Oracle Financial Services Enterprise Risk Assessment
User Guide

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Contents

CHAPTER 5 *Managing Key Indicator Library and Key Indicators* 65

List of Figures

List of Tables

About this Guide

The *Enterprise Risk Assessment User Guide* explains the concepts of the Enterprise Risk Assessment (OFSERA) and provides step-by-step instructions for navigating through the application.

This chapter discusses the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used

Who Should Use this Guide

The *Enterprise Risk Assessment User Guide* is designed for various users of Enterprise Risk Assessment application.

Following sections have its own set of users:

- Risk Appetite Definition
- Risk Appetite Assessment
- Key Indicator Library and Key Indicators
- Issues and Actions
- Admin Tasks

Risk Appetite Definition

The following user roles are defined in the Risk Appetite Definition section:

- **Risk Appetite Analyst**: The Risk Appetite Analyst identifies the Risk Appetite for an organization and creates a new Appetite Definition. This user is responsible for creating and editing the risk appetite definition. In addition, the responsibilities include creating and deleting strategic objectives and specific statements, and linking and delinking the Key Indicators.
- **Risk Appetite Reviewer**: The Risk Appetite Reviewer reviews the definitions created by the analyst. In addition, the responsibilities include creating and deleting strategic objectives and specific statements, and linking and delinking the Key Indicators.
- **Risk Appetite Approver**: The Risk Appetite Approver is responsible for approving and rejecting the definition created by analyst and reviewed by reviewer. In addition, the responsibilities include creating and deleting strategic objectives and specific statements, and linking and delinking the Key Indicators.
- **Key Indicator (KI) Owner**: The Key Indicator Owner can challenge a Risk Assessment in Submitted status.

Key Indicator Library and Key Indicators

The following user roles are defined in the Key Indicator Library and Key Indicators section:

- **Key Indicator Library Identifier:** This user identifies new Key Risk Indicators, Key Control Indicators, Key Performance Indicators, and Business Environment and Internal Control Factors applicable to the organization and adds them to the Library. The Key Indicator Library records can be mapped to different Key Business Dimensions wherever it is applicable once is it entered in the Library. A Key Indicator Library Identifier can specify whether the Key Indicator Library is an Enterprise Key Indicator Library and add a few common attributes which will be applicable across all BUs where the Key Indicator Library is identified. A Key Indicator Library Identifier can also close their respective records.

Risk Appetite Assessment

The following user roles are defined in the Risk Appetite Assessment section:

- **Risk Appetite Assessor:** The Risk Appetite Assessor identifies the Risk Assessment for an organization and creates a new Appetite Assessment.This user is responsible for creating and editing the risk appetite assessment. In addition, the responsibilities include, deleting risk appetite assessment and entering value for manual measures.
- **Value Capturer:** The Value Capturer edits the Risk Appetite Assessment and enters value for manual measures.

Issues and Actions

The following user roles are defined in the Issue and Actions section:

- **Issue Creator:** This user is responsible for creating an issue and helping the organization in tracking the progress of an issue till its closure. This user can assign a created issue to an Issue Owner and reopen the closed issues.
- **Issue Owner or Action Creator:** This user is responsible for assessing the issue created by the Issue Creator, adding issue details, and creating adequate action plans to resolve the issue. This user can assign a created action to an Action Owner and can also reopen the completed actions.
- **Action Owner:** This user is responsible for assessing the actions created by the Issue Owner, working on the entire action plans pertaining to an issue and tracking them to completion. This user can update the percentage completion of actions, activities performed, and cost incurred in carrying out the actions.

Admin Tasks

The following user role is defined in the Admin section:

- **Administrator**: This user manages the Admin features in an organization. This user configures, maintains, and performs tasks that are applicable across the organization.

How this Guide is Organized

The *OFSERA User Guide* includes the following topics:

- Chapter 1 *About Enterprise Risk Assessment (ERA),* describes Oracle Financial Services Enterprise Risk Assessment application, and its workflow.
- Chapter 2 *Getting Started,* explains how to access and login to the application.

- Chapter 3 *General Features,* explains the general features of Oracle Financial Services Operational Risk or Governance and Compliance Management. These are the common features that are found across all modules.
- Chapter 4 *Managing Risk Appetite Definition,* gives detailed information on Risk Appetite Definition such as user roles and actions, tasks and notifications, managing details, and so on.
- Chapter 5 *Managing Key Indicator Library and Key Indicators,* provides complete information about managing Key Indicator module, user roles and action, and so on.
- Chapter 6 *Managing Risk Appetite Assessment,* gives detailed information on Risk Appetite Assessment such as user roles and actions, tasks and notifications and so on.
- Chapter 7 *Managing Issues and Actions,* describes the Issues and Action workflow, and explains how to create, and manage Issues and Actions.
- Chapter 8 *Managing Admin Tasks,* describes how to map and configure user roles and actions. This module also gives information on delegating, universal search, and access rights.

Where to Find More Information

For more information on Enterprise Risk Assessment, refer to the following documents:

- *Enterprise Risk Assessment Release Notes*: This guide details the highlights of the Enterprise Risk Assessment release.

To find additional information about how Oracle Financial Services solves real business problems, see our Web site at www.oracle.com/financialservices.

Conventions Used

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
Italics	• Names of books, chapters, and sections as references • Emphasis
Bold	• Object of an action (menu names, field names, options, button names) in a step-by-step procedure • Commands typed at a prompt • User input
`Monospace`	• Directories and subdirectories • File names and extensions • Process names • Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text
<Variable>	Substitute input value

CHAPTER 1 About Enterprise Risk Assessment (ERA)

This chapter provides a brief overview of Oracle Financial Services Enterprise Risk Assessment (OFSERA).

This chapter discusses the following topics:

- Overview of ERA
- Important Features in OFSERA
- Administrative Functions
- OFSERA Flow

Overview of ERA

The Enterprise Risk Assessment (ERA) solution provides a comprehensive framework to define and access risk appetite across the organization. It also provides a framework for defining risk appetite in terms of Strategic Objectives, Specific Statements, and Key Indicators. The application assesses risk appetite by computing the scores of the Strategic Objectives and Specific Statements based on the Key Indicators values and comparing them against the pre-specified limits highlighting deviations from the organizational goals, thereby enabling institutions to take timely corrective action.

The solution is built on Oracle Financial Services Analytical Application Infrastructure, the industry's only integrated business infrastructure designed to serve Enterprise Risk, Performance, Compliance, and Customer Insight requirements. Oracle Financial Services Analytical Applications use a commonly available analytical infrastructure consisting of a unified financial services data model, analytical computations and the industry-leading Oracle Business Intelligence platform.

Important Features in OFSERA

OFSERA provides the following features to help organizations manage their risk appetite:

- Risk Appetite Definition Library
- Risk Appetite Definition
- Strategic Objective
- Specific Statements
- Key Indicators
- Risks Appetite Assessment
- Issues and Actions
- Administrative Functions

Risk Appetite Definition Library

Risk Appetite Definition library allows you to specify and maintain Risk Appetite Definitions.

Risk Appetite Definition

OFSERA allows the organization to assess their risk appetite by defining Risk Appetite Definition. It is a methodology to help and guide the organization's approach to risk. Risk Appetite Definition is used in different areas of strategic planning to better facilitate the analysis of risk versus return and improve decision making.

Risk Event Types allow for consistent identification and reporting of risks across the organization. OFSERA also offers a completeness check for risk identification by risk event types allowing businesses to review whether or not specific risks are applicable to them and reconcile it with losses for those risks.

Strategic Objective

Strategic Objective allows you to detail the requirement for creation of one or more Strategic Objectives for a Risk Appetite Definition. It is a a high level business objective defined for the organization.

Specific Statements

Specific Statements allow you to detail the requirement for creation of one or more Specific Statements for a Strategic Objective. It provides greater details of the high level objective. They are targeted statements which helps in achieving the high level business objective.

Key Indicators

OFSERA allows use of Key Indicators (KIs) as quantitative and qualitative measures to monitor individual Risks and to determine the effectiveness of Controls. It is used as a mechanism for risk monitoring. Key Indicators can be simple, based on a single measure or can be a calculated value from various measures joined by a formula behind it. The measures can get their values from both internal and external sources. The application allows you to define various levels of thresholds depending on the level of analysis required. KI values are compared against threshold ranges defined. This determines the Red Amber Green (RAG) status of the KI. Various notifications and tasks can be sent to appropriate stakeholders depending on the level of the KI value breach. The RAG status can be used as an indicator of the effectiveness of the Controls on the Risk. KIs can be used to ensure that risk exposures are adequately monitored and allow corrective actions to be taken before significant risks occur.

Risks Appetite Assessment

Risk Appetite Assessment enables you to define risk appetite for one or multiple Risk Appetite Categories and maintain them. It enables organizations to articulate the maximum risk they are willing to take in relation to multiple purposes and break this into tangible, assessable components that contribute to the risk.

Issues and Actions

OFSERA allows Issues to be created from any module in the application (for example, Risks, Controls, Loss event, Key Indicators, and so on) and added to the issue tracking capability. It allows defining Actions (remediation for issues) to be created, assigned and then routed through a completion workflow. The Issue and Action capability can also be used independently to address various audit activities. Actions can further split into multiple activities for better management of large and long-lasting actions. Individual actions are reviewed and once all actions associated with an issue are complete, the issue gets closed. Re-assignment, transfer of ownership, reminders, and escalations for action completion are available and are fully addressed by an auditable workflow.

The application also allows a configurable option of turning off issue creation and management and instead directly creating actions against the entities such as Risks, Controls, and so on. Each Issue and Action can record associated costs to enable the organization to review the business from a financial angle to further focus resources and management attention.

Administrative Functions

This section discusses the following topics:

- Reference Data Maintenance
- Application Preference
- Preference
- Document Upload
- Access Rights

Reference Data Maintenance

The Oracle Financial Services Enterprise Risk Assessment Reference Data Maintenance function enables the organizational hierarchies and the assignment of entities like risk, key indicators, and issues to different business line and location.

New nodes can be added and existing nodes can be modified for the hierarchies or drop-down values. For example, you can capture the business line, location, causes, and so on. Existing nodes can be deactivated from the hierarchy.

Risk, key indicators, and issues can be moved or copied from a business line and location to another business line and location or even deleted from the selected KBD.

Application Preference

Application Preferences allows you to manage workflows of each module of OFSERA and set the user interface language.

The Workflow Management functions enable the maintenance of workflows to be used based on user preferences. Workflow Management enables modifying the existing workflow based on business line and location combination. This will enable you to have a complex workflow or a simple workflow for each business line and location combination.

Language Manager allows you to manage or modify the labels in the User Interface. This function allows you to capture the labels of the screen, panels, and fields in different languages. It also allows maintenance of the alert messages.

Preference

The Preferences feature allows you to set and manage the email notification configurations. It provides the ability to Turn on or Turn off receiving Tasks and Notifications as email.

Document Upload

The Document Upload feature is a central repository for maintenance and storage of all the documents uploaded across the OFSERA application.

Access Rights

The Access Rights feature allows you to maintain user groups and the mapping of roles to user groups. It also allows you to map users to specific groups, providing role mapping for a Business Line and Location combination.

OFSERA Flow

OFSERA includes following two topics:

- Risk Appetite Definition
- Risk Appetite Assessment

Process Flow for Risk Appetite Definition

The following figure describes the Risk Appetite Definition workflow:

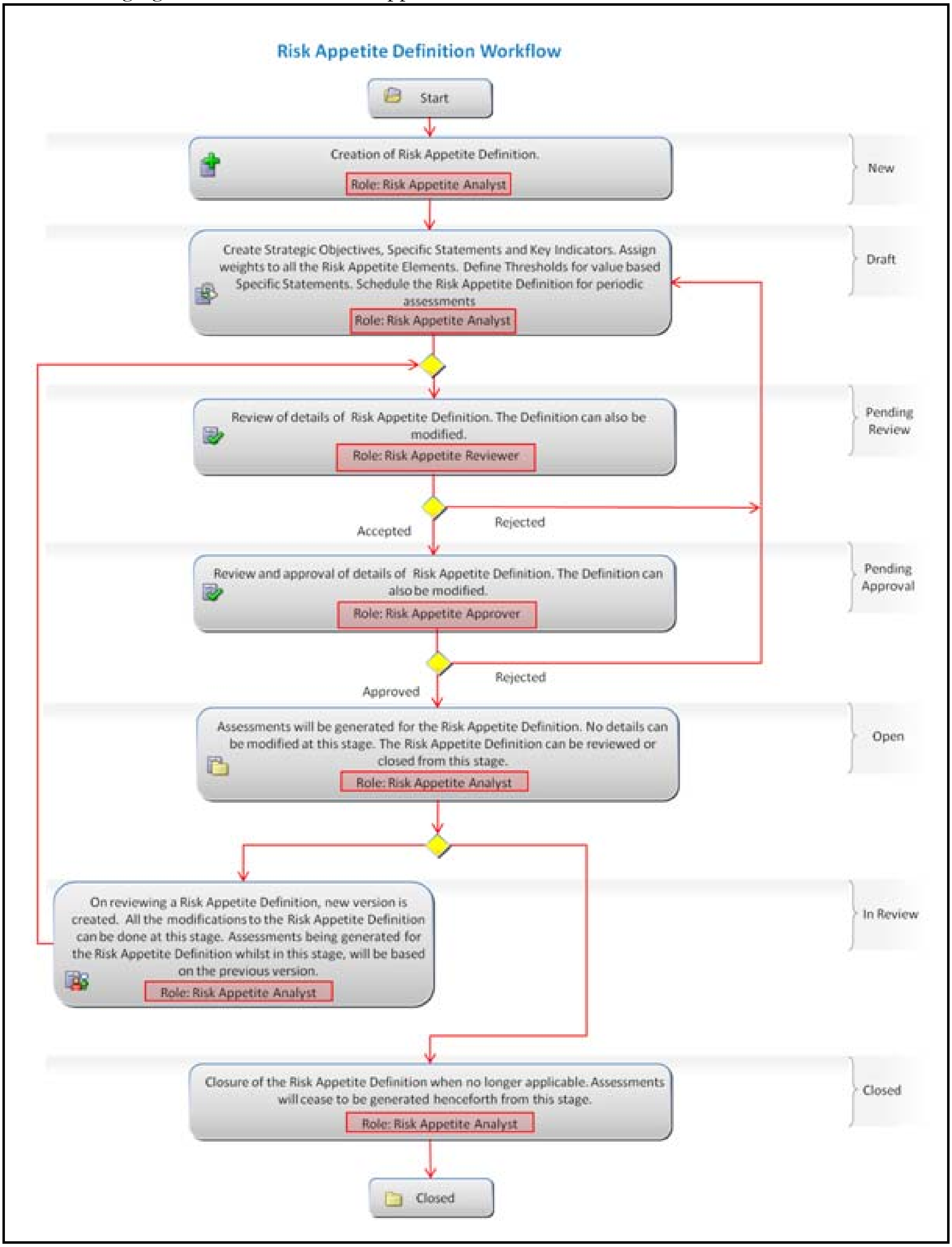


Figure 1. Risk Appetite Definition

Process Flow for Risk Appetite Assessment

The following figure describes the Risk Appetite Assessment workflow:

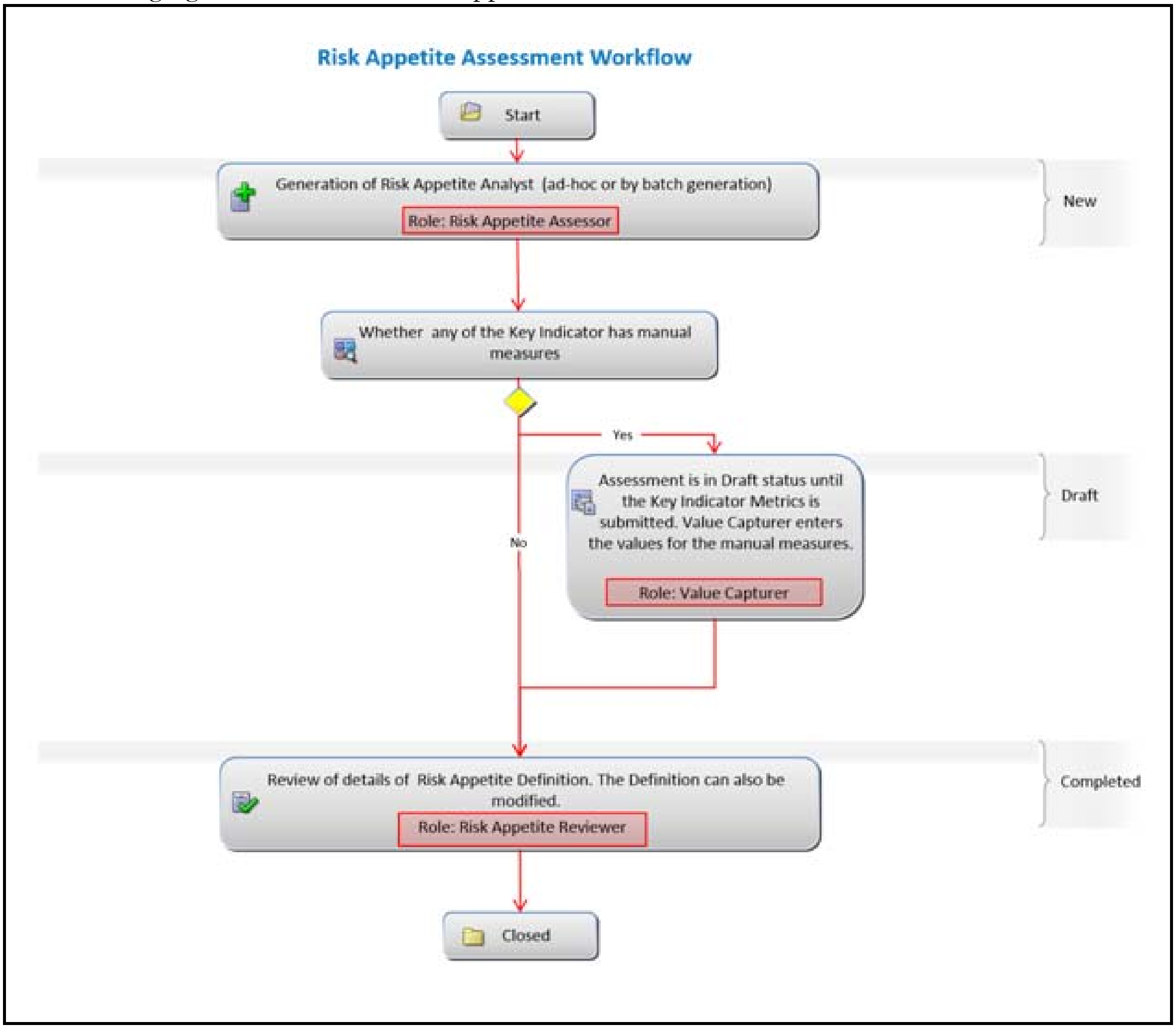


Figure 2. Risk Appetite Assessment

CHAPTER 2 Getting Started

This chapter explains the steps to login to the OFSERA application.

- Logging in to the OFSERA Application

Logging in to the OFSERA Application

Once the application is installed and configured, you can access OFSERA application through the Web Browser. To access the OFSERA application, follow these steps:

1. Enter the OFSAAI URL in your browser. The OFSAAI Login page appears.

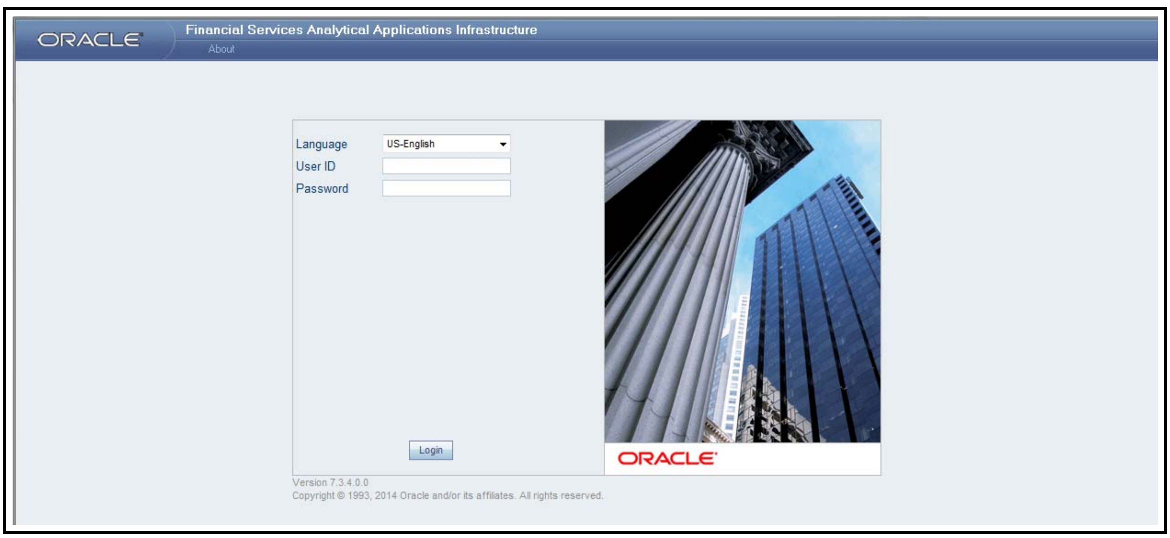


Figure 3. OFSERA Application Login

2. Select the **Language** from the Language drop-down.
3. Enter your **User ID** and **Password**.
4. Click **Login**. The OFSAAI is displayed.

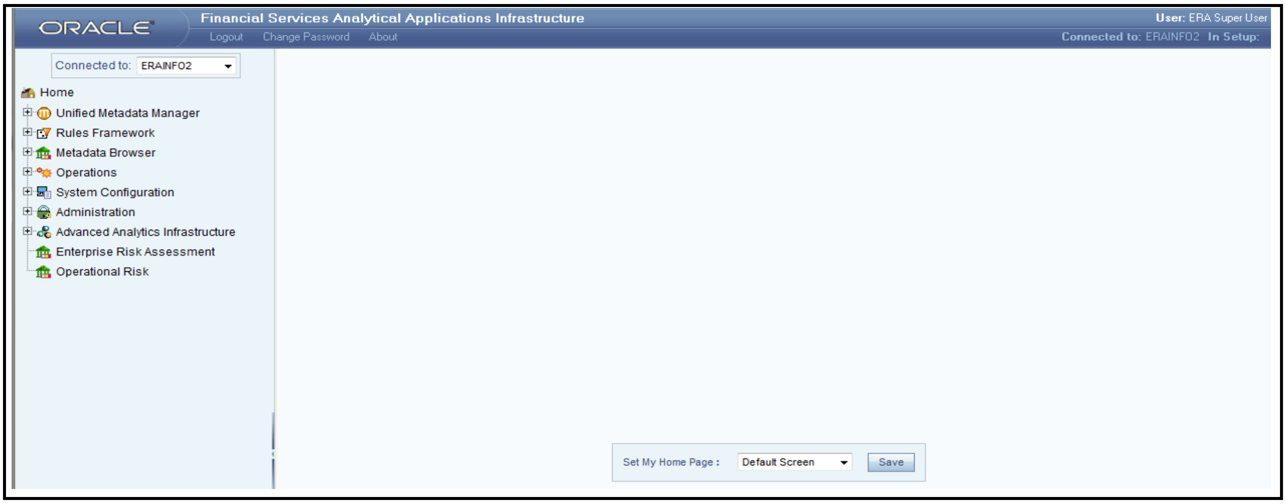


Figure 4. OFSAAI Page

5. Click **Enterprise Risk Assessment.** The Oracle Financial Services Enterprise Risk Assessment Home page is displayed.

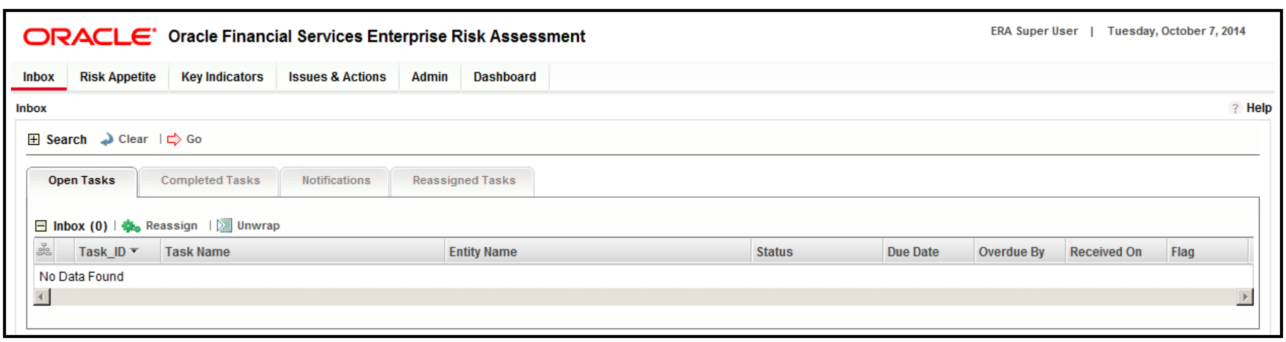


Figure 5. Home page

CHAPTER 3 General Features

This chapter explains the general features of Oracle Financial Services Enterprise Assessment Risk. These are the common features that are found across the modules of OFSERA application. It describes the organization of user interface and provides step-by-step instructions for navigating through the application.

This chapter includes the following topics:

- Managing OFSAAI Home Page
- OFSERA Common Screen Elements
- Managing OFSERA

Managing OFSAAI Home Page

This section describes how to manage the Oracle Financial Services Analytical Application Infrastructure Home page. Any user while logging in to OFSERA comes across the OFSAAI Home page.

This section discusses the various components of OFSAAI Home page.

Components of OFSAAI Home Page

The OFSAAI Home Page comprises of the following three sections.

- Top Menu
- Left Hand Side (LHS)
- Right Hand Side (RHS)

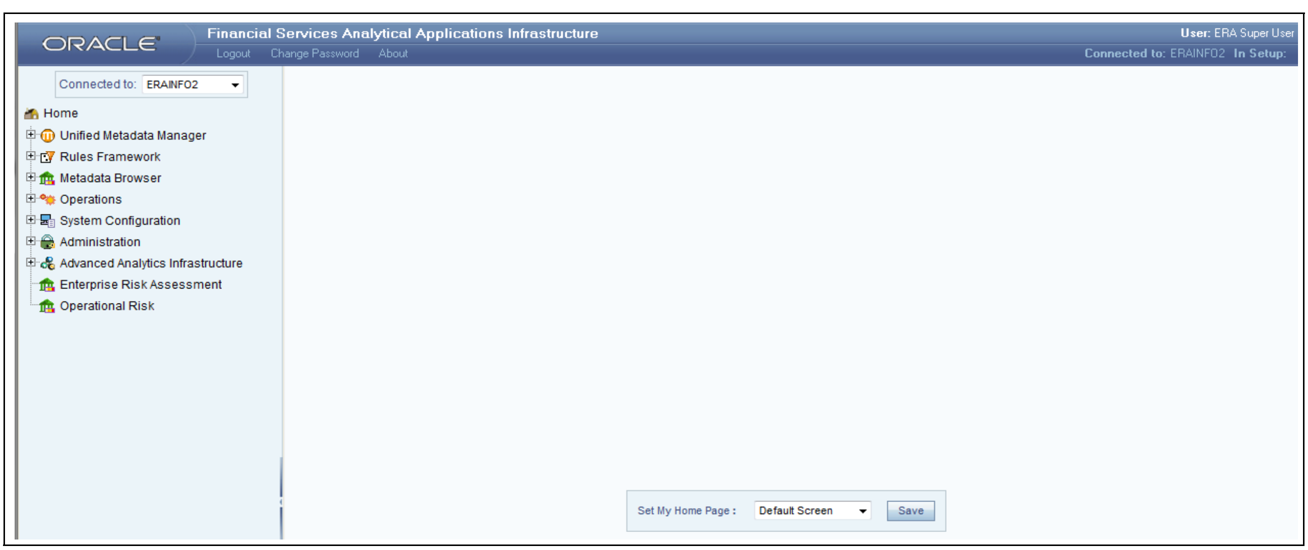


Figure 6. OFSAAI Home Page

Top Menu

This section displays the logged in User information and Information Domain. The Top menu contains the following buttons:

- **Logout**: This logs you out from the application.
- **Change Password**: This takes you to the change password page.
- **About**: This displays the OFSAAI copyright information.

Left Hand Side (LHS)

This section displays the menu which allows you to navigate to the required module. The items displayed in the Menu depend upon the access rights of the logged in user.

You can select an Information Domain to which the Application is connected, from the Connected to drop-down. The Menu gets refreshed, based on the selected Information Domain.

Click **Enterprise Risk Assessment** in the LHS Menu. The OFSERA Home page opens in a different window.

For more details, refer to the *OFSAAI User Guide Release 7.3.5.0.0*.

Right Hand Side (RHS)

This section has a box that displays user options available on the Home page on logging into OFSAAI Application. From the Set My Home Page drop-down select an option and click **Save.** This saves the application page as the default landing page.

OFSERA Common Screen Elements

This section describes the common screen elements of OFSERA. The following table lists the various icons in the ERA user interface:

Table 2. Screen Elements

Icon	Name	Description
Help	Help Button	This button displays at the top right corner of a page. Click this button to display information related to the page.
Go	Go Button	This button displays in all the Search bars and performs the search function. Click this button to search the selected search criteria.
Clear	Clear Search Criteria	Click this button to clear the search fields to blank.
Wrap	Wrap Button	When values displayed in the columns of a matrix is lengthy, only the first few characters are displayed. Click this button to wrap the text in all the columns of a matrix.
Unwrap	Unwrap Button	When values displayed in the columns of a matrix are expanded, you can click this button to display full details of the text in all the columns of a matrix.
	Expand Button	When values displayed in a particular column or row is lengthy, only the first few characters are displayed followed by the expand button, indicating that more text is available. Click this button to expand the column or row for the complete text to be visible.
	Collapse Button	When values displayed in a particular column or row are expanded, you can click the collapse button in that column or row to contract the displayed text.

Table 2. Screen Elements

Icon	Name	Description
View More	View More Button	This button displays at the lower left corner of the details page. Click this button to view additional details of a record such as Documents, Audit History and so on.
Hide	Hide Button	Click this button to hide additional details of a record.
−	Collapse Button	Click this button to collapse details of a record.
+	Expand Button	Click this button to expand details of a record.
⊕ or ⊞	Section Expand Button	This button is present in some of the sections in details page. Click this button to expand a section and display the fields.
⊖ or ⊟	Section Collapse Button	Click this button to collapse a section, which is already expanded. All the fields in the section are hidden.
	Calendar	Click this button to display the calendar. you can select a date from the calendar.
	Clear Button	This button displays on those actionable sections of the UI which do not display any pre-populated data. Click this button to clear the data entered.
Save Draft	Save Draft	Click this button to save draft version of a record.
Edit		Click this button to edit the details of a record.
Update	Update	Click this button to update the changes made to a record.
Submit	Submit	Click this button to submit a record.
Cancel	Cancel	Click this button to cancel an action.
Close	Close	Click this button to close a page.

Managing OFSERA

This section describes how to manage the Oracle Financial Services Enterprise Risk Assessment application. This applies to users across all modules of the application. Some of the functionalities may be specific to the rights owned by a user.

This section discusses the following topics:

- Managing Inbox
- Managing Search and List Page
- Managing Details Page

Managing Inbox

The Inbox page displays the Tasks and Notifications of the logged in user. The Task IDs are hyperlinks that enable you to view the contents of the task or notification. Click on the Task ID to view its details and take action if required.

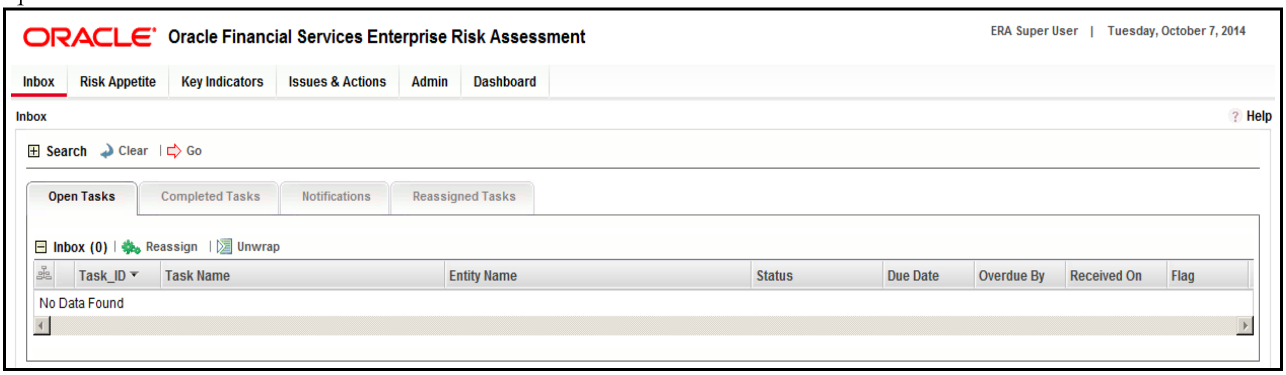


Figure 7. Inbox

There are four tabs in the Inbox of any User:

- **Open Tasks**: Tasks received by the user which is yet to be completed.
- **Completed Tasks**: Tasks which have been performed or completed by the user.
- **Notifications**: Notifications sent to the user for information.
- **Reassigned Tasks**: Tasks which were not performed by the actual receiver and are reassigned to a different user in the OFSERA Application.

Searching Inbox

The Inbox page allows you to filter the tasks and notifications that you want to view and analyze. This search is based on limited set of search criteria and helps to retrieve the relevant tasks and notifications of Inbox.

To search the Inbox, follow these steps:

1. Login to the OFSERA application.
2. Click **Inbox**. The Inbox page is displayed.
3. Click the Expand icon (+) to display the details.
4. Enter the following details in the Search fields to filter the list.

   The following table provides the list of the search criteria that display in the Inbox search section:

Fields	Description
Task Name	Enter the name of the task.

Fields	Description
From	Enter the name of the user from which task was generated
Due Date	Select a condition from the drop-down list with the following options: • <= • < • = • > • >= Select a date from the calendar.

5. Click **Go**. The records meeting the criteria are displayed in all the tabs of Inbox.

   Note: If no records match the search criteria, the following message is displayed: *No records found for the selected search criteria.*

Reassigning Tasks

This feature helps you to reassign certain task(s) to a different user who is mapped to the same role as the logged in user.

To reassign a task, follow these steps:

1. Login to OFSERA. The OFSERA Home page is displayed.
2. Click **Inbox**. The Inbox page is displayed.
3. Select a task and click **Reassigned Tasks**. The Re-assign Task window is displayed.

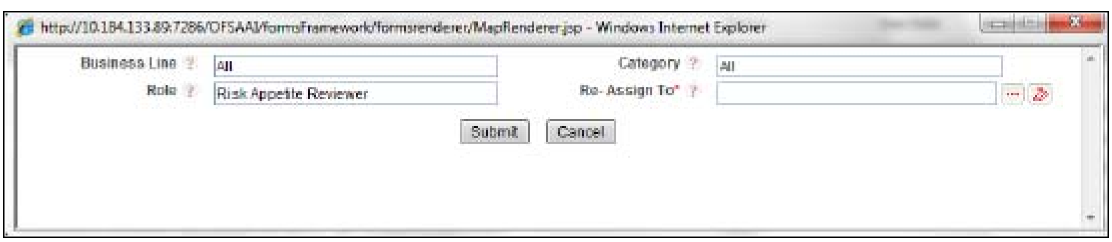


Figure 8. Re-assign Task

4. Click the hierarchy browser icon adjacent to the Re-Assign To box. The hierarchy browser is displayed.

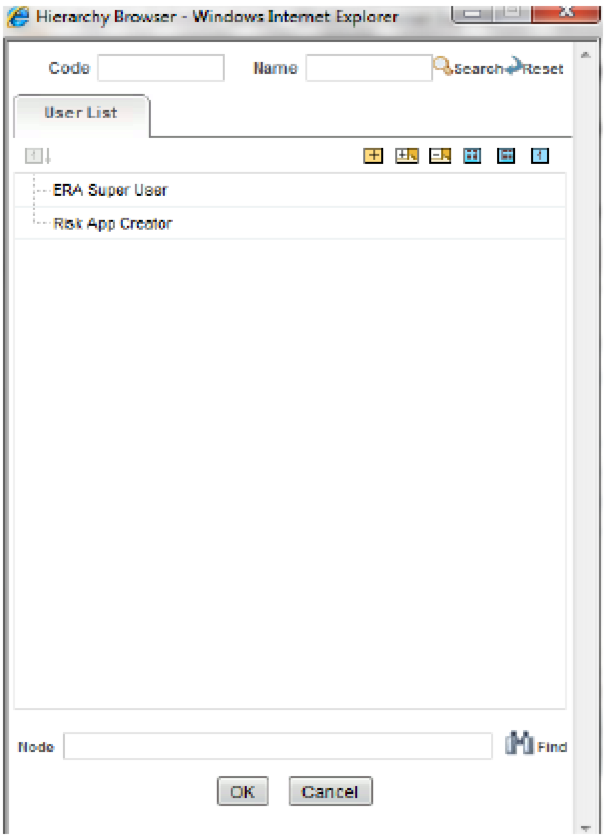


Figure 9. Re-assign Task Hierarchy Browser

5. Select the appropriate user and click **OK**. The Re-assign Task window is displayed.
6. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The Re-assign Task window is displayed.
7. Click **Back** to return to the Inbox.

   The task is moved to the Reassigned Tasks section.

Managing Search and List Page

This section details about the components of the Search and List page, and describes how to manage them.

This section includes the following topics:

- Components of Search and List Page
- Page Help
- Managing Pagination
- Saving a Search
- Exporting Records

Components of Search and List Page

The Search and List page displays the summary of all the records and is sorted by the Last Modified Date by default. It displays the total number of records, page number and the total number of pages in the search result.

The Search and List page contains the following components:

- Mast Head
- Navigation Path
- Page Help
- Search Bar
- List Header
- Action Buttons
- Check Boxes
- Column Headings

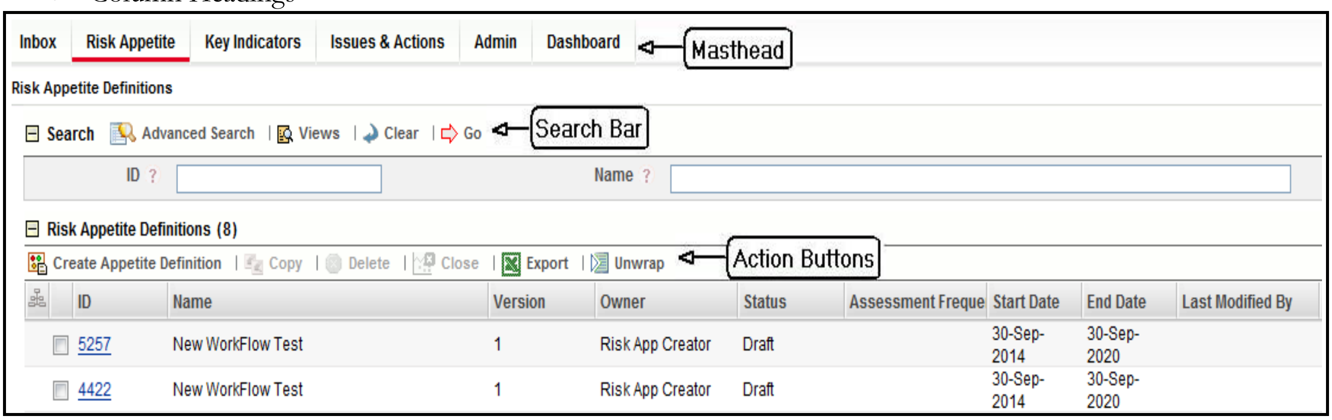


Figure 10. Search and List Page

Mast Head

The masthead displays at the top of the page and contains the menus of the application. This section also displays the session information which includes session user name, day, and date.

Navigation Path

The Search and List page and the Details page in OFSERA has a navigation path to display the route you have taken to reach the current page. You can click on any component of the navigation path to view the respective screen.

Figure 11. Navigation Path

Page Help

Page level help is provided in all the screens of the OFSERA application. The Help Page provides context-sensitive help information based on the page displayed.

To view the page help, follow these steps:

1. Click **Help** in the top right corner of the screen. The Help Page opens in a separate window.
2. Click the **Close** button of the browser window to close the Help Page.

Search Bar

This section allows you to search and view the records and their details. The records can be searched either by using Basic Search, Advanced Search, or Search by Views.

List Header

The header contains the title and displays the total number of records. The header also provides pagination with forward and backward arrows for advancing page by page or for advancing to the first or last page.

Action Buttons

Action buttons are the tool bar buttons that enables you to perform the various actions such as create, delete, close, export and so on. These buttons would be either enabled or disabled for a user based on the access rights provided to the user and the operations that can be performed on the selected record.

Note: The actions buttons differ from module to module. Refer to the respective chapters for more details.

Check Boxes

Check boxes are provided at the beginning of each row in the Search and List Page. You can select one or more check boxes depending upon the action you take.

Column Headings

Column headings provide labels that depict the kind of information displayed in the columns. The list of records can be sorted from the column headings.

To sort the records, follow these steps:

1. Navigate to the Search and List page.
2. Right-click on a column heading. A list of sorting options is displayed.

Figure 12. Sorting Menu

3. Select the relevant sorting option. The records are sorted as per the selected sorting option.
4. Select **Clear Sort** to clear off the applied sorting option.

The different sorting options are described below:

- **Sort Ascending**: Upon selecting this option, the records are sorted in ascending order if the data is numeric. In case of a text field, the data is sorted in alphabetical order. If the selected column is a date column, then the data is sorted in chronological order.
- **Sort Descending**: Upon selecting this option, the records are sorted in descending order if the data is numeric. In case of a text field, the data is sorted in reverse alphabetical order. If the selected column is a date column, then the data is sorted in reverse chronological order.
- **Clear Sort**: Upon selecting this option, the applied sorting is removed and records are displayed in their original order.
- **Group by Tree**: Upon selecting this option, the records are listed in a tree structure under various values in the column. You can click **Close** to close the grouping and view the normal list page.
- **Group by Tab**: Upon selecting this option, the records are arranged horizontally as tabs. Each value in the column becomes a separate tab and the records are classified and grouped under respective tabs. You can click the tabs to display the respective records. You can click **Close** to close the grouping and view the normal list page.

  Note: Group by Tree and Group by Tab options are enabled only for columns which have predefined values from dim tables. They are not enabled for columns for which the data is captured in front end by the Business User. Also, these options are not available for columns with distinct values like Name, Amount and so on.
- **Transpose**: This option allows you to convert columns to rows. Upon clicking this option, the column headings are arranged vertically, the records are displayed horizontally and the record details are displayed vertically corresponding to each column. You can click **Close** to close the transposed view.

- **Field Chooser**: This option allows you to enable or disable fields in a grid. The changes made are applicable for the future sessions of the logged in user alone and can be modified whenever necessary.

To sort by Field Chooser, follow these steps:

1. Right-click on the column heading. A list of sorting menu displays.
2. Click **Field Chooser**. The Field Chooser window displays. The columns displayed are selected by default.
3. Select the fields which you want to display.
4. You can increase or decrease the width of a column by modifying the Control Width value. To change the position of the columns, select a column and click or .
5. Click **OK**. The Field Chooser window closes and the selected columns are displayed.

   Or

   Click **Save**. The Field Chooser window closes and the selected columns are displayed. The changes made are saved for the logged in user.

Managing Pagination

This feature helps in managing large number of records in a single grid. A limit is defined in each grid as to how many records will be displayed at a time. If it is defined that only x number of records will be displayed in a single page of the grid at a time, the rest of the records will be displayed in the subsequent pages. These pages can be viewed by using pagination options.

Figure 13. Pagination

- Click to view the records in the next page.
- Click to view the records in the previous page.
- Click to view the records in the last page.
- Click to come back to the first page when you are in any other page.

Saving a Search

The OFSERA application provides a Save Search option in the Advanced Search section that allows you to save your search criteria for future use. Such a saved search is considered as a pre-defined search and is listed in Views Search drop-down list.

To save a search, follow these steps:

1. Navigate to the Search and List page.

2. Click **Advanced Search**. The Advanced Search section is displayed.

Figure 14. Advanced Search Section

3. Enter your search criteria in the Advanced Search fields and click **Save**. The Save Search window is displayed.

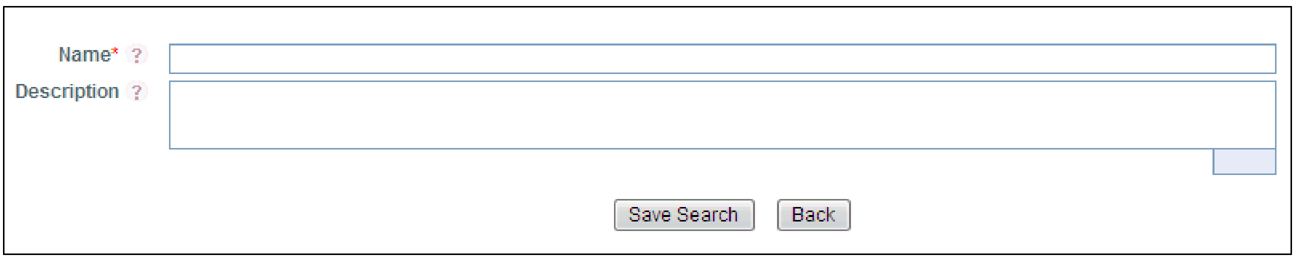


Figure 15. Save Search Window

4. Enter the Search Name and Description in the respective fields.

   Note: You can check the Set as Default View option if you want to make these search criteria as your default View.

5. Click **Save Search**. The following message is displayed: *Add Operation Successful*. Click **OK**. The Save Search window is displayed.

6. Click **Back**. The Advanced Search section is displayed and the saved search criteria is listed under the Views drop-down list.

Exporting Records

The Search and List page allows you to export the listed records to MS Excel spreadsheet. If any search criteria is applied, the values exported are restricted only to the search result.

To export the records, follow these steps:

1. Navigate to the Search and List page.
2. Click **Export**. The Export Details box is displayed.

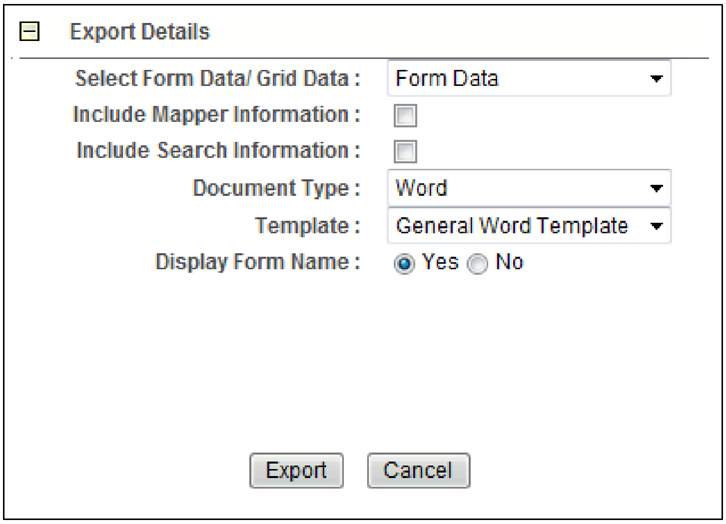


Figure 16. Export Details Box

3. Select the appropriate options from the Export Details box.

Table 3. Export Details

Fields	Description
Select Form Data/ Grid Data	Select Form Data or Grid Data from the drop-down list.
Include Mapper Information	Check if you want to include mapper information in the report.
Include Search Information	Check if you want to include search information in the report.
Document Type	Select Excel from the drop-down list.
Template	Select General Excel Template from the drop-down list.
Display Form Name	Select if you want to display form name or not from Yes or No radio buttons.

4. Click **Export**. The File Download box is displayed.

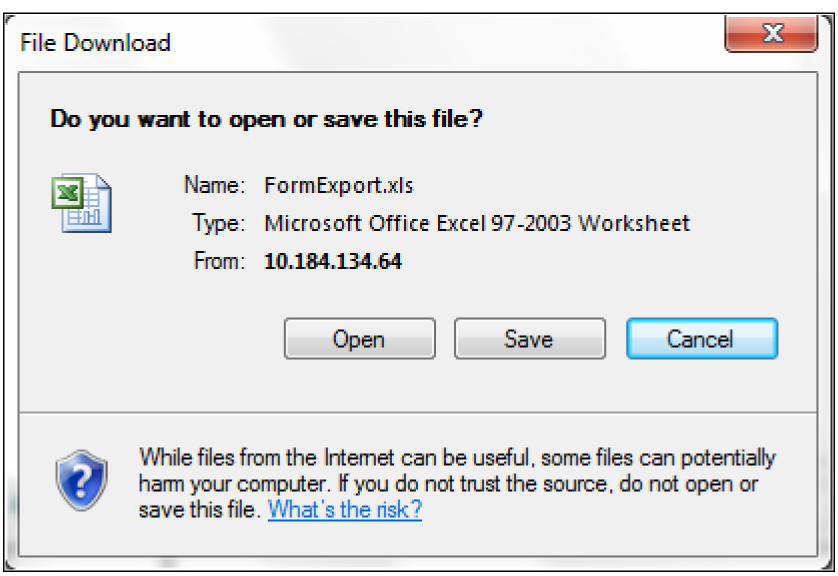


Figure 17. File Download Box

5. Click **Open**. An MS Excel spreadsheet is displayed which consists of a compiled list of all the records displayed in the Search and List page.

Managing Details Page

This section covers the components of the Details page, and describes how to manage them.

This section includes the following topics:

- Components of Details Page
- Viewing Profile Report
- Managing Documents
- Viewing Audit History

Components of Details Page

The following sections describe the components found in the page:

- Field and Data Types
- Contextual Help
- Tool Tip

Field and Data Types

The Details page of all modules has the following types of field:

- Text Box
- Text Area
- Hierarchy Browser
- Drop-down List
- Radio Buttons
- Numeric Fields
- Date
- Mandatory Data Fields
- Contextual Help
- Tool Tip

Text Box

This is an alphanumeric free-text field with a restriction of 300 characters.

Text Area

This is an alphanumeric free-text field with a restriction of 3000 characters. The number of characters allowed for these fields displays in a box which is non editable. The count is updated based on actual number of characters entered in the Text Area.

