a SmartScript that allows customers to complete a loan application online. After the loan application is complete, your workflow verifies the customer's address in an external system.

To configure SmartScript integration with Workflow

- 1 In the SmartScript, create Save User Parameters for the parameters you want to pass to the workflow. For more information on SmartScript user parameters, see *Siebel SmartScript Administration Guide*.
- 2 Create a Business Service step for your workflow, using the FINS Web Shopping Service business service, and enter the input arguments described in [Table 34 on page 296](#).
- 3 Create a subprocess to invoke the SmartScript using the workflow User Interact step. The subprocess is based on the SmartScript Player business object and has three steps: a start step, a user interact step, and an end step.
 - a In the user interact step, set the view name to FINS SmartScript Player View (App).
 - b In the Next Step's applet, add two conditions, entering the information listed in the following tables:

Entries for Record 1 (first condition):

Field	Entry
Branch Name	Cancel
Type	Condition
Next Step	End
Event Object Type	Applet
Event	Invoke Method
Event Object	Smart Script Player Applet (FINS eSales App)
Subevent	CancelScript

Entries for Record 2 (second condition):

Field	Entry
Branch Name	Finish
Type	Condition

Field	Entry
Next Step	End
Event Object Type	Applet
Event	Invoke Method
Event Object	Smart Script Player Applet (FINS eSales App)
Subevent	FinishScript

- 4 Add a Business Service step using the FINS SmartScript Output Service business service. Enter the output arguments described in [Table 35 on page 297](#).

Now you may either end your workflow process or include additional steps, depending on your company's business requirements. The SmartScript is integrated in your workflow process.

FINS Web Shopping Service Methods

The FINS Web Shopping Service business service methods are described in [Table 34](#).

Table 34. FINS Web Shopping Service Methods

Method	Description / Arguments
SetSmartScriptName	<p>Input Arguments:</p> <ul style="list-style-type: none"> ■ Script Name (Required): The name of the SmartScript you want to invoke. ■ SSUserParameter# (Required): A SmartScript user parameter between 1 and 20. <p>For example, SSUserParameter1. The value for the input argument must be the exact name of the user parameter specified in the SmartScript, whose value needs to be passed into the workflow process at the conclusion of the SmartScript.</p>

FINS SmartScript Output Service Methods

The FINS SmartScript Output Service business service methods are described in [Table 35](#).

Table 35. FINS SmartScript Output Service Methods

Method	Description / Arguments
SetOutput	<p>Reads the SmartScript user parameters and outputs them as workflow properties:</p> <p>Output Arguments:</p> <ul style="list-style-type: none"> ■ The name of the user parameter. Specifies the SmartScript user parameters as output arguments, and passes the value of the user parameters back to the workflow process when the SmartScript ends. These output arguments can be mapped to process properties. ■ SmartScript Result Action: Returns the action users take to end the SmartScript. Possible values are Finish or Cancel.

Dynamic UI Business Service

This business service and associated administration views allow you to create and render views containing a single read-only applet in the Siebel Financial Services application. These views and applets, called dynamic applets, allow business analysts and developers to make frequent changes to the user interface without the need to recompile and redeploy a Siebel Repository File (SRF).

The following topics are included in this section:

- [Example of Creating a Dynamic Applet with the Dynamic UI Business Service](#)
- [Displaying Dynamic Applets in a Workflow](#)

Example of Creating a Dynamic Applet with the Dynamic UI Business Service

The scenario outlined in this section is an example of a Dynamic UI Service in a workflow process. Your company may follow a different workflow that fits its business requirements.

You would like to set up your company's user interface to dynamically display read-only views at run time, based on user input. For example, a customer requests a quote for an auto insurance policy. The policy includes the option to cover additional drivers. After the customer enters additional driver information, the workflow process uses a Dynamic UI applet to display a read-only list of the additional drivers for review. Customers can review the list, then select an option to continue the process.

To set up a similar user interface for your business, follow the instructions that follow.

To create a dynamic applet

- 1 Navigate to the Administration - Finance screen > Dynamic Applet Administration view.
- 2 In the Dynamic Applet list, click New, then enter the view alias and view name.
The view alias must be a unique name. The view name is a picklist of the views defined in the Template Definition view.
- 3 Step off the record. The Applet Instance list automatically displays the name of the applet template defined for this view.
- 4 In the Applet Instance list, enter the applet title, business object name, and business component name.
The business object and business component determine the fields to display for this applet.
- 5 If you want to set up a default search specification, enter:
 - Business component field. Specifies the field on which to base your search.
 - Default. Specifies a default value for which you want to search.
- 6 In the Field Control list, add a new record for each field you want to display. Each field control is displayed as a read-only text box with a text label. For each record, enter:
 - Display Sequence number. Indicates the display order for the field. For list applets, the order is left to right. For form applets, the order is left to right and top to bottom.
 - Field name. The business component field whose value you want to display.
 - Caption. The display label for the field.
- 7 In the Button Control list, add a new record for each button you want to display. Enter the sequence number, caption, and method for each button.
 - Display Sequence. Indicates the display order for the button, from left to right.
 - Caption. The display label for the button.
 - Method. The method invoked when the button is clicked. The method name must begin with FrameEventMethod. For example, FrameEventMethodContinue.

Displaying Dynamic Applets in a Workflow

Workflows can invoke a dynamic applet as part of a process defined for a product application. This feature enables an application administrator to establish applet instances without requiring recompilation and redeployment of individual applets.

To integrate the dynamic applet in a workflow

- 1 Create a subprocess based on the FINS Dynamic UI business object.
- 2 Add a Dynamic UI Service business service step and invoke the Set View Name method described in [Table 36 on page 299](#).

- 3 (Optional) Add a second Dynamic UI Service business service step and invoke the AddRecord method described in [Table 36 on page 299](#).
- 4 Add a User Interact step to display the dynamic applet.
 - a For the view property of the User Interact step, enter the view template name defined in [Step 2](#) of [Example of Creating a Dynamic Applet with the Dynamic UI Business Service](#).
 - b For each button that may be clicked in the dynamic applet, add entries into the Next Steps list applet of the User Interact step. The following is an example of such an entry:

Field	Entry
Branch Name	Continue Button
Type	Condition
Next Step	End
Event Object Type	Applet
Event	InvokeMethod
Event Object	FINS Dynamic UI List Applet
Subevent	FrameEventMethodContinue

The Dynamic UI Service business service methods are described in [Table 36](#).

Table 36. Dynamic UI Service Methods

Method	Description / Arguments
Set View Name	Input Arguments: View Alias (Required): The view alias defined in Step 2 of Example of Creating a Dynamic Applet with the Dynamic UI Business Service .
AddRecord (Optional)	Overrides the default search specification value. Input Arguments: <ul style="list-style-type: none"> ■ Business Component Name (Required): The name of the source business component. ■ Object ID (Required): The row ID of the business component.

Creating a View Template for Dynamic Applets

Creating a view template involves first creating views and applets based on specialized applet classes within Siebel Tools. These views and applets contain placeholder fields. Placeholder fields are applet controls that are not mapped to any particular business component. The views and applets will then form the basis of view templates and applet templates. You can use a single view and applet template to create any number of dynamic applets.

Two templates are provided as part of seed data: a view template containing a list applet template, and a view template containing a form applet template. The view templates are named as follows:

- **FINS Dynamic UI Form view.** A view template that contains a form applet template.
- **FINS Dynamic UI view.** A view template that contains a list applet template.

For more information about creating views and templates within Siebel Tools, see *Using Siebel Tools*.

When creating dynamic applets in Siebel Tools, note the considerations listed as follows. (Use of the word *applet* in the following bulleted list refers to applets created in Siebel Tools.)

- When setting applet class, use:
 - CSSFrameListFADynamicUI for list applets
 - CSSFrameFADynamicUI for form applets
- If using a preconfigured business component, the applet business component should be FINS Dynamic UI.
- If you create your own Virtual Business Component (VBC) in Siebel Tools, the business class should be CSSBCVDynamicUI.

Dynamic Applet supports 20 fields and five currency codes (that is, five types of currency value). In your new VBC, all field names should start with the prefix Field and a number value, (for example, Field0..., Field19). All currency code fields should start with the prefix Currency Code and a number value, (for example, Currency Code0..., Currency Code4).

- It is recommended that applets based on the same VBC have their corresponding views use a different business object.

Once the views and applets have been created in Siebel Tools, in order to define them as view templates and applet templates, they must be added to the Template Definition view.

To add views and applets to the Template Definition view

- 1 Navigate to the Administration - Finance screen > Dynamic Applet Administration view > Template Definition view.
- 2 In the Template Definition list, click New, and then enter the view name.
- 3 In the Applet Template Definition list, click New, and then enter the applet name.

FINS Application View Navigation

The FINS Application View Navigation Service guides users through a series of views based on administration data. The view list is dynamically generated according to the products associated with the current record. It replaces the Next/Previous button functionality, known as the FINS Application Workflow, in previous releases.

For more information on how this business service is used, see [Setting Up Application View Navigation on page 139](#). The following topics are presented in this section:

- [Business Service Methods on page 301](#)

- [Business Service Behaviors on page 301](#)
- [Business Service Administration on page 302](#)
- [Example of FINS Application View Navigation on page 302](#)
- [Upgrade Note on page 303](#)

Business Service Methods

The business service has two methods:

- `GetNextViewName`. Gets the next view name without view navigation.
- `GotoNextView`. Navigates to the next view.

[Table 37](#) describes the arguments for these methods.

Table 37. FINS Application View Navigation Service Arguments

Name	Type	Description
BusComp	Required	The master buscomp through the view navigation.
Navigation Direction	Optional	Forward or Backward. Default is Forward.
Product Id	Optional	Product Id value.
Product Id Field	Optional	The field in the buscomp that is used to retrieve Product Ids.
Status	Output	<ul style="list-style-type: none"> ■ 0: success ■ 1: EOF ■ 2: BOF ■ 3: Error
Next View Name	Output	Name of the Next View.
FINS View Navigation Mgr Admin BC	Optional	Name of the admin buscomp.

Business Service Behaviors

The FINS Application View Navigation Service is constrained by the following behaviors:

- The business service can be invoked from any screen.

