

**Oracle® Financial Services Model Risk
Management**

User Manual

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Oracle Financial Services Model Risk Management, Release 2

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Preface

This guide explains the functionality of Oracle Financial Services Model Risk Management (OFSMRM) Release 8 in procedural approach.

Audience

This document is intended for the following users:

- Creator (Creator of Model/Usage development)
- Model Owner
- Analyst
- Approver
- Usage Owner
- Issue Owner
- Issue Creator
- Action Owner
- Administrator
- Business Unit Head

The roles and functions of the above users have been detailed in the following chapters.

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Related Documents

For more information, see the following documents in the Oracle Financial Services Model Risk Management Release 8 documentation set:

- *Oracle Financial Services Model Risk Management 8.0.0.0.0 Release Notes*

- *Oracle Financial Services Governance, Risk, and Compliance 8.0.0.0.0 Installation Manual*

Conventions

The following text conventions are used in this document:

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an Action, or terms defined in text or the glossary.
<i>italic</i>	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
monospace	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

Model Risk Management

1.1 Overview

The Oracle Financial Services Model Risk Management (OFSMRM) enables financial institutions to record all activities related to Model Development, Customization and Implementation Process, and identify and regularize assessments in order to evaluate and assess performance and risk associated with the Models.

Many organizations use Models to ensure smooth running of their day-to-day activities. Financial institutions rely on financial or economic Models for various activities such as risk management, valuation, and financial or regulatory reporting.

According to the Federal Reserve System, a Model is a quantitative method, system, or approach that applies statistical, economic, financial, or mathematical theories, techniques, and assumptions to process input data into quantitative estimates.

Some of the areas where Models are used extensively are:

- Business planning and forecasting
- Product development, underwriting, and pricing
- Client advice and asset management
- Investment decision support and monitoring
- Valuation of assets and liabilities
- Asset and liability management
- Risk management - catastrophe, market, credit, operational, liquidity, and so on

Model risk is the risk of financial loss, poor decision-making, or damage to company's reputation. These risks arises due to:

- Incorrect Model inputs or assumptions
- Erroneous implementation of Models
- Misuse of or overreliance on Models
- Fundamental errors in the design of Models
- Unauthorized and incorrect changes to the Models

The OFSMRM application enables financial institutions to record all the information related to the Models to obtain an enterprise-wide view. The application facilitates in scheduling assessments in order to evaluate and assess the performance and the various risks associated with the Models. The OFSMRM also enables the organizations to monitor Model performance, identify risk, and plan Actions to mitigate risk.

Features of Model Risk Management are:

- A central repository of all Models in a Financial Institution
- A central repository of Model Usages.
- A framework to support logging Model and Usage Development ideas and tracking all activities involved in building Model and Usage through discussion and approval process.
- Ability to record assessment results along with documentations.
- Ability to raise and track Issues on Model and Usage and Action plans to resolve Issues.
- Attestation of Model and Usage to support internal reviews and accuracy.
- The Dashboard integrates the results generated by the OFSMRM with Oracle Business Intelligence, giving users the ability to perform queries on MRM Results.

Model Risk Management framework enable banks to predict and identify risk more accurately. This also enables them to make better top-level and line-of-business (LOB) decisions, based on Model results by answering the following queries:

- How often must a Model be assessed?
- How does a bank with Models that are already in production meet the newly defined expectations of Model development and implementation?
- How does an institution begin to develop an effective Model Risk Management program?

This chapter provides a brief overview of the Oracle Financial Services Model Risk Management (OFSMRM) in terms of its architecture and operations. Financial institutions use Models across the enterprise to synthesize large amounts of complex data into a simplified form for analysis and evaluation, in order to facilitate in reporting, decision-making, and monitor risks.

1.2 Components of OFSMRM

This version of OFSMRM application consists of the following tabs. You can click the following links to view the details:

- [Home](#)
- [Inbox](#)
- [Model Management](#)
- [Issues and Actions](#)
- [Dashboard](#)
- [Admin](#)

The functions and workflow of each of these tabs are explained in the respective chapters.

1.3 Access OFSMRM

You can access the OFSMRM application through the Web Browser, once the application is installed and configured.

1.4 OFSMRM Login

While accessing OFSMRM application, the Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) splash screen is displayed:



Figure 1-1 Login Page

You can select the required language from the Language drop-down list. The language options displayed in the drop down are based on the license. Based on the selection of Language, the appropriate language login screen is displayed.

Enter the **User ID** and **Password** provided by the System Administrator and click **Login**. You will be prompted to change your password on your first login. Alternatively, you can also choose to change your password any time

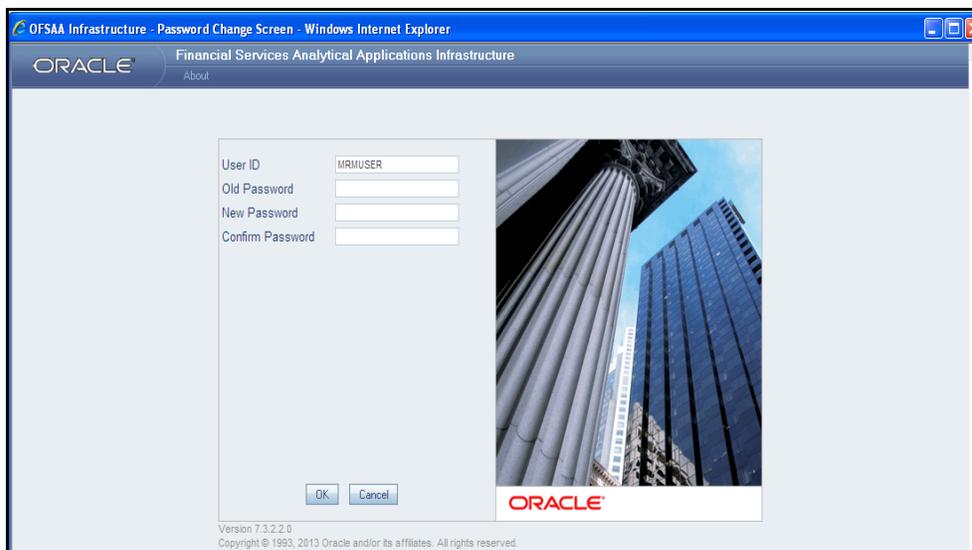


Figure 1-2 Reset Password

In the *Change Password* window, enter a new password, confirm it and click **OK** to view the Splash screen. Refer to the following guidelines for Password Creation:

- Passwords are displayed as asterisks (stars) while you enter. This is to ensure that the password is not revealed to other users.
- Ensure that the entered password is at least six characters long.

- The password must be alphanumeric with a combination of numbers and characters.
- The password should not contain spaces.
- Passwords are case sensitive and ensure that the Caps Lock is not turned ON.
- By default, the currently used password is checked for validity if password history is not set.
- New password should be different from previously used passwords based on the password history, which can be configured.

If you encounter any of the following problems, contact the System Administrator:

- Your user ID and password are not recognized.
- Your user ID has been disabled.

2.1 Overview

The Home window is the landing screen of OFSMRM. This window provides you an option to view few major reports, latest announcements, and notifications and tasks assigned to you.

There are two different basic views present, depending on the user roles. If you are an Admin user, your Home window is as follows:

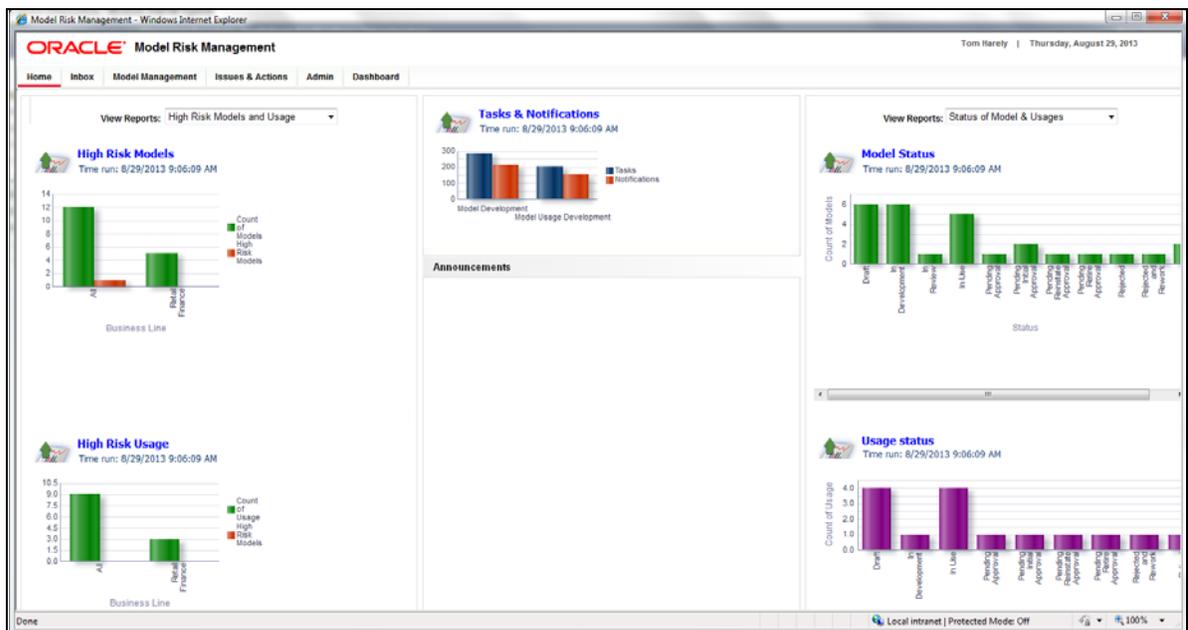


Figure 2-1 Admin Home Screen

This view displays the reports in left and right panes along with the Tasks & Notification report and Announcements at the center.

If you are any user other than Admin user, your Home window is as follows:

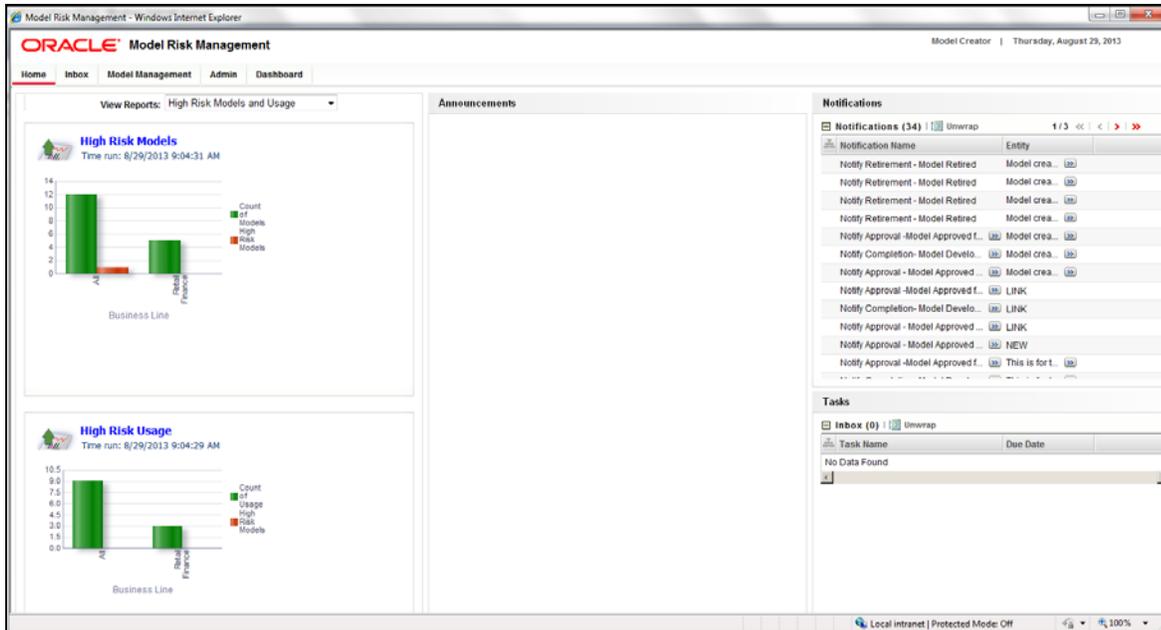


Figure 2–2 Home Screen

This view displays the reports in left pane, Announcements at the center, and Task and Notification line items at the right pane.

2.2 Home Window

The OFSMRM Home window display is dependent on the privileges assigned to you.

The *Home* window displays four reports. They are the following:

- High Risk Models and Usage
- Issues & Actions for Models
- Models & Usage by Business Line
- Status of Models and Usages

The View Reports are available in left and right panes of the Home window for an Admin user. For other users, the right pane displays the task and notification line items. You can select the reports from the drop down list.

2.2.1 High Risk Models and Usage

The High Risk Models and Usage reports provide you the number of Models which are of high risk among different Business Lines such as Clearing, Retail Banking, Wholesale Banking Division, and All.

2.2.2 Issues & Actions for Models

The Issues & Actions for Models report displays the number of Issues associated with different Business Lines such as Network and Advisory Sales, Retail Finance, Wholesale Banking, and Wholesale Banking Division and the cost associated with each of them.

2.2.3 Models & Usage by Business Line

The Models & Usage by Business Line report displays the number of Models and Usages present for different Business Lines such as Clearing, Finance and Risk IDSB, Insurance and Investment, Network and Advisory Sales, Retail Brokerage, and Wholesale banking Division.

2.2.4 Status of Models and Usages

The Status of Models and Usages report displays the number of Models and Usages present in different statuses such as Draft, Pending Initial Approval, Rejected, In Development, Pending Approval, Rejected and Rework, In Use, In Review, Pending Retire Approval, Retired, and Pending Reinstate Approval.

2.2.5 Announcements

The **Announcements** section displays the latest announcements related to OFSMRM for all the users. Only the Admin users are allowed to include announcements to the *Home* window.

2.2.5.1 Create Announcements

If you are an Admin user, to add an announcement to the *Home* window, follow these steps:

1. Click the **Add** button under *Announcement* grid.
The *Add Announcements* window is displayed.
2. Enter the Title of the announcement in the **Subject** field.
3. Enter the announcement details in the **Details** field.

The maximum allowed characters are 3000.

4. Click **Save** button.

The Announcement is saved and is displayed in the *Home* window.

2.2.5.2 Retire Announcements

If you are an Admin user, to retire an announcement from the *Home* window, click **X** button adjacent to an Announcement title.

A confirmation dialog is displayed. Click **OK**.

The Announcement is removed from the *Home* window.

3.1 Overview

This chapter explains the components of the *Inbox* window. All tasks and notifications received are available in the Inbox. Inbox, by default displays the *Open Tasks* tab. This window has other tabs such as Completed Tasks, Notifications, and Reassigned Tasks.

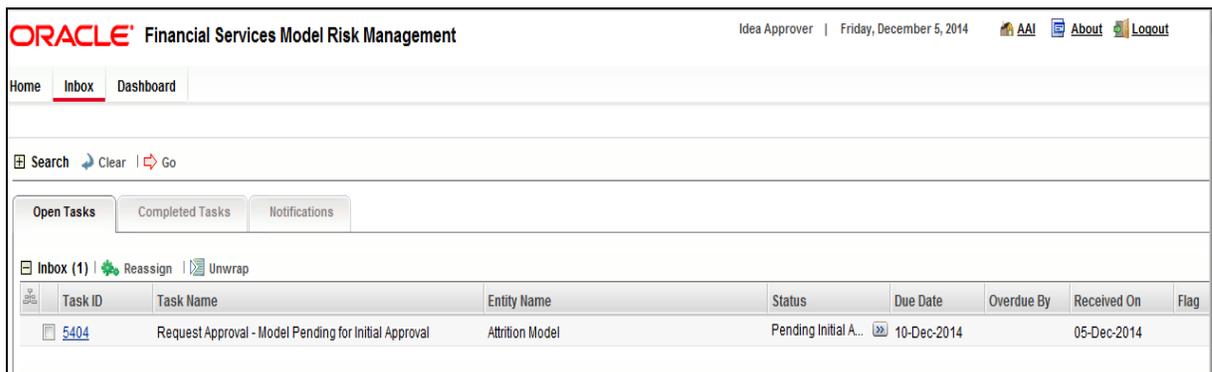


Figure 3–1 *Inbox Screen*

The following details are associated with these:

- **Open Tasks** are listed with the following details:

Table 3–1 *Open Tasks Details*

Tab	Description
Task ID	Displays the unique ID to identify the task.
Name	Displays the Task name.
Entity Name	Displays the name of the entity. This entity can be Model, Usage, Issue, Action, Stage, or Change Log.
Entity Status	Displays the current status of the entity.
Due Date	Displays the date on which the task is due to be completed.
Overdue By	Displays the number of days, for which the task is pending after its due date.
Received On	Displays the date on which the task has been received.
Flag	Checks the overdue status.

- **Completed Tasks** are listed with following details:

Table 3-2 Completed Tasks Details

Tab	Description
Task ID	The unique ID to identify the task.
Name	Displays the Task name.
Entity Name	Displays the name of the entity. This entity can be Model, Usage, Issue, or Action.
Entity Status	Displays the current status of the entity.
Received On	Displays the date on which the task was received.
Completed On	Displays the date on which the task was completed.
Completed By	Displays the user name, who has completed the task.

- **Notifications** are listed with following details:

Table 3-3 Notification Details

Tab	Description
Task ID	The unique ID to identify the Notification.
Name	Displays the Notification name.
Entity Name	Displays the name of the entity. This entity can be Model, Usage, Issue, or Action.
Entity Status	Displays the current status of the entity.
Received On	Displays the date on which the notification has been received.
Due Date	Displays the date on which the task associated to the notification is due to be completed.

- **Reassigned Tasks** are listed with following details:

Table 3-4 Reassigned Tasks Details

Tab	Description
Task ID	The unique ID to identify the task.
Name	Displays the Task name.
Entity Name	Displays the name of the entity. This entity can be Model, Usage, Issue, or Action.
Entity Status	Displays the current status of the entity.
Due Date	Displays the date on which the task is due to be completed.
Overdue By	Displays the number of days, which the task is pending after its due date.
Reassigned To	Displays the user name, to whom the task has been reassigned.
Reassigned On	Displays the date on which the task has been reassigned.

Note: •

- You can click the **Task ID** to view the definition details associated with the Open Tasks and Notifications. This navigates you to the respective Model Details, Usage Details, Stage Details, or Assessment Details window.
 - The unread Task IDs will appear in bold format and can be distinguished from the read Task IDs.
-
-

For more information on Models, Usage, Stages, and Assessment, refer to [Model Management](#) chapter.

You can search for Open Tasks, Completed Tasks, Notifications, and Reassigned Tasks from the *Inbox* window using Name, Entity Name, or Due Date. For more information, refer to [Search and Filter](#) section.

You can also wrap/unwrap Task and Notification listing. For more information, refer to [Wrap/Unwrap Item List](#) section.

Model Management

4.1 Overview

Models are tools used to perform quantitative analysis of large amount of data and transform those results into vital information for making financial decisions such as underwriting credits, valuing exposures, instruments and positions, measuring risk, managing and safeguarding client assets, and determining capital and reserve adequacy.

Models can be developed within an organization, can be acquired from a third party vendor, or can be developed and serviced by a third party and implemented within the organization. If a financial institution has the ability to develop a Model, it can develop a Model and use it internally.

OFSMRM offers the ability to track and record all the activities involved in developing and using Models. This chapter provides an overview of Model Management module of OFSMRM application, which manages Models and their Usages.

4.2 Model and Usage Management - Workflow

Following flowcharts explain Model and Usage development status flow, by different users:

4.2.1 Model

The following figure depicts the workflow of a Model.

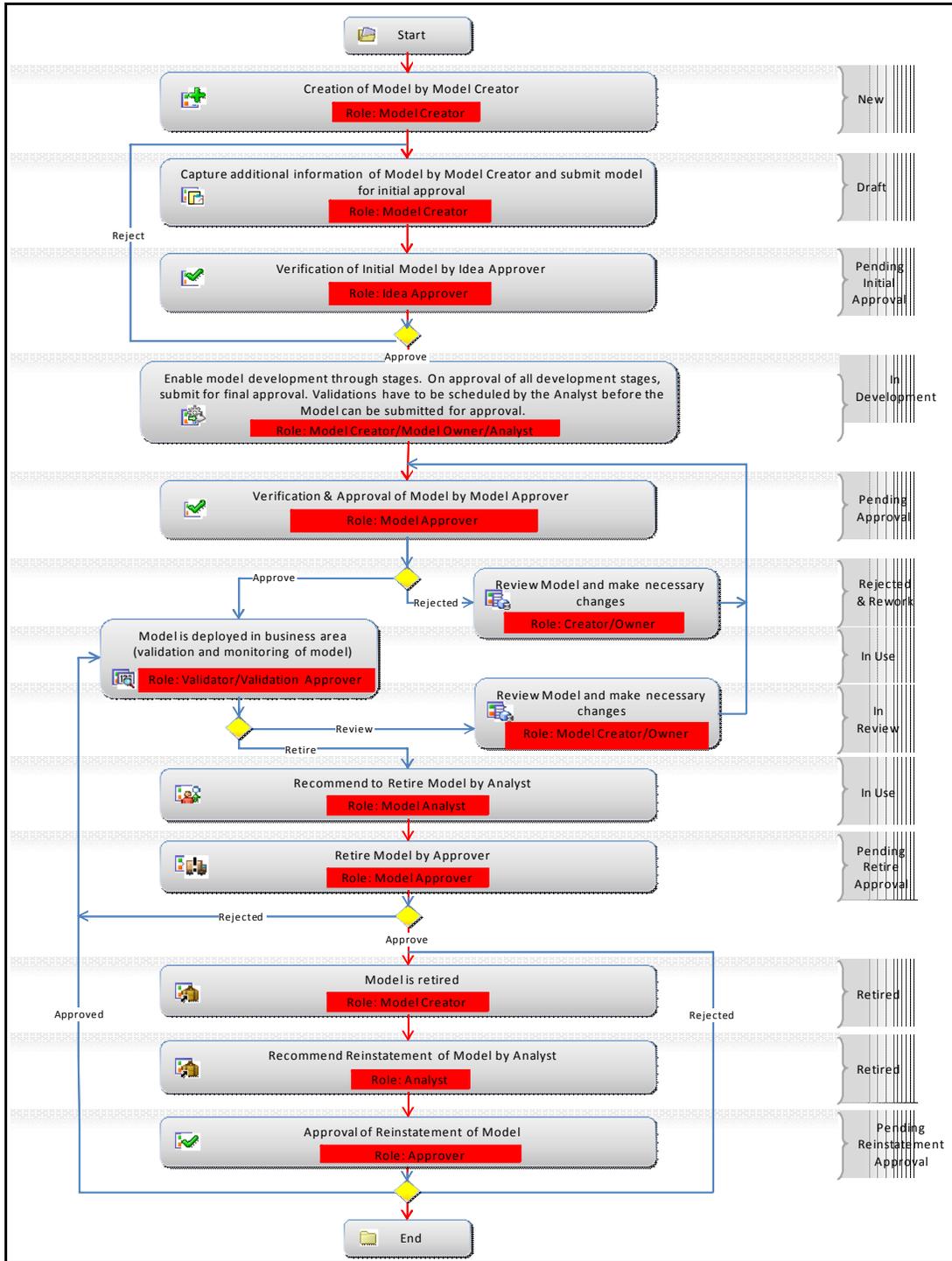


Figure 4-1 Model Workflow

4.2.2 Usage

The following figure depicts the workflow of a Usage.

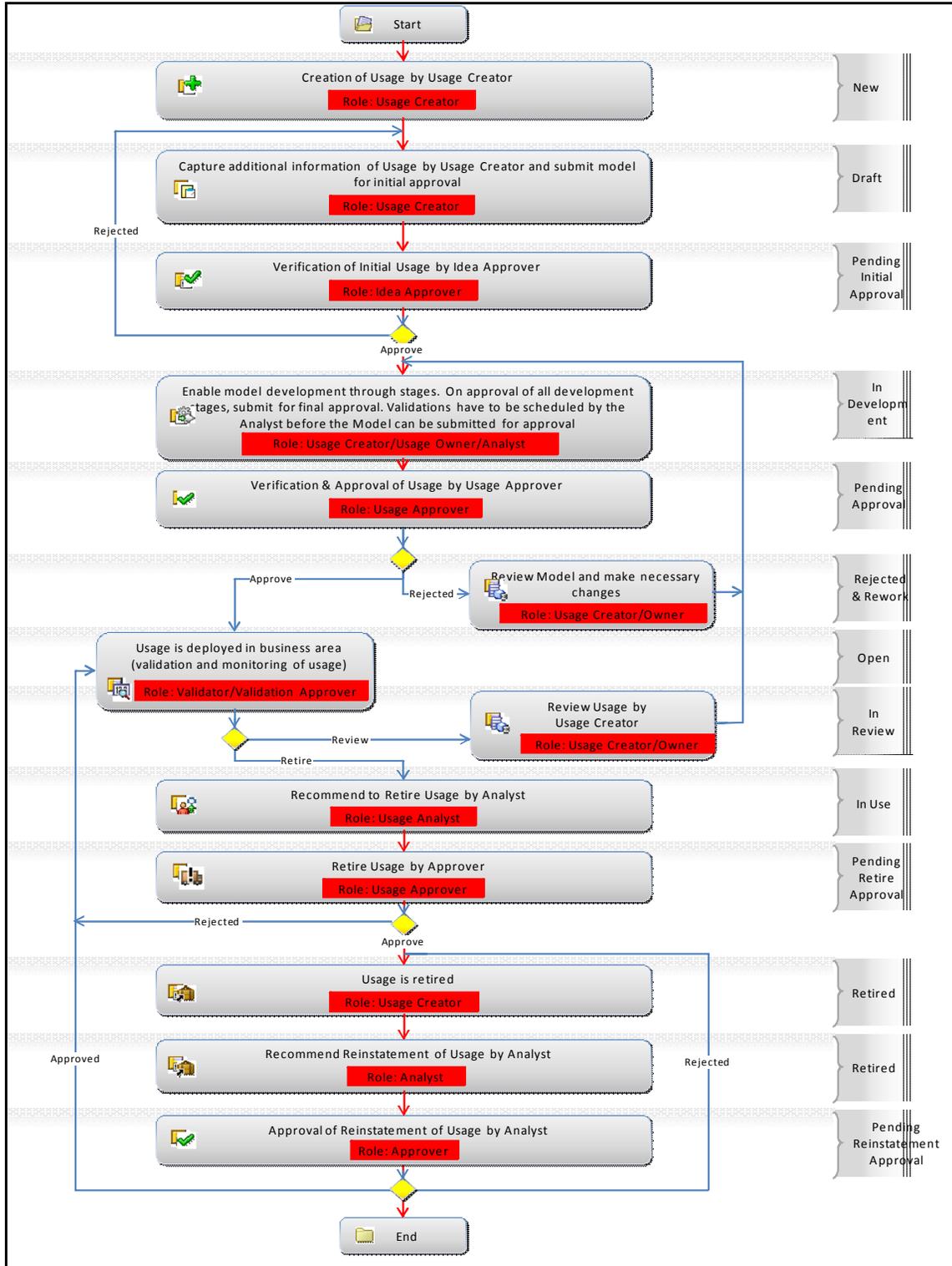


Figure 4-2 Usage Workflow

4.2.3 Assessment

The following figure depicts the workflow of an Assessment.

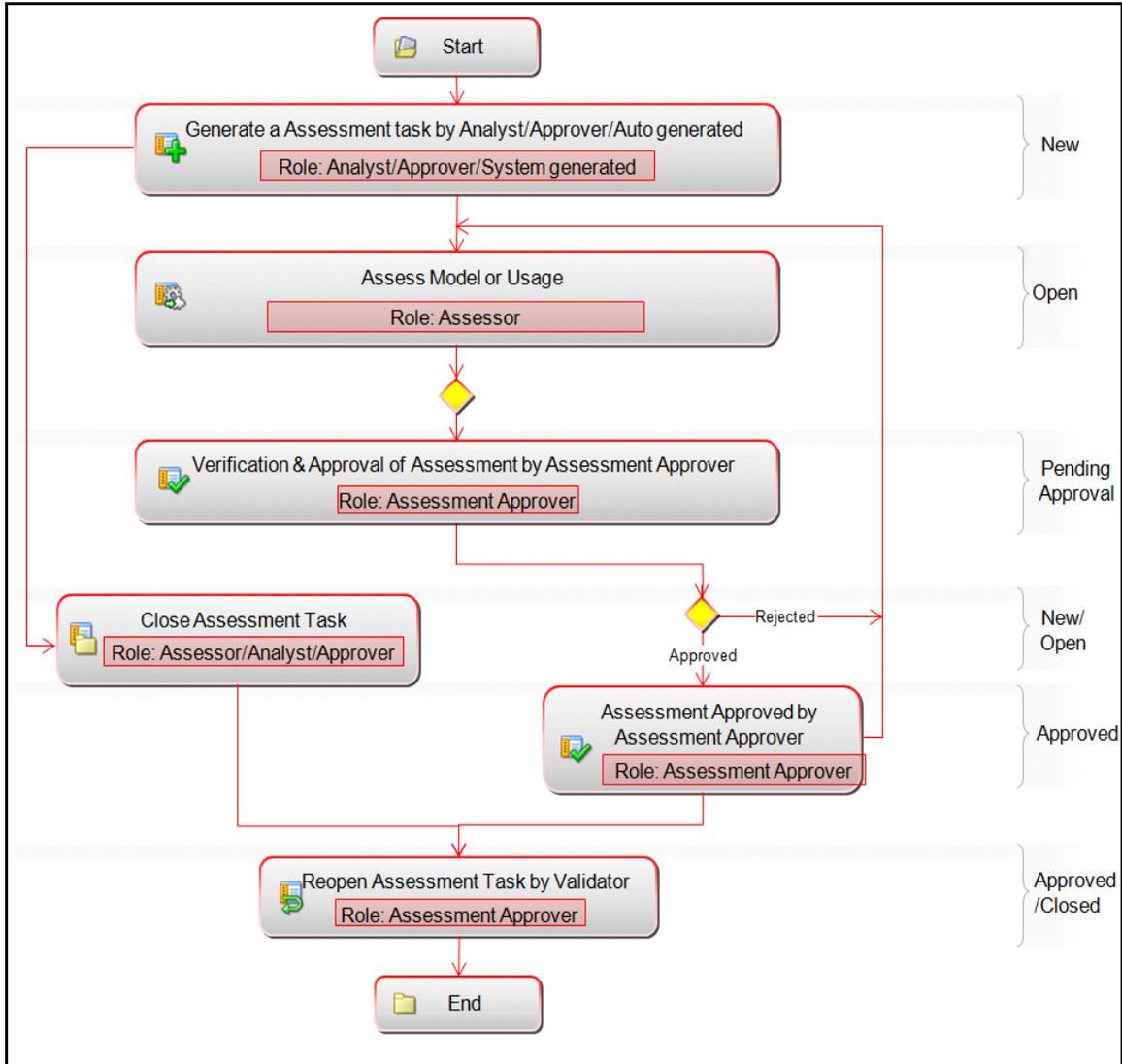


Figure 4-3 Assessment Workflow

4.2.4 Stage

The following figure depicts the workflow of a Stage

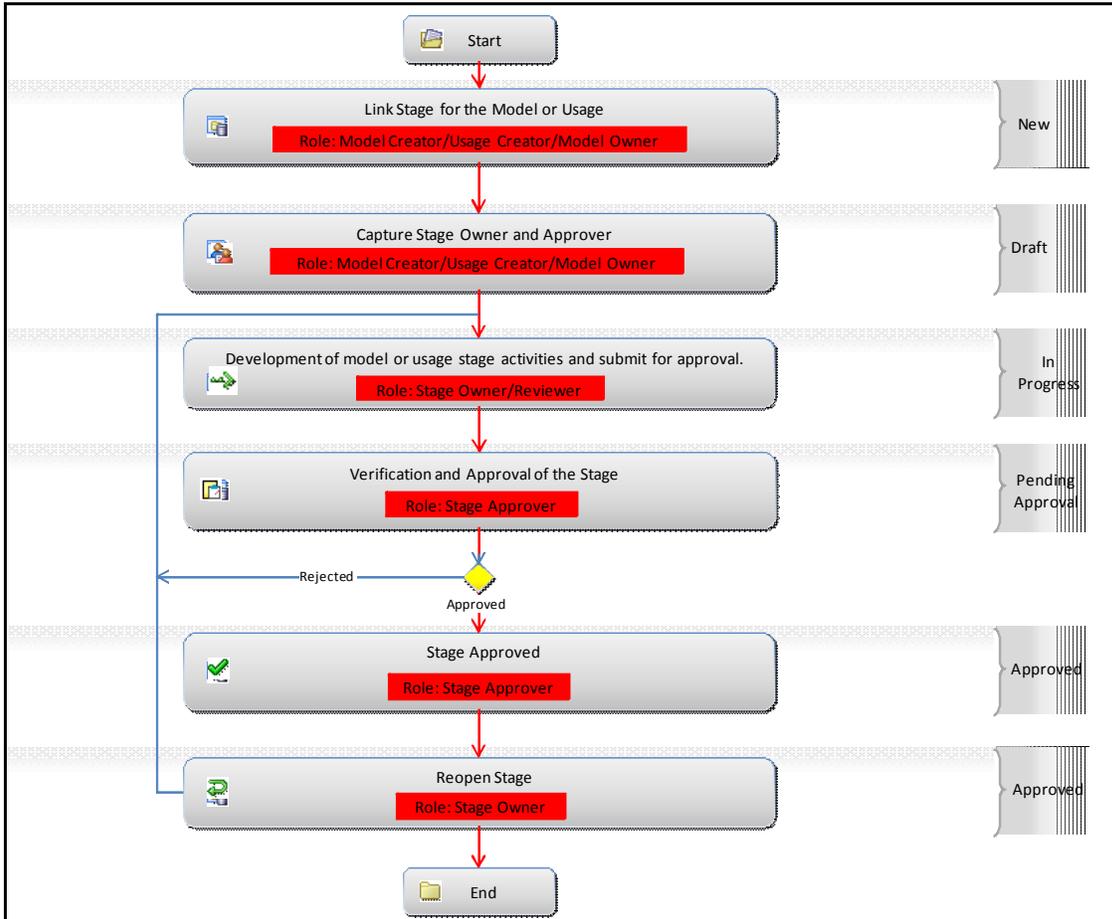


Figure 4-4 Stage Workflow

4.3 User Roles and Actions

Different actions that can be performed on a Model are dependant on the roles assigned to each of the users.

The following table describes the actions that can be performed by various users in the Model/Usage Development workflow.

Table 4-1 User Roles and Actions

Action	Action Taker
Create Model/Usage	Creator
Update/Modify Details	Creator/Analyst
Link Stages	Creator/Model Owner
Delete Model/Usage	Creator
E-mail Model/Usage Details	Creator/Owner/Analyst/Approver

The following table describes the actions that can be performed by various users in the Model/Usage Stages Development workflow:

Table 4-2 Roles and Actions

Action	Action Taker
Add comments/Add attachment	Creator (Creator of Model/Usage development)
Save (Add Attachments/ Add Comment)	Reviewer (users who are identified as Reviewers by the Creator)
Submit (Add Attachment/ Add Comments)	Analyst and Reviewer (users who are identified as Analyst and Reviewers by the Creator)
Save/Submit (Add Attachment/Add Comments)	Creator (Creator of Model/Usage development)
De-link Stages	Creator (Creator of Model/Usage development) and Model Owner
Submit for Approval	Stage Owner
Approve Stage	Approver (user identified as Approver for the Stage)
Reject Stage	Approver (user identified as Approver for the Stage)
E-mail Model/Usage Details	Creator/ Model Owner/ Analyst/ Peer Reviewer/ Approver

4.3.1 Tasks and Notifications in Models

The following table lists all the tasks and notifications depending on different user roles. These tasks and notifications are received by the corresponding users in their Inbox menu, on performing a particular action.

Table 4-3 Tasks and Notification in Models

Action Performed	Task Update	Notification Update	Task or Notification Received by
Submitting a Model	A Task is sent to the Model Owner selected in the Owner field.		Model Owner
Closing a Model		A Notification is sent to the Model Creator who created the Model.	Model Creator

4.3.2 Tasks and Notifications in Usages

The following table lists all the tasks and notifications depending on different user roles. These tasks and notifications are received by the corresponding users in their Inbox menu, on performing a particular action.

Table 4-4 Tasks and Notification in Usages

Action Performed	Task Update	Notification Update	Task or Notification Received by
Submitting a Usage	A Task is sent to the Usage Owner selected in the Owner field.		Usage Owner
Closing a Usage		A Notification is sent to the Usage Creator who created the Model.	Usage Creator

4.4 Access Model Management

You can access the Model Management module from the OFSMRM home screen. Mouse over the *Model Management* tab in OFSMRM application and select either **Models** or **Usage**.

Users mapped to the following user roles can access the *Model Management* section:

- Creator
- Owner
- Analyst

Note: Model Creator/Usage Creator has the rights to create Models and Usages in the *Model Management* module.

4.5 Components of Model Management

The Model Management module consists of the following two components:

- [Models](#)
- [Usage](#)

4.5.1 Models

Models menu under *Model Management* module navigates you to the Model list. Model Creator and Model Owner have access to the Model List screen. The list displays only those Models which are either created or owned by the logged in user. An Analyst has access to all the Models in the Model List screen. The Models are listed with following details:

Table 4-5 Model Detail

Column Name	Description
Model ID	Displays ID of the Model
Model Name	Displays name of the Model
Version	Version of the Model
Business Line	Business Line to which the Model belongs
Category	Category of the Model
Location	Location for the Model
Model Owner	Name of the owner of the Model
Usage Count	Number of active Usages
Status	Current status of the Model
Last Modified	Last modified date of the Model

You can search for a specific Model or a set of Models from the *Model Management* window. For more information, refer to [Search and Filter](#) section.

You can send updates regarding the definitions to all the stakeholders by sending emails to them. For more information, refer to [Send Email](#) section.

You can also export the Model definitions to a spreadsheet and wrap/unwrap Model definitions listing. For more information, refer to [Export Definitions](#) and [Wrap/Unwrap Item List](#) sections.

The following actions are possible from the *Model Management* window:

- [Create Model](#)
- [View Model Definition](#)
- [Edit Model Definition](#)
- [Submit Model for Initial Approval](#)
- [Submit Model for Approval](#)
- [Submit Model for Review](#)
- [Attest Model](#)
- [Create Issue](#)
- [Model Details Management](#)
- [Retire Model](#)
- [Reinstate Model](#)
- [Delete Model](#)

4.5.1.1 Create Model

The Initiate Model facilitates the initialization of a new Model. To develop a new Model from the *Model Management* window:

1. Click **Initiate Model** button from the *Model Management* window.

The *Model Management Details* window is displayed:

The screenshot shows the 'Model Details' form in the Oracle Financial Services Model Risk Management application. The form is titled 'Model >> Model' and includes a navigation bar with 'Home', 'Inbox', 'Model Management', 'Issues & Actions', 'Admin', and 'Dashboard'. The 'Model ID' is 34330. The form contains numerous fields for defining a model, including 'Model Name', 'Description', 'Acquisition type', 'Development Objective', 'Business Line', 'Category', 'Model Owner', 'BU Head', 'Requires Attestation', 'Attestation Frequency', 'Target Date', 'Approval Expiry Date', 'Regulation', 'Model Type', 'Model Tier', 'Platform', 'Governance Committee', 'Software', 'Restriction on Use', 'Assumptions', 'Known Limitation', 'Model Algorithm', 'Business Case for Model', and 'Comment'. There are 'Save As Draft' and 'Cancel' buttons at the top right. A yellow 'Ask on' pop-up menu is visible on the right side of the form, listing items like 'Over Due Iss Use', 'Over Due Actions', 'Over Due Assessments', 'Attestation Due Date', 'Override Change Log', and 'Over all Stage Status'.