Hierarchy Browser

Some fields are provided with a hierarchy browser button, selecting which, a list of values is displayed in hierarchical format.

Drop-down List

Some fields are provided with a drop-down button , which displays a list of values. You can select the relevant value from the list.

Radio Buttons

Radio buttons are provided for fields where the user must select from two or more options.

Figure 18. Radio Buttons

Numeric Fields

These fields allow only numeric data to be entered. The different types of numeric fields include:

- Number Field - You can enter upto 20 digits.
- Amount Field - You can enter upto 20 digits and 8 decimals
- Percentage Field - You can enter upto 3 digits

Date

These fields are provided with calendar button which allows you to select a date. If you click on the **Calendar** button, a calendar of the current month is displayed with the current date highlighted.

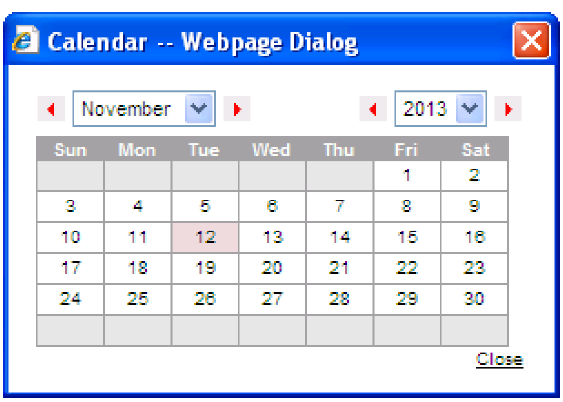


Figure 19. Calendar

Mandatory Data Fields

Mandatory fields are those fields which capture data that must be entered by the user. All data fields that are marked with a Red asterisk (*) are compulsory data fields. When all of these fields have been completed, an entity can be submitted by the user for further steps in the Audit. For example, the Owner field is mandatory for submitting a record.

However, some fields are mandatory based on the data captured. If such fields are not captured, an alert message displays, asking the user to capture the relevant fields.

Contextual Help

Contextual Help is offered at every field level in the User Interface screen, by providing a brief description about the specific field. You can click ? to view the contextual help text. Contextual help available for that field displays in a window box for a few seconds and closes automatically.

Figure 20. Contextual Help

Tool Tip

You can refer to the Tool Tip to identify a task or action button. The Tool Tip displays when you place the cursor over a button. In case of a button, it specifies the purpose of the button.

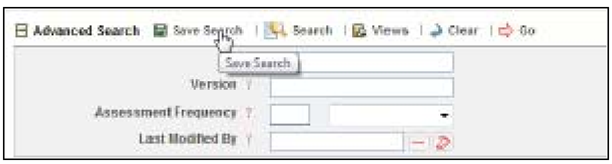


Figure 21. Tool Tip

Viewing Profile Report

The Details page allows you to export all the details of a record to Portable Data Format. The Profile Report gives a current snapshot of the record.

To view the profile report, follow these steps:

1. Navigate to the Details page.
2. Click <Module Name>**Profile** button. A File Download Box is displayed.

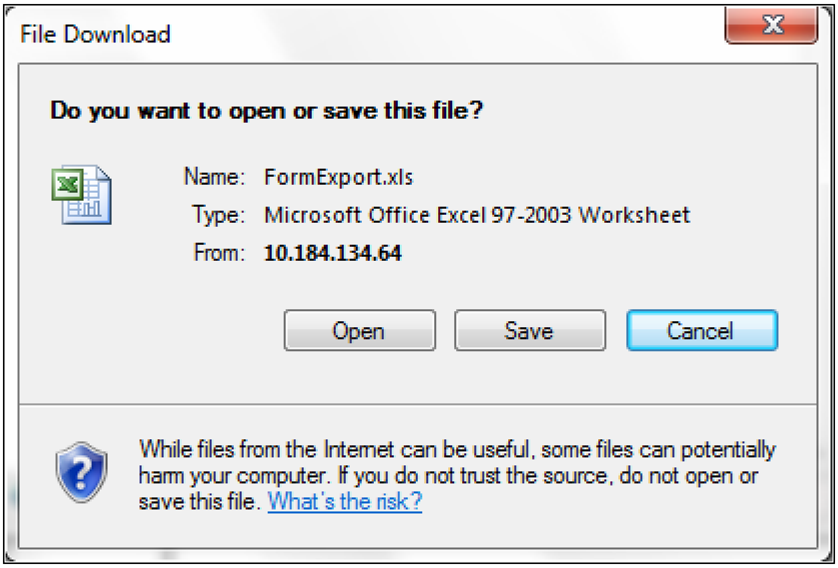


Figure 22. File Download Box

3. Click **Open**. The profile report of the record is displayed. Alternatively, you can save the report in your drive by clicking **Save**.

Risk Appetite Definitions

ID	Name	Version	Owner	Status	Assessment Frequency	Start Date	End Date	Last Modified By	Created On
12204	The bank aims to limit Information Technology Risks	1	Risk App Creator	Pending Review	1 Months	01-Apr-2015	31-Mar-2016		06-Jan-2015
12673	The Bank aims to maximise the shareholders' value.	1	Risk App Creator	Pending Review	1 Months	01-Apr-2015	31-Mar-2016		06-Jan-2015
11835	The bank aspires to attain business sustainability	1	ERA Super User	Pending Review	2 Weeks	01-Apr-2014	31-Mar-2015		17-Dec-2014
11648	The bank will ensure thresholds for Concentration Risk are not breached at all times.	1	Risk App Creator	Pending Review	1 Months	01-Apr-2014	31-Mar-2016		17-Dec-2014
11360	The bank aims to prevent impairement of its asset quality	1	Risk App Creator	Pending Review	14 Days	01-Apr-2014	31-Mar-2016		17-Dec-2014

Figure 23. Risk Appetite Definitions

Managing Documents

The Details page allows you to attach or delete documents related to the module. You can attach documents in the following formats:

- MS Word
- MS Excel
- PDF
- Notepad

Attaching a Document

To attach a document, follow these steps:

1. Navigate to the Risk Appetite Definition Details page.
2. Select **ID** from the list.
3. Click the **ID**. The Appetite Definition Summary page is displayed.
4. Click **Documents** tab. The Documents section is displayed.
5. Click **Attach Document(s)**. The Attach Documents window is displayed.

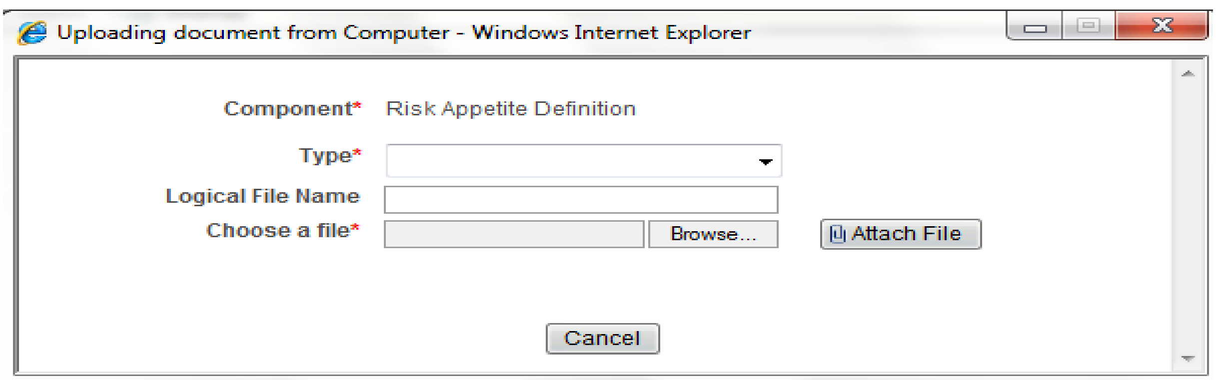


Figure 24. Attach Documents Window

6. Enter the required details in the Attach Documents window. The following table describes the fields in Attach Documents window:

Fields	Description
Component	Displays the component name for which the document is uploaded. This is a non-editable field.
Type	Select the type of file from the following options in the drop-down list: ● Regulation ● Policy ● Documentation ● Annexures
Logical File Name	Enter the Logical File Name. It is a text field which supports alpha-numeric characters.

7. Click **Browse** to choose a file from your computer.
8. Click **Attach File**. The following message is displayed: *Add Operation Successful*. Click **OK**.

   The document is attached and listed in the Documents section.

Deleting a Document

The attached document can be deleted if they are no longer required. You can delete a document only if you have uploaded it. Documents attached by one user cannot be deleted by others.

To delete a document, follow these steps:

1. Navigate to the Risk Appetite Definition Details page.
2. Select **ID** from the list.
3. Click the **ID**. The Appetite Definition Summary page is displayed.
4. Click the **Documents** tab. The Documents section is displayed.
5. Select the document which you want to delete. The Delete Document button enables.
6. Click **Delete Document**. The following message is displayed: *Are you sure you want to delete this record?*
7. Click **OK**. The following message is displayed: *"Delete Operation Successful"*.
8. Click **OK**. The document is removed from the Documents section.

Viewing Audit History

The Audit History displays the audit trail of all the changes made to a record. The data is maintained from the first save of the record. A different history record is created each time you perform a save or submit action. The history records are displayed according to their last modified date.

To view Audit History, follow these steps:

1. Navigate to the Risk Appetite Definition Details page.
2. Select **ID** from the list.
3. Click the **ID**. The Appetite Definition Summary page is displayed.
4. Click **Audit History** tab. The Audit History section is displayed.
5. Click the Expand icon (**+**) in Audit history section to display the details. This section displays snapshots of the selected entity at a certain point in time when it was changed.

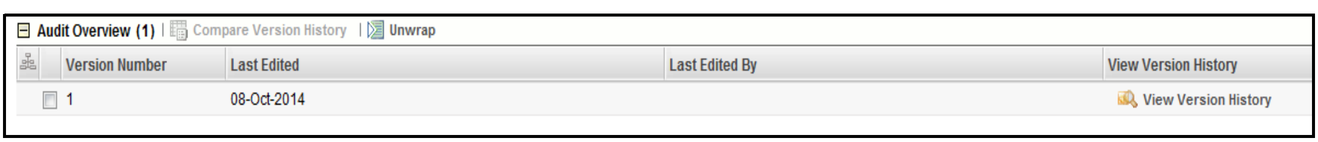


Figure 25. Audit History

6. Select two or more records and click **Compare Version History**. A table opens in a new window which displays the difference between the selected history records. The differences are highlighted in red.

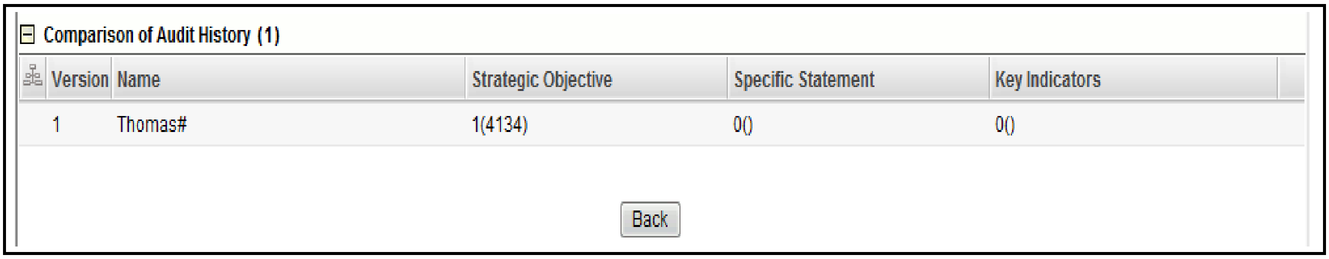


Figure 26. Comparison of Audit History

CHAPTER 4 Managing Risk Appetite Definition

This chapter provides information about Risk Appetite Definition in the Oracle Financial Services Enterprise Risk Assessment application and step-by-step instructions to use this section.

This chapter includes the following topics:

- About Risk Appetite Definition
- User Roles and Actions
- Task and Notification
- Risk Appetite Definition Workflow
- Creating a Risk Appetite Definition
- Managing Risk Appetite Definition Details

About Risk Appetite Definition

The Risk Appetite Definition is the maximum possible risk that an organization is prepared to face, in order to achieve their intended goals. It is the level and type of risk a firm is able and willing to assume in its exposures and business activities, given its business objectives and obligations to stakeholders.

Oracle Financial Services Enterprise Risk Assessment (OFSERA) enables organizations to express their risk appetite across multiple areas such as Capital Adequacy, Risk, Profitability and so on, and conduct periodic assessment to track their performances. This application provides a framework for defining the risk appetite in terms of Strategic Objectives, Specific Statements, and Key Indicators. This application helps in assessing the risk appetite by computing the scores of the Strategic Objectives and Specific Statements based on the values to Key Indicators and comparing them against the pre-specified limits highlighting the deviations from the organizational goals thereby enabling them to take timely corrective action.

Salient Features

The Risk Appetite Definition provides the following features to help organizations manage their risk:

- Capturing and storing Risks Appetite Definition
- Creating Strategic Objectives, Specific Statements, and Key Indicators for Risks Appetite Definition
- Maintaining Thresholds and ratings
- Assessing KIs, which are part of Risk Appetite definition to evaluate the performance
- Identifying an Issue and creating action plans to address them

User Roles and Actions

This section explains the different user roles and actions they can perform in the Risk Appetite module of the ERA application. This section covers the following topics:

- User Roles
- Actions

User Roles

- Risk Appetite Assessor: Th eRisk Appetite Assessor creates assessments for open Risk Appetite Definitions In addition, he can also delete assessments in draft status.
- **Risk Appetite Analyst**: The Risk Appetite Analyst identifies the Risk Appetite for an organization and creates a new Appetite Definition. This user is responsible for creating and editing the risk appetite definition. In addition, the responsibilities include, creating and deleting strategic objectives and specific statements, and linking and delinking the Key Indicators.
- **Risk Appetite Reviewer**: The Risk Appetite Reviewer reviews the definitions created by the analyst. In addition, the responsibilities include, creating and deleting strategic objectives and specific statements, and linking and delinking the Key Indicators.
- **Risk Appetite Approver**: The Risk Appetite Approver is responsible for approving and rejecting the definition created by analyst and reviewed by reviewer. In addition, the responsibilities include, creating and deleting strategic objectives and specific statements, and linking and delinking the Key Indicators.
- **Key Indicator (KI) Owner**: The Key Indicator Owner can create Key Indicators for the Risk Appetite Definition.

Actions

The users described in the previous section may perform the following actions:

- **Creating Risk Appetite Definition:** This action allows a Risk Appetite Analyst to create a new definition in New status.
- **Editing Risk Appetite Definition:** This action allows a Risk Appetite Analyst to edit Risk Appetite Definition in Draft and In Review status. Risk Appetite Reviewer can edit the Risk Appetite Definition in Pending Review status. Same for Approver. The Risk Appetite Approver can approve the definitions which are in Pending Approval status. The Risk Appetite Reviewer and the Risk Appetite Approver can edit the risk appetite definition.
- **Closing Risk Appetite Definition:** This action allows a Risk Appetite Analyst to close the definition in all the statuses.
- **Creating, Deleting and Closing Strategic Objectives:** This action allows a Risk Appetite Analyst to create, delete and close the strategic objectives in Draft and In Review status. The Risk Appetite Approver can create, edit and delete strategic objectives, when risk appetite definition is in Pending Approval status. The Risk Appetite Reviewer and the Risk Appetite Approver can edit the risk appetite definition.
- **Creating, Deleting and Closing Specific Statements:** This action allows a Risk Appetite Analyst to create, delete and close the specific statements in Draft and In Review status. The Risk Appetite Approver can create, edit and delete specific statements, when risk appetite definition is in Pending Approval status. The Risk Appetite Reviewer and the Risk Appetite Approver can edit the risk appetite definition.
- **Linking and Delinking Key Indicators:** This action allows a Risk Appetite Analyst to link and delink the key indicators in Draft and In Review status. The Risk Appetite Reviewer can also review the key indicators, when Risk Appetite Definition is in Pending Review status. The Risk Appetite Approver can link and delink the key indicators, when risk appetite definition is in Pending Approval status.
- **Creating and Deleting Key Indicators:** This action allows a KI Owner to create and delete the key indicators which are in Draft and In Review status.

- **Attaching and Removing documents to Risk Appetite Definition:** This action allows a Risk Appetite Analyst to attach and remove document from the definition which are in Draft, Open and In Review status. The Risk Appetite Reviewer can review the Risk Appetite Definition which are in Pending Review and Open status. The Risk Appetite Approver can attach, remove and approve the document which is in Pending Approval and Open status.
- **Submitting Risk Appetite Definition:** This action allows a Risk Appetite Analyst to submit the definition in Draft and In Review status.
- **Accepting and Rejecting Risk Appetite Definition:** This action allows a Risk Appetite Reviewer to accept and reject the definition which is in Pending Review status.
- **Approving and Rejecting Risk Appetite Definition:** This action allows a Risk Appetite Approver to approve or reject the definition which is in Pending Approval status.

Table 4. User Roles Mapped to Corresponding Actions

Function	Status of Risk Appetite Definition	Roles			
		Risk Appetite Analyst	Risk Appetite Reviewer	Risk Appetite Approver	KI Owner
Create Risk Appetite Definition	New	X			
Edit Risk Appetite Definition	Draft	X			
	Pending Review		X		
	Pending Approval			X	
	In Review	X			
Copy Risk Appetite Definition	All Statuses	X			
Close Risk Appetite Definition	Open	X			
Create, Delete & Close Strategic Objectives	Draft	X			
	Pending Review		X		
	Pending Approval			X	
	In Review	X			
Create, Delete & Close Specific Statements	Draft	X			
	Pending Review		X		
	Pending Approval			X	
	In Review	X			
Link & Delink Key Indicators	Draft	X			
	Pending Review		X		
	Pending Approval			X	
	In Review	X			
Create, Delete Key Indicators	Draft				X
	In Review				X
Attach & Remove documents to Risk Appetite Definition	Draft	X			
	Pending Review		X		
	Pending Approval			X	
	Open	X	X	X	
	In Review	X			

Function	Status of Risk Appetite Definition	Roles			
		Risk Appetite Analyst	Risk Appetite Reviewer	Risk Appetite Approver	KI Owner
Submit Risk Appetite Definition	Draft	X			
	In Review	X			
Accept/Reject Risk Appetite Definition	Pending Review		X		
Approve/Reject Risk Appetite Definition	Pending Approval			X	

Task and Notification

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

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

Table 5. Task and Notifications

Action Performed	Task/Notification	Task/Notification Description
Submit of Risk Appetite Definition	Notification	Notification sent to all users mapped to the role of owner.
Accepted by Risk Appetite Reviewer	Notification	Notification sent to all users captured as owners and user who submitted the definition.
Rejected by Risk Appetite Reviewer	Notification	Notification sent to the user captured as owner and Risk Appetite Approver.
Approved by Risk Appetite Approver	Notification	Notification sent to the user who submitted the definition.
Rejected by Risk Appetite Approver	Notification	Notification sent to the user captured as owner.
Closing of a Risk Appetite Definition	Notification	Notification sent to all users captured as owners.
Submitting of Risk Appetite Definition	Task	Task sent to the Risk Appetite Reviewer.

Action Performed	Task/Notification	Task/Notification Description
Approved by Risk Appetite Approver	Task	Task sent to the Risk Appetite Reviewer.
Rejected by Risk Appetite Approver	Task	Task sent to the user who submitted the definition.
Rejected by Risk Appetite Reviewer	Task	Task sent to the user who submitted the definition.

Risk Appetite Definition Workflow

The following figure describes the Risk Appetite Definition workflow:

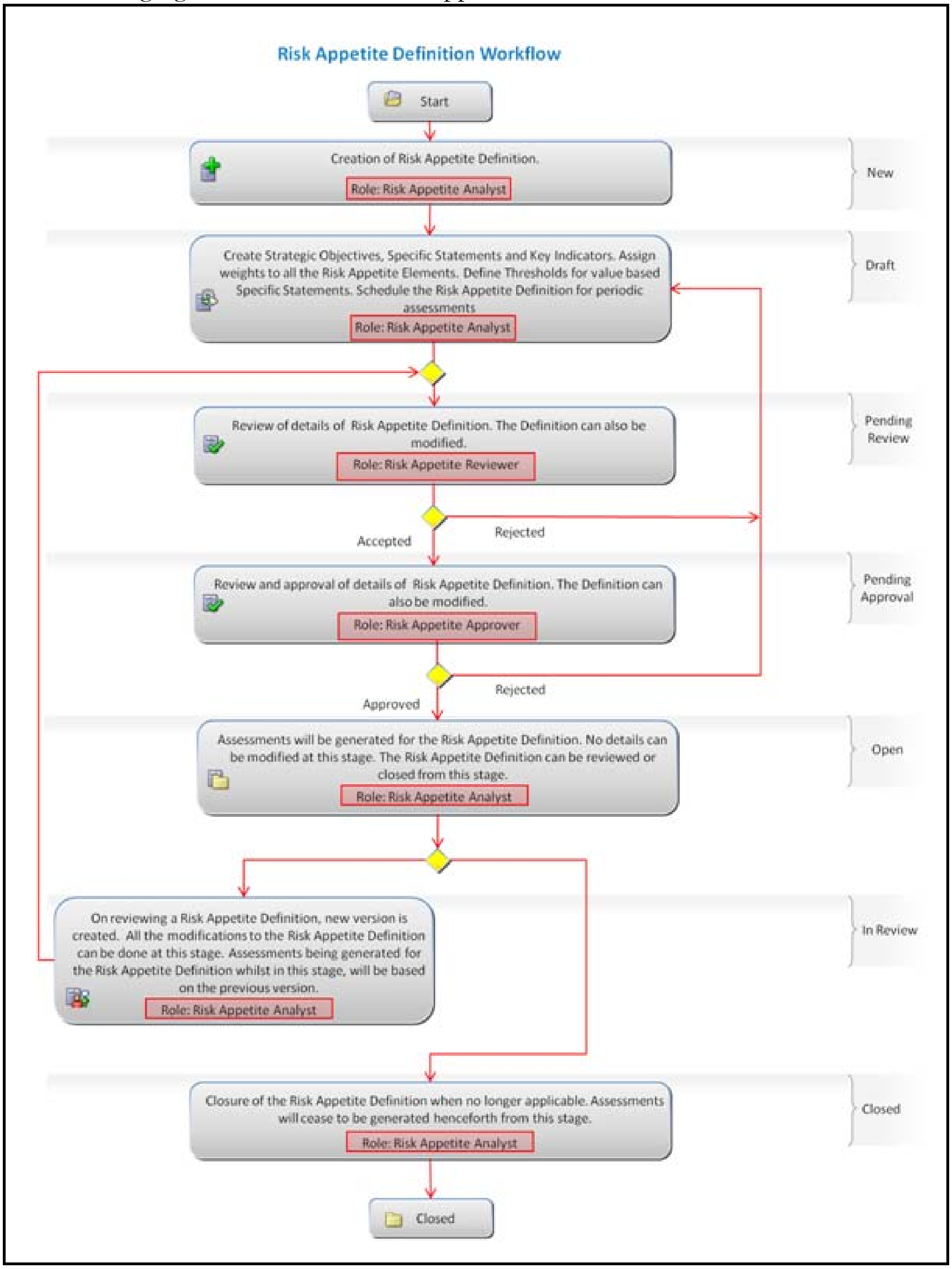


Figure 27. Risk Appetite Definition Workflow

Searching Risk Appetite Definition

The Risk Appetite Definition Search and List page allows you to filter the definition that you want to view and analyze. The Risk Appetite Definition search bar supports three types of search-Basic Search, Search by Views, and Advanced Search.

This section explains the following topics:

- Searching Risk Appetite Definition using Basic Search
- Searching Risk Appetite Definition using Advanced Search
- Searching Risk Appetite Definition Using Pre-defined Views

Searching Risk Appetite Definition using Basic Search

This search is based on a limited set of search criteria such as ID and Name. This helps to retrieve the relevant Risk Appetite Definition list.

To search for a Risk Appetite Definition using Basic Search, follow these steps:

1. Navigate to the Risk Appetite Definition Search and List page.

Figure 28. Searching Risk Appetite Definition Using Basic Search

Note: By default, the Risk Appetite Definition Search and List page displays all Risk Appetite Definition.

2. Enter the following search criteria in the Basic Search fields to filter the Risk Appetite Definition list.

Table 6. Basic Key Indicator Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the Risk Appetite Definition. This fields allows you to enter maximum of 30 numeric values and supports wildcard search.
Name	Enter the name of the Risk Appetite Definition. This field allows you to enter a maximum of 300 characters and supports wildcard search.

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

   Note: If the entered search criteria do not match, the following message is displayed: *No Data Found for this Search Criteria*.

Searching Risk Appetite Definition using Advanced Search

Advanced search offers the same search fields as provided for a simple search along with additional fields. If you know Risk Appetite Definition details such as ID, Name, Status, and so on, you can filter the Risk Appetite Definition very specifically using the Advanced Search criteria.

To search Risk Appetite Definition using Advanced Search, follow these steps:

1. Navigate to the Risk Appetite Definition Search and List page.
2. Click **Advanced Search** from the Search section. The Advanced Search fields are displayed.

Figure 29. Searching Risk Appetite Definition Using Advanced Search Criteria

3. Enter the search criteria to filter the Risk Appetite Definition list.

Table 7. Advanced Risk Appetite Definition Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the Risk Appetite Definition. This field supports wildcard search.
Name	Enter the name of the Risk Appetite Definition. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Owner	Select the Risk Appetite Definition owner from the hierarchy browser.
Version No.	Enter the sequentially generated version number of the Risk Appetite Definition.
Status	Select the Risk Appetite Definition status from the multi-select drop-down list. Following are the possible values for Status drop-down list: ● Select All ● Draft ● Close ● Open **Note:** You can select more than one option at a time, from the drop-down list.
Last Modified By	Enter the name of the user who last edited the Risk Appetite Definition.
Start Date	Enter the start date for the assessment of the Risk Appetite Definition.
End Date	Enter the end date for the assessment of the Risk Appetite Definition.
Frequency Number	Enter the date on which the Risk Appetite Definition was last edited.

4. Click **Go**. The relevant search list is displayed.
5. Click **Clear** to reset the search fields.

Note: The application provides a Save Search button in the Advanced Search section that allows you to save your search criteria, which can be selected from the pre-defined views.

Note: If the entered search criteria do not match, the following message is displayed: *No Data Found for this Search Criteria.*

Searching Risk Appetite Definition Using Pre-defined Views

A Views search represents the pre-populated search queries. The Views search option allows you to search and filter the list based on the predefined search criteria.

To search for a Risk Appetite Definition using the Views search option, follow these steps:

1. Navigate to the Risk Appetite Definition Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

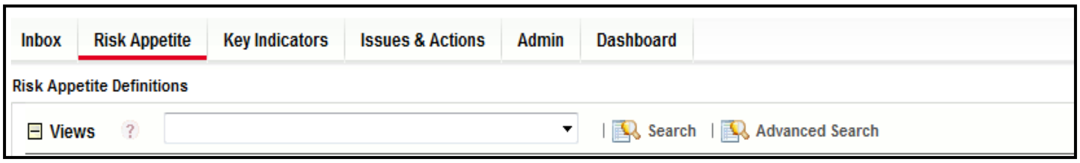


Figure 30. Searching Risk Appetite Definition Using Views

3. Select any of the pre-defined views from the Views drop-down list. The relevant search list page is displayed.

Creating a Risk Appetite Definition

The Risk Appetite Definition is the maximum possible risk that an organization is prepared to face in order to achieve their intended goals. The Risk Appetite Definition Search and List page allows you to create new definition.

To create a new Risk Appetite Definition, follow these steps:

1. Navigate to the Risk Appetite Definition Search and List page.
2. Click **Create Appetite Definition**. The Risk Appetite Definition page is displayed and the status of the definition is *New*.

Figure 31. Risk Appetite Definition Details Page

3. Enter the following information in the Risk Appetite Definition Details page.

Table 8. Fields of the Risk Appetite Definition Details Page

Fields	Description
Name	Enter the name of the Risk Appetite Definition. This field allows you to enter a maximum of 300 characters. **Note:** ● If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded.* ● If you try to save the Risk Appetite Definition details without entering the name, the application displays the following message: *Risk Appetite Name and Periodicity are mandatory to save the record.*
ID	Displays the sequential tracking number given to a Risk Appetite Definition. (This field is system generated.)

Table 8. Fields of the Risk Appetite Definition Details Page

Fields	Description
Description	Enter a brief description of the Risk Appetite Definition. The description field in the Risk Appetite Details page allows entering a maximum of 3000 characters. This field shows the count of words as you entering the description. **Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.*
Period From	Enter the start date for the Definition. **Note:** If you try to save the definition details without entering the start date, the application displays the following message: *Risk Appetite Name and Periodicity are mandatory to save the record.*
Period To	Enter the end date for the Definition. If you try to save the definition details without entering the end date, the application displays the following message: *Risk Appetite Name and Periodicity are mandatory to save the record.*
Owner	Select the Risk Appetite Definition owner from the hierarchy browser.
Version No.	Displays the current version number of the Definition

4. Click **Save Draft**. A Confirmation dialog box is displayed.
5. Click **OK**, the Risk Appetite Definition is saved and the Risk Appetite Definition Details page is displayed. The status of Risk Appetite Definition is changed to *Draft*.

Note: To Save and not Submit a Definition, all mandatory fields marked with an asterisk must be filled. If not, the application displays the following message: *Risk Appetite Name and Periodicity are mandatory to save the record!*.

6. When Risk Appetite Definition is in *Draft* status, you can add Strategic Objective, Specific Statement, and can link Key Indicators.

Note: For more information on adding Strategic Objective, Specific Statement, and linking Key Indicators, refer to *Creating Strategic Objective*, *Managing Specific Statements*, and *Linking Key Indicators (KI's)* section.

Editing Risk Appetite Definition

You can choose to edit the Appetite Definition details while creating a new one and saved it as a *Draft*.

To edit a Risk Appetite Definition, follow these steps:

1. Navigate to the Appetite Definition List page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.The Appetite Definition Summary page allows you to perform the following tasks in Draft Status:
   - Updating field operations
   - Adding Strategic Objectives
   - Adding Specific Statements.
3. Click **Edit**, and update the fields.
4. Click **Update**, the application displays the following message: *Risk Appetite Definition details updated.*
5. Click **OK**.

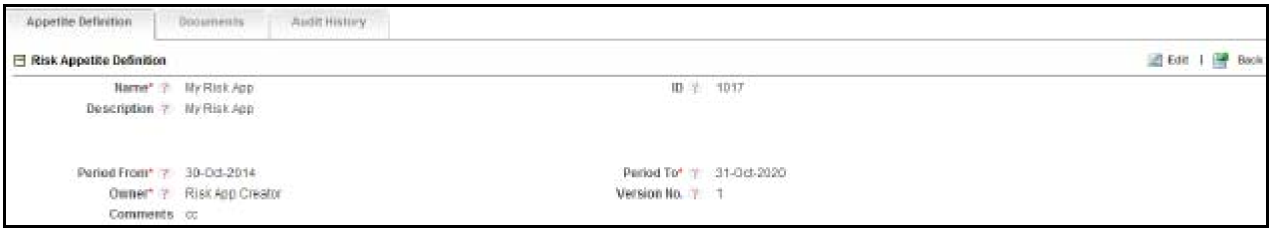


Figure 32. Editing Risk Appetite Definition

Managing Risk Appetite Definition Details

The Appetite Definition Details page allows you to manage various tabs and functionalities of the Appetite Definition.

The Details tab displays detailed information about the Risk Appetite Definition and allows you to perform the following tasks:

- Managing Strategic Objective
- Managing Specific Statements
- Scheduling Assessment
- Managing Risk Appetite Definition
- Closing Specific Statements
- Closing Strategic Objective
- Closing Risk Appetite Definition
- Managing Threshold Limits
- Linking and Delinking Key Indicators (KI's)
- Scheduling Assessment
- Closing Risk Appetite Definition
- Viewing Full Report of Risk Appetite Definition

Managing Strategic Objective

The Strategic Objective Details page allows you to manage various tabs and functionalities.

Creating Strategic Objective

In OFSERA, Strategic Objectives are the objectives created by the top level management defining the goals for the organizations.

To create the Strategic Objective, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Click **Create Objective** under Strategic Objectives section.

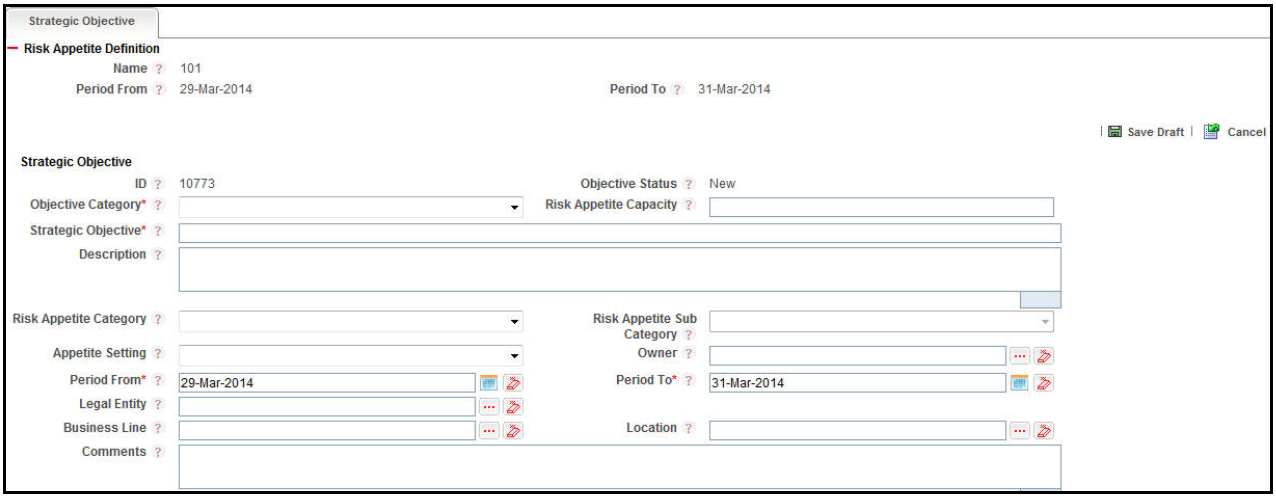


Figure 33. Creating Strategic Objective

4. Enter the following information in the Strategic Objective Details page.

Table 9. Fields of the Strategic Objective Details Page

Fields	Description
ID	Displays the auto generated number of the Strategic Objective.
Objective Status	Displays the auto generated status of the Strategic Objective.
Objective Category	Select the Objective Category from the Status drop-down list. Following are the possible options for the Objective Categories drop-down list: • Strategic • Operations • Reporting • Compliance • Financial • Regulatory • Human Resource • Marketing **Note:** Refer to the Reference Data Management excel sheet to add more Objective Categories.
Risk Appetite Capacity	Enter the value of the Risk Appetite Capacity. **Note:** This fields allows you to enter a maximum of 15 digits with eight decimals and supports wildcard search.
Strategic Objective	Enter the strategic objective. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Description	Enter the detailed description of the strategic objective. You can enter a maximum of 3000 characters in field. **Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded.*

Table 9. Fields of the Strategic Objective Details Page

Fields	Description
Risk Appetite Category	Select the Risk Appetite Category from the status drop-down list. Following are the possible options for the Risk Appetite Category drop-down list: ● Operational Risk ● Capital Adequacy ● Profitability ● Non-Traded Market Risk **Note:** Refer to the Reference Data Management excel sheet to add more Risk Appetite Category.
Risk Appetite Sub Category	Select the Risk Appetite Sub Category from the drop-down list. **Note:** In this field, values are filtered on the basis of value selected for Risk Appetite Category (RAC). ● If RAC value is selected as Operational Risk, then the following are the possible options for Risk Appetite Sub Category drop-down list: ■ Business Disruption and System Failures ■ Clients, Product and Business Failure ■ Damage of Physical Assets ■ Employment Practice and Workshop Safety ■ Execution, Delivery and Process Management ■ External Fraud ■ Internal Fraud ● If RAC value is selected as Capital Adequacy, then the following are the possible options for Risk Appetite Sub Category drop-down list: ■ Counterparty credit Risk on Trading Book ■ Credit Default Risk ■ Credit Transition Risk ■ Market Risk ■ Operational Risk Capital ● If RAC value is selected as Profitability, then the following are the possible options for Risk Appetite Sub Category drop-down list: ■ Customer Profitability ■ Product Profitability ■ Risk Adjusted Profitability ● If RAC value is selected as Non-Traded Market Risk, then the following are the possible options for Risk Appetite Sub Category drop-down list: ■ Foreign Exchange Risk on Banking Book ■ Interest Rate Risk on Banking Book ■ Liquidity Risk

Table 9. **Fields of the Strategic Objective Details Page**

Fields	Description
Appetite Setting	Select the Appetite Setting form the drop-down list. Following are the possible options for Appetite Setting drop-down list: • Averse • Cautious • Hungry • Minimalistic • Open
Owner	Select the name of the user from the User List.
Period From	By default, the date is pre-defined from the *Period From* field of Risk Appetite Definition. This field can be edited in Strategic Objectives section, and can be updated. To update, select the new date from the calendar.
Period To	By default, the date is pre-defined from the *Period To* field of Risk Appetite Definition. This field can be edited in Strategic Objectives section, and can be updated. To update, select the new date from the calendar.
Legal Entity	Select the Legal Entity from the list of Legal Entities.
Business Line	Select the Business Line from the list of Business Lines. **Note:** The list of Business Line is filter on the basis of value selected for Location.
Location	Select the Location from the list of Location. **Note:** The list of Location is filtered on the basis of value selected for Business Line.
Comments	Enter your comments about the Strategic Objective and Appetite definition. **Note:** This fields allows you to enter a maximum of 3000 characters and supports wildcard search.

5. Click **Save Draft**, to save the Strategic Objective in Draft status.

Editing Strategic Objective

To edit the Strategic Objective, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Click the **ID,** in the Strategic Objective Section.The Strategic Objective Details page is displayed.

Figure 34. Editing Strategic Objective

4. Click **Edit**, to modify the parameters.

   The Appetite Definition Details page allows you to perform the following tasks in Draft Status:

   - Updating field operations.
   - Adding more Strategic Objectives.

Note: Add more Strategic Objective is available when the screen is in non editable mode.

5. Click **Update.** The following message is displayed: *Strategic Objective details updated for the Risk Appetite Definition.*
6. Click **OK.**

Updating and Submitting Strategic Objective

To update the Strategic Objective, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Click **Create Objective** button, under Strategic Objectives section.
4. Click **Edit**.
5. Click **Update.**
6. Click **OK**.

To submit the Strategic Objective, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Click **Create Objective**, under Strategic Objectives section.
4. Enter the information in the Strategic Objective Details page
5. Click **Submit**.
6. Click **OK.**
7. Click **OK**.

Deleting Strategic Objective

To delete Strategic Objective, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Select the **ID** under the Strategic Objectives section.
4. Click **Delete** to delete the objective.

Managing Specific Statements

Creating Specific Statements

To create Specific Statements, you need to define the requirement for the Strategic Objectives first.

Note: You can create Specific Statements for the definition after submitting the Strategic Objective only.

To create an Specific Statements, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Click the **ID**, in Strategic Objectives section. The Strategic Objective Details page is displayed.
4. Click **Specific Statements**.

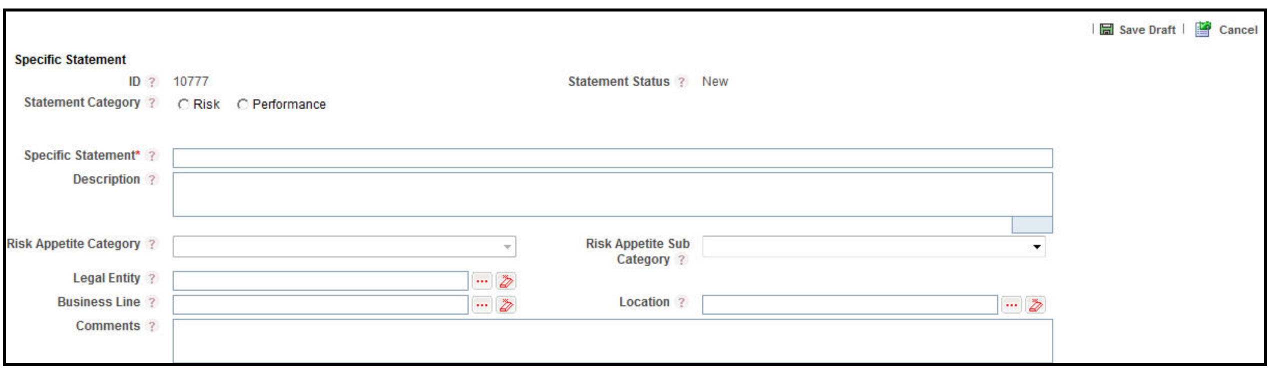


Figure 35. Creating Specific Statement

5. Enter the following information in the Specific Statement Details page.

Table 10. Fields of the Specific Statement Details Page

Fields	Description
ID	Displays the auto generated number for the Specific Statement.
Statement Status	Displays the auto generated status for the Specific Statements Status.
Statement Category	Select the Statement Category. Following are the possible options for Statement Categories radio button: ● Performance ● Risk

Table 10. Fields of the Specific Statement Details Page

Fields	Description
Risk Category	If the Statement category is selected as Risk, then select the Risk Category from the drop-down list. Following are the possible options for the Risk Category drop-down list: • All • Business Continuity Risk • Corporate Social Responsibility • Customer Complaints • End User Computing Risks • Financial Crime • Legal Risk • Project Risk • Regulatory Risk • Environmental Liability • Facilities and Infrastructure Risk • Supplier Risks • Relationship Risk • Embezzlement • Fraud • External Audit • Health and Safety • Internal Audit • IT Governance • Facilities and Infrastructure Risk • Supplier Risks • Contractual disagreement • Dissatisfaction • Technology Risks • Transaction Risks • Supply Chain Management
Risk Tolerance	If the Statement Category is selected as Risk, then enter the value of Risk Tolerance. **Note:** This fields allows you to enter a maximum of 15 digits with eight decimals.
Performance Category	If the Statement category is selected as Performance, then select the Performance Category from the drop-down list. Following are the possible options for the Performance Category drop-down list: • Reputation • Human Resources
Performance Target	If the Statement category is selected as Performance, then enter the value for Performance Target. **Note:** This fields allows you to enter a maximum of 15 digits with eight decimals.

Table 10. Fields of the Specific Statement Details Page

<table>
<tr><th>Fields</th><th>Description</th></tr>
<tr><td>Specific Statement</td><td>Enter the Specific Statement.
Note: This fields allows you to enter a maximum of 300 characters.</td></tr>
<tr><td>Description</td><td>Enter the detailed description of the Strategic Objective. You can enter a maximum of 3000 characters in this fields.
Note: If you try to enter more than 3000 characters, the application displays the following message: Number of character exceeded.</td></tr>
<tr><td>Risk Appetite Category</td><td>Displays the auto generated Risk Appetite Category, which was selected in Strategic Objective section.</td></tr>
<tr><td>Risk Appetite Sub Category</td><td>Select the Risk Appetite Sub Category from the drop-down list.
Note: In this field, values are filtered on the basis of value selected for Risk Appetite Category (RAC).
Note:
If RAC value is selected as Operational Risk, then the following are the possible options for Risk Appetite Sub Category drop-down list:
Business Disruption and System Failures
Clients, Product and Business Failure
Damage of Physical Assets
Employment Practice and Workshop Safety
Execution, Delivery and Process Management
External Fraud
Internal Fraud
If RAC value is selected as Capital Adequacy, then the following are the possible options for Risk Appetite Sub Category drop-down list:
Counterparty credit Risk on Trading Book
Credit Default Risk
Credit Transition Risk
Market Risk
Operational Risk Capital
If RAC value is selected as Profitability, then the following are the possible options for Risk Appetite Sub Category drop-down list:
Customer Profitability
Product Profitability
Risk Adjusted Profitability
If RAC value is selected as Non-Traded Market Risk, then the following are the possible options for Risk Appetite Sub Category drop-down list:
Foreign Exchange Risk on Banking Book
Interest Rate Risk on Banking Book
Liquidity Risk</td></tr>
<tr><td>Legal Entity</td><td>Select the Legal Entity from the list of Legal Entities.</td></tr>
<tr><td>Business Line</td><td>Select the Business Line from the list of Business Line lists.</td></tr>
</table>

Table 10. Fields of the Specific Statement Details Page

Fields	Description
Location	Select the Location from the list of Location.
Comments	Enter your comments about the Specific Statements, Strategic Objectives, and Appetite definition. **Note:** This field allows you to enter a maximum of 3000 characters and supports wildcard search.

Note: You can also create Specific Statements by following these steps:

- Click the ID. The Appetite Definition Summary page is displayed.
- Click Create Statement. The Specific Statement Details page is displayed.
- Go to Step 5, to Enter the following information in the Specific Statement Details page.

6. Click **Save Draft**. The following message is displayed: *Specific Statement <Specific Statement ID>created for the Strategic Objective.*

   Note: <Specific Statement ID> is the auto generated ID for the Specific Statement.

7. Click **OK** to save the Specific Statement.

Editing Specific Statements

To edit a Specific Statement, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Select the **ID** in the Strategic Objectives section.
4. Click the **ID** in the Specific Statement section.
5. Click **Edit** and modify the parameters.

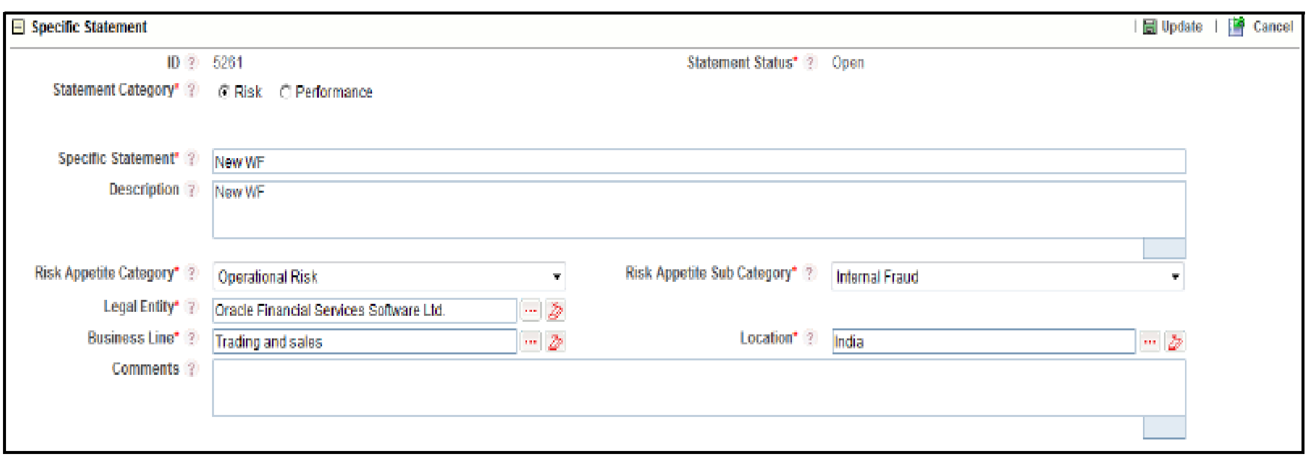


Figure 36. Editing Specific Statement

The Appetite Definition Details page allows you to perform the following tasks in Draft Status:

- Updating field operations.
- Adding more Specific Statements.

Note: Add more Specific Statements is available when the screen is in non editable mode.

6. Click **Update**. The following message is displayed: *Specific Statement submitted for the Strategic Objective.*
7. Click **OK**. The status of the Specific Statement changes to *Open*.

Updating and Submitting Specific Statements

To update a Specific Statement, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Select the **ID** in the Strategic Objectives section.
4. Click the **ID** in the Specific Statement section.
5. Click **Edit** and modify the parameters.
6. Click **Update**.
7. Click **OK.**

To submit a Specific Statement, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Click **Create Statement** in the Specific Statement section.
4. Click **Submit**.
5. Click **OK**.

Deleting Specific Statements

To delete Specific Statements, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Select the **ID** in Strategic Objectives section.
4. Select the **ID** in Specific Statement section.
5. Click **Delete** to delete the Specific Statement in *Draft* status.
6. Click **OK** the following message is displayed: *Are you sure you want to delete this record.*
7. Click **OK** the following message is displayed: *Delete Operation Successful.*

Managing Threshold Limits

This section enables the Specific Statement to define the thresholds for which the definition is being created. The thresholds can be defined for Numbers, Percentages, and Amounts as captured in the details. The values generated at each Business Unit as per the aggregations will compare the values against the thresholds defined here and generate a rating correspondingly.

Note: You must select a value in the Aggregation field.

This section covers the following topics:

- Adding Limits
- Editing Limits
- Deleting a Threshold Limit
- Viewing Rating Scale

Adding Limits

To add a Threshold Limit, follow these steps:

1. Navigate to the Risk Appetite Definition Search and List page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Select the **ID** in Strategic Objectives section.
4. Select and click the **ID** in the Specific Statement section. The Specific Statement must be in *Open* status.
5. Select *Values* or *Ratings* option from the *Aggregation Method* drop-down list.
6. Click **Add** in the *Thresholds*. A new row will be added with Lower Limit, Upper Limit and Score columns.