- The navigation is limited to the views in the current screen that are accessible to the current login.
For example, if there is a product that is associated with views in both the Contact and Opportunity screens, and the invocation occurs inside the Contact screen, views in the Opportunity screen are ignored. Furthermore, the views that the current login do not have access to are also ignored.
- A view in the view list that is left by clicking the Next button, is treated as a visited view.
- At any point in the view navigation, if a next view request is triggered and there are views ahead of the current views not marked as visited, the service navigates to the skipped views.
- During the navigation sequence, the master buscomp record row Id should not be changed. Otherwise, all the views will be treated as unvisited after the record change.

Business Service Administration

The FINS Application View Navigation Service is administered through the Administration - Product screen.

To administer the FINS Application View Navigation business service

- 1 Navigate to the Administration - Product screen > Products view.
- 2 In the Products list, query for the desired product, and drill down on the product name link.
- 3 Click the More Info view tab.
- 4 In the More Info form, click the Application Workflow view link.
- 5 Create new records to associate views and their sequence to the product.

NOTE: You can associate views from any screen with a product.

If you specify views with a gap in the sequence on two different products and add both those products to, for example, an Application, you navigate based on sequence number and not on product.

For example, if you specify:

- View V1 with sequence 1 and view V2 with sequence 3 on product A
- And then also specify view V3 with sequence 2 and view V4 with sequence 4 on product B
- And then proceed to add both these products to an Application

The navigation sequence will be V1, V3, V2, V4.

Example of FINS Application View Navigation

The FINS Application View Navigation Service is used in Siebel Finance on the Application screen, where the Application form contains Previous and Next buttons.

The invocation on the Application screen uses Applet Named Method, a feature of frame classes derived from CSSSWEFrameBase and CSSSWEFrameListBase. The applet User Property has the following name/value pairs:

- **Named Method 1: GotoPreView** 'INVOKESVC', 'FINS Application View Navigation Service', 'GotoNextView', '"BusComp"', '"Opportunity"', '"Navigation Direction"', '"Backward"', '"Product Id Field"', '"Opportunity Product Id"'
- **Named Method 1: GotoNextView** 'INVOKESVC', 'FINS Application View Navigation Service', 'GotoNextView', '"BusComp"', '"Opportunity"', '"Navigation Direction"', '"Forward"', '"Product Id Field"', '"Opportunity Product Id"'

The Next and Previous buttons are mapped to methods as follows:

- **Previous** GotoPreView
- **Next** GotoNextView

Upgrade Note

In previous releases, the function provided by the FINS Application View Navigation business service was available through NextView and PrevView methods in CSSSWEFrameFINApplication.

These methods are no longer supported since Siebel Finance 7.7. If you have upgraded to Siebel Finance 7.8 from a release prior to Siebel 7.7, the Next and Previous buttons need to be reconfigured following the example provided in [Example of FINS Application View Navigation on page 302](#).

A

Siebel Finance Reports

This appendix lists the Actuate reports that are specific to the Siebel Finance (Table 38). For more information about Actuate reports, including how to customize, enhance, and create Siebel reports, see *Siebel Reports Administration Guide*.

Table 38. Siebel Finance Reports

Report Name and Description	Navigation Path	Report Selection
FINS Call Report Detail Displays call report details, participating contacts and employees, action items, and notes of a single call report.	Call Reports > My Call Reports	Detail
FINS Call Report Summary Displays the company profile of commercial banking clients including a corporate summary, financial profile, subsidiaries, contacts, and activities.	Call Reports > My Call Reports	Summary
FINS Commercial Banking Client Profile Displays the company profile of commercial banking clients including a corporate summary, financial profile, subsidiaries, contacts, and activities.	Companies > My Companies	Commercial Profile
FINS Commercial Deal Pipeline - Close Date Displays the opportunity pipeline of commercial deals, grouped by closed date.	Opportunities > My Opportunities	Commercial Pipeline by Close Date
FINS Commercial Deal Pipeline - Primary Rep Displays the opportunity pipeline of commercial deals, grouped by primary sales representative.	Opportunities > My Opportunities	Commercial Pipeline by Primary Rep
FINS Commercial Deal Pipeline - Sales Cycle Displays the opportunity pipeline of commercial deals, grouped by sales cycle.	Opportunities > My Opportunities	Commercial Pipeline by Sales Cycle

Table 38. Siebel Finance Reports

Report Name and Description	Navigation Path	Report Selection
FINS Contact Profile Displays contact profile information such as name, address, date of birth, interests, experience, and activities.	Contacts > My Contacts	Profile
FINS Deal Source - Close Date Displays lists of deals grouped by close date, with information such as company, sales cycle and primary sales representatives.	Opportunities > My Opportunities	Source by Close Date
FINS Deal Source - Primary Rep Displays lists of deals grouped by primary representatives, with information such as company, sales cycle and close date.	Opportunities > My Opportunities	Source by Primary Rep
FINS Deal Source - Source Displays lists of deals grouped by referral source, with information such as company, sales cycle and primary sales representatives.	Opportunities > My Opportunities	Source by Source
FINS Deal Source - Source Type Displays lists of deals grouped by referral source type, with information such as company, sales cycle and primary sales representatives.	Opportunities > My Opportunities	Source by Source Type
FINS Investment Banking Client Profile Displays the company profile of investment banking clients including a corporate summary, financial profile, stock market data, subsidiaries, contacts, and activities.	Companies > My Companies	Investment Profile
FINS Investment Deal Pipeline - Primary Rep Displays opportunity pipeline of investment deals, grouped by primary representative.	Opportunities > My Opportunities	Investment Pipeline by Primary Rep
FINS Investor Profile Displays profiles of investors including specialties, industry, vehicles, holdings and transactions.	Investors > My Investors	Profile
FINS Portfolio Roll-Up - Primary Rep Displays lists of companies and their loans and deposits, grouped by primary representatives.	Companies > My Companies	Roll-Up by Primary Rep

Table 38. Siebel Finance Reports

Report Name and Description	Navigation Path	Report Selection
FINS Portfolio Roll-Up - Relationship Displays lists of companies and their loans and deposits, grouped by relationships.	Companies > My Companies	Roll-Up by Relationship
FINS cBanking Credit Request Borrower Summary Displays a summary of the credit request, profile of the borrower, and the facility.	Commercial Loan > My Requests	Credit Request Borrower Report
FINS cBanking Credit Request Facility Summary Displays the detail of the credit request facility including collateral, guarantor, and fee.	Commercial Loan > My Requests	Credit Request Facility Report
FINS cBanking Credit Request Summary Displays the detail of the credit request including decisions, key credit issues, and underwriting standard.	Commercial Loan > My Requests	Credit Request Report

B

Sample ASPs for Household Financial Accounts Virtual Business Components

This appendix lists the sample ASPs for household financial accounts virtual business components. Siebel Finance includes virtual business components to display financial account data sourced from a back office or a third-party system. Use these virtual business components for specific financial accounts views within the Households screen. For more information, see [“Setting Up Household Financial Accounts Virtual Business Components” on page 113](#).

You can use these sample Active Server Pages (ASPs) to retrieve data from a test database, and return an XML file in Siebel format to Oracle's Siebel XML Gateway business service. For more information on setting up a test ASP, see [“To set up an ASP and local test database” on page 114](#).

This appendix includes the following topics:

- [cashflow.asp on page 309](#)
- [Performance.asp on page 315](#)
- [ModelValueByClass.asp on page 321](#)
- [ModelValueBySector.asp on page 327](#)
- [holdings.asp on page 334](#)

cashflow.asp

Use the following sample ASP to test retrieving data for the Cash Flow view.

```
<%@ EnableSessionState=False Language=VBScript %>
<% option explicit %>
<%
Dim Conn
Dim SQL
Dim R
Dim F
Dim RecsAffected
Dim aConnectionString

aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0; " _
    & "Data Source=c:\inetpub\i bd\mdb.mdb"

Set Conn = Server.CreateObject("ADODB.Connection")
Conn.Mode = 3
```

```
Conn.ConnectionString = aConnectionString
Conn.CursorLocation = 3
Conn.Open
SQL="SELECT * from cashflow"
Set R=Server.CreateObject("ADODB.Recordset")

dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
' Response.Write aPath

' strip the file name from the path
aPath = Left(aPath, InstrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\log\cash.log"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)

' for each item in Request.ServerVariables
    ' ts.write item
    ' ts.writelne Request.ServerVariables(item)
' next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
' domDoc.setProperty("ServerHTTPRequest")=true
```

```
domDoc.Load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim sWhere
dim x
dim y
dim sFields
dim sValues

set root = domDoc.documentElement

dim nName
dim inputText
dim data

'inputText = Request.Form("textInput")

nName = root.nodeName
```

```
Select Case nName

Case "siebel-ext-fields-req"

R.Open SQL, Conn, 3, 1, &H0001
domDoc.save (server.MapPath("init1.xml"))
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-ext-fields-ret>"
For Each F in R.Fields
    Response.Write "<support field=' "& F.Name &"' />"
Next
Response.Write "</siebel-ext-fields-ret>"
R.Close

Case "siebel-ext-query-req"

' This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)

set mainNodes = root.childNodes
ts.WriteLine "Document have MainNodes: " & mainNodes.Length
Dim z
z = 0
For each matchNode in MainNodes
    ' attVal1(z) = matchNode.text
    ' set attribs = matchNode.attributes
    ' set attrib = attribs(0)
    ' attName1(z) = attrib.nodeValue
' ts.WriteLine
ts.WriteLine "MainNode " & z
```



```
'ts.write z

ts.writeline "Main Node Name: " & matchNode.nodeName
ts.writeline "Main Node type: " & matchNode.nodeType
ts.writeline "Main Node value: " & matchNode.nodeValue
'ts.writeline "match Node data: " & matchNode.data
ts.writeline "Main line text: " & matchNode.text
'ts.write attrib.nodeValue

z = z +1
next

set matchNodes = root.SelectNodes("search-string")
ts.writeline "MatchNodes in document are : " & matchNodes.length
x = 0

For each matchNode in matchNodes

ts.writeline "Match string is : " & matchNode.text
sWhere = matchNode.text
x = x +1
next

ts.writeline "This is sWhere " & sWhere

'setting the WHERE clause in order to query the correct recordset

if sWhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & sWhere
SQLwhere = SQL + SQLwhere
end if
'Response.Write SQLwhere
```

```
R.Open SQLWhere, Conn, 3, 1, &H0001

' for debugging
domDoc.save (server.MapPath("init2.xml"))

' build response stream by iterating through the recordset
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel -xml ext-query-ret>"
' ts.write "<?xml version=""1.0"" encoding=""UTF-8""?>"
' ts.write "<siebel -xml ext-query-ret>"

While Not R.EOF
    Response.Write "<row>"
    ' ts.write "<row>"
    For Each F in R.Fields
        Response.Write "<value field=""& F.Name &"">& F.Value &</value>"
        ' ts.write "<value field=""& F.Name &"">& F.Value &</value>"
    Next
    Response.Write "</row>"
    ' ts.write "</row>"
    R.MoveNext
Wend

Response.Write "</siebel -xml ext-query-ret>"
' ts.write "</siebel -xml ext-query-ret>"
R.Close

Case "siebel -xml ext-preinsert-req"

' Section for PreInsert
Response.Write "<siebel -xml ext-preinsert-ret>"
Response.Write "<row></row>"
Response.Write "</siebel -xml ext-preinsert-ret>"

Case "siebel -xml ext-insert-req"
' Section for Insert
```

```
Case "siebel-xml-ext-delete-req"  
'Section for Delete  
  
End Select  
  
'cleaning up the objects in memory  
ts.close  
set root = Nothing  
set domDoc = Nothing  
set ts = Nothing  
set fs = Nothing  
Set R = Nothing  
Conn.Close  
Set Conn = Nothing  
%>
```