Figure 4-5 Model Management Details Screen

The default **Status** of a new Model is **New**.

2. Populate data in the fields as tabulated:

Table 4-6 Model Management Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Model ID	The Model ID is auto generated.
Version	Enter the version of the new Model. The maximum allowed characters are five.
Model Name	Enter the required name of the new Model. The maximum number of characters should not exceed 50.
Description	Enter a description for the Model under development.
Acquisition type	Select the Source from the drop down list. The available values are: <ul style="list-style-type: none"> • In House - These Models are developed within the organization. • Third Party - These Models are developed by a third party and are implemented by the organization. • Hosted - These Models are developed and serviced by a third party, but is implemented within the organization.
Development Objective	Select the development objective from the drop-down list. The available values are: <ul style="list-style-type: none"> • Automation - Automation facilitates the automation of the concept behind the Model. • Replacement - In Replacement, the objective is to replace an existing Model with a new one. • Recalibration - In Recalibration, the variables within an existing Model are updated. • Redevelopment - In Redevelopment, the development of an existing Model is re initiated for an updated concept. • New Development - In New Development, a new Model with new concepts is developed.
Preceding Model ID	Select the preceding Model ID from the <i>Hierarchy Browser</i> window by clicking Browse . This field is active only if you have selected Replacement, Recalibration, or Redevelopment in the Development Objective field.
Developed By	Enter the name of the Model developer.
Business Line	Select the primary Business Line from the <i>Hierarchy Browser</i> window by clicking Browse .
Category	Select the primary Category of the Model from the <i>Hierarchy Browser</i> window by clicking Browse .
Location	Select the Location of the Model from the Hierarchy Browser window by clicking Browse . The user is able to select only one location from the hierarchy browser.
Model Owner	Select the user who owns the Model, from the <i>Hierarchy Browser</i> window by clicking Browse .
BU Head	Select the user who is the Business Unit Head, from the <i>Hierarchy Browser</i> window by clicking Browse .

Table 4-6 (Cont.) Model Management Details

Field	Description
Criticality	<p>Select the criticality of the Model under development, to the business. This indicates the impact of the Model in the business.</p> <p>The available options are:</p> <ul style="list-style-type: none"> • Very Low • Low • Medium • High • Very High
Requires Attestation	<p>This field indicates whether the Model requires attestation or not. Models are attested by the Model Owner or the Business Head to affirm and confirm the working, relevance, and use of Model for its intended business.</p> <p>Select Yes if the Model requires attestation.</p>
Attestation Frequency	<p>Select the attestation frequency from the drop down list. The available values are:</p> <ul style="list-style-type: none"> • Half Yearly • Yearly • Biennial <p>This field is active only if you have opted the Model requires attestation.</p>
Target Date	<p>Select the target date for the completion of the Model development from the Calendar.</p>
Approval Expiry Date	<p>This field is auto-populated with the data provided by the approver when approving the model. If the model is in In Use status and the approval expiry date is reached, the status of the model changes to In Review.</p>
Regulation	<p>Select the regulation that governs the Model by selecting the check box(s) adjacent to the regulation name(s) from the drop down list.</p> <p>Examples of available regulations are:</p> <ul style="list-style-type: none"> • MiFID • BASEL • Patriot ACT • SOX • Dodd Frank Rule <p>The selected regulation(s) are listed as comma separated values in the field.</p>

Table 4-6 (Cont.) Model Management Details

Field	Description
Model Type	<p>Select the methodology adopted in the Model construction by selecting the check box adjacent to the methodology(s) available in the drop down list.</p> <p>The available methodologies are:</p> <ul style="list-style-type: none"> • Statistical - These Models have the probability distribution functions or probability density functions used. • Behavioral - These Models reproduce the required behavior of the original analyzed system. • Mathematical - These Models are defined based on mathematical concepts. • Regression - These Models are used to predict one variable from one or more other variables.
Model Tier	<p>This field is non-editable. You can select the Model Tier value from the <i>Assessment</i> tab in the <i>Model Definition Details</i> window or can set the value using a questionnaire.</p> <p>Model Tiering is based on factors such as reliance and uncertainty of the Models. Tiering assessment is performed once the tool has been acknowledged as Model.</p> <p>The frequency at which the assessments/reviews are conducted for Tier 1 Models are more in comparison with Tier 2, Tier 3, and Tier 4 Models.</p>
Valid Till	<p>This field is non-editable.</p> <p>You can edit this field under <i>Assessment</i> tab.</p>
Platform	Enter the repository path, where the Model artifacts, data files, and algorithms are stored.
Governance Committee	Select the Governance committee based on the risk category from the drop-down list.
Software	Select the software for the model from the drop-down list.
Restriction on Use	<p>Enter the restrictions on using the Model.</p> <p>The maximum allowed characters are 3000.</p>
Assumptions	<p>Enter the assumptions as applicable to the Model.</p> <p>The maximum allowed characters are 3000.</p>
Known Limitation	<p>Enter any known limitation of the Model.</p> <p>The maximum allowed characters are 3000.</p>
CFO	<p>Enter the Chief Financial Officer name.</p> <p>The maximum allowed characters are 300.</p> <p>Note: CFO is enabled when Regulation is selected as SOX.</p>
CFO Designate	<p>Enter the Deputy Chief Financial Officer name.</p> <p>The maximum allowed characters are 300.</p> <p>Note: CFO Designate is enabled when Regulation is selected as SOX.</p>
SOX Control #	<p>Enter the reference number for SOX Control.</p> <p>The maximum allowed characters are 300.</p> <p>Note: SOX Control # is enabled when Regulation is selected as SOX.</p>

Table 4-6 (Cont.) Model Management Details

Field	Description
SOX Financial Statement Ref #	Enter the reference number for SOX Financial Statement. The maximum allowed characters are 300. Note: SOX Financial Statement Ref # is enabled when Regulation is selected as SOX.
Model Algorithm	Model Algorithm is a document type and you can upload a document. Note: This field is noneditable. On uploading a document of the Document type, the name of latest document of the document type is displayed.
Business Case for Model	Business Case for Model is a document type and you can upload a document. Note: This field is noneditable. On uploading a document of the Document type, the name of latest document of the document type is displayed.
Comment	Enter the comments based on the latest approval or rejection action on Model.

The **Comment** field displays the comments provided while performing the latest actions on the Model. This remains blank, in case of a new Model.

3. Click Save As Draft.

The Model is saved and is displayed as shown in the following figure:

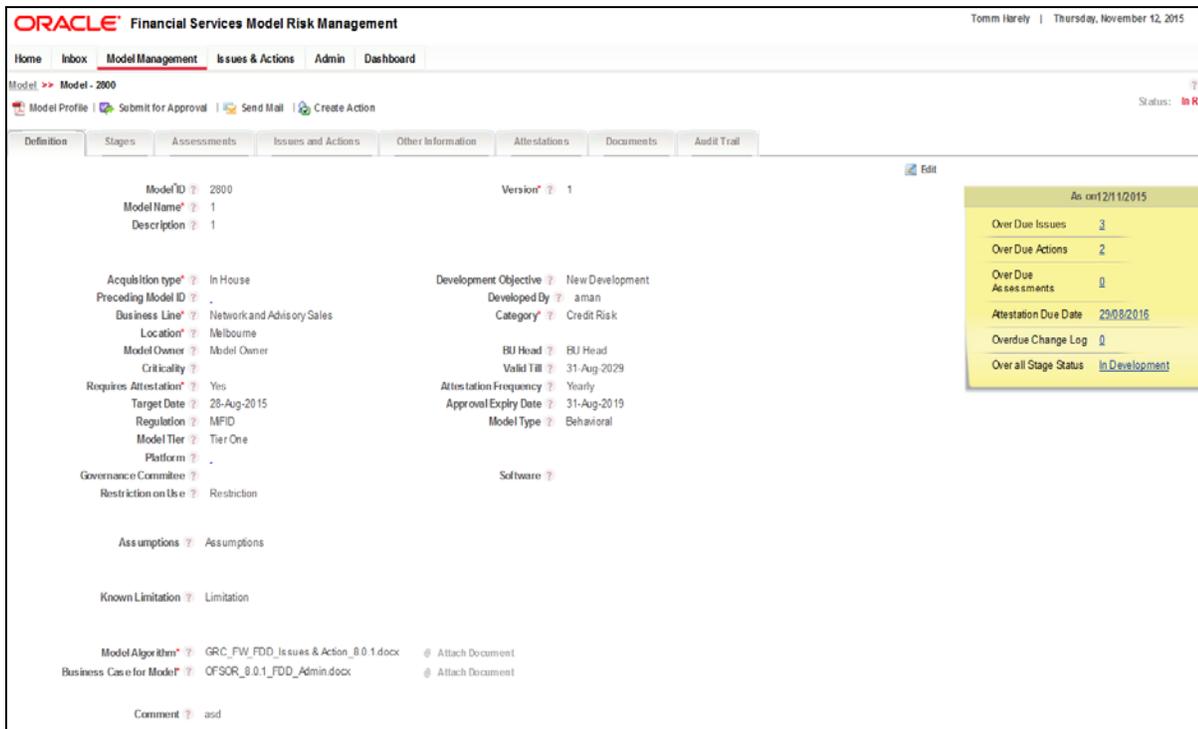


Figure 4-6 Model Management Details Screen - Draft

The Status of a saved definition changes to **Draft** and is displayed on the top right corner of the *Model Management Details* window.

The saved Model is displayed in the *Model Management* window. You can click the **Model ID** to view the details.

4.5.1.2 View Model Definition

A pre-defined Model definition can be viewed from the *Model Management* window.

To view the details of a pre-defined Model definition from the *Model Management* window:

Click the **Model ID** of the definition you want to view.

The Model Definition details are displayed in *Model Management Details* window.

4.5.1.3 Edit Model Definition

The Model Creator/Model Owner can edit a saved Model definition, if it is in **Draft**, **In Development**, or **In Review** status, from the *Model Management* window.

Analyst can edit a saved Model definition, if it is in **In Development** status.

Editing Model definition facilitates the population of additional details and further actions after the creation of the Model.

To edit a Model definition from the *Model Management* window, follow these steps:

1. Click the **Model ID** of the Model definition, which you want to edit.

The *Model Management Details* window is displayed.

2. Click the **Edit** button from the *Definition* tab.

Note: You can edit all the fields of a Model definition which is in **Draft** status and all the fields except Model ID, Version, Source, Development Objective, and Preceding Model ID of a Model definition which is in **In Development**, **In Review**, or **Rejected and Rework** status.

For more information, refer to [Create Model](#) section.

3. Once all the necessary details are updated, click **Update** button.

The Model definition details are updated.

4.5.1.4 Submit Model for Initial Approval

A Model definition, which is in **Draft** or **Rejected** status, whose Source is **In House** or **Hosted** has to be submitted for initial approval. Only a user who has Idea Approver role assigned can approve a Model definition.

To send a Model definition for approval from the *Model Management* window, perform the following actions:

1. Click the **Model ID** of the Model definition, which is to be sent for initial approval.

The Model definition details are displayed.

2. Click **Submit for initial Approval** button.

3. The *Model Initial Approval* dialog box is displayed.

4. Select the Initial Approver by clicking **Browse** button and selecting the user from [Hierarchy Browser](#) window.

5. Enter the required comments in **Comments** field.

6. Click **Submit**.

The Model definition has been submitted for initial approval.

4.5.1.5 Submit Model for Approval

A Model definition, whose status is in **In review**, **In Development**, and **Rejected and Rework** has to be submitted for approval. Only a user who has Model Approver role assigned can approve a Model definition.

It is mandatory to schedule a assessment before Model can be submitted for approval.

To send a Model definition for approval from the *Model Management* window, perform the following actions:

1. Click the **Model ID** of the Model definition, which is to be sent for approval.
The Model definition details are displayed.
2. Click **Submit for Approval** button.
3. The *Model Approval* dialog box is displayed.
4. Select the Approver by clicking **Browse** button and selecting the user from *Hierarchy Browser* window.
5. Enter the required comments in Comments field.
6. Click **Submit**.

The Model definition has been submitted for approval.

4.5.1.6 Submit Model for Review

A Model created by Model Creator has to be moved to **In Review** by analyst for any minor updates in Model definition or change in assessment schedule. Any change to Model in **In Review** status can be done only by Analyst.

Note:

- Marking a Model definition for review prevents the creation of Scheduled assessment task, until review is complete.
 - A Model is moved to In review status either by ad hoc method of clicking on review or it automatically moves to In review on Approval expiry date.
-
-

To mark a Model definition for review from *Model Management* window:

1. Click the **Model ID** of the Model definition, which is to be marked for review.
The *Model Management Details* window is displayed.
2. Click **In Review** button.
A confirmation dialog box is displayed.
3. Click **OK**.

The Model definition is marked for review and the status of the definition changes to **In Review**.

4.5.1.7 Attest Model

Models are attested by the Model Owner and are approved by the BU Head to affirm and confirm the working, relevance, and use of Model for its intended business. Only approved Models which are in **In Use** or **In Review** status can be attested.

Attestation is generated only if the Questionnaire is available. The latest questionnaire must be in the **Open** status.

Note: BU Head can attest a Model through the task which is generated 30 days prior to the attestation due date or from the Attestation section of the Model Management module.

If you are a Model Owner, you can attest a Model from the *Model Management* window by performing the following steps:

1. Select the check box adjacent to a Model ID, which you want to attest.
2. Click the **Attest** button.

The *Model Details Management* window is opened with *Attestation* tab enabled.

The *Attestation* tab lists a new attestation with an **ID** and status **New**.

3. Click the **ID** of the attestation with status **New**.

The attestation is open for edit and the available assertions are displayed.

4. Select the Effective To date from the [Calendar](#).

Note: The **Effective From** date is auto populated with the date, after the End Date of the previous attestation.

5. Select the check box adjacent to the assertions you want to respond to.

Note: You can also select the check box adjacent to the *Assertions* grid, and respond to all the assertions.

6. Respond to the assertions with **Yes** or **No**.
7. Enter necessary comments.
8. Click **Save** button. The attestation is saved and the status is changed to **Draft**.

You can also click **Submit** button to save and submit the attestation.

On submit, the status of the attestation is changed to **Pending Approval**.

BU Head can Approve or Reject the attestation of the Models.

The **Model Attestation** menu navigates you to the list of Models to be attested. The list displays only those Models which the logged in user can attest.

The Models to be attested are listed with the following details:

Table 4-7 Model Attestation Details

Field	Description
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The fields marked in asterisks (*) are mandatory.

Table 4-7 (Cont.) Model Attestation Details

Field	Description
Model ID	Enter the Model ID.
Version	Enter the version of the new Model.
Model Name	Enter the required name of the new Model.
Model Status	Select the status of the drop-down list: The available options are: <ul style="list-style-type: none"> • Draft • Pending Approval • Rejected • In Review • Pending Reinstate Approval • Rejected and Rework • Retired • Pending Retire Approval • In Development • In Use • Pending Initial Approval
Business Line	Select the Business Line from the <i>Hierarchy Browser</i> window by clicking Browse .
Category	Select the Category from the <i>Hierarchy Browser</i> window by clicking Browse .
Count of Usage >=	Enter the number of Usage to the Model.
Model Owner	Select the user who owns the Model, from the <i>Hierarchy Browser</i> window by clicking Browse .
Assessment Type	Select the Assessment Type from the drop-down list: The available options are: <ul style="list-style-type: none"> • Select All • Back Testing • Control • Evaluation of Conceptual Soundness • Ongoing Monitoring • Outcome Analysis • Result
Criticality	Select the criticality of the Model from the drop-down list: The available options are: <ul style="list-style-type: none"> • Very Low • Low • Medium • High • Very High

Table 4-7 (Cont.) Model Attestation Details

Field	Description
Target Date	Select the target date from the Calendar. The equality operator drop-down will have the following signs: <ul style="list-style-type: none"> • < • <= • = • > • >=
Model Tier	Select the values from the drop-down list: <ul style="list-style-type: none"> • Select All • Tier One • Tier Two • Tier Three • Tier Four
Last Modified Date	Select the Last Modified Date from the Calendar. The equality operator drop-down will have the following signs: <ul style="list-style-type: none"> • < • <= • = • > • >=

You can search for a specific Model or a set of Models from the Model Attestation window. For more information, see [Search and Filter](#) section.

To attest a Model from the *Model Attestation* window, perform the following actions:

1. Select the check box adjacent to a Model ID, which you want to attest.
2. If you have selected multiple Models for attestation, ensure that all these Models belong to the same Business Line and Category.

You can also select the check box adjacent to the Model ID tab to select all the Models for bulk attestation if all the Models belong to same Business Line and Category.

3. Click the **Attest** button.

The *Business Unit Attestation* window is displayed.

The *Business Unit Attestation* window displays the Model List grid with the list of selected Models and the *Business Unit Head Attestation Details* grid with required Assertions.

4. Select the check box(s) adjacent to the serial number(s) of the required Assertion(s) and enter the response(s) and comment(s).

You can also select the check box adjacent to the Sl. No. tab and choose all the Assertions.

Upon entering the details, at any point of time, you can click the **Save** button to save the entered details.

5. Enter the required comments in the **Comments** field.
6. Click **Approve** button.

The selected Models are attested.

4.5.1.8 Create Issue

Issues can be assigned to a Model, which is in **In Use, In Development, In Review, Rejected and Rework**, and **Pending Approval** statuses if the user is mapped to Issue Creator role.

To create an Issue for a Model in use, from the *Model Management* window:

1. Click the **Model ID** of a Model definition, about which you want to report an Issue.

Note: Ensure that you have selected a Model, which is in **In Use, In Development, In Review, Rejected and Rework**, or **Pending Approval** status.

The Model definition details are displayed in *Model Management Details* window.

2. Click **Create Issue** button.

The *Issue Details* window is displayed.

3. Populate the required Issue Details. For more information, refer to [Create Issue](#) section.

4.5.1.9 Model Details Management

You can incorporate additional details such as Business Unit, Products, Source and Output details, Stages, Assessment Schedule, linkage of Issues and Actions, Attestation details, and Document attachment, to a Model for its further Usage. *Model Management Details* window allows you to perform these actions.

The actions that are possible on a Model from the *Model Management Details* window are the following:

- [Include Recommended Business Area](#)
- [View the Model Usage Details](#)
- [Link Products](#)
- [Define Source Details](#)
- [Define Output Details](#)
- [Link Stages](#)
- [Save Sequence of the Stages](#)
- [Schedule Assessment](#)
- [Link Issues and Actions](#)
- [Other Information](#)
- [Attach Documents](#)
- [Audit Trail](#)

You can download the profile report of a Model definition which provides all the details associated with the selected definition. For more information, refer to [View Profile Reports](#) section.

4.5.1.9.1 Include Recommended Business Area

The application allows the users mapped to the role of Model Creator, Model Owner (in **In Development, Rejected and Rework** statuses), and Analyst in (**In Review**) status to link

Business Lines to the Model. The Creator can link Business Lines to the Model at any Stage except **Approved** status.

To link Business Units to a Model, from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to link the business units.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Expand the *View More* section by clicking the + button.

3. Click **Add BU** button from the *Recommended Business Area* grid.

The *Recommended Business Combinations* window is displayed. This window lists the available Business Lines and the corresponding categories.

In the *Recommended Business Combinations* window, you can search for Business Lines and category by clicking the **Browse** button and selecting the required value from the [Hierarchy Browser](#).

4. Select the required Business Lines by selecting the check boxes adjacent to the Business Lines.

5. Click **OK**. The selected Business Lines are linked to the Model definition and displayed under *Recommended Business Area* grid of the *Model Management Details* window.

From the *Recommended Business Area* grid, you can also select the check box adjacent to a Business Line and perform the following actions:

- Delink a Business Line by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.
- Provide the necessary comments under the *Comments* column and click **Save** button to save the comments for the Business Unit.
- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the Business Line.

4.5.19.2 View the Model Usage Details

The *Model Usage* grid in *Model Management Details* window displays the list of Usages associated with the particular Model definition.

You can click the + button to view the list of Usages.

4.5.19.3 Link Products

You can link the financial elements or products such as equities, loans, and other finances to the Model definitions.

To link a financial element to a Model from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to link the financial elements.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Expand the *View More* section by clicking the + button.

3. Link the financial element by clicking the **Link** button and selecting the product from the [Hierarchy Browser](#) window.

The selected products are displayed under *Products* grid.

From the *Products* grid, you can also select the check box adjacent to a financial element and perform the following actions:

- Delink a financial element by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.
- Provide the necessary comments under the *Comments* column and click **Save** button to save the comments for the financial element.
- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the financial element.

4.5.1.9.4 Define Source Details

Source section in *Model Management Details* window fetch the Model source and Model upstream details (Model from which data/input is used in Model under reference) of a Model definition.

To link the Model source details from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to link the input details.
The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.
2. Expand the *View More* section by clicking the + button.
3. Further expand the *Source* section by clicking the + button.
4. Link the Model sources by clicking the **Link** button and selecting the source members from the *Hierarchy Browser* window.

The selected members are displayed under *Input* grid.

From the *Input* grid, you can also select the check box adjacent to a member and perform the following actions:

- Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.
- Provide the necessary comments under the *Comments* tab and click **Save** button to save the comments for the member.
- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the member.

You can link the upstream Model source details from the *Source* section. An upstream Model is the Model from which the data/inputs are used in the current Model. To link an upstream Model, follow these steps:

1. Link the upstream Models by clicking the **Link** button. The *Upstream Models* window is displayed.

In the *Upstream Models* window, you can search for a set of Models using the Model ID, Model Name, Version, and Model Owner details. For more information, refer to [Search and Filter](#) section. The *Model List* grid in the *Upstream Models* window displays only those models with the same Business Line and Category of the Model under development.

2. Select the required Models by selecting the check box adjacent to the Model IDs and clicking the **Link** button.

The selected Models are listed under *Upstream Models* grid with their ID, Name, Version, Usages, Status, and Criticality details. You can click the ID hyperlink to view the Model details.

You can also Delink a selected Model by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

4.5.1.9.5 Define Output Details

Output section in *Model Management Details* window fetch the intended use and downstream Model details of a Model definition.

To link the Model output details from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to provide **Output and Intended Use** and **Downstream Model** details.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Expand the *View More* section by clicking the + button.
3. Further expand the *Output* section by clicking the + button.
4. Link the Model Output and Intended Use by clicking the **Link** button and selecting the source members from the *Hierarchy Browser* window.

The selected members are displayed under *Intended Use* grid.

From the *Intended Use* grid, you can also select the check box adjacent to a member and perform the following actions:

- Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.
- Provide the necessary comments under the *Comments* column and click **Save** button to save the comments for the member.
- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the Business Line.

You can link the downstream Model details from the *Output* section. A downstream Models is the Model in which the current Model will used as an input or source. To link a downstream Model, follow these steps:

1. Link the downstream Models by clicking the **Link** button. The *Downstream Models* window is displayed.

In the *Downstream Models* window, you can search for a set of Models using the Model ID, Model Name, Version, and Model Owner details. For more information, refer to [Search and Filter](#) section. The *Model List* grid in the *Downstream Models* window displays only those Models with the same Business Line and Category of the Model under development.

2. Select the required Models by selecting the check box adjacent to the Model IDs and clicking the **Link** button.

The selected Models are listed under *Downstream Models* grid with their ID, Name, Version, Usages, Status, and Criticality details. You can click the ID hyperlink to view the Model details.

You can also Delink a selected Model by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

4.5.1.9.6 Link Stages

Model Development Stages are activities involved in developing and building Models. Model Creator and Model Owner can link the Stages, which are appropriate for the Model to be developed. Stages can be linked to an approved Model when it is in **In Development** status.

If all the Stages linked to the Model and the Model definition submitted for approval by the Analyst are approved by the Model Approver, the status of the Stages changes to be **Completed**. The Analyst has to submit the Model to Model Approver for approval. Once submitted, the status is changed to **Pending Approval**. After approval, the Model is changed to **In Use** status.

To link Stages to a Model which is in **In Development** status from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model, to which you want to link Stages.

Note: Ensure that the Model definition you have selected is in, **In Development** status.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click **Stages** tab.

The *Stages* tab is enabled.

The *Stages* tab displays the Model ID, Model Name, Status, Version, Model Owner, and BU Head details.

3. Click **Link Stages** button from the *Stages* grid.

The *Stages* window is displayed.

The *Stages* window lists all the available Stages.

4. Select a Stage by clicking the check box adjacent to the required Stage(s) and clicking **Link** button.

The selected Stages are linked to the Model and are displayed in *Stages* tab with the details such as Stage ID, Stage Name, Status, Owner, Approver, Start Date, End Date, Sequence Number, Review Cycle, and Checklist.

All the selected Stages are assigned with Stage IDs. You can click these IDs to view the Stage definition details.

The Stage Definition Details window displays the Stage Name, Stage Status, Model ID, Model Name, Stage Owner, and Stage Approver details. For a Model definition in **In Development** or **Reject and Rework** status, you can update the Stage Owner and Stage Approver details by clicking the **Browse** button and selecting the users from the [Hierarchy Browser](#) window.

The Stage Activities details, Documents List, and Audit Trail details are displayed in the *Stages* tab.

To create a new Activity from the *Stage Definition Details* window, perform the following:

1. Click the **Create New** button from the *Activities* grid.

The *Stage Activities* window is displayed.

2. Select the required activity among the available list of activities from the **Choose Activity** drop down list.

3. Enter the required comments in the **Comments** field.

4. Click **Add** button in the *Stakeholders* grid and select the required stakeholders from the [Hierarchy Browser](#) window.

The selected stakeholders are displayed in the *Stakeholders* grid with the details such as Name, Activity Type, and Due Date.

You can select the check box adjacent to a stakeholder name and update the Activity Type and Due Date. Once the required changes are made, click the **Update Task Due Date** button to save the changes.

5. Click the **Attach Document** button and select a document to upload by providing the Component, Type, Logical File Name, document path, and clicking **Attach Document** button.
6. Click **Submit** in the *Stage Activities* window.

The Activity is saved and is displayed under *Actives* grid of the *Stage Definition Details* window with the details such as Date, By, Activity, Comments, and Upload details.

You can add documents to an Activity by clicking the **Add Documents** hyperlink in the Upload tab, adjacent to each Activity and providing the following details:

Table 4-8 Add Documents Details

Field	Description
Component	The component is auto populated as Model Development Stages , as the document upload is being performed for a Stage definition.

Table 4–8 Add Documents Details(Cont.)

Field	Description
Type	<p>Select the type of the document from the drop down list. The available values are:</p> <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures • SOP • User Manual • Assumptions • Algorithm • Validation Result • Back Test Result • Limitations • Implementation and Use • Others • Evidences • Organization Risk Management Policy • Dataset • Sample Data • Model Calibration document • Review Document • Model Theory • Implementation document • Results • Model Algorithm • Business Case for Model • Model Usage Algorithm • Business Use for Model Usage
Security	<p>Select the required security type by selecting any of the following options:</p> <ul style="list-style-type: none"> • Public • Read Only • Restricted
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking Browse button and selecting the file.

To attach a document to the Stage definition from the *Stage Definition Details* window, perform the following:

1. Click **Attach Document** button from the *Documents List* grid.
The *Attach Documents* window is displayed.
2. Populate the form details as tabulated:

Table 4-9 Attach Documents Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is auto populated as Model Development Stages , as the document upload is being performed for a Stage definition.
Type	Select the type of the document from the drop down list. The available values are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures • SOP • User Manual • Assumptions • Algorithm • Validation Result • Back Test Result • Limitations • Implementation and Use • Others • Evidences • Organization Risk Management Policy • Dataset • Sample Data • Model Calibration document • Review Document • Model Theory • Implementation document • Results • Model Algorithm • Business Case for Model • Model Usage Algorithm • Business Use for Model Usage
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking Browse button and selecting the file.

3. Click Attach File.

The selected document is uploaded and is displayed under *Documents List* grid with the details such as Document Name, Document, Version, Document Type, Activity, By, and Date & Time.

You can select the check box adjacent to a document and click the **Delete** button to remove a document.

The *Audit Trail* grid displays the history of actions performed on the Stage definition with the details such as Date and Time, Action, Action By, and Status.

Click the **List Stages** button at the top right corner of the *Stage Definition Details* window to navigate back to the Stage list window.

From the *Stages* tab, you can also select the check box adjacent to a **Stage ID** and perform the following actions:

- Delink a Stage by clicking the **Delink Stage** button and clicking **OK** in the confirmation dialog box.

Note: You can delink only those Stages which are in **Draft** status.

- Assign Approver and Owner role by clicking **Assign Approver/Owner** button and selecting the users from the *Hierarchy Browser* window and enter the description for the stage in the **Description** text field.
- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the member.

The checklist items for each Stage can be viewed in the *Checklist* window, by clicking the **Checklist** hyperlink adjacent to each Stage definition listing.

You can also export the Stage definitions to a spreadsheet and wrap/unwrap Stage definitions listing. For more information, refer to [Export Definitions](#) and [Wrap/Unwrap Item List](#) sections.

For more information on creation of Stages, refer to [Reference Data Management](#) section in *Admin* chapter.

4.5.1.9.7 Save Sequence of the Stages

Stages can be saved in a sequence when the model is **In Development**, **Rejected**, **Reworked**, and **In Review** status and the stages are in **Draft**, **In Progress**, and **Rejected** status.

Note: At least one stage must be linked to the model. When the stage is linked to the model for the first time, the Review Cycle is updated as Review Cycle1. The Review Cycle is incremented everytime the stage is linked again, as a part of Reviews.

Users mapped to the role of Model Creator or Model Owner can update and save the stages in a sequence.

Under the *Stages* grid, details of the stages such as Stage ID, Stage Name, Owner, Approver, Start Date, End Date, Sequence Number, Review Cycle, Status, and Checklist are available.

To save the stages in a sequence, follow these steps:

1. Select a stage by clicking the checkbox adjacent to the required stage. The sequence column becomes editable.
2. Enter the sequence number.

Note: This field accepts only whole numbers.

3. Click **Save Sequence** from the *Stages* grid.

The sequence is saved for the stage for this model. Based on the sequence provided in ascending order, the task is sent to the stage which is first. The task is sent to the next stage(s) only on completion of the first stage. If two or more stages have the same sequence numbers, such stages is initiated at the same time. On completion of both such stages, the next stage is initiated. The Start Date of the first stage is when the Owner and Approver are assigned and the End Date of the stage is updated, when the stage is approved by the Approver. The Start date of the next stage in the sequence should be the end date of the previous stage.

If a new stage is linked along with existing stages, the following check should be performed when saving the sequence:

- If the sequence number is an incremental value, from all the past stages, allow the Saving of sequence with a message: *Update operation successful.*
- If the sequence number is less than or equal to the sequence number of any Stage which is in **In Progress** status, provide an alert message: *Provide a sequence number which is greater than the Stages which are in progress to save the sequence.* This message does not allow the user to save the sequence until the condition exists.

On clicking **Initiate Stage**, if the stage sequences are set and the Owner and Approver of the stages are assigned, a task is sent to the Owner of the stage, which is the first stage based on the sequence if the stages are in draft status.

No tasks are sent to the Owner and the Approver under the following conditions:

- If a user clicks the **Initiate Stage** before assigning the sequence, Owner, and Approver for all the linked stages, an alert message is displayed: *Provide the sequence, Owner and Approver for all the linked stages, to Initiate the stage Tasks.*
- If a user clicks the **Initiate Stage** when the linked stages are **In progress** or **Approved**, an alert message is displayed: *Stages are already initiated for the current cycle.*

4.5.1.9.8 Inherit Stages

Stages can be inherited from the preceding Model definition, when the Model definition is in **In Development** status.

Note: You can inherit Stages for a Model definition, only if there is a preceding Model definition present and the status is in **In Development**.

To inherit Stages from the preceding Model definition, follow these steps:

1. Click the **Model ID** of a Model to which you want to inherit Stages from the preceding Model.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click **Inherit Stages** button.

A confirmation dialog box is displayed. Click **OK**.

The Stages from the preceding definition are inherited and is displayed under *Stages* tab.

4.5.1.9.9 Managing Assessment

This section provides information about managing Assessment of the MRM application and step-by-step instructions to use this section.

This section includes the following topics:

- Scheduling Assessment
- Managing Validity and Usage Tier
- Creating Assessment
- Managing Individual Assessments
- Managing Aggregated Assessments

4.5.1.9.9.10 Scheduling Assessment

Assessment functionality of OFSMRM facilitates you to perform assessments on defined Models and arrive at ratings. You can schedule the assessment of a Model from the *Model Management* window, if all the linked Stages of the Model definition are approved. The assessment can be scheduled only for those Models which are in **In Development, Rejected and Rework**, and **In Review** status.

To schedule assessment of a Model from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model to which you want to schedule an assessment.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click **Assessments** tab.

The *Assessments* tab is enabled.

The *Assessments* tab displays the Model ID, Model Name, Status, Version, Model Owner, and BU Head details.

4.5.1.9.9.1 Managing Validity and Model Tier

The *Validity and Model Tier* grid in the *Assessments* tab enables you to modify Validity and Model Tier, follow these steps:

1. Expand Validity and Model Tier section.
2. Click Edit to enable Validity and Model tier details section.
3. Modify following details:

Table 4-2 Model Assessment Details

Field	Description
Model Tier	<p>Model Tiering is based on factors such as reliance and uncertainty of the Models. Tiering assessment can be performed once the tool has been acknowledged as a Model. Select the Model tier from the drop-down list. The available values are:</p> <ul style="list-style-type: none"> • Tier One • Tier Two • Tier Three • Tier Four

Table 4-2 Model Assessment Details(Cont.)

Field	Description
Tier Template	<p>You can update the tier template from the <i>Validity and Model Tier</i> grid by performing the following steps.</p> <ol style="list-style-type: none"> 1. Click the Tier Template hyperlink adjacent to the Model Tier field. <p>The <i>Tier Templates</i> window is displayed with the available list of templates.</p> <ol style="list-style-type: none"> 2. Select the check box adjacent to the required Tier Template and click Next. <p>The <i>Tier Template</i> window with the questionnaire is displayed. The questions are segregated in sections such as General, Exposure, Reliance, and Uncertainty Assessment.</p> <ol style="list-style-type: none"> 3. Answer all the questions and provide the necessary comments. 4. Click Submit. <p>In the Tier Template window, you can also perform the following:</p> <ul style="list-style-type: none"> • Click Review and review the answers and comments you have provided for each question. • Click View Documents/Hide Documents to toggle the view of related documents in the <i>Documents</i> grid. • Click Save to save the answers and comments before submitting. <p>A recommended tier for the Model definition is assigned, based on the responses. User can opt to keep the recommended Tier or manually change the tier later.</p>
Valid Till	Select the date of validity of the Model for business use from the Calendar.

4. Click Save. The details are updated.

4.5.1.9.3 Creating Assessment

The *Assessment* grid in the *Assessments* tab enables you to schedule an assesment and create Ad Hoc assessment. The *Assessment* grid also allows you to delete and terminate an assessment.

This section covers following topics:

- Setting up Assessment type
- Creating Adhoc Assessment
- Delete Assessment
- Terminate Assessment

Scheduling Assessment Type

To schedule an assessment type, follow these steps:

1. To schedule the assessment for a selected Model, click **Schedule Assessment Type** from the *Assessments* grid.

The *Model Assessment* window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4-4 Model Assessment Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
ID	The ID of the assessment is auto populated and this field is not editable.
Type	<p>Select the type of the assessment from the drop down list. The available values are:</p> <ul style="list-style-type: none"> • Control • Evaluation of the Conceptual Soundness • Ongoing Monitoring • Outgoing Analysis • Tier Template <p>If the assessment type is selected as Tier Template, only those users mapped to the role of Analyst will be displayed and you will be able to select only one user.</p> <p>For other assessment types, only those users mapped to the role of Assessor will be listed and you will be able to select multiple users.</p>
Assessment Start Date	Select the start date of assessment from the Calendar.
Prior Notification	Enter the number of days for the notification to be sent prior to the assessment execution.
Frequency	<p>Select the assessment frequency from the drop down list. The available values are:</p> <ul style="list-style-type: none"> • Monthly • Quarterly • Half Yearly • Yearly • Biennial
Assessment End Date	Select the end date of assessment from the Calendar.

3. Click **Save.**

The assessment is saved.

Once the assessment is scheduled, the *Assessors* and *Questionnaire* grids are enabled in the *Model Assessment* window.

4. Add assessors by clicking **Link button in the *Assessors* grid and selecting the user from the Hierarchy Browser window.**

You can also select the check box adjacent to an Assessor and click **Delink** to remove the selected Assessor.

5. Select the Questionnaires by clicking **Link button in the *Questionnaire* grid.**

The *Link Questionnaire* window is displayed. It is mandatory to link a questionnaire. The linked questionnaire is sent to the assessor to respond during the assessment.

You can search for a particular Questionnaire by providing the Questionnaire ID, Questionnaire Name, Created From, or Created To details. For more information, refer to SearchandFilter section.

For more information regarding Questionnaires, refer to Questionnaire section from the *Admin* module.

6. Select the check box adjacent to the **Questionnaire ID**.

7. Click **Link**.

The selected Questionnaire is displayed under *Questionnaire* grid of *Model Assessment* window.

You can also select the check box adjacent to an **ID** and click **Delink** to remove the selected Questionnaire.

8. Click **Back**.

The Model assessment is scheduled and the schedule is displayed under *Assessments* grid of the *Assessments* tab.

A new assessment is saved with status **New**. The status become **Active** on the scheduled date, once the batches are executed for a Model which has status **In Use**. Once the scheduled assessment is executed, you can change the status to **Inactive** by performing the following actions:

- Move the Model status to **In Review**.
- Select the Active assessment and click **Terminate**.

The status of the assessment becomes **Inactive**.

Creating Adhoc Assessment

Once the assessment is complete, the assesment can be reassigned to the assessor using the *Ad Hoc assessment*. To perform Ad Hoc assessment, the model should be in **In Use** status and at least one assement should be schedule. The Ad hoc assessment needs to be approved by a user who has Analyst or Assessment Approver role assigned.

To perform Ad Hoc assessment, follow these steps:

1. Select the Assessment ID from the Assessment tab.
2. Click **Ad Hoc** on the Assessments grid.

Note: The Ad Hoc button is enabled when the model is in **Open** status and the assesment is in **Active** status.

The *Ad Hoc Assessment* window is displayed.

3. Populate the form with the necessary details as tabulated below:

Table 4-5 Ad Hoc Assessment Window Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Type	The assessment type is auto populated and this field is not editable.
Comment	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters and saved in Audit trail as action comment.
Due Date	Select the due date of assessment from the Calendar.
Assessor	Select the user from the Hierarchy Browser window in the <i>Assessor</i> grid.

4. Click **Submit**. The following message is displayed: *Updated operation successful*. Click **OK**.

The assessment is scheduled for Ad Hoc assessment.