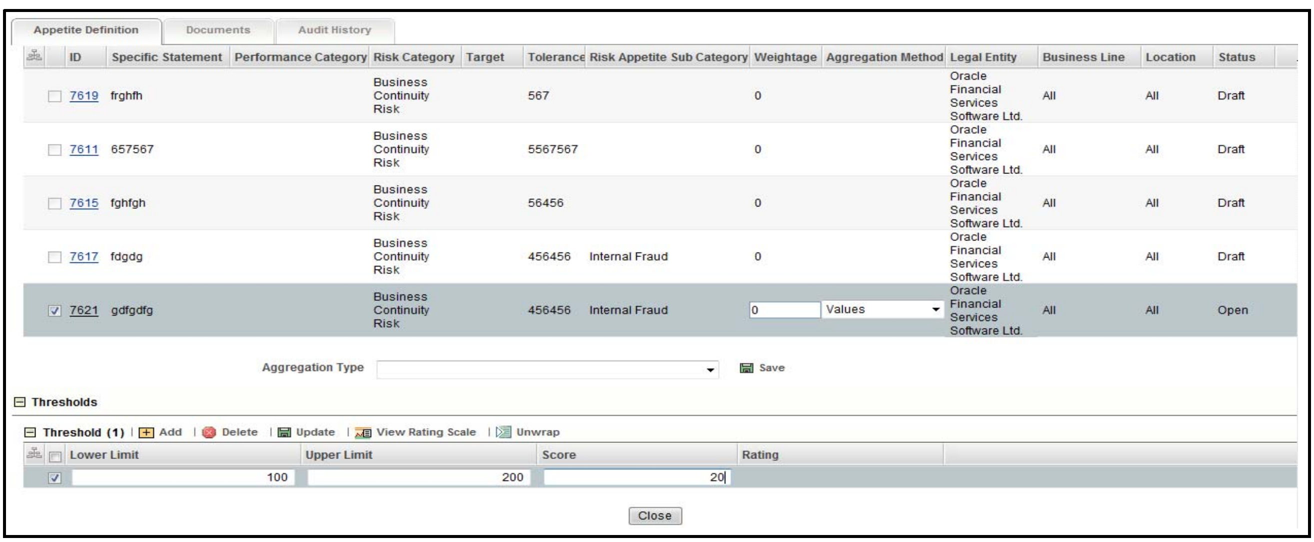


Figure 37. Defining Threshold Limits

Note: The Lower and Upper Limit columns accept only numeric inputs without decimals. You can enter a maximum of 15 digits. The Score field accepts the range (numeric values) as defined in Admin window.

7. After entering details, click **Update** to save the details. A confirmation message is displayed: *Update Operation Successful*.
8. Click **Ok**.

   Note: If you are trying to submit Specific Statement without defining the Threshold Limits, the following message is displayed: *Lower Limit, Upper Limit and Score are mandatory to save the Thresholds*. The Lower Limit should not be equal to the Upper Limit, or the following error message is displayed: *Overlapping ranges are not permitted*.

Editing Limits

To edit Threshold Limit, follow these steps:

1. Navigate to the Risk Appetite Definition Search and List page.
2. Select the **ID**.
3. Click the **ID**. The Appetite Definition Summary page is displayed.
4. Select the **ID** in the Strategic Objectives section.
5. Select the **ID** in the Specific Statement section.
6. Select the *Values Sum*, *Ratings, or Values Average* option from the *Aggregation Method* drop-down list.
7. Select the limit using the corresponding check-box in the *Thresholds* section.
8. Edit the details as required and click **Update** to save the details.
9. A confirmation message is displayed: *Update Operation Successful*.
10. Click **OK**.

Deleting a Threshold Limit

You can delete Threshold Limits which may not be applicable for the Enterprise KI. To delete a Threshold Limit, follow these steps:

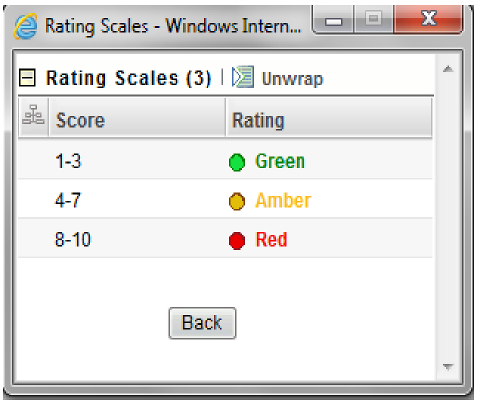
1. Navigate to the Risk Appetite Definition Search and List page.
2. Select the **ID**.
3. Click the **ID**. The Appetite Definition Summary page is displayed.
4. Select and click the **ID** in the Strategic Objectives section.
5. Select and click the **ID** in the Specific Statement section.
6. Select either the *Values* or *Ratings* option from the *Aggregation Method* drop-down list.
7. Select the required Threshold Limit. You can select more than one Threshold Limit at a time for deletion.
8. Click **Delete**. The following confirmation message is displayed: *Are you sure you want to delete this record?*
9. Click **OK**. The following message is displayed: *Delete Operation Successful*.
10. Click **OK**.

Viewing Rating Scale

To view the Rating Scale, follow these steps:

1. Navigate to the Risk Appetite Definition Search and List page.
2. Select the **ID**.
3. Click the **ID**. The Appetite Definition Summary is displayed.
4. Select and click the **ID** in the Strategic Objectives section.
5. Select and click the **ID** in the Specific Statement section.
6. Select from the *Ratings, Values-Sum, or Values-Average* options in the *Aggregation Method* drop-down list.

7. Select the required Threshold Limit.
8. Click **View Rating Scale**. The Rating Scale window will display. This shows the relationship between the Rating and corresponding Score as defined in the Admin window.



Score	Rating
1-3	Green
4-7	Amber
8-10	Red

Figure 38. Viewing Rating Scales

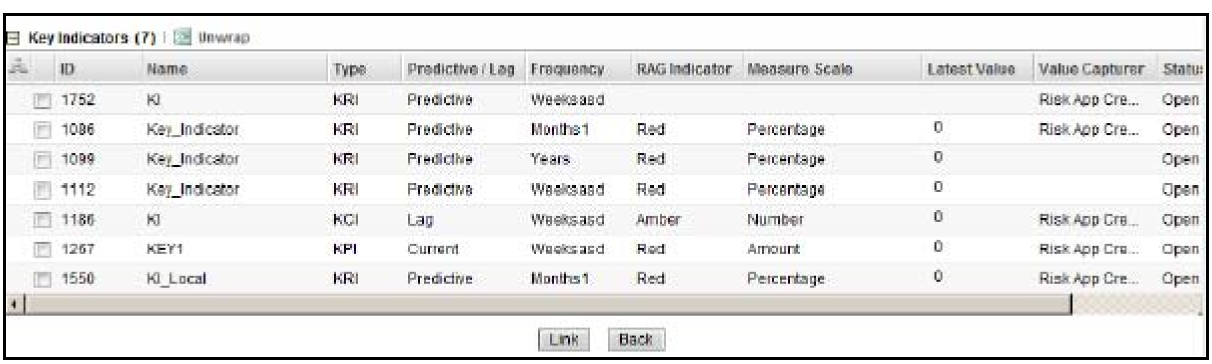
Linking and Delinking Key Indicators (KI's)

This section provides details about the Linking and Delinking Key Indicators.

Linking Key Indicators (KI's)

To link Key Indicators, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**. The Appetite Definition Summary page is displayed.
3. Select the **ID** in the Strategic Objectives section.
4. Select the **ID** in the Specific Statements section.
5. Click **Link** in the Key Indicators section. The **Map Key Indicators to Specific Statement** pop-up is displayed.



ID	Name	Type	Predictive / Lag	Frequency	RAG Indicator	Measure Scale	Latest Value	Value Capturer	Statu
1752	KI	KRI	Predictive	Weeksasd				Risk App Cre...	Open
1096	Key_Indicator	KRI	Predictive	Months1	Red	Percentage	0	Risk App Cre...	Open
1099	Key_Indicator	KRI	Predictive	Years	Red	Percentage	0		Open
1112	Key_Indicator	KRI	Predictive	Weeksasd	Red	Percentage	0		Open
1186	KI	KCI	Lag	Weeksasd	Amber	Number	0	Risk App Cre...	Open
1267	KEY1	KPI	Current	Weeksasd	Red	Amount	0	Risk App Cre...	Open
1550	KI_Local	KRI	Predictive	Months1	Red	Percentage	0	Risk App Cre...	Open

Figure 39. Linking Key Indicators

6. Select the **ID** and click **Link.**
7. Click **OK** to link the Key Indicator. You can see the linked Key Indicator in the Key Indicators section.

Delinking Key Indicators (KI's)

To Delink Key Indicators, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Select the **ID**.
3. Click the **ID**. The Appetite Definition Summary page is displayed.
4. Select click the **ID** in the Strategic Objectives.
5. Select and click the **ID** in the Specific Statements.
6. Click **Delink** in Key Indicators section, the following message is displayed: *Are you sure you want to remove the selected Key Indicators.*

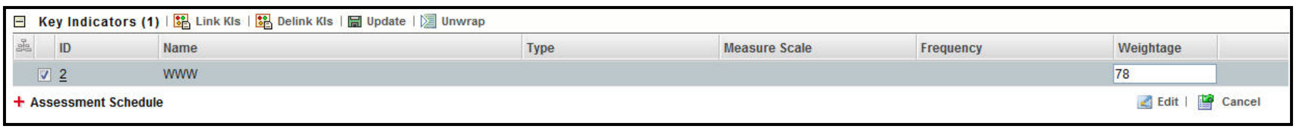


Figure 40. Delinking Key Indicators

7. Click **OK** to delink the Key Indicators.

Scheduling Assessment

You can schedule your assessment for the risk appetite definition. In OFSERA, there are two types of assessment scheduling, automatic and manual. Automatic scheduling fetches the data from the Risk Appetite Definition, Specific Statement, Strategic Objectives or from Key Indicators. In manual scheduling, you need to enter the details at the end of the assessment.

To schedule assessment manually, follow these steps:

1. Navigate to the Risk Appetite Definition list page
2. Click the **ID**. The Appetite Definition Summary is displayed.

Figure 41. Scheduling Assessment

3. Expand the **Assessment Schedule** section, by clicking "+" to see the existing assessment.
4. Click **Edit Schedule**, and enter the following details in the **Assessment Schedule** page.

Table 11. Fields of the Assessment Schedule

Fields	Description
Frequency	The periodicity of the assessment for the Risk Appetite Definition in the plan date. Number field allows all positive integer without decimals. Following are the possible options for the Frequency drop-down list: ● Days ● Weeks ● Months ● Years
Start Date	The date from which the assessment of the Risk Appetite Assessment begins.
End Date	The date from which the assessment of the Risk Appetite Assessment ends.

5. Click **Save Schedule**.
6. Click **OK**.

Submitting Appetite Definition

To submit the Appetite Definition in pending approval state, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID** which is in Draft status. The Appetite Definition Summary page is displayed.
3. Click **Submit Appetite Definition.**

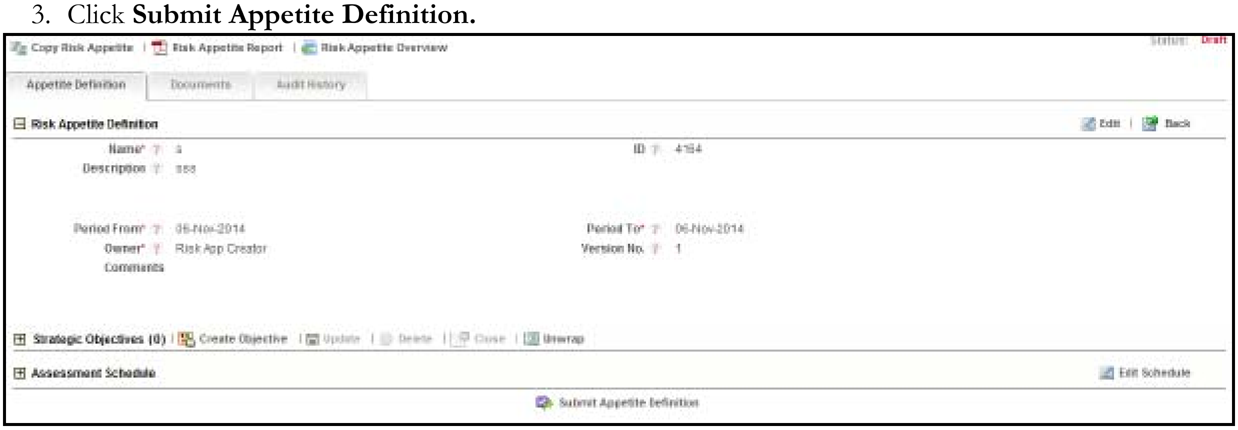


Figure 42. Submitting Appetite Definition

4. Click **OK** to submit the Appetite Definition.

Note: Once the Risk Appetite Definition is submitted, the task and email is sent to all the users mapped to the role of *Risk Appetite Approver* in *Open* status and to the *Risk Appetite Reviewer* in *Pending Review* status.

Note: If any flow from Specific Statement, Strategic Objective or Key Indicator is not completed or not correctly connected to next level, then the application throws an error and notifies you to complete the task correctly and then Submit the *Risk Appetite Definition.*

Managing Risk Appetite Definition

The Appetite Definition page allows you to manage various tabs and functionalities of the Appetite Definition.

Accepting or Rejecting a Risk Appetite Definition

The user role mapped to *Risk Appetite Reviewer* can Accept or Reject the Appetite Definition in *Pending Review* state by following these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID** which is in Pending Review status. The Appetite Definition Summary page is displayed.
3. Click **Accept Appetite Definition** or **Reject Appetite Definition** to accept or reject the appetite definition.

Figure 43. Accepting or Rejecting a Risk Appetite Definition

4. Enter your comment about the definition and click **Accept** or **Reject**.
5. Click **OK**.

The user role mapped to *Risk Appetite Approver* can Accept or Reject the Appetite Definition in Pending Approval state by following these steps:

1. Navigate to the Inbox page.
2. Click the **ID** which is in Open status. The Appetite Definition Summary page is displayed.
3. Click **Accept Appetite Definition** or **Reject Appetite Definition** to accept or reject the appetite definition.

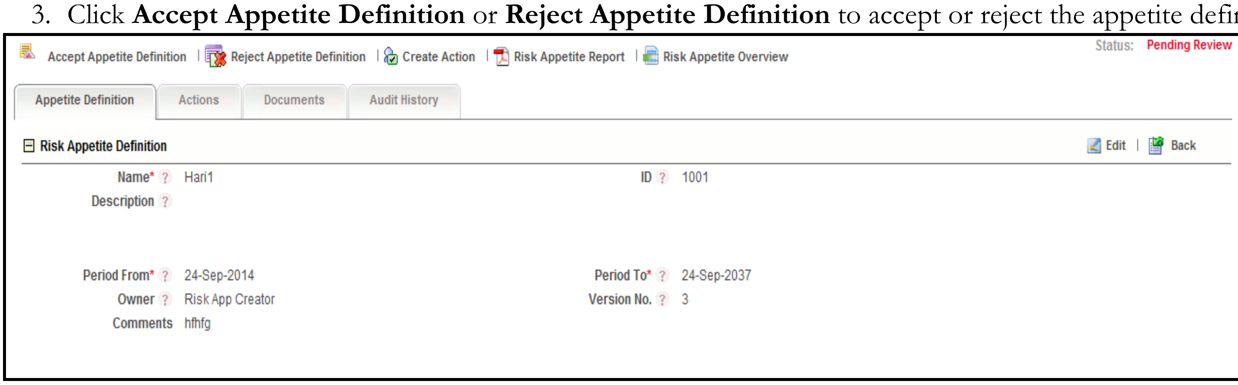


Figure 44. Accepting or Rejecting a Risk Appetite Definition

4. Enter your comment about the definition and click **Accept** or **Reject**.
5. Click **OK**.

Note:

On accepting the Risk Appetite Definition:

- The status of the Risk Appetite Definition changes to *Open*.
- A notification is sent to the user who submitted the Risk Appetite Definition and the user captured as *Owner*.

On rejecting the Risk Appetite Definition:

- The status of the Risk Appetite Definition changes to *Draft*.
- A task is sent to the user who submitted the Risk Appetite Definition and a notification to the user who approved the Risk Appetite Definition.

Approving or Rejecting a Risk Appetite Definition

The user role mapped to *Risk Appetite Reviewer* can Approve or Reject the Appetite Definition in *Pending Review* status by following these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID** which is in Pending Approval status. The Appetite Definition Summary Details page is displayed.
3. Click **Approve Appetite Definition** or **Reject Appetite Definition** to approve or reject the appetite definition.

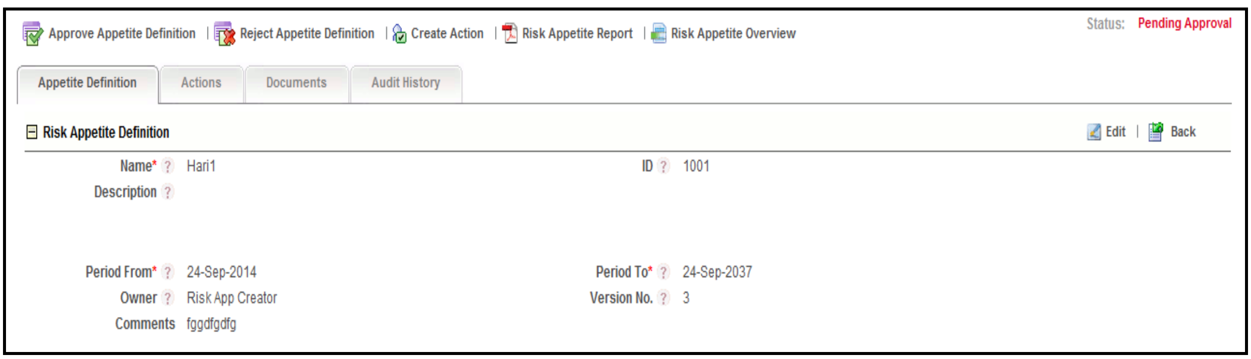


Figure 45. Approving or Rejecting a Risk Appetite Definition

4. Enter your comment about the definition and click **Approve** or **Reject**.
5. Click **OK**.

The user role mapped to *Risk Appetite Approver* can Approve or Reject the Appetite Definition in *Pending Approval* status by following below steps:

1. Navigate to the Inbox page.
2. Click the **ID** which is in Open status. The Appetite Definition Summary page is displayed.

3. Click **Approve Appetite Definition** or **Reject Appetite Definition** to accept or reject the appetite definition.

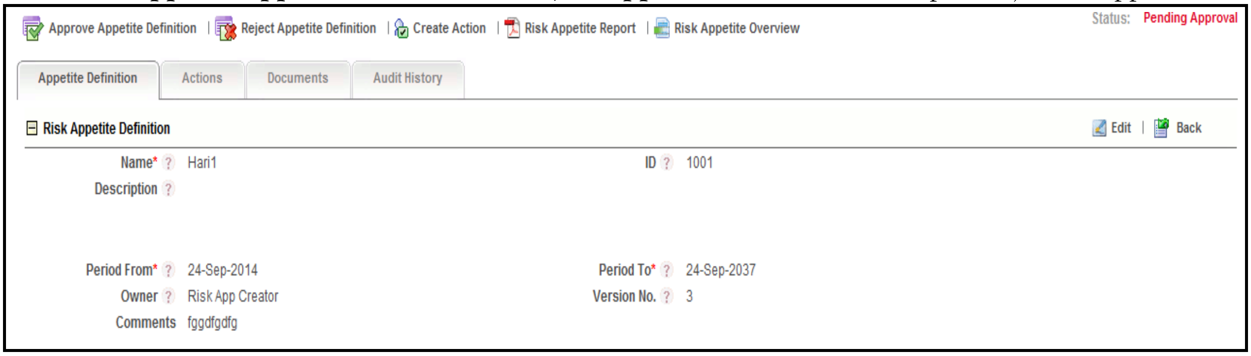


Figure 46. Approving or Rejecting a Risk Appetite Definition

4. Enter your comment about the definition and click **Approve** or **Reject**.
5. Click **OK**.

Note:

On approving the Risk Appetite Definition:

- The status of the Risk Appetite Definition changes to *Pending Review*.
- A task is sent to users with the role of Risk Appetite Reviewer and notification to the user who submitted the Risk Appetite Definition

On rejecting the Risk Appetite Definition:

- The status of the Risk Appetite Definition changes to *Draft*.
- A task is sent to the user who submitted the Risk Appetite Definition.

Reviewing Risk Appetite Definition

To review the Appetite Definition in Open status, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID** which is in Open status. The Appetite Definition Summary Details page is displayed.
3. Click **Review Appetite Definition** to review the appetite definition.

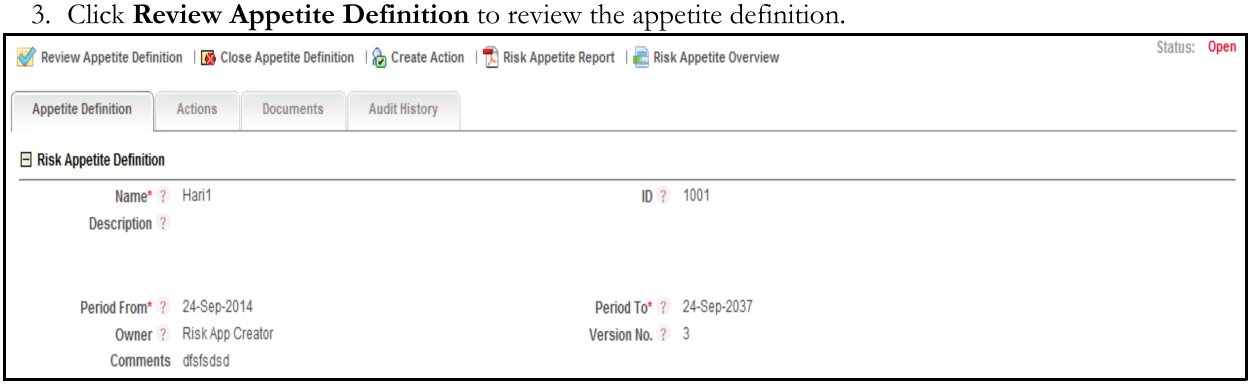


Figure 47. Reviewing Risk Appetite Definition

4. Enter your comment about the definition and click **Submit**.
5. Click **OK**.

Copying Risk Appetite Definition

To copy the Appetite Definition in Open status, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Select the **ID** which is in Open status.
3. Click **Copy** to make another copy of the appetite definition.

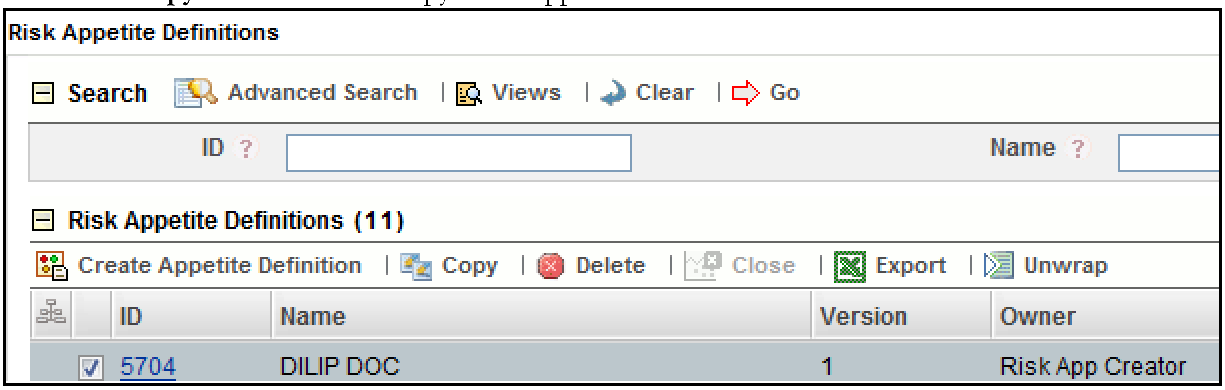


Figure 48. Copying Risk Appetite Definition

4. Click **OK**.

Closing Specific Statements

To close Specific Statements, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**.
3. Select the Strategic Objective.
4. Select the specific statement.
5. Click **Close** in Specific Statements field.

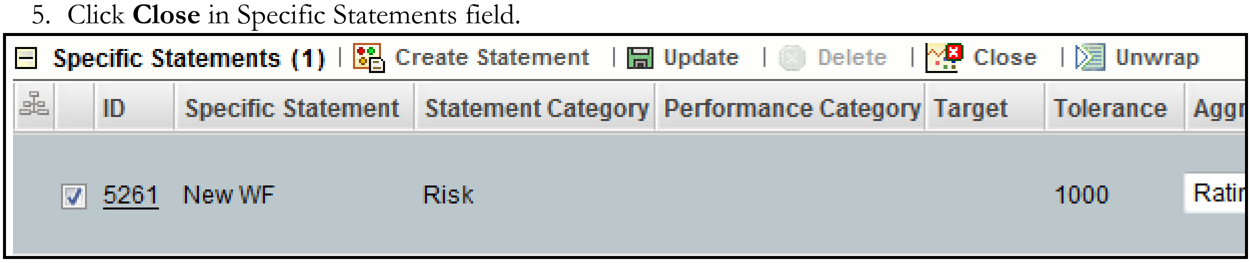


Figure 49. Closing Specific Statements

6. Enter your comment about the definition and click **Close**.
7. Click **OK**.

You can also use the following steps to close Specific Statements:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**.
3. Click the **ID** in the Specific Statements section.

4. Click **Close Specific Statement.**

Figure 50. Closing Specific Statements (Alternate Flow)

5. Enter your comment about the definition and click **Close**.
6. Click **OK**.

Note: You can close Specific Statements which are in *Open* status only.

Closing Strategic Objective

To close a Strategic Objective, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**.
3. Select **Strategic Objective**.
4. Click **Close** in **the** Strategic Objective field.

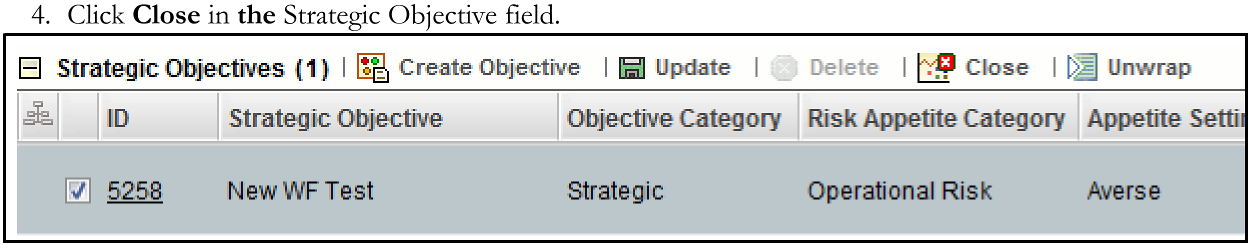


Figure 51. Closing Strategic Objective

5. Enter your comment about the definition and click **Close**.
6. Click **OK**.

You can also use the following steps to close the Strategic Objective:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID**.
3. Click the **ID** in the Strategic Objective section.

4. Click **Close Strategic Objective**.

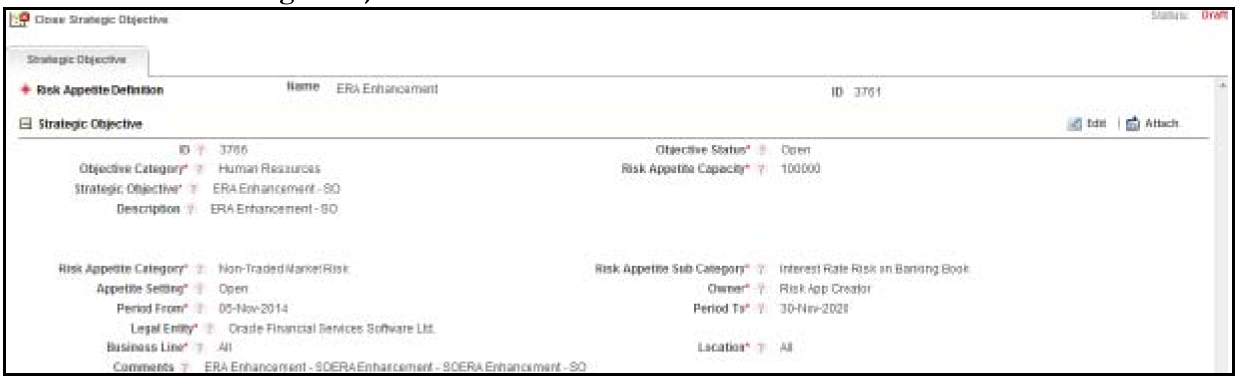


Figure 52. Closing Strategic Objective (Alternate Flow)

5. Enter your comment about the definition and click **Close.**
6. Click **OK**.

Note: You can close Strategic Objectives which are in *Open* status only.

Closing Risk Appetite Definition

To close the Appetite Definition in Open status, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID** which is in Open status. The Appetite Definition Summary Details page is displayed.
3. Click **Close Appetite Definition** to close the appetite definition.

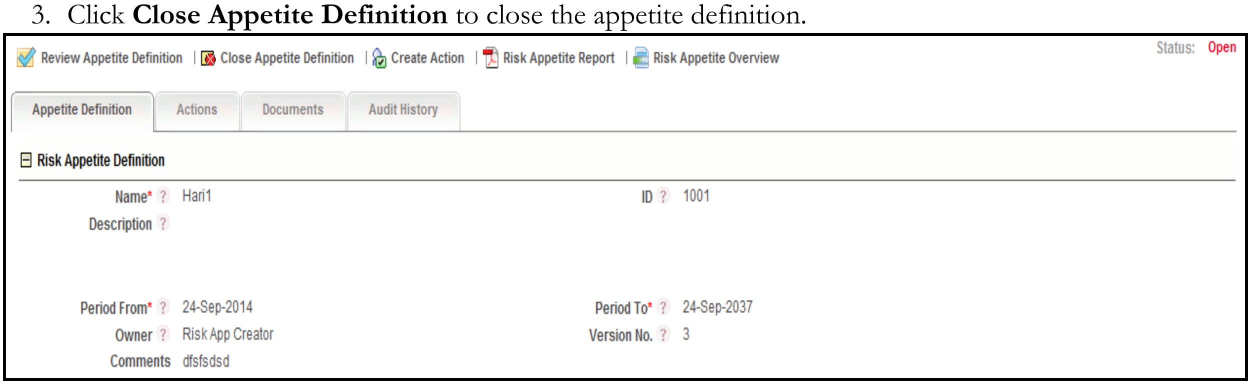


Figure 53. Closing Risk Appetite Definition

4. Enter your comment about the definition and click **Close**.
5. Click **OK**.

Note: You can close Risk Appetite Definitions which are in *Open* status only.

Viewing Risk Appetite Report

To view the details of the entire Risk Appetite Definition in PDF format, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID** which is in Draft status. The Risk Appetite Definition Details page is displayed.

3. Click **Risk Appetite Report.**

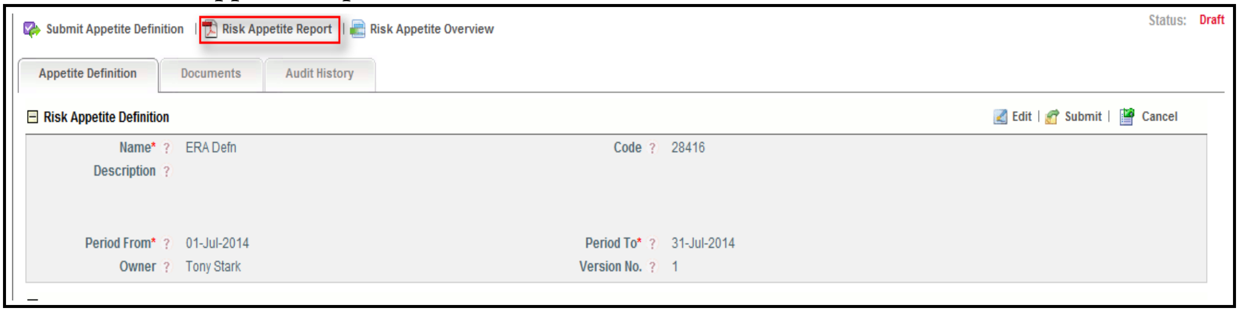


Figure 54. Viewing Risk Appetite Report

4. Click **OK** to view the Risk Appetite Report in PDF format.

Viewing Full Report of Risk Appetite Definition

To view the details of the entire Risk Appetite definition in the OBIEE report, follow these steps:

1. Navigate to the Risk Appetite Definition list page.
2. Click the **ID** of any record. The Risk Appetite Definition Details page is displayed.
3. Click **Risk Appetite Overview.**

Figure 55. Viewing Full Report of Risk Appetite Definition

CHAPTER 5 Managing Key Indicator Library and Key Indicators

This chapter provides information about the Key Indicator Library and Key Indicator components in the Oracle Financial Services Enterprise Risk Assessment application and step-by-step instructions to use this module.

This chapter includes the following topics:

- Managing Key Indicator Library
- Managing Key Indicators

Managing Key Indicator Library

This section provides details about the Key Indicator Library and provides step-by-step instructions for navigating through this sub-module.

This chapter includes the following topics:

- About Key Indicator Library
- User Roles and Actions
- Key Indicator Library Workflow
- Tasks and Notifications
- Accessing Key Indicator Library Menu
- Searching Key Indicator Library
- Creating a Key Indicator at Library
- Managing Library Key Indicator Details
- Managing Aggregation Details
- Closing Library Key Indicator
- Deleting Library Key Indicator
- Exporting Library Key Indicator List to Excel

About Key Indicator Library

The Key Indicator Library is a repository of all controls created to mitigate various Key Indicators. The defining and monitoring of Key Indicators allows the identification of changes in the bank's Enterprise Risk Assessment profile at an early stage and helps to initiate counteractive measures by warning and escalation procedures. The Key Indicators identified for the risks, controls, or performance can be recorded and stored in a repository.

The Key Indicator Library helps to capture Key Indicators which are identified at a global level and can be later linked to a particular business line and location. These localized Key Indicators can be applied in their respective business units.

Key Indicator Library Reports

The Key Indicator module generates the following reports

- Key Indicator Details
  - Key Indicator by Business Line
  - Key Indicator by Location
  - Key Indicator By Risk Inventory
  - Key Indicator by Risk Event Type
  - Key indicator by source
  - Key indicator by Nature
  - Key Indicator by Frequency
  - KI in Development
  - Overdue Actions for Key Indicators by Business Line
  - Actions Exceeding estimated cost for Key Indicator by Business Line
  - Overdue Issues for Key Indicator by business Line
  - Issues Exceeding estimated cost for Key Indicator
  - KI Details
- Associated Entities
  - Key Indicator High Risks and Total Losses
  - Key Indicators and Risks
  - Key Indicators associated with Scenarios
  - KI Metrics

Salient Features

The Key Indicator Library provides the following features to help organizations manage their Enterprise Risk Assessment:

- Ability to Create a library of Key Indicators at Organization level
- Key Indicators at library can be localized at different business units
- Key Indicators at enterprise level can be aggregated across applicable business units
- Facility to create Qualitative and Quantitative type Key Indicators
- Business Measures can be included for defining the Key Indicators
- The Measures outside of the application can also be introduced through a staging table
- Comprehensive way of defining a formula for generating the value of Key Indicator
- The Metrics are generated for Key Indicators on a periodic basis as per the scheduling
- The breach of Key Indicators, if any is notified to concerned stakeholders

User Roles and Actions

This section explains the different user roles and actions they can perform in the Key Indicator Library module of the OFSERA application. This section covers the following topics:

- User Roles
- Actions

User Roles

The following user role is defined in the Key Indicator Library module of OFSERA:

- **Key Indicator Library Identifier:** This user identifies new Key Risk Indicators, Key Control Indicators, Key Performance Indicators, and Business Environment & Internal Control Factors applicable to the organization and adds them to the Library. Key Indicator Library records can be mapped to different Key Business Dimensions wherever it is applicable once is it entered in the Library. A Key Indicator Library Identifier can specify whether the Key Indicator Library is an Enterprise Key Indicator Library and add a few common attributes which will be applicable across all BUs where the Key Indicator Library is instantiated. A Key Indicator Library Identifier can also close their respective records.

Actions

The Key Indicator Library records module allows Key Indicator Library Identifier users to perform the following actions:

- **Creating Key Indicator Library:** This action allows the user to create a new Key Indicator Library record. Users can link or delink the Business Line and Location combinations, define the formulas, add the threshold limits, and attach or delete the documents before or after submitting the Key Indicator Library.
- **Editing Key Indicator Library:** This action allows the user to edit and update the Key Indicator Library in Draft/Open status.
- **Closing Key Indicator Library:** This action allows the user to close the Key Indicator Library in Open status.
- **Deleting Key Indicator Library:** This action allows user to delete the Key Indicator Library in Draft status.
- **Exporting Key Indicator Library:** This action allows the user to export the list of Key Indicator Library records. The Exported Key Indicator Library function allows the organization to have a compiled list of all applicable Key Indicator Library records.

Table 12. User Roles mapped to corresponding Actions

Function	KI Status	KI Identifier
Create KI at Library	New	X
Edit KI at Library	Draft	X
	Open	X
Delete KI at Library	Draft	X
Define Formula at Library	Draft	X
	Open	X
Close KI at Library	Open	X
Localize KI Library record	Open	X
Aggregate KI at Library	Open	X

Function	KI Status	KI Identifier
Link Business units	Draft	
Add & Delete Documents (KI Library)	Draft	X
	Open	X

Key Indicator Library Workflow

The following figure describes the Key Indicator Library workflow:

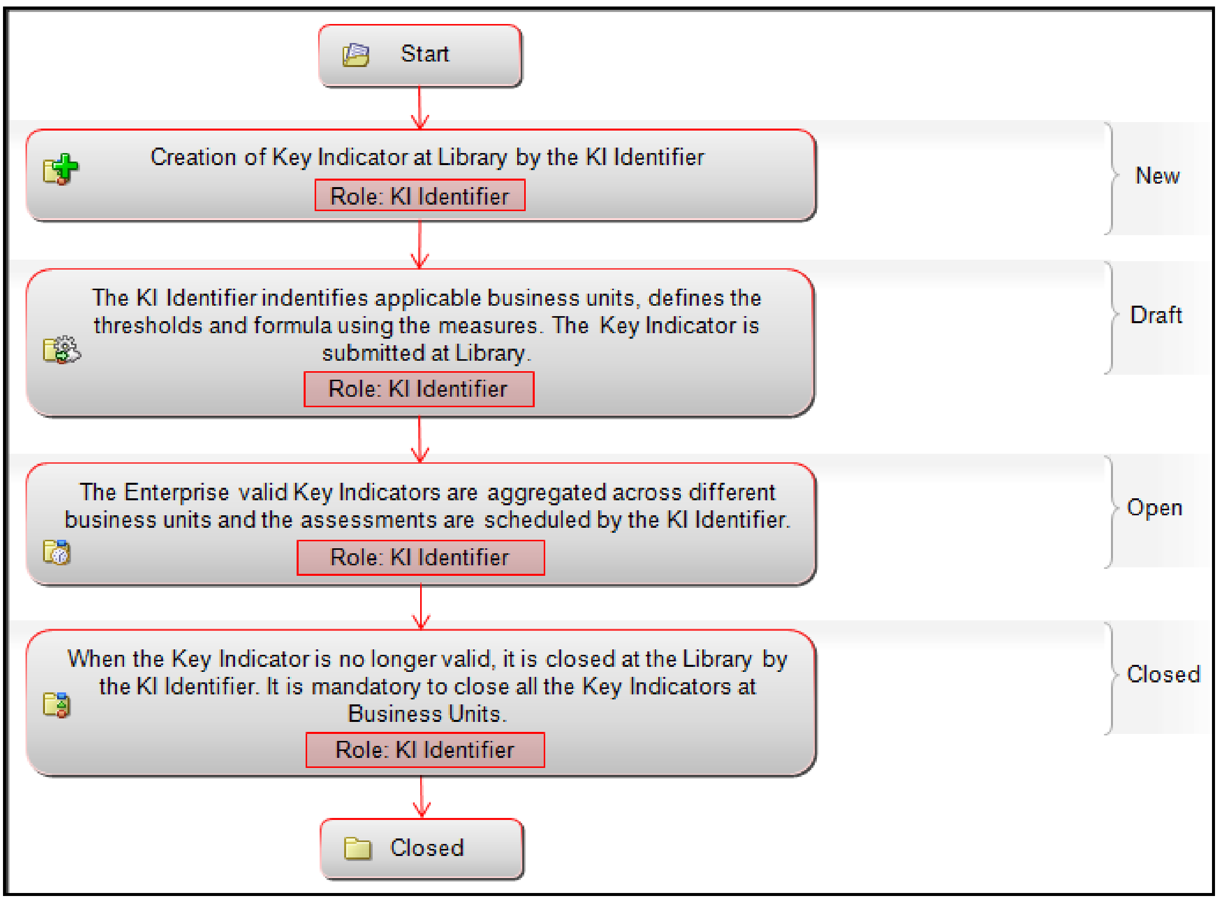


Figure 56. Key Indicator Library Workflow

Tasks and Notifications

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

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

Table 13. Task and Notifications

Action Performed	Task/Notification	Task/Notification Description	Sent To	Status
On localizing KI at library	Notification	Notification should be sent to all users mapped to the role of KI Owner for the selected Business Unit.	KI Owner	Open
On updating formula at Key Indicator Library.	Notification	Notification should be sent to all users captured as KI Owners for Key Indicators at respective Business Units.	KI Owner	Open
While aggregation (batch run/adhoc), if one or more business lines do not have values at respective business unit Key Indicators.	Notification	Notification should be sent to the user captured as KI Library Owner in the KI Library.	KI Library Owner	Open
While aggregation (batch run/adhoc), if one or more business lines do not have values at respective business unit Key Indicators.	Notification	Notification should be sent to all users captured as KI Owners for Key Indicators at respective Business Units which do not have values.	KI Owner	Open
While aggregation (batch run/adhoc), if none of the business lines have any values at respective business unit Key Indicators.	Notification	Notification should be sent to the user captured as KI Library Owner in the KI Library.	KI Library Owner	Open
While aggregation (batch run/adhoc), if none of the business lines have any values at respective business unit Key Indicators.	Notification	Notification should be sent to all users captured as KI Owners for Key Indicators at respective Business Units.	KI Owner	Open
While aggregation (batch run/adhoc), if no Business Units are linked.	Notification	Notification should be sent to the user captured as KI Library Owner in the KI Library.	KI Library Owner	Open
While aggregation (batch run/adhoc), if value generated is out of the thresholds range	Notification	Notification should be sent to the user captured as KI Library Owner in the KI Library.	KI Library Owner	Open
While aggregation (batch run/adhoc), if value generated is out of the thresholds range	Notification	Notification should be sent to all users captured as KI Owners for Key Indicators at respective Business Units.	KI Owner	Open
On Closing Key Indicator at Library	Notification	Notification should be sent to the user captured as KI Library Owner in the KI Library.	KI Library Owner	Closed

Accessing Key Indicator Library Menu

This section explains how to access the Key Indicator Library records module in Oracle Financial Services Enterprise Risk Assessment application.

To access the Key Indicator Library, follow these steps:

1. Login to OFSERA. The OFSERA Home page is displayed.
2. Hover over the **Key Indicators** menu and click **Key Indicators Library**. The Key Indicators Library Search and List page is displayed.

Searching Key Indicator Library

This section explains how to search and filter the existing Key Indicator Library list. The Key Indicator Library Search and List page allows you to filter the Key Indicator Library records that you want to view and analyze. The Key Indicator Library search section supports three types of search- Search by Views, Basic Search, and Advanced Search and you can use only one search at a time.

This section explains the following topics:

- Searching Library Key Indicator Using Basic Search
- Searching Library Key Indicator Using Advanced Search Criteria
- Searching Library Key Indicator Using Pre-defined Views

Searching Library Key Indicator Using Basic Search

This search is based on a limited set of search criteria and helps you to retrieve the relevant Key Indicator Library records.

To search for a Key Indicator Library using Basic Search, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.

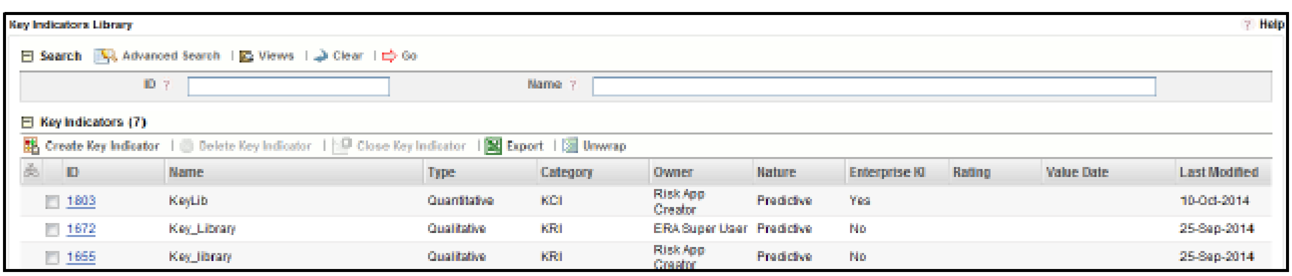


Figure 57. Searching Key Indicator Library Using Basic Search

Note: By default, the Key Indicator Library Search and List page displays all Key Indicator Library records.

2. Enter the following search criteria in the Basic Search fields to filter the Key Indicator Library list.

Table 14. Basic Key Indicator Search Criteria

Criteria	Description
ID	Enter the sequential tracing Key Indicator Library number of the Key Indicator Library. This field allows you to enter a maximum of 8 numeric values.
Name	Enter the name of the Key Indicator Library. This field allows you to enter a maximum of 300 characters and supports wildcard search.

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

   Note: If there are no matched details with the given search criteria then the Alert pop-up window displays the following message: *No Data Found for the Search Criteria.*

Searching Library Key Indicator Using Advanced Search Criteria

Advanced Search provides more specific search options. It offers the same search fields as provided for a Basic Search along with an expanded set of fields. If you know most of the Key Indicator Library details such as ID, Name, Status, and so on, then you can filter the Key Indicator Library records using the Advanced Search criteria. To search for a Key Indicator Library using Advanced Search, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click **Advanced Search** from the Search section. The Advanced Search fields are displayed.

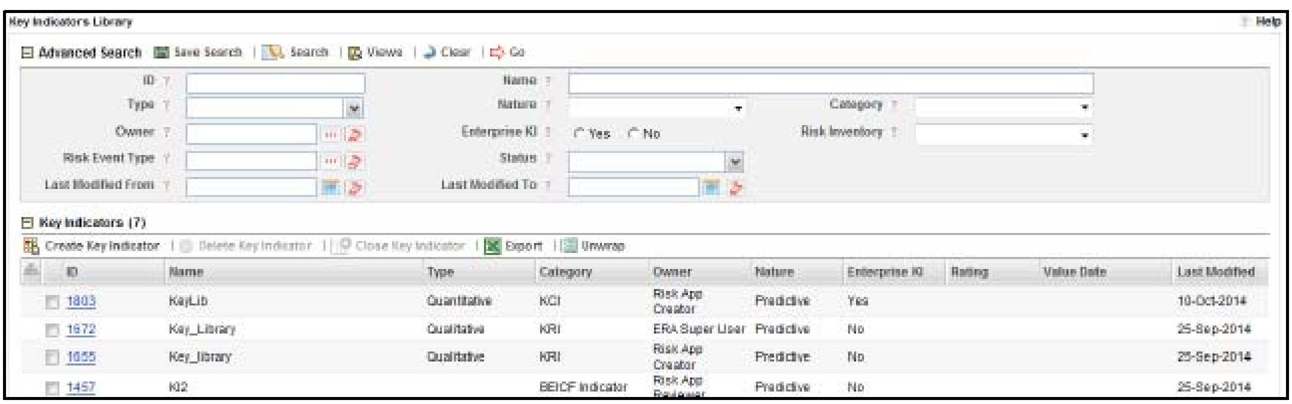


Figure 58. Searching Key Indicator Library Using Advanced Search Criteria

3. Enter the search criteria to filter the Key Indicator Library list.

Table 15. Advanced Library Key Indicator Search Criteria

Criteria	Description
ID	Enter the sequential tracing Key Indicator Library number of the Key Indicator Library. This field allows you to enter a maximum of 8 numeric values.
Name	Enter the name of the Key Indicator Library. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Nature	Select the nature of the Key Indicator Library from drop-down list. Following are the possible values for Key Indicator Library Nature drop-down list: • Predictive • Lag • Current
Type	Select the category to which the Key Indicator Library belongs, from the drop-down list. Following are the possible values for Key Indicator Library Type drop-down list: • Quantitative • Qualitative
Enterprise KI	Select the Enterprise KI type as Yes or No. Select this option as Yes to view the list of Enterprise KI records, which are valid across the Enterprise.
Risk Event Type	Select the Risk Event Type from the hierarchy browser. For example, the Risk Event Type can be Systems, and so on.
Risk Inventory	Select the Risk Inventory from the hierarchy browser.
Owner	Select the Key Indicator Library owner from the hierarchy browser.
Status	Select the Key Indicator Library status from the multi-select drop-down Following are the possible values for Status drop-down list: • Select All • Draft • Closed • Open **Note:** You can select more than one option at a time, from the drop-down list.
Last Modified From	Select the last modified date from the calendar to display Key Indicator Library records having a modified date greater than or equal to the specified date. **Note:** If the date entered in Last Modified From is later than the date entered in Last Modified To the application displays the following message: *Please verify the range selected in Last Modified Date.*
Last Modified To	Select the last modified date from the calendar to display Key Indicator Library records having a modified date less than or equal to the specified date. **Note:** If the date entered in Last Modified From is later than the date entered in Last Modified To, the application displays the following message: *Please verify the range selected in Last Modified Date.*

4. Click **Go**. The relevant search list is displayed.

   Note: If there are no matched records with the given search criteria, then the Alert pop-up window displays the following message: *No Data Found for the Search Criteria.*

Note: The application provides a **Save Search** button in the Advanced Search section that allows you to save your search criteria. For more information on Saving a Search, refer to *Chapter 3: Managing General Features, Saving a Search* section.

Searching Library Key Indicator Using Pre-defined Views

Views Search represents pre-populated search criteria and helps you to filter the Key Indicator Library records based on pre-defined views.

To search for a Key Indicator Library using pre-defined views, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

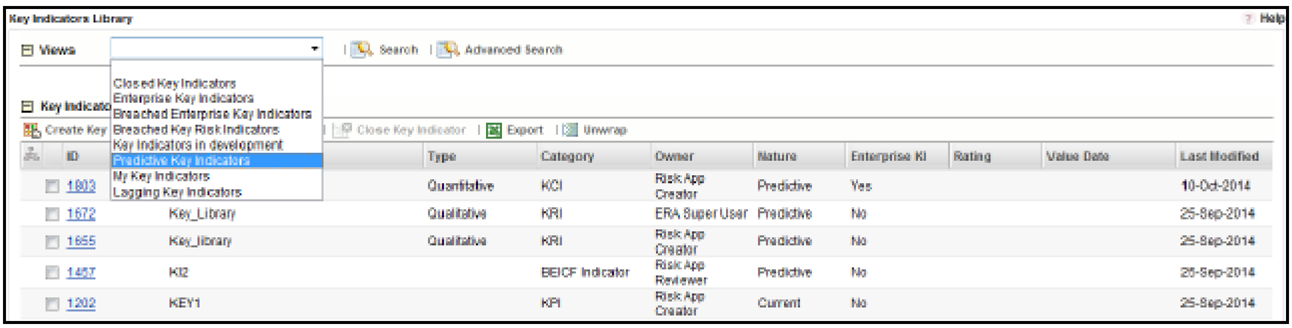


Figure 59. Searching Key Indicator Library Using Views

3. Select any of the pre-defined views from the Views drop-down list. The relevant Key Indicator Library list page is displayed.