Performance.asp

Use the following sample ASP to test retrieving data for the Performance view.

```
<%@ EnableSessionState=False Language=VBScript %>  
<% option explicit %>  
<%  
Dim Conn  
Dim SQL  
Dim R  
Dim F  
Dim RecsAffected  
Dim aConnectionString  
  
aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0; " _  
    & "Data Source=c:\inetpub\i bd\mdb.mdb"  
  
Set Conn = Server.CreateObject("ADODB.Connection")
```

```
Conn.Mode = 3
Conn.ConnectionString = aConnectionString
Conn.CursorLocation = 3
Conn.Open
SQL="SELECT * from perf"
Set R=Server.CreateObject("ADODB.Recordset")

dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
' Response.Write aPath

' strip the file name from the path
aPath = Left(aPath, InstrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\log\perf.log"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)

' for each item in Request.ServerVariables
' ts.write item
' ts.writeline Request.ServerVariables(item)
' next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
```

```
' domDoc.setProperty("ServerHttpRequest")=true  
domDoc.Load(Request)
```

```
dim node  
dim nodes  
dim mainNode  
dim mainNodes  
dim matchNode  
dim matchNodes  
dim attribs  
dim attrib  
dim SQLwhere  
Dim root  
dim SQLinsert  
dim SQLfields  
dim SQLvalues  
dim sWhere  
dim x  
dim y  
dim sFields  
dim sValues
```

```
set root = domDoc.documentElement
```

```
dim nName  
dim inputText  
dim data
```

```
' inputText = Request.Form("textInput")
```

```
nName = root.nodeName
```

```
Select Case nName

Case "siebel-xml-ext-fields-req"

    R.Open SQL, Conn, 3, 1, &H0001
    domDoc.save (server.MapPath("init1.xml"))
    Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
    Response.Write "<siebel-xml-ext-fields-ret>"
    For Each F in R.Fields
        Response.Write "<support field=' "& F.Name &"' />"
    Next
    Response.Write "</siebel-xml-ext-fields-ret>"
    R.Close

Case "siebel-xml-ext-query-req"

    ' This section of SelectCase is for the Query Request
    dim attVal1(25)
    dim attName1(25)

    set mainNodes = root.childNodes
    ts.WriteLine "Document have MainNodes: " & mainNodes.Length
    Dim z
    z = 0
    For each matchNode in MainNodes
        ' attVal1(z) = matchNode.text
        ' set attri bs = matchNode.attributes
        ' set attrib = attri bs(0)
        ' attName1(z) = attrib.nodeValue
    ' ts.WriteLine
```

```
ts.writeline "MainNode " & z
'ts.write z

ts.writeline "Main Node Name: " & matchNode.nodeName
ts.writeline "Main Node type: " & matchNode.nodeType
ts.writeline "Main Node value: " & matchNode.nodeValue
'ts.writeline "match Node data: " & matchNode.data
ts.writeline "Main line text: " & matchNode.text
'ts.write attrib.nodeValue

z = z +1
next

set matchNodes = root.SelectNodes("search-string")
ts.writeline "MatchNodes in document are : " & matchNodes.length
x = 0

For each matchNode in matchNodes

ts.writeline "Match string is :" & matchNode.text
sWhere = matchNode.text
x = x +1
next

ts.writeline "This is sWhere " & sWhere

'setting the WHERE clause in order to query the correct recordset

if sWhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & sWhere
SQLwhere = SQL + SQLwhere
end if
```

```
' Response.Wri te SQLwhere
R.Open SQLwhere, Conn, 3, 1, &H0001

' for debuggi ng
domDoc.save (server.MapPath("ini t2.xml "))

' build response stream by iterating through the recordset
Response.Wri te "<?xml versi on= ""1.0"" encodi ng=""UTF-8""?>"
Response.Wri te "<si ebel -xml ext-query-ret>"
' ts.wri te "<?xml versi on=""1.0"" encodi ng=""UTF-8""?>"
' ts.wri te "<si ebel -xml ext-query-ret>"

While Not R.EOF
    Response.Wri te "<row>"
    ' ts.wri te "<row>"
For Each F in R.Fields
    Response.Wri te "<val ue fiel d=""& F.Name &"">& F.Val ue &</val ue>"
    ' ts.wri te "<val ue fiel d=""& F.Name &"">& F.Val ue &</val ue>"
Next
Response.Wri te "</row>"
' ts.wri te "</row>"
R.MoveNext
Wend
Response.Wri te "</si ebel -xml ext-query-ret>"
' ts.wri te "</si ebel -xml ext-query-ret>"
R.Close

Case "si ebel -xml ext-prei nsert-req"

' Secti on for PreI nsert
Response.Wri te "<si ebel -xml ext-prei nsert-ret>"
Response.Wri te "<row></row>"
Response.Wri te "</si ebel -xml ext-prei nsert-ret>"

Case "si ebel -xml ext-i nsert-req"
```



```
' Section for Insert

Case "siebel-xml-ext-delete-req"

' Section for Delete


End Select


' cleaning up the objects in memory
ts.close
set root = Nothing
set domDoc = Nothing
set ts = Nothing
set fs = Nothing
Set R = Nothing
Conn.Close
Set Conn = Nothing

%>
```

ModelValueByClass.asp

Use the following sample ASP to test retrieving data for the Class Allocation view.

```
<%@ EnableSessionState=False Language=VBScript %>
<% option explicit %>
<%
Dim Conn
Dim SQL
Dim R
Dim F
Dim RecsAffected
Dim aConnectionString

aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0; " _
    & "Data Source=C:\inetpub\idb\mdb.mdb"
```

```
Set Conn = Server.CreateObject("ADODB.Connection")
Conn.Mode = 3
Conn.ConnectionString = aConnectionString
Conn.CursorLocation = 3
Conn.Open
SQL="SELECT * from ModelValueByClass"
Set R=Server.CreateObject("ADODB.Recordset")

dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
' Response.Write aPath

' strip the file name from the path
aPath = Left(aPath, InstrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\log\ModelValueByClass.txt"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)

for each item in Request.ServerVariables
    ts.write item
    ts.write Request.ServerVariables(item)
next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
```

```
domDoc.async = false
' domDoc.setProperty("ServerHTTPRequest")=true
domDoc.Load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim sWhere
dim x
dim y
dim sFields
dim sValues

set root = domDoc.documentElement

dim nName
dim inputText
dim data

' inputText = Request.Form("textInput")
nName = root.nodeName
ts.write nName
ts.close

Select Case nName
```

```
Case "siebel -xml ext-fields-req"

R.Open SQL, Conn, 3, 1, &H0001

domDoc.save (server.MapPath("init1.xml"))

Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"

Response.Write "<siebel -xml ext-fields-ret>"

For Each F in R.Fields

    Response.Write "<support field=' "& F.Name &"' />"

Next

Response.Write "</siebel -xml ext-fields-ret>"

R.Close


Case "siebel -xml ext-query-req"

' This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)

'set mainNodes = root.childNodes
set matchNodes = domDoc.SelectNodes("siebel -xml ext-query-req/match")
For each matchNode in matchNodes
    attVal1(x) = matchNode.text
    set attribs = matchNode.attributes
    set attrib = attribs(0)
    attName1(x) = attrib.nodeValue
    x = x + 1
next

x = x - 1

for y=0 to x
    if not ((x-y)>0) then
        sWhere = sWhere & attName1(y) & " = " & """" & attVal1(y) & """"
    else
        sWhere = sWhere & attName1(y) & " = " & """" & attVal1(y) & """" AND"
    end if
next
```

```
'setting the WHERE clause in order to query the correct recordset

if sWhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & sWhere
SQLwhere = SQL + SQLwhere
end if
' Response. Write SQLwhere
R. Open SQLwhere, Conn, 3, 1, &H0001

' for debugging
domDoc. save (server.MapPath("init2.xml"))

' build response stream by iterating through the recordset
Response. Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response. Write "<siebel-xml ext-query-ret>"
' ts. write "<?xml version=""1.0"" encoding=""UTF-8""?>"
' ts. write "<siebel-xml ext-query-ret>"

While Not R.EOF
    Response. Write "<row>"
    ' ts. write "<row>"
    For Each F in R.Fields
        Response. Write "<value field=""& F.Name &"">& F.Value &</value>"
        ' ts. write "<value field=""& F.Name &"">& F.Value &</value>"
    Next
    Response. Write "</row>"
    ' ts. write "</row>"
    R.MoveNext
Wend
Response. Write "</siebel-xml ext-query-ret>"
' ts. write "</siebel-xml ext-query-ret>"
R. Close

Case "siebel-xml ext-preinsert-req"
```

```
' Section for PreInsert
Response. Write "<si ebel -xml ext-preinsert-ret>"
Response. Write "<row></row>"
Response. Write "</si ebel -xml ext-preinsert-ret>"

Case "si ebel -xml ext-insert-req"

' Section for Insert

R.Open SQL, Conn, 3, 3, &H0001
dim attVal (25)
dim attName(25)
set mainNodes = root.childNodes
set matchNodes = domDoc.SelectNodes("si ebel -xml ext-insert-req/row/value")
For each matchNode in matchNodes
attVal (x) = matchNode.text

set attribs = matchNode.attributes
set attrib = attribs(0)
attName(x) = attrib.nodeValue

x = x +1
next

x = x - 1
for y=0 to x
if not ((x-y)>0) then
sFields = sFields & """" & attName(y) & """"
sValues = sValues & """" & attVal (y) & """"
else
sFields = sFields & """" & attName(y) & """, "
sValues = sValues & """" & attVal (y) & """, "
end if
```

```
next
' ts.write sFields
' ts.write sValues
if (R.Supports(&H01000400)) then
R.AddNew Array(sFields), Array(sValues)
end if

R.Update
R.Close

Case "siebel-xml-ext-delete-req"
' Section for Delete

End Select

' cleaning up the objects in memory
' ts.close
set root = Nothing
set domDoc = Nothing
set ts = Nothing
set fs = Nothing
Set R = Nothing
Conn.Close
Set Conn = Nothing
%>
```