Delete Assessment

An assessment that has not be finalized can be deleted using the Delete button. Delete button is enabled on selecting an assessment, which is in **New** status. Once the Assessment is in **Active** status, the assessment cannot be deleted and needs to be terminated.

To delete an assessment, follow these steps:

1. Select the Assessment ID that is in **New** status.
2. Click **Delete** on the *Assessment* grid. The following message is displayed: *Deleting the assessment schedule will stop future scheduling of assessments. Are you sure to delete?* Click **Ok**.

The selected Assessment is deleted.

Terminate Assessment

An assessment can be terminated by using the Terminate button. The Terminate button is enabled on selecting an assessment, which is in **Active** status.

To terminate an assessment, follow these steps:

1. Select the Assessment ID that is in **Active** status.
2. Click **Terminate** on the *Assessment* grid. The following message is displayed: *Are you sure would like to terminate the selected Validation Schedule?.* Click **Yes**.

The selected Assessment is Terminated.

4.5.1.9.9.6 Managing Individual Assessments

Once the assessment moves to **Active** status, the respective assessors will receive task based on the start date and the schedule. The assessor can access the task from the Inbox.

Once the assessment is completed, scores get generated based on the Questionnaire answered (the questionnaire used should be score based) and rating is displayed as High/Medium/Low in *Individual Assessments* grid.

To perform an assessment, follow these steps:

1. Select the Scheduled Assessment which is in **Active** status from the Assessmet grid.
2. Select the Assessment Task from the *Aggregated Assessments* grid.
3. Select the Individual Task from the *Individual Assessments* grid.

The individual Assessment window is displayed. In the Assessment window, you can perform the following:

- Submitting Assessment
- Approving/Rejecting Assessment
- Closing Assessment
- Reassigning assessment.

Submitting Assessment

An assessment can be submitted for approval when an assessment is in **New, Open, Rejected,** or **Reopened** status and all the questionnaire are answered.

To submit an assessment, follow these steps:

1. Click **Submit for Approval** in the individual Assessment window.

The Submit for Approval window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4-7 *Submit for Approval Window Details*

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	Select the user from the Hierarchy Browser.
Due Date	Select the due date of assessment from the Calendar. By default, system populates 5 days from the system date.
Comments	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?*
Click **OK**.

The assessment is submitted for approval. The comments entered will be saved in the Approval/Rejection comments field in the Model details page. On successfully submitting an Assessment, the status of the Assessment changes to **Pending for Approval** and task is sent to the approver.

Approving/Rejecting Assessment

Approving/Rejecting Assessment is approving or rejecting an Assessment. An assessment can be approved or rejected when it is in **Pending for Approval** status and the Model to which the assessment is linked should not be in **Retired** status. A user selected when submitting the assessment who has Assessment Approver role and who shares at least one common Business Line and Category of the Model to which the Assessment is linked, can approve or reject the assessment.

The Approve/Reject button is enabled only when the assessment is in **Pending for Approval** status.

To approve an assessment, follow these steps:

1. Click **Approve** in the individual Assessment window.

The Approve Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4-8 *Approve Assessment Window Details*

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Comments	Enter any comment or other information related to the assessment. The comment will be saved and displayed in workflow history as well as in the Comments grid. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?*
Click **OK**.

The assessment is Approved and status is marked as **Approved**. Notification will be sent to the Assessor and user who has Assessment Approver role.

To reject an assessment, follow these steps:

1. Click **Reject** in the individual Assessment window.

The Reject Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4-9 Reject Assessment Window Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment ID is auto populated and this field is not editable.
Assign To	The Assign to is auto populated with the user who submitted the Assessment task.
Comments	Enter any comments or other information related to the assessment. The comment will be saved and displayed in workflow history as well as in the Comments grid. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?*
Click **OK**.

or

Click **Reset**. The values are set to default value.

The assessment is rejected and status is marked as **Reject**. Once the assessment is in *Reject* status, task is sent to assessor and he can resubmit for assessment.

Closing Assessment

Closing Assessment is closing of an Assessment. An assessment can be closed when it is in **New** or **Open** status and the Model to which the assessment is linked to should not be in **Retired** status. An Assessor of the Assessment or a user who has Assessment Approver role, who share at least one common Business Line and Category of the Model to which the Assessment is linked, can close the assessment.

The Close button is enabled only when the assessment is in **New** or **Open** status.

To close an assessment, follow these steps:

1. Click **Close** in the individual Assessment window..

The Close Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4-10 Close Assessment Window Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Comments	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?*
Click **OK**.

or

Click **Reset**. The values are set to default value.

The assessment is closed and status is marked as **Closed**.

Reassigning Assessment

Reassigning Assessment is assigning an Assessment to another Assessor for reassessment. Reassigning of an assessment can be performed when an assessment is in **New, Open, Rejected, or Reopened** status and the Model to which the assessment belongs to should not be in **Retired** status. An Assessor of the Assessment or a user who has Assessment Approver role, who share at least one common Business Line and Category of the Model to which the Assessment is linked, can reassign the assessment.

The Reassign button is enabled only when the assessment is in **New, Open, Rejected, or Reopened** status.

To reassign an assessment, follow these steps:

1. Click **Reassign** in the individual Assessment window.

The Reassign window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4-11 Reassign Window Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	Select the user from the Hierarchy Browser .
Comments	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 255 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

or

Click **Reset**. The values are set to default value.

The assessment is reassigned to the selected Approver and notification is sent. The comments entered will be saved in the Approval/Rejection comments field in the Model details page.

4.5.1.9.12 Managing Aggregated Assessments

Once the assessment is completed, aggregated scores get generated based on the Questionnaire answered (if the Questionnaire is score based) and aggregated rating is displayed as High/Medium/Low in the *Aggregating Assessment* grid. All the completed assessments need to be approved by a user who has Assessment Approver role assigned.

4.5.1.9.10 Link Issues and Actions

You can link Issues and subsequent Actions to a Model definition.

To link Issues to a Model definition from *Model Management* window, follow these steps:

1. Click the **Model ID**. of a Model to which you want to associate Issues and Actions.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click the *Issues and Actions* tab.

The *Issues and Actions* tab is enabled.

3. Click the **Link** button from the *Issues* grid.

The *Issues* window is displayed.

You can use the search parameters in the *Issues* window to search and find a particular Issue or a set of Issues. For more information, refer to [Search and Filter](#) section.

4. Select the check boxes adjacent to the **Issue IDs**, you want to link to the Model definition.
5. Click **Link** button.

The selected Issue(s) are linked with the Model definition and are listed under *Issues* grid in *Issues and Actions* tab of *Model Details Management* page.

The Issues are listed with the details such as Issue ID, Issue Name, Type, Creator, Owner, CCY, Estimated Cost, Target Date, Last Modified, and Status.

You can view the Actions associated with each Issue by selecting the check box adjacent to the **Issue ID**.

The associated Actions are displayed under *Actions* grid.

You can also select the check box adjacent to an **Issue ID** and click **Delink** button in the *Issues* grid to delink an Issue from the Model definition.

4.5.1.9.11 Other Information

The *Other Information* tab helps you to track any amendments made to the Model definition. This is possible only for a definition, which is in **In Use** status.

To create a new log information for a Model definition, which is in **In Use** status, follow these steps:

1. Click the **Model ID** of a Model to which you want to associate a change log.

The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click the **Other Information** tab.

The *Other Information* tab is enabled.

This tab displays the available change log details under *Change Log* grid.

The *Other Information* tab also displays the Model ID, Model Name, Status, Version, Model Owner, and BU Head details.

3. By default the Change Log Details form is in editable status. Alternatively, you can click **Create New** button to log a change.
4. Populate the form details as tabulated below:

Table 4-13 Change Log Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
ID	The ID for a new change log is auto populated. This field is not editable.
Name	Enter the name for the change log.
Source	Select the source from the drop down list. the available options are: <ul style="list-style-type: none"> • Internal • External

Table 4-13 *Change Log Details*

Field	Description
Owner	Select the owner of the change log from the <i>Hierarchy Browser</i> by clicking Browse button.
Due Date	Select the due date from the <i>Calendar</i> .
Status	The status of a new change log is always set to Draft . This field is not editable.
Created By	This field is populated with the name of the user, who creates the change log. This field is not editable.
Created On	This field is auto populated with the current date. This field is not editable.
Description	Enter a description about the change log.
Closing Note	This field is not editable when you create the change log draft. Once saved as draft, you can enter the closing note and submit the change log. Note: This field is active only if you have Change Owner role assigned.

5. Click **Save as Draft** to save the draft and submit later for approval.

The change log is saved in **Draft** status.

Or

Click **Submit** to submit the change log for approval.

The change log is saved in **Open** status.

A change log in **Draft** status can be updated and submitted to a Change Owner for further actions.

To submit a change log:

1. Select the check box adjacent to the Change Log ID, which is in **Draft** status.

The change log is open for edit under *Change log Details* grid.

2. Enter/modify the details as required.
3. Click **Update** button to save the changes.
4. Click **Submit**.

The change log is saved with updated details and submitted to the Change Owner. The status of the change log is changed to **Open**.

Once submitted, the Change Owner can review the change log and close it after providing necessary information in the **Closing Note** field. The status of such a closed change log moves from **Open** to **Closed**. The Change Owner can also reassign a change log to another user.

4.5.1.9.12 Attach Documents

You can attach any document related to a specific Model definition. There are two ways in which you can associate a document with a Model definition.

- Upload a new document
- Link an existing document to the Model definition

To attach a document by uploading it from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model for which you want to upload supporting documents.
The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.
2. Click *Documents* tab.
The *Documents* tab with *Documents* and *Stage Documents* grid is displayed.
3. Click **Attach Document** button from the *Documents* grid.
The *Attach Documents* window is displayed.
4. Populate the form details as tabulated:

Table 4-14 Attach Document Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is auto populated as Model Development , as the document upload is being performed for a Model definition.
Type	Select the type of the document from the drop down list. The available values are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking Browse button and selecting the file.

5. Click **Attach File**.

To link an existing document to the Model definition from the *Documents* tab of the *Model Details Management* window, follow these steps:

1. Click **Link** button.
The *Document* window with the currently available document list is displayed. These documents are displayed with their ID, Name, Version, Type, and Status details.
2. Select the check box adjacent to the ID column and click **Link** button.
The selected document is linked to the Model definition.

You can delete any of these associated documents from the Model definition by selecting the check box adjacent to the document name and clicking **Delete** button.

4.5.1.9.13 Audit Trail The Audit Trail section tracks and displays the history of all the changes made to the Model. This tab records every action (save or submit) and status changes. This section facilitates you to track the changes by comparing two or more actions performed on a Model definition.

To view the audit trail details of a Model from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model of which you want to view the audit trail details.
The *Model Management Details* window is displayed. By default, the *Definition* tab with the basic Model definition details are displayed.

2. Click *Audit Trail* tab.

The *Audit Trail* tab is displayed with the history of actions of the selected Model definition. The audit Trail displays the details such as Date and Time, Action, Action By, Status, and Comments.

If there are more than one audit trail items present for a Model, you can compare them by selecting the check boxes adjacent to the items you want to compare and clicking **Difference** button, from the *Audit Trail* tab.

4.5.1.10 Retire Model

An active Model definition, which is in **In Use** status and not relevant or requires an update before it can be used again, can be retired.

To retire a Model from the *Model Management* window:

1. Click the **Model ID** of a Model definition, which you want to retire.

Note: Ensure that you have selected a Model, which is in **In Use** status and there are no Usages linked to it.

The Model definition is displayed in *Model Management Details* window.

2. Click **Retire Model** button.

The *Model Approval* window is displayed.

3. Select the Model Approver from the *Model Approval* window, by clicking the **Browse** button and selecting the user from the *Hierarchy Browser* window.
4. Enter the required comments in **Comments** field.
5. Click **Submit**.

The Model definition has been initiated for retirement and sent for approval. Once approved, the status of the Model changes to **Retired**.

On rejecting the retirement of a Model, the definition moves back to its previous state, that is **In Use** and the Model is considered to be active.

4.5.1.11 Reinstate Model

A Model definition, which is in **Retired** status can be reinstated for its further use. A Retired Model can be reinstated only by the Model Analyst and this Model has to be approved before it can be further edited.

To reinstate a retired Model from the *Model Management* window, follow these steps:

1. Click the **Model ID** of a Model definition, which you want to reinstate.

The *Model Details* window is displayed.

2. Click **Re Instate Model** button.

The *Model Approval* window is displayed.

3. Select the Model Approver by clicking the **Browse** button and selecting the user from the *Hierarchy Browser* window.
4. Provide the necessary comments.
5. Click **Submit** button.

The Model definition has been marked for reinstatement and submitted to the selected Model Approver for approval.

4.5.1.12 Delete Model

Model definition(s), which are in **Draft** status and no longer required can be deleted from the list.

To delete Model definition(s) from the *Model Management* window:

1. Select the check box adjacent to the Model ID of the definition you want to delete.

Note: You can delete a Model definition, which is not linked or referenced elsewhere. In case, the Model definition is linked or referenced, you have to delink or remove the reference of the Model definition and try again.

2. Click the **Delete** button.

The confirmation dialog box is displayed.

3. Click **OK** button in the confirmation dialog box.

The selected Model definition is deleted and a confirmation message is displayed.

4.5.2 Usage

The instances of a Model used in different businesses with or without change of parameter, processing, and calculation to the Model in use, is termed as **Usage**. In other words, Usage is subset of Model used in different business units for closely aligned purpose of Model. A Usage must be linked to a Model. The workflow of a Usage is the similar to that of a Model.

For more information about the Model Usage workflow, refer to [User Roles and Actions](#) section.

Usage menu under *Model Management* module navigates you to the Usage list. Usage Creator and Usage Owner have access to the Usage List screen. The list displays only those Usages which are either created or Owned by the logged in user. An Analyst has access to all the Usages in the Usage List screen.

The Usages are listed with following details:

Table 4-15 Usages Details

Tab Name	Description
Usage ID	ID of the Usage
Usage Name	Name of the Usage
Version	Version of the Usage
Business Line	Business Line to which the Usage belongs
Category	Category of the Usage
Location	Location of the Usage
Usage Owner	Name of the owner of the Usage
Status	Current status of the Usage
Last Modified	Last modified date of the Usage

You can search for a specific Usage or a set of Usages from the *Usage Management* window. For more information, refer to [Search and Filter](#) section.

You can send updates regarding the definitions to all the stakeholders by sending emails to them. For more information, refer to [Send Email](#) section.

You can also export the Usage definitions to a spreadsheet and wrap/unwrap Usage definition listing. For more information, refer to [Export Definitions](#) and [Wrap/Unwrap Item List](#) sections.

The following actions are possible from the *Model Management* window:

- [Create Usage](#)
- [View Usage Definition](#)
- [Edit Usage Definition](#)
- [Submit Usage for Initial Approval](#)
- [Submit Usage for Approval](#)
- [Submit Usage for Review](#)
- [Attest Usage](#)
- [Create Issue](#)
- [Usage Details Management](#)
- [Retire Usage](#)
- [Reinstate Usage](#)
- [Delete Usage](#)

4.5.2.1 Create Usage

The Initiate Usage section facilitates the development/creation of a new Usage. To develop a new Usage from the *Usage Management* window:

1. Click **Initiate Usage** button from the *Usage Management* window.

The *Usage Management Details* window is displayed:

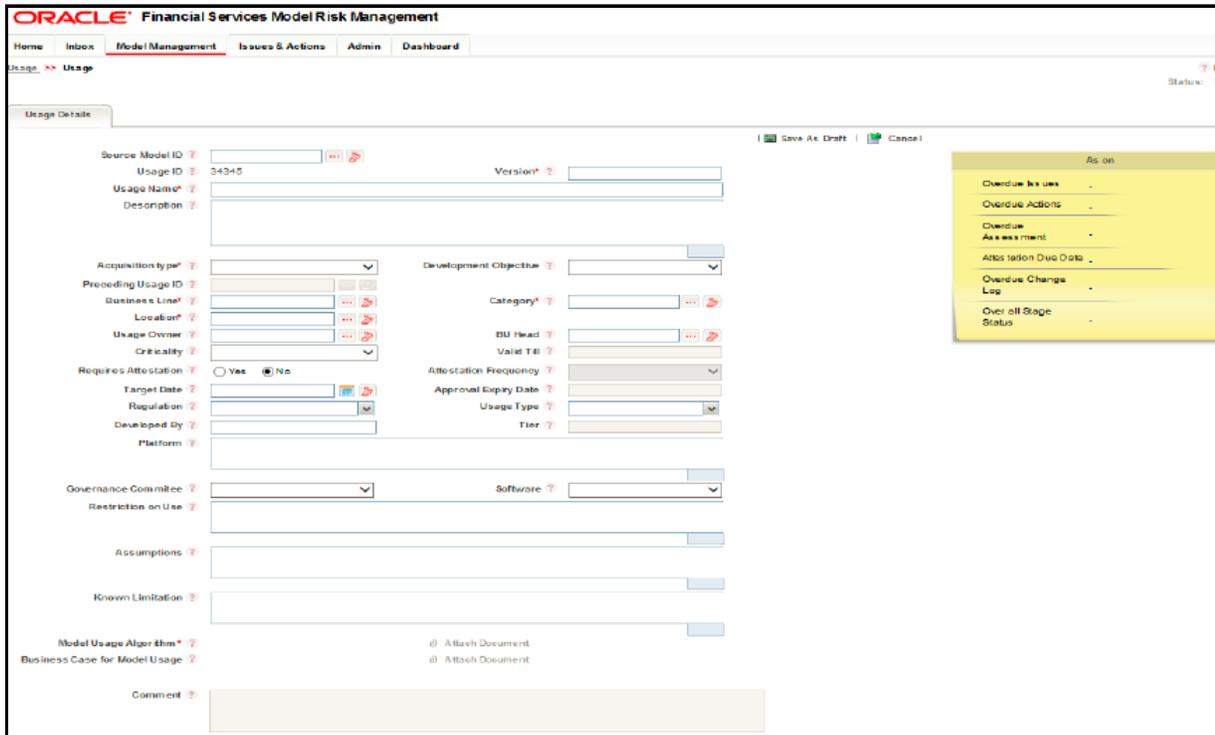


Figure 4-1 Usage Management Details Screen

The default **Status** of a new Usage is **New**.

2. Populate data in the fields as tabulated below:

Table 4-16 Usage Management Details

Field	Description
-------	-------------

The fields marked in asterisks (*) are mandatory.

Source Model ID Select the Model ID to which the Usage belongs from the [Hierarchy Browser](#) window by clicking the **Browse** button.

The status of available Models are:

- In Use
- Rejected and Rework
- In Review
- Pending Approval

Usage ID The Usage ID is auto populated.

Version Enter the version of the new Usage.

The maximum number of characters should not exceed five.

Usage Name Enter the required name of the new Usage.

The maximum number of characters should not exceed 50.

Description Enter a description for the Usage under development.

Table 4-16 (Cont.) Usage Management Details

Field	Description
Acquisition Type	<p>Select the Source from the drop down list. The available values are:</p> <ul style="list-style-type: none"> • In House - These Usages are developed within the organization. • Third Party - These Usages are developed and implemented by a third party. • Hosted - These Usages are developed and serviced by a third party, but is implemented within the organization.
Development Objective	<p>Select the development objective form the drop-down list. The available values are:</p> <ul style="list-style-type: none"> • Automation - This automates the concept behind the Usage. • Replacement - In this case, the objective is to replace the existing Usage with a new one. • Recalibration - In recalibration, the variables within an existing Usage are updated. • Redevelopment - This re initiates the development of existing Usage for an updated concept. • New Development - This is the development of new Usage with new concepts.
Preceding Usage ID	<p>Select the preceding Usage ID from the <i>Hierarchy Browser</i> window by clicking the Browse button.</p> <p>This field is active only if you have selected Replacement, Recalibration, or Redevelopment in the Development Objective field and is mandatory for such development objectives.</p> <p>Upon selecting a preceding Usage, the details such as ID, Usage Owner, BU Head, Criticality, Regulation, Methodology, Restrictions in Use, Assumptions, and Known Limitations are taken from the selected Usage and auto populated in the respective fields of the Usage under creation.</p>
Business Line	<p>Select the Business Line from the <i>Hierarchy Browser</i> window by clicking the Browse button.</p>
Category	<p>Select the primary category of the Usage from the <i>Hierarchy Browser</i> window by clicking the Browse button.</p>
Location	<p>Select the Location from the Hierarchy Browser window by clicking Browse.</p>
Usage Owner	<p>Select the User Name who owns the Usage from the <i>Hierarchy Browser</i> window by clicking the Browse button.</p>
BU Head	<p>Select the Business Unit Head user Name from the <i>Hierarchy Browser</i> window by clicking the Browse button.</p>
Criticality	<p>Select the criticality of the Usage under development, to the business. This indicates the impact of the Usage in the business.</p> <p>The available options are:</p> <ul style="list-style-type: none"> • Very Low • Low • Medium • High • Very High
Valid Till	<p>This field is autopopulated and is noneditable.</p> <p>The field indicates the validity of the Usage. You can edit this field under Assessment tab.</p>

Table 4-16 (Cont.) Usage Management Details

Field	Description
Requires Attestation	This field indicates whether the Usage requires attestation or not. Usages are attested by the Usage Owner to affirm and confirm the working, relevance, and use of Usage for its intended business. Select Yes if the Model requires attestation.
Attestation Frequency	Select the attestation frequency from the drop down list. The available values are: <ul style="list-style-type: none"> • Half Yearly • Yearly • Biennial This field is active only if you have opted the Usage requires attestation.
Target Date	Select the Usage development target date from the Calendar .
Approval Expiry Date	This field is auto-populated with the data provided by the approver when approving the usage. If the usage is in In Use status and the approval expiry date is reached, the status of the usage changes to In Review .
Regulation	Select the regulation that governs the Usage by selecting the check box adjacent to the regulation name from the drop down list. Following are examples of available regulations: <ul style="list-style-type: none"> • MiFID • BASEL • Patriot ACT • SOX • Dodd Frank Rule The selected regulation(s) are listed as comma separated values in the field.
Usage Type	Select the usage type from the drop-down list. The available usage types are: <ul style="list-style-type: none"> • Statistical • Behavioral • Mathematical • Regression
Developed By	Enter the name of the Usage developer.
Tier	Select the Usage tier from the drop down list. The available values are: <ul style="list-style-type: none"> • Tier One • Tier Two • Tier Three • Tier Three Note: Usage tier should not be higher than the tier of the associated Model.
Platform	Enter the repository name, where the data files for the Usage is available.
Governance Committee	Select the Governance committee based on the risk category from the drop-down list.
Software	Select the software for the Usage from the drop-down list.

Table 4-16 (Cont.) Usage Management Details

Field	Description
Restriction on Use	Enter the restrictions on using the Usage. The maximum allowed characters are 3000.
Assumptions	Enter the assumptions based on the Usage. The maximum allowed characters are 3000.
Known Limitation	Enter any known limitation of the Usage. The maximum allowed characters are 3000.
CFO	Enter the Chief Financial Officer name. The maximum allowed characters are 300. Note: CFO is enabled when Regulation is selected as SOX.
CFO Designate	Enter the Deputy Chief Financial Officer name. The maximum allowed characters are 300. Note: CFO Designate is enabled when Regulation is selected as SOX.
SOX Control #	Enter the reference number for SOX Control. The maximum allowed characters are 300. Note: SOX Control # is enabled when Regulation is selected as SOX.
SOX Financial Statement Ref #	Enter the reference number for SOX Financial Statement. The maximum allowed characters are 300. Note: SOX Financial Statement Ref # is enabled when Regulation is selected as SOX.
Model Usage Algorithm	Attach the document associated with Model Algorithm. Note: This field is noneditable. On uploading a document of the Document type, the name of latest document of the document type is displayed.
Business Case for Model Usage	Attach the document associated with Business Case for ModelUsage. Note: This field is noneditable. On uploading a document of the Document type, the name of latest document of the document type is displayed.
Comments	Enter the comments based on the latest approval or rejection action on Usage.

The **Comment** field displays the latest actions performed on the Usage. This remains blank, in case of a new Usage.

3. Click Save As Draft.

The Usage Definition is saved and the Usage Details are displayed as shown in the following figure:

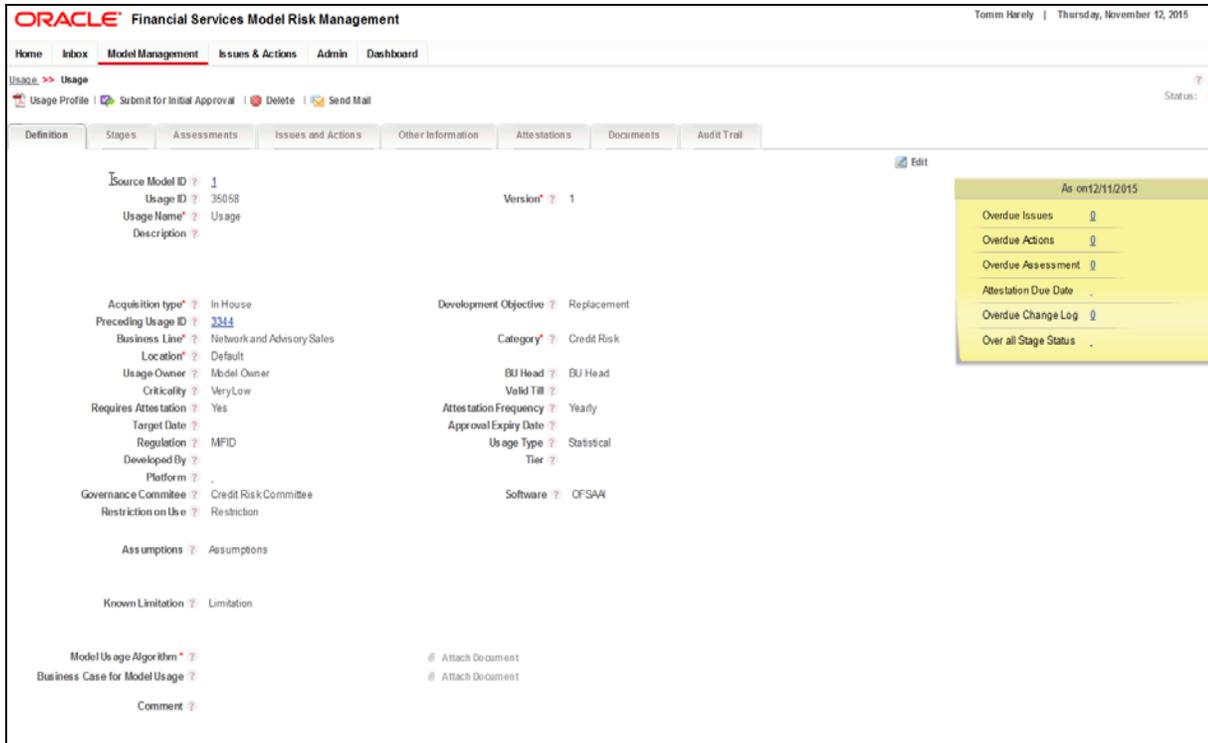


Figure 4–2 Usage Details Screen

The saved Usage is displayed in the *Usage Management* window. You can click the **Usage ID** link to view the details. The Status of a saved definition changes to Draft and is displayed on the top right corner of the *Model Management Details* window.

4.5.2.2 View Usage Definition

A pre defined Usage definition can be viewed from the *Usage Management* window.

To view the details of a pre-defined Usage definition from the *Usage Management* window:

Click the **Usage ID** of the definition you want to view.

The Usage Definition details are displayed in *Usage Management Details* window.

4.5.2.3 Edit Usage Definition

You can edit a saved Usage definition created by you, and is in **Draft**, **In Review**, or **In Development** status, from the *Usage Management* window.

Analyst can edit a saved Usage definition, if it is in **In Development** status.

To edit a Model definition from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of the Usage definition, which is to be edited.

The *Usage Management Details* window is displayed.

2. Click the **Edit** button from the *Definition* tab.

Note: You can edit all the fields of a Usage definition which is in **Draft** status and all the fields except Usage ID, Version, Source, Development Objective, and Preceding Usage ID of a Usage definition which is in **In Development, In Review, or Rejected and Rework** status.

For more information, refer to [Create Issue](#) section.

3. Once all the necessary details are updated, click **Update** button.

The Usage definition details are updated.

4.5.2.4 Submit Usage for Initial Approval

A Usage definition, which is in **Draft** or **Rejected** status, whose Source is **In House** or **Hosted** has to be submitted for initial approval. Only a user who has Idea Approver role assigned can approve a Usage definition.

To send a Usage definition for approval from the *Usage Management* window, perform the following actions:

1. Click the **Usage ID** of the Usage definition, which is to be sent for initial approval.
The Usage definition details are displayed.
2. Click **Submit for initial Approval** button.
3. The *Usage Initial Approval* dialog box is displayed.
4. Select the Initial Approver by clicking **Browse** button and selecting the user from *Hierarchy Browser* window.
5. Enter the required comments in Comments field.
6. Click **Submit**.

The Usage definition has been submitted for initial approval.

4.5.2.5 Submit Usage for Approval

A Usage definition, whose status is in **In review, In Development, and Rejected and Rework** has to be submitted for approval. Only a user who has Usage Approver role assigned can approve a Usage definition.

It is mandatory to schedule an assessment before Usage can be submitted for approval.

To send a Usage definition for approval from the *Usage Management* window, perform the following actions:

1. Click the **Usage ID** of the Usage definition, which is to be sent for approval.
The Usage definition details are displayed.
2. Click **Submit for Approval** button.
3. The *Usage Approval* dialog box is displayed.
4. Select the Approver by clicking **Browse** button and selecting the user from *Hierarchy Browser* window.
5. Enter the required comments in Comments field.
6. Click **Submit**.

The Usage definition has been submitted for approval.

4.5.2.6 Submit Usage for Review

A Usage created by Usage Creator has to be moved to **In Review** by analyst for any minor updates in Usage definition or change in assessment schedule. Any change to Usage in **In Review** status can be done only by Analyst.

Note:

- Submitting a Usage definition for review prevents the creation of Scheduled assessment task, until review is complete.
 - A Usage is moved to In review status either by ad hoc method of clicking on review or it automatically moves to In review on Approval expiry date.
-
-

To mark a Usage definition for review from *Usage Management* window:

1. Click the **Usage ID** of the Usage definition, which is to be marked for review.
The *Usage Management Details* window is displayed.
2. Click **In Review** button.
A confirmation dialog box is displayed.
3. Click **OK**.
The Usage definition is submitted for review and the status of the definition changes to **In Review**.

4.5.2.7 Attest Usage

Usages are attested by the Usage Owner and are approved by the BU Head to affirm and confirm the working, relevance, and use of Model for its intended business. Only approved Usages which are in **In Use**, **In Review**, and **Pending Approval** status can be attested.

Attestation is generated only if the Questionnaire is available. The latest questionnaire must be in the **Open** status.

Note: BU Head can attest a Usage through the task which is generated 30 days prior to the attestation due date or from the Attestation section of the Model Management module.

To attest a Usage from the *Usage Management* window:

1. Select the check box adjacent to a Usage ID, which is in **Draft** status.
2. Click the **Attest** button.
The *Usage Details Management* window is opened with *Attestation* tab enabled.
The *Attestation* tab lists a new attestation with an ID and status New.
3. Click the **ID** of the attestation with status **New**.
The attestation is open for edit and the available assertions are displayed.
4. Select the **Effective To** date from the [Calendar](#).

Note: The **Effective From** date is auto populated with the date, after the End Date of the previous attestation.

5. Select the check box adjacent to the assertions you want to respond to.

Note: You can click the check box adjacent to the *Assertions* grid, and respond to all the assertions.

6. Respond to the assertions with **Yes** or **No**.
7. Enter necessary comments.
8. Click **Save** button. The attestation is saved and the status is changed to **Draft**.

You can also click **Submit** button to save and submit the attestation.

On submit, the status of the attestation is changed to **Completed**.

The **Usage Attestation** menu navigates you to the list of Usages to be attested. The list displays only those Usages which the logged in user can attest.

The Models to be attested are listed with the following details:

Table 4-17 Usage Attestation Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Usage ID	Enter the Usage ID.
Version	Enter the version of the new Usage.
Usage Name	Enter the required name of the new Usage.
Usage Status	Select the status of the drop-down list: The available options are: <ul style="list-style-type: none"> • Draft • Pending Approval • Rejected • In Review • Pending Reinstate Approval • Rejected and Rework • Retired • Pending Retire Approval • In Development • In Use • Pending Insitial Approval
Business Line	Select the Business Line from the <i>Hierarchy Browser</i> window by clicking Browse .
Category	Select the Category from the <i>Hierarchy Browser</i> window by clicking Browse .
Usage Owner	Select the user who owns the Usage, from the <i>Hierarchy Browser</i> window by clicking Browse .

Table 4-17 (Cont.) Usage Attestation Details

Field	Description
Assessment Type	<p>Select the Assessment Type from the drop-down list:</p> <p>The available options are:</p> <ul style="list-style-type: none"> • Select All • Back Testing • Control • Evaluation of Conceptual Soundness • Ongoing Monitoring • Outcome Analysis • Result
Criticality	<p>Select the criticality of the Usage from the drop-down list:</p> <p>The available options are:</p> <ul style="list-style-type: none"> • Very Low • Low • Medium • High • Very High
Target Date	<p>Select the target date from the Calendar.</p> <p>The equality operator drop-down will have the following signs:</p> <ul style="list-style-type: none"> • < • <= • = • > • >=
Usage Tier	<p>Select the values from the drop-down list:</p> <ul style="list-style-type: none"> • Select All • Tier One • Tier Two • Tier Three • Tier Four
Last Modified Date	<p>Select the Last Modified Date from the Calendar.</p> <p>The equality operator drop-down will have the following signs:</p> <ul style="list-style-type: none"> • < • <= • = • > • >=

You can search for a specific Usage or a set of Usages from the *Usage Attestation* window. For more information, see [Search and Filter](#) section.

To attest a Usage from the *Usage Attestation* window, perform the following actions:

1. Select the check box adjacent to a Usage ID, which you want to attest.

2. If you have selected multiple Usages for attestation, ensure that all these Usages belong to the same Business Line and Category.

You can also select the check box adjacent to the Usage ID tab to select all the Usages for bulk attestation if all the Usages belong to same Business Line and Category.

3. Click the **Attest** button.

The *Business Unit Attestation* window is displayed.

The *Business Unit Attestation* window displays the Usage List grid with the list of selected Usages and the *Business Unit Head Attestation Details* grid with required Assertions.

4. Select the check box(s) adjacent to the serial number(s) of the required Assertion(s) and enter the response(s) and comment(s).

You can also select the check box adjacent to the Sl. No. tab and choose all the Assertions.

Upon entering the details, at any point of time, you can click the **Save** button to save the entered details.

5. Enter the required comments in the **Comments** field.

6. Click **Approve** button.

The selected Usages are attested.

4.5.2.8 Create Issue

Issues can be assigned to a Usage, which is in **In Use** status if the user is mapped to Issue Creator role.

To create an Issue for a Usage in use, from the *Usage Management* window perform the following steps:

1. Click the Usage ID of a Model definition, about which you want to report an Issue.

The Usage definition is displayed in *Usage Management Details* window.

2. Click **Create Issue** button.

The *Issue Details* window is displayed.

3. Populate the required Issue Details. For more information, refer to [Create Issue](#) section.

4.5.2.9 Usage Details Management

You can incorporate additional details such as Products, Source and Output details, Stages, Assessment Schedule, linkage of Issues and Actions, Attestation details, and Document attachment, to a Usage for its further Usage. *Usage Management Details* window allows you to perform these actions.

The actions that are possible on a Usage from the *Usage Management Details* window are the following:

- [Define Source Details](#)
- [Define Output Details](#)
- [Link Stages](#)
- [Save Sequence of the Stages](#)
- [Inherit Stages](#)
- [Schedule Assessment](#)
- [Link Issues and Actions](#)

- [Other Information](#)
- [Attach Documents](#)
- [Audit Trail](#)

You can download the profile report of a Usage definition which provides all the details associated with the selected definition. For more information, refer to [View Profile Reports](#) section.

4.5.2.9.1 Define Source Details

Source section in *Usage Management Details* window fetch the Usage source and Usage upstream details of a Usage definition.

To link the Usage source details from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to link the input details.
The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.
2. Expand the *View More* section by clicking the + button.
3. Further expand the *Source* section by clicking the + button.
4. Link the Usage sources by clicking the **Link** button and selecting the source members from the *Hierarchy Browser* window.

The selected members are displayed under *Input* grid.

From the *Input* grid, you can also select the check box adjacent to a member and perform the following actions:

- Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.
- Provide the necessary comments under the *Comments* tab and click **Save** button to save the comments for the member.
- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the Source details.

To link the upstream Usage source details from the *Source* section, follow these steps:

1. Link the upstream Usages by clicking the **Link Usage** button. The *Upstream Usage* window is displayed.

In the *Upstream Usage* window, you can search for a set of Models using the Usage ID, Usage Name, Version, Business Line, Category, and Usage Owner details. For more information, refer to [Search and Filter](#) section.

2. Select the required Models by selecting the check box adjacent to the Usage ID's and clicking the **Link** button.

The selected Models are listed under *Upstream Models* grid with the Usage ID, Name, Version, Business Line, Category, Status, and Criticality details.

You can also Delink a selected Usage by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

4.5.2.9.2 Define Output Details

Output section in *Usage Management Details* window fetch the intended use and Usage downstream details of a Usage definition.

To link the Usage output details from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Model to which you want to provide Output and Intended Use and downstream Usage details.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Expand the *View More* section by clicking the + button.
3. Further expand the *Output* section by clicking the + button.
4. Link the Usage Output and Intended Use by clicking the **Link** button and selecting the source members from the *Hierarchy Browser* window.

The selected members are displayed under *Intended Use* grid.

From the *Output and Intended Use* grid, you can also select the check box adjacent to a member and perform the following actions:

- Delink a member by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.
- Provide the necessary comments under the *Comments* tab and click **Save** button to save the comments for the member.
- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the member.

To link the downstream Usage details from the *Output* section, follow these steps:

1. Link the downstream Usages by clicking the **Link Usage** button. The *Downstream Usages* window is displayed.

In the *Downstream Usages* window, you can search for a set of Usages using the Usage ID, Usage Name, Version, Business Line, Category, and Usage Owner details. For more information, refer to [Search and Filter](#) section.

2. Select the required Usages by selecting the check box adjacent to the Usage IDs and clicking the **Link** button.

The selected Usages are listed under *Downstream Usage* grid with the Usage ID, Name, Version, Business Line, Category, Status, and Criticality details.

You can also Delink a selected Usage by clicking the **Delink** button and clicking **OK** in the confirmation dialog box.

4.5.2.9.3 Link Stages

Usage Development Stages are activities involved in developing and building Usages. Usage Creator and Usage Owner can link the Stages, which are appropriate for the Usage to be developed. Stages can be linked to a Usage when it is in, **In Development** status.

If all the Stages linked to the Usage and the Usage definition submitted for approval by the Analyst are approved by the Usage Approver, the status of the Stages changes to be **Completed**. The Analyst has to submit the Usage to Usage Approver for approval. Once submitted, the status is changed to **Pending Approval**. After approval, the Usage is changed to **In Use** status.