Table 16. Key Indicator Library Views

View	Description
Closed Key Indicators	Select *Closed Key Indicators* from the Views drop-down list to display the Key Indicator Library records which are in Closed status in descending order of the last modified date.
Enterprise Key Indicators	Select *Enterprise Key Indicators* from the Views drop-down list to display Key Indicator Library records where Enterprise KI is set as Yes in descending order of the last modified date.
Breached Enterprise Key Indicators	Select *Breached Enterprise Key Indicators* from View drop-down list to display Key Indicator Library records where Enterprise Key Indicator Library is set as Yes and Rating is set to Red.
Breached Key Risk Indicators	Select *Breached Key Risk Indicators* from View drop-down list to display Key Indicator Library records where Type is KRI and Rating is set to Red.
Key Indicators in development	Displays the Key Indicator Library records which are in development.

Table 16. Key Indicator Library Views

View	Description
Predictive Key Indicators	Select *Predictive Key Indicators* from the Views drop-down list to display the Key Indicator Library records which are marked as Predictive in nature.
Lagging Key Indicators	Select *Lagging Key Indicators* from the Views drop-down list to display the Key Indicator Library records which are marked as Lag in nature.
My Key Indicators	Select *My Key Indicators* from the Views drop-down list to display the Key Indicator Library records for which the logged in user is the Owner in descending order of the last modified date.

Note: These options are the default Views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down.

Creating a Key Indicator at Library

You can create a new Key Indicator at the Library when you want to capture a warning signal which has potential impact in the organization. These Key Indicator Library records expose institutions to different types of Key Indicator Library records. Key Indicator Library identification and categorization of the Key Indicator Library is a pre-requisite for close monitoring of the Key Indicator Library.

The Key Indicators Library Search and List page allows you to create a new Key Indicator Library.

To create a new Library Key Indicator, follow these steps:

1. Navigate to the Key Indicators Search and List page.
2. Click **Create Key Indicator**. The Key Indicator Library Details page is displayed.

   Note: The status of the Key Indicator Library is *New*.

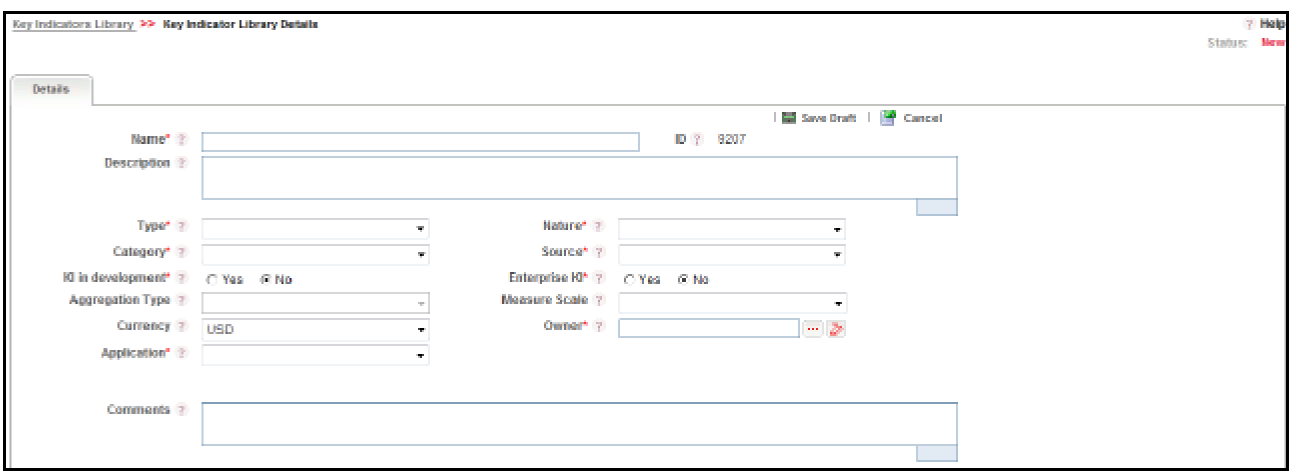


Figure 60. Key Indicator Library Details Page

3. Enter the following information in the Key Indicator Library Details page.

Table 17. Fields of the Key Indicator Library Details Page

Fields	Description
Name	Enter the name of the Key Indicator Library. This field allows you to enter a maximum of 300 characters. **Note:** ● If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded.* ● If you try to save the Key Indicator Library details without entering the name, the application displays the following message: *Please enter the Key Indicator Library Name.*
ID	Displays the sequential tracking number given to a Key Indicator Library. (This field is system generated.)
Description	Enter a brief description of the Key Indicator Library. The description field in the Key Indicator Library Details page allows entering a maximum of 3000 characters. This field shows the count of words as you entering the description. **Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.*
Type	Select the type of the Key Indicator belongs, from the drop-down list. The following values are possible for the Key Indicator Type drop-down list: ● **Qualitative**: Qualitative are indicators for the user, who can directly provide the ratings. Also if you are selecting the key indicator as qualitative, then there is no need to define measures, formulas, thresholds, aggregation. ● **Quantitative**: Quantitative Key Indicators which means, you need to provide some inputs (numbers/values) against each measure to derive key indicator ratings.
Nature	Select the nature of Key Indicator Library from the drop-down list. The following values are possible for the Key Indicator Nature drop-down list: ● **Predictive**: when you can predict the impact of the Key Indicator for future. ● **Lag**: when the Key Indicator is based on past scenarios. ● **Current**: when the Key Indicator is based on the current conditions.

Table 17. Fields of the Key Indicator Library Details Page

Fields	**Description**
Category	Select the category to which the Key Indicator belongs, from the drop-down list. The following values are possible for the Key Indicator Type drop-down list: ● **KRI**: The Key Risk Indicators are parameters that effectively measure the risks involved in a business procedure and activity and provides the firm with a prior notification of possible harmful consequences. ● **KCI**: The Key Control Indicators are used to define company-wide controls to monitor the achievement of the set objectives. ● **KPI**: A set of quantifiable measures that a company or industry uses to gauge or compare performance in terms of meeting their strategic and operational goals. ● **BEICF Indicator**: Business Environment and Internal Control Factors (BEICFs) are indicators of a bank's Enterprise Risk Assessment profile that reflect underlying business risk factors and an assessment of the effectiveness of the internal control environment.
Source	Select the source of the Key Indicator Library as External (when the Key Indicator Library is applicable only for outside the Organization) or Internal (when the Key Indicator Library is applicable only for inside the origination).
Key Indicator Library in Development	Select this option as Yes if Key Indicator is in development, otherwise select No.
Enterprise Key Indicator Library	Select the Enterprise Key Indicator Library as Yes or No. Select this option as Yes if the Key Indicator is valid across the Enterprise, otherwise select No.
Assessment Type	Select the Assessment Type from the drop-down list. This is the method of Aggregating the Key Indicators at different Business Units. This field is enabled only if the record is an *Enterprise Key Indicator Library*. The following values are possible for Aggregation Type drop-down list: ● Sum ● Average
Measure Scale	Select the Measurement Scale type in which the Thresholds will be defined. The following values are possible for the Measure Scale drop-down list: ● Percentage ● Number ● Amount
Currency	Select the currency from the hierarchy browser for the Thresholds and Key Indicator Value. This field will be editable only if the Measure Scale type is selected as Amount. By default it is set to base currency.
Owner	Select the user who is responsible for the Key Indicator at an organizational level, from the hierarchy browser. It shows the list of all users mapped to the role of Key Indicator Identifier.
Application	Select the name of application from drop-down list for which Key Indicator is installed.
Comments	Enter remarks if applicable. **Note:** If you try to enter more than 3000 characters in the Comments field, the application displays the following message: *Number of characters exceeded*.

Note: If the Key Indicator *Type* is selected as *Quantitative*, another set of related fields are displayed.

The following table describes these fields.

Table 18. Compliance Key Indicator Library Details

Field	Description
Assessment Frequency	Select the Assessment Frequency for the Key Indicator and Thresholds. Based on the frequency schedule defined by the user, the Key Indicator assessments are generated at each Applicable Business Unit, and the values are aggregated at the organizational level. The following values are possible from Assessment Frequency drop-down list: • Yearly • Half Yearly • Quarterly • Monthly • Weekly • Fortnightly • Daily
Start Date	Select the Starting Date of the Assessment from the calendar.

Note: If the Key Indicator is selected as *Enterprise Risk Appetite*, another set of related fields are displayed.

The following table describes these fields.

Table 19. Compliance Key Indicator Library Details

Field	Description
Risk Inventory	Select the Risk Inventory for which the Key Indicator Library is identified. For example, the Risk Inventory can be Credit Risk and so on. This field will be enabled only when you select the Application from the Application drop-down list.
Risk Category	Select the Risk Category from the hierarchy browser. For example, the Risk Category can be Fraud and so on. This field will be enabled only when you select the Application from the Application drop-down list.
Risk Event Type	Select the Risk Event Type under which the Key Indicator Library is identified, from the hierarchy browser. For example, the Risk Event Type can be Systems and so on. This field will be enabled only when you select the Application from the Application drop-down list.

4. Click **Save Draft**. A Confirmation dialog box is displayed.
5. Click **OK**, the Library Key Indicator is saved and the Key Indicator Library Details page is displayed. The status of Key Indicator is changed to *Draft*.

Submitting Library Key Indicator in Draft Status

The Key Indicator Details page allows you to submit the Key Indicator Library.

To submit a Library Key Indicator, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Select a Key Indicator **ID** in Draft status. The Key Indicator Library Details page is displayed.

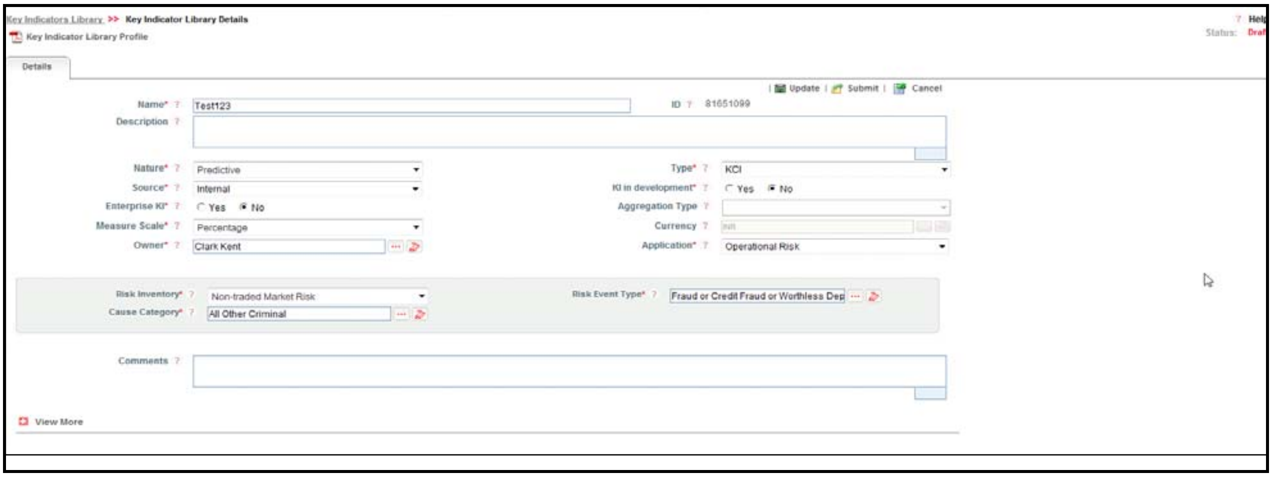


Figure 61. Key Indicator Library Details Page

The Key Indicator Library Details page allows you to perform the following tasks in Draft status:

- Editing Library Key Indicator
- Defining the Measures and Formula to Key Indicator
- Defining the Threshold limits
- Adding Applicable Business Units to Library Key Indicator
- Attaching and deleting documents related to Library Key Indicator
- Viewing Workflow History
- Deleting Library Key Indicator

For more information on these sections, refer to the *Managing Library Key Indicator Details* section.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   Note: To submit a Library Key Indicator, all mandatory fields (marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

4. Click **OK**. The status of the Library Key Indicator to *Open*.

   The Key Indicator Library Details page allows you to perform the following tasks in Open status:

- Editing Library Key Indicator
- Editing of the Measures and Formula of Library Key Indicator
- Defining/Editing the Threshold Limits for Library Key Indicator
- Adding/Editing the Applicable Business Units
- Aggregating Business Units
- Attaching and deleting documents related to the Library Key Indicator
- Viewing Workflow History
- Closing Library Key Indicator
- Viewing Key Indicator Library Profile Report

For more information about each of these tasks, refer to section *Managing Library Key Indicator Details*.

Managing Library Key Indicator Details

The Library Key Indicator Details page allows you to manage additional tasks and functionalities pertaining to the Key Indicator Library.

The section explains the following topics:

- Managing Details
- Managing Measure and Formulas
- Managing Threshold Limits
- Localizing Business Units

Note: Only the Key Indicator Identifier can edit Library Key Indicator details.

Managing Details

This page displays information about the Library Key Indicator.

This section allows you to perform the following tasks:

- Editing Key Indicator Library
- Attaching and Deleting Documents
- Viewing Workflow History

Editing Key Indicator Library

This section describes how to edit and update the existing Key Indicator Library. You can edit a Key Indicator when it is in Draft or Open status.

To edit a Key Indicator Library, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Select a Key Indicator Library ID from the Key Indicator Library Search and List page. The Key Indicator Library Details page is displayed.

3. Click **Edit**. The editable fields are enabled in the Key Indicator Details page.

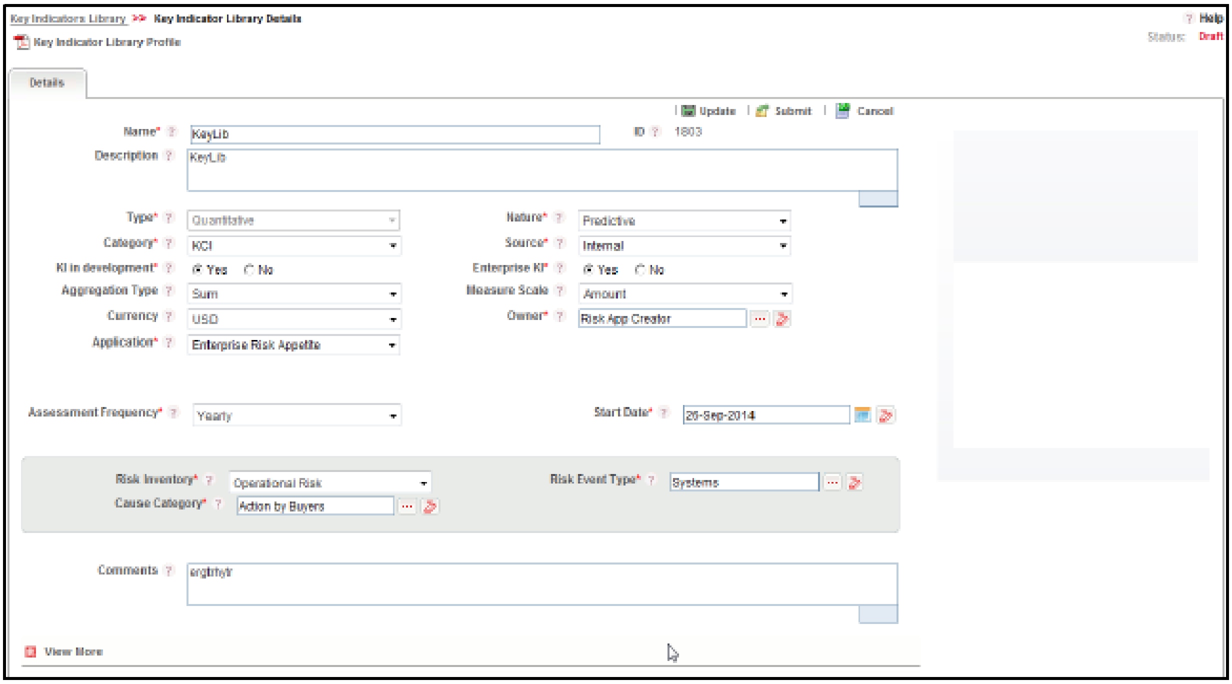


Figure 62. Editing of a Key Indicator Library in Draft Status

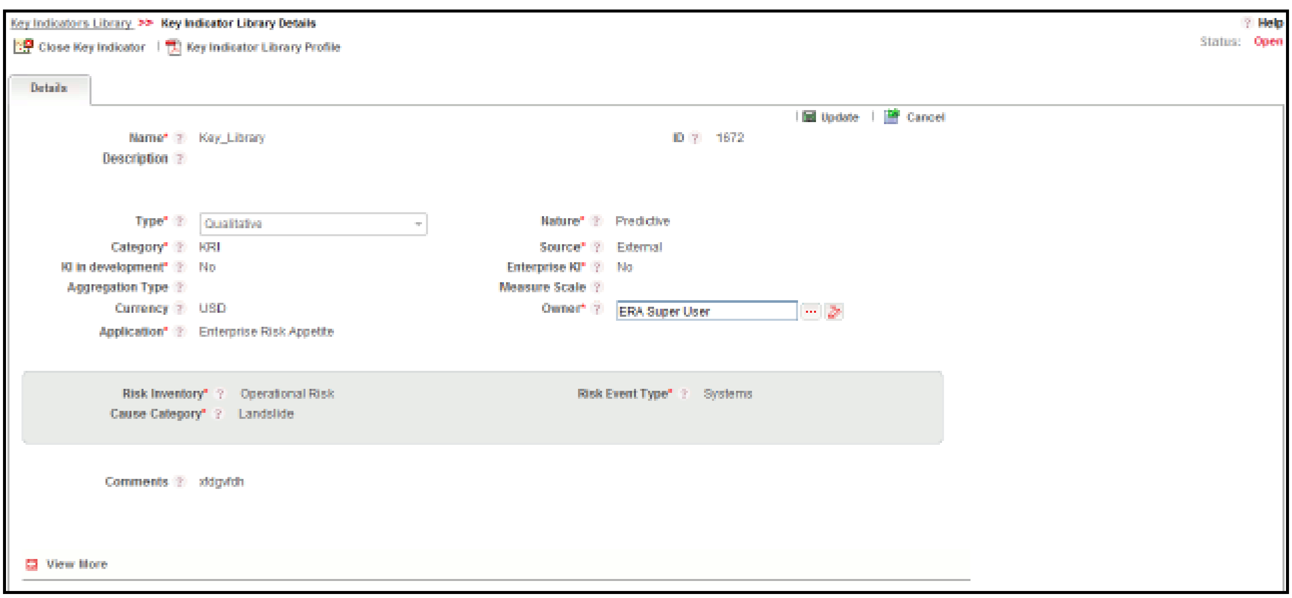


Figure 63. Editing of a Key Indicator Library in Open Status

4. Modify the necessary information. For more information about the Key Indicator Library Details page, refer to *Table 17*.

5. Click **Update**. The following message is displayed: *Update Operation Successful*.

6. Click **OK** to confirm the changes. The updated Key Indicator Details page is displayed.

Attaching and Deleting Documents

The Key Indicator Library Details page allows you to attach or delete documents related to a Key Indicator Library. Users mapped to the role of Key Indicator Identifier can attach and delete documents related to the Key Indicator Library.

For more details on attaching and deleting documents, refer to *Chapter 3: Managing General Features, Managing Documents* section.

Viewing Workflow History

The Workflow History section shows the audit trail of changes made to the Key Indicator Library details. Users mapped to the role of Key Indicator Identifier can view the workflow history.

For more details, refer to *Chapter 3: Managing General Features, Viewing Audit History* section.

The following table explains the audit entry, the action owner, and the status in the Workflow History section.

Table 20. Audit Entry in Workflow History section

Pre-action Status	Post Action Status	Action	Action Taker	Audit Entry
New	Draft	Save Key Indicator	Key Indicator Identifier	Key Indicator Library Created
Draft	Draft	Save Draft Key Indicator	Key Indicator Identifier	Key Indicator Library details updated
Draft	Open	Submit	Key Indicator Identifier	Key Indicator Library Submitted
Open	Close	Close	Key Indicator Identifier	Key Indicator Library closed
Open	Open	Update	Key Indicator Identifier	Key Indicator Library details updated
Draft	Delete	Delete	Key Indicator Identifier	Key Indicator Library Deleted

Managing Measure and Formulas

For Enterprise-valid Key Indicators, the values are generated at each Applicable Business Unit and the values are rolled up and aggregated at the organizational level. For generating the values at the Business Units, a formula is needed. The formula can be defined with the help of Measures - predefined value sets which can be borrowed from other Components like Risks and not limiting to other applications installed in the same Information Domain. Measures can be sourced from outside the Information Domain using a staging table.

The Key Indicator Library Details page allows you to update the Measure and Formula details. Users mapped to the role of Key Indicator Identifier can update this details in Draft or Open status.

To update aggregation details, the Key Indicator Library must be localized to at least one or more Business Unit Locations.

Note: It is mandatory to have at least one Measure for a Key Indicator Library before submitting it.

This section covers the following topics:

- Adding Measures to Formula
- Updating Measures in Formula

Adding Measures to Formula

To add the Measures to a Formula for a Key Indicator Library, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator **ID**. The Key Indicator Library Details page is displayed.
3. Expand the **View more** section. The Measure and Formula section is enabled.
4. Under the Measure and Formula section, click **Edit**. The Measure and Formula page is displayed.

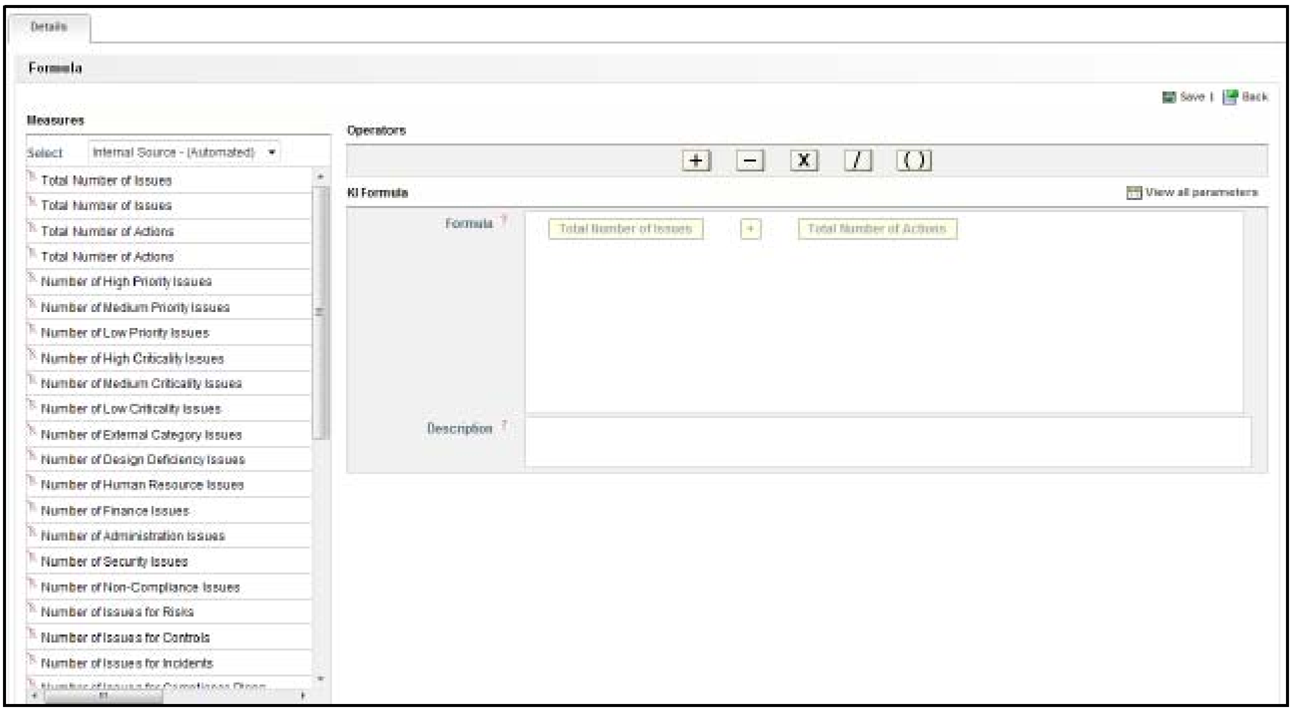


Figure 64. Measures and Formula Page

5. This page is divided into the following three sections:
   - **Measures**: Measures are classified as Manual or Automatic. This includes the list of parameters (Measure Names) and pre-defined filters (to enter the conditions), which you can use for Formula calculation. To use a measure in a formula, double-click on the corresponding measure. If the measure has parameters associated with it, a pop-up window is displayed to accept the filter values for the seletced measure. You can view all the associated parameters of a measure using **View all Parameters**.
   - **Operators**: This section includes the Plus, Minus, Multiply, Divide, and Bracket operators to perform the calculation.
   - **KI Formula**: This the placeholder to define the formula.
6. Select the type of Measure from the **Select** drop-down list.
   - Internal Source - Manual

- External Source - Manual
- Internal Source - Automatic
- External Source - Automatic

7. Double-click the Measure Name to add it to the Formula. Use Filters for the Measure, if applicable.

   Note: You can erase the defined measure values for Filter.

8. Use the required operators to frame the formula.
9. Click **Save**. A confirmation message is displayed: *Add Operation Successful*.
10. Click **OK**. Click **Back** to go back to the Key Indicator Library Details page to view the Formula.

Updating Measures in Formula

To update a Formula, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator **ID**. The Key Indicator Library Details page is displayed.
3. Expand the **View more** section.
4. Under the Measure and Formula section, click **Edit**. The Measure and Formula page is enabled.
5. Edit the Formula as required.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**.

Note: To delete a measure from the Formula, select the measure and press the **Delete**.

Managing Threshold Limits

This section enables the Key Indicator Identifier to define the thresholds for which the Key Indicator is being created. The thresholds can be defined for Numbers, Percentages, and Amounts as captured in the details. The values generated at each Business Unit as per the assessments/aggregations will compare the values against the thresholds defined here and generate a rating correspondingly.

Note: You must select a value in the Enterprise KI field.

This section covers the following topics:

- Adding Limits
- Editing Limits
- Deleting a Threshold Limit
- Viewing Rating Scale

Adding Limits

To add a Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a **Key Indicator Library ID**. The KI Details page is displayed.
3. Expand the **View more** section. The Threshold Limit section is displayed.

4. Click **Define Limits**. A new row will be added with Lower Limit, Upper Limit and Score columns.

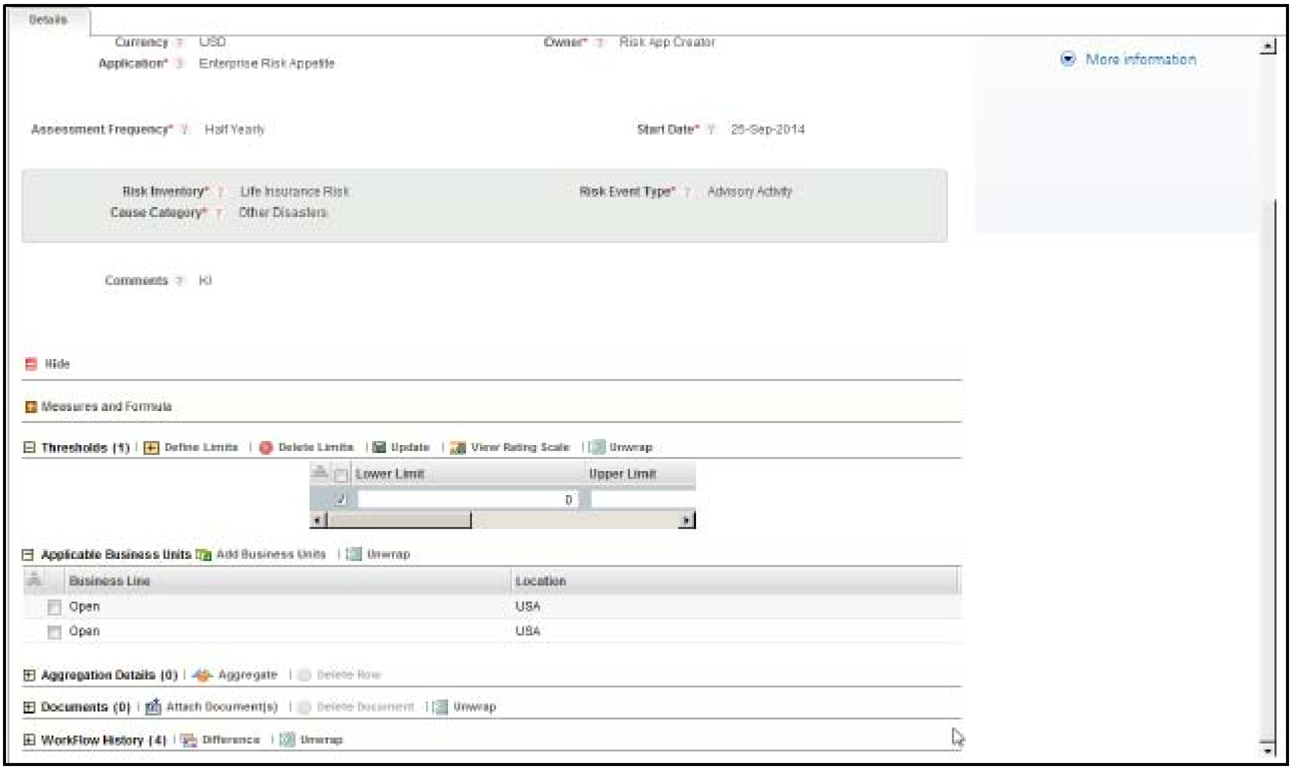


Figure 65. Defining Threshold Limits

Note: The Lower and Upper Limit columns accept only numeric inputs without decimals. You can enter a maximum of 15 digits. The Score field accepts the range (numeric values) as defined in KI Admin window.

5. After entering details, click **Update** to save the details. A confirmation message is displayed: *Update Operation Successful*.
6. Click **Ok**.

Note: If you are trying to submit a Key Indicator Library without defining the Threshold Limits, the following message is displayed: *Lower Limit, Upper Limit and Score are mandatory to save the Thresholds*. The Lower Limit should not be equal to the Upper Limit, or the following error message is displayed: *Overlapping ranges are not permitted*.

Editing Limits

To edit the Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a **Key Indicator Library ID**. The KI Details page is displayed.
3. Expand the **View more** section. The Threshold Limit section is displayed.
4. Select the limit using the corresponding check-box.
5. Edit the details as required and click **Update** to save the details.

6. A confirmation message is displayed: *Update Operation Successful*.
7. Click **OK**.

Deleting a Threshold Limit

You can delete Threshold Limits which may not be applicable for the Enterprise KI. To delete a Threshold Limit, follow these steps:

1. Select a Key Indicator ID from the Key Indicator Library Search and List page. The Key Indicator Library Details page is displayed.
2. Select the required Threshold Limit. You can select more than one Threshold Limit at a time for deletion.
3. Click **Delete Limit**. The following confirmation message is displayed: *Are you sure you want to delete this record?*
4. Click **OK**. The following message is displayed: *Delete Operation Successful*.
5. Click **OK**.

Viewing Rating Scale

1. Select a Key Indicator ID from the Key Indicator Library Search and List page. The Key Indicator Library Details page is displayed.
2. Select the required Threshold Limit.
3. Click **View Rating Scale**. The Rating Scale window will display. This shows the relationship between the Rating and corresponding Score as defined in the Admin window.

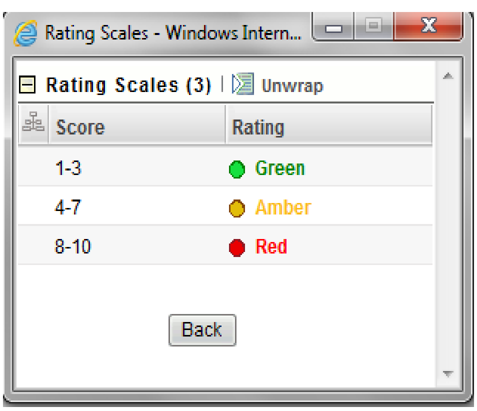


Figure 66. Viewing Rating Scales

Localizing Business Units

This section enables the localization of the Key Indicator across all applicable business units to aggregate the values derived during assessment. If any other application is using this, the fields must be configured manually. This section also enables the KI Identifier to add Applicable Businesses for a Key Indicator. This also allows you to look at the latest values and ratings at each applicable Business Unit.

You can edit this section in both *Draft* and *Open* status.

Note: For a Non-Enterprise KI, this section will be different.

- **Localizing KI Library for Enterprise KI**- If the Enterprise KI is selected as Yes, the defined Formula and Threshold Limits will be applicable to the defined applicable Business Units of Enterprise.

Note: The Formula and measures can not be edited at the respective business units if the Enterprise KI is set as Yes.

- **Localizing KI Library for Non Enterprise KI**- If the Enterprise KI is selected as No, the defined Formula and Threshold Limits will be applicable but are editable at the respective business units. If a new Business Unit is linked, then the formula and Threshold Limits will be applicable to the linked Business Unit.

The Applicable Businesses section allows you to identify the business line and location combination to which this Key Indicator is applicable. This creates Key Indicators in *Draft* status at the selected business line and location combination.

Note: The Applicable Business units can be added only when the Key Indicator's status is Draft or Open.

Users mapped to the role of Key Indicator Identifier can localize Key Indicators to different Business Units (business line and location combinations), when the Key Indicator is in *Draft* or *Open* status.

To localize a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator Library ID. The KI Details page is displayed.
3. Expand the **View more** section. The Applicable Business Units section is displayed.
4. Click **Add Business Units**. The list of Applicable Businesses units is displayed.

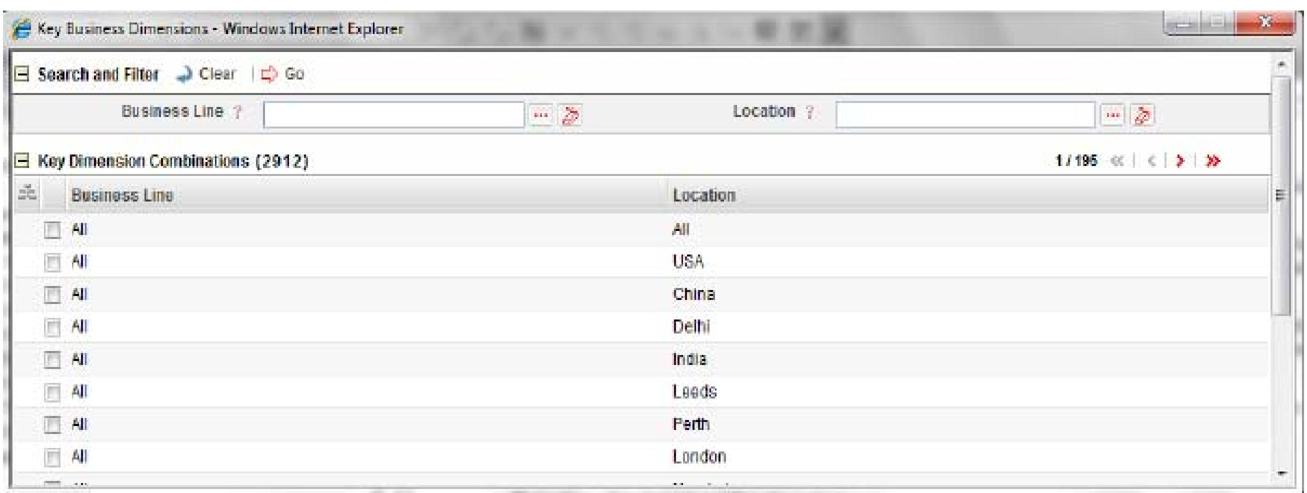


Figure 67. Applicable Business Units

5. The Applicable Business Units page is displayed which has a list of valid combination of Business Lines and Locations mapped to the user.
6. Select the required Business Line and Location combination and click **Link**.
7. Click **OK**. The following message is displayed: *Add Operation Successful.*
8. Click **OK**. The Choose Business Units page is displayed.
9. Click **Close**. The newly added Business Unit is listed under the Applicable Business Units section.
10. Select the linked Business Unit. The Key Indicators applicable for that Business Line and Location are listed under the Applicable Business Units section.

Managing Aggregation Details

The Key Indicator Library Details page allows you to aggregate across applicable business units. This section is visible only if the Key Indicator at the library is defined as an Enterprise KI. Users mapped to the role of Key Indicator Identifier can aggregate details in *Open* status. To aggregate across business units, the Key Indicator at Library must be localized to at least one or more business unit.

There are two ways to aggregate the values for all the applicable Business Units:

- Automatic Aggregation (Scheduled by Frequency)
- Manual Aggregation (Ad-hoc Aggregation)

To aggregate across business units, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator Library ID. The KI Details page is displayed.
3. Expand the **View more** section. The Aggregation Details section is displayed. The Aggregation Details section lists all the aggregations performed for the Key Indicator at the library.

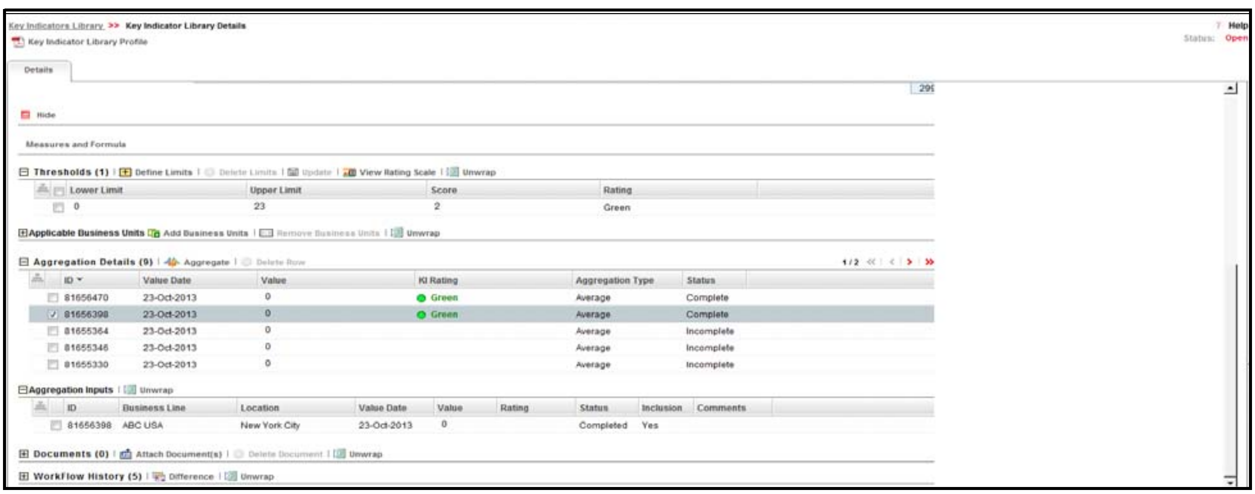


Figure 68. Updating Aggregation Details

4. Click **Aggregate**. The **Include Business Units for Aggregation** window is displayed.

   Note: Before clicking **Aggregate** you should check that at least one Applicable Business Unit has been linked to the KI Library record, or the following message is displayed: *Please identify at least one applicable business unit prior to aggregation*. If the aggregation is automatic, you need to run the batch. Based on the batch run frequency and start date, the aggregation at library and KI metrics at business units will be automatically generated.

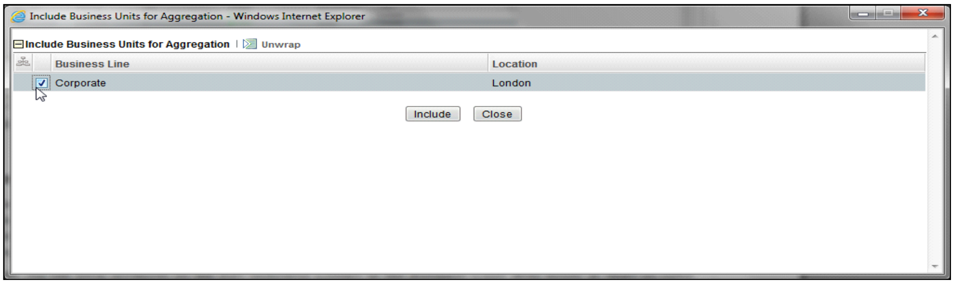


Figure 69. Including Business Units for Aggregation

5. Select the Business Line and Location combination. The aggregation will be performed only for the selected business units, which are included. Other applicable business units if available, will be ignored from aggrregation. Click **Include** to generate KI metrics at included business units for assessment.
6. Click **Close**. You will be directed back to the Key Indicator Library Details page.

Closing Library Key Indicator

If the Key Indicator Library in Open status is no longer required, it can be closed. Users mapped to the role of Key Indicator Identifier can close Key Indicator Library records. You can close a Key Indicator Library either from Key Indicator Library Search and List page or from the Details page. Once the Key Indicator Library is closed, its status changes from Open to Closed.

Note: All local instances of the Key Indicator Library at the Business Units level in *Draft* or *Open* status should be closed, or the following message is displayed: *Close all Impacted Business Units to close Library level Key Indicator*.

To close a Key Indicator Library at repository, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator Library ID in Open status that you want to close. The Key Indicator Library Details page is displayed. From the Details page, click **Close Key Indicator**.

   Or:

   From the Key Indicator Library List, select the required Key Indicator Library ID in *Open* status that you want to close and click **Close Key Indicator**.

   The Close Key Indicator Library pop-up window is displayed.

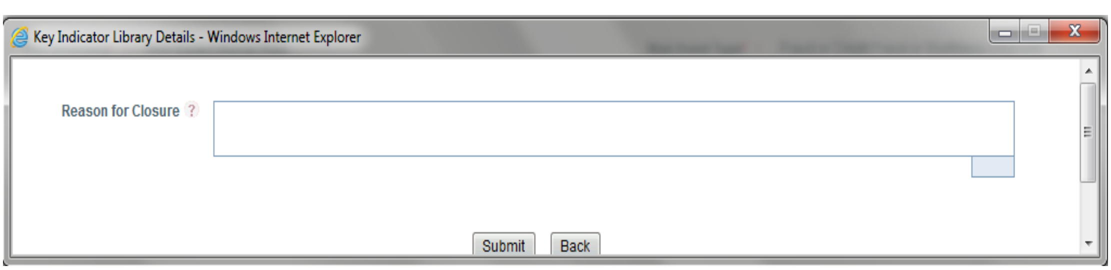


Figure 70. Closing Key Indicator Library

3. Enter the reason for closure. You can enter text up to 3000 characters.
4. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**.

Note: If you click **Submit** without providing the reasons for closure, the following validation message is displayed: *Please provide the reasons for Closure*

5. Click **Back** on the Close Key Indicator pop-up window. The system refreshes and displays the Key Indicator Library in *Closed* status either in the Key Indicator Library List or in Key Indicator Library Details page depending upon from where the closure was performed.

Deleting Library Key Indicator

Key Indicators in Draft status which are not in use can be deleted. The Key Indicator Library Search and List page allows you to delete a Key Indicator record at the repository. Users mapped to the role of Key Indicator Identifier can delete a Key Indicator in Draft status.

To delete a Key Indicator at the repository, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Select the Key Indicator Library ID you want to delete.
3. Click **Delete Key Indicator**. The following message is displayed: *Are you sure you want to delete this record?*
4. Click **OK**. The following message is displayed: *Delete Operation Successful.*
5. Click **OK**. The Key Indicator is deleted and the updated Key Indicator Library Search and List page is displayed.

Exporting Library Key Indicator List to Excel

Exporting the Key Indicators allows you to view a compiled list of all the Key Indicator Library records.

The Key Indicator Library Search and List page allows you to export the Key Indicator list into an Excel template. The Key Indicator Library details can be exported to a PDF for offline use.

For more details on Exporting Key Indicators, refer to *Chapter 3: Managing General Features, Exporting Records* section.

Managing Key Indicators

This section provides details of the Key Indicators module in the Oracle Financial Services Enterprise Risk Assessment application and step-by-step instructions to use this module.

This chapter includes the following topics:

- About Key Indicators
- User Roles and Actions
- Tasks and Notifications
- Key Indicator Workflow
- Accessing Key Indicator Menu
- Searching Key Indicators
- Creating a Key Indicator
- Managing Key Indicator Details
- Reviewing Key Indicator
- Deleting Key Indicator
- Exporting Key Indicator List into Excel
- Viewing Internal Key Indicator Profile

About Key Indicators

The Key Indicator Component gives the flexibility to capture Key Indicators which can either be Risk Indicators, Control Indicators, Performance Indicators or BEICF Indicators.

Key Indicators are metrics, often financial, which provide insight into a bank's or organization's risk position. These indicators are reviewed on a periodic basis to alert banks to changes that may be indicative of risk concerns. Such indicators may include the number of unsuccessful and failed trades, staff turnover rates and the frequency or severity of errors and omissions.

OFSERA Key Indicators module provides an early-warning system to identify potential costly operational hazards including fraud, legal and technology risks. The use of Key Indicators is one of the BIS (Bank of International Settelments) recommendations for sound Operational Risk Management, and thus an essential component of Basel II and Sarbanes-Oxley laws.

User Roles and Actions

This section explains the different user roles and actions they can perform in the Key Indicator module of the OFSERA application. This section covers the following topics:

- User Roles
- Actions

User Roles

The following user roles are defined in the Key Indicator module of OFSERA:

- **Key Indicator Owner:** Users mapped to this role can add more details to the Key Indicator Definitions which are specific to the selected Business Unit. It is also possible to create a new Key Indicator for a Business Unit and map it to the Key Indicator at the library level. The Key Indicator Owner can also delete a Key Indicator which is in Draft status. The Key Indicator Owner can assign each Key Indicator to a Value Capturer and define the frequency at which Metrics will be generated and can close their respective Key Indicators.
- **Value Capturer:** Users mapped to this role monitor the Key Indicator records assigned and record the Metrics periodically against a specific date. A Value Capturer can also delete Metrics which are in *Draft* status. This user can create an Issue for the Key Indicator if the Metrics breaches the defined thresholds. This user provides the values for manual measures as applicable in a formula.
- **Reviewer:** This role is applicable only if activating the review process for Key Indicators in the Workflow Manager Component. If the Review Required field is set to **Yes**, then this user can review the Key Indicator Metrics updated by the Value Capturer. The reviwer can accept or reject the values provided by the Value Cpaturer and create an Issue for the Key Indicator if the Metrics breaches the defined thresholds.

Actions

The Key Indicator records module allows users to perform the following actions:

- **Creating Key Indicator:** This action allows the user to create a new Key Indicator record. Users can link or delink the components, define the formulas, Threshold limits, and defining the KI Metrics, and attach or delete the documents before or after submitting the Key Indicator.
- **Editing Key Indicator:** This action allows the user to edit and update the Key Indicators in Draft or Review status.
- **Reviewing Key Indicator:** This action allows the user to review the key Indicators in Open status. The Key Owner reviews the Key Indicator and KI Reviewer accepts or rejects the KI Metrics (if the KI metrics are in Pending Approval status.)
- **Closing Key Indicator:** This action allows the user to close the Key Indicators in Open status.
- **Deleting Key Indicator:** This action allows the user to delete the Key Indicators in Draft Status.
- **Exporting Key Indicator:** This action allows the user to export the list of Key Indicator records. The Exported Key Indicator function allows the organization to have a compiled list of all applicable Key Indicator records.