ModelValueBySector.asp

Use the following sample ASP to test retrieving data for the Sector Allocation view.

```
<%@ EnableSessionState=False Language=VBScript %>
<% option explicit %>
<%
Dim Conn
```

```
Dim SQL
Dim R
Dim F
Dim RecsAffected
Dim aConnectionString

aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0; " _
    & "Data Source=C:\inetpub\i bd\mdb.mdb"

Set Conn = Server.CreateObject("ADODB.Connection")
Conn.Mode = 3
Conn.ConnectionString = aConnectionString
Conn.CursorLocation = 3
Conn.Open
SQL="SELECT * from Model ValueBySector"
Set R=Server.CreateObject("ADODB.Recordset")


dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
' Response.Write aPath

' strip the file name from the path
aPath = Left(aPath, InstrRev(aPath, "\"))
' add the log file name
aLogFile = aPath & "\log\Model ValueBySector.txt"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)
```



```
for each item in Request.ServerVariables
    ts.write item
    ts.write Request.ServerVariables(item)
next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
' domDoc.setProperty("ServerHTTPRequest")=true
domDoc.Load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim sWhere
dim x
dim y
dim sFields
dim sValues

set root = domDoc.documentElement

dim nName
dim inputText
```

```
dim data

'inputText = Request.Form("textInput")
nName = root.nodeName
ts.write nName
ts.close

Select Case nName

Case "siebel-xml-ext-fields-req"
R.Open SQL, Conn, 3, 1, &H0001
domDoc.save (server.MapPath("init1.xml"))
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-xml-ext-fields-ret>"
For Each F in R.Fields
    Response.Write "<support field=' "& F.Name &"' />"
Next
Response.Write "</siebel-xml-ext-fields-ret>"
R.Close

Case "siebel-xml-ext-query-req"

'This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)
'set mainNodes = root.childNodes
set matchNodes = domDoc.SelectNodes("siebel-xml-ext-query-req/match")
For each matchNode in matchNodes
    attVal1(x) = matchNode.text
    set attribs = matchNode.attributes
    set attrib = attribs(0)
    attName1(x) = attrib.nodeValue
    x = x + 1
next

x = x - 1
```

```

for y=0 to x
    if not ((x-y)>0) then
        sWhere = sWhere & attName1(y) & " = " & attVal1(y) & " "
    else
        sWhere = sWhere & attName1(y) & " = " & attVal1(y) & " " AND"
    end if
next

' setting the WHERE clause in order to query the correct recordset

if sWhere="" then
    SQLwhere = SQL
else
    SQLwhere = " WHERE " & sWhere
    SQLwhere = SQL + SQLwhere
end if

' Response. Write SQLwhere
R.Open SQLwhere, Conn, 3, 1, &H0001

' for debugging
domDoc.save (server.MapPath("init2.xml"))

' build response stream by iterating through the recordset
Response. Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response. Write "<Siebel-xml-ext-query-ret>"
' ts. write "<?xml version=""1.0"" encoding=""UTF-8""?>"
' ts. write "<Siebel-xml-ext-query-ret>"

While Not R.EOF
    Response. Write "<row>"
    ' ts. write "<row>"
For Each F in R.Fields
    Response. Write "<value field=""& F.Name &"">& F.Value &</value>"
    ' ts. write "<value field=""& F.Name &"">& F.Value &</value>"
Next

```

```
Response. Write "</row>"
' ts. write "</row>"
R. MoveNext
Wend
Response. Write "</si ebel -xml ext-query-ret>"
' ts. write "</si ebel -xml ext-query-ret>"
R. Close

Case "si ebel -xml ext-prei nsert-req"

' Section for PreInsert
Response. Write "<si ebel -xml ext-prei nsert-ret>"
Response. Write "<row></row>"
Response. Write "</si ebel -xml ext-prei nsert-ret>"

Case "si ebel -xml ext-i nsert-req"

' Section for Insert

R. Open SQL, Conn, 3, 3, &H0001
dim attVal(25)
dim attName(25)
set mainNodes = root.childNodes
set matchNodes = domDoc.SelectNodes("si ebel -xml ext-i nsert-req/row/val ue")
For each matchNode in matchNodes
attVal(x) = matchNode.text

set attribs = matchNode.attributes
set attrib = attribs(0)
attName(x) = attrib.nodeValue

x = x +1
next

x = x - 1
```

```
for y=0 to x
if not ((x-y)>0) then
sFields = sFields & "" & attName(y) & ""
sValues = sValues & "" & attVal(y) & ""
else
sFields = sFields & "" & attName(y) & "", "
sValues = sValues & "" & attVal(y) & "", "
end if

next

'ts.write sFields
'ts.write sValues
if (R.Supports(&H01000400)) then
R.AddNew Array(sFields), Array(sValues)
end if

R.Update
R.Close

Case "siebel-xml-ext-delete-req"
' Section for Delete

End Select

'cleaning up the objects in memory
'ts.close
set root = Nothing
set domDoc = Nothing
set ts = Nothing
set fs = Nothing
Set R = Nothing
Conn.Close
Set Conn = Nothing
%>
```

holdings.asp

Use the following sample ASP to test retrieving data for the Aggregated Holdings view.

```
<%@ EnableSessionState=False Language=VBScript %>
<% option explicit %>

<%
Dim Conn
Dim SQL
Dim R
Dim F
Dim RecsAffected
Dim aConnectionString

aConnectionString = "Provider=Microsoft.Jet.OLEDB.4.0;" _
    & "Data Source=C:\inetpub\i bd\mdb.mdb"

Set Conn = Server.CreateObject("ADODB.Connection")
Conn.Mode = 3
Conn.ConnectionString = aConnectionString
Conn.CursorLocation = 3
Conn.Open
SQL="SELECT * from Holdings"
Set R=Server.CreateObject("ADODB.Recordset")

dim v
dim fs
dim ts
dim sReq
Dim aPath
Dim aLogFile
dim item

aPath = Request.ServerVariables("PATH_TRANSLATED")
' Response.Write aPath
```

```
' strip the file name from the path
aPath = Left(aPath, InstrRev(aPath, "\"))

' add the log file name
aLogFile = aPath & "\\log\Holding.txt"

set fs = Server.CreateObject("Scripting.FileSystemObject")
set ts = fs.OpenTextFile(aLogFile, 8, True, 0)

' for each item in Request.ServerVariables
    ' ts.write item
    ' ts.write Request.ServerVariables(item)
' next

dim domDoc
dim aFilename
set domDoc = Server.CreateObject("MSXML.DOMDocument")
domDoc.async = false
' domDoc.setProperty("ServerHTTPRequest")=true
domDoc.Load(Request)

dim node
dim nodes
dim mainNode
dim mainNodes
dim matchNode
dim matchNodes
dim attribs
dim attrib
dim SQLwhere
Dim root
dim SQLinsert
dim SQLfields
dim SQLvalues
dim sWhere
dim x
dim y
```

```
dim sFields
dim sValues

set root = domDoc.documentElement

dim nName
dim inputText
dim data

' inputText = Request.Form("textInput")
nName = root.nodeName
' ts.write nName
' ts.close

Select Case nName

Case "siebel-xml-ext-fields-req"
R.Open SQL, Conn, 3, 1, &H0001
domDoc.save (server.MapPath("ini tHold1.xml "))
Response.Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response.Write "<siebel-xml-ext-fields-ret>"
For Each F in R.Fields
    Response.Write "<support field=' "& F.Name &"' />"
Next
Response.Write "</siebel-xml-ext-fields-ret>"
R.Close

Case "siebel-xml-ext-query-req"

' This section of SelectCase is for the Query Request
dim attVal1(25)
dim attName1(25)

set mainNodes = root.childNodes
ts.WriteLine "Document have MainNodes: " & mainNodes.Length
Dim z
```



```
z = 0
For each matchNode in MainNodes
    'attVal1(z) = matchNode.text
    'set attribs = matchNode.attributes
    'set attrib = attribs(0)
    'attName1(z) = attrib.nodeValue
    'ts.writeline
    ts.writeline "MainNode " & z
    'ts.write z
    ts.writeline "Main Node Name: " & matchNode.nodeName
    ts.writeline "Main Node type: " & matchNode.nodeType
    ts.writeline "Main Node value: " & matchNode.nodeValue
    'ts.writeline "match Node data: " & matchNode.data
    ts.writeline "Main line text: " & matchNode.text
    'ts.write attrib.nodeValue

z = z +1
next

set matchNodes = root.SelectNodes("search-string")
ts.writeline "MatchNodes in document are : " & matchNodes.length
x = 0

For each matchNode in matchNodes

    ts.writeline "Match string is :" & matchNode.text
    sWhere = matchNode.text

x = x +1
next

ts.writeline "This is sWhere " & sWhere

'setting the WHERE clause in order to query the correct recordset
```

```
if sWhere="" then
SQLwhere = SQL
else
SQLwhere = " WHERE " & sWhere
SQLwhere = SQL + SQLwhere
end if
' Response. Write SQLwhere
R.Open SQLwhere, Conn, 3, 1, &H0001

' for debugging
domDoc.save (server.MapPath("ini thold2.xml"))

' build response stream by iterating through the recordset
Response. Write "<?xml version= ""1.0"" encoding=""UTF-8""?>"
Response. Write "<si ebel -xml ext-query-ret>"
' ts. write "<?xml version=""1.0" encoding=""UTF-8""?>"
' ts. write "<si ebel -xml ext-query-ret>"

While Not R.EOF
    Response. Write "<row>"
    ' ts. write "<row>"
    For Each F in R.Fields
        Response. Write "<value field=""& F.Name &"">" & F.Value &"</value>"
        ' ts. write "<value field=""& F.Name &"">" & F.Value &"</value>"
    Next
    Response. Write "</row>"
    ' ts. write "</row>"
    R.MoveNext
Wend

Response. Write "</si ebel -xml ext-query-ret>"
' ts. write "</si ebel -xml ext-query-ret>"
R.Close

Case "si ebel -xml ext-prei nsert-req"
```

```
' Section for PreInsert  
Response. Write "<si ebel -xml ext-prei nsert-ret>"  
Response. Write "<row></row>"  
Response. Write "</si ebel -xml ext-prei nsert-ret>"
```

```
Case "si ebel -xml ext-i nsert-req"
```

```
' Section for Insert
```

```
Case "si ebel -xml ext-dele te-req"
```

```
' Section for Delete
```

```
End Select
```

```
' cleaning up the objects in memory  
ts.close  
set root = Nothing  
set domDoc = Nothing  
set ts = Nothing  
set fs = Nothing  
Set R = Nothing  
Conn.Close  
Set Conn = Nothing  
%>
```