To link Stages to an approved Usage which is in **In Development** status from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage, to which you want to link Stages.

Note: Ensure that the Usage definition you have selected is in **In Development** status.

The *Usage Management Details* window is displayed. By default, the *Definition* tab with the basic Usage definition details are displayed.

2. Click **Stages** tab.

The *Stages* tab is enabled.

The *Stages* tab displays the Usage ID, Usage Name, Status, Version, Usage Owner, and BU Head details.

3. Click **Link Stages** button from the *Stages* grid.

The *Stages* window is displayed.

The *Stages* window lists all the available Stages.

4. Select a Stage by clicking the check box adjacent to the required Stage(s) and clicking **Link** button.

The selected Stages are linked to the Usage and are displayed in *Stages* tab with the details such as Stage ID, Stage Name, Status, Owner, Approver, Start Date, End Date, Sequence number, Review Cycle, and Checklist.

All the selected Stages are assigned with Stage IDs. You can click these IDs to view the Stage definition details.

The Stage Definition Details window displays the Stage Name, Stage Status, Usage ID, Usage Name, Stage Owner, and Stage Approver details. For a Usage definition in **In Development** or **Reject and Rework** status, you can update the Stage Owner and Stage Approver details by clicking the **Browse** button and selecting the users from the [Hierarchy Browser](#) window.

The Stage Activities details, Documents List, and Audit Trail details are displayed in the *Stages* tab.

To create a new Activity from the *Stage Definition Details* window, perform the following:

1. Click the **Create New** button from the *Activities* grid.

The *Stage Activities* window is displayed.

2. Select the required activity among the available list of activities from the **Choose Activity** drop down list.

3. Enter the required comments in the **Comments** field.

4. Click **Add** button in the *Stakeholders* grid and select the required stakeholders from the [Hierarchy Browser](#) window.

The selected stakeholders are displayed in the *Stakeholders* grid with the details such as Name, Activity Type, and Due Date.

You can select the check box adjacent to a stakeholder name and update the Activity Type and Due Date. Save the changes by clicking the **Update Task Due Date** button.

5. Click the **Attach Document** button and select a document to upload by providing the Component, Type, Logical File Name, document path, and clicking **Attach Document** button.

6. Click **Submit** in the *Stage Activities* window.

The Activity is saved and is displayed under *Actives* grid of the *Stage Definition Details* window with the details such as Date, By, Activity, Comments, and Upload details.

You can add documents to an Activity by clicking the **Add Documents** hyperlink in the Upload tab, adjacent to each Activity and providing the following details:

Table 4-18 Add Documents Details

Field	Description
Component	The component is auto populated as Usage Development Stages , as the document upload is being performed for a Stage definition.
Type	Select the type of the document from the drop down list. The available values are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures • SOP • User Manual • Assumptions • Algorithm • Validation Result • Back Test Result • Limitations • Implementation and Use • Others • Evidences • Organization Risk Management Policy • Dataset • Sample Data • Model Calibration document • Review Document • Model Theory • Implementation document • Results • Model Algorithm • Business Case for Model • Model Usage Algorithm • Business Use for Model Usage
Security	Select the required security type by selecting any of the following options: <ul style="list-style-type: none"> • Public • Read Only • Restricted
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking Browse button and selecting the file.

To attach a document to the Stage definition from the *Stage Definition Details* window, perform the following:

1. Click **Attach Document** button from the *Documents List* grid.

The *Attach Documents* window is displayed.

2. Populate the form details as tabulated:

Table 4-19 Attach Documents

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is auto populated as Usage Development Stages , as the document upload is being performed for a Stage definition.
Type	Select the type of the document from the drop down list. The available values are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures • SOP • User Manual • Assumptions • Algorithm • Validation Result • Back Test Result • Limitations • Implementation and Use • Others • Evidences • Organization Risk Management Policy • Dataset • Sample Data • Model Calibration document • Review Document • Model Theory • Implementation document • Results • Model Algorithm • Business Case for Model • Model Usage Algorithm • Business Use for Model Usage
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking Browse button and selecting the file.

3. Click **Attach File**.

The selected document is uploaded and is displayed under *Documents List* grid with the details such as Document Name, Document, Version, Document Type, Activity, By, and Date & Time.

You can select the check box adjacent to a document and click the **Delete** button to remove a document.

The *Audit Trail* grid displays the history of actions performed on the Stage definition with the details such as Date and Time, Action, Action By, and Status.

Click the **List Stages** button at the top right corner of the *Stage Definition Details* window to navigate back to the Stage list window.

From the *Stages* tab, you can also select the check box adjacent to a **Stage ID** and perform the following actions:

- Delink a Stage by clicking the **Delink Stage** button and clicking **OK** in the confirmation dialog box.

Note: You can delink only those Stages which are in **Draft** status.

- Assign Approver and Owner role by clicking **Assign Approver/Owner** button and selecting the users from the *Hierarchy Browser* window and enter the description for the stage in the **Description** text field.
- Revert the comment changes to previously saved value or clear the comments by clicking **Clear** button, before you save the member.

The checklist items for each Stage can be viewed in the *Checklist* window, by clicking the **Checklist** hyperlink adjacent to each Stage definition listing.

You can also export the Stage definitions to a spreadsheet and wrap/unwrap Stage definitions listing. For more information, refer to [Export Definitions](#) and [Wrap/Unwrap Item List](#) sections.

For more information on creation of Stages, refer to [Reference Data Management](#) section in *Admin* chapter.

4.5.2.9.4 Save Sequence of the Stages

Stages can be saved in a sequence when the model is **In Development**, **Rejected**, **Reworked**, and **In Review** status and the stages are in **Draft**, **In Progress**, and **Rejected** status.

Note: At least one stage must be linked to the model. When the stage is linked to the model for the first time, the Review Cycle is updated as Review Cycle1. The Review Cycle is incremented everytime the stage is linked again, as a part of Reviews.

Users mapped to the role of Model Creator or Model Owner can update and save the stages in a sequence.

Under the *Stages* grid, details of the stages such as Stage ID, Stage Name, Owner, Approver, Start Date, End Date, Sequence Number, Review Cycle, Status, and Checklist are available.

To save the stages in a sequence, follow these steps:

1. Select a stage by clicking the checkbox adjacent to the required stage. The sequence column becomes editable.
2. Enter the sequence number.

Note: This field accepts only whole numbers.

3. Click **Save Sequence** from the *Stages* grid.

The sequence is saved for the stage for this model. Based on the sequence provided in ascending order, the task is sent to the stage which is first. The task is sent to the next stage(s) only on completion of the first stage. If two or more stages have the same sequence numbers, such stages is initiated at the same time. On completion of both such stages, the next stage is initiated. The Start Date of the first stage is when the Owner and Approver are assigned and the End Date of the stage is updated, when the stage is approved by the Approver. The Start date of the next stage in the sequence should be the end date of the previous stage.

If a new stage is linked along with existing stages, the following check should be performed when saving the sequence:

- If the sequence number is an incremental value, from all the past stages, allow the Saving of sequence with a message: *Update operation successful.*
- If the sequence number is less than or equal to the sequence number of any Stage which is in In Progress status, provide an alert message: *Provide a sequence number which is greater than the Stages which are in progress to save the sequence.* This message does not allow the user to save the sequence until the condition exists.

On clicking **Initiate Stage**, if the stage sequences are set and the Owner and Approver of the stages are assigned, a task is sent to the Owner of the stage, which is the first stage based on the sequence if the stages are in draft status.

No tasks are sent to the Owner and the Approver under the following conditions:

- If a user clicks the **Initiate Stage** before assigning the sequence, Owner, and Approver for all the linked stages, an alert message is displayed: *Provide the sequence, Owner and Approver for all the linked stages, to Initiate the stage Tasks.*
- If a user clicks the **Initiate Stage** when the linked stages are **In progress** or **Approved**, an alert message is displayed: *Stages are already initiated for the current cycle.*

4.5.2.9.5 Inherit Stages

Stages can be inherited from the preceding Usage definition and associated Models, when the Usage definition is in **In Development** status.

To inherit Stages from the preceding Usage definition, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to inherit Stages from the preceding Usage.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click **Inherit Stages** button.

A confirmation dialog box is displayed. Click **OK**.

The Stages from the preceding definition are inherited and is displayed under *Stages* tab.

4.5.2.9.6 Managing Assessment

This section provides information about managing Assessment of the MRM application and step-by-step instructions to use this section.

This section includes the following topics:

- Scheduling Assessment
- Managing Validity and Usage Tier

- Creating Assessment
- Managing Individual Assessments
- Managing Aggregated Assessments

4.5.2.9.6.20 Scheduling Assessment

Assessment functionality of OFSMRM facilitates you to perform assessments on defined Usages and arrive at ratings. You can schedule the assessment of a Usage from the *Usage Management* window, if all the linked Stages of the Usage definition are approved. The assessment can be scheduled only for those Usages which are in **In Development, Rejected and Rework**, and **In Review** status.

To schedule assessment of a Usage from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to schedule an assessment.

The *Usage Management Details* window is displayed. By default, the *Definition* tab with the basic Usage definition details are displayed.

2. Click **Assessments** tab.

The *Assessments* tab is enabled.

The *Assessments* tab displays the Usage ID, Usage Name, Status, Version, Usage Owner, and BU Head details.

4.5.2.9.6.21 Managing Validity and Usage Tier

The *Validity and Usage Tier* grid in the *Assessments* tab enables you to modify Validity and Model Tier, follow these steps:

1. Expand Validity and Model Tier section.
2. Click **Edit** to enable Validity and Model tier details section.
3. Modify following details:

Table 4-22 Usage Assessment Details

Field	Description
Usage Tier	Usage Tiering is based on factors such as reliance and uncertainty of the Usage. Tiering assessment can be performed once the tool has been acknowledged as a Usage. Select the Usage tier from the drop-down list. The available values are: <ul style="list-style-type: none"> • Tier One • Tier Two • Tier Three • Tier Four

Table 4-22 Usage Assessment Details(Cont.)

Field	Description
Tier Template	<p>You can update the tier template from the <i>Validity and Usage Tier</i> grid by performing the following steps.</p> <ol style="list-style-type: none"> 1. Click the Tier Template hyperlink adjacent to the Usage Tier field. <p>The <i>Tier Templates</i> window is displayed with the available list of templates.</p> <ol style="list-style-type: none"> 2. Select the check box adjacent to the required Tier Template and click Next. <p>The <i>Tier Template</i> window with the questionnaire is displayed. The questions are segregated in sections such as General, Exposure, Reliance, and Uncertainty Assessment.</p> <ol style="list-style-type: none"> 3. Answer all the questions and provide the necessary comments. 4. Click Submit. <p>In the Tier Template window, you can also perform the following:</p> <ul style="list-style-type: none"> • Click Review and review the answers and comments you have provided for each question. • Click View Documents/Hide Documents to toggle the view of related documents in the <i>Documents</i> grid. • Click Save to save the answers and comments before submitting. <p>A recommended tier for the Usage definition is assigned, based on the responses. User can opt to keep the recommended Tier or manually change the tier later.</p>
Valid Till	<p>Select the date of validity of the Model for business use from the Calendar.</p>

4. Click **Save**. The details are updated.

4.5.2.9.6.23 Creating Assessment

The *Assessment* grid in the *Assessments* tab enables you schedule an assesment and create Ad Hoc assessment. The *Assessment* grid also allows you to delete and terminate an assessment.

This section covers following topics:

- Setting up Assessment type
- Creating Adhoc Assessment
- Delete Assessment
- Terminate Assessment

Scheduling Assessment Type

To schedule an assessment type, follow these steps:

1. To schedule the assessment for a selected Usage, click **Schedule Assessment Type** from the *Assessments* grid.

The *Usage Assessment* window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4-24 Usage Assessment Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
ID	The ID of the assessment is auto populated and this field is not editable.
Type	<p>Select the type of the assessment from the drop down list. The available values are:</p> <ul style="list-style-type: none"> • Control • Evaluation of the Conceptual Soundness • Ongoing Monitoring • Outgoing Analysis • Tier Template <p>If the assessment type is selected as Tier Template, only those users mapped to the role of Analyst will be displayed and you will be able to select only one user.</p> <p>For other assessment types, only those users mapped to the role of Assessor will be listed and you will be able to select multiple users.</p>
Assessment Start Date	Select the start date of assessment from the Calendar.
Prior Notification	Enter the number of days for the notification to be sent prior to the assessment execution.
Frequency	<p>Select the assessment frequency from the drop down list. The available values are:</p> <ul style="list-style-type: none"> • Monthly • Quarterly • Half Yearly • Yearly • Biennial
Assessment End Date	Select the end date of assessment from the Calendar.

3. Click Save.

The assessment is saved.

Once the assessment is scheduled, the *Assessors* and *Questionnaire* grids are enabled in the *Usage Assessment* window.

4. Add assessors by clicking **Link button in the *Assessors* grid and selecting the user from the Hierarchy Browser window.**

You can also select the check box adjacent to an Assessor and click **Delink** to remove the selected Assessor.

5. Select the Questionnaires by clicking **Link button in the *Questionnaire* grid.**

The *Link Questionnaire* window is displayed. It is mandatory to link a questionnaire. The linked questionnaire is sent to the assessor to respond during the assessment.

You can search for a particular Questionnaire by providing the Questionnaire ID, Questionnaire Name, Created From, or Created To details. For more information, refer to Search and Filter section.

For more information regarding Questionnaires, refer to Questionnaire section from the *Admin* module.

6. Select the check box adjacent to the **Questionnaire ID**.
7. Click **Link**.

The selected Questionnaire is displayed under *Questionnaire* grid of *Usage Assessment* window.

You can also select the check box adjacent to an **ID** and click **Delink** to remove the selected Questionnaire.

8. Click **Back**.

The Usage assessment is scheduled and the schedule is displayed under *Assessments* grid of the *Assessments* tab.

A new assessment is saved with status **New**. The status become **Active** on the scheduled date, once the batches are executed for a Usage which has status **In Use**. Once the scheduled assessment is executed, you can change the status to **Inactive** by performing the following actions:

- Move the Usage status to **In Review**.
- Select the Active assessment and click **Terminate**.

The status of the assessment becomes **Inactive**.

Creating Adhoc Assessment

Once the assessment is complete, the assesment can be reassigned to the assessor using the *Ad Hoc assessment*. To perform Ad Hoc assessment, the Usage should be in **In Use** status and at least one assement should be schedule. The Ad hoc assessment needs to be approved by a user who has Analyst or Assessment Approver role assigned.

To perform Ad Hoc assessment, follow these steps:

1. Select the Assessment ID from the Assessment tab.
2. Click **Ad Hoc** on the Assessments grid.

Note: The Ad Hoc button is enabled when the Usage is in **Open** status and the assesment is in **Active** status.

The *Ad Hoc Assessment* window is displayed.

3. Populate the form with the necessary details as tabulated below:

Table 4-25 Ad Hoc Assessment Window Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Type	The assessment type is auto populated and this field is not editable.
Comment	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters and saved in Audit trail as action comment.
Due Date	Select the due date of assessment from the Calendar.
Assessor	Select the user from the Hierarchy Browser window in the <i>Assessor</i> grid.

4. Click **Submit**. The following message is displayed: *Updated operation successful*. Click **OK**.

The assessment is scheduled for Ad Hoc assessment.

Delete Assessment

An assessment that has not been finalized can be deleted using the Delete button. The Delete button is enabled on selecting an assessment, which is in **New** status. Once the Assessment is in **Active** status, the assessment cannot be deleted and needs to be terminated.

To delete an assessment, follow these steps:

1. Select the Assessment ID that is in **New** status.
2. Click **Delete** on the *Assessment* grid. The following message is displayed: *Deleting the assessment schedule will stop future scheduling of assessments. Are you sure to delete?* Click **Ok**.

The selected Assessment is deleted.

Terminate Assessment

An assessment can be terminated by using the Terminate button. The Terminate button is enabled on selecting an assessment, which is in **Active** status.

To terminate an assessment, follow these steps:

1. Select the Assessment ID that is in **Active** status.
2. Click **Terminate** on the *Assessment* grid. The following message is displayed: *Are you sure would like to terminate the selected Validation Schedule?.* Click **Yes**.

The selected Assessment is Terminated.

4.5.2.9.6.26 Managing Individual Assessment

Once the assessment moves to **Active** status, the respective assessors will receive task based on the start date and the schedule. The assessor can access the task from the Inbox.

Once the assessment is completed, scores get generated based on the Questionnaire answered (the questionnaire used should be score based) and rating is displayed as High/Medium/Low in Individual Assessments grid.

To perform an assessment, follow these steps:

1. Select the Scheduled Assessment which is in **Active** status from the *Assessment* grid.
2. Select the Assessment Task from the *Aggregated Assessments* grid.
3. Select the Individual Task from the *Individual Assessments* grid.

The individual Assessment window is displayed. In the Assessment window, you can perform the following:

- Submitting Assessment
- Approving/Rejecting Assessment
- Closing Assessment
- Reassigning assessment.

Submitting Assessment

An assessment can be submitted for approval when an assessment is in **New, Open, Rejected,** or **Reopened** status and all the questionnaire are answered.

To submit an assessment, follow these steps:

1. Click **Submit for Approval** in the individual Assessment window.

The Submit for Approval window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4–27 *Submit for Approval Window Details*

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	Select the user from the Hierarchy Browser.
Due Date	Select the due date of assessment from the Calendar. By default, system populates 5 days from the system date.
Comments	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?*
Click **OK**.

The assessment is submitted for approval. The comments entered will be saved in the Approval/Rejection comments field in the Usage details page. On successfully submitting an Assessment, the status of the Assessment changes to **Pending for Approval** and task is sent to the approver.

Approving/Rejecting Assessment

Approving/Rejecting Assessment is approving or rejecting an Assessment. An assessment can be approved or rejected when it is in **Pending for Approval** status and the Usage to which the assessment is linked should not be in **Retired** status. A user selected when submitting the assessment who has Assessment Approver role and who shares at least one common Business Line and Category of the Model to which the Assessment is linked, can approve or reject the assessment.

The Approve/Reject button is enabled only when the assessment is in **Pending for Approval** status.

To approve an assessment, follow these steps:

1. Click **Approve** in the individual Assessment window.

The Approve Assessment window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4–28 *Approve Assessment Window Details*

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Comments	Enter any comment or other information related to the assessment. The comment will be saved and displayed in workflow history as well as in the Comments grid. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?*
Click **OK**.

The assessment is Approved and status is marked as **Approved**. Notification will be sent to the Assessor and user who has Assessment Approver role.

To reject an assessment, follow these steps:

1. Click **Reject** in the individual Assessment window.
The Reject Assessment window is displayed.
2. Populate the form with the necessary details as tabulated below:

Table 4–29 Reject Assessment Window Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment ID is auto populated and this field is not editable.
Assign To	The Assign to is auto populated with the user who submitted the Assessment task.
Comments	Enter any comments or other information related to the assessment. The comment will be saved and displayed in workflow history as well as in the Comments grid. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?*
Click **OK**.

or

Click **Reset**. The values are set to default value.

The assessment is rejected and status is marked as **Reject**. Once the assessment is in Reject status, task is sent to assessor and he can resubmit for assessment.

Closing Assessment

Closing Assessment is closing of an Assessment. An assessment can be closed when it is in **New** or **Open** status and the Usage to which the assessment is linked to should not be in **Retired** status. An Assessor of the Assesment or a user who has Assessment Approver role, who share at least one common Business Line and Category of the Usage to which the Assessment is linked, can close the assessment.

The Close button is enabled only when the assessment is in **New** or **Open** status.

To close an assessment, follow these steps:

1. Click **Close** in the individual Assessment window.
The Close Assessment window is displayed.
2. Populate the form with the necessary details as tabulated below:

Table 4–30 Close Assessment Window Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Comments	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 300 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?*
Click **OK**.

or

Click **Reset**. The values are set to default value.

The assessment is closed and status is marked as **Closed**.

Reassigning Assessment

Reassigning Assessment is assigning an Assessment to another Assessor for reassessment. Reassigning of an assessment can be performed when an assessment is in **New**, **Open**, **Rejected**, or **Reopened** status and the Usage to which the assessment belongs to should not be in **Retired** status. An Assessor of the Assessment or a user who has Assessment Approver role, who share at least one common Business Line and Category of the Usage to which the Assessment is linked, can reassign the assessment.

The Reassign button is enabled only when the assessment is in **New**, **Open**, **Rejected**, or **Reopened** status.

To reassign an assessment, follow these steps:

1. Click **Reassign** in the individual Assessment window.

The Reassign window is displayed.

2. Populate the form with the necessary details as tabulated below:

Table 4-31 Reassign Window Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
Assessment ID	The assessment type is auto populated and this field is not editable.
Assign To	Select the user from the Hierarchy Browser .
Comments	Enter any comments or other information related to the assessment. This field allows you to enter a maximum of 255 characters.

3. Click **Save**. The following message is displayed: *Would you like to Save these actions?* Click **OK**.

or

Click **Reset**. The values are set to default value.

The assessment is reassigned to the selected Approver and notification is sent. The comments entered will be saved in the Approval/Rejection comments field in the Usage details page.

4.5.2.9.6.32 Managing Aggregated Assessment

Once the assessment is completed, aggregated scores get generated based on the Questionnaire answered (if the Questionnaire is score based) and aggregated rating is displayed as High/Medium/Low in the *Aggregating Assessment* grid. All the completed assessments need to be approved by a user who has Assessment Approver role assigned.

4.5.2.9.7 Link Issues and Actions

You can link Issues and subsequent Actions to a Usage definition.

To link Issues to a Usage definition from *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to associate Issues and Actions.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click the *Issues and Actions* tab.

The *Issues and Actions* tab is enabled.

3. Click the **Link** button from the *Issues* grid.

The *Issues* window is displayed.

You can use the search parameters in the *Issues* window to search and find a particular Issue or a set of Issues. For more information, refer to [Search and Filter](#) section.

4. Select the check boxes adjacent to the Issue IDs, you want to link to the Usage definition.
5. Click **Link** button.

The selected Issue(s) are linked with the Usage definition and are listed under *Issues* grid in *Issues and Actions* tab of *Usage Details Management* page.

The Issues are listed with details such as Issue ID, Issue Name, Type, Creator, Owner, CCY, Estimated Cost, Target Date, Last Modified, and Status.

You can view the Actions associated with each Issue by selecting the check box adjacent to the **Issue ID**.

The associated Actions are displayed under *Actions* grid.

You can also select the check box adjacent to an **Issue ID** and click **Delink** button in the *Issues* grid to delink an Issue from the Model definition.

4.5.2.9.8 Other Information

The *Other Information* tab helps you to track any amendments made to the Usage definition. This is possible only in a definition, which is in **In Use** status.

To create a new log information for a Usage definition, which is in **In Use** status, follow these steps:

1. Click the **Usage ID** of a Usage to which you want to associate a change log.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click the **Other Information** tab.

The *Other Information* tab is enabled.

This tab displays the available change log details under *Change Log* grid.

The *Other Information* tab also displays the Usage ID, Usage Name, Status, Due Date, Source, Owner, Created By, and Closed on details.

3. By default the Change Log Details form is in editable status. Alternatively, you can click **Create New** button to log a change.
4. Populate the form details as tabulated below:

Table 4-33 Change Log Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
ID	The ID for a new change log is auto populated. This field is not editable.
Name	Enter the name for the change log.
Source	Select the source from the drop down list. the available options are: <ul style="list-style-type: none"> • Internal • External

Table 4-33 *Change Log Details*

Field	Description
Owner	Select the owner of the change log from the <i>Hierarchy Browser</i> by clicking Browse button.
Due Date	Select the due date from the <i>Calendar</i> .
Status	The status of a new change log is always set to Draft . This field is not editable.
Created By	This field is populated with the name of the user, who creates the change log. This field is not editable.
Created On	This field is auto populated with the current date. This field is not editable.
Description	Enter a description about the change log.
Closing Note	This field is not editable when you create the change log draft. Once saved as draft, you can enter the closing note and submit the change log. Note: This field is active only if you have Change Owner role assigned.

5. Click **Save as Draft** to save the draft and submit later for approval.

The change log is saved in **Draft** status.

Or

Click **Submit** to submit the change log for approval.

The change log is saved in **Open** status.

A change log in Draft status can be updated and submitted for approval.

To submit a change log:

1. Select the check box adjacent to the Change Log ID, which is in **Draft** status.

The change log is open for edit under *Change log Details* grid.

2. Enter/modify the details as required.
3. Click **Update** button to save the changes.
4. Click **Submit**.

The change log is saved with updated details and submitted to the Change Owner. The status of the change log is changed to **Open**.

Once submitted, the Change Owner can review the change log and close it after providing necessary information in the **Closing Note** field. The status of such a closed change log moves from **Open** to **Closed**. The Change Owner can also reassign a change log to another user.

4.5.2.9.9 Attach Documents

You can attach any documents related to a specific Usage definition. There are two ways in which you can associate a document with a Model definition.

- Upload a new document
- Link an existing document to the Model definition

To attach a document by uploading it from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage for which you want to upload supporting documents.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click *Documents* tab.

The *Documents* tab with *Documents* and *Stage Documents* grid is displayed.

3. Click **Attach Document** button from the *Documents* grid.

The *Attach Documents* window is displayed.

4. Populate the form details as tabulated:

Table 4-34 *Attach Documents Details*

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is auto populated as Model Usage Development , as the document upload is being performed for a Usage definition.
Type	Select the type of the document from the drop down list. The available values are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures
Logical File Name	Enter a description for the file, which you are about to upload.
Choose a file	Choose the file to upload by clicking Browse button and selecting the file.

5. Click **Attach File**.

To link an existing document to the Usage definition from the *Documents* tab of the *Usage Details Management* window, follow these steps:

1. Click **Link** button.

The *Document* window with the currently available documents list is displayed. These documents are displayed with their ID, Name, Version, Type, and Status details.

2. Select the check box adjacent to the ID column and click **Link** button.

The selected document is linked to the Usage definition.

You can delete any of these associated documents from the Usage definition by selecting the check box adjacent to the document name and clicking **Delete** button.

4.5.2.9.10 Audit Trail

The Audit Trail section tracks and displays the history of all the changes made to the Usage. This tab records every action (save or submit) and status changes. This section facilitates you to track the changes by comparing two Actions performed on a Usage definition.

To view the audit trail details of a Usage from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage of which you want to view the audit trail details.

The *Usage Management Details* window is displayed. By default, the Definition tab with the basic Usage definition details are displayed.

2. Click *Audit Trail* tab.

The *Audit Trail* tab is displayed with the history of Actions of the selected Usage definition. The Audit Trail displays the details such as Date and Time, Action, Action By, Status, and Comments.

If there are more than one audit trail items present for a Usage, you can compare them by selecting the check boxes adjacent to the items you want to compare and clicking **Difference** button, from the *Audit Trail* tab.

4.5.2.10 Retire Usage

An active Usage definition, which is in **In Use** status and is not relevant or requires an update before it can be used again, can be retired.

To retire a Usage from the *Usage Management* window:

1. Click the **Usage ID** of a Usage definition, which you want to retire.

Note: Ensure that you have selected a Usage, which is in **In Use** status and the Usage is not linked to any Models.

The Usage definition is displayed in *Usage Management Details* window.

2. Click **Retire Model Usage** button.

The *Usage Approval* window is displayed.

3. Select the Usage Approver from the *Usage Approval* window, by clicking the **Browse** button and selecting the user from the *Hierarchy Browser* window.
4. Enter the required comments in **Comments** field.
5. Click **Submit**.

The Usage definition has been initiated for retirement and sent for approval. Once approved, the status of the Usage changes to **Retired**.

4.5.2.11 Reinstate Usage

A Usage definition, which is in **Retired** status can be reinstated for its further use. A Retired Usage can be reinstated only by the Usage Analyst and this Usage has to be approved before it can be further edited.

To reinstate a retired Usage from the *Usage Management* window, follow these steps:

1. Click the **Usage ID** of a Usage definition, which you want to reinstate.

The *Usage Details* window is displayed.

2. Click **Re Instate Model** button.

The *Usage Approval* window is displayed.

3. Select the Usage Approver by clicking the **Browse** button and selecting the user from the *Hierarchy Browser* window.
4. Provide the necessary comments.
5. Click **Submit** button.

The Usage definition has been marked for reinstatement and submitted to the selected Usage Approver for approval.

4.5.2.12 Delete Usage

Usage definition(s), which are in Draft status and no longer required can be deleted from the list.

To delete Model definition(s) from the *Usage Management* window:

1. Select the check box adjacent to the Usage ID of the definition you want to delete.

Note: You can delete a Usage definition, which is not linked or referenced elsewhere. In case the Usage definition is linked or referenced, you have to delink or remove the reference of the Usage definition and try again.

2. Click the **Delete** button.

The confirmation dialog box is displayed.

3. Click **OK** button in the confirmation dialog box.

The selected draft Usage definition is deleted and a confirmation message is displayed.

Issues and Actions

5.1 Overview

The Issues and Actions module is an integral part of the OFSMRM solution. An Issue can be defined as a problem statement and Actions are plans or activities taken up to resolve those Issues. Organizations may need to identify and track Issues whenever there is an alarming situation such as when an incident is reported, Key Indicators (KIs) are breached, risk is assessed as high, control is assessed as ineffective, regulation is breached and so on.

Action plans aim at estimating the cost involved in addressing Issues. If the cost of taking up the Action is more than the risk involved in the Issue, an organization can choose to close the Issues without any Actions.

5.2 User Roles and Actions

Different Actions that can be performed on Issues/Actions are dependent on the roles assigned to each of the users.

The following table describes the Actions that can be performed by various users in the Issue/Action development workflow.

Table 5-1 Issues/Actions User Roles and Action

User Role	Actions
Issue Creator	Creating Issue, Editing Issue, Deleting Issue, Closing Issue, and Reopening Issue
Issue Owner/Action Creator	Creating Action, Editing Issue, Transferring Ownership, and Deleting Action.
Action Owner	Editing Action and Transferring Ownership

Note: All the Actions performed on Issues and Actions are user based and users particular to each record only can be entitled to perform those Actions.

5.2.1 Tasks and Notifications in Issues

The following table lists all the tasks and notifications depending on different user roles. These tasks and notifications are received by the corresponding users in their Inbox menu, on performing a particular action.

Table 5–2 Tasks and Notificaitons in Issues

Action Performed	Task Update	Notification Update	Task or Notification Received by	Issue Status
Submitting an Issue	A Task is sent to the Issue Owner selected in the Owner field.		Issue Owner	Open
Transferring the Ownership of an Issue	A Task is sent to the new Issue Owner selected in the Transfer Ownership window.		Issue Owner	Open
Transferring the Ownership of an Issue		A Notification is sent to the Issue Creator who created the Issue.	Issue Creator	Open
Closing an Issue		A Notification is sent to the Issue Creator who created the Issue.	Issue Creator	Closed
Reopening an Issue by Issue Creator	A Task is sent to the Issue Owner selected in the Owner field.		Issue Owner	Open
Submitting an Action by Issue Owner or Action Creator	A Task is sent to the Action Owner selected in the Owner field.		Action Owner	Open

5.2.2 Tasks and Notifications in Actions

The following table lists all the tasks and notifications that each user roles will receive in their Inbox menu on performing a particular action.

Table 5–3 Tasks and Notificaitons in Actions

Action Performed	Task Update	Notification Update	Task or Notification Received by	Issue Status
Submitting an Action by Issue Owner or Action Creator	A Task is sent to the Action Owner selected in the Owner field.		Action Owner	Open
Submitting an Action by Action Owner		A Notification is sent to Issue Creator of the Issue which mapped to the Action.	Issue Creator	Open
Transferring the Ownership	A Task is sent to the new Action Owner selected in the Transfer Ownership window.		Action Owner	Open

Table 5-3 (Cont.) (Cont.) Tasks and Notifications in Actions

Action Performed	Task Update	Notification Update	Task or Notification Received by	Issue Status
Transferring Ownership		A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in stake holders tab.	Issue Owner and stake holders	Open
Completing the Progress of an Action to 100%		A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in stake holders tab.	Issue Owner and stake holders	Closed
Force closing an Action		A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in stake holders tab.	Issue Owner and stake holders	Open

5.3 Access Issues & Actions

You can access the Issues & Actions module from the OFSMRM home page. Mouse over the *Issues* tab in OFSMRM application and select either **Issues** or **Actions**.

Users mapped to the following user roles can access the *Issues & Actions* window:

- Issue Creator
- Issue Owner/Action Owner

5.4 Components of Issues and Actions

The Issues & Actions module consists of the following two components:

- [Issues](#)
- [Actions](#)

5.4.1 Issues

Issues menu under *Issues & Actions* module navigates you to the Issue List. Issue Owner has access to the Issue List screen. The list displays only those Issues which are owned by the logged in user. An Analyst has access to all the Issues in the Issue List screen. The Issue Creator role has to be tagged along with Analyst role. This is because the generic Issue creation is available only to a user mapped to the Analyst role.

The Issues are listed with following details:

Table 5-4 Issues Details

Tab Name	Description
ID	Displays the sequential tracking number of the Issue.

Table 5-4 Issues Details

Tab Name	Description
Name	Issue Name
Component	The component to which the Issue is assigned. This can either be Model or Usage .
Issue Category	Displays the specified Issue type.
Actions	Displays the number of associated Actions.
Creator	Displays the name of the Issue Creator.
Owner	Displays the name of the Issue Owner.
Target Date	Display the date on which the Issue is due to be fixed.
Status	Displays the current status of the Issue.
Last Modified	Displays the Date on which the Issue was last updated.

You can search for a specific Issue or a set of Issues from the *Issues* window. For more information, refer to [Search and Filter](#) section.

You can also export the Issue definitions to a spreadsheet and wrap/unwrap Issue definition listing. For more information, refer to [Export Definitions](#) and [Wrap/Unwrap Item List](#) sections.

The following Actions are possible from the *Issues* window:

- [Create Issue](#)
- [View Issue Definition Details](#)
- [Edit Issue Definition](#)
- [Transfer Issue Ownership](#)
- [Close an Issue](#)
- [Reopen Closed Issue](#)
- [Issue Details Management](#)
- [Delete Issue](#)

5.4.1.1 Create Issue

The Create Issue section facilitates the development/creation of a new Issue. To develop a new Issue from the *Issue* window:

1. Click **Create Issue** button from the Issues window.

The *Issue Details* window is displayed.

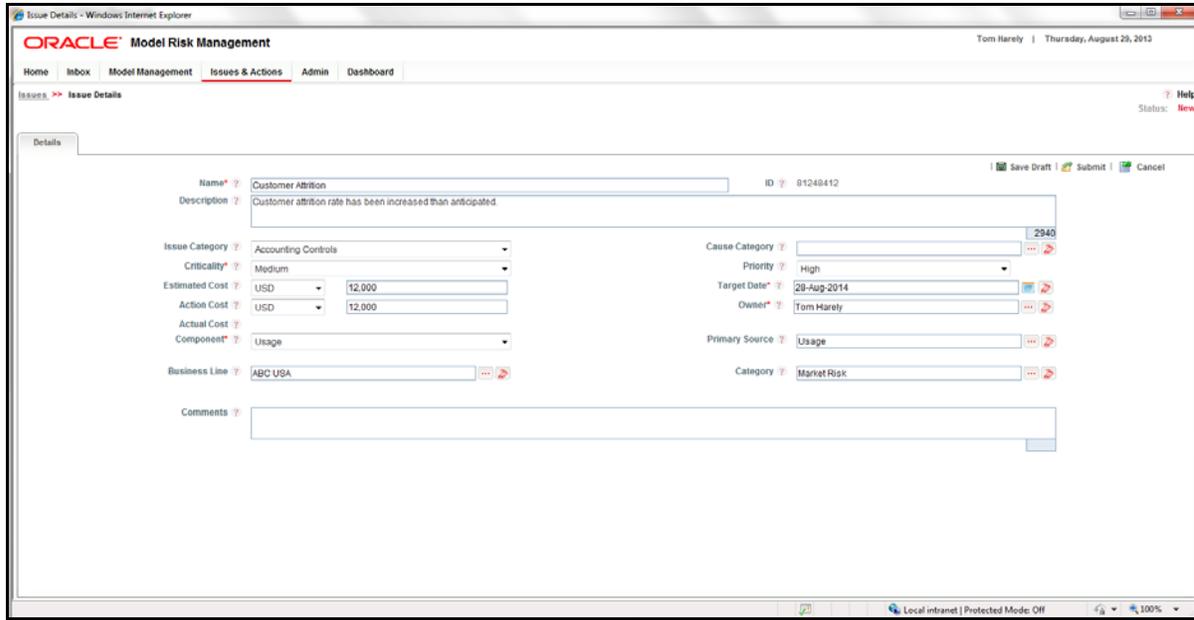


Figure 5–1 Issue Details Screen

The default status of an Issue under creation is **New**.

2. Populate the form details as tabulated below:

Table 5–5 Issue Details

Field	Description
The fields marked in asterisks(*) are mandatory.	
Name	Enter the name of the Issue. This field is alphanumeric and the maximum allowed characters are 300.
ID	Displays the sequential tracking number assigned to the Issue. This field is not editable.
Description	Enter a brief description about the Issue. The Maximum number of characters allowed in this field are 3000.
Issue Category	Select the classification of the Issue from the drop down list. The available values are: <ul style="list-style-type: none"> • External • Others • Design Deficiency • Human Resources • Finance • Administration • Security • Non Compliance • Accounting Control • Authorization • Data Privacy

Table 5-5 (Cont.) Issue Details

Field	Description
Cause Category	Select the reason for occurrence of the Issue by clicking the browse button and selecting from the <i>Hierarchy Browser</i> window.
Criticality	Select the criticality from the drop down list. This determines the level of importance to be given towards the mitigation of this Issue. The available values are: <ul style="list-style-type: none"> • Low • Medium • High
Priority	Select the Priority from the drop down list. This determines the level of importance to be given towards the mitigation of the Issue The available values are: <ul style="list-style-type: none"> • Low • Medium • High
Estimated Cost	Select the required base currency in which you want to calculate your estimated cost by clicking Browse button and selecting from the <i>Hierarchy Browser</i> window. Enter an estimated cost to be incurred for mitigating the Issue in the text field.
Target Date	Select a target from the <i>Calendar</i> to set a date by when you want to mitigate the Issue.
Action Cost	Select the required base currency in which you want to calculate your Action cost by clicking Browse button and selecting from the <i>Hierarchy Browser</i> window. Enter an Action cost to be incurred for mitigating the Issue in the text field. This field can be populated even after Action completion. Note: The amount entered in the actual cost field is converted into the currency in which the Issue is recorded. The currency exchange rate is calculated till the time the Action is in Draft and Closed statuses.
Owner	Select an Issue Owner from the <i>Hierarchy Browser</i> window to whom you want to assign the Issue for taking appropriate actions such as verifying the Issue, creating Action plans to mitigate the Issue, and adding documents. By default, this field will display the logged in Issue Creator's name or the logged in Issue Owner's name if the Issue Owner is also mapped to the role of Issue Creator user.
Actual Cost	This field is auto populated and displays the actual cost of taking Action plans to mitigate the Issue. The actual cost will be converted into the currency in which the Issue is captured. The currency exchange rate is calculated till the time the Action is in Draft and Open statuses.