Table 21. User Roles mapped to corresponding Actions

Function	KI Status	Metrics Status	KI Identifier	KI Owner	Value Capturer	KI Reviewer
Create KI	New		X			
Edit KI	Draft		X			
	Open		X			
Delete KI	Draft		X			
Define Formula	Draft		X			
	Open		X			
Close KI	Open		X			
Localize KI record	Open		X			

Function	KI Status	Metrics Status	KI Identifier	KI Owner	Value Capturer	KI Reviewer
Create KI at Business Unit	New			X		
Edit KI at Business Unit	Draft			X		
	In Review			X		
Delete KI at Business Unit	Draft			X		
Define Formula at Business Unit	Draft			X		
	Open			X		
Request In Review of KI	Open			X		
Submit KI at Business Unit	In Review			X		
Close KI at Business Unit	Open			X		
Generate Metrics at Business Unit	Open	New			X	
Edit KI Metrics at Business Unit	Open	Draft			X	
		Rejected			X	
Review KI Metrics	Open	Pending Approval				X
Delete KI Metrics	Open	Draft			X	
Close Key Indicator at Business Unit	Open		X			
Create Issues/Actions at Business Unit	Open			X	X	X
Link Issues/Actions at Business Unit	Open			X	X	
Add & Delete Documents (KI)	Draft		X			
	Open		X			
Add & Delete Documents (KI Local)	Draft			X		
	Open			X		
	In Review			X		

Tasks and Notifications

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

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

Table 22. Tasks and Notifications

Action Performed	Task/Notification	Task/Notification Description	Sent to	Status
On Submit, If user submitting the KI at Business Unit is different from the user captured as KI Owner.	Notification	Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units.	KI Owner	Open
While Reviewing the KI, If the user who pushed the KI into In Review status is not the user captured as KI Owner.	Notification	Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units.	KI Owner	In Review
On KI Metrics generation, if the value generated is out of the Thresholds range	Notification	Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units.	KI Owner	Open
When KI Metrics is generated in Draft status	Task	Task should be sent to the user who is captured as 'Value Capturer' in the Key Indicator	Value Capturer	Open
When KI Metrics is generated in Pending Approval status	Task	Task should be sent to all the users mapped to the role of KI Reviewer for the selected KBD/Business Unit.	KI Reviewer	Open
When KI Metrics moves to Submitted status	Notification	Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units.	KI Owner	Open
When KI Metrics is rejected by the KI Reviewer	Notification	Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units.	KI Owner	Open
When KI Metrics is rejected by the KI Reviewer	Task	Task should be sent to the user who is captured as 'Value Capturer' in the Key Indicator	Value Capturer	Open
When KI at Business Unit is closed and If the user who closed is different from the KI owner captured	Notification	Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units.	KI Owner	Closed
On metrics generation, if KI Rating = Amber	Notification	Notification should be sent to the user captured as Caution User for Key Indicators at respective Business Units.	Caution User	Open
On metrics generation, if KI Rating = Red	Notification	Notification should be sent to the user captured as Critical User for Key Indicators at respective Business Units.	Critical User	Open

Action Performed	Task/Notification	Task/Notification Description	Sent to	Status
On metrics generation, if KI Rating = Red	Notification	Notification should be sent to the user captured as KI Owner in the KI Libraries for the respective Business Unit KIs.	KI Owner	Open
On metrics generation, if KI Rating = Red	Notification	Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units.	KI Owner	Open
On metrics generation, if KI Rating = Red & Scenarios are linked	Notification	Notification should be sent to the user captured as 'Scenario Owner' for all the linked Scenarios	Scenario Owner	Open
On metrics generation, if KI Rating = Red & Risks are linked	Notification	Notification should be sent to the user captured as 'Risk Owner' for all the linked Risks	Risk Owner	Open
On metrics generation, if KI Rating = Red & Controls are linked	Notification	Notification should be sent to the user captured as 'Control Owner' for all the linked Controls	Control Owner	Open
On metrics generation, if KI Rating = Red	Notification	Notification should be sent to all the users with the role 'Business Risk Owner' for the selected KBD/Business Unit.	Business Risk Owner	Open

Key Indicator Workflow

The following figure describes the Key Indicator workflow:

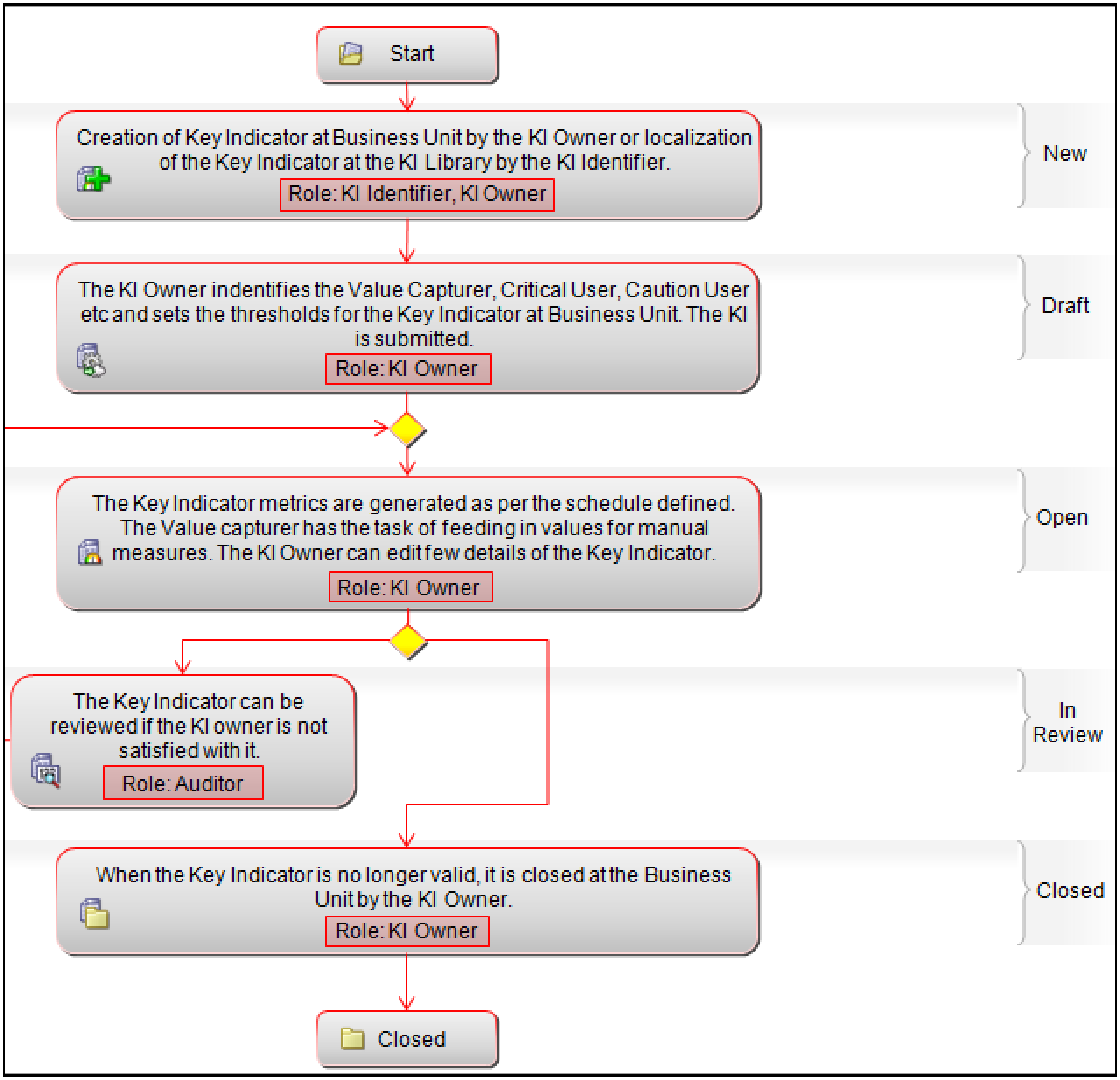


Figure 71. Key Indicator Workflow

Accessing Key Indicator Menu

This section explains how to access the Key Indicators module in Oracle Financial Services Enterprise Risk Assessment application.

Users mapped to the role of Key Indicator Owner, Key Indicator Reviewer, or Value Capturer can access the Key Indicator module.

To access the Key Indicator, follow these steps:

1. Login to the OFSERA application. The OFSERA Home page is displayed.

2. Hover over the **Key Indicators** menu and click **Key Indicators.** The Key Indicators Search and List page displays.

Searching Key Indicators

This section explains how to search and filter the existing Key Indicator list. The Key Indicator Search and List page allows you to filter the Key Indicators that you want to view and analyze. The Key Indicator search section supports three types of search- Search by Views, Basic Search, and Advanced Search. You can use only one search at a time.

This section explains the following topics:

- Searching Key Indicators Using Basic Search
- Searching Key Indicator Using Advanced Search Criteria
- Searching Key Indicator Using Pre-defined Views

Searching Key Indicators Using Basic Search

This search is based on a limited set of search criteria and helps you to retrieve the relevant Key Indicator records.

To search for a Key Indicator using Basic Search, follow these steps:

1. Navigate to the Key Indicator Search and List page.

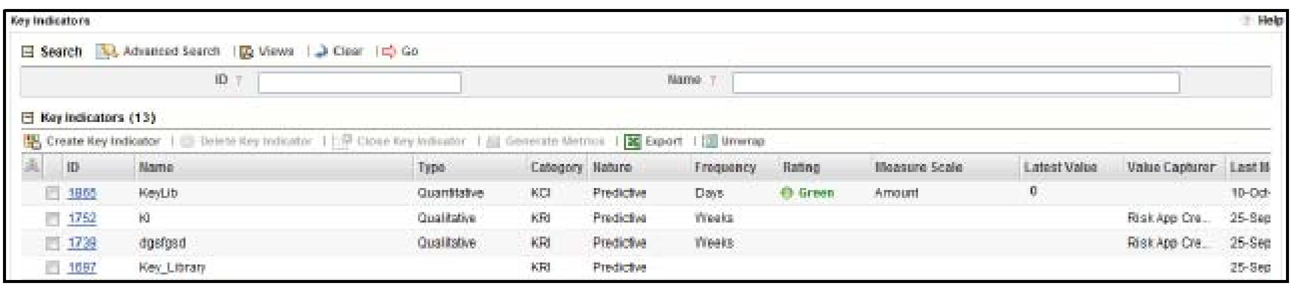


Figure 72. Searching Key Indicator Using Basic Search

Note: By default, the Key Indicator Search and List page displays all the Key Indicator records.

2. Enter the following search criteria in the Basic Search fields to filter the Key Indicator list.

   The following table provides a list of the search criteria that display in the Key Indicator Search section:

Table 23. Basic Key Indicator Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the Key Indicator. This field allows you to enter a maximum of 8 numeric values.
Name	Enter the name of the Key Indicator. This field allows you to enter a maximum of 300 characters and supports wildcard search.

3. Click **Go**. The relevant search list is displayed.

   Note: You can click **Clear** to reset the search fields.

Warning: If there are no matched details with the given search criteria then the Alert pop-up window displays the following message: *No records found with the given search criteria.*

Searching Key Indicator Using Advanced Search Criteria

Advanced Search provides more specific search options. It offers the same search fields as provided for a basic search along with an expanded set of fields. If you know most of the Key Indicator details such as ID, Name, Status, and so on, then you can filter the Key Indicator using the Advanced Search criteria.To search for Key Indicators using Advanced Search, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click **Advanced Search** from the Search section. The Advanced Search fields display.

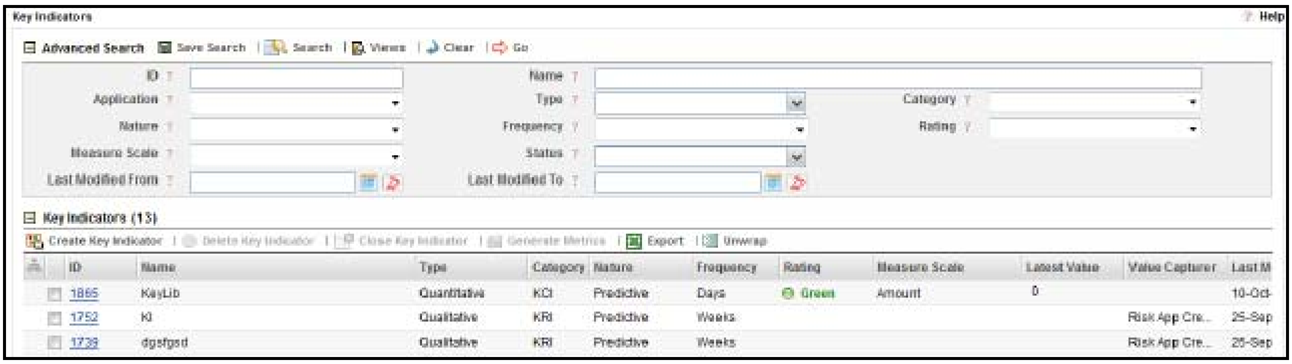


Figure 73. Searching Key Indicators Using Advanced Search Criteria

3. Enter the search criteria to filter the Key Indicator list.

   The following table provides a list of search criteria that displays in the Key Indicator Advanced Search section.

Table 24. Advanced Key Indicator Search Criteria

Criteria	Description
ID	Enter the sequential tracking Key Indicator number of the Key Indicator. This field allows you to enter a maximum of 8 numeric values.
Name	Enter the name of the Key Indicator. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Application	Select the Application Name in which the Key Indicator is installed.
Type	Select the type of which the Key Indicator belongs, from the drop-down list. The following are the possible values for the Key Indicator Type drop-down list: ● **Qualitative**: Qualitative are indicators for the user, who can directly provide the ratings. Also if you are selecting the key indicator as qualitative, then there is no need to define measures, formulas, thresholds, aggregation. ● **Quantitative**: Quantitative Key Indicators which means, users need to provide some inputs (numbers/values) against each measure to derive key indicator ratings.

<table>
<tr><th>Criteria</th><th>Description</th></tr>
<tr><td>Category</td><td>Select the category to which the Key Indicator belongs, from the drop-down list.
The following are the possible values for the Key Indicator Type drop-down list:
KRI: The Key Risk Indicators are parameters that effectively measure the risks involved in a business procedure and activity and provides the firm with a prior notification of possible harmful consequences.
KCI: The Key Control Indicators are used to define company-wide controls to monitor the achievement of the set objectives.
KPI: A set of quantifiable measures that a company or industry uses to gauge or compare performance in terms of meeting their strategic and operational goals.
BEICF Indicator: Business Environment and Internal Control Factors (BEICFs) are indicators of a bank’s operational risk profile that reflect underlying business risk factors and an assessment of the effectiveness of the internal control environment.</td></tr>
<tr><td>Nature</td><td>Select the nature of the Key Indicator from drop-down list.
Following are the possible values for the Nature drop-down list:
Predictive: when you can predict the impact of the Key Indicator for future.
Lag: when the Key Indicator is based on past scenarios.
Current: when the Key Indicator is based on the current conditions.</td></tr>
<tr><td>Frequency</td><td>Use the Frequency drop-down list to search Key Indicators with the selected Frequency.
Following are the possible values for the Frequency drop-down list:
Yearly
Half Yearly
Quarterly
Monthly
Forthrightly
Weekly
Daily</td></tr>
<tr><td>Rating</td><td>Select a value from the drop-down list to filter the Key Indicator list by its assessment rating.
Following are the possible values for the Rating drop-down list:
Green
Amber
Red</td></tr>
<tr><td>Measure Scale</td><td>Select the Measure Scale from the drop-down list to search the Key Indicators for specific Measure Scale.
Following are the possible values for the Measure Scale drop-down:
Percentage
Number
Amount</td></tr>
</table>

Criteria	Description
Status	Select the Key Indicator status from the drop-down list. Following are the possible values for the Status drop-down list: ● Select All ● Draft ● Closed ● Open ● In Review **Note:** You can select more than one option at a time from the drop-down list.
Last Modified From	Select the last modified date from the calendar to display Key Indicator records having a modified date greater than or equal to the specified date. **Validations:** If the date entered in **Last Modified From** is later than the date entered in **Last Modified To** the application displays the following message: *Please verify the range selected in Last Modified Date.*
Last Modified To	Select the last modified date from the calendar to display Key Indicator records having a modified date less than or equal to the specified date. **Validations:** If the date entered in **Last Modified From** is later than the date entered in **Last Modified To**, the application displays the following message: *Please verify the range selected in Last Modified Date.*

4. Click **Go**. The relevant search list is displayed.

   Note: If there are no matched records with the given search criteria, then the Alert pop-up window displays the following message: *No records found with the given search criteria.*

   Note: The application provides a **Save Search** button in the Advanced Search section that allows you to save your search criteria. For more information on Saving a Search, refer to *Chapter 3: Managing General Features, Saving a Search* section.

Searching Key Indicator Using Pre-defined Views

Views search represents pre-populated search criteria and helps you to filter the Key Indicator records based on pre-defined views.

To search for a Key Indicator using pre-defined views, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

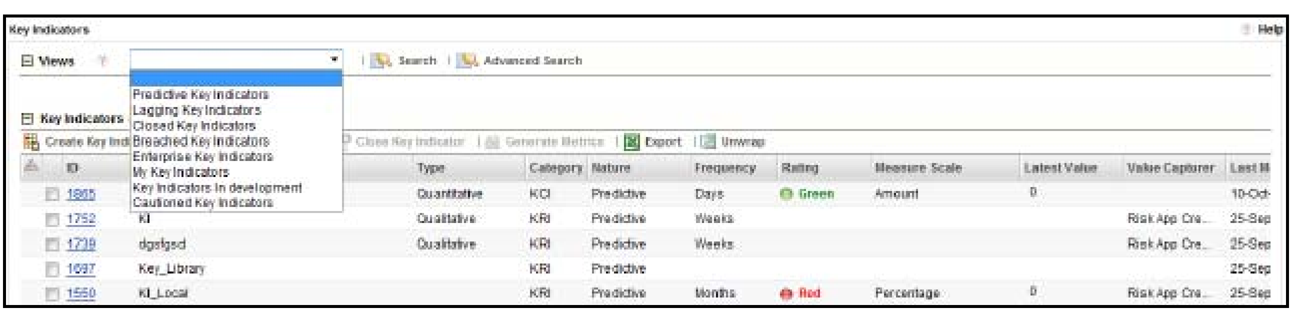


Figure 74. Searching Key Indicators Using Views

3. Select any of the pre-defined views from the Views drop-down list. The relevant Key Indicator list page is displayed.

   The following table explains the default types of pre-defined views available.

Table 25. Key Indicator Views

View	Description
Lagging Key Indicators	Select *Lagging Key Indicators* from the Views drop-down list to display the Key Indicator records which are marked as Lag in nature.
Closed Key Indicators	Select *Closed Key Indicators* from the Views drop-down list to display the Key Indicator records which are in Closed status in descending order of the last modified date.
Predictive Key Indicators	Select *Predictive Key Indicators* from the Views drop-down list to display the Key Indicator records which are marked as Predictive in nature.
Breached Key Risk Indicators	Select *Breached Key Indicators* from View drop-down list to display Key Indicator records where the Rating is marked as Red and the Type is KRI.
Enterprise Key Indicators	Select *Enterprise Key Indicators* from the Views drop-down list to display Key Indicator records where the Enterprise Key Indicator is set as **Yes** in descending order of the last modified date.
My Key Indicators	Select *My Key Indicators* from the Views drop-down list to display the Key Indicator records for which the logged in user is the Owner in descending order of the last modified date.
Key Indicators in development	Displays Key Indicators which are in development (where the **KI in Development** field is set to Yes).
Cautioned Key Indicator	Select *Cautioned Key Indicators* from the Views drop-down list to display the Key Indicator records where the Rating is set as Amber.

Note: These options are the default Views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down.

Creating a Key Indicator

You can create a new Key Indicator when you identify a warning signal which has potential impact in the organization. The Key Indicator Search and List page allows you to create a new Key Indicator.

Note: Users mapped to the role of Key Indicator Owner can create a Key Indicator.

To create a new Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click **Create Key Indicator**. The Key Indicator Details page is displayed.

   Note: The status of the Key Indicator is *New.*

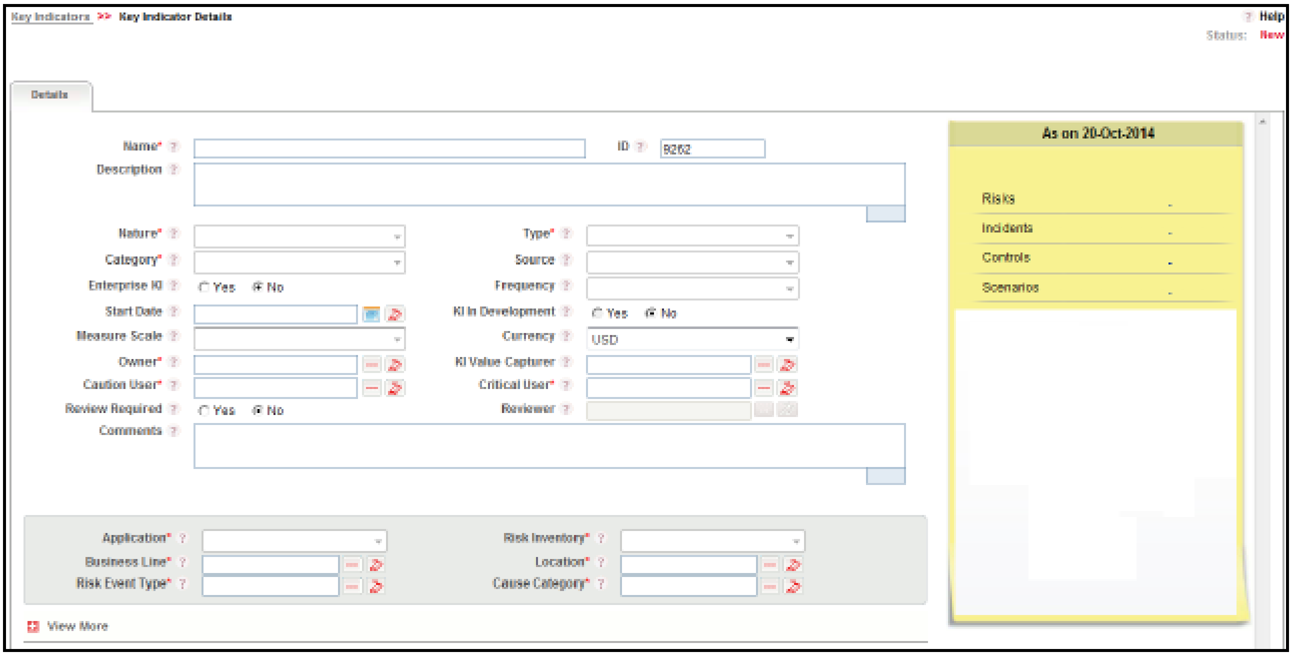


Figure 75. Key Indicator Details Page

3. Enter the following information in the Key Indicator Details page.

Table 26. Components of the Key Indicator Details Page

Fields	Description
Name	Enter the name of the Key Indicator. This field allows you to enter a maximum of 300 characters. If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*. **Note:** If you try to save the Key Indicator details without entering the name, the application displays the following message: *Please enter the Key Indicator Name.*
ID	Displays the sequential tracking number given to a Key Indicator. (system generated)
Description	Enter a brief description of the Key Indicator. The description field in the Key Indicator Details page allows entering a maximum of 3000 characters. This field shows the count of words as you entering the description. **Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.*
Library Name	Select the Library name for the Key Indicator to which the Localized Key Indicator will be linked, from the hierarchy browser. This list includes the Library Names where the Enterprise KI is set to No.

Table 26. Components of the Key Indicator Details Page

Fields	Description
Nature	Shows the nature of the Key Indicator as Predictive, Lag, or Current, which is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. • **Predictive:** when you can predict the impact of Key Indicator for the future. • **Lag:** when the key Indicators are based on past scenarios. • **Current:** when the key Indicators are based on current scenarios.
Type	Shows the type of which the Key Indicator belongs. This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. • **Qualitative**: Qualitative are indicators for the user, who can directly provide the ratings. Also if you are selecting the key indicator as qualitative, then there is no need to define measures, formulas, thresholds, aggregation. • **Quantitative**: Quantitative Key Indicators which means, users need to provide some inputs (numbers/values) against each measure to derive key indicator ratings.
Category	Shows the category to which the Key Indicator belongs. This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. • **KRI**: The Key Risk Indicators are parameters that effectively measure the risks involved in a business procedure and activity and provides the firm with a prior notification of possible harmful consequences. • **KCI**: The Key Control Indicators are used to define company-wide controls to monitor the achievement of the set objectives. • **KPI**: A set of quantifiable measures that a company or industry uses to gauge or compare performance in terms of meeting their strategic and operational goals. • **BEICF Indicator**: Business Environment and Internal Control Factors (BEICFs) are indicators of a bank's operational risk profile that reflect underlying business risk factors and an assessment of the effectiveness of the internal control environment.
Source	Shows the source of the Key Indicator as External (when the Key Indicator is applicable only outside the Organization) or Internal (when the Key Indicator is applicable only inside the Organization). This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field.
Enterprise KI	Shows the Enterprise KI as Yes or No. If this option is displayed as Yes, then the Key Indicator will be valid across the Enterprise.This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field.

Table 26. Components of the Key Indicator Details Page

Fields	Description
Frequency	Select the frequency of generation of Metrics for the Key Indicator. The following values are possible from the Frequency drop-down list: • Yearly • Half Yearly • Quarterly • Monthly • Weekly • Fortnightly • Daily This field is auto-populated from the Key Indicator Library record. You cannot edit this field, if Enterprise KI is set to Yes.
Start Date	Select the Start Date from the calendar that is, when the Threshold levels are applicable for KI Metrics generation. This field is auto-populated from the Key Indicator Library record. You cannot edit this field, if the Enterprise KI is set to Yes.
Key Indicator in Development	Shows this option as Yes if the Key Indicator is in development, otherwise it displays as No. This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field.
Measure Scale	Shows the measurement Scale type (Percentage, Number, or Amount) in which the Thresholds will be defined. This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field.
Currency	Shows the selected currency for the Thresholds and Key Indicator Value. This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. The currency field will be applicable only if the Measure Scale is set to Amount.
Owner	Select the User who is responsible for the Key Indicator at an organizational level, from the hierarchy browser. The hierarchy browser shows the list of users mapped to Key Indicator Owner role.
KI Value Capturer	Select the User who generates the KI metrics and enters the values for manual Measures, from the hierarchy browser. The hierarchy browser shows the list of users mapped to KI Value Capturer Owner role.
Caution User	Select the Caution User from hierarchy browser. The Caution User is the user who is notified if the Key Indicator Value breaches to caution level, that is the Key Indicator Rating is Amber.
Critical User	Select the Critical user from the hierarchy browser. The Critical User is the user who is notified in case the Key Indicator Value breaches to critical level, that is the Key Indicator Rating is Red.
Review Required	Select this option as Yes if the review of manual measure is required. Otherwise, select this option as No.
Reviewer	Select the Reviewer name from hierarchy browser. The Reviewer field will be enabled only if the Review Required field is set to Yes.
Comments	Enter remarks if applicable. **Note:** If you try to enter more than 3000 characters in the Comments field, the application displays the following message: *Number of characters exceeded*.

Table 26. Components of the Key Indicator Details Page

Fields	Description
Application	Select the name of the application.
Risk Inventory	Shows the Risk Inventory for which the Key Indicator is identified. For example, the Risk Inventory can be Credit Risk, and so on. This field is auto-populated after selecting the Library Name field. You cannot edit the Risk Inventory field.
Business Line	Select the Business Line for which the Key Indicator has been created, from the hierarchy browser. For example, the Business Line can be Corporate, Advisory Services, and so on. This field will be auto-populated after selecting the Key Indicator Library record. You cannot edit this field if Enterprise KI is set to Yes.
Location	Select the Location for which the Key Indicator has been created, from the hierarchy browser.This field will be auto-populated after selecting the Key Indicator Library record. You cannot edit this field if Enterprise KI is set to Yes.
Risk Event Type	Shows the Risk Event Type under which the Key Indicator is identified. For example, the Risk Event Type can be Systems, and so on. This field is auto-populated after selecting the Library Name field. You can edit the Risk Event Type field using the corresponding hierarchy browser, if required.
Cause Category	Shows the Cause Category under which the Key Indicator is identified. For example, the Cause Category can be Fraud, and so on. This field is auto-populated after selecting the Library Name field. You can edit the Cause Category field using the corresponding hierarchy browser, if required.

4. Click **Save Draft**. A Confirmation dialog box is displayed. If you click **OK**, the Key Indicator is saved and the Key Indicator Details page is displayed. The status of the Key Indicator is changed to *Draft*.

Submitting a Key Indicator in Draft Status

Users mapped to the role of Key Indicator Owner can submit a Key Indicator. The Key Indicator Details page allows you to submit the Key Indicator.

To submit a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator **ID** in *Draft* status. The Key Indicator Details page is displayed.

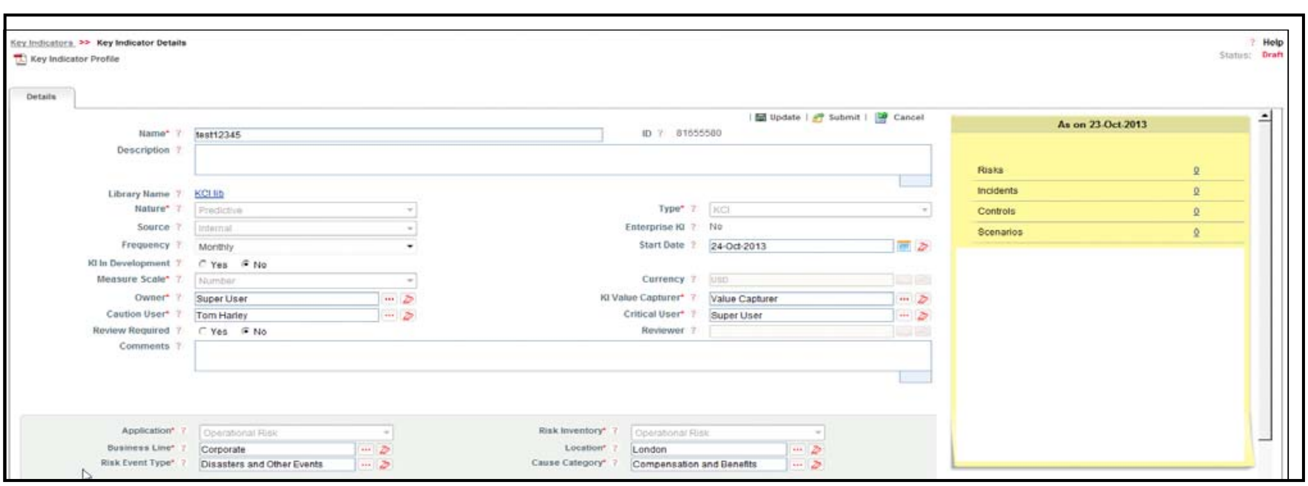


Figure 76. Key Indicator Details Page

The Key Indicator Details page allows you to perform the following tasks in *Draft* status:

- Editing Key Indicator
- Editing the Measures and Formula to Key Indicator (if **Enterprise KI** is set to No)
- Defining the Threshold limits
- Attaching and deleting documents related to Key Indicator
- Deleting Key Indicator
- Viewing Workflow History

For more information on these sections, refer to the *Managing Key Indicator Details* section.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   Note: To submit a Key Indicator, all mandatory fields (marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

4. Click **OK**. The status of the Key Indicator changes to *Open*.

   The Key Indicator Details page allows you to perform the following tasks in *Open* status:

   - Linking and delinking Risk, and Processes to the Key Indicator
   - Creating Issues and Actions
   - Attaching and deleting documents related to the Key Indicator
   - Viewing Key Indicator Profile Report
   - Closing Key Indicator
   - Viewing Workflow History

   The Key Indicator Details page allows you to perform the following tasks in *In Review* status:

   - Editing Key Indicator
   - Editing of the Measures and Formula of Key Indicator
   - Defining/Editing the Threshold Limits for Key Indicator
   - Linking and delinking Risk, Controls, Incidents, Scenarios, and Processes to the Key Indicator
   - Creating Issues and Actions
   - Viewing Key Indicator Profile Report
   - Viewing Workflow History

For more information on each of these tabs, refer to section *Managing Key Indicator Details*.

Managing Key Indicator Details

The Key Indicator Details page allows you to manage additional tasks and functionalities pertaining to the Key Indicator.

The section explains the following topics:

- Managing Details
- Managing Measure and Formulas

- Managing Threshold Limits
- Managing KI Metrics
- Managing Linkages
- Managing Issues and Actions

Note: Only a Key Indicator Owner can edit the Key Indicator details.

Managing Details

This tab displays the detailed information about the Key Indicator.

This section allows you to perform the following tasks:

- Editing Key Indicator
- Viewing Additional Information
- Attaching and Deleting Documents
- Viewing Workflow History

Editing Key Indicator

This section describes how to edit and update the existing Key Indicator. You can edit a Key Indicator when it is in *Draft* or *In Review* status.

You can edit the following fields in Draft or In Review status:

- Name
- Description
- Frequency
- Start Date
- Owner
- KI Value Capturer
- Caution User
- Critical User
- Review Required
- Reviewer
- Comments
- Business Line
- Location
- Risk Event Type
- Cause Category
- Comments

To edit a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator ID from the Key Indicator Search and List page. The Key Indicator Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Key Indicator Details page.

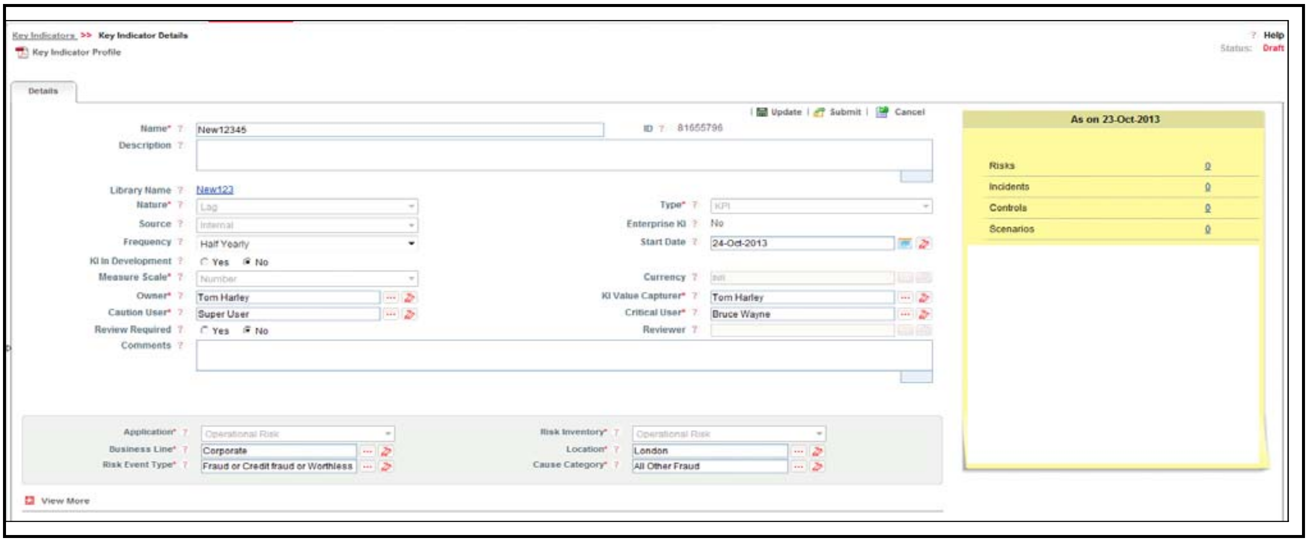


Figure 77. Editing of a Key Indicator

4. Modify the necessary information. For more information about the Key Indicator Details page, refer *Table 17*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*.
6. Click **OK** to confirm the changes. The updated Key Indicator Details page is displayed.

Viewing Additional Information

The Additional Information section allows you to view the general details of components linked to a particular Key Indicator Library .

To view a Key Indicator's additional information, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select the required Key Indicator ID. The Key Indicator Details page is displayed with the Additional Information section.

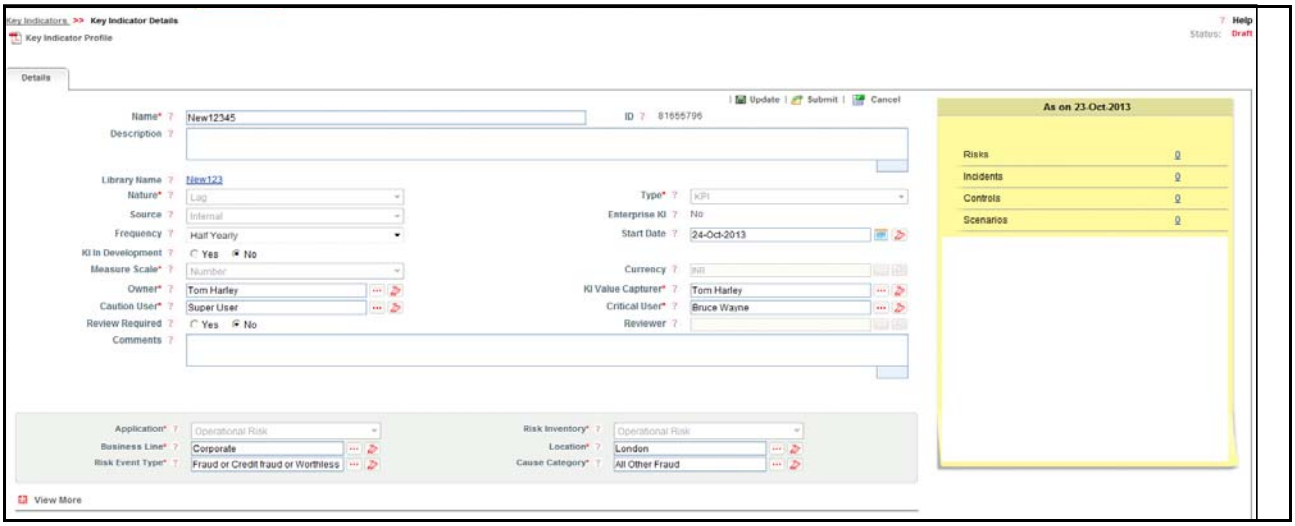


Figure 78. Additional Information and Metrics section

The following table describes the fields of Metrics section.

Table 27. Fields of Metrics

Name	Description
Risks	Count of risks attached to the Key Indicator
Controls	Count of controls attached to the Key Indicator
Incidents	Count of incidents (Internal and External) attached to the Key Indicator
Scenarios	Count of scenarios attached to the Key Indicator

Attaching and Deleting Documents

The Key Indicator Details page allows you to attach or delete documents related to a Key Indicator. Users mapped to the role of Key Indicator Owner can attach and delete documents related to the Key Indicator.

For more details on attaching and deleting documents, refer to *Chapter 3: Managing General Features, Managing Documents* section.

Viewing Workflow History

The Workflow History section shows the audit trail of all changes made to Key Indicator details. Users mapped to the role of Key Indicator Owner can view the workflow history.

For more details, refer to section *Chapter 3: Managing General Features, Viewing Audit History* section.

The following table explains the audit entry, the action owner, and the status in the Workflow History section.

Table 28. Audit Entry in Workflow History section

Pre-action Status	Post Action Status	Action	Action Taker	Audit Entry
New	Draft	Save Key Indicator	Key Indicator Identifier/ Key Indicator Owner	Key Indicator Created
Draft	Draft	Save Draft Key Indicator	Key Indicator Owner	Key Indicator details updated
Draft	Open	Submit	Key Indicator Owner	Key Indicator Submitted
Open	In Review	Review	Key Indicator Owner	Key Indicator submitted for review
In Review	Open	Submit	Key Indicator Reviewer	Key Indicator details reviewed.
Open	Close	Close	Key Indicator Owner	Key Indicator closed

Managing Measure and Formulas

The Key Indicator Details page allows you to update the Measure and Formula details. This option is enabled only if the Key Indicator Library's Enterprise KI field is set as No. Users mapped to the role of Key Indicator Owner can update Measure details in *Draft or In Review* status.

Note: It is mandatory to have at least one Measure for a Key Indicator.

Updating Measures in Formula

To update the Measure in the Formula for a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click the Key Indicator ID. The Key Indicator Details page is displayed.
3. Expand the **View more** section.
4. Click **Measures and Formula**. The Measures and Formula section is enabled.
5. Under the Measure and Formula section, click **Edit**. The Measure and Formula page is displayed.

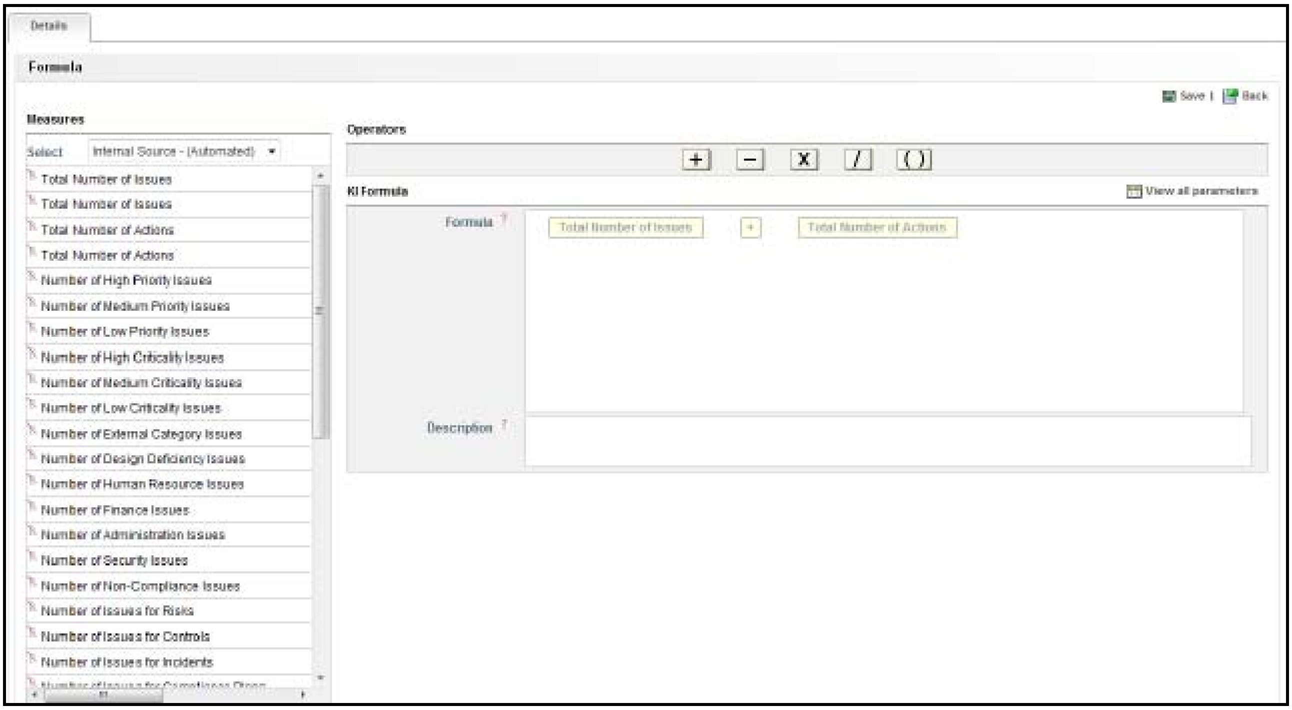


Figure 79. Measures and Formula Page

6. This page is divided into following three sections:
   - **Measures**: Measures are classified as Manual or Automatic. This includes the list of Measure Names and pre-defined filters (to enter the conditions), which you can use for Formula calculation. To use a measure in the formula, double click on the corresponding measure. If the measure has parameters associated with it, a window is displayed to accept the filter values for the selected measure. You can view the associated parameters of all measures using the **View all Parameter**. You can also enter numbers in the formula if required.
   - **Opeartors**: This section includes the Plus, Minus, Multiply, Divide, and Bracket operators to perform the calculation.
   - **KI Formula**: This the placeholder to define the formula.
7. Select the type of Measure from Select drop-down list (Internal Source - Manual, External Source - Manual, Internal Source - Automatic, or External Source - Automatic).
8. Double-click the Measure Name to add it to the Formula. Use Filters for the Measure, if applicable.

   Note: You can erase the defined measure values for the Filter.
9. Use the required operator to frame the formula.
10. Click **Save**. A confirmation message is displayed: *Add Operation Successful.*
11. Click **Ok**. Click **Back** to go back to the Key Indicator Details Page to view the Formula.

Note: To delete a measure from the Formula, select the measure and press **Delete** from the keyboard. You can move the measures in the KI Formula section (using Cut, Copy, or Paste).

Managing Threshold Limits

This section enables the Key Indicator Owner to define the thresholds for which the Key Indicator is being created. The thresholds can be defined for Numbers, Percentages, and Amounts as captured in the details. The values generated at each Business Unit as per the assessments/aggregations will compare the values against the thresholds defined here and generate a rating correspondingly.

This section covers the following topics:

- Adding Limits
- Editing Limits
- Deleting a Threshold Limit
- Viewing Rating Scale

Adding Limits

To add a Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click a Key Indicator ID. The Key Indicator Details page is displayed.
3. Expand the **View more** section. The Threshold Limit section is displayed.
4. Click **Define Limits**.
5. A new row will be added with the Lower Limit, Upper Limit and Score columns.

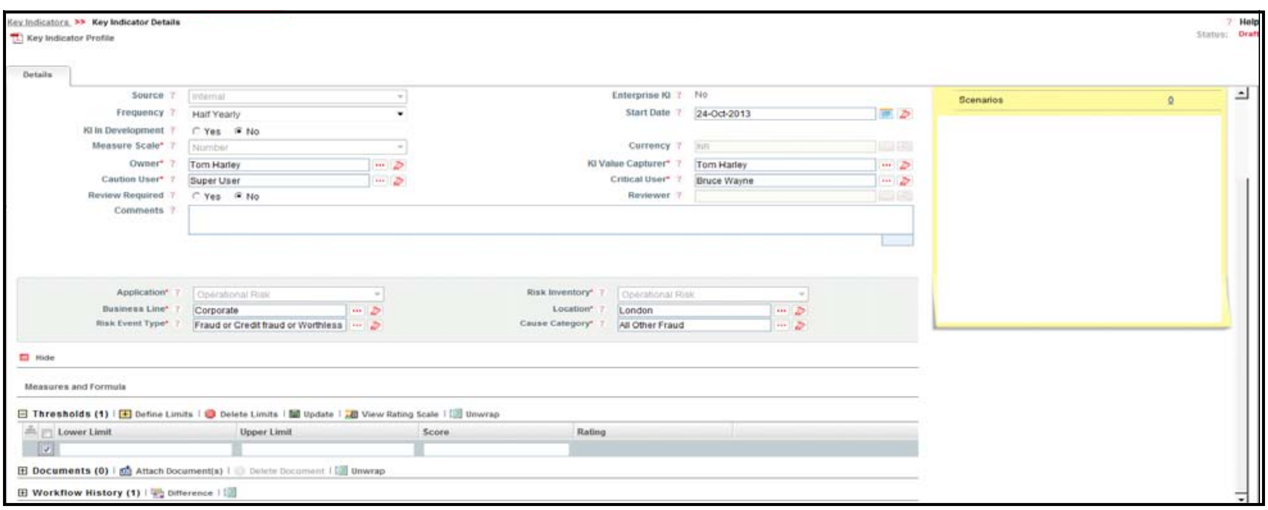


Figure 80. Defining Threshold Limits

> **Note:** The Lower and Upper Limits accept only numeric inputs without decimals. You can enter a maximum of 15 digits. The Score field accepts the range (numeric values) as defined in the KI Admin window.

6. After entering details, click **Update** to save the details.
7. A confirmation message is displayed: *Update Operation Successful*.
8. Click **OK**.

Note: If you are trying to submit a Key Indicator without defining the Threshold Limits, the following message is displayed: *Lower Limit, Upper Limit and Score are mandatory to save the Thresholds*. The Lower Limit should not be equal to Upper Limit, or the following error message is displayed: *Overlapping ranges are not permitted*.

Editing Limits

To edit the Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click a Key Indicator ID. The KI Details page is displayed.
3. Expand the **View more** section.
4. The Threshold Limit section is displayed.
5. Select the limit using the corresponding check-box.
6. Edit the details as required and click **Update** to save the details.
7. A confirmation message is displayed: *Update Operation Successful*.
8. Click **OK**.

Deleting Threshold Limit

To delete a Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click a Key Indicator ID. The KI Details page is displayed.
3. Expand the **View more** section. The Threshold Limit section is displayed.
4. Select the limit using the corresponding check-box. You can select more than one Threshold Limit at a time for deletion.
5. Click **Delete Limit**. The following the confirmation message is displayed*: Are you sure you want to delete this record?*
6. Click **OK**. The following message is displayed: *Delete Operation Successful*.
7. Click **OK**.

Viewing Rating Scale

To view a Rating Scale, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click a Key Indicator ID. The KI Details page is displayed.
3. Expand the **View more** section.
4. The Threshold Limit section is displayed.
5. Click **View Rating Scale**. The Rating Scale window will display. This shows the relationship between the Rating and corresponding Score as defined in the Admin window.

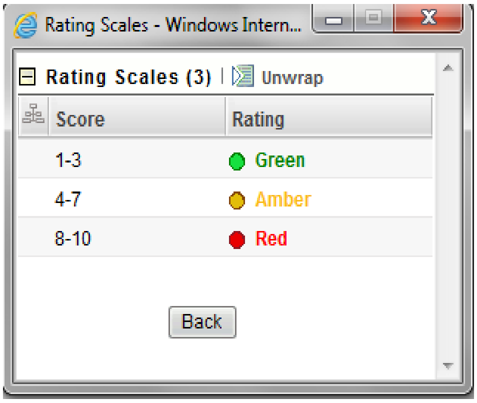


Figure 81. Viewing Rating Scales

Managing KI Metrics

The KI Metrics page allows users to create and generate the Key Indicator metrics for a Business Unit. Only users mapped to the Value Capturer role can access this page in *Open* status.

The KI Metrics generated for the Key Indicator at the selected Business Line and Location are displayed in the Key Indicator Metrics section. By default, the Key Indicator Metrics shows the summary of all KI Metrics created for the Key Indicator record, but you can view maximum five records at a time.

This section covers the following topics:

- Creating KI Metrics
- Editing KI Metrics
- Reviewing KI Metrics
- Deleting KI Metrics

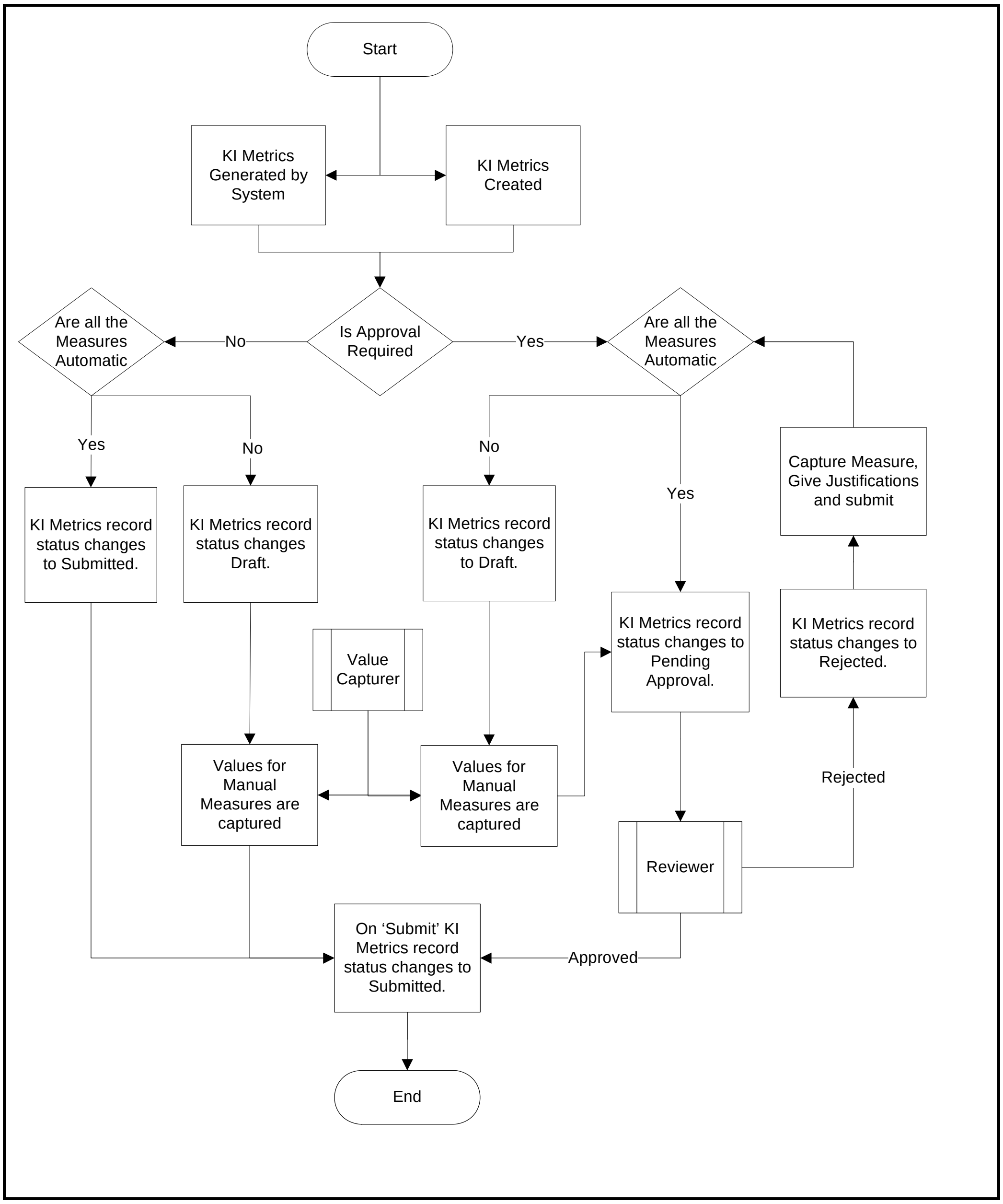


Figure 82. KI Metrics Workflow

The KI Metrics page is divided into the following two sections:

- Key Indicator Metrics
- Measure

The following columns are available in the Key Indicator Metrics.