Index

Numerics

7.7 seed data, confirming 141

A

access exceptions

- about 191
- access exceptions by type, viewing 195
- access exceptions, adding 194
- access workflows, activating 193
- business scenario 192
- contact's access level, setting 195
- distribution exceptions, about activating workflows 193
- existing piece of literature, setting access level 193
- list, setting access level (administrator procedure) 193
- list, setting access level (end-user procedure) 195
- list, viewing access exceptions associated with 196
- literature and lists, about setting access levels 192
- literature, viewing access exceptions associated with 196

access levels

- contact access level, about using 82
- contact's access level, setting 195
- contacts, setting access level 195
- existing piece of literature, setting access level 193
- list, setting access level 195
- literature and lists, about setting for 192
- literature, setting list access level 193

account analysis, viewing 116

account holdings

- comparing against portfolio model 72

account services

- account services view items table 122
- account services, requesting using a service request 124

accounts

- account holdings, comparing against portfolio model 72
- call list, creating based on account criteria 116
- expected future cash flows, viewing for

- selected accounts 73
- facilities, associating with financial accounts 164
- financial account, associated with a household 72
- financial account, viewing aggregated holdings for 72
- Financial Services, as used in 26
- selected account holdings, viewing by sector 72
- selected accounts' past performance, viewing 73

action items

- associating with call reports 97

Active Server Pages

- cashflow.asp virtual business component 309
- holdings.asp virtual business component 334
- ModelValueByClass.asp virtual business component 321
- ModelValueBySector.asp virtual business component 327
- Performance.asp virtual business component 315

activities

- about and defined 101
- activities plan for loan requests, about setting up 162
- business scenarios, institutional finance 102
- business scenarios, retail finance 102
- call lists, creating 104
- closing activities, adding 155
- company coverage team activities, viewing 104
- coworkers, assigning activities to 103
- customers, making appointments with 102
- group pension plan, creating activity associated with 204
- literature fulfillment, providing by email 104
- My To Do List, managing 103
- viewing aggregated activities for a company 59

activity

- activity plan, creating for a deal 44
- new activity, creating and assigning a deal team member 45

Actuate reports, table of 305**address**

- company address, changing 121
- company address, changing by service request 124
- customer address, changing 122
- customer address, changing by service request 125

Aggregated Holdings view

- testing using holdings.asp 334

applets

- Command Center applet, configuring
 - example 34
- Command Center applet, defining actions 32
- Command Line applet, creating global commands for 36
- read and write, or write-only, about establishing 27

applicant information, adding 147**application information, managing**

- applicant and guarantor information, adding 147
- closing requirement, reviewing 150
- collateral information, adding 149
- consumer detail information, adding 148
- disclosure information, capturing 149
- documentation, managing using subviews 150
- product detail information, adding 146
- reference information, adding 149
- types of applicant information 146
- updated statement, creating 147

application view navigation

- See applications

applications

- 7.7 seed data, confirming 141
- applicant and guarantor information, adding 147
- application information, types of 146
- application process, about 137
- application workflow, purpose of setting up 139
- application workflow, setting up 140
- application, creating 144
- Applications view, accessing from the Companies screen 143
- Applications view, accessing from the Contacts screen 143
- assessing applications, methods to 153
- assigned applications, viewing 153
- associating company applications with a company 60
- Auto Application workflow, deactivating 142
- Auto Application workflow, routing actions

- to 142

Auto Application, about 141

Auto Application, screens available from 145

Auto Application, using to create an application 145

Auto Application, verifying runtime event data 141

business scenario, administrator creates a new product 138

business scenario, branch agent assists a customer opening a new account 138

business services information, adding 152

closing activities, adding 155

closing requirements, reviewing 150

collateral information, adding 149

consumer detail information, adding 148

coworkers, assigning applications to 145

decisions, viewing 154

disclosure information, capturing 149

documentation, managing using subviews 150

Next button, about using to complete applications 144

notes, creating about applications 155

outstanding trailing documents, viewing 155

processing application tasks, list of 152

product detail information, adding 146

reference information, adding 149

regulation C compliance information, entering 154

report information, entering 154

sales method creation and modification, about 140

small business details, adding 151

small business loan applications, customer information needed 150

small business loan features and terms, recording 152

trailing documents, adding 155

updated statement, creating 147

Applications Administration Guide

about setup tasks information 25

Applications view

Companies screen, accessing from 143

Contacts screen, accessing from 143

appointments

making appointments with customers 102

approval levels

commercial loans, setting up for 162

loan request, associating with 166

approval stage

approving or declining 290

assessment templates

- about setting up 161
- assessments**
 - company assessments, about creating 60
 - company assessments, performing 60
- Assignment Manager**
 - about using to resolve coverage team problems 53
- Assignment Statements, fine tuning**
 - about 232
 - Cache flag, about 234
 - Light Parser flag, about 233
- attachment**
 - deal, creating for 45
- attachments**
 - associating with call reports 97
- Audit Trail**
 - using Show Audit Trail button 26
- authorized user**
 - adding to financial account 112
- Auto Application**
 - 7.7 seed data, confirming 141
 - about 141
 - application, using to create 145
 - Auto Application workflow, routing actions to 142
 - deactivating Auto Application workflow 142
 - runtime event data, verifying 141
 - screens available from 145
- automating approval processing**
 - about 287
 - approval items and stages, defining 287
 - FINS Approval Item Service, invoking from a workflow 288

B

- beneficiary information**
 - recording for participant 203
- billing**
 - entering billing information group pensions 202
- bond records**
 - about creating and modifying 177
- borrower**
 - borrower details, adding to a loan request 166
 - policy exceptions, creating at borrower level 170
- BRP**
 - See Business Rule Processor
- business components**
 - cashflow.asp virtual business component 309
 - holdings.asp virtual business

- component 334
- ModelValueByClass.asp virtual business component 321
- ModelValueBySector.asp virtual business component 327
- Performance.asp virtual business component 315

Business Rule Process

- procedure, defining 225
- procedure, defining a step 225
- procedures, about defining 224

Business Rule Processor

- about 215
- business rule process, creating 218
- creating and managing, about 217
- existing process, revising 218
- process of defining 216
- process, activating 219
- process, exporting 219
- process, importing 219
- properties, defining 220
- property types, about 220
- property, defining 223

Business Rules Process

- errors, recovering from within process 235
- errors, throwing errors within 234
- FINS CAP Buscomp Data Loader Business Service 236
- FINS CAP Buscomp Handler Business Service 240
- helper business services, about using 236

Business Rules Processor

- debug messages, logging 248
- invoking using eScript 247
- invoking, about 246

business services

- about 206
- active business objects, use of 283
- approval items and stages, defining 287
- approval stage, approving or declining 290
- Assignment Statements, fine tuning 232
- automating approval processing 287
- Business Rule Process procedure, defining 225
- Business Rule Process procedure, defining a step 225
- Business Rule Process procedures, defining 224
- Business Rule Processor debug messages, logging 248
- Business Rule Processor property types 220
- Business Rule Processor property, defining 223
- Business Rule Processor, about 215