Table 5-5 (Cont.) Issue Details

Field	Description
Component	Select a component from the drop down list, for which you want to create the Issue. The drop down list displays only those components for which the Manual Issue Creation is enabled from Issues and Actions Configuration section of <i>Admin</i> module. The available options are: <ul style="list-style-type: none"> • Model • Usage
Primary Source	Click the Browse button and select the name of the particular entity in the source function for which the Issue is being created, from the Hierarchy Browser window.
Business Line	Click the Browse button and select the Business Line to which the selected component is adhered to, from the Hierarchy Browser window.
Category	Click the Browse button and select the category of the risk from the Hierarchy Browser window.
Comments	Enter any comments/other information related to the Issue.

3. You have the following options to save an Issue definition:

- Click **Save as Draft** button.

The Issue definition is saved and the details are displayed in *Issue Details* window.

The status of a saved Issue changes to **Draft**.

- Click **Submit** button.

The Issue definition is saved and is submitted to the Issue Owner for taking further actions.

The details are displayed in *Issue Details* window.

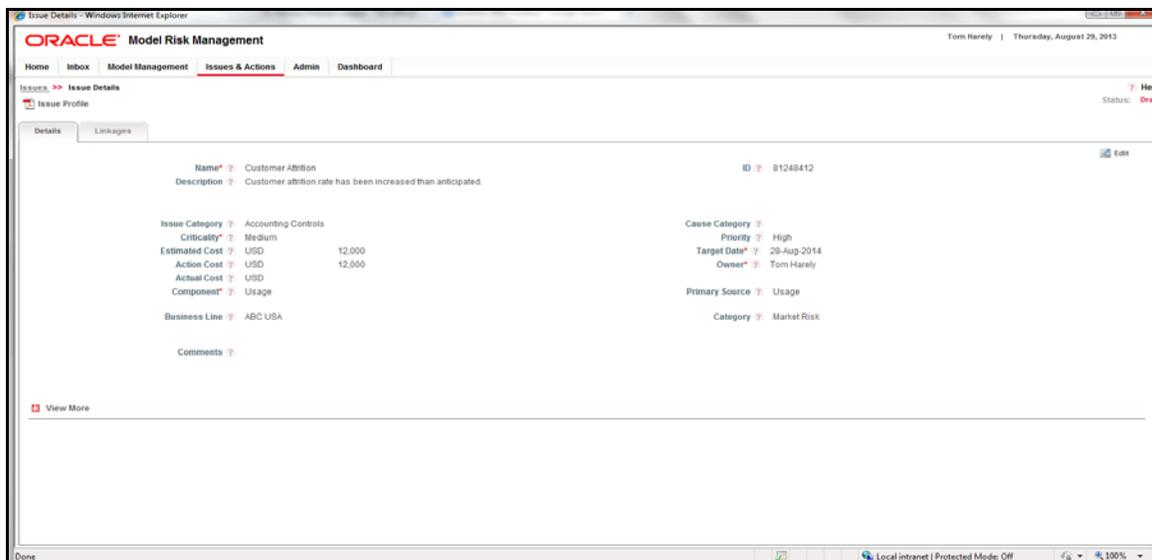


Figure 5-2 Issue Details Screen

The status of a saved Issue changes to **Open**.

5.4.1.2 View Issue Definition Details

A pre defined Issue definition can be viewed and edited from the *Issues* window.

To view the details of a pre-defined Issue definition from the *Issues* window:

Click the **Issue ID** of the definition you want to view.

The Issue definition details are displayed in Issue Details window.

5.4.1.3 Edit Issue Definition

You can edit a saved Issue definition created by you, and is in **Draft** status, from the *Issues* window.

Editing an Issue definition facilitates the population of additional details and further actions after the creation of the Issue.

To edit an Issue definition from the *Issues* window, follow these steps:

1. Click the **Issue ID** of the Issue definition, which is to be edited.

The *Issue Details* window is displayed.

2. Click the **Edit** button from the *Details* tab.

Note: You can edit all the fields except Issue ID of an Issue definition which is in **Draft** status.

For more information, refer to [Create Issue](#) section.

3. Once all the necessary details are updated, click **Update** button to save the Issue definition.

The Model definition details are updated.

You can alternatively click **Submit** button to submit the updated definition to the Issue Owner for taking further actions.

5.4.1.4 Transfer Issue Ownership

If you are an Issue Owner, you can transfer the Issue ownership to another user, who also has Issue Owner role assigned. Only the ownership of those Issues which are **Open** status can be transferred.

To transfer the ownership of an Issue, follow these steps:

1. Select the check box adjacent to the Issue ID of the Issue, of which you want to transfer the ownership.

2. Click **Transfer Ownership** button.

The *Ownership Transfer* window is displayed.

This window displays the Issue Name, Issue ID, and Present Owner details.

3. Select the new Owner name by clicking the **Browse** button and selecting the user name from the [Hierarchy Browser](#).
4. Enter the additional remarks regarding the Issue or the Issue ownership transfer.
5. Click **Submit** button.

The Issue ownership has been updated.

You can also transfer an Issue ownership from the *Issue Details* window by clicking the **Transfer Ownership** button.

5.4.1.5 Close an Issue

You can close an Issue when you have completed all the Actions created for an Issue. To close an Issue, the status of the same must be **Open** and the status of the associated Actions must be **Completed**.

To close an Issue from the Issues window, follow these steps:

1. Select the check box adjacent to the **Issue ID**, which you want to close.
2. Click **Close Issue** button.

The Issue Details window is displayed.

3. Enter the reason for closure in the **Reason for Closure** field.
4. Click **Submit**.

The Issue is closed.

You can also close an Issue from the *Issue Details* window by clicking the **Close Issue** button.

5.4.1.6 Reopen Closed Issue

An Issue Creator can reopen a closed Issue.

To reopen a closed Issue from the Issues window, follow these steps:

1. Select the check box adjacent to the **Issue ID** of the Issue, which is to be reopened.

Note: Only those Issues, which are in **Closed** status can be reopened.

2. Click **Reopen Issue** button.

The Issue Details window is displayed.

3. Enter the required comments in the Comments field.
4. Click Submit.

The Issue is reopened and the status is changed to **Open**.

You can also reopen closed Issue from the *Issue Details* window by clicking the **Reopen Issue** button.

5.4.1.7 Issue Details Management

You can incorporate additional details such as creation of Actions, document attachment, and linking and delinking of Actions to an Issue definition, for its further usage. The *Issue Details* window allows you to perform these actions.

The Actions that are possible on an Issue from the *Issue Details* window are the following:

- [Create Action](#)
- [Link Action](#)
- [Attach Documents](#)
- [View WorkFlow History](#)
- [Delete Actions](#)
- [Issue Linkages](#)

You can download the profile report of an Issue definition which provides all the details associated with the selected definition. For more information, refer to [View Profile Reports](#) section.

5.4.1.7.1 Create Action

When an organization wants to record recommended Action plans to address a particular Issue that has occurred, they can create Action plans either from Issues and Actions module or from other modules in the application.

Users mapped to the role of Issue Owner/Action Creator can create Action plans directly or create Action plans for a manually created Issue depending upon the preferences set in the *Admin* module.

Note: Only Users mapped to the role of Issue Owner/Action Creator can create new Actions for an Issue.

To create an Action plan for a manually created Issue from the *Issues* window, follow these steps:

1. Click the **Issue ID** of the Issue definition in **Open** status, for which you want to create an Action.

The *Issue Details* window is displayed.

2. Expand the *View More* section by clicking the + button.

3. Click **Create Action** button from the *Actions* grid.

The *Action Details* window is displayed.

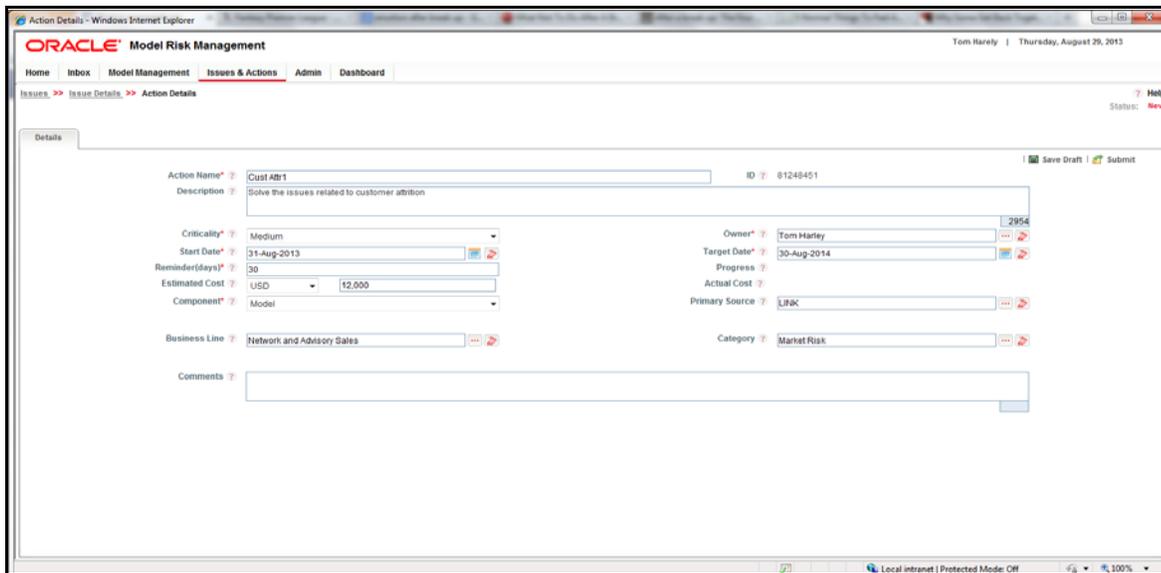


Figure 5-3 Action Details Screen

1. Populate the form details as tabulated below:

Table 5–6 Action Details

Field	Description
Field(s) marked in asterisks (*) are mandatory.	
Name	Enter the Name of the Action. This field is alphanumeric and the maximum allowed characters are 300.
ID	Displays the sequential tracking number assigned to the Action. This field is not editable.
Description	Enter a brief description about the Action. This field is alphanumeric and the maximum allowed characters are 3000.
Criticality	Select a criticality level from the drop down list to specifying how critical the Action is to the organization. The available options are: <ul style="list-style-type: none"> • Very High • High • Medium • Low • Very Low
Owner	Click the Browse button and select the user, who is responsible for monitoring and tracking the Action, from the <i>Hierarchy Browser</i> window.
Start Date	Click the calendar icon and select the date by which the Action plan has to be executed. For more information refer to Calendar .
Completion Date	Click the calendar icon and select the date by which the Action plan has to be completed. For more information refer to Calendar .
Reminder (In Days)	Enter the number of reminder days prior to which the Action Owner needs to be acknowledged to complete the Action.
Progress	This field displays the approximate measure of completion of Actions. This field is not editable.
Estimated Cost	Select the currency type by clicking the Browse button and selecting the type form the <i>Hierarchy Browser</i> window. Enter the estimated amount in the selected currency type.
Actual Cost	This filed displays the actual cost that incurred in mitigating the Action. This field is not editable in Draft status and can be edited in Open status.
Component	Select the component from the drop down list, for which the Action is to be created. The available options are: <ul style="list-style-type: none"> • Model • Usage

Table 5-6 (Cont.) Action Details

Field	Description
Primary Source	Click the Browse button and select the primary source from the <i>Hierarchy Browser</i> window. This is the name of the entity in the source function for which the Issue is being created.
Business Line	Click the Browse button and select the Business Line from the <i>Hierarchy Browser</i> window.
Category	Click the Browse button and select the category of the Action from the <i>Hierarchy Browser</i> window.
Comments	Enter any other information related to the Action.

2. You have the following options to save an Action definition:

- Click **Save Draft** button.

The Action definition is saved and the details are displayed in *Action Details* window.

The status of a saved Action changes to **Draft**.

- Click **Submit** button.

The Action definition is saved and is submitted to the Action Owner for taking further actions.

The Action definition details are displayed in *Action Details* window.

a

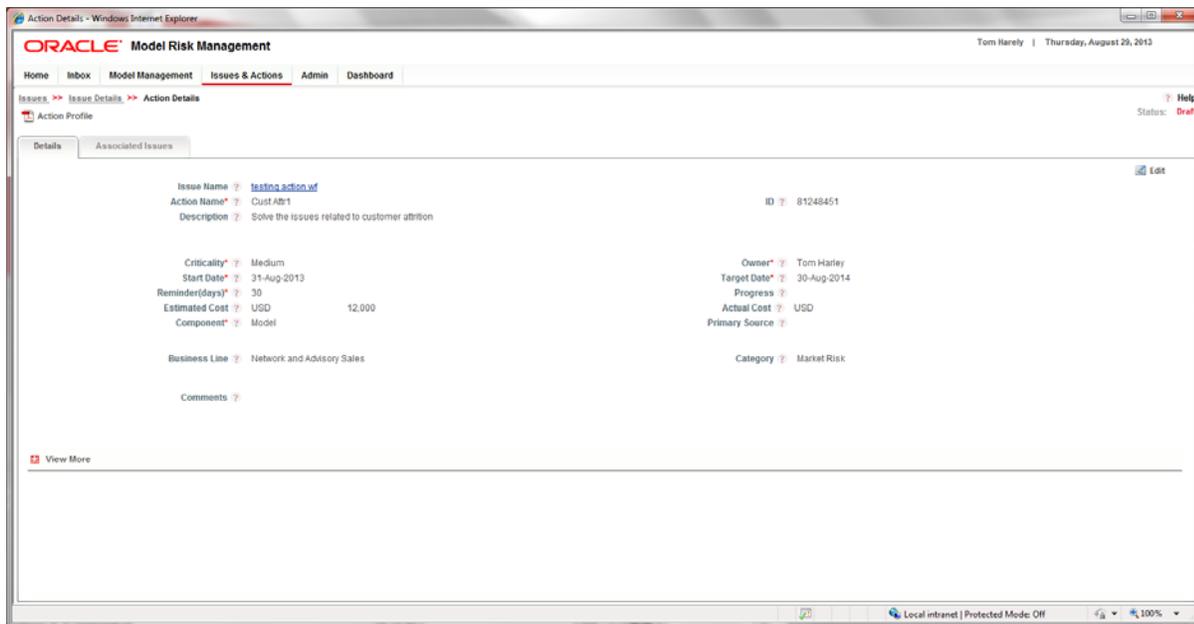


Figure 5-4 Action Definition Details Screen

The status of a saved Action changes to **Open**.

5.4.1.7.2 Link Action

Actions are required to resolve every Issue. The Actions that are necessary to resolve a particular Issue can be linked to the Issue definition from the *Issue Details* window, if you are the owner of the Issue.

The *Link Action* section enables you to link Actions which are existing in the system.

To link an Action to an Issue definition from the *Issues* window, follow these steps:

1. Click the **Issue ID** of the Issue definition, to which you want to link an Action.

The *Issue Details* window is displayed.

2. Expand the *View More* section by clicking the + button.

3. Click **Link** button from the *Actions* grid.

The *Action Search* window is displayed.

You can search for a particular Action from this window using Action ID, Name, Business Line, Location, Progress From, Progress to, Owner, Target Date from, Target Date to, Last Modified Date from, or Last Modified Date to information. For more information refer to [Search and Filter](#) section.

4. Select the check box adjacent to the Actions, which you want to link to the Issue.

5. Click **Link** button.

The selected Actions are linked to the Issue definition.

From the *Actions* grid, you can also select the check box adjacent to an Action and perform the following:

- Click the **Delink** button to dissociate a previously linked Action from the Issue.
- Click **Delete Action** button to remove the Action which has been created for the Issue, if you are the Action Owner.

You can delete only those Actions which are in **Draft** status.

5.4.1.7.3 Attach Documents

You can attach any documents related to a specific Issue definition.

To attach a document by uploading it from the *Issues* window, follow these steps:

1. Click the **Issue ID** of a Issue for which you want to upload supporting documents.

The *Issue Details* window is displayed.

2. Click + button to expand the *View More* section.

3. Click **Attach Document** button from the *Document* grid.

The *Attach Documents* window is displayed.

4. Populate the form details as tabulated:

Table 5-7 Attach Documents Details

Field	Description
Component	This field is auto-populated with the component for which the document is being attached and is non-editable.

The field(s) marked in asterisks(*) are mandatory.

Table 5-7 (Cont.) Attach Documents Details

Field	Description
Type	Select the type of the document from the drop down list. The available values are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures
Logical File Name	Enter the name of the file, for which you are about to upload.

5. Click **Upload File** button.

The *Attach Document* dialog box is displayed.

6. Select the file to attach by clicking the **Browse** button from the **Choose a file to attach** field and selecting the appropriate file.
7. Enter the Logical File Name in the **Logical File Name** field.
8. Click **Attach File** button.

The selected file is associated with the Issue definition.

You can delete any of these associated documents from the Issue definition by selecting the check box adjacent to the document name and clicking **Delete Document** button.

5.4.1.7.4 View WorkFlow History

The WorkFlow History section tracks and displays the history of all the changes made to the Issue definition. This tab records every action (save or submit) and status changes. This section facilitates you to track the changes by comparing different Actions performed on an Issue definition.

To view the WorkFlow History details of an Issue from the *Issues* window, follow these steps:

1. Click the **Issue ID** of an Issue, of which you want to view the workflow history details.
The *Issue Details* window is displayed.
2. Click + button to expand the *View More* section.
3. Further expand the *WorkFlow History* grid, by clicking the + button.

The *WorkFlow History* grid displays the history of Actions of the selected Issue definition. The *WorkFlow History* displays the details such as Last Modified date, Last Modified By, Status, and Action Comments details.

If there are more than one workflow history items present for an Issue, you can compare them by selecting the check boxes adjacent to the items you want to compare and clicking **Difference** button, from the *WorkFlow History* grid.

5.4.1.7.5 Delete Actions

You can delete an Action from the *Actions* grid of the *Issue Details* window. To remove an Action, follow these steps:

1. Click the **Issue ID** of an Issue, of which you want to remove an Action.
The *Issue Details* window is displayed.
2. Click + button to expand the *View More* section.

3. Further expand the *Actions* grid, by clicking the + button.
4. Select the check box adjacent to the Action you want to remove.
5. Click **Delete Action** button.

The selected Action has been removed from the Issue definition.

5.4.1.7.6 Issue Linkages

The *Linkages* tab in an Issue definition displays the Models and Usages to which the particular Issue is linked.

5.4.1.8 Delete Issue

Issue definition(s) created by you and is in Draft status can be deleted from the list, if they are no longer required.

To delete Issue definition(s) from the *Issues* window:

1. Select the check box adjacent to the **Issue ID** of the Issue definition(s) you want to delete.

Note: You can delete an Issue definition, which is not linked or referenced elsewhere. In case the Issue definition is linked or referenced, you have to delink or remove the reference of the Issue definition and try again.

2. Click **Delete Issue** button.

The confirmation dialog box is displayed.

3. Click **OK** button in the confirmation dialog box.

The selected Issue definition is deleted and a confirmation message is displayed.

5.4.2 Actions

Issues are problem statements. Actions are plans or activities taken to resolve the Issues. Users mapped to the role of Issue Owner/Action Owner can access Actions section. Issues and Actions module is useful for an organization when it requires to record a particular problem that has occurred and recommend steps that must be taken to resolve the problem.

Actions menu under *Issues & Actions* module navigates you to the Actions list. Action Owner has access to the Action List screen. The list displays only those Actions which are owned by the logged in user. An Analyst has access to all the Actions in the Action List screen. The Actions are listed with following details:

Table 5-8 Actions Details

Tab Name	Description
ID	Displays the sequential tracking number of the Action.
Name	Name of the Action definition.
Criticality	Displays the criticality of the Action.
Activities	Displays the number of activities available for each Action. These numbers are hyper linked. On click, you can view the activity details in the <i>Action Details</i> window.
Owner	Displays the name of the Action Owner.
Start Date	Displays the date on which the Action started.

Table 5-8 Actions Details

Tab Name	Description
Target Date	Displays the date on which the Action is due to be completed.
Progress	Displays the progress percentage of the Action as compared to the state on start date.
Status	Displays the current status of the Action.
Actual Cost	Displays the actual cost of the Action.
Last Modified Date	Displays the last modified date of the Action.

You can search for a specific Action or a set of Actions from the *Actions* window. For more information, refer to [Search and Filter](#) section.

You can also export the Action definitions to a spreadsheet and wrap/unwrap Action definition listing. For more information, refer to [Export Definitions](#) and [Wrap/Unwrap Item List](#) sections.

The following Actions are possible from the *Actions* window:

- [View Action Definition Details](#)
- [Edit Action Definition](#)
- [Transfer Action Ownership](#)
- [Force Closure of an Action](#)
- [Reopen Closed Action](#)
- [Action Details Management](#)

You can download the profile report of an Action definition which provides all the details associated with the selected definition. For more information, refer to [View Profile Reports](#) section.

Note: Actions can be created only from the *Issues* section. For more information, refer to [Create Action](#) under *Issues* section.

5.4.2.1 View Action Definition Details

A pre defined Action definition can be viewed from the *Actions* window.

To view the details of a pre-defined Action definition from the *Actions* window:

Click the **Action ID** of the definition you want to view.

The Action definition details are displayed in Action Details window.

5.4.2.2 Edit Action Definition

You can edit a saved Action definition created by you, and is in **Draft** or **Open** status, from the *Actions* window.

Editing an Action definition facilitates the population of additional details and further actions after the creation of an Action.

To edit an Action definition from the *Actions* window, follow these steps:

1. Click the **Action ID** of the Action definition, which is to be edited.

The *Action Details* window is displayed.

2. Click the **Edit** button from the *Details* tab.

Note: An Issue Owner can edit all the fields except ID, Progress, and Actual Cost when the Action is in **Draft** status. An Action Owner can edit all the fields except ID, Owner, Start Date, Target Date, Business Line, and Category of an Action which is in **Open** status.

For more information, refer to [Create Action](#) section.

3. Once all the necessary details are updated, click **Update** button to save the Action definition.

The Action definition details are updated.

You can alternatively click **Submit** button to submit the updated definition to the Action Owner for taking further actions.

5.4.2.3 Transfer Action Ownership

If you are an Action Owner, you can transfer the ownership of an Open Action to another user, who also has Action Owner role assigned.

To transfer the ownership of an Action, follow these steps:

1. Select the check box adjacent to the Action ID of the Action, of which you want to transfer the ownership.
2. Click **Transfer Ownership** button.

The *Ownership Transfer* window is displayed.

3. Populate the details in the form, as tabulated below:

Table 5-9 Ownership Transfer Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Name	Displays the name of the Action.
ID	Displays the ID of the Action.
Present Owner	Displays the user who is responsible for assessing the Action at present.
New Owner	Select the new user who would be responsible for assessing the Action from the Hierarchy Browser .
Comments	Enter any additional remarks regarding the Action.

4. Click **Submit**.

The Action ownership has been updated.

You can transfer the ownership of an Action from the *Action Details* window as well.

5.4.2.4 Force Closure of an Action

An Action closes when the progress reaches 100%. You can also force close an Action when you have completed all the activities created for an Action. To force close an Action, the status of the same must be **Open** and the status of the associated Activities must be **Completed**.

To force close an Action from the *Actions* window, follow these steps:

1. Select the check box adjacent to the **Action ID**, which you want to close.

2. Click **Force Close Action** button.

The *Action Details* window is displayed.

3. Enter the reason for closure in the **Reason for Closure** field.
4. Click **Submit**.

The Action is closed.

You can close an Action from the *Action Details* window as well.

5.4.2.5 Reopen Closed Action

An Issue Owner can reopen a closed Action.

To reopen a closed Action from the *Actions* window, follow these steps:

1. Select the check box adjacent to the **Action ID** of the Action, which is to be reopened.

Note: Only those Actions, which are in **Complete** status can be reopened.

2. Click **Reopen Action** button.

The *Action Details* window is displayed.

3. Enter the required comments in the **Comments** field.
4. Click **Submit**.

The Action is reopened and the status is changed to **Open**.

You can reopen a closed Action from the *Action Details* window as well.

5.4.2.6 Action Details Management

You can incorporate additional details such as Activities, Stakeholders, Action Updates, and Documents to an Action definition, for its further usage. The *Action Details* window allows you to perform these actions.

The actions that are possible on an Action from the *Action Details* window are the following:

- [Associate Activities](#)
- [Add/Link Stakeholders](#)
- [Include Action Updates](#)
- [Attach Documents](#)
- [View WorkFlow History](#)
- [Associate Issues](#)

5.4.2.6.1 Associate Activities

You can create and associate activities to an Action definition from the *Action Details* window.

To create a new Activity from the *Actions* window:

1. Click the **Action ID** of the Action, to which you want to associate activities.
The *Action Details* window is displayed.
2. Click + button to expand the *View More* section.
3. Click **Add Activity** button from the *Activities* grid.

A check box is populated under *Activities* grid.

4. Select the check box populated under *Activities* grid.
The fields are enabled for edit.
5. Enter the activity details as tabulated below:

Table 5-10 Activity Details

Field	Description
Name	Enter the name of the Activity.
Progress	Enter the progress of the activity in percentage.
Start Date	Select the start date of the Activity from the Calendar .
End Date	Select the end date of the Activity from the Calendar .
Comments	Enter the required comments.

6. Click **Save** button.

The activity is saved

You can also select the check box adjacent to an existing activity and perform the following:

- Update the details and click **Save** button to update the activity.
- Click Delete Activities button to remove activity.

5.4.2.6.2 Add/Link Stakeholders

You can create new stakeholders or link existing stake holders for an Action.

To link a user to the Action as a stakeholder from the *Actions* window, follow these steps:

1. Click the **Action ID** of the Action, to which you want to link stakeholders.

The *Action Details* window is displayed.

2. Click + button to expand the *View More* section.
3. Click **Link Stakeholders** button from the *Stakeholders* grid.

The *Users* window is displayed with the available list of users.

You can search for a specific user or a set of users from the *Users* window using the search parameters Name, Business Line, Location, Designation, or Email. For more information, refer to [Search and Filter](#) section.

4. Select the check box(s) adjacent to the users, you want to link as stakeholders.
5. Click **Link** button.

the selected users are linked to the Action as stakeholders.

To add a new user who does not have a User ID, as a stakeholder of an Action from the *Actions* window, follow these steps:

1. Click the **Action ID** of the Action, to which you want to create new stakeholders.

The *Action Details* window is displayed.

2. Click + button to expand the *View More* section.
3. Click **Add Stakeholder** button from the *Stakeholders* grid.

A check box is populated under *Stakeholders* grid.

4. Select the check box populated under *Stakeholders* grid.
The fields are enabled for edit.

5. Enter the stakeholder details as tabulated below:

Table 5-11 Stakeholder Details

Field	Description
User Name	Enter the name of the stakeholder.
Designation	Enter the designation of the stakeholder.
Email ID	Enter the email ID of the stakeholder.

6. Click **Save** button.

The stakeholder details are saved and is displayed under *Stakeholders* grid.

You can also select the check box adjacent to an existing stakeholder name and perform the following:

- Update the details and click **Save** button to update the stakeholder information.
- Click **Delink Stakeholders** button to remove a linked stakeholder from the Action.

Note: Delink operation is possible only if you have linked the stakeholder.

- Click **Delete Stakeholders** button to delink and delete a linked stakeholder from the Action.
- Click **Send Mail** button to populate the details and send an email to the stakeholder.

For more information, refer to [Send Email](#) section.

5.4.2.6.3 Include Action Updates

You can include updates related to an Action from the *Action Details* window.

To include an Action update from the *Actions* window, follow these steps:

1. Click the **Action ID** of the Action, to which you want to include Action updates.
The *Action Details* window is displayed.
2. Click + button to expand the *View More* section.
3. Click **Add Updates** button from the *Action Updates* grid.
A check box is populated under *Action Updates* grid.
4. Select the check box populated under *Action Updates* grid.
The Update Comments field is enabled for edit.
5. Enter the update comments in the **Update Comments** field.
6. Click **Save** button.

The Action update is saved and listed under *Action Updates* grid.

You can also select the check box adjacent to an existing Action update entry and perform the following:

- Update the details and click **Save** button to update the Action update information.

- Click **Delete Action Updates** button to remove the Action Update.

5.4.2.6.4 Attach Documents

You can attach any documents related to a specific Action definition.

To attach a document by uploading it from the *Actions* window, follow these steps:

1. Click the **Action ID** of a Action for which you want to upload supporting documents.
The *Action Details* window is displayed.
2. Click + button to expand the *View More* section.
3. Click **Attach Document** button from the *Document* grid.
The *Attach Documents* window is displayed.
4. Populate the form details as tabulated:

Table 5-12 Attach Document Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	This field is auto-populated with the component for which the document is being attached and is non-editable.
Type	Select the type of the document from the drop down list. The available values are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures
Logical File Name	Enter the name of the file, for which you are about to upload.

5. Click **Upload File** button.
The *Attach Document* dialog box is displayed.
6. Select the file to attach by clicking the **Browse** button from the **Choose a file to attach** field and selecting the appropriate file.
7. Enter the Logical File Name in the **Logical File Name** field.
8. Click **Attach File** button.
The selected file is associated with the Action definition.

You can delete any of these associated documents from the Action definition by selecting the check box adjacent to the document name and clicking **Delete Document** button.

5.4.2.6.5 View WorkFlow History

The WorkFlow History section tracks and displays the history of all the changes made to the Action definition. This section records every action (save or submit) and status changes. This section facilitates you to track the changes by comparing different actions performed on an Action definition.

To view the WorkFlow History details of an Action from the *Actions* window, follow these steps:

1. Click the **Action ID** of an Action, of which you want to view the workflow history details.

The *Action Details* window is displayed.

2. Click + button to expand the *View More* section.
3. Further expand the *WorkFlow History* grid, by clicking the + button.

The *WorkFlow History* grid displays the history of Actions of the selected Action definition. The *WorkFlow History* displays the details such as Last Modified date, Last Modified By, Status, Comments, and Action Comments.

If there are more than one workflow history items present for an Action, you can compare them by selecting the check boxes adjacent to the items you want to compare and clicking **Difference** button, from the *WorkFlow History* grid.

5.4.2.6.6 Associate Issues

The *Associate Issues* tab in an Action definition displays the Issues to which the particular Action is created for and linked.

This tab displays the Action Name, Business Line to which the Action is linked, Location, Component, and Primary Source details of the Action definition along with the Issue details such as ID, Name, Component, Issue Category, Creator, Owner, Actual Cost, Actions, Target Date, Status, and Last Modified Date.

6.1 Overview

Administration is an integral part of OFSMRM system and the **Admin** module within the application facilitates system administrators to set application preferences, manage reference data, determine the access rights, upload documents, manage User Interface language, and manage Questions and Questionnaire library. These administrative activities are mainly performed at the initial stages of application configuration and then based on requirement.

6.2 Access Admin

You can access Admin module from the OFSMRM Home page by clicking **Admin** menu.

Following are the sections available in **Admin** module of OFSMRM:

- [Reference Data Management](#)
- [Preferences](#)
- [Application Preference](#)
- [Access Rights](#)
- [Excel Upload](#)
- [User Interface Language Manager](#)
- [Document Upload](#)
- [Questionnaire](#)

6.3 Reference Data Management

The *Reference Data Management* window allows you to manage the basic values of elements used across hierarchies and drop-downs in OFSMRM.

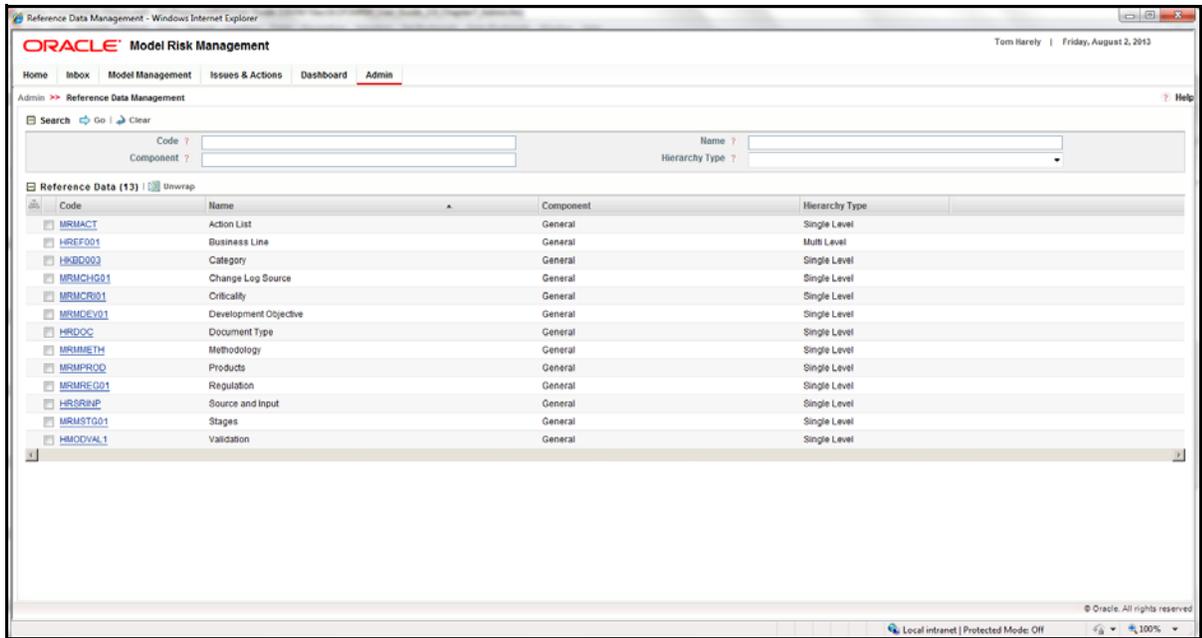


Figure 6-1 Reference Data Management

You can search for a specific reference data element from the *Reference Data Management* window, using Code, Name, Component, or Hierarchy Type details. For more information, refer to [Search and Filter](#) section.

You can also wrap/unwrap reference data definitions listing. For more information, refer to [Wrap/Unwrap Item List](#) section.

Following are the pre-defined reference data elements available in this version of the OFSMRM application:

Table 6-1 Pre-defined Reference Data Elements

Code	Name	Component	Hierarchy Type
MRMACT	Action List	General	Single Level
HREF001	Business Line	General	Multi Level
HKBD003	Category	General	Single Level
MRMCHG01	Change Log Source	General	Single Level
MRMCRI01	Criticality	General	Single Level
MRMDEV01	Development Objective	General	Single Level
HRDOC	Document Type	General	Single Level
MRMMETH	Methodology	General	Single Level
MRMPROD	Products	General	Single Level
MRMREG01	Regulation	General	Single Level
HRSRINP	Source and Input	General	Single Level
MRMSTG01	Stages	General	Single Level
HMODVAL1	Assessment	General	Single Level

You can click the **Code** adjacent to each **Name** of the reference data elements to view the list of nodes in that particular element. You can also create new nodes for a selected reference data element.

6.3.1 Create New Node

To create a new node for a reference data element from the *Reference Data* window, follow these steps:

1. Click the **Code** of the Reference Data element, for which you want to create a node.
The *Reference Data Management Details* window is displayed.
2. Click **Add New Node** button from the *Action List* grid.
The *Details* and *Locale* grids are enabled.
3. Populate the data in *Details* grid as tabulated below:

Table 6-2 *Details Grid Details*

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Description	Enter the description for the new reference data management element. The maximum allowed characters in this field are 3000.
Start Date	Select the start date of the element from the Calendar .
End Date	Select the end date of the element from the Calendar . After this date, the node will not be available for use.

4. Select the required locale(s) by selecting the check box adjacent to the available locale names.
You can also select all the available locales by selecting the check box adjacent to the *Locale* tab.
5. Enter the Name of the new Node under the *Name* tab of the *Locale* grid.
6. Click **Save** button.
The new node is created and listed under *List* grid.

Note: An expired node will not be available for creation of new records. However, the node will be available for previously created records. An updated node will be available for all the records on which the node is used, with the updated details. An expired node can be revived by modifying the End Date.

6.4 Preferences

The Preferences section allows you to set and manage the email notification configurations. You can access the Preferences section by navigating to *Admin > Preferences* from the OFSMRM Home screen.

The *Preferences* window is displayed with *General* tab enabled.

Under the *General* tab, you can configure the *Email Notification* settings as follows:

1. Select the Email option from the drop down list.

The available options are:

- No Email - No email will be generated.
 - Email Digest - Provides you all the emails generated for you in a package, at the end of the day.
 - All Email - Email is sent as it is generated.
2. Select the Attach Profile Reports option either as **Yes** or as **No**, from the drop down list.
The option is enabled only if you have selected **All Email** option in the **Email** field.
 3. Click **Save** button.
The selected preferences are saved and this will be used in all instances, where **Send Email** option is present.

6.5 Application Preference

The *Application Preference* section allows you to predefine the functionalities of general workflow items in OFSMRM. You can set preferences for the following from *Application Preference* section:

- [Workflow Manager](#)
- [Issues and Actions Configuration](#)

6.5.1 Workflow Manager

Workflow Manager provides users an option to configure the process flow of each module from a centralized location. There is also a provision to configure the Tasks and Notifications sent to each user based on the rules.

The *Workflow Manager* menu allows you to create Workflows for the existing Workflow functions of OFSMRM application. You can access *Workflow Manger* window by navigating to *Admin > Application Preference > Workflow Manager*.

In the *Workflow Manager* window, select the **Application** (Model Risk Management) from the drop down list.

Select the required Workflow function in the **Workflow Functions** field. The currently available Workflow functions are:

- Model Management
- Actions
- Issues
- Model Development Stages
- Model Usage Development Stages
- Model Assessment
- Usage Assessment
- Model Change Log
- Usage Change Log
- Model Usage Development

The available Workflows of the selected Workflow Function are displayed under *Workflows* grid with the details such as ID, Name, Business Line, Category, Description, Effective From, Last Modified, and Status.

You can also wrap/unwrap Workflow definitions listing. For more information, refer to [Wrap/Unwrap Item List](#) section.

The actions possible from the *Workflow Manager* window are the following:

- [Create Workflow](#)
- [Copy Workflow](#)
- [Deactivate Workflow](#)

6.5.1.1 Create Workflow

You can create Workflows for any of the selected Workflow Functions, from the *Workflow Manager* window.

To create a new Workflow for a Workflow Function from the *Workflow Manager* window, follow these steps:

1. Select the **Application** name and the corresponding **Workflow Function** from the drop down lists under *Workflow* grid.

The available Workflows for the selected Application and Workflow Function are displayed under *Workflows* grid.

2. Click **Create Workflow** button from the *Workflows* grid.

The *Workflow Details* window is displayed.

The screenshot displays the Oracle Model Risk Management Workflow Manager interface. The browser title is "Workflow Manager - Windows Internet Explorer". The page header includes the Oracle logo, "Model Risk Management", and the user "Tom Harely" on "Friday, August 2, 2013". The navigation menu shows "Home", "Inbox", "Model Management", "Issues & Actions", "Dashboard", and "Admin". The current page is "Workflow Manager" with a sub-page of "Workflow Details".

The "Workflow Details" form contains the following fields:

- Application Name: Model Risk Management
- Workflow ID: 81298041
- Workflow Function Name: Model Management
- Name: Model Management
- Description: Model Management
- Effective Date: 01-Aug-2013
- Default Workflow: No
- Business Line: Default
- Category: All
- Comments: Model Management
- Created By: (empty)
- Last Modified By: (empty)
- Created Date: (empty)
- Last Modified Date: (empty)

Buttons for "Save Draft" and "Cancel" are visible at the top right of the form. The footer of the browser window shows "Local intranet | Protected Mode: Off" and "Oracle. All rights reserved."