- **Value Date**: shows the value date of the KI Metrics record.
- **Value**: shows the aggregated value of the KI Metrics record.
- **KI Rating**: shows the rating of the KI Metrics record.

- **Status**: shows the status of the KI Metrics record.
- **Comments**: shows the comments for the KI Metrics record.
- **Thresholds**: shows the thresholds captured as per the day the metrics generated.

When you select KI Metrics, all the measures used in the assessment are populated. The Measure section displays all the measures used in the formula with the corresponding value for each measure.

The Measures section will have the following columns for Automatic and Manual Measure. A Value Capturer cannot edit the value. For an Automatic measure, this field will display the value as per assessment. The Value Capturer can enter the value for Manual measure.

- **Value Description**: shows the description of the measure filter value.
- **Value**: shows the value of the filter applied for generating the selected KI Metrics
- **Computation Status**: shows whether the computation of an automatic measure has been a Successful or not. For an automatic measure, the status displays either success or failure.

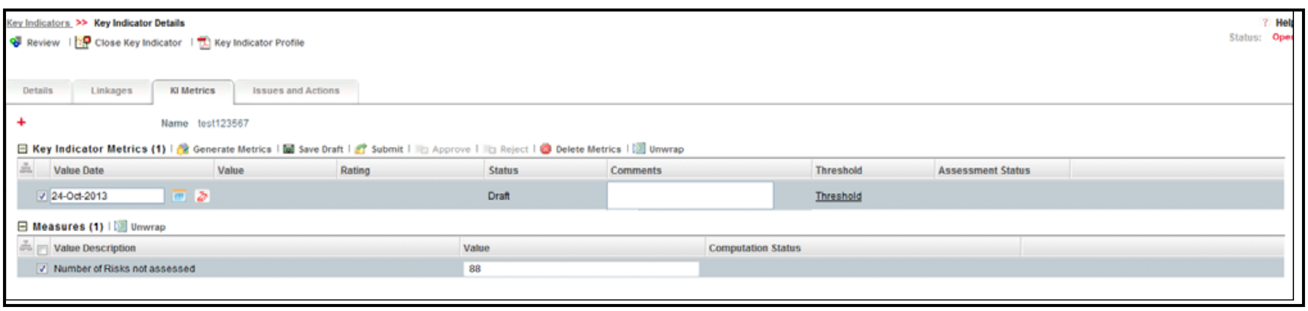


Figure 83. KI Metrics for Manual Measure

Creating KI Metrics

The KI Metrics page allows users to create Key Indicator metrics for a Business Unit. Only users mapped to the Value Capturer role can generate KI Metrics in *Open* status.

To create KI Metrics, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **KI Metrics**. The KI Metrics page is displayed.
4. Click **Generate Metrics**. A message is displayed: *Update Operation Successful*. Click **Ok**. A new row will be added in the Key Indicator Metrics section.

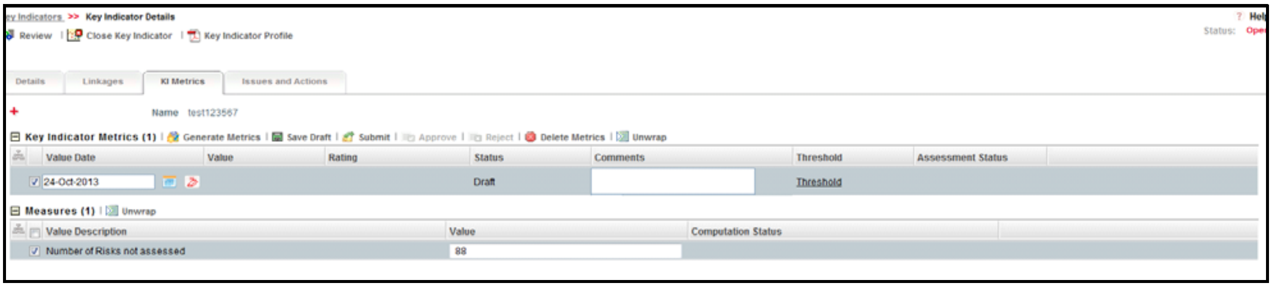


Figure 84. Creating Metrics

5. Edit the following columns in the **Key Indicator Metrics** section:

Table 29. Components of Key Indicator Metrics Page

Fields	Description
Value Date	Select the Value date from calendar.
Comments	Enter the comment, if applicable. You can enter maximum 3000 characters in this field.

Note:

- The Value Date should be greater than the Start Date of KI or a message is displayed: *Value date should be greater than the KI Start date.*
- The Value Date should be less than the Current Date or a message is displayed: *Value date cannot be greater than today.*
- The Value Date should not be blank or a message is displayed: *Please select a Value date on which the metrics need to be generated.*
- If you trying to submit KI Metrics without entering the value in the Value field (under the Measure section for Manual Measures), then a message is displayed: *Please enter a value for the manual measures defined in the formula.*
- If you have defined the formula as A/B and the value for Measure B is blank, then a message is displayed: *The denominator of the formula cannot be a null value.* Enter the value in the **Value** field under the **Measure** section for the Manual Measure.

6. Click **Submit**.

Editing KI Metrics

You can edit the details of KI Metrics in Draft or Rejected status. Users mapped to the Value Capturer role can access this page.

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **KI Metrics**. The KI Metrics page is displayed.
4. Select the KI Metrics and edit the details as required.
5. Click **Submit**, if you want to submit the KI Metrics for Review. Or click **Save Draft** to save the KI Metrics details. The Key Indicator goes for review, if it is selected as *Review required*.

For more information, refer to *Creating KI Metrics* section.

Reviewing KI Metrics

KI Metrics in Pending Approval status (Key Indicator's status is Open) can be reviewed by a Key Indicator Reviewer.

To review KI Metrics, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **KI Metrics**. The KI Metrics page is displayed.
4. Enter your comments and click **Approve** or **Reject**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**.

   Note: If the reviewer approves the KI Metrics, its status is set to *Completed*. If not, the status is set to *Rejected* after rejection.

Deleting KI Metrics

KI Metrics are in Draft status (Key Indicator's status is Open) can be deleted by a Value Capturer. Only the Value Capturer of the Business Line and Location combination can delete KI Metrics in Draft status.

Note: You cannot delete KI Metrics records which are generated by system.

To delete KI Metrics, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a **Key Indicator ID**. The Key Indicator Details page is displayed.
3. Click **KI Metrics**. The KI Metrics page is displayed.
4. Select the KI Metrics, which you want to delete.
5. Click **Delete Metrics**. A confirmation message is displayed: *Are you sure you want to delete the selected record?*
6. Click **OK**. The following message is displayed: *Delete Operation Successful*.
7. Click **OK**.

Managing Linkages

The Linkages tab allows you to link or delink the different entities to Key Indicator records. In *Open* or *In Review* status, you can link or delink the linkages.

Users mapped to the role of Key Indicator Owner can access the Linkages tab.

The Linkages tab displays the following sections:

- **Risks**: Allows you to link or delink the risk that is asscoicated to the Key Indicator.
- **Controls**: Allows you to link or delink the control with the Key Indicator
- **Incidents:** Allows you to link or delink Incident with the Key Indicator.
- **Scenarios:** Allows you to link or delink a Scenario with the Key Indicator.

- **Process:** Allows you to link or delink a Process with the Key Indicator.

  Note: The columns in each of the sections are the same as available in the respective Search and List page.

To link or delink Risks, Controls, Incidents, Scenarios, or Processes, follow these steps:

1. Navigate to the Key Indicator Details page.
2. Click **Linkages**. The Linkages page is displayed.

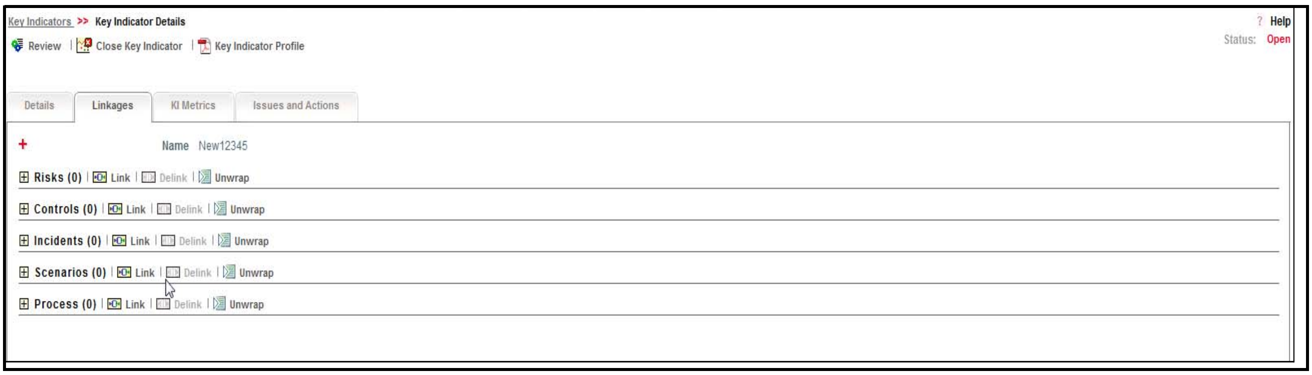


Figure 85. Linkage Tab

Managing Issues and Actions

An issue is a problem statement and actions are plans or activities taken up to resolve those issues. You can create, link and delink, and delete issues and actions associated to the Key Indicators.

This section covers the following topics:

- Creating Issues
- Creating Actions through Issues
- Creating Actions Directly
- Linking and Delinking Issues and Actions
- Deleting an Action
- Closing Issues and Actions

Creating Issues

When you identify a particular issue or a problem statement that poses as an operational risk to an organization, you can create issues and subsequently create necessary action plans to resolve or address those issues.

Users mapped to the role of Key Indicator Owner can create issues from the Key Indicator module.

Note: The Key Indicator must be in *Open or Draft* status to create Issues.

To create an Issue, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **Create Issue.** The Issue Details page is displayed.

For more information on fields in the Issue Details page, refer to *Chapter 7, Managing Issues and Actions*.

If an issue is initiated from the Key Indicator section, the Component field in the Issue Details page displays as Key Indicator and the Primary Source field displays the Key Indicator Name.

Creating Actions through Issues

When an organization wants to record recommended action plans to address a particular issue that has occurred they can create action plans.

Users mapped to the role of Key Indicator Owner can create issues from the Key Indicator module.

Note: The Key Indicator must be in Open or Draft status to create Issues.

For more information on Creating Actions for Issues, refer to *Chapter 7, Managing Issues and Actions*.

Creating Actions Directly

You can directly create Actions if Issue Creation is turned off. This feature is configured during the installation of the OFSERA application or can be configured later.

Users mapped to the role of Key Indicator Owner can create actions from the Key Indicator module.

Note: To create actions directly, the Key Indicator must be in Open status.

To create actions directly, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **Create Actions**. The Actions Details page is displayed.

   For more information on Creating Actions for Issues, refer to *Chapter 7, Managing Issues and Actions*.

   If an Action is initiated from the Key Indicator section, the Component and Primary Source fields in the Actions Details page display as Key Indicator and Key Indicator Name respectively.

Linking and Delinking Issues and Actions

The Issues and Actions tab allows you to link and delink issues and actions to Key Indicators. You can link existing issues or actions to the Key Indicator. If the issue or action is created from the Key Indicator module, the issue or action will be automatically shown in the issue or action list of the Key Indicator.

Users mapped to the role of Key Indicator Owner can create issues from the Key Indicator module.

Note: The Key Indicator must be in *Draft or Open* status to link or delink the Issues.

If Issue creation is turned off, then Actions can be linked directly to a Key Indicator.

To link or delink an Issue or Action, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click a Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **Issues and Action** tab. The Issues and Actions section is displayed.

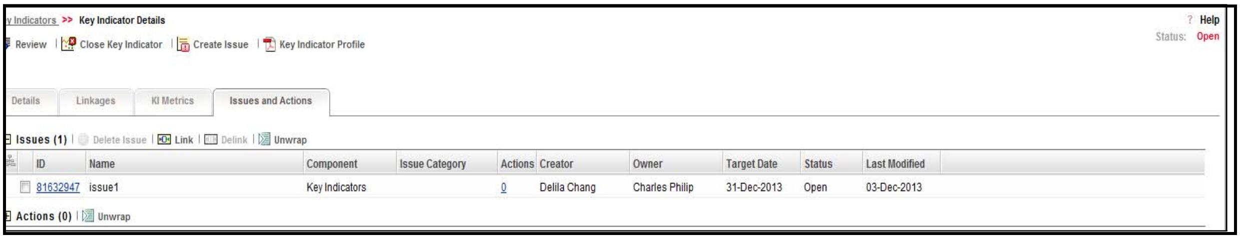


Figure 86. Issues and Actions Tab

Deleting an Issue

Users mapped to the role of Key Indicator Owner can delete issues in Open or Draft status if they are not applicable to the business or an organization.

Deleting an Action

The Key Indicator section allows you to delete action plans in *Open or Draft* status. Users mapped to the role of Key Indicator Owner can delete Actions in Draft status if Issue Creation is turned on.

If Issue Creation is turned off, users mapped to the role of Key Indicator Owner can delete *Open or Draft* Actions linked to Key Indicators.

For more information about deleting Issues and Actions, refer to *Chapter 7, Managing Issues and Actions*.

Closing Issues and Actions

Actions can be closed once they are complete. If all the actions for an Issue is addressed, then Issues can be closed. If an Action is abandoned mid-way, it can be force closed. Once all the actions are closed, Issue can be closed. Only users mapped to the role of Action Owner can close or force close actions. Only an Issue Owner can close Issues.

For more information on closing Actions for Issues, refer to *Chapter 7, Managing Issues and Actions*.

Reviewing Key Indicator

A Key Indicator in In Review status can be reviewed by a Key Indicator Owner. Only the Key Indicator Owner of the Business Line and Location combination can review Key Indicator in In Review status.

Note: The user mapped to the role of Key Indicator Owner can review the Key Indicators, and edit the following fields:

- Name
- Description
- Owner
- KI Value Capturer
- Critical User
- Caution User
- Comments
- Business Line
- Location

- Risk Event Type
- Casue Category
- Threshold Limits
- Measures
- Formula

To review a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator in In Review status. Alternatively it can also be selected from the Inbox. The Key Indicator Details page is displayed.

   Note:

   - You can create or link Issues for the Key Indicators.
   - You can edit the Key Indicator's editable fields.
   - You can update the KI Metrics.
   - You can attach the documents through the Documents tab.
3. Click **Review**.

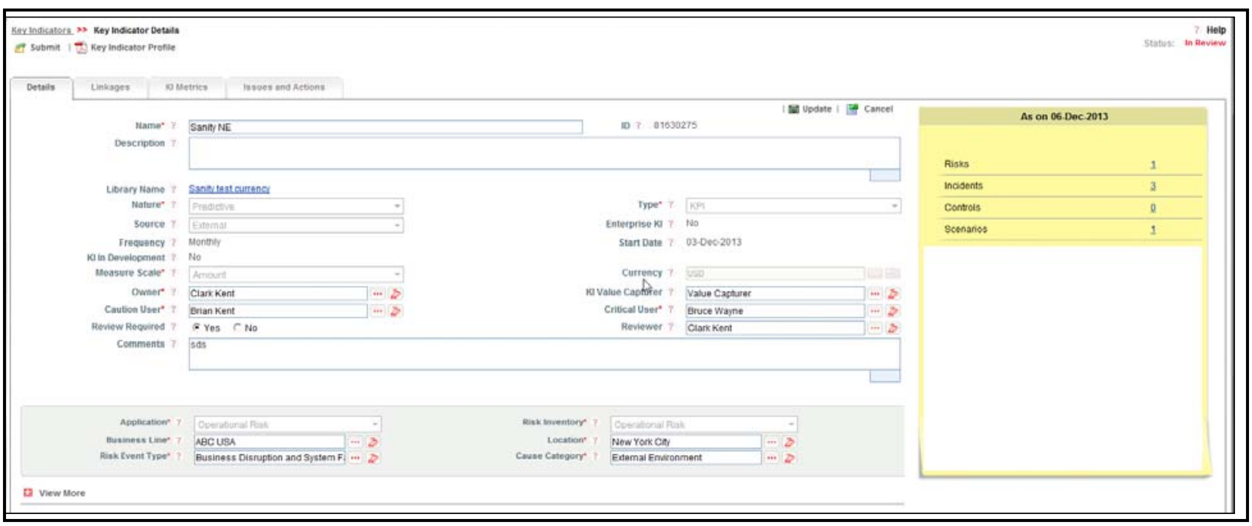


Figure 87. Reviewing the Key Indicator

4. Enter your comments and click **Submit.** The following message is displayed: *Update Operation Successful.*
5. Click **OK**.
6. Click **Back** to go back to the Key Indicator Details page.

Note: If the reviewer accepts the review of the Key Indicator, its status is set to *Open*.

Deleting Key Indicator

OFSERA allows you to delete Key Indicator records at the Business Unit. Users mapped to the role of Key Indicator Owner can delete a Key Indicator in *Draft* status.

To delete a Key Indicator at the Business Unit, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select the Key Indicator ID you want to delete.
3. Click **Delete Key Indicator**. The following message is displayed: *Are you sure you want to delete this record?*
4. Click **OK**. The following message is displayed: *Delete Operation Successful.*
5. Click **OK**. The Key Indicator is deleted and the updated Key Indicator Library Search and List page is displayed.

Exporting Key Indicator List into Excel

Exporting Key Indicator details allows you to view a compiled list of all the Key Indicator records.

The Key Indicator Search and List page allows you to export the Key Indicator list into an Excel, Word or template. The Key Indicator details can be exported to a PDF for offline use.

For more details on exporting Key Indicators, refer *Chapter 3: Managing General Features, Exporting Records* section.

Viewing Internal Key Indicator Profile

You can view Key Indicator details in a PDF.

To view the Key Indicator details in a PDF, follow these steps:

1. Navigate to Key Indicator Search and List page.
2. Select a Key Indicator ID to view the KI Details page.
3. Click **Key Indicator Profile** in the Action section. A File Download Box is displayed.

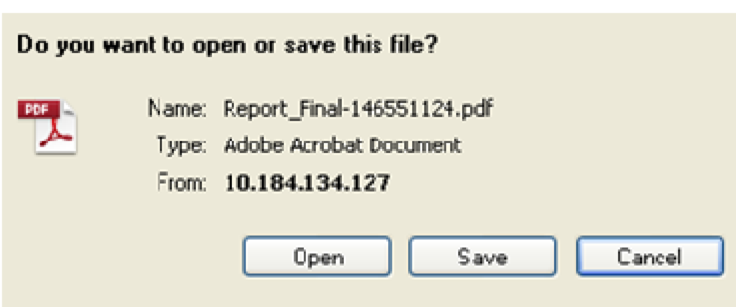


Figure 88. File Download Box

4. Click **Open** in the File Download Box. A PDF report opens displaying the Key Indicator details.
5. Click **Save** in the File Download Box to save the PDF report generated in your local system.

CHAPTER 6 Managing Risk Appetite Assessment

This chapter provides information about Risk Appetite Assessment in the Oracle Financial Services Enterprise Risk Assessment application and step-by-step instructions to use this section.

This chapter includes the following topics:

- About Risk Appetite Assessment
- User Roles and Actions
- Tasks and Notifications
- Risk Appetite Assessment Workflow
- Creating a Risk Appetite Assessment
- Managing Risk Appetite Assessment Details
- Calculation of Rating for the Risk Appetite Assessment

About Risk Appetite Assessment

The Risk appetite assessment allows a user to measure the current risk levels within the organization for each Risk Appetite Assessment. This is based on the values to the Key Indicators, comparing them against limits set and computing the risk appetite scores.

Salient Features

The Risk Appetite Assessment provides the following features to help organizations manage their risk:

- Capturing and storing Risks Appetite Assessment
- Measuring risk level in the organization

User Roles and Actions

This section explains the different user roles and actions they can perform in the Risk Appetite module of the ERA application. This section covers the following topics:

- User Roles
- Actions

User Roles

This module is designed for the user mapped to the role of Risk Appetite Analyst.

- **Risk Appetite Assessor:** The Risk Appetite Assessor identifies the Risk Assessment for an organization and creates a new Appetite Assessment.This user is responsible for creating and editing the risk appetite assessment. In addition, the responsibilities include, deleting risk appetite assessment and entering value for manual measures.
- **Value Capturer:** The Value Capturer edits Risk Appetite Assessment and enters value for manual measures.

Actions

The above mentioned user perform the following actions:

- **Creating Risk Appetite Assessment:** This action allows a Risk Appetite Assessor to create a new risk appetite assessment.
- **Editing Risk Appetite Assessment:** This action allows Risk Appetite Assessor and Value Capturer to edit Risk Appetite Assessment and editing can be performed only on manual measures.
- **Deleting Risk Appetite Assessment:** This action allows Risk Appetite Assessor to delete the Risk Appetite Assessment.
- **Entering Value for Manual Measures:** This action allows Risk Appetite Assessor and Value Capturer to enter the value for manual measures.

Table 30. User Roles mapped to corresponding Actions

Function	Status	Roles	
		Risk Appetite Assessor	Value Capturer
Create Risk Appetite Assessment	New	X	
Edit Risk Appetite Assessment	Draft	X	X
Delete Risk Appetite Assessment	Draft	X	
Enter value for manual measures	Draft	X	X

Tasks and Notifications

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

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

Table 31. Task and Notifications

Action Performed	Task/Notification	Task/Notification To
New assessment in Completed status	Notification	Risk Appetite Definition Owner
		Risk Appetite Assessors
		Strategic Objective Owners
		Key Indicator Owners
New assessment in Draft status (Batch execution)	Notification	Risk Appetite Definition Owner
		Risk Appetite Assessors
		Strategic Objective Owners
		Key Indicator Owners
New assessment in Draft status (Assess Button)	Notification	Risk Appetite Definition Owner
		Strategic Objective Owners
		Key Indicator Owners
Assessment in Draft status	Task	Value Capturer

Risk Appetite Assessment Workflow

The following figure describes the Risk Appetite Assessment workflow:

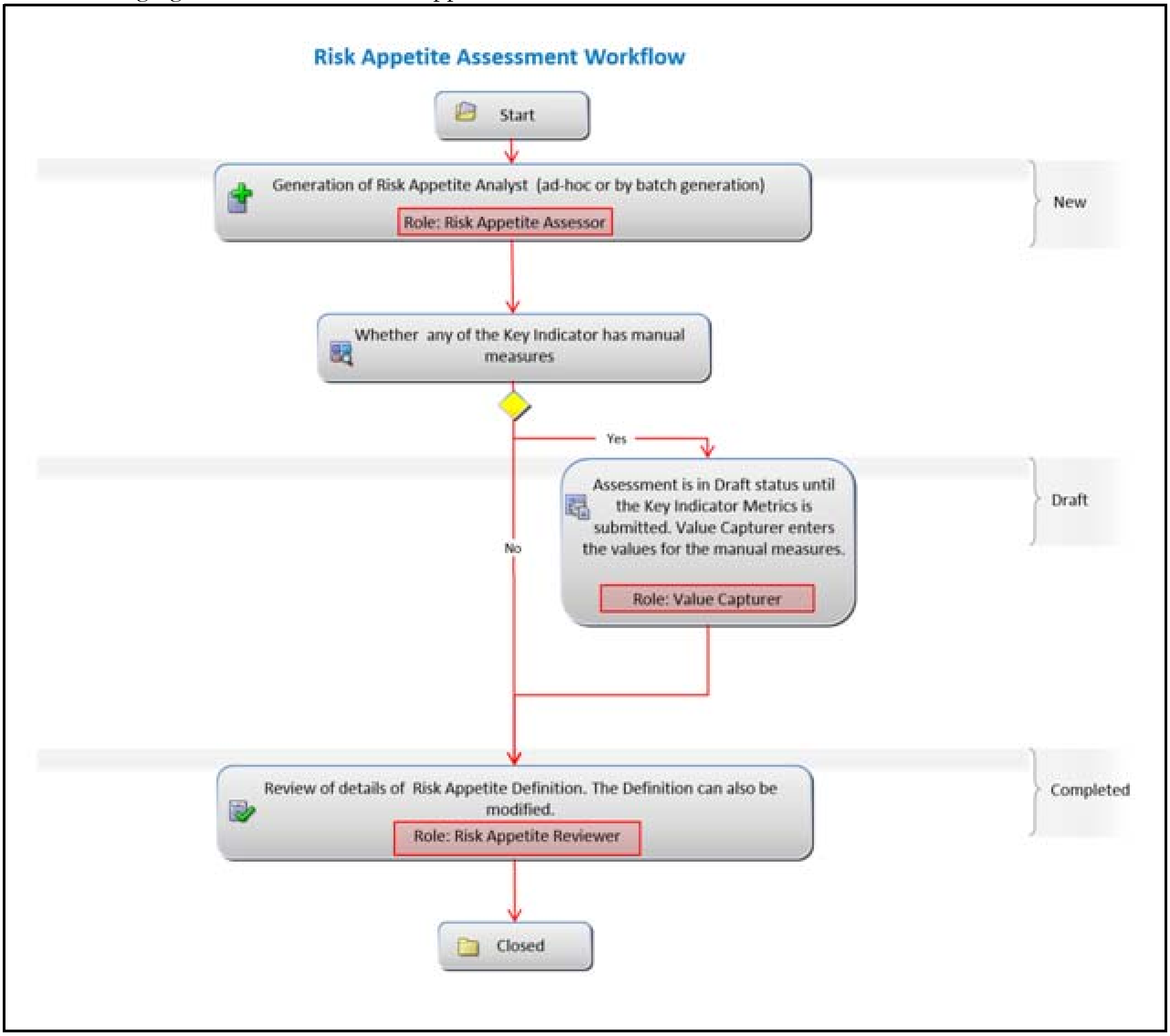


Figure 89. Risk Appetite Assessment Workflow

Searching Risk Appetite Assessment

The Risk Appetite Assessment search and list page allows you to filter the definition that you want to view and analyze. The Risk Appetite Assessment search bar supports three types of search-Basic Search, Search by Views, and Advanced Search.

This section explains the following topics:

- Searching Risk Appetite Assessment using Basic Search
- Searching Risk Appetite Assessment using Advanced Search

- Searching Risk Appetite Assessment Using Pre-defined Views

Searching Risk Appetite Assessment using Basic Search

This search is based on a limited set of search criteria such as ID and Name. This helps to retrieve the relevant Risk Appetite Assessment list.

To search for a Risk Appetite Assessment using Basic Search, follow these steps:

1. Navigate to the Risk Appetite Assessment Search and List page.

Figure 90. Searching Risk Appetite Assessment Using Basic Search

> **Note:** By default, the Risk Appetite Assessment Search and List page displays all Risk Appetite Assessment.

2. Enter the following search criteria in the Basic Search fields to filter the Risk Appetite Assessment list.

Table 32. Basic Key Indicator Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the Risk Appetite Assessment. This fields allows you to enter maximum of 30 numeric values and supports wildcard search.
Name	Enter the name of the Risk Appetite Assessment. This field allows you to enter a maximum of 300 characters and supports wildcard search.

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

> **Note:** If the entered search criteria do not match, the following message is displayed: *No Data Found for this Search Criteria*.

Searching Risk Appetite Assessment using Advanced Search

Advanced search offers the same search fields as provided for a simple search along with additional fields. If you know Risk Appetite Assessment details such as ID, Name, Status, and so on, you can filter the Risk Appetite Assessment very specifically using the Advanced Search criteria.

To search Risk Appetite Assessment using Advanced Search, follow these steps:

1. Navigate to the Risk Appetite Assessment Search and List page.
2. Click **Advanced Search** from the Search section. The Advanced Search fields are displayed.

Figure 91. Searching Risk Appetite Assessment Using Advanced Search Criteria

3. Enter the search criteria to filter the Risk Appetite Assessment list.

Table 33. Advanced Risk Appetite Assessment Search Criteria

Criteria	Description
ID	Enter the sequential tracking number of the Risk Appetite Assessment. This field supports wildcard search.
Name	Enter the name of the Risk Appetite Assessment. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Owner	Select the Risk Appetite Assessment owner from the hierarchy browser.
Version No.	Enter the sequentially generated version number of the Risk Appetite Assessment.
Status	Select the Risk Appetite Assessment status from the multi-select drop-down list. Following are the possible values for Status drop-down list: ● Select All ● Draft ● Close ● Open **Note:** You can select more than one option at a time, from the drop-down list.
Last Modified By	Enter the name of the user who last edited the Risk Appetite Assessment.
Start Date	Enter the start date for the assessment of the Risk Appetite Assessment.
End Date	Enter the end date for the assessment of the Risk Appetite Assessment.
Frequency Number	Enter the date on which the Risk Appetite Assessment was last edited.

4. Click **Go**. The relevant search list is displayed.
5. Click **Clear** to reset the search fields.

   Note: The application provides a Save Search button in the Advanced Search section that allows you to save your search criteria, which can be selected from the pre-defined views.

   Note: If the entered search criteria do not match, the following message is displayed: *No Data Found for this Search Criteria.*

Searching Risk Appetite Assessment Using Pre-defined Views

A Views search represents the pre-populated search queries. The Views search option allows you to search and filter the list based on the predefined search criteria.

To search for a Risk Appetite Assessment using the Views search option, follow these steps:

1. Navigate to the Risk Appetite Assessment Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

Figure 92. Searching Risk Appetite Assessment Using Views

3. Select any of the pre-defined views from the Views drop-down list. The relevant search list page is displayed.

Creating a Risk Appetite Assessment

The Risk Appetite Assessment allows user to measure the current risk levels within the organization for each Risk Appetite Assessment in order to achieve their intended goals. The Risk Appetite Assessment Search and List page allows you to create new definition.

User can create Risk Appetite Assessment two ways, “Automatically” and “Manually”.

Creating Risk Appetite Assessment Automatically

In this method, the Risk Appetite Assessment is created automatically by the scheduler in the application once all the definitions are saved properly

Creating Risk Appetite Assessment Manually

In this method the user can create the Risk Appetite Assessment manually. To create a Risk Appetite Assessment manually, follow these steps:

1. Navigate to the Risk Appetite Definition Search and List page.
2. Click the **ID** which is in *Open* status, the Risk Appetite Details page is displayed.
3. Click **Assessment** tab, the Risk Appetite Definition Details page is displayed.

Risk Appetite Assessment (7)

Delete | Unwrap

ID	Name	Owner	Version	Frequency	Assessment Rating	Status	Last Assessed On
1000	trgh	Risk App ...	2			New	
1021	trgh	Risk App ...	2			Draft	07-Oct-2014
1004	trgh	Risk App ...	2			Draft	07-Oct-2014
1018	trgh	Risk App ...	2			Draft	07-Oct-2014
1008	RAD_h	Risk App ...	1			Draft	07-Oct-2014
1024	RAD_h	Risk App ...	1			Draft	07-Oct-2014
1029	RAD_h	Risk App ...	1			Draft	07-Oct-2014

Figure 93. Searching Risk Appetite Assessment Manually

4. Click Assess Appetite Definition to create a new Risk Appetite Assessment.

Managing Risk Appetite Assessment Details

The Appetite Assessment Details page allows you to manage various tabs and functionalities of the Appetite Assessment.

The Details tab displays detailed information about the Risk Appetite Assessment and allows you to perform following tasks:

- Deleting Risk Appetite Assessment
- Entering Values for Manual Measures

Deleting Risk Appetite Assessment

To delete the Risk Appetite Assessment, follow these steps:

1. Navigate to the Risk Appetite Assessment list page.
2. Select the **ID**.

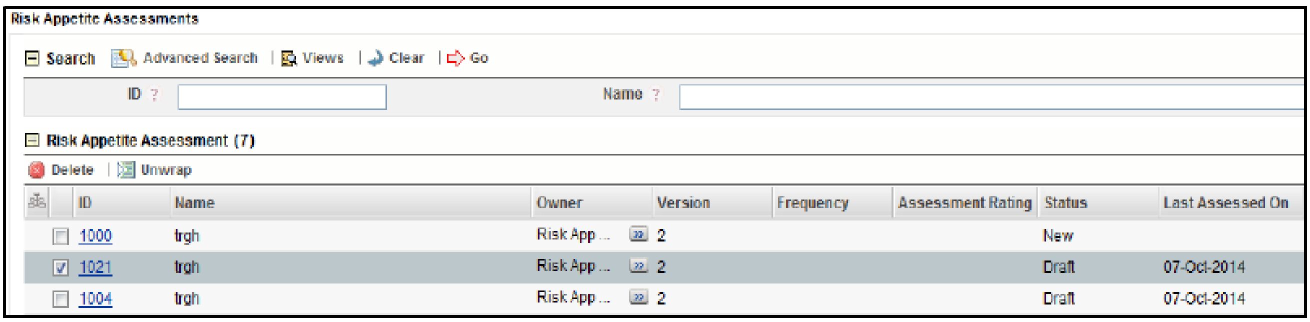


Figure 94. Deleting Risk Appetite Assessment

3. Click **Delete**, to delete the Risk Appetite Assessment record.

Entering Values for Manual Measures

To enter the values for Manual Measures, follow these steps:

1. Navigate to the Risk Appetite Assessment page.
2. The Risk Appetite Assessment Details page is displayed.
3. Click the **ID**, which is in *Draft* status.
4. Select the **ID** in Strategic Objectives section.
5. Select the **ID** in the Specific Statement section
6. Select and click the **ID** in the Key Indicator section.

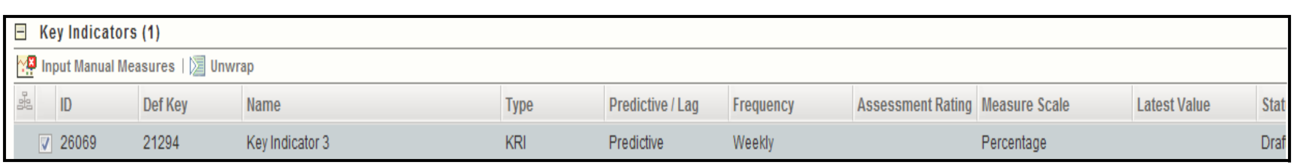


Figure 95. Selecting ID for Entering Values for Manual Measure

7. Click **Input Manual Measures** in the Key Indicators section.

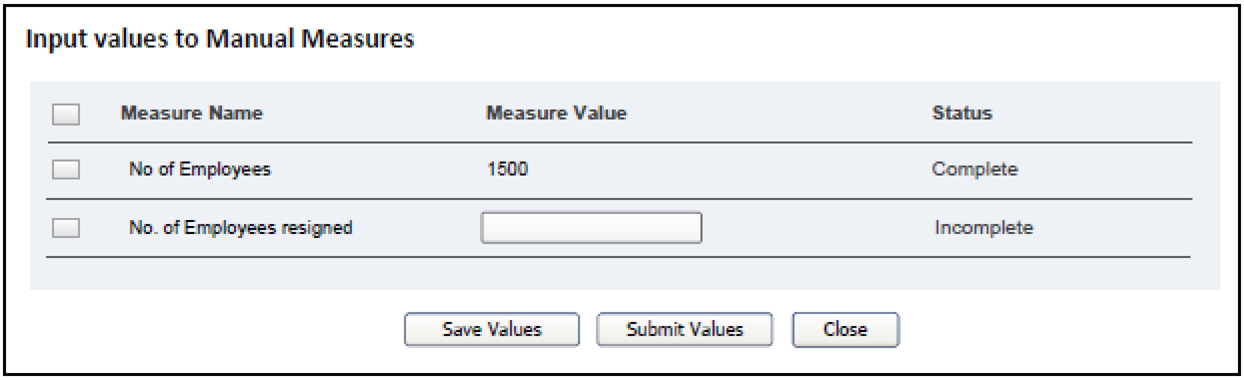


Figure 96. Entering Values for Manual Measure

8. Select the **Measure Name** in the **Input values to Manual Measures** windows, for which you want to enter the value.
9. Enter the value and click **Save.**
10. Click **OK** and then **Submit** to submit the value.
11. Click **Close.**

Note: In the Key Indicator section, if the user is given option as manual measure, then only the user can enter the values for the Risk Appetite Assessment.

Based on the Manual Measures of the Key Indicators, firstly Strategic Objective assessment is calculated, secondly Specific Statement assessment is calculated and finally based on all the values and assessment the Risk Appetite Definition assessment is calculated.

Calculation of Rating for the Risk Appetite Assessment

1. If all the Key Indicators available for a Risk Appetite Definition has automated measures, then the rating for the Risk Appetite Assessment could be calculated as described in the attached sheet:

Microsoft Office
Excel Worksheet

- The status of the Risk Appetite Assessment changes to '*Completed*'.
- The ratings for the Key Indicators is calculated as per the values of the measures and the limits set for each of the Key Indicator.
- The ratings for the corresponding Specific Statements is calculated as per the methodology defined in the above attached detailed sheet.
- The Overall rating for Strategic Objectives corresponding to the Specific Statements must be calculated.

Note: Simultaneously, the ratings for the categories as defined/selected in the Admin Settings also be calculated (for example Risk Rating, Performance Rating)

- Finally, an Overall rating for the Risk Appetite Definition is calculated.

Note: Also, the ratings for the categories as defined/selected in the Admin Settings also be calculated (for example Risk Rating, Performance Rating)

2. If any of the Key Indicators available for the Risk Appetite Definition have **Manual Measures**, then:

- The status of the Risk Appetite Assessment changes to '*Draft*'.
- The Key Indicators which have manual measures, is not having any corresponding rating.
- The Key Indicators which have automated measures, generates the corresponding ratings.
- The ratings for the Key Indicators is calculated as per the values of the measures and the limits set for each of the Key Indicator.
- The ratings for the corresponding Specific Statements is calculated as per the methodology defined in the above attached detailed sheet.

Note: If the Key Indicators have manual measures, then the ratings for the Specific Statements corresponding to such Key Indicators, must not be generated

- The Overall rating for Strategic Objectives corresponding to the Specific Statements must be calculated.

Note: If the Specific Statements do not have ratings generated, then the ratings for the Strategic Objectives corresponding to such Specific Statements must not be generated.

Note: Alternatively for the Strategic Statements with Overall ratings, the ratings for the categories as defined/selected in the Admin Settings must be calculated (for example Risk Rating, Performance Rating).

- Finally, an Overall rating for the Risk Appetite Definition must be calculated.

Note: If the Strategic Objectives do not have ratings generated, then the ratings for the Risk Appetite Definition corresponding to such Strategic Objectives must not be generated.

Note: If Overall Rating is calculated for the Risk Appetite Definition, then the ratings for the categories as defined/selected in the Admin Settings should must be calculated (for example Risk Rating, Performance Rating).

CHAPTER 7 Managing Issues and Actions

This chapter provides information about the Issues and Actions module and step-by-step instructions to use this module.

This chapter explains the following topics:

- About Issues and Actions
- Managing Issues
- Managing Actions

About Issues and Actions

The Issues and Actions module is an integral part of the OFSERA solution. An issue is 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.

Issues can be created either from the Issues and Actions module or from other modules in OFSERA such as Key Indicators and so on, whenever the parameters are alarming and require issue creation. 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. For more information on issues, refer to *Managing Issues* section.

Actions can also be directly created from different modules of OFSERA. Subsequently, the application automatically creates a system generated issue for that particular source and internally maps the created actions to the auto-created issue. For more information on actions, refer to *Managing Actions* section.

Managing Issues

This section covers the following topics:

- About Issue
- User Roles and Actions
- Issues Workflow
- Tasks and Notifications in Issues
- Accessing Issues Menu
- Searching Issues
- Creating Issues
- Managing Issue Details
- Transferring Ownership of an Issue
- Closing an Issue
- Reopening Closed Issues

- Deleting an Issue
- Exporting List of Issues to Excel
- Viewing Issues Profile Report
- Creating Actions from Issues

About Issue

An issue can be identified in any module of OFSERA whenever there is an alarming situation pertaining to that particular module. As a result, the application provides the ability to create issues from various modules and plan for actions accordingly to resolve the issue.

Users mapped to the role of Issue Creator can create issues manually either from the Issues and Actions module or from various other modules in the application. For example, if a Risk Owner user in the Risk Appetite module is mapped to the role of Issue Creator role, then that particular user can create an issue on a risk from the Risk appetite module.

You can create issues either manually or automatically from the following modules in the application:

- Risk Appetite Definition
- Risk Appetite Assessment
- Key Indicators

Salient Features

The following are the salient features of Issues and Actions module:

- Identifying an Issue and creating action plans to address them.
- Creating issues and corresponding actions from various modules, or creating actions directly on identified issues from various modules.
- Reopening closed issues.
- Transferring ownership of issues to a different user
- Exporting the issues list to an excel sheet.

User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

User Roles

This module is designed for users mapped to the roles of Issue Creator, Issue Owner or Action Creator, and Action Owner. Their roles and responsibilities, as they operate within the application, include the following:

- **Issue Creator:** This user is responsible for creating an issue and helping the organization in tracking the progress of an issue till its closure. This user can assign a created issue to an Issue Owner and reopen closed issues.
- **Issue Owner or Action Creator:** This user is responsible for assessing the issue created by the Issue Creator, adding issue details, and creating adequate action plans to resolve the issue. This user can assign a created action to an Action Owner and reopen the completed actions.

Note: Refer *User Roles and Actions*, for more information on user roles specific to Actions menu.

Actions

The User Roles described above can perform the following actions:

- **Creating Issue**: This action allows an Issue Creator to create a new issue identified by an organization.
- **Creating Action**: This action allows an Issue Owner to create new action plans or link existing action plans from the Issue Details page for resolving an issue.
- **Editing Issue**: This action allows an Issue Creator or Issue Owner to edit an issue from the Issue Details page in Draft and Open status respectively.
- **Deleting Issue**: This action allows an Issue Creator to delete an issue in Draft status if the Issue Creator believes that the particular issue is no longer required.
- **Closing Issue**: This action allows either an Issue Creator to close an issue when all the associated actions have been completed.
- **Reopening Issue**: This action allows an Issue Creator to reopen a closed issue.
- **Transferring Ownership**: This action allows an Issue Owner to transfer the ownership of an issue to an appropriate user.
- **Exporting Issue**: This action allows you to export the list of issues to an Excel format.

Issues Workflow

The following figure displays the complete workflow of the Issues module:

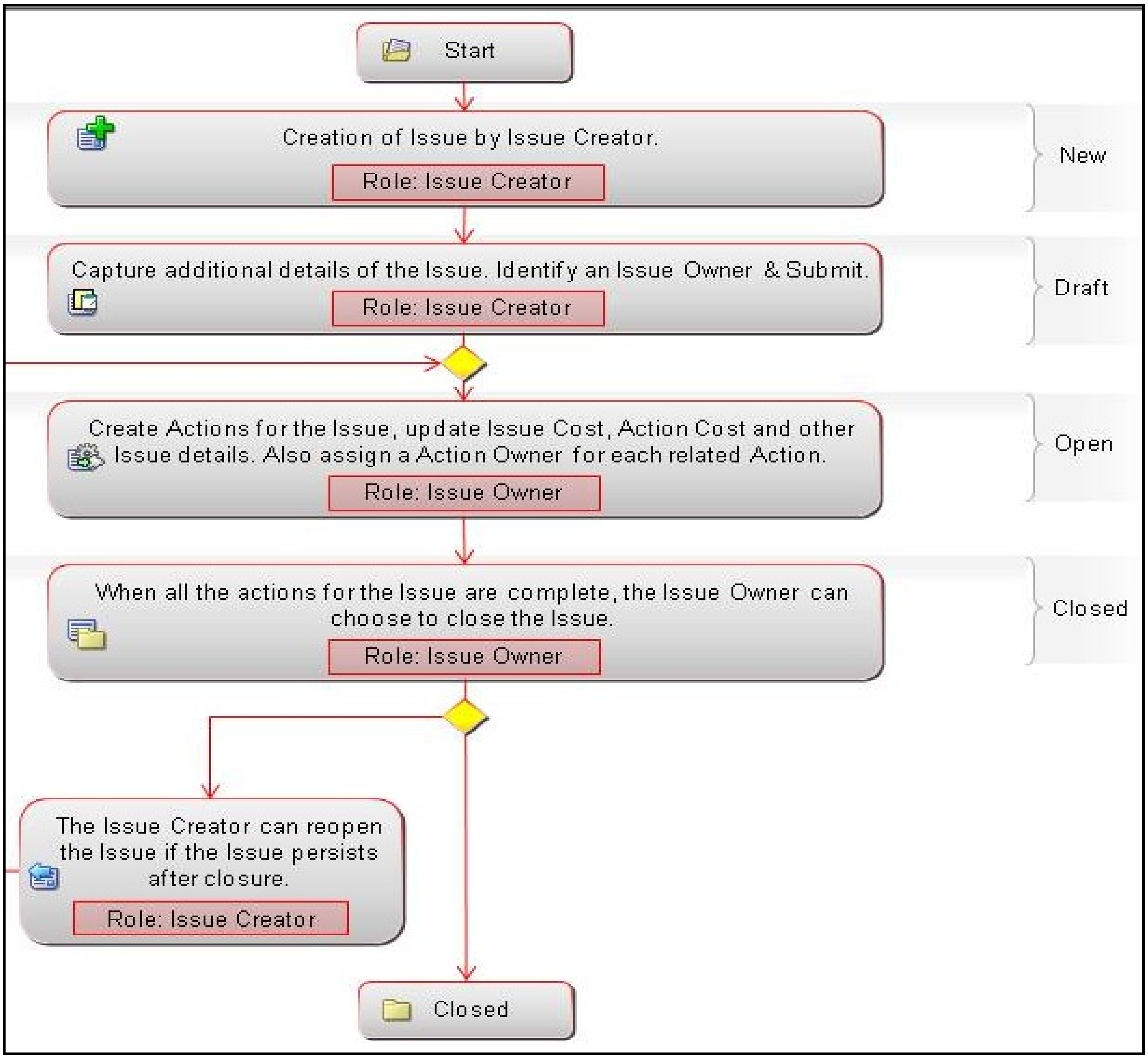


Figure 97. Issues Workflow

Tasks and Notifications in Issues

Tasks are actionable items assigned and sent to a user. By performing these tasks, you complete the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

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

Table 34. Tasks and Notifications

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

Accessing Issues Menu

Users mapped to the role of Issue Creator, Issue Owner, or Action Owner can access the Issues menu. The Issues and Actions module contains the following menus, Issues and Actions.

To access the Issues menu, follow these steps:

1. Login to OFSERA application either as an Issue Creator, Issue Owner, or Action Owner user role.
2. Hover over the **Issues and Actions** menu, and then select **Issues**. The Issues Search and List page is displayed.

   Based on user roles, the Issues Search and List page enables you to set criteria to retrieve issues or actions respectively, the results of which display on the Issues List below the Search bar. The search can be performed either through pre-defined views or by simple search criteria.

Searching Issues

The Issues Search and List page enables you to filter the list of issues that you want to view and analyze. The Issues search bar supports two types of search-Search using Basic Search, and Search by Views.

The Issues List displays a list of issues that meet the criteria specified on the Issues Search bar. The search results are displayed using a default sort criteria of Last Modified Date.

This section explains the following topics:

- Searching Issues Using Basic Search
- Searching Issues Using Pre-defined Views

Searching Issues Using Basic Search

This search is based on limited set of search criteria such as ID and Name, and helps to retrieve the relevant Issues details.

To search for Issues using Basic Search, follow these steps:

1. Navigate to the Issues Search and List page.

   Note: By default, the Issues Search and List page expands the Search option in the Issues search bar and displays all the available issues.