- Business Rule Processor, about creating and managing 217
- Business Rule Processor, activating a process 219
- Business Rule Processor, creating 218
- Business Rule Processor, defining properties 220
- Business Rule Processor, exporting a process 219
- Business Rule Processor, importing a process 219
- Business Rule Processor, invoking using eScript 247
- Business Rule Processor, process of defining 216
- Business Rule Processor, revising an existing process 218
- Business Rules Process, about using helper business services 236
- Business Rules Process, recovering from errors 235
- Business Rules Process, throwing errors within 234
- Business Rules Processor, invoking 246
- Cache flag, about 234
- calculation details, specifying 265
- calculation expressions in Data Transfer Utilities 278
- Calculation Manager, about and examples 263
- Calculation Manager, invoking 268
- calculation rule set. specifying 263
- Customer Authentication Manager 257
- Customer Authentication Manager, invoking 261
- customer authentication rules, creating 260
- customer authentication templates, creating 258
- Customer Expectation Manager rules, defining 270
- Customer Expectation Manager, invoking 272
- Customer Expectations Manager 269
- data map component advanced options 274
- data map components 273
- data map fields 276
- data map objects 273
- data maps, about 272
- Data Transfer method 280
- Data Transfer Utilities, about 272
- Data Validation Manager, about 214
- disclosure documents, activating workflows used to display 293
- disclosure history, viewing associated with contacts 294
- disclosure processing, automating display 291
- Disclosure UI Service, about invoking from workflow 293
- disclosure workflow processes (table) 292
- disclosures, associating with a product 291
- dynamic applet, creating with Dynamic UI business service example 297
- dynamic applet, displaying in a workflow 298
- dynamic enabling of commands 285
- Dynamic UI business service, about 297
- Dynamic UI Service methods 300
- embedded script for mortgage calculation example 266
- event-based commands, configuring 284
- existing disclosure, revising 291
- FINS Application View Navigation Service 300
- FINS Application View Navigation Service example 302
- FINS Application View Navigation Service, administering 302
- FINS Application View Navigation Service, behaviors 301
- FINS Application View Navigation Service, methods 301
- FINS Application View Navigation Service, upgrade note 303
- FINS Approval Item Service, invoking from a workflow 288
- FINS CAP Buscomp Data Loader Business Service 236
- FINS CAP Buscomp Handler Business Service 240
- FINS SmartScript Output Service methods 297
- FINS Web Shopping Service methods 296
- Free Format Converter 213
- invocation context 283
- Light Parser flag, about 233
- named parameters, using in Data Transfer Utilities 277
- Record Group templates, creating 254
- record templates, creating 250
- recursive invocation 284
- requirement templates, creating 251
- Requirements Manager 249
- Requirements Manager key features 249
- Requirements Manager, about invoking 249
- Requirements Manager, administration steps 250
- Requirements Manager, example of using for Record Group templates 256

- Requirements Manager, invoking 254
- SmartScript, about invoking from a workflow 294
- SmartScript, integrating with workflow example 295
- Template Definition view, adding views and applets 300
- variables, specifying 264
- VBC cache and Instance Manager 208
- view template, about creating for dynamic applets 299
- well-positioned buscomps 283
- what is a business service 206
- business services information, adding** 152

C

- C compliance information, entering** 154

- Cache flag, about** 234

- Calculation Expectations Manager**

- about 269
- invoking 272
- rules, defining 270

- calculation expressions**

- about 278
- curley bracket pair {field} 278
- named parameters 279

- Calculation Manager**

- about and examples 263
- calculation details, specifying 265
- calculation rule set, specifying 263
- embedded script for mortgage calculation example 266
- invoking 268
- variables, specifying 264

- calculator**

- using the mortgage calculator 89

- call lists**

- account criteria, creating based on 116
- contacts in a targeted call list, modifying 182
- contacts, searching for with particular interests 181
- creating 104
- generation, configuring 183
- holdings information, entering 180
- interest based on a holding, recording 180
- interest, recording 179
- interest-based call lists, about creating 179
- targeted call list, about creating and using 181
- targeted call list, using 183

- call report email templates**

- viewing or changing 95

- call reports**

- action items, notes, and attachments, associating with 97
- business scenario 92
- call report charts, viewing 94
- call report distribution list, creating 97
- call report email templates, viewing or changing 95
- call report privacy flag, setting 98
- call report, adding 96
- Data Transfer Utility, about using 95
- defined and about 91
- emailing and printing 98
- New Call Report Workflow, activating 95

- Cash flow view**

- testing using cashflow.asp 309

- categories**

- creating contact information for 80
- security categories, adding 177

- charts**

- viewing access exceptions by type 195

- Class Allocation view**

- testing using ModelValueByClass.asp 321

- ClearCache method, about** 240

- client interests**

- holdings information, entering 180
- interest based on a holding, recording 180
- interest, recording 179
- tracking, process of and creating interest-based call lists 179

- closing activities, adding** 155

- closing requirements, reviewing** 150

- Collapse button**

- Edit Layout view 29
- summary view control, about 28

- collateral**

- collateral information, adding 149
- loan facilities, adding to 170

- command center**

- about and interface types 29
- configuration and administration, about 30

- Command Center Action form**

- Command Center Action applet, configuring example 34
- Command Center action, selecting responsibilities 34
- Command Center applet, defining actions 32
- Command Center business object, defining 30
- process of configuring appearance and functions 30

- Command Center applet**

- configuring example 34
- defining actions 32

- Command Center business object**

defining 30

Command Line applet

creating for global commands 36

commands

dynamic enabling, about 285
 event-based commands, configuring 284
 Mock Event Sink mode 286
 Srf mode 286
 toolbar buttons, defining 286

commercial loan

managing, about 157

commercial loans

activities plan, about setting up 162
 approval level, associating with a loan request 166
 approval levels, setting up 162
 assessment templates, about setting up 161
 borrower details, adding to a loan request 166
 business scenario, administrator sets up approval stages and underwriting standards 159
 business scenario, credit administrator set up capital facility 159
 business scenario, credit committee officer reviews loan request 159
 business scenario, loan officer creates new load request 159
 collateral, adding to loan facilities 170
 commercial loan request, creating 165
 commercial loan underwriting standard, setting up 164
 credit decisions, entering 172
 credit issue for loan request, creating or modifying 167
 documentation templates, about setting up 162
 existing covenants, copying to another facility 169
 facilities, associating with financial account 164
 facility, adding covenants 169
 facility, adding guarantors 168
 facility, creating and associating a borrower 167
 facility, setting pricing and fees 168
 facility, syndicating 167
 group exposure, reviewing 171
 loan request workflows, activating 161
 loan request, assigning 172
 policy exceptions, creating 170
 portfolio types, setting up 163
 scenarios 158
 underwriting standard, reviewing 171

companies

about 47
 aggregated activities viewing for a company 59
 aggregated coverage team, viewing 59
 aggregated list of contacts, viewing 60
 aggregated opportunities, viewing 59
 business scenario, investment banker and research analyst analyze research literature 49
 business scenario, sales representative tracks company information 49
 company applications, associating with a company 60
 company assessments, about creating 60
 company assessments, performing 60
 company coverage team, adding a member 62
 company coverage teams, about managing 62
 company hierarchies, about 48
 company hierarchies, default 55
 company hierarchies, viewing in roll-up views 58
 company information, making unavailable to users 51
 company or investor, adding 57
 company summaries, viewing 62
 competitor designation, changing 52
 competitor, indicating a company is a competitor 52
 coverage team members, about verifying 52
 coverage team members, adding or deleting 53
 coverage team members, search for a company without 53
 custom-defined relationship type, about managing 54
 custom-defined relationship type, adding 54
 custom-defined relationship, creating 63
 data aggregation, about generating company hierarchies for 55
 default company hierarchy, generating 56
 dynamic company hierarchy, creating 56
 industry, adding 51
 parent-subsidiary relationship, establishing 63
 primary coverage team members, changing 53
 profiles, updating 58
 service requests, adding associated with a company 61
 territory, adding 51
 values, about setting up 50

Companies screen

- accessing from Applications view 143

company

- address or name, changing 121
- address or name, changing by service request 124
- general needs analysis, performing 132

company coverage team

- viewing activities 104

company hierarchies

- aggregated activities, viewing for a company 59
- aggregated coverage team, viewing 59
- aggregated list of contacts, viewing 60
- aggregated opportunities, viewing 59
- data aggregation, generating for 55
- default company hierarchies 55
- default company hierarchy, generating 56
- dynamic company hierarchy, creating 56
- roll-up view, viewing in 58

company relationship hierarchies

- custom-defined relationship, creating 63
- viewing 63

company summaries, viewing 62**competitor**

- company, indicating as a competitor 52
- designation, changing competitor designation 52

complaint, recording 126**compliance information**

- entering C compliance information 154

conditions

- defining for a product 188

consumer detail information, adding 148**contacts**

- access level, setting 195
- adding 79
- business scenario, private banker prepares for sales call 77
- business scenario, sales representative adds a new contact 76
- categories, creating for contact information 80
- company, associating a contact with a company 80
- contact access level 82
- contact profitability, reviewing 84
- contact relationship hierarchies, viewing 86
- contact summary, viewing 85
- contact's holding, updating or reviewing 78
- contact's investment profile, updating or reviewing 78
- customer assessments, about creating 84
- customer assessments, creating 84

- customer value stars, adjusting 85

- defined 75

- disclosure history, viewing associated with contacts 294

- financial plans, creating 90

- general needs analysis, performing 132

- group pension plan contacts, recording 201

- household, adding to a 69

- households, associating with 69

- investment needs analyses, performing for 133

- literature distribution, adding contact to 81

- managing contact information, about 79

- modifying in a targeted call list 182

- mortgage calculator, using 89

- mortgage needs analyses, performing for a contact 87

- mortgage prequalification, performing 89

- mortgage product for which a customer qualifies, recommending 88

- mortgage product recommendations, about making 88

- mortgages, managing 87

- notes, creating about contacts 81

- particular interests, searching for 181

- referral, creating to a contact 83

- referral, entering a referral received from a contact 82

- relationship between contacts, defining 86

- securities interest, entering for contacts 82

- transaction history, viewing 82

Contacts screen

- Applications view, accessing from 143

- service requests, using to create 122

covenants

- existing covenants, copying to another facility 169

- facilities, adding to 169

coverage teams

- activities, viewing company coverage team activities 104

- company coverage team, adding a member 62

- company coverage teams, about managing 62

coworkers

- activities, assigning coworkers to 103

- applications, assigning coworkers to 145

Create Statements button, using 147**credit committee officer**

- assigning loan request 172

credit decisions

- entering for commercial loans 172

credit issue

creating or modifying for commercial loan request 167

customer assessments

creating 84
creating, about 84
customer value stars, adjusting 85

Customer Authentication Manager

about 257
customer authentication rules, creating 260
customer authentication templates, creating 258
invoking 261

customer value stars, adjusting 85

customers

address or name, changing 122
address or personal information, changing by service request 125
making appointments with customers 102
new customer complaint, recording 126

D

data aggregation

company hierarchies, default 55
company hierarchies, generating for data aggregation 55
default company hierarchy, generating 56
dynamic company hierarchy, creating 56

data field

determining which to display 28

Data Transfer method

arguments and descriptions 280
FAFireEventxx method 281
GetActiveViewProp method 281
QueueMethod 282
TryMockMethod 282