Figure 6–2 Workflow Details Screen

3. Populate the *Workflow Details* form as tabulated below:

Table 6-3 Workflow Details

Field	Description
The field(s) marked in asterisks (*) mandatory.	
Application Name	The Application Name is auto populated with the value Model Risk Management .
Workflow Function Name	The Workflow function name is auto populated with the function name you have selected in the <i>Workflow Manager</i> window.
Workflow ID	The Workflow ID is an auto populated sequential tracking number assigned to a Workflow.
Name	Enter the required name of the Workflow. This field is alphanumeric and the maximum allowed characters are 300.
Description	Enter a description for the Workflow. The maximum allowed characters are 3000.
Effective Date	Select the date from which the Workflow should be active, from the Calendar .
Default Workflow	Select Yes , if the Workflow under creation is the default Workflow for the selected Workflow function and No , otherwise.
Business Line	Click the Browse button and select the Business Line from the Hierarchy Browser , to which the Workflow is mapped. Note: This field is active only if you have selected No in Default Workflow field.
Category	Click the Browse button and select the category from the Hierarchy Browser , to which the Workflow is mapped. Note: This field is active only if you have selected No in Default Workflow field.
Comments	Enter any additional information/comments regarding the Workflow under creation.
Created By	This will be populated with the name of the Person who has created the Workflow.
Created Date	This will be populated with the date on which the Workflow was created.
Last Modified By	This field is populated with the user name, who last modified the Workflow.
Last Modified Date	This field will be populated with the date on which the Workflow was last modified.

4. Click **Save Draft** button.

The Workflow is saved and is displayed under *Workflows* grid.

6.5.1.2 Copy Workflow

You can copy the details of an existing Workflow to create a new one. To copy a Workflow from the *Workflow Manager* window, follow these steps:

1. Select the **Application** name and the corresponding **Workflow Function** from the drop down lists under *Workflow* grid.

The available Workflows for the selected Application and Workflow Function are displayed under *Workflows* grid.

2. Select the check box adjacent to the Workflow, which you want to copy.
3. Click **Copy Workflow** button.
The *Workflow Manager Copy* window is displayed.
4. Populate the form details.
For more information refer to [Create Workflow](#) section.
5. Click **Copy** button.
The Workflow details are copied and is displayed under *Workflows* grid.

6.5.1.3 Deactivate Workflow

You can deactivate a workflow which is in **Active** status, if it is no longer required in the system.

To deactivate a workflow from the Workflow Manager window, follow these steps:

1. Select the **Application** name and the corresponding **Workflow Function** from the drop down lists under *Workflow* grid.
The available Workflows for the selected Application and Workflow Function are displayed under *Workflows* grid.
2. Select the check box adjacent to the Workflow, which you want to deactivate.
3. Click **Deactivate Workflow** button.

Note: The **Deactivate Workflow** button is enabled, only if you have selected a Workflow which is in **Active** status.

A confirmation dialog box is displayed.

4. Click **OK**.
The Workflow is deactivated.

6.5.2 Workflow Details Management

You can incorporate additional details such as Workflow Stages, routing rules, notifications, and tasks to Workflow definitions for further usage. You can perform these actions from the *Workflow Details* window.

The actions possible from the *Workflow Details* window are the following:

- [Create Workflow Stage](#)
- [Edit Workflow](#)
- [Map Routing Rules](#)
- [Create Notifications](#)
- [Create Tasks](#)

6.5.2.1 Create Workflow Stage

Stages of a definition are the indicators of its Workflow progress. You can determine how the Workflow should progress, where all approvals are required, and what are the parameters that should be considered for the definition to progress to the next stage.

To create a Workflow Stage from Workflow details page, follow these steps:

1. Click **Create Workflow Stage** button from the *Workflow Stages* grid.
The *Workflow Stage Details* window is displayed.

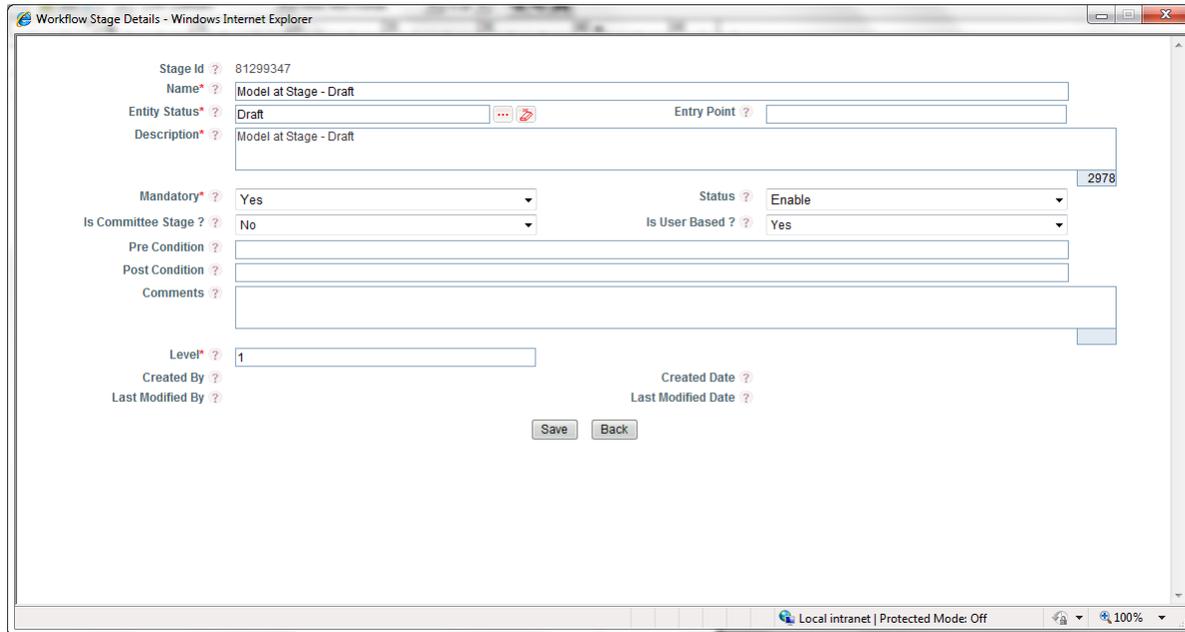


Figure 6-3 Workflow Stage Details Screen

2. Populate the form details as tabulated below:

Table 6-4 Workflow Stage Details

Field	Description
The field(s) marked in asterisks (*) mandatory.	
Stage ID	This is an auto populated sequential tracking number assigned to Workflow Stages. This field is not editable.
Name	Enter the name of the Workflow Stage.
Entity Status	Click Browse button and select the status in which the Workflow Stage is active, from the Hierarchy Browser .
Entry Point	Enter the entry point value of the Workflow Stage. This field is numeric and the values are set in individual Stages.
Description	Enter a brief description of the Workflow Stage.
Mandatory	Select Yes , if the Stage is mandatory in the Workflow.
Status	Select Enable to enable the Workflow Stages and Disable otherwise.
Is Committee Stage	Select Yes if the Workflow Stage requires committee approval and No , otherwise. If committee approval is set for a Workflow Stage, the Workflow will not proceed until all the users of task have worked on it.
Is User Based	Select Yes if the Workflow Stage is user based and No , otherwise. If you have selected Yes , all the tasks assigned to the user get completed for a particular Stage irrespective of the role code.

Table 6-4 Workflow Stage Details

Field	Description
Pre Condition	Enter the condition to be satisfied, to reach this Workflow Stage. You can set SQL procedures as Pre Condition.
Post Condition	Enter the condition to be reached to leave the Workflow Stage and move to the next. You can set SQL procedures as Post Condition.
Comments	Enter any additional information/comments related to the Workflow Stage.
Level	Enter the level in the Workflow hierarchy to which this Stage belongs to.
Created By	This field is auto populated with the name of the user, who created this Workflow Stage.
Created Date	This field is auto populated with the date on which the Workflow Stage is created.
Last Modified By	This field is auto populated with the name of the user, who modified the Stage.
Last Modified Date	This field is auto populated with the date on which the Workflow Stage is last modified.

3. Click **Save** button.

The Workflow Stage is saved and is displayed under *Workflow Stages* grid.

6.5.2.2 Edit Workflow

You can edit the details of an existing Workflow in **Draft** status from the *Workflow Manager* window. To edit the Question definition details from the *Workflow Manager* window, follow these steps:

1. Click the Workflow **ID** hyperlink of the Workflow in **Draft** status, which you want to edit.

The *Workflow Details* window is displayed.

By default, the *Workflow Details* window displays the *Workflow Stage Details* tab.

2. Click the *Workflow Details* tab.

3. Click the **Edit** button.

You can update the details such as Name, Description, Effective Date, Default Workflow, Business Line, Category, Comments, and Documents.

For more information, refer to [Create Workflow](#) section.

4. Once you are done with the necessary edits, click **Update** button.

The updated details are saved.

6.5.2.3 Map Routing Rules

Routing rules are the criteria defined to determine if a definition is eligible to advance to a higher Stage. The pre defined rules can be assigned to each Stages to check the eligibility.

To map a routing rule to a Workflow Stage from the *Workflow Details* window, follow these steps:

1. Select the check box adjacent to the **Stage ID** of a Stage, to which you want to map a routing rule.

2. Click **Map Rules** button in the *Routing Rules* grid.
The *Workflow Rule Details* window is displayed.
3. Populate the form details as tabulated below:

Table 6-5 Workflow Rule Details

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Next Stage	Click the Browse button and select the next Stage from the Hierarchy Browser .
Rule Sequence	Enter the rule execution sequence number. This is the order/sequence in which the Rule has to be executed in comparison with the other rules available.
Rules	Click Browse button and select the rules from Hierarchy Browser .
Status	Select Enable if the rule is to be enabled on the Workflow Stage and Disable otherwise. By default, Enable is selected.
Created By	This field is auto populated with the name of the user, who created this rule.
Created Date	This field is auto populated with the date on which the rule is created.
Last Modified By	This field is auto populated with the name of the user, who modified the rule.
Last Modified Date	This field is auto populated with the date on which the rule is last modified.

4. Click **Save** button.
The rule is mapped to the Stage and is displayed under *Routing Rules* grid.
You can click the **Rule ID** hyperlink to view and edit the rule definition details.
You can also select the check box adjacent to a Rule ID and perform the following:
 - Click **Enable Rule** button from the *Routing Rules* grid to enable the selected rule.
This button is enabled only if you have selected a disabled rule.
 - Click **Disable Rule** button from the *Routing Rules* grid to disable the selected rule.
This button is enabled only if you have selected an enabled rule.

6.5.2.4 Create Notifications

You can create notifications to be generated, during the entry to a Stage, in the Stage, or during exit from a Stage.

To create notifications from the *Workflow Details* window, follow these steps:

1. Select the check box adjacent to the Workflow Stage ID.
2. Click **Notifications**. The *Notifications* grid is displayed.
3. Click **Create Notification** button.
The *Workflow Notifications* page is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.
4. Populate the form details as tabulated below:

Table 6–6 Workflow Notification Details

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Notification ID	This is an auto populated sequential tracking number assigned to the Notifications. This field is not editable.
Name	Enter the name of the notification. This name will be generated in the inbox for the intended users. This field is alphanumeric and the maximum allowed characters are 300.
Sequence	Enter the sequence in which you want the notification to be generated.
Generate	Select from the drop down list, when to display the notification. The available values are: <ul style="list-style-type: none"> • On Entry • On Exit • On Stage
Description	Enter the description for the notification. This field is alphanumeric and the maximum allowed characters are 3000.
Access Rights	Select the access rights from the drop down list. The available values are: <ul style="list-style-type: none"> • Single - In Single, you can add only one role. Users of a specific role can be selected and rules can be mapped for those users. • Multi - In Multi, multiple roles can be added and branching of users can be done. Rules can be added from the repository to choose which role should be given notification access based on defined conditions. • User Defined - In User Defined, the behavior is as defined from the front-end. • Default Access - Default Access overrides all conditions of that Workflow and provides Stage access to the selected role.
Status	Select the status of the notification from the drop down list as: Enable or Disable
Created By	This field is auto populated with the name of the user, who created this notification.
Created Date	This field is auto populated with the date on which the notification is created.
Last Modified By	This field is auto populated with the name of the user, who modified the notification.
Last Modified Date	This field is auto populated with the date on which the notification is last modified.

5. Click **Save button.**

The notification is saved and displayed in *Notifications* grid.

You can click the **Notification ID** hyperlink to view and edit the notification details in the *Workflow Notifications* window. From this window, you can also perform the following:

- Map a role to the notification by clicking the **Map Role** button from the *User Roles* grid.

The grids are displayed depending on the selection of Access Rights in the Notification.

Note: You can only map a single user role to a notification.

- If you are an Admin user, you can map a decision to the notification definition by clicking the **Map Decision Rule** button from the *User Decision Rules* grid.

Click **Save** button in the *Workflow Notifications* window.

You can also select the check box adjacent to a notification and perform the following:

- Click **Enable Notification** button from the *Notifications* grid to enable the selected notification.
- Click **Disable Notification** button from the *Notifications* grid to disable the selected notification.
- Click **Map Rule** button from the *Notification Rules* grid map and link a rule to the notification from the *Map Renderer* window.
- Select a language under the *Language Manager* grid to select and save a language in which the notification has to be displayed.

6.5.2.5 Create Tasks

You can pre-define tasks to be executed during the entry to a Stage, in the Stage, or during exit from a Stage.

To create a task from the *Workflow Details* window, follow these steps:

1. Select the check box adjacent to the Workflow Stage **ID**.
2. Click **Tasks**. The *Tasks* grid is displayed.
3. Click **Create Task** button.

The *Workflow Tasks* window is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.

4. Populate the form details as tabulated below:

Table 6-7 Workflow Tasks Details

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Task ID	This is an auto populated sequential tracking number assigned to tasks. This field is not editable.
Name	Enter the name of the task. This field is alphanumeric and the maximum allowed characters are 300.
Sequence	Enter the sequence in which you want the task to be executed.
Generate	Select from the drop down list, when to execute the task. The available values are: <ul style="list-style-type: none"> • On Entry • On Exit • On Stage

Table 6-7 (Cont.) Workflow Tasks Details

Field	Description
Description	Enter the description for the task. This field is alphanumeric and the maximum allowed characters are 3000.
Access Rights	Select the access rights from the drop down list. The available values are: <ul style="list-style-type: none"> • Single • Multi • User Defined • Default Access
Status	Select the status of the task from the drop down list as Enable or Disable .
Created By	This field is auto populated with the name of the user, who created this task.
Created Date	This field is auto populated with the date on which the task is created.
Last Modified By	This field is auto populated with the name of the user, who modified the task.
Last Modified Date	This field is auto populated with the date on which the task is last modified.

5. Click **Save** button.

The task is saved and displayed in *Tasks* grid.

You can click the **Task ID** hyperlink to view and edit the task details in the *Workflow Tasks* window. From this window, you can also perform the following:

- Map a role to the task definition by clicking the **Map Role** button from the *User Roles* grid.

Note: You can only map a single user role to a task.

- Map a user to the task definition by clicking the **Map User** button from the *Users* grid.
- Map a Rules for the selected User by clicking the **Map User Rule** button from the *User Allocation Rule* grid.

Click **Save** button in the *Workflow Tasks* window.

You can also select the check box adjacent to a **Task ID** and perform the following:

- Click **Enable Notification** button from the *Tasks* grid to enable the selected task.
- Click **Disable Notification** button from the *Tasks* grid to disable the selected task.
- Click **Map Rule** button from the *Task Rules* grid to map and link a rule to the task from the *Map Renderer* window.
- Select a language under the *Language Manager* grid to select and save a language in which the task has to be displayed.

6.5.3 Issues and Actions Configuration

Issues are the problem statements and Actions are plans or activities taken to resolve Issues. You can create Actions without creating Issues. At the same time, there are certain functional areas where creation of Issue is mandatory. To facilitate this need to have Issues on a requirement basis, the *Issues and Actions Configuration* feature in Application Preference of Admin module enables you to decide whether they need to create Issues and then create Actions or create Actions directly.

The *Issues and Actions Configuration* section under *Admin* module facilitates you to determine if Issues creation and display of Issue list have to be enabled in Model and Usage components.

To determine, whether to enable Issue creation display list of Issues in Model and Usage components, follow these steps:

1. Select the check box adjacent to the required component, that is Model or Usage.
The Component field is editable. In addition, the radio buttons in **Enable Issue Creation** and **Display List of Issues** columns of the selected component are enabled.
2. Edit the component name.
3. Select the **Enable Issue Creation** radio button either as **Yes** or as **No**.
On selecting **Yes**, you will be able to create Issues for the selected Component.
4. Select the **Display List of Issues** radio button either as **Yes** or as **No**.
On selecting **Yes**, the Issues will be listed for the selected Component.
5. Click **Save** button.
The preferences are saved.

6.6 Access Rights

The Access Rights functionality allows you to create and manage user groups and mapping of roles to the user groups. It also allows the mapping of users to specific groups, which in turn provides the users with the role mapping for a Business Dimension.

6.6.1 User - Profile Maintenance

The *User - Profile Maintenance* section allows you to create user groups and manage them. You can access the User - Profile Maintenance section by navigating to *Admin > Access Rights > User - Profile Maintenance*.

The *User - Profile Maintenance* window displays the list of available User Groups. You can select the check box adjacent to a User Group name to view the Access Rights.

In the *User - Profile Maintenance* window, you can search for an existing user group using Name, Code, or Modified Date parameters. For more information, refer to [Search and Filter](#) section.

You can also wrap/unwrap user group listing. For more information, refer to [Wrap/Unwrap Item List](#) section.

From the *User - Profile Maintenance* window, you can perform the following:

- [Map Access Rights](#)
- [Delete User Group](#)

6.6.1.1 Map Access Rights

You can define the access rights for a user group by mapping the Key Business Dimensions with user roles.

To map the access rights with user group from the *User - Profile Maintenance* window, perform the following steps:

1. Select the check box adjacent to the User Group name, to which you want to map access rights.

The *Access Rights* grid is enabled.

2. Click Map Rights button from the *Access Rights* grid.

The *Add Access Rights* window is displayed.

3. From the *Add Access Rights* window, click the **Browse** button and select a Business Line for which the Access Rights have been assigned, from the [Hierarchy Browser](#) window.

4. Click the **Browse** button and select the category of locations for which the Access Rights have been assigned, from the [Hierarchy Browser](#).

5. Select the check boxes adjacent to the Business Lines you want to map with the User Roles.

6. Select the check boxes adjacent to the Role Codes of the user roles, which you want to map with the Business Lines.

You can search for a specific User Role from the *Search* grid, using Role Code and Role name.

7. Click **Map Rights** button.

The access rights are mapped to the selected user group.

6.6.1.2 Delete User Group

You can delete a user group, which is no longer required and if there are no users mapped to the group.

To delete a user group, which has no users mapped, from the *User - Profile Maintenance* window, follow these steps:

1. Select the check box adjacent to the user group name.
2. Click Delete group button.
3. Click **OK** in the confirmation dialog box.

The user group is deleted.

6.6.2 User - Profile Mapping

The *User - Profile Mapping* section allows you to map users to specific groups, which in turn provide the users with the role mapping for a key business dimension.

You can access the *User - Profile Mapping* section by navigating to *Admin > Access Rights > User - Profile Mapping*.

From the *User - Profile Mapping* window, you have to search for the existing Users using Name, Code, or Modified Date parameters. The Users matching the search criteria are displayed under *Users* grid. For more information, refer to [Search and Filter](#) section.

You can select the check box adjacent to a User name to view the User Group Mapping and Access Rights.

You can also wrap/unwrap user listing. For more information, refer to [Wrap/Unwrap Item List](#) section.

From the *User - Profile Mapping* window, you can perform the following actions:

- [Map User Groups to the Users](#)
- [Delete User Group Mapping](#)

6.6.2.1 Map User Groups to the Users

You can map the user groups to a user. Mapping facilitates the associated roles for the selected BU made available for the user.

To map user groups to a user from the *User - Profile Mapping* window, perform the following steps:

1. Select the check box adjacent to the User ID, to which you want to map User groups rights.

The *User Group Mapping* and *Access Rights* grids are enabled.

2. Click **Map Group** button from the *Access Rights* grid.

The *Map Groups to User* window is displayed.

In the *Map Groups to User* window, you can search for a specific group or a set of groups using the Group Code, Group Name, Description, Business Line, or Category parameters.

3. Select the check boxes adjacent to the Group Codes of the user groups, which you want to map with the Users.

4. Click **Map Groups** button.

The selected user groups are mapped to the user and are displayed under the User Group Mapping grid of the *User - Profile Mapping* window.

You can view the access rights mapped to the user group by selecting the check box adjacent to the User Group Code of the User Group you have mapped. The access codes are displayed under *Access Rights* grid.

6.6.2.2 Delete User Group Mapping

You can delete a user group mapping from the *User - Profile Mapping* window and thereby unmap the group from a user.

To delete and unmap a user group, from the *User - Profile Mapping* window, follow these steps:

1. Select the check box adjacent to the User Group Code from the *User Group Mapping* grid.
2. Click **Delete Group** button.
3. Click **OK** in the confirmation dialog box.

The user group mapping is deleted from the user. Deleting a mapping removes the associated roles from the user.

6.7 Excel Upload

Excel Upload utility facilitates you to upload excel data sheets to specific destination table and map the table's columns with the columns in the excel. Excel Upload supports excel files created in Microsoft 2007 along with the earlier versions. In addition, you can map and upload multiple sheets created within a single excel file.

You can access Excel Upload section by navigating to *Admin > Excel Upload* from the OFSMRM Home screen. The Excel-Entity Mappings and Excel Upload options are displayed in the LHS menu.

Click the links to view the section in detail.

- [Excel-Entity Mappings](#)
- [Excel Upload](#)

6.7.1 Excel-Entity Mappings

Excel-Entity Mapping helps you to map Excel Data to the destination table in the database. Excel-Entity Mapping supports excel files created in Microsoft 2007 and earlier versions along with the option to map and upload multiple sheets created within a single excel file.

6.7.1.1 Add Excel-Entity Mappings

To define mapping in the *Excel-Entity Mappings* screen:

1. Click **Add** button in *Mappings Summary* tool bar. The *ADD Excel-Entity Mappings* window is displayed.
2. Enter the required **Mapping Name** and **Description**.
3. Click **Browse** button. The Choose File to Upload dialog is displayed. Select the required Excel and click **Load Excel Metadata** button.

On upload, the selected Excel columns are listed in *Select Excel Columns* grid and the database tables are listed in *Select Entities* grid.

4. Enter the Source Date in dd/mm/yy format. You can select **Apply to all Dates** check box if the Excel contains date field.
5. Select **First Row is the Header** check box, if the first row in the Excel has headings.
6. Select the mapping database table by clicking on the + symbol or table name.
7. Click **Automap**. The respective columns with the similar names in the excel and database is mapped. You need to manually map the other columns. The mapping details are displayed in the *Mapping Information* grid which facilitates you to edit the details as required.
8. Select **Save with Authorization** check box to authorize and upload the data. The 3 mandatory fields i.e. *Maker_id*, *System_Date*, and *Authorization_Status*, are displayed in the *Select Excel Columns* grid.
9. (Optional) Select **Bulk Authorization** check box to assign the “Excel_Name” across the selected column. For example, the selected column “v_fic_description” will have the Excel Name assigned.

Note: Ensure that the selected “Varchar2” column contains the required length to hold the Excel Name. In order to select Bulk Authorization, you need to have Save with Authorization check box selected.

10. Select **Save Mapping**. The *Excel-Entity Mapping* screen displays the excel-database table mapping details. Mapping helps the further upload of data in the specified format and it does not require the user to map the entities again.

In the *Excel-Entity Mappings* window, you can also do the following:

- Click **View** button in the Mappings Summary tool bar to View the mapping details.

- Click **Edit** button in the Mappings Summary tool bar to Edit the mapping details.
- Click **Delete** button in the Mappings Summary tool bar to Delete the mapping details.

6.7.2 Excel Upload

Excel Upload helps you to upload Excel Data to destination table in the database. Excel Upload supports excel files created in Microsoft 2007 and earlier versions along with the option to map and upload multiple sheets created within a single excel file. You need to ensure that the excel data contains the dates in the format as defined in Add Excel-Entity Mapping definition.

To upload excel data in the *Excel Upload* screen:

1. Click **Browse** in the Excel File to Upload grid. The *Choose File to Upload* dialog box is displayed.
2. Select the required Excel and click **Preview** button.
The columns in excel are populated in the Sheet drop down list and the *Preview* grid displays the data of the selected excel file.
3. Click **Browse** in the *Excel-Entity Mappings* grid. The Mapping Selector dialog box is displayed with the pre-defined mapping details.
4. Select the check box adjacent to the required mapping definition and click **OK**.
5. Click **Upload**. A confirmation dialog is displayed on successful upload and the excel data is uploaded to the database table.

6.8 User Interface Language Manager

The User Interface Language Manager section allows you to maintain the labels of screens, fields, containers, and messages in multiple languages. You can access the User Interface Language Manager by navigating to Admin > User Interface Language Manager from OFSMRM Home screen.

User Interface Language Manager allows updating existing labels in the application in the default language English.

You can change the language of the following UI components:

- Screens
- Containers
- Fields
- Messages

To change the language of an above component from the *User Interface Language Manager* window, from the follow these steps:

1. Select a user interface component from the LHS menu. The respective Search, Details, and Language Manager grids are displayed.

You can use the Search functionality to locate a specific component in the User Interface Language Manager window. For more information, refer to [Search and Filter](#) section.

2. Select the check box adjacent to the Form Code, Screen Code, Field Details, or Message Details column depending on the component selected.

The *Language Manager* grid is displayed with the available language details.

3. Select the check box adjacent to the required language and update the details.

4. Click **Save** button.

The language details are updated for the selected component.

6.9 Document Upload

The Document Upload section uploads and holds the documents uploaded from and required to be used in, various modules of the OFSMRM application.

You can search for a specific document or a set of documents from the *Document Upload* window using the parameters such as Name, ID, Status, Type, or Created Date. For more information, refer to [Search and Filter](#) section.

You can also wrap/unwrap document listing. For more information, refer to [Wrap/Unwrap Item List](#) section.

The *Document Upload* window allows you to perform the following actions:

- [Attach Documents](#)
- [View Documents](#)
- [Document Details Management](#)
- [Edit Document Details](#)
- [Delete Documents](#)

6.9.1 Attach Documents

The attach document functionality facilitates you to upload and save a document in the OFSMRM application.

To upload a document from the *Document Upload* window, follow these steps:

1. Click **Attach Document(s)** button from the *Documents* grid.

The *Attach Documents* window is displayed.

2. Populate the form details as tabulated below:

Table 6–8 *Attach Documents Details*

Field	Description
The field(s) marked in asterisks (*) are mandatory.	
Component	By default, the component is selected as Others.
Type	Select the type of the document form the drop down list. The available values are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures

Table 6–8 Attach Documents Details

Field	Description
Document Security	The available options are: <ul style="list-style-type: none"> • Public: Public documents can be viewed, edited, and re-uploaded by any user. • Read Only: Read only documents can be viewed by all users. However, edit and re-upload rights will be limited to a user or an administrator. • Confidential: Confidential documents can be viewed by only those users who have the confidential role or the users selected for the specific document.
Logical File Name	Enter a name for the document to be uploaded.
Choose a file	Click the Browse button to locate and find a document from the local computer in the <i>Choose File to Upload</i> dialog box. Click Attach File button. The document is uploaded.

3. Click **Back** button and you are directed to the *Document Upload* window. You can view the uploaded document under *Documents* grid.

While attaching a document which is marked as confidential, the *User* grid will be enabled where the users can be linked or delinked. For Public and Read Only documents, the *User* grid will not be displayed.

6.9.2 View Documents

The view document functionality facilitates you to view the document in the OFSMRM application.

To view a document from the *Document Management* window, follow these steps:

1. Select the check box adjacent to the document ID of the document which you want to view.
2. Click **View Document** button.
The *File Download* window is displayed.
3. In the *File Download* window, click **Save** button to save the document or click **Open** button to view the document.

In the *Documents* grid, the documents are listed depending on the different logged-in user roles.

- If you login as an Administrator, you can edit, view, and upload *Public* and *Read only* documents. You can also can re-upload *Public* and *Read only* documents.
- If you login as a Confidential user and an Administrator, then you can view the documents marked as confidential.
- If you login as an Analyst, you can view all the documents.
- If you login as any other user, then you can view only the *Public* and *Read only* documents. You can re-upload only the *Public* documents or the documents that you uploaded previously.

Confidential documents can be viewed by the users selected in the *User* grid even if the confidential role is not mapped. When a document security is selected as Confidential, the *User* grid is enabled in the *Document Details* screen.

6.9.3 Document Details Management

The *Document Details Management* window facilitates you to populate additional details such as Users and Business Units to an uploaded document.

You can navigate to the *Document Details Management* window by clicking the Document ID hyperlink of an uploaded document from the *Documents* grid.

You can perform the following actions from the *Document Details Management* window:

- [Link Users](#)
- [Link Business Units](#)

Note: The link User and link Business Unit functionalities are enabled only for the *Confidential* documents.

6.9.3.1 Link Users

To link users to an uploaded document from the *Document Details Management* window, perform the following steps:

1. Click the Document ID hyperlink of the document to which you want to link users, from the *Document Management* window.

The *Document Details* window is displayed.

2. Click **Link Users** button from the *Users* grid.

The *Hierarchy Browser* window is displayed.

3. Select the required users from the *Hierarchy Browser* window and click **OK** button.

For more information, refer to [Hierarchy Browser](#) section.

The selected users are displayed in the *Users* grid.

4. Click **Submit** button.

In the *User* grid, all the users are displayed in a Hierarchy Browser, other than the users mapped to an Analyst role. The Administrator can select the users who will have access to the document. The users mapped to an Analyst role should have access to all the documents, including Confidential documents.

You can delink the users linked to a document, from the *Document Details Management* window by selecting the check box(s) adjacent to the User Names, which you want to delink and by clicking the **Delink** button from the *Users* grid.

Note: Link and delink User functions are available for all users who can attach a document.

6.9.3.2 Link Business Units

To link Business Units to an uploaded document from the *Document Details Management* window, perform the following steps:

1. Click the Document ID hyperlink of the document to which you want to link Business Units, from the *Document Management* window.

The *Document Details* window is displayed.

Note: Business Units cannot be associated from Model or Usage windows.

2. Click **Link BU** button from the *Business Units* grid.
The *Recommended Business Combinations* window is displayed.
The selected users are displayed in the *Users* grid.
3. Select the check boxes adjacent to the required Business Units from the *Recommended Business Combinations* window and click **OK** button.
4. Click **OK** in the Operation Success dialog box.
The selected Business Units are displayed under *Business Units* grid.
5. Click **Submit** button.

You can delink the Business Units linked to a document, from the *Document Details Management* window by selecting the check box(s) adjacent to the Business Units, which you want to delink and by clicking the **Delink** button from the *Business Units* grid.

On removing the Business Unit, the document is not associated with any specific business unit and is available for all business units.

Note: Link and delink Business Unit functions are available for all users who can attach a document.

6.9.4 Edit Document Details

You can edit an uploaded document to change any pre defined parameters or to link Users and Business Units.

To edit a document from the *Document Management* window, follow these steps:

1. Click the document ID hyperlink of the document to be edited.
The *Document Details* window is displayed.
2. You can edit the Name, Document Security, Type, and Description fields.
You can also link/delink Users and Business Units to the documents. For more information, refer to the respective sections:
 - [Link Users](#)
 - [Link Business Units](#)
3. Click **Submit** button.
4. Click **OK** button in the information dialog box.
The document details are updated.

6.9.5 Delete Documents

You can remove a document if it is no longer required in the application.

To delete a document from the Document Management window, follow these steps:

1. Select the check box adjacent to the document ID under the *Documents* grid.
2. Click **Delete Document** button.
3. Click **OK** in the confirmation dialog box.
The document is deleted from the list.

6.10 Questionnaire

The Questionnaire section in Admin module of OFSMRM facilitates you to create Questions to determine the stability and efficient performance of Models. The Questions can be created and they can be grouped to form Questionnaires.

The Questionnaire section consists of the following two sub sections:

- [Questions Library](#)
- [Questionnaire Library](#)

6.10.1 Questions Library

The Questions Library allows you to create and manage Questions to be used to determine the stability of Models. You can navigate to *Admin > Questionnaire > Questions Library* from the OFSMRM Home screen to access *Questions Library* window. Various types of Questions such as Single Choice, Multiple Choice, Free Text, Number, and Range can be created from this section.

The Question definitions are displayed with details such as ID, Question, Category, Question Type, Display type, Questionnaires, Status, and Last Modified date information. You can search for a Question or a set of Questions from the Question Library window. For more information, refer to [Search and Filter](#) section.

The following actions are possible from the *Questions Library* window.

- [Create Question](#)
- [Copy Question](#)
- [Question Details Management](#)
- [Delete Question](#)

6.10.1.1 Create Question

To create a Question from the *Questions Library* window, follow these steps:

1. Click **Create Question** button from the *Questions* grid.

The *Question Details* window is displayed.

Figure 6-4 Question Details Screen

This Question definition is associated with an ID, which is the sequential tracking number of the Question. The **ID** field is non-editable.

2. Enter the Question in the **Question** field.

This field is alphanumeric and the maximum allowed characters are 3000.

3. Enter a description about the Question in the **Description** field.

This field is alphanumeric and the maximum allowed characters are 3000.

4. Select the category of the Question from the drop down list. The available options are:

- External
- IT
- Infrastructure

5. Select the type of the Question as Single Choice, Multiple Choice, Free Text, Number, or Range from the **Question Type** field.

Depending on the choice of your type selection, enter the details from the following sections:

6.10.1.1.1 Single Choice

If you have selected the Question type as Single Choice, enter the following details under the Single Choice field:

1. Select **Display as drop down** or **Display as Radio Buttons** option by selecting the appropriate radio button.
2. Add the drop down or radio button options by clicking the **Add Option** button and entering the option in the **Response Options** field.

You can also select the check box adjacent to the **Response Options** field and edit an existing option or click **Delete Options** button to remove an unwanted option.

The Question will be displayed as shown in the following example:

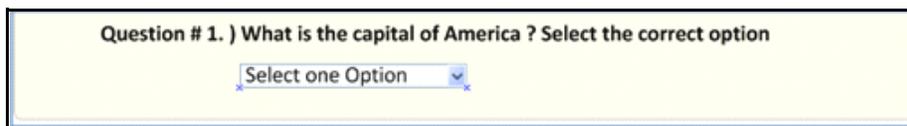


Figure 6-5 Single Choice Question Screen

6.10.1.1.2 Multiple Choice If you have selected the Question type as Multiple Choice, enter the following details under the Multiple Choice field:

1. Select **Display as Check box list** or **Display as a Combo Box** option by selecting the appropriate radio button.
2. Add the drop down list or radio button options by clicking the **Add Option** button and entering the option in the **Response Options** field.

You can also select the check box adjacent to the **Response Options** field and edit an existing option or click **Delete Options** button to remove an unwanted option.

The Question will be displayed as shown in the following example:

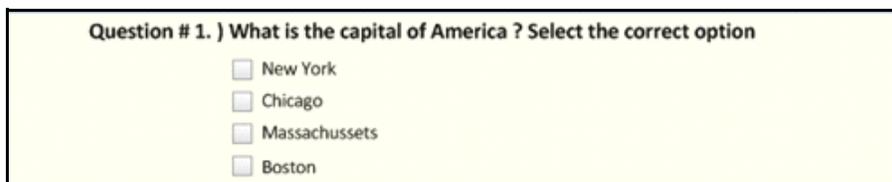


Figure 6-6 Multiple Choice Question Screen

6.10.1.1.3 Free Text

If you have selected the Question type as Free Text, enter the following details under the Free Text field:

1. Select **Display as a Text Field** or **Display as a Text Area** option by selecting the appropriate radio button.

The maximum allowed characters in **Display as a Text Field** and **Display as a Text Area** are 300 and 3000 respectively.

The Question will be displayed as shown in the following example:

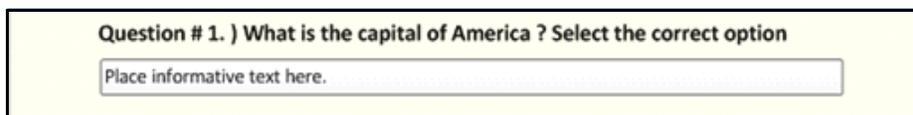
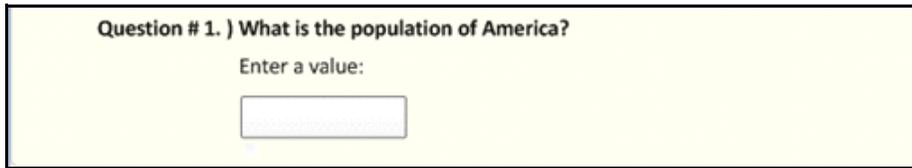


Figure 6-7 Free Text Question Screen

6.10.1.1.4 Number If you have selected the Question type as **Number**, create the Question in such a way that the answer is a numeral.

The Question will be displayed as shown in the following example:



Question # 1.) What is the population of America?

Enter a value:

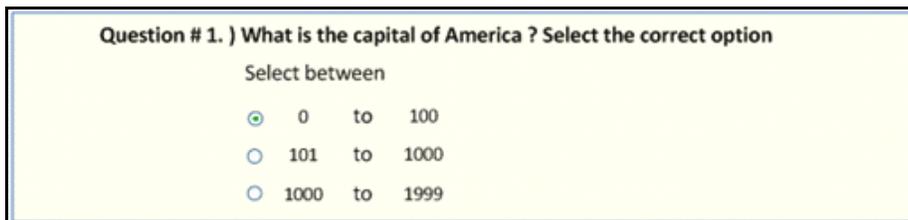
Figure 6-8 Number Question Screen

6.10.1.1.5 Range If you have selected the Question type as **Range**, enter the following details under the Range field:

1. Select **Display as a Range of Values** or **Display as a Number** option by selecting the appropriate radio button.
2. Add the drop down or radio button options by clicking the **Add Option** button and entering the option in the **Response Options** field.

You can also select the check box adjacent to the **Response Options** field and edit an existing option or click **Delete Options** button to remove an unwanted option.

The Question will be displayed as shown in the following example:



Question # 1.) What is the capital of America ? Select the correct option

Select between

0 to 100

101 to 1000

1000 to 1999

Figure 6-9 Range Question Screen

6. Click **Save Draft** button.

The Question details are saved and is displayed under the *Questions* grid of the *Question Library* window with **Draft** status.

6.10.1.2 Copy Question

You can copy an existing Question to form a new Question definition in the Questions Library Page. To create a new Question from the Questions Library page, follow these steps:

1. Select the check box adjacent to the Question ID.
2. Click **Copy Question** button from the *Questions* grid.

The Question details are copied and a confirmation message is displayed. Click **OK**.

The copied Question is displayed under the *Questions* grid in **Draft** status with a new ID.