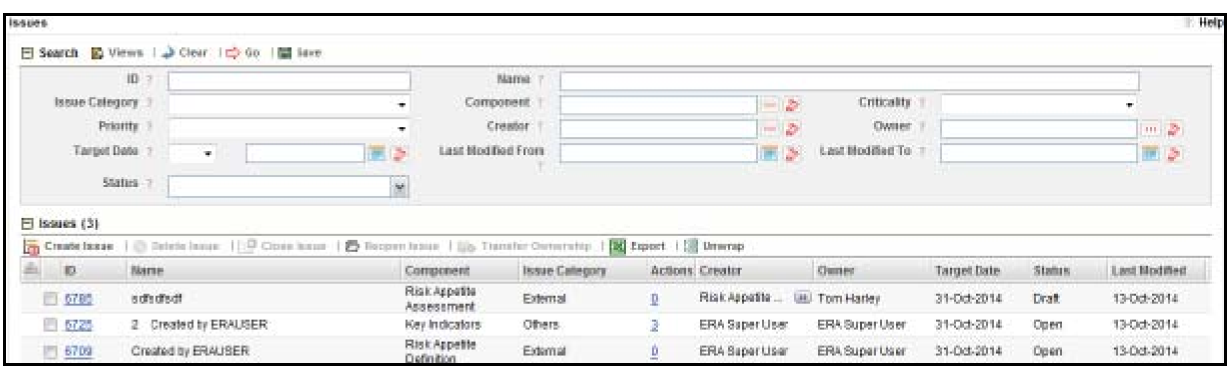


Figure 98. Searching Issues with Basic Search

2. Enter the following search criteria to filter the Issues list.

Table 35. Basic Search

Criteria	Description
ID	Enter the Issue ID in the text field to search for details of the exact issue. You can enter up to 20 digits in this field. If the issue is found, the Issues List displays the issue that exactly matches the ID you entered or the following warning message is displayed: *No Data Found for this Search Criteria*.
Name	Filters the Issues list by the name of the issues that matches the search criteria. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Issue Category	Select an issue category from the hierarchy browser to display the list of issues pertaining to the selected issue type. For example, External, Design Deficiency, Human Resources and so on.
Component	Select a component from the hierarchy browser to display the list of issues created in the selected component. The values in the hierarchy browser window display based on the Issue Creation option selected in the *Application Preference* section in the Admin module. **Note:** When you choose to filter the list based on the Component, the Business Line and Location fields are displayed below the search bar for further filter criteria.
Criticality	Select an issue criticality from the hierarchy browser to display the list of issues with the selected criticality. The following options are listed in the hierarchy browser window: • High • Medium • Low
Priority	Select an issue priority from the hierarchy browser to display the list of issues with the selected priority. The following options are listed in the hierarchy browser window: • High • Medium • Low
Creator	Select an Issue Creator user from the hierarchy browser to display the list of issues created by the selected user. **Note:** The hierarchy browser window displays the list of users mapped to the role of Issue Creator.
Owner	Select an owner from the hierarchy browser to display the list of issues owned by the selected user. **Note:** The hierarchy browser window will display the list of users mapped to the role of Issue Owner.
Target Date	Select a target date from the calendar to display the list of issues whose target date matches the specified date. Select the required operator from the following drop-down list to filter the list of issues: • < • <= • = • > • >=

Table 35. Basic Search (Continued)

Criteria	Description
Last Modified From	Select a date from the calendar to display the list of issues whose last modified date is greater than or equal to the specified date. **Note:** When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates*.
Last Modified To	Select a date from the calendar to display the list of issues whose last modified date is lesser than or equal to the specified date. **Note:** When the Last Modified From date is higher than Last Modified To date, the following validation message is displayed: *Please verify the range selected for last modified dates*.
Status	Select the required status from the drop-down list to filter the list of issues by the status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● Closed

Note: The Business Line, Location, and Component fields are specific to the OFSERA application. If the Issues and Actions module is used with other products, information specific to those applications have to be configured.

3. Click **Go**. The relevant search list is displayed.

   Note:

   - By default, the Issues List section displays only the issues that are manually created unless the option to view the *System Generated Issues* in the *Preferences* section under the Admin module is enabled.
   - Using the context menu option on a column name in the Issues List, you can click the Field Chooser option to choose additional fields to be displayed in the List section.

Searching Issues Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of issues based on pre-defined views. By default, the Issues List displays the summary of all the issues.

To search for issues using pre-defined views, follow these steps:

1. Navigate to the Issues Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

Figure 99. Searching Issues with Pre-defined Views

3. Select any of the pre-defined views from the **Views** drop-down list. The relevant search list page is displayed.

   The following table explains the default types of pre-defined views available.

Table 36. Issues View Type

View Type	Description
Closed Issues	Select **Closed Issues** from the drop-down list to display the list of issues whose statuses are closed.
Overdue Issues	Select **Overdue Issues** from the drop-down list to display the list of issues in *Open* status with a target date less than the current date.
Highly Critical Open Issues	Select **Highly Critical Open Issues** from the drop-down list to display the list of issues which are in *Open* status and are categorized as *Highly Critical*.
Highly Critical Overdue Issues	Select **Highly Critical Overdue Issues** from the drop-down list to display the list of issues in *Open* status that are categorized as *Highly Critical* and their target date is less than the current date.
Audit Issues	Select **Audit Issues** from the drop-down list to display the complete list of issues created from the **Audit** module. **Note:** This option is displayed only if you have the GCM application installed.
My Owned Issues	Select **My Owned Issues** from the drop-down list to display the list of issues owned by the logged in user with a status either in *Open* or *Closed*.
My Created Issues	Select **My Created Issues** from the drop-down list to display the list of issues created by the logged in user.
System Generated Issues	Select **System Generated Issues** from the drop-down list to display the list of issues generated by the system.

Creating Issues

When you identify a particular issue or a problem statement that poses as risk to an organization, you can create issues either from the Issues and Action module or from different modules in the application and subsequently create necessary action plans to resolve or address the identified issue.

Note: Only users mapped to the role of Issue Creator can create a new issue from the respective modules.

To manually create an issue from the Issues and Actions module, follow these steps:

1. When creating issues from the Issues and Actions module, navigate to the Issues Search and List page and click **Create Issue**. The Issues Definition page is displayed.

   Or:

When creating issues from other modules in the OFSERA application, navigate to the respective details page and click **Create Issue**. The Issues Definition page is displayed.

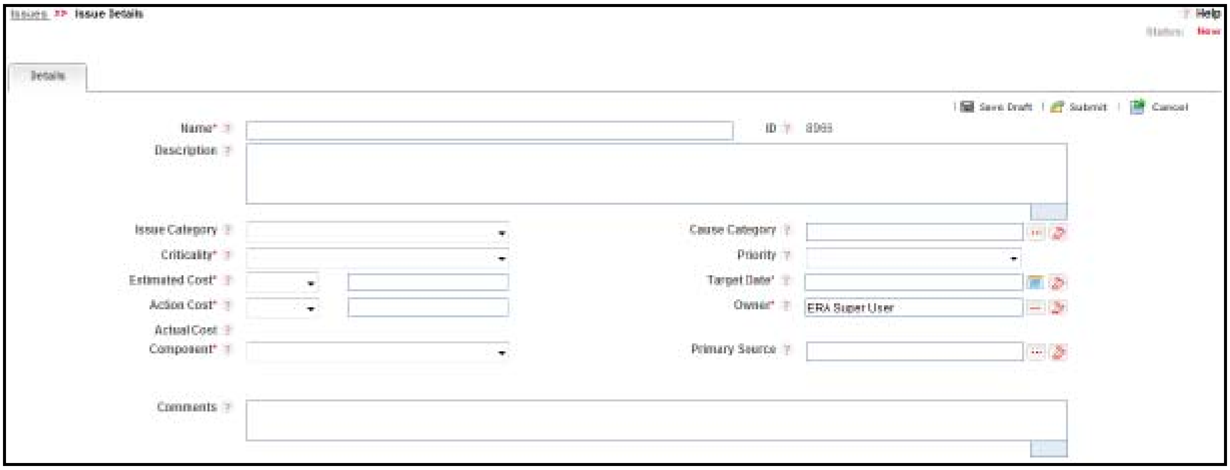


Figure 100. Issues Definition Page

2. Enter the following information in the Issues Definition page.

Table 37. Fields of Issues Definition Page

Field Name	Description
Name	Enter the name of the issue. This field allows you to enter a maximum of 300 characters. **Note:** if you try to save without entering the name of the issue, the application displays the following message: *Name is mandatory.*
ID	Displays the sequential tracking created for the issue.
Description	Enter a brief description of the issue. The description field allows you to enter a maximum of 3000 characters. As you begin entering the description, the word count displayed below the description field decreases. **Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded*.
Issue Category	Select a category from the drop-down list for classifying the new issue. An issue can be classified under factors. For example, External, Finance, Administration, Security and so on
Cause Category	Select a cause category from the hierarchy browser for the issue.
Criticality	Select a criticality level from the drop-down list specifying how critical the issue is to the organization. For example, Low, Medium, High and so on.
Priority	Select a priority level from the drop-down list indicating the priority for mitigation of the issue. For example, Low, Medium, High and so on.
Estimated Cost	Enter an estimated cost to be incurred for mitigating the issue in the text field. From the drop-down list, select the required base currency in which you want to calculate your estimated cost. **Note:** By default, the Currency drop-down field is auto-populated with the base currency. You can also edit this field.
Target Date	Select a target date from the calendar to set a date by when you want to mitigate the issue.

Table 37. Fields of Issues Definition Page (Continued)

Field Name	Description
Action Cost	Enter the probable cost of mitigating the issue. From the drop-down list, select the required currency in which you want to calculate your action cost.
Owner	Select an issue owner from the hierarchy browser 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 so on. By default, this field will display the name of the logged in Issue Owner's name. You can also edit this field.
Actual Cost	Actual cost is the sum of all action costs created for the issue. 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. **Note:** The currency exchange rate is calculated till the time the action is in *Draft*, *Open*, and *Completed* statuses.
Component	Select a component from the drop-down list for which you want to create the issue. When you select a component for the issue, additional fields related to the selected component are displayed to capture further information about the issue. The drop-down list displays the following options: ● Risk Appetite Definition ● Risk Appetite Assessment ● Key Indicators **Note:** You can view all these fields only if you have installed both OFSERA application. **Note:** When you create an issue from different modules, this field will automatically populate the respective module's name in a non-editable mode. If you are creating an issue from the Issues and Actions module, the Issue Creator user should manually select the a component from the drop-down list.
Primary Source	Select a primary source from the hierarchy browser. A primary source is the name of the component records such as risk, control and so on. **Note:** If you are creating an issue from different modules in the application, the value in this field is auto-populated and cannot be edited. If you are creating from the Issues and Actions module, an Issue Creator can select a primary source for the respective component from the hierarchy browser.
Business Line	Select a business line from the hierarchy browser to which the issue is related to.
Location	Select the location from the hierarchy browser for which the issue is created.
Risk Inventory	Select a risk inventory from the hierarchy browser applicable to the issue.
Risk Category	Select a risk category from the hierarchy browser associated with the issue.
Risk Event Type	Select a risk event type from the hierarchy browser to classify the issue according to the risk event type.
Product	Select a product from the hierarchy browser for which the issue is created.
Process	Select a process from the hierarchy browser for which the issue is created.
Legal Entity	Select a legal entity from the hierarchy browser in which your organization is operating.
Comments	Enter any comments or additional information about the issue up to 3000 characters in this field.

Note: When you are creating issues from different modules, the following fields namely, Business Line, Location, Risk Inventory, Risk Category, Risk Event Type, Product, Process, and Legal Entity are auto-populated from the Primary Source for which the issue is being created. You can also edit all the fields.

3. Click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Add Operation Successful*. Click **OK**. You are navigated to the Issues Details page and the status of the issue changes to *Draft*.

   Or:

   Click **Submit** to save the entered information and submit the issue to the Issue Owner for taking further actions. The following message is displayed: *Add Operation Successful*. Click **OK**. You are navigated to the Issues Details page and the status of the issue changes to *Open*.

   A new issue is created.

Submitting Issues in Draft Status

Once an Issue Creator manually creates an issue, the status of the issue changes to Draft status. An issue in Draft status can be submitted to an issue owner for taking further actions such as verifying the issue, creating action plans for addressing the identified issues, and so on.

To submit the issues in Draft status, follow these steps:

1. Navigate to the Issues Search and List page.
2. Click the required Issue ID in Draft status.

   The Issues Details page is displayed.

Figure 101. Issues Details Page

When an issue is in Draft status, you can perform the following actions:

- Editing an Issue
- Attaching and Deleting Documents
- Submitting Issues in Draft Status
- Viewing linked entities details
- Viewing Issues Profile Report

- Viewing Workflow History

For detailed information about these actions, refer to *Managing Issue Details*.

3. Click **Edit**. The Details tab becomes editable and displays the **Update** and **Submit** buttons.
4. Click **Submit**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**. You are navigated to the Issue Details page, the status of the issue changes to Open and a task is sent to the Issue Owner user to take further actions.

   The Issue Owner can perform the following actions when the issue is in Open status:

   - Editing Issue Details
   - Creating Actions
   - Linking Actions
   - Linking and Delinking Entities
   - Viewing linked Entities Details
   - Viewing Issue Profile Report
   - Viewing Workflow History
   - Closing an Issue

   For detailed information about these actions, refer to *Managing Issue Details*.

Managing Issue Details

The Issues Details page allows you to manage additional tasks and functionalities pertaining to the Issues.

This section covers the following topics:

- Editing an Issue
- Editing an Issue in Open Status
- Managing Details
- Managing Linkages

Editing an Issue

When you want to update or modify the issue details, you can edit an issue from the Issue Details page.

Users mapped to the role of Issue Creator can view the details of all the issues in the Issues Search and List page, but can edit only the issues that they created. An Issue Owner can edit an issue in Open status whereas an Issue Creator can edit only in Draft status.

This section includes the following two topics:

- Editing an Issue in Draft Status
- Editing an Issue in Open Status

Editing an Issue in Draft Status

To edit an issue in Draft status, follow these steps:

1. Navigate to the Issues Details page.
2. From the Details tab, click **Edit**. The Issues Definition page is displayed.
3. Modify the necessary issue details. For more information on Issue fields, refer *Table 37*.
4. Click **Update** to save the information entered in the Definition page. The following message is displayed: *Update Operation Successful*. Click **OK**. You are navigated to the Issues Details page and the status of the issue remains in *Draft*.

   Or:

   Click **Submit** to save the entered information and submit the issue to the Issue Owner for taking further actions. The following message is displayed: *Update Operation Successful*. Click **OK**. You are navigated to the Issues Details page and the status of the issue changes to *Open*.

Editing an Issue in Open Status

To edit an issue in Open status, follow these steps:

1. Navigate to the Issues Details page.
2. From the Details tab, click **Edit**. The Issues Definition page is displayed.
3. Modify the necessary issue details. For more information on Issue fields, refer *Table 37*.

   Note: You can edit only the following details when the issue is in Open status:

   - Name
   - Description
   - Issue Category
   - Cause Category
   - Criticality
   - Priority
   - Estimated Cost
   - Action Cost
   - Target Date
   - Comment

   You can also link and delink records of various entities to an issue, attach and delete documents, and view workflow history.
4. Click **Submit**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The updated Issue Details page is displayed.

Managing Details

This section covers the following topics:

- Attaching and Deleting Documents
- Viewing Workflow History

Attaching and Deleting Documents

The Issue Details page allows you to attach or delete documents related to an issue. For more details on how to attach and delete documents, refer to *Chapter 3: General Features, Managing Documents* section.

Viewing Workflow History

The Issue Details page records the audit trail of all the changes made to the issue in the Workflow History section. Users mapped to the role of Issue Creator, Issue Owner, or Action Creator can view the Workflow History.

To view the workflow history, follow these steps:

1. Navigate to the Issue Details page of an Issue in any status.
2. Expand the **View More** section to display the Actions, Document and Workflow History sections.
3. Expand the Workflow History section.

   The Workflow History section displays the following columns:

Table 38. Columns in Workflow History section

Column Name	Description
Last Modified On	Displays the date of last modification of the issue.
Last Modified By	Displays the name of the user who modified it.
Status	Displays the status in which the issue was modified.
Action Comments	Displays the comments entered while performing the action.

For more details on how to view the difference in workflow history, refer to *Chapter 3: General Features, Viewing Audit History* section.

Managing Linkages

When an issue is in Open status, an Issue Owner can link and delink records of entities to the respective section such as Risks, Key Indicators and so on from the Linkages tab.

Note: You cannot perform link or delink action when the status of an issues is in *Closed*.

This section includes the following topics:

- Linking an Entity Record to an Issue
- Delinking an Entity Record to an Issue

Linking an Entity Record to an Issue

To link an entity record such as risks, to an issue, follow these steps:

1. Login to the application as an Issue Owner.
2. Navigate to the Issue Details page of an issue in *Open* status.
3. Click **Linkages** tab. The list of entities are displayed.

4. Click **Link** on the required entity. A window with a search bar and a list of pre-filtered records are displayed in various statuses. The following table displays the statuses of records that you can link to each entity:

Table 39. Status of Entity Records Available for Linking

Entity Name	Status of Records
Risk Appetite Definition	Open
Risk Assessment	Open
Key Indicators	Open

5. Search for the required entity record using the Search bar and then select the entity record from the List section.

   Or:

   Select the required entity record from the List section that already displays the pre-filtered list of entity records through a default search criteria.
6. Click **Link**. The following message is displayed: *Records Linked Successfully.*
7. Click **OK**.
8. Click **Back** to navigate back to the Linkages tab.

   The linked entity records are displayed in the respective entities section. You can click on the ID of the linked record to navigate to the respective entity details page.

Note:

- If you try to link records of other KBDs different from that in which the issue is captured, the following message is displayed: *Records of other KBDs are being linked. Do you want to continue?*
- The linked records will reflect the updated statuses in their respective sections if any changes are made to the record in their respective modules.
- Once you link records to the entities, they can be delinked from the respective sections.

Delinking an Entity Record to an Issue

To delink entity records such as risks, from an issue, follow these steps:

1. Login to the application as an Issue Owner.
2. Navigate to the Issue Details page of an issue in *Open* status.
3. Click **Linkages** tab. The list of entities are displayed.
4. Expand the required section where you want to delink a record.
5. Select the record(s) using the checkbox and click **Delink**. The following message is displayed: *Are you sure you want to delink the records?*
6. Click OK. The following message is displayed: *De-link Operation Successful.*
7. Click **OK**.

   The record is delinked from the respective entity section.

Note: You cannot delink a primary source record from the entities section. If you try to delete a primary source record, the following message is displayed: *The selected record cannot be delinked as it is a primary source record for the issue.*

Transferring Ownership of an Issue

When the owner of an issue has changed for reasons such as the Issue Owner user has quit the organization or moved to a different role and so on, an Issue Owner user can transfer the ownership of the issue to an appropriate user by using the Transfer Ownership option in the Issue Details Page or from the Issues Search and List page

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

1. Navigate to the Issues Search and List page. Select an issue in Open status, and click **Transfer Ownership**. The Ownership Transfer window is displayed.

   Or:

   From the Issues Details page of an issue in Open status, click **Transfer Ownership**. The Ownership Transfer window is displayed.

Figure 102. Transfer Ownership Window

2. Select a new owner from the hierarchy browser window.
3. Enter any comments in the **Comments** fields.
4. Click **Submit**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**.
6. Click **Back**.

   You are navigated to either the updated Issues and Search List page or the Issues Details page from where the transfer of ownership action is performed.

Closing an Issue

You can close an issue when you have completed all the actions created for an issue or you believe that the identified issue is no longer relevant.

Note: When you want to close an issue, the status of all the associated actions must be in Completed status. If you try to close an issue without completing all the actions associated with it, the following message is displayed: *Please close all actions associated with the Issue.*

To close an Issue, follow these steps:

1. Navigate to the Issues Search and List page. Select an issue in Open status, and click **Close**. The Issue Details window is displayed.

   Or:

   From Issues Details page of an issue in Open status, click **Close**. The Issue Details window is displayed.

Figure 103. Closing an Issue

2. Enter the reason for the closure of the issue.
3. Click **Submit**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.
5. Click **Back**.

   You are navigated to either the updated Issues and Search List page or Issues Details page from where the closure action is performed. The status of the issue changes to *Closed.*

Reopening Closed Issues

An Issue Creator user can reopen a closed issue if the user believes that if there is a need to re-examine the issue or the issue that was closed is still existing in the organization, or the actions plans initiated to mitigate the issue were not satisfactory.

Note: Only users mapped the role of Issue Creator can reopen the closed issues.

To reopen a closed issue, follow these steps:

1. Navigate to the Issues Search and List page. Select an issue in Closed status, and click **Reopen**. The Issue Details window is displayed.

   Or:

   From the Issues Details page of an issue in Closed status, click **Reopen**. The Issue Details window is displayed.

2. Enter comments in the **Comments** field.
3. Click **Submit**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**. You are navigated back to the Issue Details window.
5. Click **Back**.

   You are navigated to either the updated Issues and Search List page or Issues Details page from where the reopening actions is performed. The status of the issue changes to *Open*.

Deleting an Issue

Users mapped to the role of Issue Creator can delete issues in Draft status if they are not applicable to the business or an organization.

Note: You can delete an issue only when it is in Draft status.

To delete an issue, follow these steps:

1. Navigate to the Issues Search and List page.
2. Select an issue in Draft status.
3. Click **Delete**. The Confirmation window is displayed:
4. Click **OK**. The following window is displayed: *Delete Operation Successful.*
5. Click **OK**. The selected issue is deleted.

   You are navigated to the updated Issues Search and List page.

Exporting List of Issues to Excel

You can export the list of issues displayed in the Issues Search and List page to an Excel format.

Note: You cannot export individual issues to Excel.

To export the Issue list to Excel, follow these steps:

1. Navigate to the Issues Search and List page.
2. Click **Export**. 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 a new browser window with a dialog box.
5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a location where you want to save the file.
7. Enter a new name in the File Name field or the application automatically generates a name for the file.
8. Click **Save**. The application saves your file to the specified location.

   All the issues in the Issues Search and List page are exported into an Excel spreadsheet.

Viewing Issues Profile Report

When you want to download the details of an issue or you want to send the **Issues Profile Report** by email, you can use the Issue Profile option from the Issue Details page.

To view the issue details in a PDF, follow these steps:

1. Navigate to the Issue Details page.
2. Click the required **ID.**
3. Click **Issue Profile**. A File Download Box is displayed.

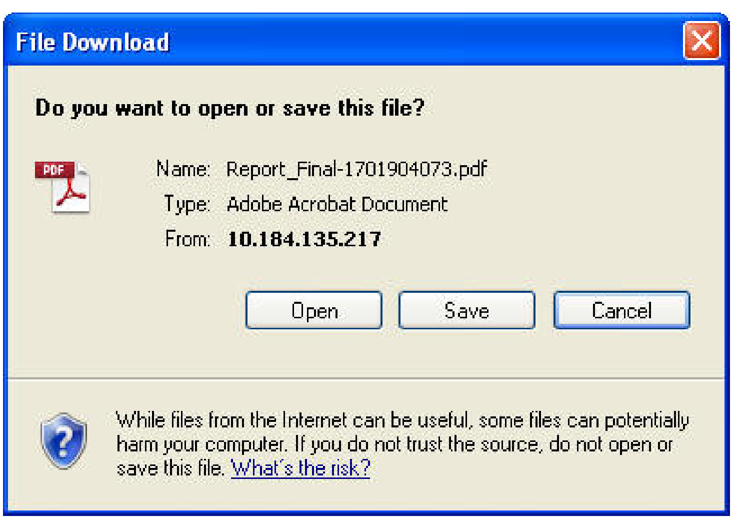
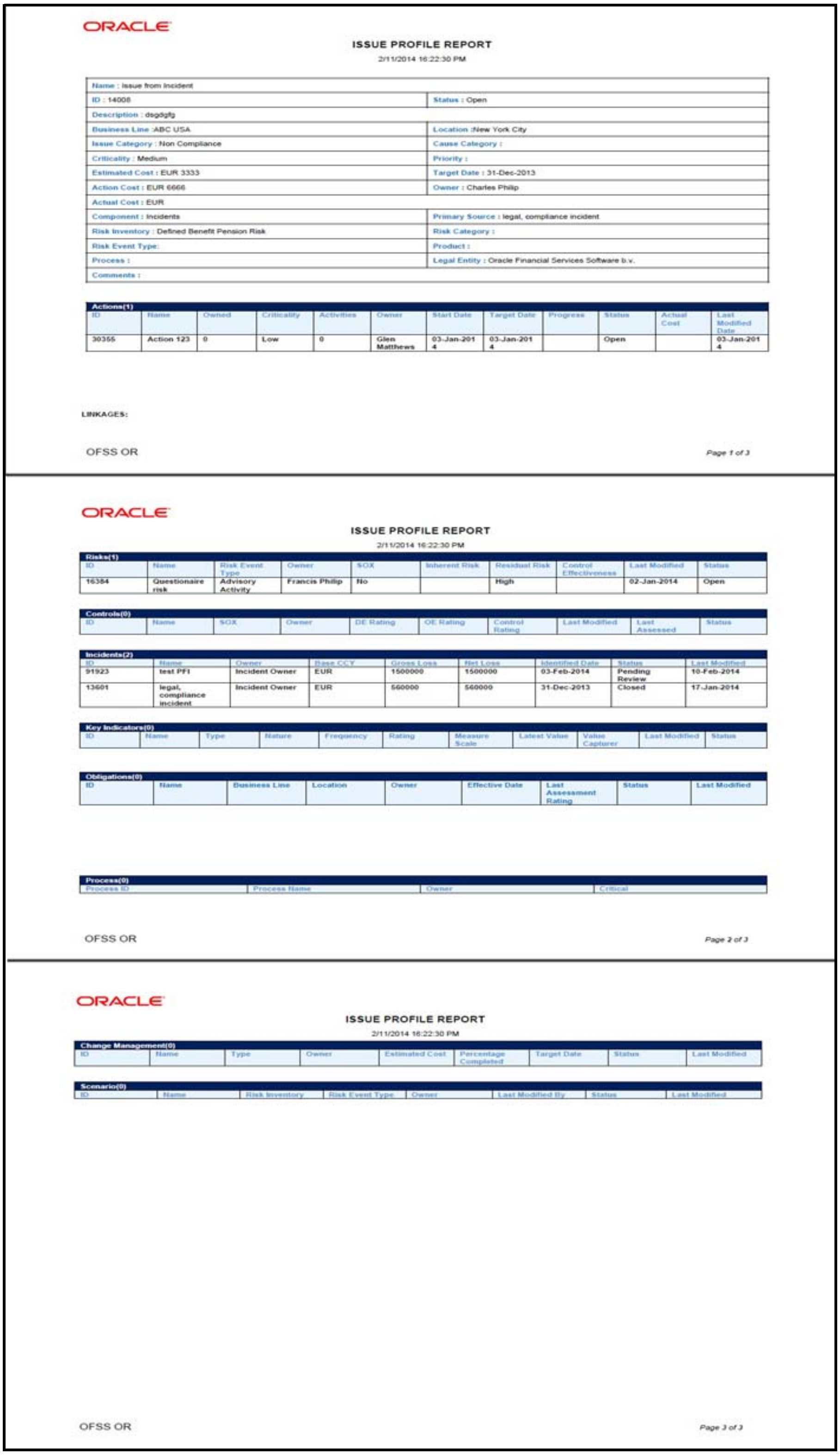


Figure 104. File Download Window

4. Click **Open** to view the Issues Profile Report.



ISSUE PROFILE REPORT

2/11/2014 16:22:30 PM

Name : Issue from Incident	
ID : 14008	Status : Open
Description : dsgdgfg	
Business Line :ABC USA	Location :New York City
Issue Category : Non Compliance	Cause Category :
Criticality : Medium	Priority :
Estimated Cost : EUR 3333	Target Date : 31-Dec-2013
Action Cost : EUR 6666	Owner : Charles Philip
Actual Cost : EUR	
Component : Incidents	Primary Source : legal, compliance incident
Risk Inventory : Defined Benefit Pension Risk	Risk Category :
Risk Event Type:	Product :
Process :	Legal Entity : Oracle Financial Services Software b.v.
Comments :	

Actions(1)

ID	Name	Owned	Criticality	Activities	Owner	Start Date	Target Date	Progress	Status	Actual Cost	Last Modified Date
30355	Action 123	0	Low	0	Glen Matthews	03-Jan-2014	03-Jan-2014		Open		03-Jan-2014

LINKAGES:

OFSS OR

Page 1 of 3

ISSUE PROFILE REPORT

2/11/2014 16:22:30 PM

Risks(1)

ID	Name	Risk Event Type	Owner	SOX	Inherent Risk	Residual Risk	Control Effectiveness	Last Modified	Status
16384	Questionaire risk	Advisory Activity	Francis Philip	No		High		02-Jan-2014	Open

Controls(0)

ID	Name	SOX	Owner	DE Rating	OE Rating	Control Rating	Last Modified	Last Assessed	Status

Incidents(2)

ID	Name	Owner	Base CCY	Gross Loss	Net Loss	Identified Date	Status	Last Modified
91923	test PFI	Incident Owner	EUR	1500000	1500000	03-Feb-2014	Pending Review	10-Feb-2014
13601	legal, compliance incident	Incident Owner	EUR	560000	560000	31-Dec-2013	Closed	17-Jan-2014

Key Indicators(0)

ID	Name	Type	Nature	Frequency	Rating	Measure Scale	Latest Value	Value Capturer	Last Modified	Status

Obligations(0)

ID	Name	Business Line	Location	Owner	Effective Date	Last Assessment Rating	Status	Last Modified

Process(0)

Process ID	Process Name	Owner	Critical

OFSS OR

Page 2 of 3

ISSUE PROFILE REPORT

2/11/2014 16:22:30 PM

Change Management(0)

ID	Name	Type	Owner	Estimated Cost	Percentage Completed	Target Date	Status	Last Modified

Scenario(0)

ID	Name	Risk Inventory	Risk Event Type	Owner	Last Modified By	Status	Last Modified

OFSS OR

Page 3 of 3

Figure 105. Issues Profile Report

Creating Actions from Issues

When an organization wants to record recommended action plans to address a particular issue that has occurred, they can create action plans.

Users mapped to the role of Issue Owner or Action Creator can create action plans or new actions for an issue.

To create action plans for a an issue, follow these steps:

1. From the Open Tasks tab in the Inbox menu, click a Task ID in Open status. You are navigated to the Issues Details page.

   Or:

   Navigate to the Issues Search and List page and click the required Issue ID in Open status on which you want to create actions. You are navigated to the Issues Details page.

2. Expand **View More** from the Details tab. The Actions, Document and Workflow History sections are displayed.

3. Click **Create Action** from the Actions section. The Actions Definition page is displayed.

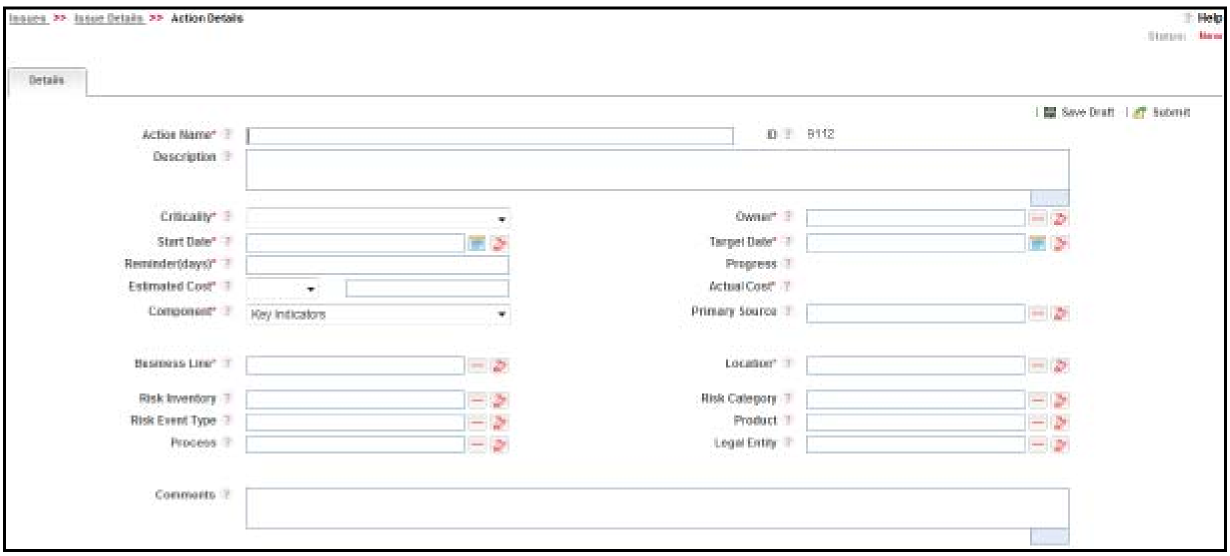


Figure 106. Actions Definition Page

4. Enter the following information in the Actions Definition page.

Table 40. Fields of Actions Definition Page

Field Name	Description
Action Name	Enter the name of the action. This field allows you to enter a maximum of 300 characters. **Note:** if you try to save without entering the name of the action, the application displays the following message: *Name is mandatory.*
ID	Displays the sequential tracking number created for the action.

Table 40. Fields of Actions Definition Page (Continued)

Field Name	Description
Description	Enter a brief description of the action. The Description field allows you to enter a maximum of 3000 characters. As you begin entering the description, the word count displayed below the description field keeps decreasing. **Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded*.
Criticality	Select a criticality level from the drop-down list specifying how critical the action is to the organization. For example, Very High, High, Medium and so on.
Owner	Select an issue owner from the hierarchy browser to whom you want to assign the action for taking appropriate actions such as tracking activities, linking and delinking stakeholders, attaching documents, updating the action progress percentage and so on. **Note:** The hierarchy browser window will display list of users who are mapped to the role of Action Owner for that BU.
Start Date	Select a date from the Calendar icon to specify the start date of the action. **Note:** By default, this field will auto populate the current date.
Target Date	Select a date from the Calendar icon to specify the action completion date.
Reminder (in days)	Enter the number of days before which the Action Owner needs to be reminded about the completion of the action.
Progress	This field is enabled for an Action Owner to update the measure of completion of action plan. **Note:** By default, this field is disabled when the action is created.
Estimated Cost	Enter an estimated cost to be incurred for mitigating the action plan. From the drop-down list, select the required currency in which you want to calculate your estimated cost.
Actual Cost	This field automatically displays the actual cost of mitigating the action. The actual cost will be converted into the currency in which the action is captured. **Note:** By default, this field is disabled when the action is created.
Component	Select a component from the drop-down list for which you want to create the action. **Note:** ● If you are creating an action from the Issues and Actions module, this drop-down list will display various modules for selection for which the Manual Issue Creation is enabled. ● If you are creating an action from other modules where the Automatic Issue Creation option is enabled, this field automatically populates the name of the module from which the action is being created.
Primary Source	Select a primary source from the hierarchy browser button.
Business Line	Select a business line from the hierarchy browser to which the action is related.
Location	Select the location from the hierarchy browser for which the action is created.
Risk Inventory	Select a risk inventory from the hierarchy browser applicable to the action.
Risk Category	Select a risk category from the hierarchy browser associated with the action.
Risk Event Type	Select a risk event type from the hierarchy browser to classify the action according to the risk event type.
Product	Select a product from the hierarchy browser for which the action is being created.
Process	Select a process from the hierarchy browser for which the action is being created.

Table 40. Fields of Actions Definition Page (Continued)

Field Name	Description
Legal Entity	Select a legal entity from the hierarchy browser.
Comments	Enter any comments or additional information about the action up to 3000 characters.

5. Click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Add Operation Successful*. Click **OK**. You are navigated to the Actions Details page and the status of the issue changes to *Draft*.

   Or:

   Click **Submit** to save the entered information and submit the action to the Action Owner for taking further actions. The following message is displayed: *Add Operation Successful*. Click **OK**. You are navigated to the Actions Details page and the status of the action changes to *Open*.

   A new action is created and a task is sent to the owner of the action for taking further actions.

   Note: You can also use the **Link** option to link the various actions that are applicable to the current issue.

Managing Actions

This section covers the following topics

- Creating Actions
- User Roles and Actions
- Actions Workflow
- Tasks and Notifications in Actions
- Accessing Actions Menu
- Searching Actions
- Completing the Progress of Actions
- Managing Actions Details

Creating Actions

The OFSERA application provides organizations the ability to directly create action plans for various modules without creating issues.

When you directly create actions from different modules such as Risk Appetite Definition, Risk Assessment, and Key Indicators, the application automatically creates an issue for that particular source and internally maps the created actions to the auto-created issue.

Note:

- The Issues Search and List page lists the issues created by the users whereas all the system generated issues can be viewed through pre-defined views.
- When the Issue Creation option for creating issues in the Admin module is set to *Yes*, the Create Issue button will replaced with the Create Action button in the respective Details page under the navigation bar. Additionally, the Issues and Actions menu in the application will change to Actions in the Details page of various modules in the application.

User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

User Roles

This module is designed for users mapped to the roles of Issue Owner or Action Creator, and Action Owner. Their roles and responsibilities, as they operate within the application, include the following:

- **Issue Owner or Action Creator:** This user is responsible for assessing the issue created by the Issue Creator, adding issue details, and creating adequate action plans to resolve the issue. This user can assign a created action to an Action Owner and can also reopen the completed actions.
- **Action Owner:** This user is responsible for assessing the actions created by the Issue Owner, implementing action plans pertaining to an issue and tracking them to completion. This user can update the percentage completion of actions, activities performed and cost incurred in carrying out the actions.

Actions

The User Roles described above can perform the following actions:

- **Editing Action**: This action allows an Action Owner user to edit an action from the Action Details page.
- **Deleting Action**: This action allows an Issue Owner or Action Creator user to delete an action in Draft status when an Issue Owner or Action Creator believes that the action is no longer required.
- **Closing Action**: This action allows an Action Creator or Issue Owner user to close an issue when associated actions have been completed.
- **Reopening Action**: This action allows an Issue Owner or an Action Creator to reopen closed actions.
- **Transferring Ownership**: This action allows an Action Owner to transfer the ownership of an action to an appropriate user.
- **Exporting Action**: This action allows all user roles to export the list of actions to a Microsoft Excel spreadsheet.

Actions Workflow

The following figure depicts the complete workflow of the Actions module:

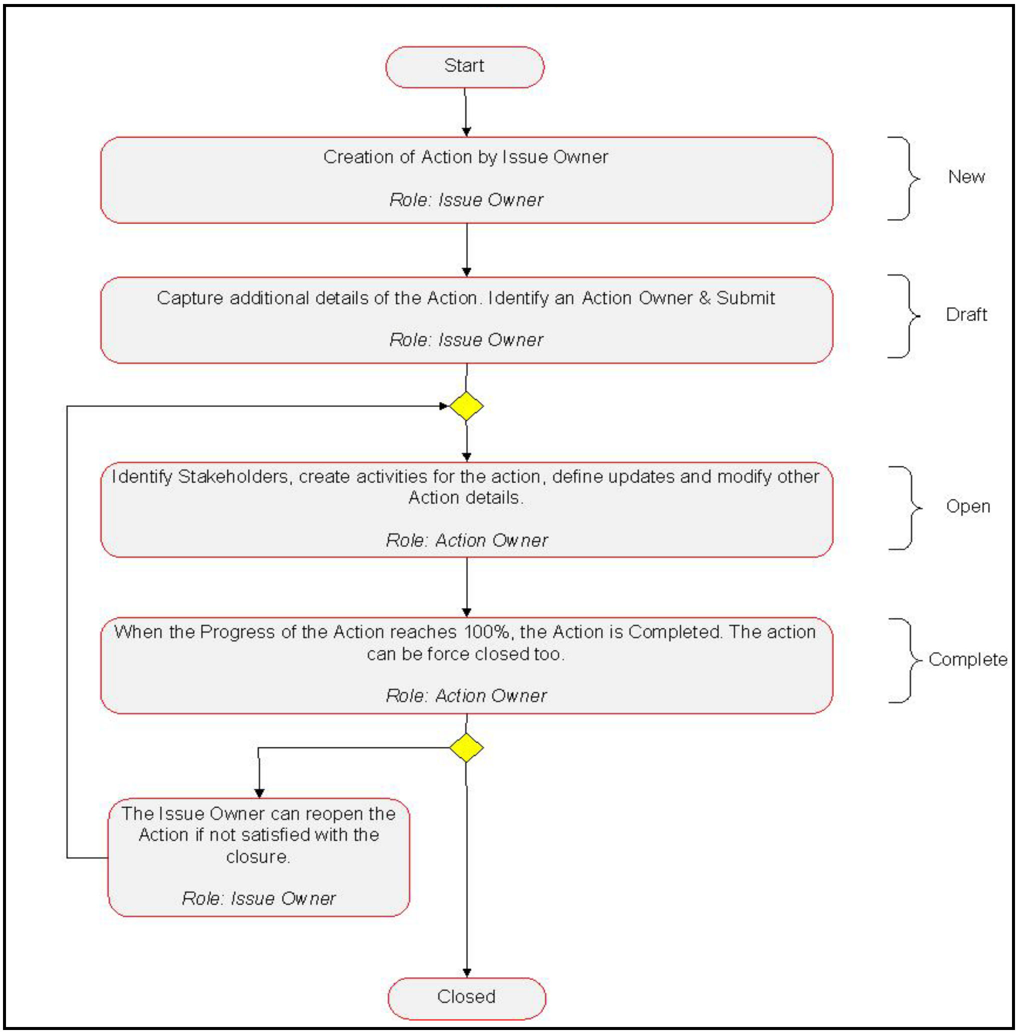


Figure 107. Workflow of Actions Menu

Tasks and Notifications in Actions

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application. Both Tasks and Notifications can be viewed from the Inbox menu in the application.

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

Table 41. Tasks and Notifications in Actions Menu

Action Performed	Task/Notification	Task/Notification	Sent To	Action Status
Submitting an Action by Issue Owner or Action Creator	Task	A Task is sent to the Action Owner selected in the Owner field.	Action Owner	Open
Submitting an Action by Action Owner	Notification	A Notification is sent to the Issue Creator of the Issues mapped to the action.	Issue Creator	Open
Transferring the Ownership	Task	A Task is sent to the new action owner selected in the Transfer Ownership window.	Action Owner	Open
Transferring Ownership	Notification	A Notification is sent to the Issue Owner who created the Action and all the stakeholders captured in stake holders tab.	Issue Owner and Stake holders	Open
Completing the Progress of an Action to 100%	Notification	A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in Stakeholders tab.	Issue Owner and Stake Holders	Closed
Force closing an Action	Notification	A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in Stakeholders tab.	Issue Owner and Stake holders	Open

Accessing Actions Menu

The Oracle Financial Services Enterprise Risk Assessment Home page allows you to access the Actions sub-module. The Issues and Actions module in the masthead area consists of two sub-modules namely, Issues and Actions.

To access the Actions sub-module, follow these steps:

1. Login to the OFSERA application either as an Issue Owner or Action Creator.

   The Inbox page is displayed by default.

2. Hover over the **Issues and Actions** menu, and then select **Actions**. The Actions Search and List page is displayed.

The Actions Search and List page enables you to filter the actions, the results of which display on the Actions List below the Search bar. The search can be performed either through pre-defined views or by search criteria.

Searching Actions

The Actions Search and List page enables you to filter the list of actions that you want to view and analyze. The Actions Search bar supports two types of search-Search using Basic Search, and Search by Views.

The Actions List displays a list of actions that meet the criteria specified on the Issues Search bar. Clicking the Actions ID link in any status from the List page displays the Actions Details page. The search results are displayed using a default sort criteria of Last Modified Date.

This section explains the following topics:

- Searching Actions Using Basic Search
- Searching Issues Using Pre-defined Views

Searching Actions Using Basic Search

This search is based on limited set of search criteria such as ID and Name, and helps to retrieve the relevant Action details.

To search for actions using Basic Search, follow these steps:

1. Navigate to the Actions Search and List page.

   Note: By default, the Actions Search and List page expands the Search option in the Actions Search bar and displays all the available actions in the Actions List.

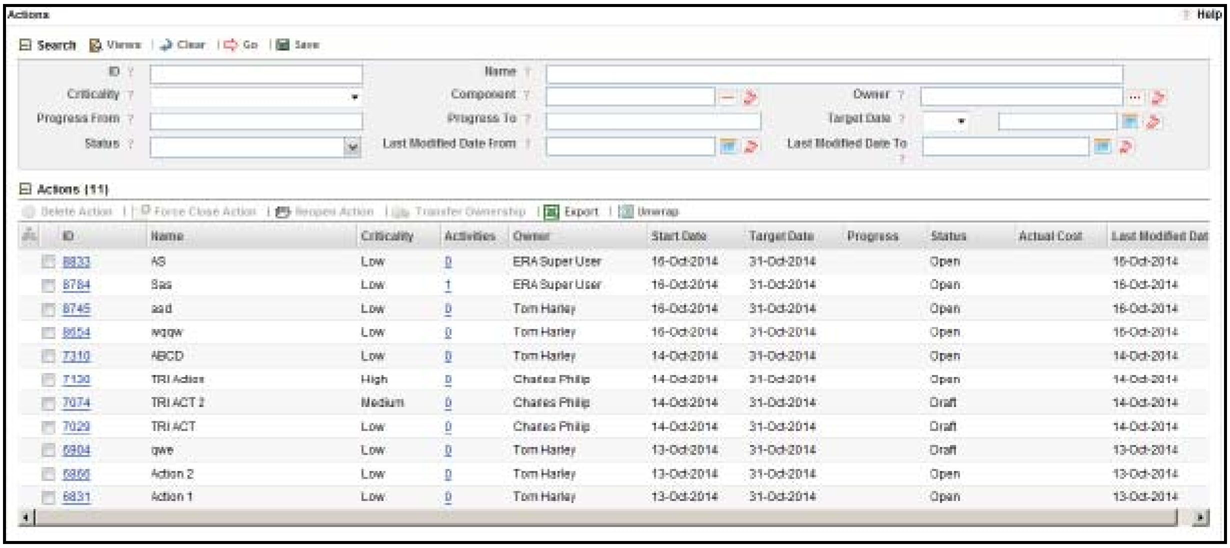


Figure 108. Searching Actions with Basic Search

2. Enter the following Basic Search criteria to filter the Actions list.

Table 42. Basic Search Bar

Criteria	Description
ID	Enter the Action ID in the text field to search for action details of the entered Action ID. You can enter up to 30 characters in this field. If the action is found, the Actions List page displays the action that exactly matches the ID you entered or the following warning message is displayed: *No Data Found for this Search Criteria.*
Name	Filters the Actions list by the name of the action entered in the search criteria. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Criticality	Select the criticality of action from the hierarchy browser to display the list of actions with the selected criticality. For example, High, Medium, and Low
Component	Select a Component from the hierarchy browser to display the list of actions created for the selected component.
Owner	Select an owner from the hierarchy browser to display the list of actions for which the selected user is the action owner.
Progress From	Enter the percentage of progress to filter list of actions whose percentage completion is more than or equal to the entered value.
Progress To	Enter the percentage of progress to filter list of actions whose percentage completion is less than or equal to the entered value.

Table 42. Basic Search Bar (Continued)

Criteria	Description
Target Date	Select a target date from the calendar to display the list of actions whose target date matches the specified date. Select the required equality operator from the following drop-down list: ● < ● <= ● = ● > ● >=
Status	Select any status from the multi-select list to filter the list of actions by the current status. The status drop-down list displays the following options: ● Select All ● Draft ● Open ● Closed
Last Modified Date From	Select a date from the calendar to display the list of actions whose last modified date is greater than or equal to the specified date.
Last Modified Date To	Select a date from the calendar to display the list of actions whose last modified date is lesser than or equal to the specified date.

3. Click **Go**. The relevant search list is displayed.

   Note: If you want to view additional values about the action, you can use the **Field Chooser** option to choose the fields to be displayed in the Actions List. Right-click on any column heading to view the context menu options.

Searching Actions Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of actions based on the pre-defined views. By default, the Actions List displays the summary of all the actions.

To search for actions using the pre-defined views, follow these steps:

1. Navigate to the Actions Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

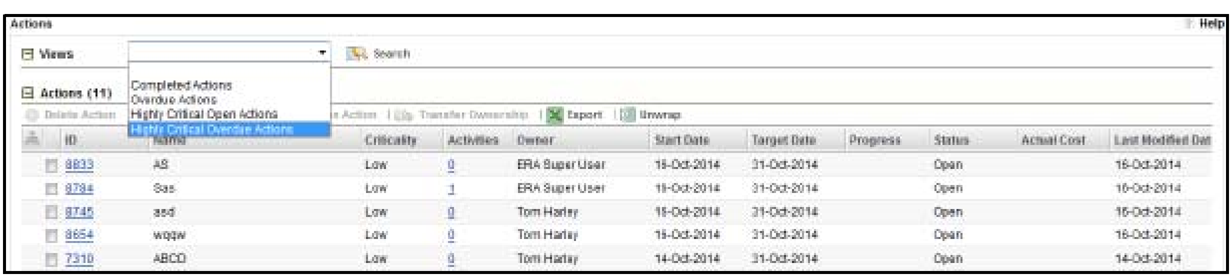


Figure 109. Searching Actions with Pre-defined Views

3. Select following pre-defined views from the **Views** drop-down list. The relevant search list page is displayed.

Table 43. Issues View Type

View Type	Description
Completed Actions	Select Completed Actions from the drop-down list to display the list of actions in *Completed* status.
Overdue Actions	Select Overdue Actions from the drop-down list to display the list of actions in Open status with target date less than the current date.
Highly Critical Open Actions	Select Highly Critical Open Actions from the drop-down list to display the list of actions which are in Open status and are categorized as highly critical.
Highly Critical Overdue Actions	Select Highly Critical Overdue Actions from the drop-down list to display the list of actions in Open status that are categorized as highly critical and target date as less than the current date.

Note: The application provides a **Save Search** option in the Search and Views section that allows you to save your search criteria. For more information on Saving a Search, refer *Chapter 3: General Features, Saving a Search* section.

Completing the Progress of Actions

Once an Issue Owner or an Action Creator user creates an action plan for addressing an issue, the Action Owner can perform appropriate actions such as tracking activities, linking and delinking stakeholders, updating actions, and attaching documents. Once you complete all the actions plans for an issue, you can manually update the progress as 100 percent. For detailed information, refer to *Managing Issue Details*.

Once the progress of an action plan reaches 100 percent complete, the status of the plan changes to Completed. When all the action plans associated with an issue are completed, the Issue Creator can and close the issue.

Managing Actions Details

The Actions Details page allows you to manage additional tasks and functionalities pertaining to the Actions.

This section discuses the following topics:

- Editing Action Details
- Managing Details
- Transferring Ownership of an Action
- Force-Closing an Action
- Reopening Completed Actions
- Deleting an Action in Draft Status
- Exporting List of Actions to Excel
- Viewing Actions Profile Report

Editing Action Details

When you want to update or modify action plans associated with issues, you can edit an action from the Action Details page. Users mapped to the role of Action Owner can edit an issue in Open status whereas an Action Creator user can edit only in Draft status.

To edit an action in Open status, follow these steps:

1. Navigate to the Action Details page.
2. From the Details tab, click **Edit**. The Action Definition page is displayed.
3. Modify the necessary action details.

   You can also perform actions such as adding an activity, adding stakeholders, and adding action updates and viewing the workflow. For more information, refer to *Managing Details*.
4. Click **Submit**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The updated Action Details page is displayed.

Managing Details

The Details page allows you to manage additional tasks and functionalities pertaining to the Actions.

This section discuses the following topics:

- Adding Activities to an Action
- Linking Stakeholders to an Action
- Adding Stakeholders to an Action
- Sending Email to Stakeholders
- Adding Action Updates
- Attaching and Deleting Documents
- Viewing Workflow History

Adding Activities to an Action

To add an activity to an action, follow these steps:

1. Navigate to the Action Details page of an action in Open status.
2. Expand **View More** to display the list of sections.
3. Click **Add Activity** from the Activity section.

   An activity row is added.
4. Click the check box for the row to make the Activity editable.
5. Enter the name, progress, start date, end date of the activity. and any comments.
6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. A new activity is added in the activities section.

   Note: To delete an activity, select the row and click **Delete Activities**.