Data Transfer Utilities

about 272
about using 95
active business objects 283
calculation expressions in DTU, about 278
data map component advanced options 274
data map components 273
data map fields 276
data map objects 273
data maps, about 272
Data Transfer method 280
invocation context 283
named parameters, using in DTU 277
recursive invocation 284
well-positioned buscomps 283

Data Validation Manager

about 214

data, confirming 7.7 seed data 141

database

setting up test ASP and local test database 114

deal managing

about 44
deal management capabilities 37
deal, creating a new activity plan 44
deals, securing 44
new activity, creating and assigning a deal team member 45
new attachment, creating for a deal 45
primary deal team member, changing 44

deleting

company information, making unavailable to users 51
coverage team members 53
opportunities, if unsure whether opportunity is active 40

disclosure documents

automating display, about 291
contacts, viewing disclosure history 294
Disclosure UI Service, invoking from workflow 293
disclosure workflow processes (table) 292
disclosures, associating with a product 291
existing disclosure, revising 291
workflows, activating used to display disclosure documents 293

disclosure information, capturing 149

Disclosure UI Service

invoking from a workflow 293

distribution exceptions

access workflows, activating 193
activating access workflows, about 193

distribution list

about creating 97

documentation

documentation template, about setting up 162
documents, managing using subviews 150
literature document, associating with a security 178
outstanding trailing documents, viewing 155
trailing documents, adding 155

dynamic applets

See Dynamic UI business service

dynamic company hierarchy, creating 56

Dynamic UI business service

about 297
dynamic applet, creating with Dynamic UI business service example 297
dynamic applet, displaying in a workflow 298
Dynamic UI Service methods 300
Template Definition view, adding views and

- applets 300
- view template, about creating for dynamic applets 299

E

Edit Layout view

- about using and buttons 29

email templates

- viewing or changing call report email templates 95

emailing

- call reports 98
- literature fulfillment, providing by email 104

enrolling

- new participants in group pension plan 203

Enterprise Integration Manager (EIA)

- about using to import market data 179

errors

- Business Rules Process, throwing errors within 234
- recovering from errors within a Business Rules Process 235

event-based commands

- configuring 284

exceptions

- creating policy exceptions 170

exchange

- adding security exchange 177

Expand button

- Edit Layout view 29
- summary view control, about 28

F

facilities

- collateral, adding to loan facilities 170
- covenants, adding to facilities 169
- existing covenants, copying to another facility 169
- financial accounts, associating with 164
- guarantors, adding to loan facilities 168
- new facility, creating and associating a borrower 167
- policy exceptions, creating a facility level 170
- pricing and fees, setting 168
- syndicating a facility 167

FAFireEventxxx method 281

fees, defining for a product 188

fields

- determining which data fields to display 28

financial accounts

- account analysis, viewing 116
- account categories and account types, about

- establishing 111
- account holdings, comparing against a portfolio model 72
- administrator procedures, understanding concepts 110
- aggregated holdings, viewing for a financial account 72
- business scenario, call center agent 108
- business scenario, relationship manager 109
- business scenario, wealth management/brokerage relationship manager 109
- call list, creating based on account criteria 116
- expected future cash flows, viewing for selected accounts 73
- facilities, associating with 164
- financial account, adding 111
- financial accounts, reviewing 115
- holdings information, associating with a financial account 112
- household financial accounts virtual business components, about setting up 113
- new authorized user, adding to a financial account 112
- selected account holdings, viewing by sector 72
- selected accounts' past performance, viewing 73
- selecting associated with a household 72
- service request, creating using the GO button 116
- test ASP and local test database, setting up 114
- trades, placing 117
- virtual business component testing 115
- virtual business component user properties, configuring 113

financial needs analysis

- See needs analysis

financial plans, creating 90

FINS Application View Navigation Service

- about 300
- administering 302
- business service behaviors 301
- business service methods 301
- example 302
- upgrade note 303

FINS Approval Item Service

- business service step, configuring 290
- start step, configuring 289
- workflow, about invoking 288

FINS CAP Buscomp Data Loader Business Service

- about 236

ClearCache method, about 240
 LoadData method example using field [n] 239
 LoadData method example using Key and Value fields 240
 LoadData method, about 237

FINS CAP Buscomp Handler Business Service

about 240
 GetFieldValue method, about 243
 InsertRecord method, about 244
 NextRecord method, about 245
 query method, about 241
 SetFieldValue method, about 244

FINS EAI Free Format Converter

about 213
 methods 213
 user properties 213

FINS SmartScript Output Service

methods 297

FINS Web Shopping Service methods 296

Free Format Converter

about 213
 methods 213
 user properties 213

funds

group pension plan, viewing available within plan 203

G

GetActiveViewProp method 281

GetFieldValue method, about 243

global commands

creating for the Command Line applet 36

GO button

using to create service requests 116

grievances, recording 126

group exposure, reviewing 171

group pensions

activity, creating associating with a plan 204
 administering group pension plans, list of tasks 202
 billing information, entering 202
 business scenario 197
 eligible plan members, adding 203
 funding vehicles, defining for a group pension product 199
 funds and investments available within plan, viewing 203
 group pension plan contacts, recording 201
 group pension plan, defining 200
 group pension plans, process of defining 200
 group pension product, defining 199
 managing, about 197

new participants, enrolling in plan 203
 note, creating associated with a plan 204
 participant beneficiary information, recording 203
 participant classes, defining for plan participants 201
 plan rules, specifying 201
 service request, creating associated with plan 203
 tasks, samples performed when managing group pensions (diagram) 198

guarantors

guarantor information, adding 147
 loan facilities, adding to 168

H

Hide button

Edit Layout view 29
 summary view control, about 28

holdings

about 173
 business scenario 174
 call list generation, configuring 183
 clients' interests, process of tracking 179
 contacts in a targeted call list, modifying 182
 contacts, searching for with particular interests 181
 holdings information, associating with a financial account 112
 holdings information, entering 180
 industry values, defining 175
 interest based on a holding, recording 180
 interest, recording 179
 list of holdings displayed by investor 65
 literature document, associating with a security 178
 mutual fund information, editing 178
 new securities record, adding 178
 product class, adding for a security 176
 product lines, defining 175
 securities lists of values, setting up 175
 securities, process of administering 174
 security categories, adding 177
 security exchange, adding 177
 stock, bond, mutual fund records, about creating and modifying 177
 targeted call list, about creating and using 181
 targeted call list, using 183

holdings.asp 334

host applications

about integrating data with 26

households

- account holding, comparing against a portfolio model 72
- business scenario 68
- contact, adding to a household 69
- contacts, associating with households 69
- defined 67
- expected future cash flows, viewing for selected accounts 73
- financial account, selecting associating with a household 72
- financial account, viewing aggregated holding for 72
- financial accounts virtual business components, about setting up 113
- household portfolios, about viewing and evaluating 71
- household summary, viewing 70
- privacy option, setting 69
- relationship hierarchy, about viewing 70
- selected account holdings, viewing by sector 72
- selected accounts' past performance, viewing 73
- test ASP and local test database, setting up 114
- virtual business component testing 115
- virtual business component user properties, configuring 113

Households financial accounts

- cashflow.asp virtual business component 309
- holdings.asp virtual business component 334
- ModelValueByClass.asp virtual business component 321
- ModelValueBySector.asp virtual business component 327
- Performance.asp virtual business component 315

I

industry values, defining information

- changing personal information by service request 125

InsertRecord method, about

Instance Manager, and VBC Cache

- about 208
- caching VBC configuration 210
- components 209
- features and limitations 208
- purging the VBC cache 211
- stages of caching process 209

interests

- about 173
- business scenario 174
- call list generation, configuring 183
- clients' interests, process of tracking 179
- contacts in a targeted call list, modifying 182
- contacts, searching for with particular interests 181
- holdings information, entering 180
- industry values, defining 175
- interest based on a holding, recording 180
- interest, recording 179
- literature document, associating with a security 178
- mutual fund information, editing 178
- product class, adding for a security 176
- product lines, defining 175
- securities lists of values, setting up 175
- securities record, adding 178
- securities, process of administering 174
- security categories, adding 177
- security exchange, adding 177
- stock, bond, mutual fund records, about creating and modifying 177
- targeted call list, about creating and using 181
- targeted call list, using 183

investment objectives

- creating 131
- creating and the portfolio mix 130
- portfolio mix administration, performing 131

investment profile

- updating or reviewing a contact's investment profile 78

investments

- viewing available within group pension plan 203

investors

- about 47
- investor, adding 57
- list of holdings, displaying by investor 65
- list of transactions, displayed by investor 64

L

Light Parser flag, about

List of Values

- about configuring 27

lists

- access exceptions associated with a list, viewing 196
- access level, setting (end-user procedure) 195
- list, setting access level (administrator

- procedure) 193
- literature and lists, about setting access levels 192

literature

- access exceptions business scenario 192
- access exceptions by type, viewing 195
- access exceptions, about 191
- access exceptions, adding 194
- access exceptions, viewing associated with 196
- access workflows, activating 193
- contact, distributing to 81
- contact's access level, setting 195
- distribution exceptions, about activating access workflows 193
- existing piece of literature, setting access level 193
- literature and lists, about setting access levels 192
- literature fulfillment, providing by email 104
- security, associating with a security 178

LoadData method

- about and parameters 237
- ClearCache method, about 240
- example using field [n] 239
- example using Key and Values fields 240

loans

- activities plan, about setting up 162
- approval level, associating with a loan request 166
- assessing applications, methods to 153
- assessment templates, about setting up 161
- assigned applications, viewing 153
- borrower details, adding to a loan request 166
- business scenario, administrator sets up approval stages and underwriting standards 159
- business scenario, credit administrator set up capital facility 159
- business scenario, credit committee officer reviews loan request 159
- business scenario, loan officer creates new loan request 159
- business services information, adding 152
- closing activities, adding 155
- collateral, adding to loan facilities 170
- commercial loan approval levels, setting up 162
- commercial loan request scenarios 158
- commercial loan request, creating 165
- commercial loan requests, assigning 172
- commercial loan underwriting standard, setting up 164