You can access Copy Question functionality from the *Question Details* window as well.

6.10.1.3 Question Details Management

The *Question Details* window facilitates you to perform additional actions on the existing Questions.

You can access the Question Details by clicking the Question ID link from the *Question Library* window.

The actions that are possible on a Question from the *Question Details* window are the following:

- [Edit Question](#)
- [Submit Questions for Review](#)

6.10.1.3.1 Edit Question You can edit the details of an existing Question in **Draft** or **In Review** status from the *Questions Library* window. To edit the Question definition details from the *Questions Library* window, follow these steps:

1. Click the Question **ID** hyperlink of the Question definition, which you want to edit.

The Question definition details are open for edit.

2. Edit the details as required.

You can edit the Question, Description, Category, and Response Options.

Note: For a Question definition in **In Review** status, only the Display Type information can be changed.

For more information, refer to [Create Question](#) section.

3. Click **Update** button. The Question definition details are saved with updated details.

6.10.1.3.2 Submit Questions for Review You can send Questions, which are in **Open** status, for review.

To send a Question for review from the *Questions Library* window, follow these steps:

1. Click the Question **ID** hyperlink of the Question definition, which you want to send for review.

The Question definition details are displayed.

2. Click the **Review Question** button.

Note: Reviewing the Question moves all the Questionnaires, using the specific Question to In Review status. These Questionnaires will not be available for assessment process.

3. Click **OK** in the confirmation dialog box.

The Question review has been initiated and the status is changed to **In Review**.

Note: Clicking the **Submit** button of a Question definition in **In Review** status moves the definition to **Open** status.

6.10.1.4 Delete Question

You can delete the details of a Question which is in Draft status from the *Questions Library* window. To delete the definition details of a Question from the *Questions Library* window, follow these steps:

1. Select the check box adjacent to the Question **ID** of the Question definition, which you want to remove.
2. Click **Delete Question** button.
3. Click **OK** in the confirmation dialog box. The Question definition details are deleted and removed from the *Questions* grid.

6.10.2 Questionnaire Library

The Questionnaire Library allows you to create and manage Questionnaires which are a set of Questions, to be used to determine the stability of Models. You can navigate to *Admin > Questionnaire > Questionnaire Library* from the OFSMRM Home screen to access *Questionnaire Library* window.

The Questionnaire definitions are displayed with details such as ID, Name, Type, Purpose, Number of Questions, Status, and Last Modified Date information. You can search for a Questionnaire or a set of Questionnaires from the *Questionnaire Library* window. For more information, refer to [Search and Filter](#) section.

The following actions are possible from the *Questionnaire Library* window.

- [Create Questionnaire](#)
- [Copy Questionnaire](#)
- [Questionnaire Details Management](#)
- [Delete Questionnaire](#)

6.10.2.1 Create Questionnaire

To create Questionnaire from the *Questionnaire Library* window, follow these steps:

1. Click **Create Questionnaire** button from the *Questionnaires* grid.

The *Questionnaire Details* window is displayed. This Questionnaire definition is associated with an ID, which is the sequential tracking number of the Questionnaire. The **ID** field is non-editable.

Figure 6–10 *Questionnaire Details*

2. Enter the name of the Questionnaire in the **Name** field.
This field is alphanumeric and the maximum allowed characters are 300.
3. Enter a description about the Question in the **Description** field.
This field is alphanumeric and the maximum allowed characters are 3000.
4. Select the owner of the Question from the Questionnaire by clicking the **Browse** button and selecting the user from the [Hierarchy Browser](#).

5. Select the application as Model Risk Management from the drop down list.
6. Select the Questionnaire Type from the drop down list. the available options are:
 - Basic
 - Score Based
7. Select the purpose of the Questionnaire from the drop down list. The available options are:
 - Model Assessments
 - Usage Assessments
 - Tier Template

Note: Tier Template is displayed in purpose drop down, only if you have selected Scorecard as Questionnaire Type.

8. Set the high and low values to reach a rating, after selecting the Purpose.
9. Click **Save Draft** button. The Questionnaire details are saved and is displayed under *Questionnaire* grid.

6.10.2.2 Copy Questionnaire

You can copy an existing Questionnaire to form a new Questionnaire definition from the *Questionnaire Library* window. To create a new Questionnaire from the *Questionnaire Library* window, follow these steps:

1. Select the check box adjacent to the Questionnaire ID.
2. Click **Copy Questionnaire** button from the *Questionnaires* grid.

The Questionnaire details are copied and a confirmation message is displayed. Click **OK**.

The copied Questionnaire is displayed under the *Questionnaires* grid in **Draft** status with a new ID.

6.10.2.3 Questionnaire Details Management

The Questionnaire Details window facilitates you to perform additional actions on the existing Questionnaires.

You can access the Questionnaire Details by clicking the Questionnaire ID link from the *Questionnaire Library* window

The actions that are possible on a Questionnaire from the *Question Details* window are the following:

- [Edit Questionnaire](#)
- [Preview Questionnaire](#)
- [Submit Questionnaire for Review](#)

6.10.2.3.1 Edit Questionnaire

You can edit the details of an existing Questionnaire with **Draft** or **In Review** status from the *Questionnaire Library* window. To edit the definition details of a Questionnaire from the *Questionnaire Library* window, follow these steps:

1. Click the Questionnaire **ID** hyperlink of the Questionnaire definition, which you want to edit.

The Questionnaire definition details are open for edit.

2. Edit the details as required.

You can edit the Name, Description, Owner, Sections & Questions, and Documents.

For more information, refer to [Create Questionnaire](#) section.

3. You can also create sections and Questions from the edit window. A Questionnaire can have multiple sections and each of these section can contain Questions. To create a section for a pre defined Questionnaire, follow these steps:

1. Click the **ID** hyperlink of the Questionnaire, to which you want to add sections.
2. The definition details are displayed in *Questionnaire Details* window.
3. Click **Edit** button.
4. Enter the Section Name in *Sections & Questions* grid and click **Add Section (+)** button.

The section is added and is displayed under *Sections & Questions* grid.

5. Click **Edit Section** button to edit the section name. Click **Save Section** button.
6. Click **Create Question** button to create a Question in the saved section. For more information, refer to [Create Question](#) section.
7. Click **Link Question** button to link existing Questions from the *Questions Library* window. For more information, refer to [Questions Library](#) section.
8. Select the check box adjacent to a Question and click **Delink Question** button to delink a previously linked Question.
9. Select the check box adjacent to a Question and click **Delete Question** button to remove a Question.

Note: Only those Questions, which are created from the specific section can be deleted using this delete functionality.

10. Click **Delete Section** button and click **OK** in the confirmation dialog box to remove a section.
4. You can reorder the sequence of Questions from the *Questionnaire Details* window. To reorder a set of Questionnaire, follow these steps:
 1. Click the **Sequence Questions** button.

The *Sequence Questionnaire* window is displayed.
 2. Click **Move Question** button and populate the **From** and **To** fields of **Change Question Number** to move a Question. Click **Change** button.
 3. Click **Move to Section** button and select the section name from the drop down list in **Move Selected Questions to** field to move a Question to the selected section. Click **Change** button.
 4. Click **Move Section** button and populate the **From** and **To** fields of **Change Section Number** to move a Question. Click **Change** button.
 5. Click **Save Sequence** button to save the Sequence Questions details.
 5. You can attach documents to the Questionnaire definition from the Questionnaire Details window. To attach a document to the Questionnaire from the Questionnaire Details window, follow these steps:

1. Click **Attach Document(s)** button from the *Documents* grid.
The *Attach Documents* window is displayed.
2. Populate the form details as tabulated:

Table 6–9 Attach Documents Details

Field	Description
The field(s) marked in asterisks(*) are mandatory.	
Component	The component is selected as Questionnaire, by default.
Type	Select the type of the document from the drop down list. The available options are: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures
Logical File Name	Enter a name for the file, which you are about to upload.
Choose a file	Click Browse button and select the required file from the <i>Choose File to Upload</i> window.

3. Click **Attach File** button.
The selected file is associated with the Questionnaire definition.
6. You can click the *Preview Questionnaire* button to view the preview of the Questionnaire.
7. Click **Submit** button. The Questionnaire definition is saved with updated details.
The status of a saved Questionnaire is changed to **Open**.
8. Click **Review** button to submit the Questionnaire for review.
The status of the Questionnaire is changed to **In Review**.

6.10.2.3.2 Preview Questionnaire

The preview Questionnaire section facilitates you to view the Questionnaire and the associated sequence Questions.

To preview the Questionnaire from the *Questionnaire Library* window, follow these steps:

1. Click the Questionnaire **ID** hyperlink of the Questionnaire definition, which you want to preview.
The Questionnaire definition details are displayed.
2. Click the **Preview Questionnaire** button.
The Questionnaire with all the associated Questions are displayed in *Preview Questionnaire* window.

From the *Preview Questionnaire* window, you can also click the **View Documents/Hide Documents** button to view/hide the documents associated with the Questionnaire in the *Documents* grid.

6.10.2.3.3 Submit Questionnaire for Review

You can send Questionnaire, which are in Open status, for review.

To send a Questionnaire for review from the *Questionnaire Library* window, follow these steps:

1. Click the Questionnaire **ID** hyperlink of the Questionnaire definition, which you want to send for review.

Note: Only those Questionnaires which are in **Open** status can be sent for review.

The Questionnaire definition details are displayed.

2. Click the **Review** button.
3. Click **OK** in the confirmation dialog box.

The Questionnaire review has been initiated and the status is changed to **In Review**.

4. Click **Submit** button. The Questionnaire has been sent for review.

Note: Questionnaires in **In Review** status will not be available for assessment/attestations until it is moved back to **Open** status.

6.10.2.4 Delete Questionnaire

You can delete the details of a Questionnaire which is in Draft status from the *Questionnaire Library* window. To delete the definition details of a Questionnaire from the *Questionnaire Library* window, follow these steps:

1. Select the check box adjacent to the Questionnaire **ID** of the Questionnaire definition, which you want to remove.
2. Click **Delete Questionnaire** button.
3. Click **OK** in the confirmation dialog box. The Questionnaire definition details are deleted and removed from the *Questionnaires* grid.

7.1 Overview

The dashboard of OF SMRM integrates the results generated by the OFSMRM application with Oracle Business Intelligence (OBI), giving users the ability to perform queries on OFSMRM components. This ability enables the user to access seeded reports and dashboards and to quickly develop new reports on a wide variety of information.

Standard reports and dashboards are part of the installation of OFSMRM. You can implement these reports as they are available, or modify them to the specifications of your users. Within minutes, you can access valuable information such as High Risk Models and Usages, Model Validation Rating analysis, Aging of Model Issues, Heat map of components, and so on.

This chapter describes the available OFSMRM reports.

7.1.1 Access Dashboard

You can access Dashboards from the OFSMRM home page by clicking **Dashboard** menu. The available reports in Oracle Business Intelligence Enterprise Edition (OBIEE) are displayed. For more information on OBIEE, refer to Oracle Business Intelligence Enterprise Edition end user documents at

<http://www.oracle.com/technetwork/middleware/bi-foundation/documentation/bi-apps-098545.html>.

7.2 Reports

The following Dashboards are available as part of OFSMRM application.

7.2.1 Executive Dashboard

The Executive Dashboard of OFSMRM includes few basic reports available. You can select a Business Line and Category to view the details.

- [High Risk Models](#)
- [High Risk Usage](#)
- [Models by Regulation](#)
- [Usage by Regulation](#)
- [Current Vs Previous Model Validation Rating](#)
- [Current Vs Previous Usage Validation Rating](#)
- [Aging of Model Issues](#)
- [Aging of Usage Issues](#)

- [Model Validation Heat Map](#)
- [Usage Validation Heat Map](#)
- [Additional Reports](#)
 - [Model by Status](#)
 - [Usage by Status](#)

7.2.1.1 Aging of Model Issues

This report provide you a detailed view of the number of Issues which have Model Issues pending to be resolved. This details the total number of Model Issues, Model Issues fixed on time, and pending Model Issues in different time frames.

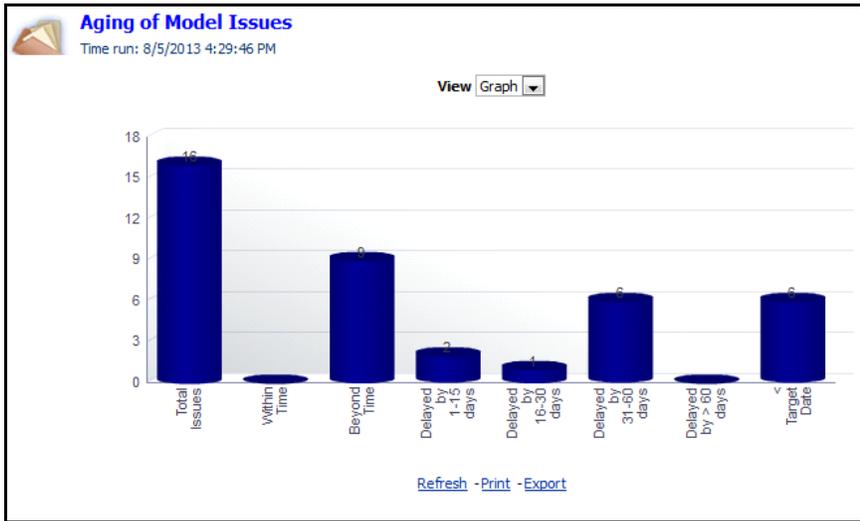


Figure 7-1 Aging of Model Issues

7.2.1.2 Aging of Usage Issues

This report provide you a detailed view of the number of Models which have Issues pending to be resolved. This details the total number of Issues, Issues fixed on time, and pending Issues in different time frames.

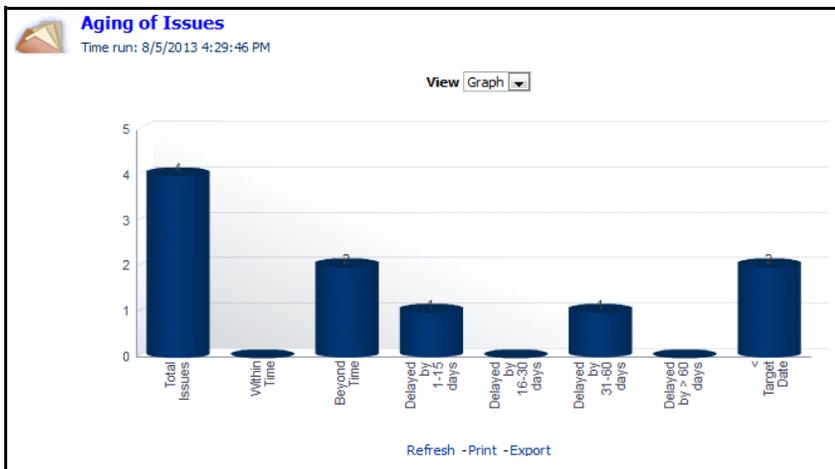


Figure 7-2 Aging of Usage Issues

7.2.1.3 Additional Reports

The following additional reports are also present as part of the Executive Dashboard.

7.2.1.3.1 Model by Status

Model by Status displays the number of Models present is different workflow statuses. You can click the bars of the chart to view the details regarding these Models in each status.

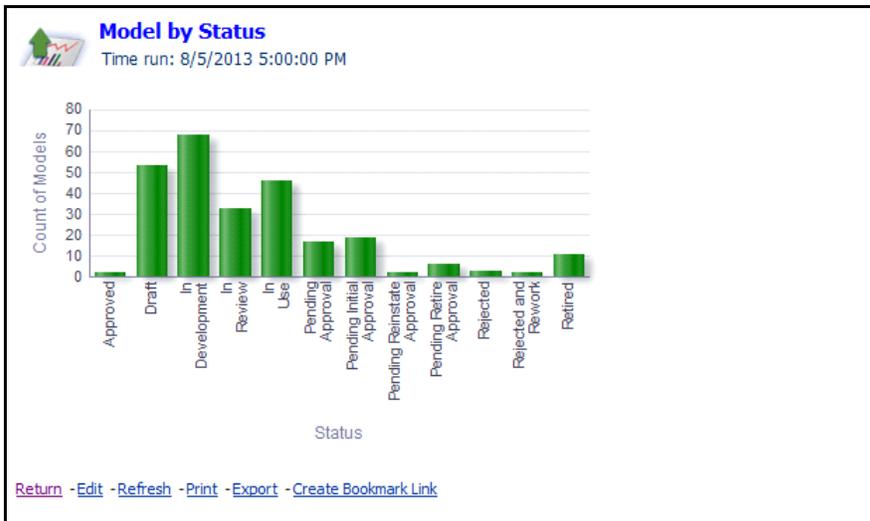


Figure 7-3 Model by Status

7.2.1.3.2 Usage by Status

Usage by Status displays the number of Usages present is different workflow statuses. You can click the bars of the chart to view the details regarding these Usages in each status.

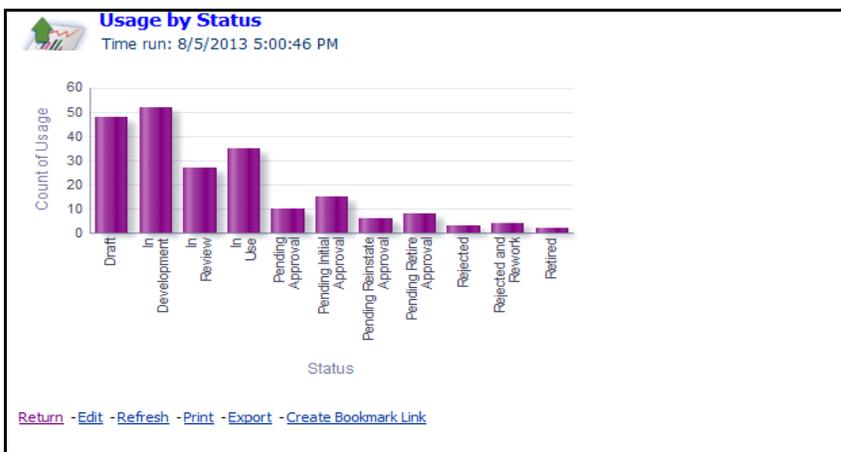


Figure 7-4 Usage by Status

7.2.2 Issue & Actions

The following reports are available as part of Issue & Actions dashboard:

- [Issues across Category](#)
- [Actions across Category](#)
- [Issues across Business Lines](#)
- [Actions across Business Lines](#)
- [Aging of Issues](#)
- [Aging of Actions](#)

7.2.2.1 Issues across Category

Issues across Category provides you a detailed view of Issues across different categories. This report plots the number of Issues and Issue Cost for different categories such as Credit Risk, Liquidity Risk, and Market Risk.



Figure 7-5 Issues Across Category

7.2.2.2 Actions across Category

Actions across Category provides you a detailed view of Actions across different categories. This report plots the number of Actions and Action Cost for different categories such as Credit Risk and Liquidity Risk.

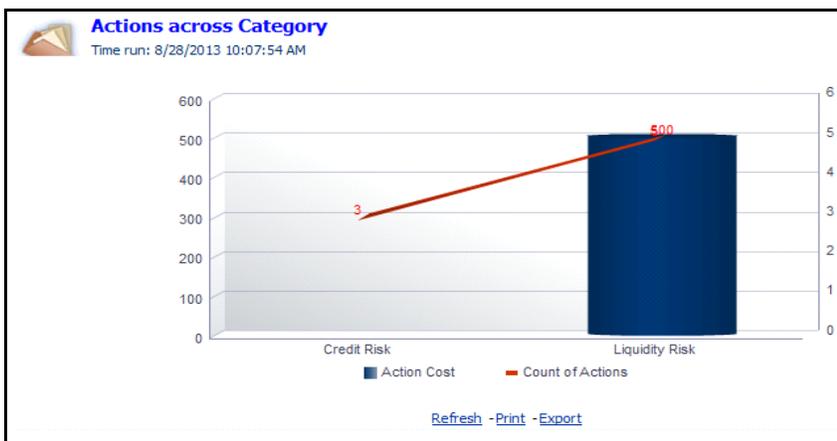


Figure 7-6 Actions Across Category

7.2.2.3 Issues across Business Lines

Issues across Business Lines provides you a detailed view of Issues across different Business Lines. This report plots the number of Issues and Issue Cost for different Business Lines such as Retail Banking, Retail Finance, and so on.



Figure 7-7 Issues Across Business Lines

7.2.2.4 Actions across Business Lines

Actions across Business Lines provides you a detailed view of Actions across different Business Lines. This report plots the number of Actions and Action Cost for different Business Lines such as Retail Banking, Retail Finance, and so on.

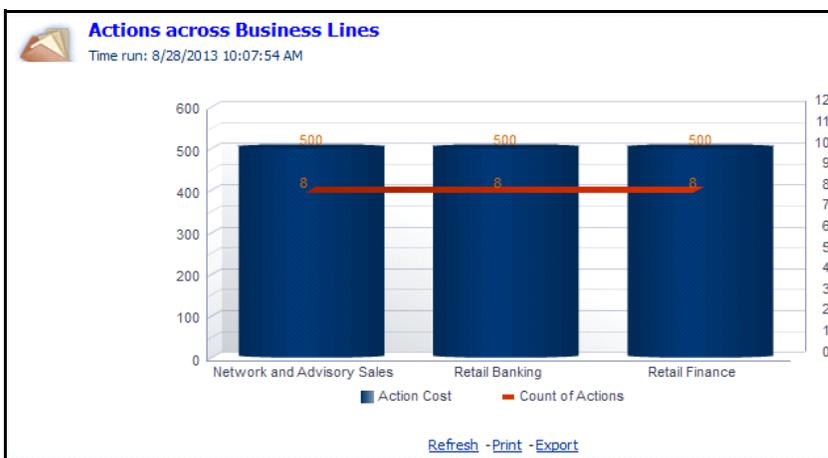


Figure 7-8 Actions Across Business Lines

7.2.2.5 Aging of Issues

Aging of Issues report provide you a detailed view of the number of Issues pending to be resolved. This details the total number of Issues, Issues fixed on time, and pending Issues in different time frames.

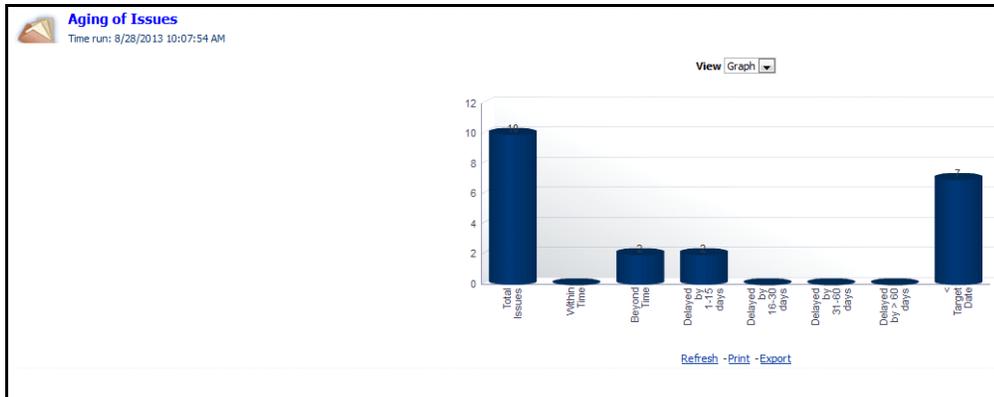


Figure 7-9 Aging of Issues

7.2.2.6 Aging of Actions

Aging of Issues report provide you a detailed view of the number of Issues pending to be resolved. This details the total number of Issues, Issues fixed on time, and pending Issues in different time frames.

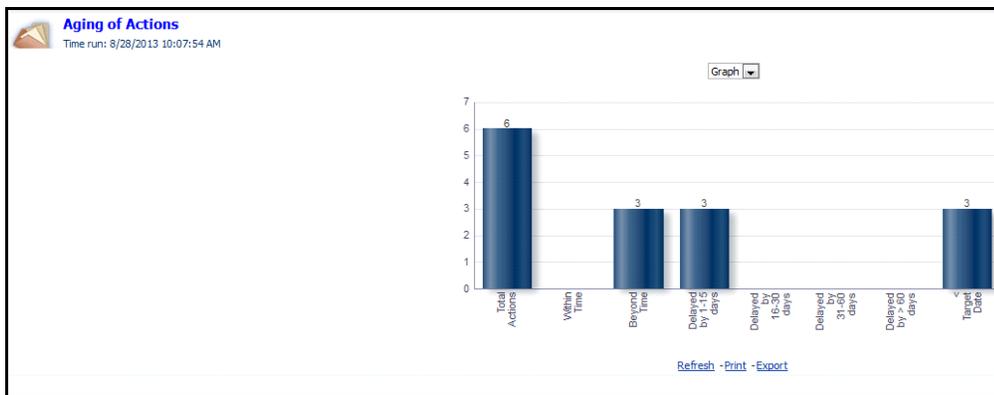


Figure 7-10 Aging of Actions

7.2.3 Model & Usage

The Model & Usage dashboard provides you the following reports in two different tabs, which are Models and Usage.

The reports available under Models tab are the following:

- [High Risk Models](#)
- [Models by Regulation](#)
- [Current Vs Previous Model Validation Rating](#)
- [Model Validations Task Schedule](#)

- [Model Validation Heat Map](#)
- [Additional Reports](#)
 - [Model Status Report](#)
 - [Overdue Model Issues](#)
 - [Overdue Model Actions](#)
 - [Overdue Model Attestations](#)
 - [Overdue Model Validations](#)
 - [Overdue Model Change Log](#)
 - [Pending Approval Model Stages](#)
 - [Model Details](#)

7.2.3.1 High Risk Models

This report provides you an insight to the number of Models, which are at risk among different Business Lines and Categories. You can choose to view the number of high risk Models either in various Business Lines or in different Categories.



Figure 7-11 High Risk Models

You can also click any of the bar graph item to view the details of the High Risk Models in that Business Line or Category.

7.2.3.2 Models by Regulation

Models by Regulation report provides you a detailed view of the number of Models under different regulatory in a Business Line. You can choose to view the number of Models either in various Business Lines or in different Categories from the **View by** drop down list.

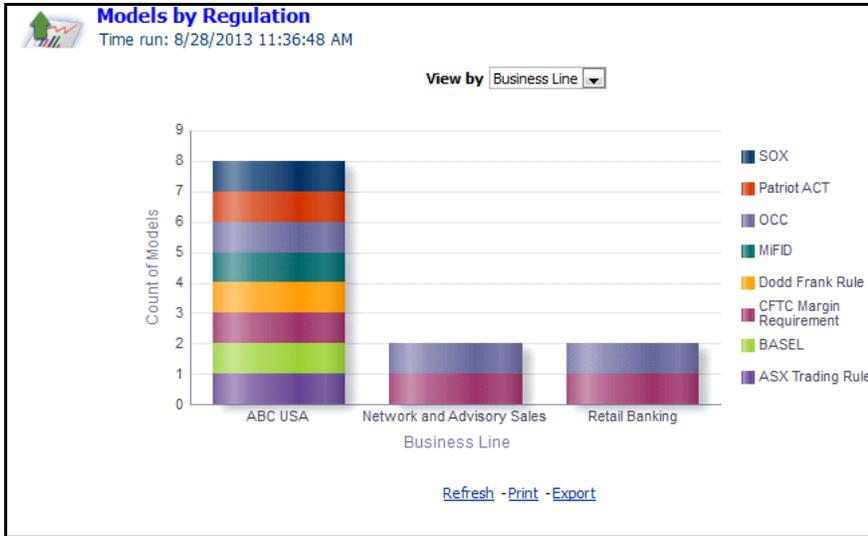


Figure 7-12 Models by Regulation

7.2.3.3 Current Vs Previous Model Validation Rating

Current Vs Previous Model Validation Rating report provides you the number of Models undergo different Validation Types.

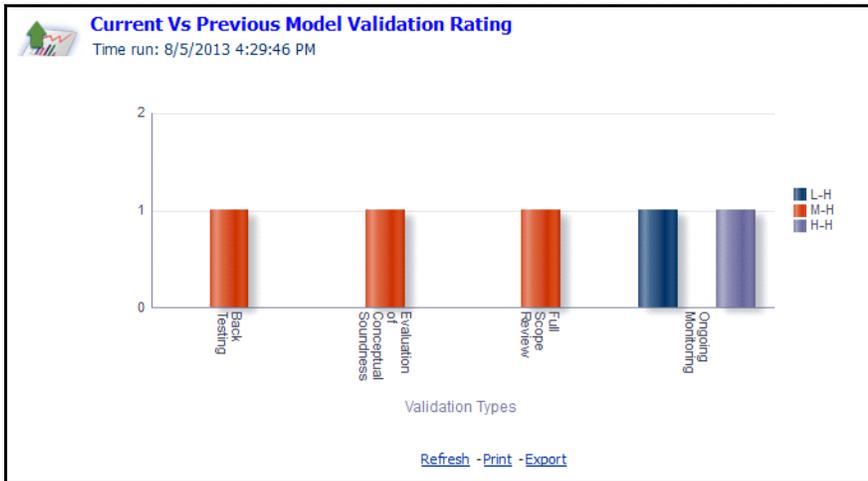


Figure 7-13 Current Vs Previous Model Validation Rating

7.2.3.4 Model Validations Task Schedule

Model Validations Task Schedule provides you the percentage of the number of validations scheduled in different quarters.

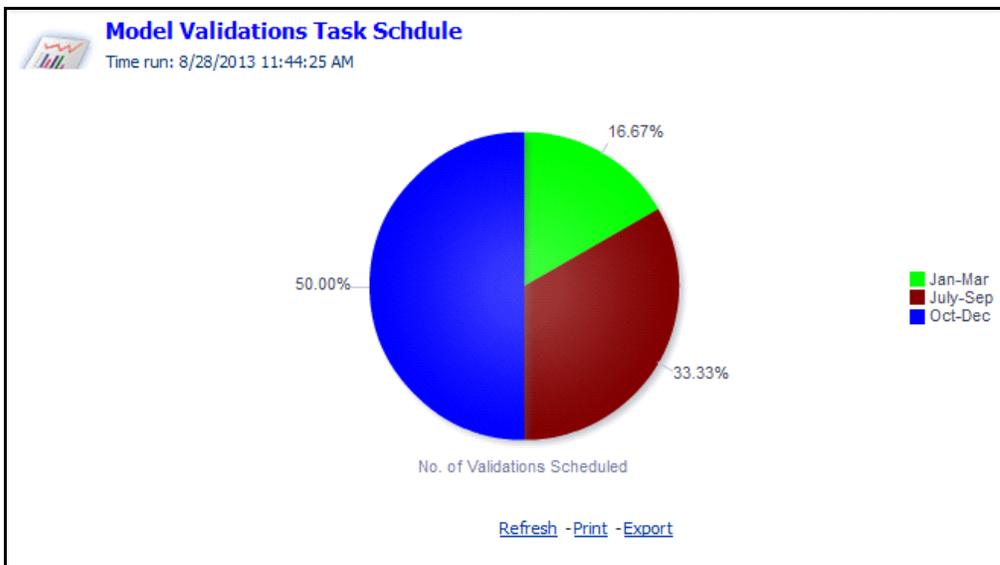


Figure 7-14 Model Validations Task Schedule

7.2.3.5 Model Validation Heat Map

Model Validation heat map provides you a detailed view of Models with validation ratings. This report tabulates the validation details with details such as Model ID, Model Name, Version, Business Line, Category, Criticality, Tier, Validation Type, Validation Rating, and Validated Date.

Model Validation Heat Map
Time run: 8/5/2013 4:29:46 PM

Model ID	Model Name	Version	Business Line	Category	Criticality	Tier	Validation Type	Validation Rating	Validated Date
Child	Child Model	1	Wholesale Banking	Credit Risk	Very Low		Control		7/4/2013 8:43:45 PM
MODEL01	PD Model for North American Obligors	1.0	Wholesale Banking	Credit Risk	High	Tier One	Full Scope Review Quantitative Performance Monitoring		7/4/2013 8:53:38 PM 7/15/2013 3:02:58 PM 7/18/2013 3:37:00 PM 8/5/2013 10:40:56 AM 8/5/2013 10:59:59 PM
MODEL06	Revenue Inflation	1.0	Network and Advisory Sales	Credit Risk	Low	Tier Two	Evaluation of Conceptual Soundness	High Medium	7/2/2013 1:44:57 PM 7/9/2013 5:37:29 PM 7/2/2013 2:11:52 PM
MODVAL	Model Validation	1	Wholesale Banking	Credit Risk	Very Low	Tier Two	Ongoing Monitoring	Low	6/28/2013 12:02:07 AM
SGMDL1	SGMDL123	1	Wholesale Banking	Market Risk	Very Low	Tier One	Ongoing Monitoring	High Low	5/27/2013 7:28:24 PM 7/2/2013 3:42:56 PM 5/27/2013 12:17:30 PM 6/27/2013 12:10:54 PM
TTTTTT	TTTTTT	111	Wholesale Banking	Market Risk	Medium	Tier One	Back Testing		7/19/2013 12:13:51 PM 7/19/2013 12:20:31 PM 7/19/2013 12:21:37 PM 7/19/2013 12:23:17 PM
Vald22	Vald22	1	Wholesale Banking	Credit Risk	Very Low		Back Testing	High Medium	7/2/2013 2:12:36 PM 7/2/2013 1:44:57 PM

Refresh - Print - Export

Figure 7-15 Model Validation Heat Map

7.2.3.6 Additional Reports

The following additional reports are part of Models tab of Models & Usage dashboard:

7.2.3.6.1 Model Status Report

Model Status Report provides you the number of Models present in different statuses.

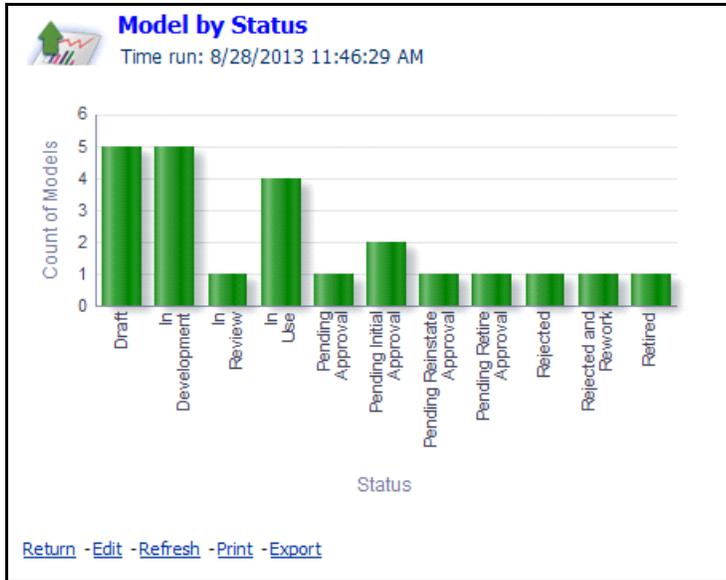


Figure 7-16 Model by Status

7.2.3.6.2 Overdue Model Issues

Overdue Model Issues report provides you the details of Models Issues, which are overdue.

Model ID	Version	Model Name	Business Line	Category	Model Owner	BU Head	Issue ID	Issue Name	Status	Target Completion Date
NEW	1	NEW	ABC USA	Credit Risk	Model Owner	BU Head	81244067	model test issue	Open	23-Aug-13

Figure 7-17 Overdue Model issues

7.2.3.6.3 Overdue Model Actions

Overdue Model Actions report provides you the details of Models Actions, which are overdue.

Model ID	Version	Model Name	Business Line	Category	Model Owner	BU Head	Action Id	Action Name	Target Date	No of Issues Linked
DEV	1	DEV	ABC USA	Credit Risk	Morrón Ownes	BU Head	81231815	action model 1234556	25-Aug-13	0

Figure 7-18 Overdue Model Actions

7.2.3.6.4 Overdue Model Attestations

Overdue Model Attestations report provides you the details of Models Attestations, which are overdue.

Overdue Model Attestations
Time run: 8/28/2013 11:49:50 AM

Model ID	Version	Model Name	Model Owner	BU Head	Business Line	Criticality	Category	Attestation ID	Due Date
4MDL003	002	Many issues	Model Owner	BU Head	Private Banking	High	Credit Risk	81234748	25-Aug-13
4MDL006	002	Model	Model Owner	BU Head	Wholesale Banking	Low	Market Risk	81238264	26-Aug-13
4MDL01	001	Sanity test	Model Owner	BU Head	Private Banking	Low	Credit Risk	81231046	25-Aug-13
m123	3123	For Validation check .better not touch	Model Owner	BU Head	Private Banking		Credit Risk	81245138	27-Aug-13

[Return](#) - [Edit](#) - [Refresh](#) - [Print](#) - [Export](#)

Figure 7-19 Overdue Model Attestations

7.2.3.6.5 Overdue Model Validations

Overdue Model Validations report provides you the details of Models Validations, which are overdue.

Overdue Model Validations
Time run: 8/28/2013 11:50:47 AM

Model ID	Version	Model Name	Model Owner	BU Head	Business Line	Category	Validation Type	Validation Frequency	Validation ID	Validator	Validation Source	DueDate
4MDL01	001	Sanity test	Model Owner	BU Head	Private Banking	Credit Risk	Ongoing Monitoring	Half Yearly	81230504		Schedule	8/26/2013 3:33:03 PM
							Outcome Analysis	Monthly			81233233	Adhoc
m123	3123	For Validation check .better not touch	Model Owner	BU Head	Private Banking	Credit Risk	Control	Monthly	81229855		Adhoc	8/25/2013 11:58:39 AM
											Schedule	8/25/2013 1:07:31 PM
											Schedule	8/25/2013 11:58:21 AM

[Return](#) - [Edit](#) - [Refresh](#) - [Print](#) - [Export](#)

Figure 7-20 Overdue Model Validations

7.2.3.6.6 Overdue Model Change Log

Overdue Model Change Log report provides you the details of Models Change Log, which are overdue.

Overdue Model Change Log
Time run: 8/28/2013 11:51:53 AM

Model ID	Version	Model Name	Model Owner	BU Head	Business Line	Category	Change Log ID	Change Name	Change Source	Owner	Created by	Closed By	Closed On	Due Date
2.0	2.0	credit risk model for change log	Model Owner	BU Head	ABC USA	Credit Risk	81230053	test change	Internal	MOWN	MRGA	MRGA		24-Aug-13
3.0	3.0	This is for testing the MRM This is for testing th	Model Owner	BU Head	ABC USA	Market Risk	81239231	changed	Internal	MRGS	MOWN	MOWN		26-Aug-13
							81239704	hnhq	Internal	MRGA	MOWN	MOWN		27-Aug-13
							81239711	ffffffffffff	External	MOWN	MOWN	MOWN		26-Aug-13
4MDL006	002	Model	Model Owner	BU Head	Wholesale Banking	Market Risk	81244181	new change log	Internal	MRGA	QAUSER	QAUSER		25-Aug-13
							81244273	tester	Internal	MOWN	QAUSER	QAUSER		27-Aug-13
MDL0080	001	This will be rejected for rework	Morrone Owines	BU Head	Private Banking	Credit Risk	81239789	fgbfbs	External	MRGS	MOWN	MOWN		26-Aug-13
m123	3123	For Validation check .better not touch	Model Owner	BU Head	Private Banking	Credit Risk	81245585	tested	External	QAUSER	MRMUSER	MRMUSER		27-Aug-13

[Return](#) - [Edit](#) - [Refresh](#) - [Print](#) - [Export](#)

Figure 7-21 Overdue Model Change Log

7.2.3.6.7 Pending Approval Model Stages

Pending Approval Model Stages report provides you the details of Models Stages, which are Pending Approval.



Time run: 8/28/2013 11:52:56 AM

Model ID	Version	Model Name	Model Owner	Stage ID	Stage Name	Stage Owner	Stage Approver	Pending From
issue	issue	issue	Model Owner	3	Analysis Plan	ML	SAPP	8/26/2013 12:00:00 AM

[Return](#) - [Edit](#) - [Refresh](#) - [Print](#) - [Export](#)

Figure 7-22 Pending Approval Model Stages

7.2.3.6.8 Model Details

Model Details report provides you the details of all the Models available.



Time run: 8/28/2013 11:54:01 AM

Model ID	Model Name	Version	Business Line	Category	Model Owner	BU Head	Criticality	Tier	Requires Attestation	Attestation Frequency	Status	Validation ID	Validation Score	Validation Rating	Validated On	Count of Usage	Model Metrics
123456	Model for change log	2.0	Network and Advisory Sales	Liquidity Risk	Model Owner	BU Head	Low	Tier Two	Yes	Half Yearly	In Development	81242834				0	0 Metrics
3.0	credit risk model for change log	2.0	ABC USA	Credit Risk	Model Owner	BU Head	Very Low	Tier Two	Yes	Yearly	Retired	81226885				0	0 Metrics
3.0	This is for testing the MRM This is for testing it	3.0	ABC USA	Market Risk	Model Owner	BU Head	Low	Tier One	Yes	Half Yearly	Pending Approval	81238396				2	0 Metrics
#HCL002	Model for testing bugs	001	Wholesale Banking	Market Risk	Model Owner	BU Head			Yes	Yearly	Pending Initial Approval	0				0	0 Metrics
#HCL003	Many issues	002	Private Banking	Credit Risk	Model Owner	BU Head	High	Tier Two	Yes	Yearly	In Use	81224052			8/26/2013 3:36:10 PM	3	0 Metrics
												81242099			8/26/2013 3:40:17 PM	3	0 Metrics
												81242118	63	Medium	8/26/2013 3:40:17 PM	3	0 Metrics
#HCL004	Model for test bug	001	Private Banking	Credit Risk	Marion Oakes	BU Head			Yes	Yearly	Pending Initial Approval	0				0	0 Metrics
#HCL006	Model	002	Wholesale Banking	Market Risk	Model Owner	BU Head	Low	Tier One	Yes	Half Yearly	In Review	81238223				0	0 Metrics
#HCL007	#HCL007	001	ABC USA	Market Risk	Model Owner	BU Head	Medium	Tier Three	Yes	Biannual	Pending Revalidate Approval	81238540				0	0 Metrics
	This is going to get rejected	002	Network and Advisory Sales	Liquidity Risk	Marion Oakes	BU Head	Low	Tier One	Yes	Yearly	Rejected	0				0	0 Metrics
#HCL01	Sanity test	001	Private Banking	Credit Risk	Model Owner	BU Head	Low	Tier Three	Yes	Yearly	Pending Retire Approval	81230504			8/23/2013 3:33:03 PM	2	0 Metrics
												81233233	29	Low	8/23/2013 3:34:04 PM	2	0 Metrics
													76	High	8/23/2013 3:33:03 PM	2	0 Metrics
DEV	DEV	1	ABC USA	Credit Risk	Marion Oakes	BU Head	Very Low	Tier One	Yes	Half Yearly	In Development	81229080				0	0 Metrics
UBK	UBK	1	ABC USA	Credit Risk	Model Owner	BU Head	Very Low	Tier One	Yes	Half Yearly	In Use	81244227	12	Low	8/27/2013 1:37:07 PM	0	0 Metrics
													100	High	8/27/2013 1:36:14 PM	0	0 Metrics
												81244233	42	Low	8/27/2013 1:37:07 PM	0	0 Metrics

Figure 7-23 Model Details Screen

The reports available under Usage tab are the following:

- [High Risk Usage](#)
- [Usage by Regulation](#)
- [Current Vs Previous Usage Validation Rating](#)
- [Usage Validations Task Schedule](#)
- [Usage Validation Heat Map](#)
- [Additional Reports](#)
 - [Usage Status Report](#)
 - [Overdue Usage Issues](#)
 - [Overdue Usage Actions](#)
 - [Overdue Usage Attestations](#)
 - [Overdue Usage Validations](#)
 - [Overdue Usage Change Log](#)
 - [Pending Approval Usage Stages](#)
 - [Usage Details](#)

7.2.3.7 High Risk Usage

This report provides you an insight to the number of Usages, which are at risk among different Business Lines and Categories. You can choose to view the number of high risk Usage either in various Business Lines or in different Categories.

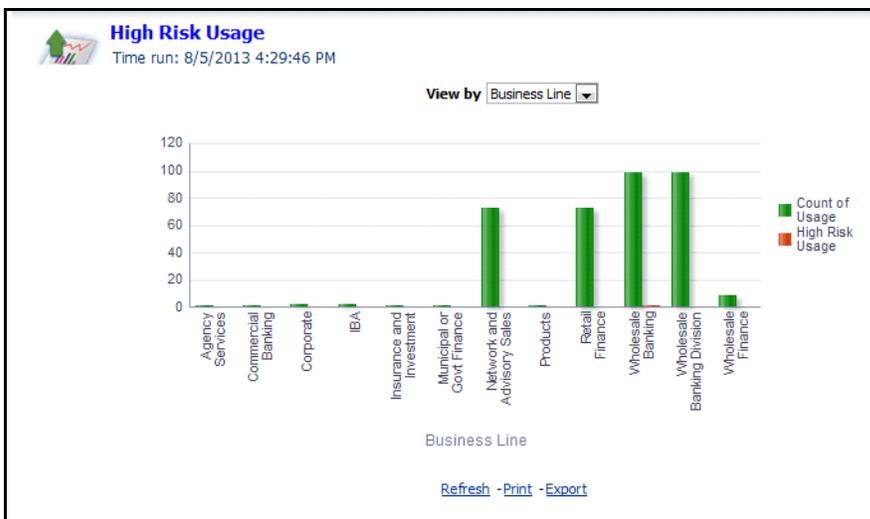


Figure 7-24 High Risk Usage

You can also click any of the bar graph item to view the details of the High Risk Usage in that Business Line or Category.

7.2.3.8 Usage by Regulation

Usage by Regulation report provides you a detailed view of the number of Usage under different regulatory in a Business Line. You can choose to view the number of Usage either in various Business Lines or in different Categories from the **View by** drop down list.

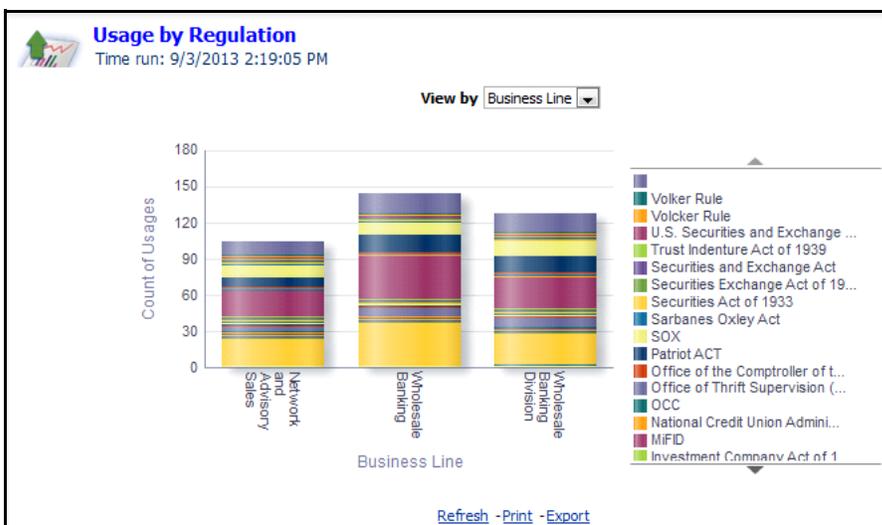


Figure 7-25 Usage by Regulation

7.2.3.9 Current Vs Previous Usage Validation Rating

Current Vs Previous Usage Validation Rating report provides you the number of Usages undergo different Validation Types.

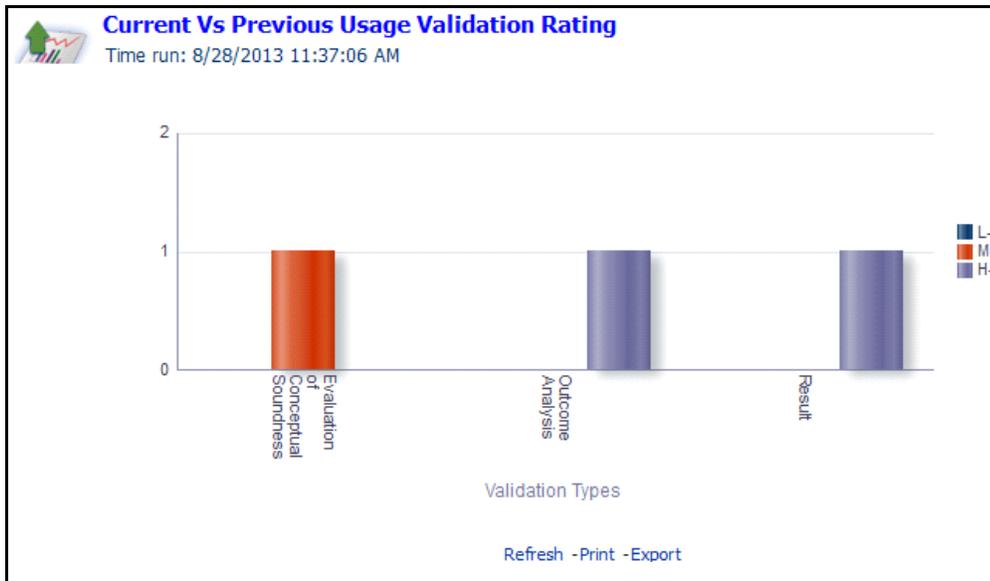


Figure 7-26 Current Vs Previous Usage Validation Rating

7.2.3.10 Usage Validations Task Schedule

Usage Validations Task Schedule provides you the percentage of the number of validations scheduled in different quarters.

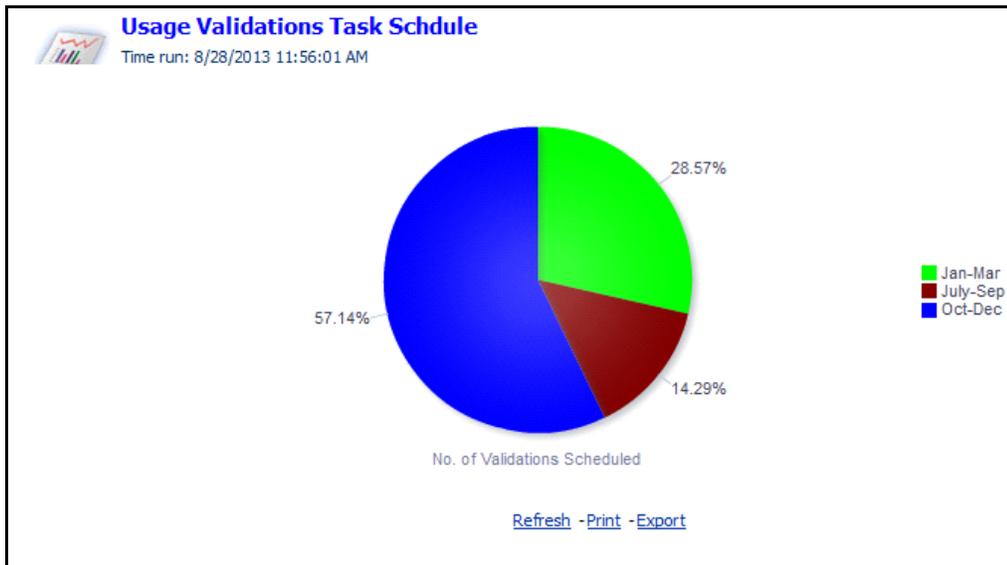


Figure 7-27 Usage Validation Task Schedule

7.2.3.11 Usage Validation Heat Map

Usage Validation heat map provides you a detailed view of Usages with validation ratings. This report tabulates the validation details with details such as Usage ID, Usage Name, Version, Business Line, Category, Criticality, Tier, Validation Type, Validation Rating, and Validated Date.

Usage ID	Usage Name	Version	Business Line	Category	Criticality	Tier	Validation Type	Validation Rating	Validated Date
4JSG001	Usage for testing bugs	001	Network and Advisory Sales	Liquidity Risk		Tier Three	Evaluation of Conceptual Soundness		8/23/2013 2:28:28 PM
							Result		8/23/2013 3:03:02 PM
									8/23/2013 2:28:28 PM
4JSG002	Usage	002	Private Banking	Credit Risk		Tier Four	Evaluation of Conceptual Soundness	High	8/26/2013 2:37:12 AM
								Medium	8/26/2013 2:54:18 PM
							Ongoing Monitoring		8/26/2013 2:55:11 PM
									8/26/2013 2:56:47 PM
									8/26/2013 2:56:57 PM
This is	This is for testing the NRM This is for testing th	This	Private Banking	Credit Risk	Very Low	Tier Two	Outcome Analysis	High	8/27/2013 12:25:09 PM
							Result	High	8/27/2013 12:25:20 PM
								Medium	8/27/2013 12:25:28 PM
									8/27/2013 12:25:38 PM
									8/27/2013 12:31:12 PM
Usage	Usage	Usage	Wholesale Banking	Credit Risk	Medium	Tier Three	Stress Testing		8/26/2013 11:44:00 AM
							Control		8/26/2013 11:44:00 AM
							Outcome Analysis		8/26/2013 11:44:00 AM

Figure 7-28 Usage Validation Heat Map

7.2.3.12 Additional Reports

The following additional reports are part of Usage tab of Models & Usage dashboard:

7.2.3.12.1 Usage Status Report

Usage Status Report provides you the number of Usage present in different statuses.

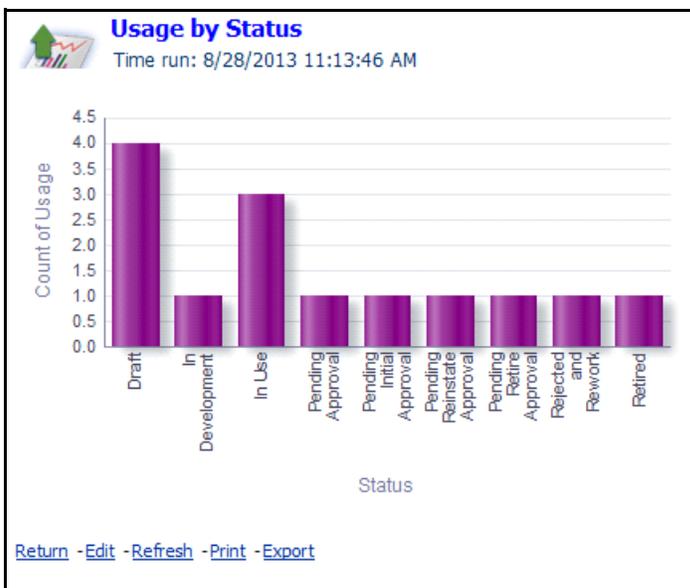


Figure 7-29 Usage by Status

7.2.3.12.2 Overdue Usage Issues Overdue Usage Issues report provides you the details of Usage Issues, which are overdue.

Overdue Usage Issues
Time run: 9/3/2013 2:22:48 PM

Usage ID	Version	Usage Name	Business Line	Category	Usage Owner	BU Head	Issue ID	Issue Name	Status	Target Completion Date
42	0	Barrier Option	Network and Advisory Sales	Credit Risk			81327314	testing issue profile report	Open	31-Aug-13
81223241	R.1.1	Retail Banking	Network and Advisory Sales	Liquidity Risk	Tom Harely	Black Hanes	81254333	ISS_1	Draft	31-Aug-13
81242139	1	Usage Validation	Wholesale Banking	Credit Risk	Mark Owens	Black Hanes	81254356	ISS_@2	Draft	31-Aug-13
81247710	1	Validation	Wholesale Banking	Credit Risk	Mark Owens	Black Hanes	81249635	Issue Created for Usage - Validation	Open	31-Aug-13
							81249651	Validation Usage	Open	31-Aug-13
81258671	1.0	PD Model for Corporate Finance	Wholesale Banking Division	Credit Risk	Mark Owens	Black Hanes	81262753	PD Model calibration	Open	07-Aug-13
81272491	1	REJ	Wholesale Banking	Market Risk	Mark Owens	Black Hanes	81320340	testing issue for linkages tab	Open	31-Aug-13
81319815	ERRIC	ERRIC	Network and Advisory Sales	Liquidity Risk	Owner	Black Hanes	81324316	ERRIC	Open	
81320273	ccd	ccd	Wholesale Banking	Market Risk	Owner	Black Hanes	81324169	ccd	Open	
81323483	1	REINST	Network and Advisory Sales	Credit Risk	Mark Owens	Black Hanes	81318071	issue workflow testing 001	Open	31-Aug-13

[Return](#) - [Edit](#) - [Refresh](#) - [Print](#) - [Export](#)

Figure 7-30 Overdue Usage Issues

7.2.3.12.3 Overdue Usage Actions

Overdue Usage Actions report provides you the details of Usage Actions, which are overdue

Overdue Usage Actions
Time run: 9/3/2013 2:25:56 PM

Usage ID	Version	Usage Name	Business Line	Category	Usage Owner	BU Head	Action Id	Action Name	Target	No of Issues Linked
42	0	Barrier Option	Network and Advisory Sales	Credit Risk			81262778	Model re-calibrated.	10-Jul-13	0
							81318103	testing action workflow 00236	30-Aug-13	0
81247710	1	Validation	Wholesale Banking	Credit Risk	Mark Owens	Black Hanes	81223855	testing action for reopen 003	16-Jul-13	0
							81224735	Action Created to test reopen 003	25-Jun-13	0
							81224847	wqefsadgtffvret	18-Jun-13	0
							81225343	testssdfgdfg	18-Jun-13	0
							81225790	Action created to test WF close	26-Jun-13	0
81258671	1.0	PD Model for Corporate Finance	Wholesale Banking Division	Credit Risk	Mark Owens	Black Hanes	81262778	Model re-calibrated.	10-Jul-13	0
81272491	1	REJ	Wholesale Banking	Market Risk	Mark Owens	Black Hanes	81322221	testing action workflow!@#%&!#\$	31-Aug-13	0
81319815	ERRIC	ERRIC	Network and Advisory Sales	Liquidity Risk	Owner	Black Hanes	81324324	testing action linkage tab	31-Aug-13	0
81320273	ccd	ccd	Wholesale Banking	Market Risk	Owner	Black Hanes	81324187	werwer	31-Aug-13	0
							81324222	as34efdasf	31-Aug-13	0
81323483	1	REINST	Network and Advisory Sales	Credit Risk	Mark Owens	Black Hanes	81318103	testing action workflow 00236	30-Aug-13	0
							81318151	testing action wf bug fix	30-Aug-13	0
							81318196	testign action workflow bugs	31-Aug-13	0

[Return](#) - [Edit](#) - [Refresh](#) - [Print](#) - [Export](#)

Figure 7-31 Overdue Usage Actions

7.2.3.12.4 Overdue Usage Attestations

Overdue Usage Attestations report provides you the details of Usage Attestations, which are overdue.

Overdue Usage Attestations
Time run: 8/28/2013 12:00:26 PM

Usage ID	Version	Usage Name	Usage Owner	BU Head	Business Line	Criticality	Category	Attestation ID	Due Date
4USG001	001	Usage for testing bugs	Model Owner	BU Head	Network and Advisory Sales		Liquidity Risk	81231602	24-Aug-13

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Figure 7-32 Overdue Usage Attestations

7.2.3.12.5 Overdue Usage Validations

Overdue Usage Validations report provides you the details of Usage Validations, which are overdue.

Overdue Usage Validations
Time run: 8/28/2013 12:01:44 PM

Usage ID	Version	Usage Name	Usage Owner	BU Head	Business Line	Category	Validation Type	Validation Frequency	Validation ID	Validator	Validation Source	Due Date
4JSG001	001	Usage for testing bugs	Model Owner	BU Head	Network and Advisory Sales	Liquidity Risk	Evaluation of Conceptual Soundness	Half Yearly	81231257	Tom Harely	Adhoc	8/27/2013 3:03:03 PM
							Result	Monthly	81231570	Model Validator	Schedule	8/27/2013 2:38:20 PM
										Tom Harely	Adhoc	8/27/2013 2:38:28 PM
4JSG002	002	Usage	Model Owner	BU Head	Private Banking	Credit Risk	Control	Monthly	81237771	Model Validator	Adhoc	8/15/2013 10:10:07 AM
											Schedule	8/14/2013 10:09:10 AM

[Return](#) - [Edit](#) - [Refresh](#) - [Print](#) - [Export](#)

Figure 7-33 Overdue Usage Validations

7.2.3.12.6 Overdue Usage Change Log

Overdue Usage Change Log report provides you the details of Usage Change Logs, which are overdue.

Overdue Usage Change Log
Time run: 8/28/2013 12:03:00 PM

Usage ID	Version	Usage Name	Usage Owner	Business Line	Category	BU Head	Change Log ID	Change Name	Source	Owner	Created by	Closed By	Closed On	Due Date
1.0	1.0	Usage of mark et risk model	Model Owner	ABC USA	Market Risk	BU Head	81231533	change	Internal	MOWN	MRGA	MOWN		24-Aug-13
							81233105	ww	External	MOWN	MOWN	MOWN		24-Aug-13
							81234926	assa	External	MOWN	MOWN	MOWN		23-Aug-13
13523	3	sdfsdg	Model Owner	Network and Advisory Sales	Liquidity Risk	BU Head	81235618	second usage	External	MOWN	MRGA	MRGA		23-Aug-13
4JSG002	002	Usage	Model Owner	Private Banking	Credit Risk	BU Head	81239254	Name	Internal	MRGA	MRGA	MRGA		26-Aug-13

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Figure 7-34 Overdue Usage Change Log

7.2.3.12.7 Pending Approval Usage Stages

Pending Approval Usage Stages report provides you the details of Usage Stages, which are Pending Approval.

Pending Approval Usage Stages
Time run: 8/28/2013 12:04:11 PM

Usage ID	Version	Usage Name	Usage Owner	Stage ID	Stage Name	Stage Owner	Stage Approver	Pending From
81234421	3.0	This is for testing the MRM This is for testing th	Model Owner	81233211	Testing Application	ML	SAPP	8/26/2013 12:00:00 AM

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Figure 7-35 Pending Approval Usage Stages

7.2.3.12.8 Usage Details

Usage Details report provides you then details of all the Usage available.

Usage ID	Usage Name	Version	Business Line	Category	Model ID	Usage Owner	BU Head	Criticality	Tier	Requires Attestation	Attestation Frequency	Status	Validation ID	Validation Score	Validation Rating	Validated On	Usage Metrics			
1.0	Usage of mark et risk model	1.0	ABC USA	Market Risk	m123	Model Owner	BU Head	Very Low	Tier Four	No		Pending Re-state Approval	81231514				Metrics			
11523	selfid	3	Network and Advisory Sales	Liquidity Risk	m123	Model Owner	BU Head	Medium	Tier Three	No		Pending Approval	81235893				Metrics			
2.0	This is for testing the MRM This is for testing th	3.0	ABC USA	Market Risk	#MLO03	Model Owner	BU Head	Very Low	Tier Two	No		In Development					Metrics			
3.0	This is for testing the MRM This is for testing th	4.0	ABC USA	Market Risk	#MLO03	Model Owner	BU Head	Low	Tier Three	No		Pending Initial Approval	0				Metrics			
4.5	ase	4.5	ABC USA	Market Risk	3.0	Model Owner	BU Head	Low	Tier Three	Yes	Half Yearly	Draft	0				Metrics			
4.55001	Usage for testing bugs	001	Network and Advisory Sales	Liquidity Risk	m123	Model Owner	BU Head	Low	Tier Three	Yes	Half Yearly	Pending Retire Approval	81231257			8/23/2013 2:28:28 PM	Metrics			
																	8/23/2013 3:03:02 PM	Metrics		
																	8/23/2013 2:28:28 PM	Metrics		
																	8/23/2013 2:40:30 PM	Metrics		
4.55002	This is again	001	ABC USA	Market Risk	#MLO03	Morrison Owens	BU Head	Low	Tier Four	No		Retired	81236232					Metrics		
	Usage	002	Private Banking	Credit Risk	m123	Model Owner	BU Head	Low	Tier Four	Yes	Biennial	In Use	81237771				8/12/2013 10:09:10 AM	Metrics		
																	8/13/2013 10:20:07 AM	Metrics		
																	8/12/2013 11:38:17 PM	Metrics		
																	8/26/2013 2:53:05 PM	Metrics		
																	44.00	Medium	8/26/2013 2:54:18 PM	Metrics
																	63.00	Medium	8/26/2013 2:55:11 PM	Metrics
																	87.00	High	8/26/2013 2:57:12 PM	Metrics

Figure 7-36 Usage Details

7.2.4 Validations

The Validations dashboard provides you the following reports:

- [Model Validation Heat Map](#)
- [Usage Validation Heat Map](#)
- [Validator Occupancy Report](#)

7.2.4.1 Model Validation Heat Map

Model Validation heat map provides you a detailed view of Models with validation ratings. This report tabulates the validation details with details such as Model ID, Model Name, Version, Business Line, Category, Criticality, Tier, Validation Type, Validation Rating, and Validated Date.

Model ID	Model Name	Version	Business Line	Category	Criticality	Tier	Validation Type	Validation Rating	Validated Date
#MLO03	Many issues	002	Private Banking	Credit Risk	High	Tier Two	Control		8/26/2013 3:40:17 PM
							Ongoing Monitoring		8/26/2013 3:36:10 PM
							Outcome Analysis	Medium	8/26/2013 3:40:17 PM
#MLO1	Sanity test	001	Private Banking	Credit Risk	Low	Tier Three	Ongoing Monitoring		8/23/2013 3:33:03 PM
							Outcome Analysis	High	8/23/2013 3:33:03 PM
								Low	8/23/2013 3:34:04 PM
LNK	LNK	1	ABC USA	Credit Risk	Very Low	Tier One	Back Testing	High	8/27/2013 1:28:14 PM
								Low	8/27/2013 1:37:07 PM
							Control	Low	8/27/2013 1:37:07 PM
								Low	8/27/2013 1:39:29 PM
							Ongoing Monitoring	High	8/27/2013 1:41:25 PM
								Medium	8/27/2013 1:37:07 PM
This is	This is for testing the MRM This is for testing th	This	Private Banking	Credit Risk	Very High	Tier Two	Control		8/26/2013 3:36:10 PM
m123	For Validation check ,better not touch	3123	Private Banking	Credit Risk		Tier Three	Control		8/23/2013 1:07:31 PM
							Ongoing Monitoring	High	8/28/2013 11:34:02 AM
								Medium	8/28/2013 11:32:14 AM
							Result	Low	8/28/2013 11:32:14 AM
									8/28/2013 11:34:43 AM

Figure 7-37 Model Validation Heat Map

7.2.4.2 Usage Validation Heat Map

Model Validation heat map provides you a detailed view of Models with validation ratings. This report tabulates the validation details with details such as Model ID, Model Name, Version, Business Line, Category, Criticality, Tier, Validation Type, Validation Rating, and Validated Date.

Usage Validation Heat Map
Time run: 8/28/2013 11:53:43 AM

Usage ID:

Usage ID	Usage Name	Version	Business Line	Category	Criticality	Tier	Validation Type	Validation Rating	Validated Date
4JSG001	Usage for testing bugs	001	Network and Advisory Sales	Liquidity Risk		Tier Three	Evaluation of Conceptual Soundness		8/23/2013 2:28:28 PM
							Result		8/23/2013 2:28:28 PM
									8/23/2013 2:40:20 PM
4JSG002	Usage	002	Private Banking	Credit Risk		Tier Four	Evaluation of Conceptual Soundness	High	8/26/2013 2:57:12 PM
								Medium	8/26/2013 2:56:18 PM
							Ongoing Monitoring		8/26/2013 2:55:11 PM
This is	This is for testing the HRM This is for testing th	This	Private Banking	Credit Risk	Very Low	Tier Two	Outcome Analysis	High	8/27/2013 12:25:09 PM
							Result	High	8/27/2013 12:25:20 PM
								Medium	8/27/2013 12:25:28 PM
Usage	Usage	Usage	Wholesale Banking	Credit Risk	Medium	Tier Three	Back Testing		8/27/2013 12:31:12 PM
							Control		8/26/2013 11:44:00 AM
							Outcome Analysis		8/26/2013 11:44:00 AM

[Refresh](#) - [Print](#) - [Export](#)

Figure 7-38 Usage Validation Heat Map

7.2.4.3 Validator Occupancy Report

Validator Occupancy Report provides you the number of Models and Usages assigned to each of the users with Validator role in the applications.

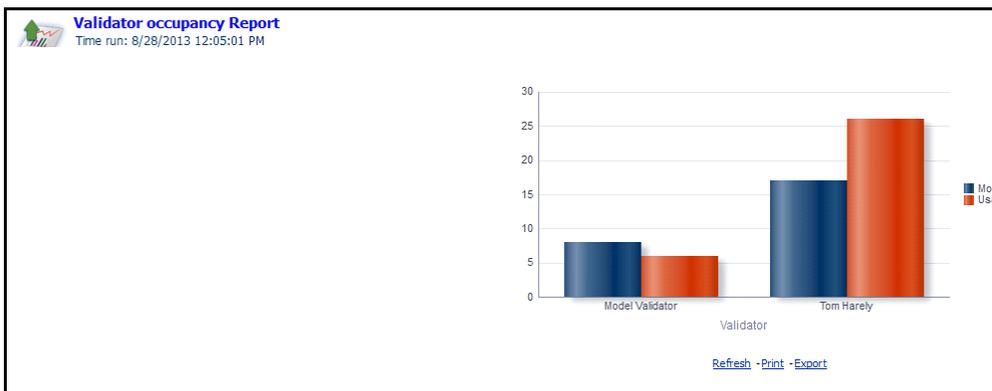


Figure 7-39 Validator Occupancy Report

A.1 Workspace Options

The workspace option consists of the various elements available in the user interface to help you in selecting an option or to navigate to a specific location on the page. The available workspace options are discussed in detail.

A.1.1 Search and Filter

The Search and Filter option in the user interface helps you to find the required information. You can enter the nearest matching keywords to search, and filter the results by entering information in the additional fields.

OFSMRM provides you an option to search and find information in the following ways:

- [Basic Search](#)
- [Advanced Search](#)
- [Views](#)

A.1.1.1 Basic Search

This is the default search option in any of the OFSMRM modules. This search is based on limited set of search parameters and helps you to retrieve the relevant details.

Example A-1 Basic Search

If you are in *Model Management* window, and need to retrieve information regarding a set of Models, you can provide details such as Model ID, Model Name, Version, or Model Status and click **Go** button.



The screenshot shows a search interface titled "Model". At the top, there are navigation links: "Search", "Advanced Search", "Views", "Clear", and "Go". Below this, there are four input fields arranged in a grid:

Model ID ?	<input type="text"/>	Version ?	<input type="text"/>
Model Name ?	<input type="text"/>	Model Status ?	<input type="text"/>

Figure A-1 Basic Search Grid

The definitions that match the search criteria are displayed in the *Model Management* window.

A.1.1.2 Advanced Search

Advanced search offers the same search fields as provided for a regular search along with an expanded set of additional fields. If you know most of the details such as Category, Owner, Last Modified Date, and so on, then you can filter the records using the Advanced Search components.

Example A-2 Advanced Search

If you are in *Model Management* window and want to retrieve information regarding a set of Models, you can provide details such as Model ID, Model Name, Business Line, Count of Usage (select the appropriate operators from the drop down list), Validation Type, Target Date (select the appropriate operators from the drop down list), Last Modified (select the appropriate operators from the drop down list), Version, Model Status, Category, Model Owner, Criticality, or Model Tier and click **Go** button.



Figure A-2 Advance Search Grid

The definitions list that match the search criteria is displayed in the *Model Management* window.

A.1.1.2.1 Save Advanced Search You can save an Advanced Search, once you have populated the search criteria. Such a saved search is considered as a pre-defined search and is listed in Views Search drop down list.

A.1.1.3 Views

Views represent pre-populated search queries and helps you to filter the processes based on the pre-defined views. Click **Views** button to access Views Search.

Example A-3 Views

If you want to retrieve a list of Models, in *Model Management* window, whose parameters are similar, then you can make use of Views Search.



Figure A-3 Views Grid

To search for a set of Models using Views:

1. Click **Views** button in *Search* grid of the *Model Management* window.
The Views search is displayed.
2. Select the required pre defined view from the drop down list.
The Models matching the selected view are displayed in *Model Management* window.

A.1.1.3.1 Manage Views

From the *Views Search* window, you can manage the existing View Searches or define new View Searches.

To create a new View Search from Manage Views window:

1. Enter the name of the new Search in the **Search Name** field.
2. Enter the description for the new search in **Search Description** field.

3. Populate the search criteria in the Advanced Search grid provided in *Manage Views* window.

For more information, refer to Advanced Search section.

4. Click **Save Search**.

The search definition is saved with the populated details and is displayed under Views Search list.

A.1.2 Wrap/Unwrap Item List

Wrap/Unwrap option in the definition listing windows facilitates the expansion or abridgment of list items in the page. You can click the **Expand** (>>) button to expand the items in a column. Such expanded items are wrapped and listed within the confined boundaries of the columns.

A.2 Export Definitions

You can export the definitions using the export functionality. This exports the definition details in a spreadsheet and you can save the same in your local computer.

To export a definition in OFSMRM:

1. Select the check box adjacent to the definition you want to export.
2. Click **Export** button.

The Export Properties dialog box is displayed.

3. Set the Document Type as Excel and select the Form Data/section Data as section Data.
4. Click **Export** in the Export Properties dialog box.

When processing is complete, the data is displayed in the browser window with a dialog box with save option.

5. Click **Save** button.

The **Save As** dialog box is displayed.

6. Select a location where you want to save the file.
7. Click **Save**.

The definition list is exported and is saved in the spreadsheet.

A.3 View Profile Reports

The profile report of a definition provides all the details associated with the particular definition. From the definition details window, you can view and download the definition details in PDF format.

To view and download the definition details in a PDF, follow these steps:

1. Select the check box adjacent to the definition, of which you want to view and download the details in PDF.
2. Click the **Profile** button above the Details tab.

The *File Download* window is displayed.

3. Click **Open/Save** to open it and view the file or save the file on your local computer.

This PDF contains all the details associated with the definition.

A.4 Hierarchy Browser

The *Hierarchy Browser* window displays an entire node of hierarchical items, including root, parent, and child nodes. This facilitates you to drill through the hierarchy and select a specific item to be used for processing.

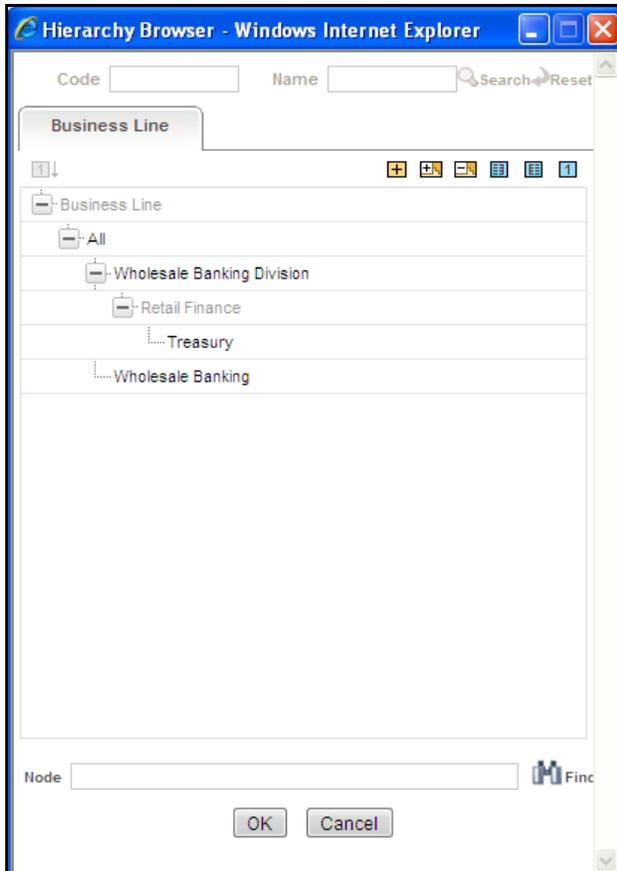


Figure A-4 Hierarchy Browser

You can use the hierarchical member code, name, or node name to search for a specific member.

In the *Hierarchy Browser* window, you can also perform the following actions:

- Click **Expand All** button to expand all the branches.
- Click **Expand Branch** button to expand a selected branch.
- Click **Collapse Branch** button to collapse a selected branch.
- Click **Show Code Values (Right)** button to view the code values at the right side of the hierarchy members.
- Click **Show Code Values (Left)** button to view the code values at the left side of the hierarchy members.
- Click **Show Code** button to view the code of hierarchy members instead of hierarchy member names.

A.5 Send Email

Any updates regarding the definitions can be notified to all the stakeholders by sending emails to them. This is possible from the definition listing window.

To send an email from the definition listing window:

1. Click **Send Email** button in the definition listing window.

The *Send Email* window is displayed.

2. Enter the details in the *Send Email* window as tabulated below:

Table A-1 Send Email Details

Field	Description
The fields marked in asterisks (*) are mandatory.	
From	By default, this field is populated with the logged in user name. You can update this field.
Recipients	Enter the recipient email ID(s). The maximum allowed characters are 3000.
Subject	Enter the subject for the email.
Mail Body	Enter the email body. The maximum allowed characters are 3000.
Attach Profile Report	Select Yes , if you want to attach the profile report with the email.

3. Click **Send**.

Emails to all the mentioned stakeholders are sent, with the populated details.

A.6 Calendar

The Calendar in the user interface helps you to specify a date in the DD/MM/YYYY format by selecting from the pop-up calendar. You can navigate to the specific month or year by using the arrow buttons or select using the drop down list. When you click the required date the details are auto updated in the date field.

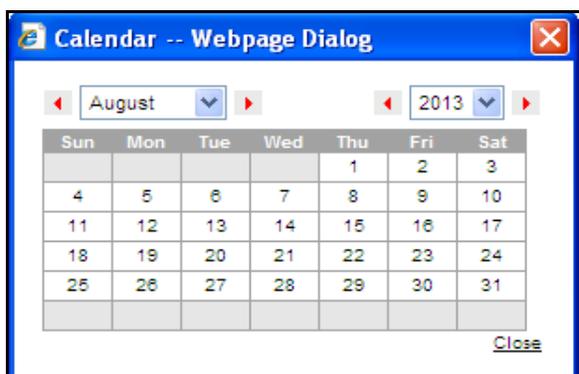


Figure A-5 Calendar