- covenants, adding to facilities 169
- credit decisions, entering 172
- credit issue for loan request, creating or modifying 167
- customer information needed for small business loans 150
- decisions, viewing on applications 154
- documentation template, about setting up 162
- existing covenants, copying to another facility 169
- facilities, associating with financial account 164
- facility, creating and associating a borrower 167
- facility, setting pricing and fees 168
- facility, syndicating 167
- group exposure, reviewing 171
- guarantors, adding to loan facilities 168
- loan request workflows, activating 161
- notes, creating about applications 155
- outstanding trailing documents, viewing 155
- policy exceptions, creating 170
- portfolio types, setting up for commercial loans 163
- processing application tasks, list of 152
- regulation C compliance information, entering 154
- report information entering 154
- small business details, adding 151
- small business loan features and terms, recording 152
- trailing documents, adding 155
- underwriting standard, reviewing 171

M

Mobile Web Client

- about performing administrative functions on local db 26

Mock Event Sink mode 286

ModelValueByClass.asp 321

ModelValueBySector.asp 327

mortgages, managing

- about 87
- mortgage calculator, using 89
- mortgage needs analyses, performing for a contact 87
- mortgage prequalification, performing 89
- mortgage product for which a customer qualifies, recommending 88
- mortgage product recommendations, about making 88

Move down button

Edit Layout view 29

Move up button

Edit Layout view 29

mutual fund records

creating and modifying, about 177
mutual fund information, editing 178

My To Do List

managing 103

N

name

company name, changing 121
company name, changing by service request 124
customer name, changing 122

needs analysis

about 127
business scenario, administrator 128
business scenario, call center agent 128
company or contact, performing general needs analysis 132
contacts, performing investment needs for 133
investment objective and portfolio mix, about creating 130
investment objective, creating 131
needs analysis by product type 132
needs analysis script creation, about 129
portfolio mix administration, performing 131
questions and score, associating with products 129
recommendations, generating from needs analysis 133
recommended product, selected using the Apply field 134
script problems with a product score, correcting 130

New Call Report Workflow

activating 95
Data Transfer Utility, about using to modify 95

Next button

applications, about using to complete 144
customer loan information, using to enter information 150
processing applications, using to 152

NextRecord method, about

notes

applications, creating about applications 155
call reports, associating with 97
creating about contacts 81
group pension plan, creating associated with plan 204

O

opportunities

applications, creating from 43
business scenario, investment banker creates IPO deal 39
business scenario, sales representative creates new opportunity 38
deal management capabilities 37
deal, creating a new activity plan 44
deals, securing 44
defined 37
deleting if unsure whether opportunity is active 40
managing deals, about 44
new activity, creating and assigning a deal team member 45
new attachment, creating for a deal 45
opportunity details, adding 43
opportunity, adding 42
primary deal team member, changing 44
primary sales team member, changing 41
sales team, adding or deleting members 41
securing an opportunity 41

outstanding trailing documents

viewing 155

P

parent-subsidiary relationship

establishing 63

pensions

See group pensions

Performance view

testing using Performance.asp 315

personal information

changing by service request 125

policies

creating policy exceptions 170

portfolio

account holding, comparing against 72
household portfolios, about viewing and evaluating 71
investment objective, creating 131
investment objectives, creating and the portfolio mix 130
portfolio mix administration, performing 131
portfolio types, setting up for commercial loans 163

pricing

about 185
business scenario, administrator defines new products 186
business scenario, customer service representative views product

- information 186
- fees and conditions, defining for a product 188
- new product line, creating 187
- product information, using 190
- product, creating 187
- rate for a product, setting 189
- scenarios, about 185

printing

- call reports 98

privacy flags

- setting the call report privacy flag 98

privacy option, setting 69**processing applications**

- accessing applications, methods to 153
- assigned applications, viewing 153
- closing activities, adding 155
- decisions, viewing on applications 154
- notes, creating about applications 155
- outstanding trailing documents, viewing 155
- regulation C compliance information, entering 154
- report information, entering 154
- tasks, list of 152
- trailing documents, adding 155

product type

- applets, establishing as read and write, or read-only 27
- data fields, determining which to display 28
- setting up, about 27

products

- about 185
- business scenario, administrator defines new products 186
- business scenario, customer service representative views product information 186
- fees and conditions, defining for a product 188
- needs analysis by product type 132
- new product line, creating 187
- product class, adding for a security 176
- product detail information, adding 146
- product information, using 190
- product lines, setting up 175
- product, creating 187
- questions and scores, associating with 129
- rate, setting 189
- recommended product, selecting using the Apply field 134
- scenarios, about 185
- script problem with a product score, correcting 130

profiles

- updating company profiles 58

profiles investment profile

- updating or reviewing a contacts's investment profile 78

Q**questions**

- associating with products 129

QueueMethod 282**R****rates**

- setting for a product 189

recommendations

- needs analysis, generating from 133
- product, selecting using the Apply field 134

Record Group templates

- creating 254
- Requirements Manager, example of using for Record Group templates 256

record templates, creating 250**reference information, adding 149****referral information**

- contact profitability, reviewing 84
- referral, creating to a contact 83
- referral, entering a referral received from a contact 82

regulation

- entering C compliance information 154

relationship hierarchy

- contact, about viewing 86
- contacts, defining a relationship between contacts 86
- household relationship hierarchy, about viewing 70

relationship types, custom defined

- managing, about 54
- managing, adding 54

reports

- information, entering 154
- table of 305

requirement templates, creating 251**Requirements Manager**

- about and scenarios 249
- administration steps 250
- example of using for Record Group templates 256
- invoking Requirements Manager 254
- invoking, about 249
- key features 249
- Record Group templates, creating 254
- record templates, creating 250
- requirement templates, creating 251

roll-up views

- aggregated activities, viewing for a company 59
- aggregated coverage team, viewing 59
- aggregated opportunities, viewing 59
- company hierarchies, viewing in 58

S**sales methods**

- creation and modification 140

sales team members

- new activity, creating and assigning a deal team member 45
- opportunity, adding or deleting members 41
- primary deal team member, changing 44
- primary sales team member, changing for an opportunity 41

scores

- associating with products 129
- script problem with a product score 130

script

- correcting script problem with a product score, correcting 130

searching

- contacts with particular interests 181

Sector Allocation view

- testing using ModelValueBySector.asp 327

securities

- clients' interests, process of tracking and creating interest-based call lists 179
- holdings information, entering 180
- interest based on a holding, recording 180
- interest, recording 179
- lists of values, setting up 175
- literature document, associating with a security 178
- mutual fund information, editing 178
- new securities record, adding 178
- process of administering 174
- product class, adding for a security 176
- product lines, setting up 175
- security categories, adding 177
- security exchange, adding 177
- stock, bond, mutual fund records, about creating and modifying 177

securities interest

- entering for contacts 82

seed data

- confirming 7.7 seed data 141

service requests

- about and defined 119
- account services view items table 122
- account services, requesting using a service

request 124

- adding associated with company 61
- business scenario, application administrator changes a company name 120
- business scenario, call center agent creates a service request 120
- business scenario, relationship manager creates a service request 120
- company address or name, changing 121
- company address or name, changing by service request 124
- creating service requests 122
- creating, ways to create service requests 122
- customer address or name, changing 122
- customer address or personal information, changing by service request 125
- GO button, using to create 116
- group pension plan, creating associating with 203
- new customer complaint, recording 126

SetFieldValue method

- about 244

Show Audit Trail button

- using 26

Show button

- Edit Layout view 29

Siebel Calculation Expectations Manager

- about 269

Siebel Calculation Manager

- See Calculation Manager

small business loan applications

- business services information, adding 152
- customer information needed 150
- features and terms, recording 152
- small business details, adding 151

SmartScript

- FINS SmartScript Output Service methods 297
- FINS Web Shopping Service methods 296
- integrating with workflow example 295
- workflow, about invoking from 294

Srf mode 286**statement**

- creating an updated statement 147

stock records

- about creating and modifying 177

summary information

- viewing a household summary 70

summary views

- configuring, about 28
- layout, editing 29

syndicating a facility 167

T**targeted call lists**

- contacts in a targeted call list, modifying 182
- contacts, searching for with particular interests 181
- creating and using, about 181
- using 183

team members

- coverage team members, about verifying 52
- coverage team members, adding or deleting 53
- coverage team members, searching for a company without 53
- new activity, creating and assigning a deal team member 45
- opportunity, adding or deleting members 41
- primary coverage team members, changing 53
- primary deal team member, changing 44
- primary sales team member, changing for an opportunity 41

Template Definition view

- adding views and applets 300

templates

- assessment templates, about setting up 161
- call report email templates, viewing or changing 95
- customer authentication templates, creating 258
- documentation template, about setting up 162
- Dynamic UI Service methods 300
- Record Group templates, creating 254
- Record Group templates, example of using Requirements Manager for 256
- record templates, creating 250
- requirement templates, creating 251
- Template Definition view, adding views and applets 300
- view template, about creating for dynamic applets 299

test database

- setting up test ASP and local test database 114

testing

- virtual business components 115

To Do items

- viewing assigned to end user 103

toolbar buttons, defining 286**trades, placing 117****trailing documents**

- adding and viewing 155

transaction history

- viewing a contact's transaction history 82

transactions

- displaying list by investor 64

TryMockMethod 282**U****underwriting**

- commercial loan underwriting standard, setting up 164
- group exposure, reviewing 171
- underwriting standard, reviewing 171

user

- adding new authorized user 112

V**VBC Cache and Instance Manager**

- about 208
- caching VBC configuration 210
- components 209
- features and limitations 208
- purging the VBC cache 211
- stages of caching process 209

view template

- dynamic applets, about creating for 299
- Dynamic UI Service methods 300
- Template Definition view, adding views and applets 300

virtual business components

- cashflow.asp 309
- holdings.asp 334
- ModelValueByClass.asp 321
- ModelValueBySector.asp 327
- Performance.asp 315
- setting up, about 113
- test ASP and local test database, setting up 114
- testing virtual business components 115
- user properties, configuring 113

W**workflows**

- access exceptions, about activating 193
- access workflows, activating 193
- disclosure documents, activating (table) 293
- Disclosure UI Service, invoking from a workflow 293
- disclosure workflow processes (table) 292
- dynamic applets, displaying in a workflow 298
- FINS Approval Item Service, invoking from a workflow 288
- loan request workflows, activating 161
- SmartScript, about invoking from a

workflow 294
SmartScript, integrating with workflow

example 295