Linking Stakeholders to an Action

To link a stakeholder to an action, follow these steps:

1. Navigate to the Action Details page of an action in Open status.
2. Expand **View More** to display the list of sections.
3. Click **Link Stakeholders** from the Stakeholders section.

   A window is displayed with a search bar and a list of stakeholders based on a pre-defined search criteria. You can also perform a search to filter the required stakeholders.
4. Select the required stakeholders from the list using the check box.
5. Click **Link**. The following message is displayed: *Records Linked Successful.*
6. Click **OK**. You are navigated to the Link Stakeholders window.
7. Click **Back**. You are navigated to the Action Details page.

Note: To delink a stakeholder, select the row and click **Delink Stakeholders**.

Adding Stakeholders to an Action

To add stakeholders to an action, follow these steps:

1. Navigate to the Action Details page of an action in *Open* status.
2. Expand **View More** to display the list of sections.
3. Click **Add Stakeholders** from the Stakeholders section.

   A stakeholder row is added.
4. Click the check box for the row to make the stakeholder row editable
5. Enter the User Name, Designation, and Email ID of the stakeholders.
6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. A new stakeholder is added in the Stakeholders section.

Note: To delete a stakeholder, select against each row and click **Delete Stakeholders**.

Sending Email to Stakeholders

To send an email to stakeholders associated with an action, follow these steps:

1. Navigate to the Action Details page of an action in Open status.
2. Expand **View More** to display the list of sections.
3. Click **Send Mail** from the Stakeholders section. A Mail Details window is displayed.

Figure 110. Sending Email to Stakeholders

4. Enter the recipient's email address in the **To** field.
5. Enter the subject of the email.
6. Enter the message you want to include in the **Mail Body** field.
7. Click **Send**. The following message is displayed: *Mail Successfully Sent*.
8. Click **OK**. You are navigated to the Mail Details window.
9. Click **Back**. You are navigated to the Action Details page.

Adding Action Updates

To add an update to an Action, follow these steps:

1. Navigate to the Action Details page of an action in Open status.
2. Expand **View More** to display the list of sections.
3. Click **Add Action Updates** from Activity section.

   An Action Update row is added.
4. Click the check box for the row to make the action update editable.
5. Enter comments.
6. Click **Save Action Updates**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. A new update action is added in the Action Updates section.

Note: To delete an action update, select against each row and click **Delete Action Updates**.

Attaching and Deleting Documents

The Action Details page allows you to attach or delete documents related to an action. For more details on how to attach and delete documents, refer to *Chapter 3: General Features, Managing Documents* section.

Viewing Workflow History

The Action Details page records the audit trail of all the changes made to an action in the Workflow History section. Users mapped to the role of Issue Creator, Issue Owner, or Action Creator can view the Workflow History.

To view Workflow History, follow these steps:

1. Navigate to the Action Details page of an action in any status.

2. Expand **View More** to display the Activities, Stakeholder, Action Updates, Document and Workflow History sections.
3. Expand the Workflow History section.

   The Workflow History section displays the following columns:

Table 44. Columns in Workflow History section

Column Name	Description
Last Modified On	Displays the date of last modification of the action.
Last Modified By	Displays the name of the user who modified it.
Status	Displays the current status of the action.
Action Comments	Displays the comments entered while performing the action.

Transferring Ownership of an Action

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

1. From the Action Search and List page, select an action in Open status, and click **Transfer Ownership**. The Ownership Transfer window is displayed.

   Or:

   From the Action Details page of an action in Open status, click **Transfer Ownership**. The Ownership Transfer window is displayed.

Figure 111. Transfer the Ownership

2. Select a new owner from the hierarchy browser window.
3. Enter any comments in the Comments fields.
4. Click **Submit**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**.
6. Click **Back**. You are navigated to either the updated Issues and Search List page or Issues Details page from where the transfer of ownership action is performed.

Force-Closing an Action

You can force-close an action if it is no longer relevant to the associated issues. You can force-close an action only when it is in *Open* status.

To close an action, follow these steps:

1. From the Action Search and List page, select an action in Open status, and click **Force Close**. An Action Details window is displayed.

   Or:

   From the Action Details page of an action in Open status, click **Force Close**. An Action Details window is displayed.

Figure 112. Force-Closing an Action

2. Enter the reason for the closure of the issue.
3. Click **Submit**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.
5. Click **Back**. You are navigated to either the updated Actions and Search List page or Action Details page from where the closure action is performed. The status of the issue changes to *Complete.*

Reopening Completed Actions

Only a user mapped to the role of Issue Creator can reopen actions associated for an Issue.

To reopen a completed action by an Issue Creator, follow these steps:

1. From the Issues Search and List page, select an issue in Open status. Expand **View More** and click the required Action **ID** in Completed status. The Action Details page is displayed. Click **Reopen Action**. An Action Details window is displayed.

   Or:

   From the Action Search and List page, select an action in Completed status, and click **Reopen Action**. The Action Details window is displayed.

   Or:

   From the Action Details page of an action in Completed status, click **Reopen Action**. An Action Details window is displayed.

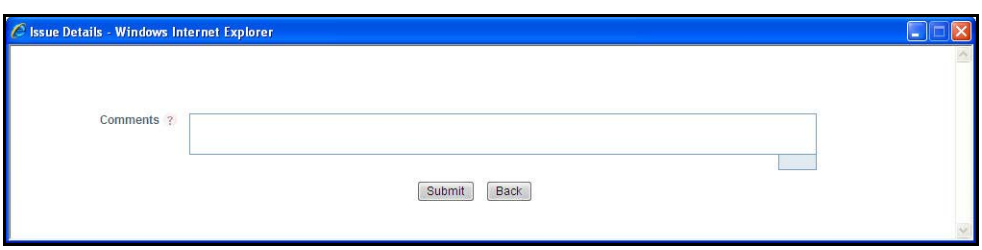


Figure 113. Reopening an Action

2. Enter comments in the **Comments** field.
3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

4. Click **OK**.
5. Click **Back**. You are navigated to either the updated Action Search List page or Issues Details page from where the reopening actions is performed. The status of the issue changes to *Open*.

Deleting an Action in Draft Status

Users mapped to the role of Action Owner can delete issues in Draft status if they are not applicable to the business or an organization.

To delete an action in Draft status, follow these steps:

1. From the Action Search and List page, select an issue in Draft status.
2. Click **Delete**. The following confirmation window is displayed:
3. Click **OK**. The following message is displayed: *Delete Operation Successful*.
4. Click **OK**. The selected action is deleted.

   You are navigated to the updated Action Search and List page.

Exporting List of Actions to Excel

You can export the list of actions displayed in the Action Search and List page to an Excel spreadsheet.

Note: You cannot export individual actions to Excel.

To export the Action List to an Excel format, follow these steps:

1. Navigate to the Action Search and List page.
2. Click **Export**. 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 a browser window with a dialog box.
5. Click **Save** from the dialog box. The Save As dialog box is displayed.
6. Select a location where you want to save the file.
7. Enter a new name in the File Name field or application automatically generates a name for the file.
8. Click **Save**. The application saves your file to the specified location.

   All actions in the Action Search and List page are exported into an Excel template.

Viewing Actions Profile Report

The Action Details page allows you to view the details of the issue in a PDF document.

To view the action details in a PDF, follow these steps:

1. Navigate to the Action Details page.
2. Click **Action Profile**. A File Download Box is displayed.

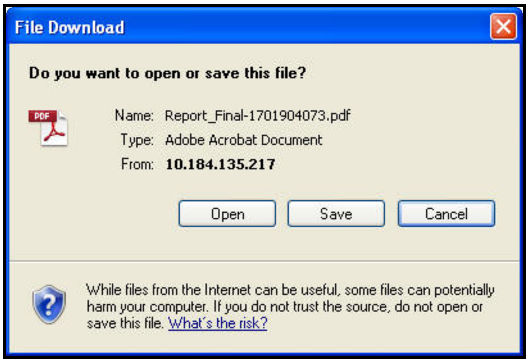
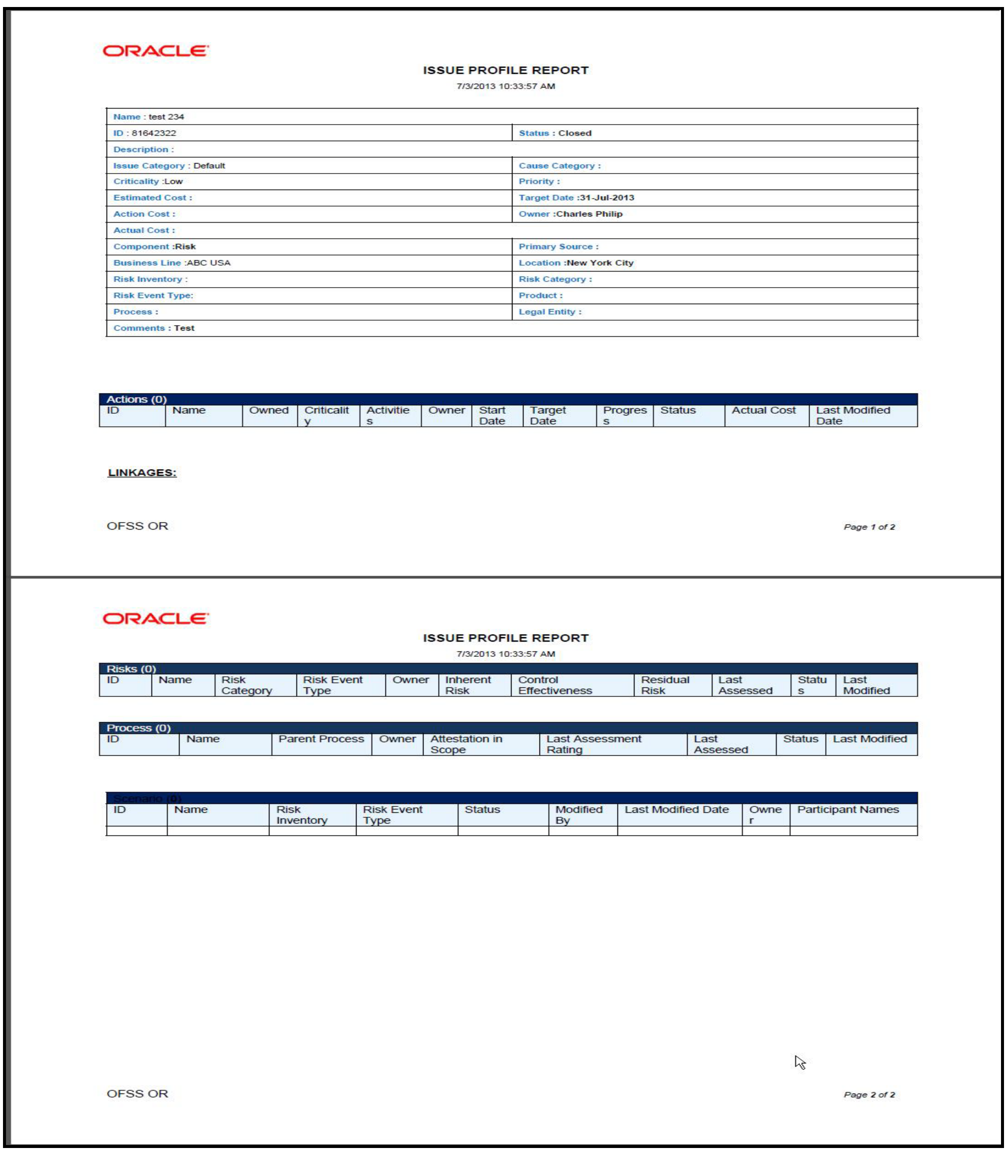


Figure 114. File Download Window

3. Click **Open** to view the Action Profile Report.



ORACLE

ISSUE PROFILE REPORT

7/3/2013 10:33:57 AM

Name : test 234	
ID : 81642322	Status : Closed
Description :	
Issue Category : Default	Cause Category :
Criticality :Low	Priority :
Estimated Cost :	Target Date :31-Jul-2013
Action Cost :	Owner :Charles Philip
Actual Cost :	
Component :Risk	Primary Source :
Business Line :ABC USA	Location :New York City
Risk Inventory :	Risk Category :
Risk Event Type:	Product :
Process :	Legal Entity :
Comments : Test	

Actions (0)

ID	Name	Owned	Criticality	Activities	Owner	Start Date	Target Date	Progress	Status	Actual Cost	Last Modified Date

LINKAGES:

OFSS OR Page 1 of 2

ORACLE

ISSUE PROFILE REPORT

7/3/2013 10:33:57 AM

Risks (0)

ID	Name	Risk Category	Risk Event Type	Owner	Inherent Risk	Control Effectiveness	Residual Risk	Last Assessed	Status	Last Modified

Process (0)

ID	Name	Parent Process	Owner	Attestation in Scope	Last Assessment Rating	Last Assessed	Status	Last Modified

Scenario (0)

ID	Name	Risk Inventory	Risk Event Type	Status	Modified By	Last Modified Date	Owner	Participant Names

OFSS OR Page 2 of 2

Figure 115. Action Profile Report

CHAPTER 8 Managing Admin Tasks

This chapter provides an overview of the Admin module in the OFSERA application and provides step-by-step instructions to use this module.

This chapter covers the following topics:

- About the Admin Module
- User Roles and Actions
- Tasks and Notifications
- Accessing Admin Features
- Managing Reference Data
- Managing Preferences
- Managing Preferences
- Managing Access Rights
- Managing Application Preferences

About the Admin Module

The Admin module of the OFSERA solution allows users mapped to the Administrator user role to configure, maintain and perform tasks that are applicable across the organization. This module helps organizations set their base values and thresholds, which define the amount of risk the organization will be facing. User can also distribute responsibilities in the organization to various users and user roles and maintain the users mapped, the roles mapped and the groups which they are attached to from the Admin module.
The Admin module also allows user to manage the data which populates the hierarchies and drop-down lists that are used throughout OFSERA. You can use the Workflow Manager to configure the process flow of each module. For example, your organization might want to create actions directly for an entity, such as a risk, without going through the process of creating an issue first and then creating an action for that issue. User has a provision to use the Issue feature to configure these preferences. It allows the user to set up plans for risk and control assessment scope for a particular entity. It permits the user to set up plans for risk and control assessment scope for a particular entity.

Salient Features

The Admin module provides the following features to help organizations manage their risk:

- Reference Data Management controls and maintains the values which populate the hierarchies and drop-down lists throughout OFSERA
- Provides an ability to set Financial Impact Scales
- Allows you to set and manage the email notification configurations. It provides the ability to Turn on or Turn off receiving Task and Notification as email
- Provides an ability to assign a original users' rights to other users that they can perform and close tasks previously reserved for the original users

- Allows you to perform a search across all entities in the application
- Allows you to maintain user groups and the mapping of roles to user groups. It also allows to map users to specific groups.
- Provides an ability to organizations to have a standard methodology, which reduces the burden of creating similar Assessment Plans for multiple entities and also creates a forward schedule of assessing risks and controls. It allows the user to set up plans for risk and control assessment scope for a particular entity.

Admin Reports

The Admin module generates the following reports:

- Idle Users
- Unauthorized Users
- Disabled Users
- Deleted Users
- Logged in Users
- User Profile
- Resource Utilization
- User Access

User Roles and Actions

The Administrator is the only user who manages the Admin features in an organization. This user configures, maintains, and performs tasks that are applicable across the organization. Users mapped to the role of Administrator can perform the following actions:

- **Managing Reference Data:** This action allows Administrators to control and maintain the values which populate the hierarchies and drop-down lists throughout OFSERA.
- **Documents Upload:** This action allows Administrators to maintain and store all the documents uploaded across the OFSERA application.
- **Managing Preferences:** This action allows Administrators to define the settings used throughout the application, including Workflow, User Interface, Issues and Actions functionality, and Risk Assessment functionality.
- **Managing Preferences:** This action allows Administrators to set and manage the email notification configurations.
- **Managing Access Rights:** This action allows Administrators to perform a search across all records in the application.
- **Managing Access Rights:** This action allows Administrators to maintain user groups and the mapping of roles to user groups

The following sections provide step by step instructions to complete these actions:

Tasks and Notifications

Tasks are actionable items assigned and sent to a user role. By performing these tasks, the appropriate user completes the workflow defined in the module. Notifications are messages sent to a user stating that an action has been performed in the application.
Both Tasks and Notifications can be viewed from the Inbox menu in the application. The following table lists the notifications that each user role will receive in their Inbox menu on performing a particular delegation action.

Accessing Admin Features

This section explains how to access Admin module in Oracle Financial Services Enterprise Risk Assessment application.

To access the Admin module, follow these steps:

1. Login to OFSERA application. The OFSERA Home page is displayed.
2. Hover over the **Admin** primary menu.
3. Select the Admin feature that you wish to use from the **Admin** drop-down. The respective page displays. Users mapped to the Administrator user role may select the following features:
   - Reference Data Management
   - Application Preferences
   - Preferences
   - Access Rights

Managing Reference Data

This section gives complete information on Reference Data Management and describes how to manage Reference Data Management.

The Reference Data Management functionality allows you to control and maintain the values which populate the hierarchies and drop-down lists throughout OFSERA.

This section covers following topics:

- Searching Reference Data
- Managing Reference Data Details

Searching Reference Data

This section explains you how to search and filter the existing Reference Data. The Search and List page allows you to filter the Reference Data that you want to view and analyze. The Reference Data search bar supports two types of search-Basic Search, and Universal Search. You can use only one search at a time.

This section explains the following topics:

- Searching Reference Data Using Basic Search
- Searching Reference Data Using Universal Search

Searching Reference Data Using Basic Search

This search is based on limited set of search criteria and helps you to retrieve the relevant Reference Data details.

To search Reference Data using the Basic Search, follow these steps:

1. Navigate to the Reference Data Search and List page.

Figure 116. Basic Search

Note: By default, the Reference Data Search and List page displays twenty five records.

2. Enter the following details in the Search fields to filter the Reference Data list.

Table 45. Reference Data Search Criteria

Criteria	Description
Code	Enter the Code of Hierarchy. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Name	Enter the Name of Hierarchy. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Component	Enter the Component of the Hierarchy. This helps to search for hierarchies based on the Component to which the Hierarchy belongs to. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Hierarchy Type	Select the Hierarchy Type from the drop-down list. This helps to search for Single level hierarchy or Multi-level hierarchy.

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

   Note: If there are no matched details with the given search criteria then Alert popup window displays following message: *No records found with the given search criteria*.

Searching Reference Data Using Universal Search

This search is based on Universal search criteria and helps you to retrieve the relevant Reference Data details.

To search Reference Data using the Basic Search, follow these steps:

1. Navigate to the Reference Data Search and List page.
2. Click **Universal Search**. For more information about the Universal Search page, refer to section *Managing Access Rights*.

Managing Reference Data Details

Reference Data Details page allows you create and update the reference data.

This section explains the following topics:

- Adding New Nodes
- Editing Nodes

Adding New Nodes

New Nodes are added to include new values in a Hierarchy or Drop-down. For example, if you want a new category in the Risk Category field. The same can be done by adding a new node to Risk Category Hierarchy.

This section explains how to add new reference data nodes.

To add Nodes, follow these steps:

1. Navigate to the Reference Data Search and List page.
2. Click the ID in the Code column for the reference data you wish to add a node for. The Reference Data Details page is displayed.

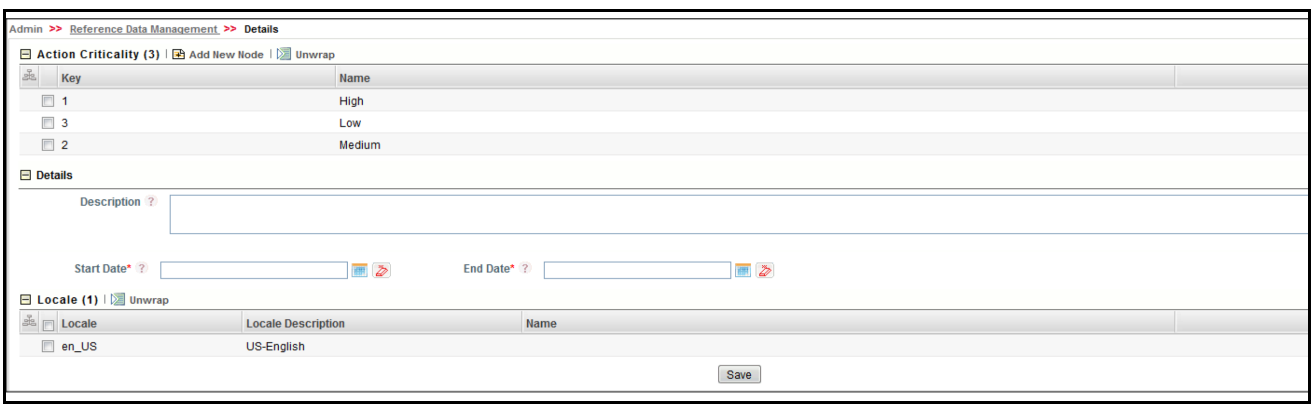


Figure 117. Reference Data Details page

3. Click **Add New Node**. The Details section expands in the Reference Data Details page.
4. Enter the following information in the Reference Data Node fields:

Table 46. Add New Data Node

Field	Description
Description	Enter a description of the reference data node.
Start Date	Select the Start date from calendar. This is the date from when this node is available as a part of the Hierarchy.
End Date	Select the End date from calendar. This is the date till when this node is available as a part of the Hierarchy.
Parent Node	Select the node under which the new node will be listed in the Hierarchy.This field only applies to Multi-level hierarchies.

5. Select the language or languages in the Locale section and enter the Name. If you define the name of the node for particular locale, the same will be displayed wherever the node is used for respective locales.
6. Click **Save.** The following message is displayed: *Add Operation Successful.*

   Note: To Submit a Reference Data, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

Editing Nodes

This section explain how to edit and update the Nodes.

To edit Nodes, follow these steps:

1. Navigate to the Reference Data Search and List page.
2. Click the ID in the Code column for the Reference Data you wish to edit. The Nodes Details page is displayed.
3. Modify the necessary information. For more information of the fields, refer *Table 46*.
4. Click **Save**. The following message is displayed: *Add Operation Successful.*

   Note: If a node has reached the end date, it will no longer be available in the drop-down list or hierarchy list and so on.

Managing Preferences

The Preferences feature allows you to set and manage the email notification configurations. It provides the ability to Turn on or Turn off receiving Task and Notification as email.

To configure the Email Notification settings, follow these steps:

1. Select the **Preference** from the Admin menu on the Home page. The Preferences page displays.

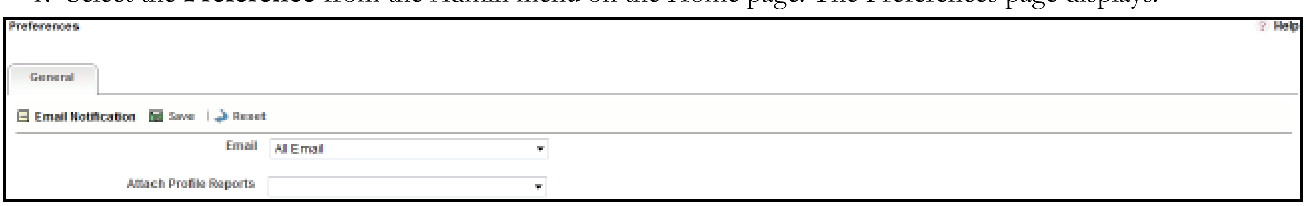


Figure 118. Preferences page

2. Enter the pertinent information in the Preference page.

Table 47. Preference Settings

Fields	Description
Email	Select **Email** from the drop-down list. The following options display: • **No Email**: No email will be generated, that is Task and Notification will not to send to user Inbox. • **Email Digest:** Sends one email with all task and notification generated for the current day. • **All Email:** Sends email as and when the Task and Notification are triggered.
Attach Profile Reports	Select the **Attach Profile Reports** option either as Yes or as No, from the drop-down list. This option is enabled only if you have selected the **All Email** option in the Email field.
Locale	This drop-down list displays all locales present in the application. By default, this is set to US-English.

3. Click **Save**. The selected preferences are saved and will be used whenever the Send Email option is present.

   Note: User should specify the Valid Email ID to receive the Task and Notification.

The emails which are sent as Task and Notification will have following sections:

Table 48. Email Content

Fields	Description
Addressee	The user name to whom the email to be sent.
Subject	Subject of the email. It will be automatically set to the Task or Notification Type.
Salutation	Salutation is the user's first name appended to the word Dear. System picks the user first name in case of both User based and Role based task and notification.
Body of the Message	This is based on the task and notification specific.

Fields	Description
Content of the Email	Following sections will be used for Content printing on the email: New Task Generation • Name • Entity ID • Entity name • Entity Status • Due Date Reassigned Task • Name • Entity ID • Entity name • Entity Status • Due Date • Reassigned By • Reassigned On Notification • Name • Entity Name • Entity ID • Due Date • Task owner
Signature:	No signature is applicable.

Managing Access Rights

The Access Rights feature allows you to maintain user groups and the mapping of roles to user groups. It also allows you to map users to specific groups, providing role mapping for a Business Line and Location combination.

This section covers following topics:

- Maintaining User profile
- Mapping User Profile

Maintaining User profile

This section describes how to manage user groups and map access rights to user groups.

This section covers following topics:

- Searching User Profiles
- Creating User Groups
- Editing User Groups
- Deleting User Groups
- Viewing User Details

- Managing Access Rights

Searching User Profiles

This section explains you how to search and filter the existing User Profiles. The Search and List page allows you to filter the User Profiles that you want to view and analyze.

To search User Profiles using the Basic Search, follow these steps:

1. Navigate to the User - Profile Maintenance Search and List page.

Figure 119. User - Profile Maintenance Search

Note: By default, the User - Profile Search and List page displays all User Profiles.

2. Enter the following details in the Search fields to filter the User - Profile Maintenance list.

   The following table provides a list of the search criteria that display in the User - Profile Maintenance Search section:

Table 49. Criteria for Search

Criteria	Description
Name	Enter the name of the user group. This helps to search the User Profile with this name. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Code	Enter the code of the user group. This helps to search the User Profile with this code. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Modified Date	Select the equality operator from drop-down. Select the last modified date from the calendar to display User Profile having modified date greater than or equal to the specified date.

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

   Note: If there are no matched details with the given search criteria then Alert popup window displays following message: *No records found with the given search criteria.*

Creating User Groups

User Groups are created to group users with similar roles or rights under one umbrella.

To create User Group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Click **Create Group**. The Group Details window is displayed.

Figure 120. Group Details window

3. Enter the following details in the Group Details window fields.

Table 50. Criteria for Search

Fields	Description
Code	Enter the code of User Group. **Note:** If you try to submit the User Group details without entering the code, the application displays the following message: *Name and Code are mandatory to create a user group.*
Name	Enter the name of User Group. **Note:** If you try to submit the User Group details without entering the code, the application displays the following message: *Name and Code are mandatory to create a user group.*
Description	Enter the description of the user group. This helps to search the User Profile with this code. This field allows you to enter a maximum of 300 characters

4. Click **Submit**. The following message is displayed: *Add Operation Successful*.
5. Click **OK**. The new user group is updated in User Group list.
6. Click **Cancel** to return to the User Groups section.

   Warning: To save a User Group as draft, It is mandatory to enter the Name, Type, and Purpose of the plan. If not, the application displays the following message: *Name and Code are Mandatory for creating Group*.

Editing User Groups

This section allows you to edit and update only description in User Group details.

To edit User Group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Click the **Name of Group**. The Group Details window is displayed.
3. Modify the necessary information in Description field.

   Note: You can not edit Code and Name of the User Group.
4. Click **Submit**. The following message is displayed: *Update Operation Successful*.
5. Click **OK**. The user group is updated in User Group list.
6. Click **Cancel** to return to the User Groups section.

Deleting User Groups

This section allows you to delete User Groups.

To delete User Group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Select the **Name** of Group. If the selected group is mapped to any access rights, then the Access Rights section expands.
3. Click **Delete Group**. Application checks if the user group has users mapped. If yes, the following error message is displayed: *Users are mapped to this User Group. Please remove the users before deleting the group.*

   Application also checks if the user group has access rights mapped. If yes, the following message displays: *Action Rights are mapped to this User Group. Please remove the action rights before deleting the group.*

   If there are no users or access rights mapped to the user group, the following confirmation message displays: *Are you sure you want to delete this record?*
4. Click **OK** to delete the user group. The updated User Group list is displayed.

Viewing User Details

This section allows you to view the users mapped to the user group.

To view users mapped to the user group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Click the link in the Users Mapped column. The Users Mapped to the Group window is displayed with the User ID, User Name, and Email ID of all users mapped to this group.

Managing Access Rights

This section allows you to how to manage Access Rights.

This section covers following topics:

- Mapping Access Rights
- Deleting Access Rights

Mapping Access Rights

Access rights mapped to the user to have access to perform tasks for the selected Business Units or roles. This section allows you to map access right to the selected User Groups.

To map access rights to a user group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Select a User Group. The relevant Access Right details are expanded.

3. Select the Business Line you wish to map to the User Group and click **Map Rights**. The Add Access Rights window is displayed.

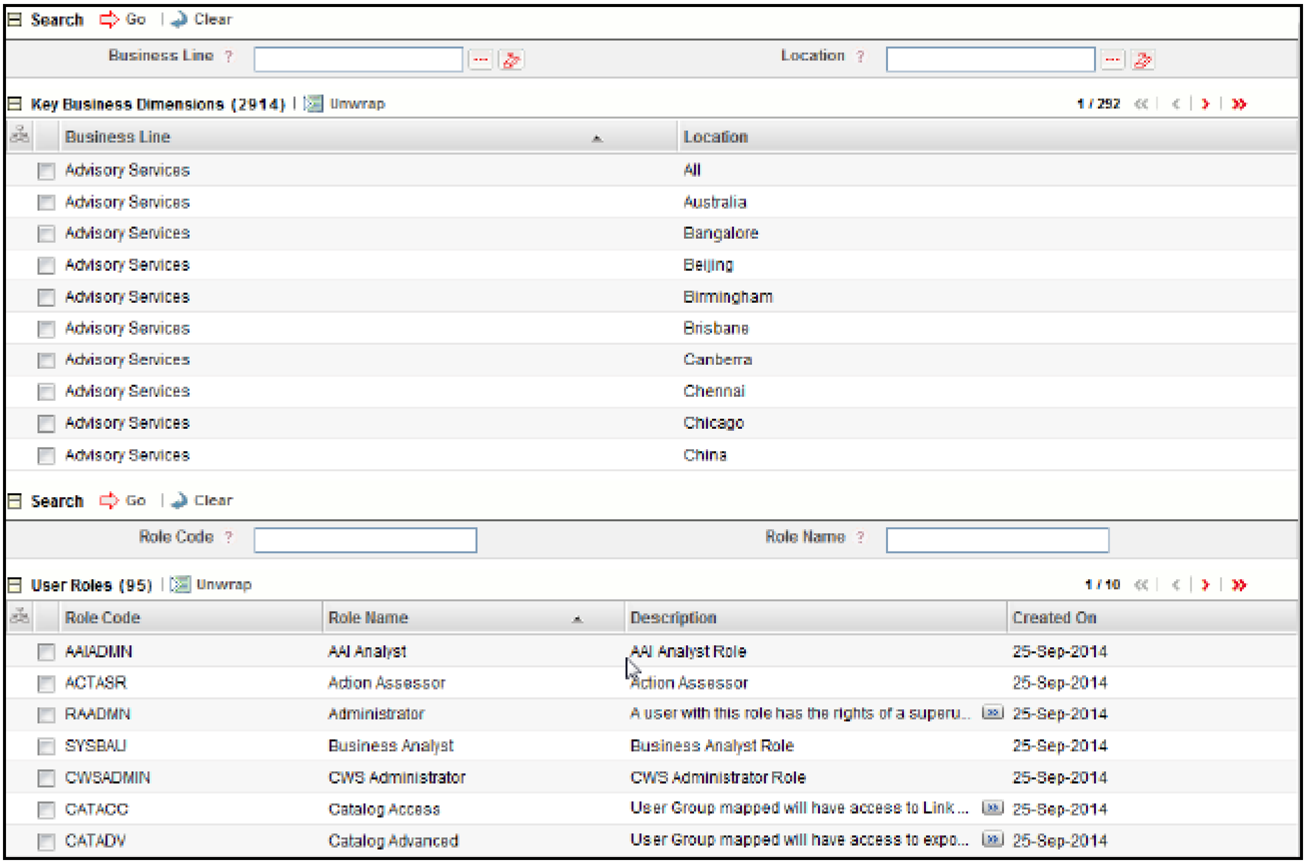


Figure 121. Add Access Rights window

4. Select the Business Line and Location combination from the Key Business Dimensions section. You can select multiple Business Line and Location combinations.

   Note: You can search the specific Business Line and Location from the hierarchy browser.

5. Select the User Role or Roles you wish to map to the user group.

   Note: You can search the specific User Role or Roles from the hierarchy browser.

6. Click **Map Rights**. The following confirmation message is displayed: *Update Operation Successful*.

Deleting Access Rights

Access Rights are removed when a User Group is designed not to have access to perform tasks for a certain Role(s) and/or Business Lines.

To delete access rights from a user group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.

2. Select a User Group. The relevant Access Right details are expanded.
3. Select the Access Rights you wish to delete.
4. Click **Delete Rights**. The following confirmation message is displayed: *Are you sure you want to delete this record?*
5. Click **OK** to delete the access right from the user group. The Updated Access Rights list is displayed.

Mapping User Profile

The User Profile Mapping feature allows you to map and unmap users to user groups.

Searching User Groups

This section explains you how to search and filter the existing User Groups. The Search and List page allows you to filter the User Groups that you want to view and analyze.

To search User Profiles, follow these steps:

1. Navigate to the User - Profile Mapping Search and List page.

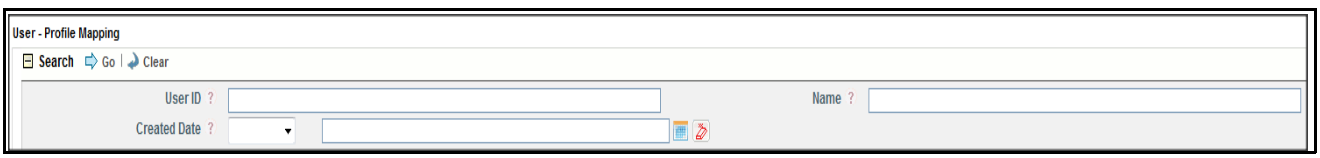


Figure 122. User - Profile Mapping Search

Note: By default, the User Groups Search and List page displays all User Groups.

2. Enter the following details in the Search fields to filter the User - Profile Mapping list.

   The following table provides a list of the search criteria that display in the User - Profile Mapping Search section:

Table 51. Criteria for Search

Criteria	Description
User ID	Enter the login ID of the user. This helps to search the User Profile with this name. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Name	Enter the name of the user. This helps to search the User with this name. This field allows you to enter a maximum of 300 characters and supports wildcard search.
Created Date	Select the equality operator from drop-down. Select the created date from the calendar to display User having created date greater than or equal to the specified date.

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank

   Note: If there are no matched details with the given search criteria then Alert window displays following message: *No records found with the given search criteria.*

Mapping User Groups to a User

To map an existing user to a user group, follow these steps:

1. Navigate to the User - Profile Mapping Search and List page
2. Select the user you wish to map to a user group. The User Groups and Access Rights sections expand.

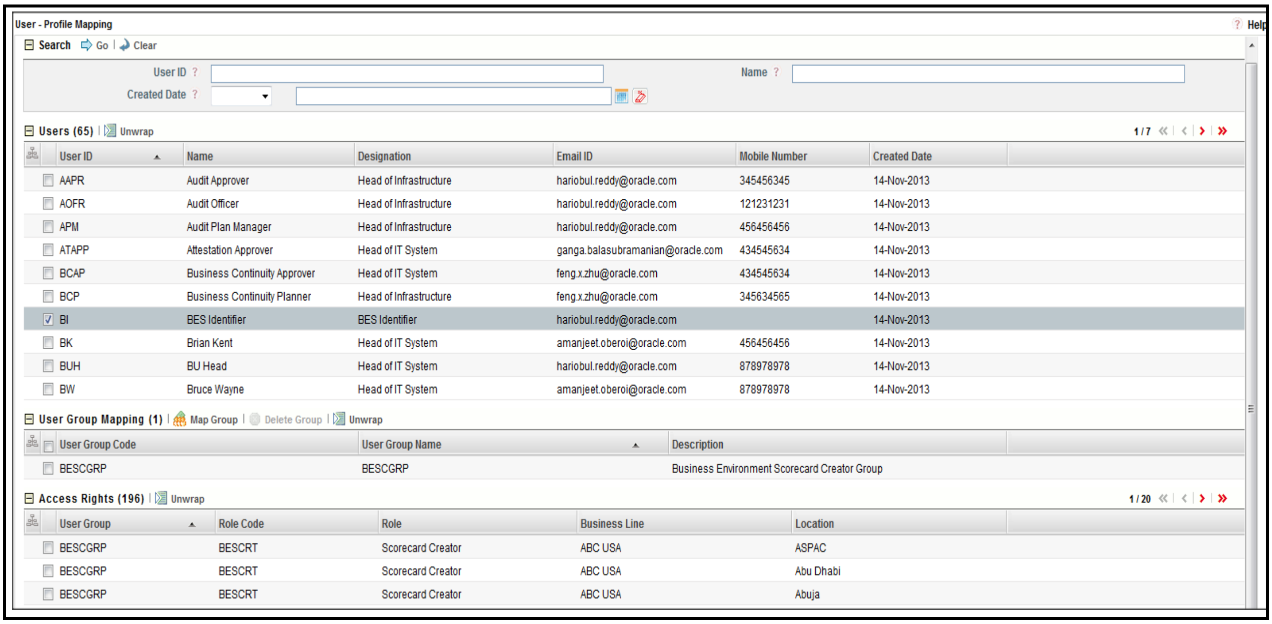


Figure 123. User Profile Mapping window

3. Click **Map Group**. The Map Groups to User window displays.

4. Select the user group or groups you wish to map the user to.

   Note: You may select multiple user groups.

5. Click **Save**. The user groups selected are mapped to the selected user. The Access Rights section refreshes and displays all rights the user has been given.

Deleting User Group Mappings

To delete a user group mapping, follow these steps:

1. Navigate to the User - Profile Mapping Search and List page.
2. In the Users section, select the user you wish to delete mappings. The User Groups and Access Rights sections expand.
3. In the User Groups section, select the user group you wish to delete a mapping for.

   Note: You can select multiple user groups to delete mappings for.

4. Click **Delete Group**. The following confirmation message displays: *Are you sure you want to delete this record?*

5. Click **OK** to delete the user group mapping.

Managing Application Preferences

This chapter provides an overview of the Application Preferences in the OFSERA application and provides step-by-step instructions to use this module.

This chapter covers the following topics:

- About the Application Preferences
- User Roles and Actions
- Managing the Workflow
- Managing the Issues and Action Configuration
- Managing the Risk Appetite Settings

About the Application Preferences

Application Preferences allows you to manage the workflows of each module of OFSERA, manage the field names, messages, screen name, and so on.

The following sections provide step by step instructions for using the Application Preferences features.

- Managing the Workflow
- Managing the Issues and Action Configuration
- Managing the Risk Appetite Settings

User Roles and Actions

This section covers the following topics:

- User Role
- Actions

User Role

The Administrator is the only user who manages the Application features in an organization. This user configures, maintains, and performs the tasks that are applicable across the organization. The Administrators can define the settings used throughout the application, including Workflow, User Interface, Issues and Actions functionality, and Risk Assessment functionality.

Actions

An **Administrator** can perform the following actions in Application Preference:

- **Managing Workflows:** The Administrator can create, edit, active, or deactive the Workflow. Also, this user can add a new Route Rule, Notification, and Tasks, and map them with user roles/users.
- **Managing Issues and Actions Configuration:** The Administrator can enable or disable the Issues and Action for selected module.
- **Managing Risk Assessment Configuration:** The Administrator allows you to choose which of these non-mandatory fields should be displayed or hidden, according to the needs of your organization.

Managing the Workflow Manager

The Workflow Manager feature allows you to configure the process flow of each module of OFSERA from a centralized location. You can also configure the Tasks and Notifications sent to each user based on the rules.

Accessing the Workflow Manager

This section explains how to access the Workflow Manager under the Admin module in Oracle Financial Services Enterprise Risk Assessment application.

Users mapped to the role of Admin can access the Workflow Manager section.

To access the Workflow Manager section, follow these steps:

1. Login to OFSAAI application. The OFSAAI Home page is displayed.
2. Select **Enterprise Risk Assessment**. The OFSERA Home page is displayed.
3. Select **Application Preference** from the Admin menu on the Home page and then select **Workflow Manager**. The Workflow Manager page is displayed.
4. Select **Application name** and the required **Workflow Function Name**. The default Master Workflow will be displayed with all other Workflows for the selected Function. Only one Workflow will be active at a time for selected Function.

Process Flow of Workflow

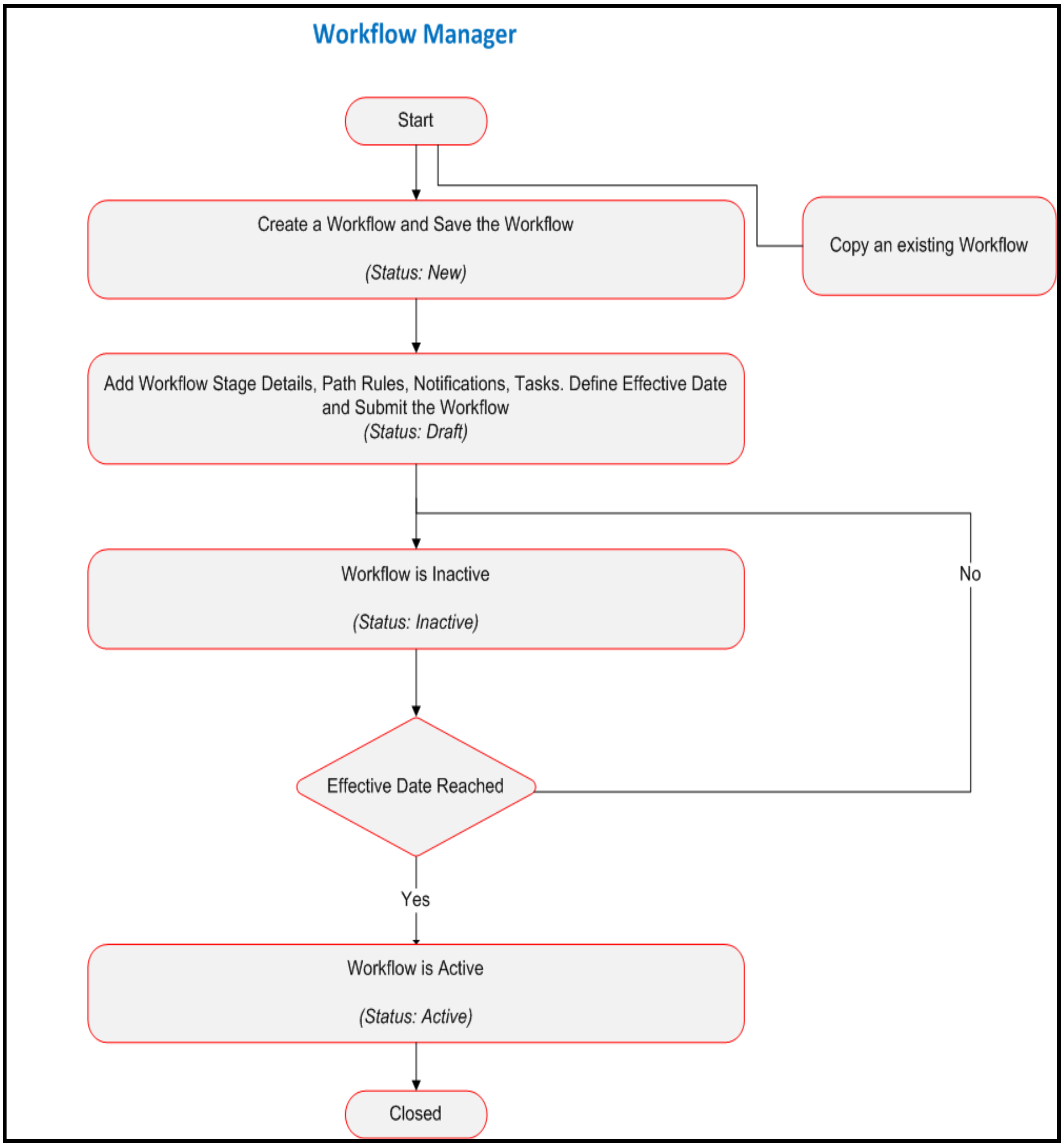


Figure 124. Process flow of Workflow

Searching Workflow

This section explains you how to search and filter the existing Workflow. The Search and List page allows you to filter the Workflow that you want to view and analyze.

To search Workflow, follow these steps:

1. Navigate to the Workflow Search and List page.

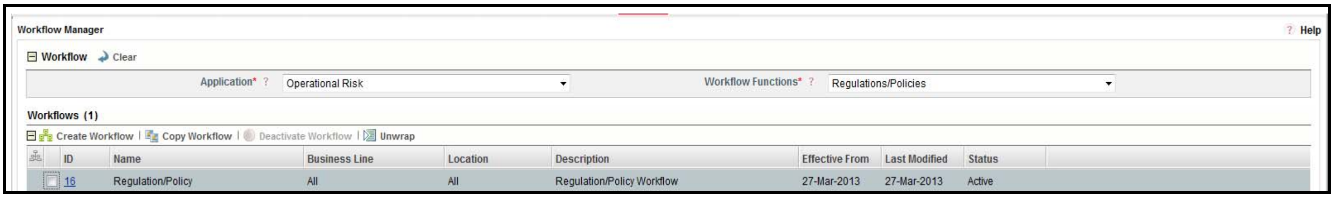


Figure 125. Searching Workflow

2. Enter the following details in the Search fields to filter the Workflow list.

   The following table provides a list of the search criteria that display in the Workflow Search section:

Table 52. Search Criteria

Criteria	Description
Application	Select the application for which Workflow Manager is installed.
Workflow Functions	Select the function of an application for which Workflows are to be defined. It will be enabled after selecting the Application name in Application field. If you select Application name as Enterprise Risk Appetite, then following values are applicable for Workflow Function field: • Risk Appetite Definition • Issues • Actions • Key Indicators • KI Assessments • KI Aggregation • KI Library • Risk Appetite Assessment

Creating a Workflow

The Workflow Search and List page allows you to create a new Workflow for a selected function.
To create a new Workflow, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Click **Create Workflow.** The Workflow Details page is displayed.

   Note: The status of the Workflow is *New.*

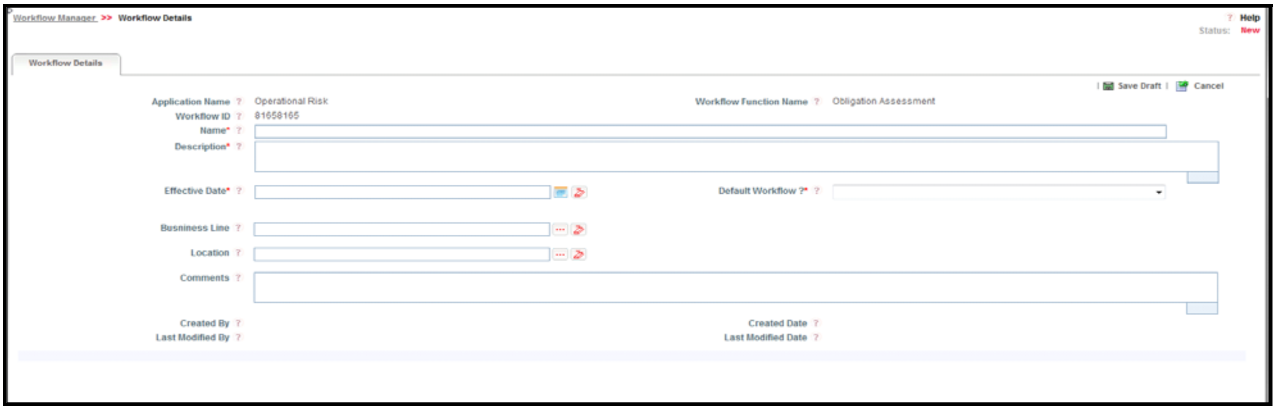


Figure 126. Workflow Details page

4. Enter the pertinent information in the Workflow Details page.

Table 53. Workflow Details

Field	Description
Application Name	This is the application name in which Workflow Manager is installed. The field will be auto populated.
Workflow Function Name	This is the Workflow Function name to which Workflow being created. The field will be auto populated.
Workflow ID	Displays the sequential tracking number given to a Workflow. (system generated)
Name	Enter the name of the Workflow. This field allows you to enter a maximum of 300 characters. **Note:** If you try to save the Workflow details without entering the Workflow name, the application displays the following message: *Please enter the Workflow Name.*
Description	Enter a brief description of the Workflow. The description field in the Workflow Details page allows you to enter a maximum of 3000 characters. As you begin entering the comments, the word count displayed below the Description text box keeps decreasing. If you try to enter more than 3000 characters in this field, the following error message is displayed: *Number of characters exceeded*.
Effective Date	Select the date from which Workflow will be activated, from the calendar. The Workflow will be activated automatically from the defined Effective Date using the Batch run.
Default Workflow	Select the default status of the Workflow Rule as Yes or No. ● If you select the **Default Workflow** as Yes, then the Workflow will be applicable to all business Line and Location. After selecting this option as Yes, Business Line and Location fields will be disabled. ● If you select the **Default Workflow** as No, then the Workflow will be applicable to selected business Line and Location. After selecting this option as No, Business Line and Location fields will be enabled to enter the details.

Business Line	Select the business line where the Workflow is applicable from the hierarchy browser. Workflow are mapped to the business line (for example, Product, Corporate, and so on).
Location	Select the location where the Workflow is applicable from the hierarchy browser. Workflow are mapped to the location (for example, London, Bangalore, and so on).
Comments	Enter remarks if applicable. **Note:** If you try to enter more than 3000 characters in the Comment field, the application displays the following message: *Number of characters exceeded*.
Created By	Shows the user’s name who created the workflow. This field is auto populated after saving the Workflow.
Created Date	Show the date on which the workflow was created. This field is auto populated after saving the Workflow.
Last Modified By	Shows the user’s name who last modified the workflow. This field is auto populated.
Last Modified Date	Shows the date on which the workflow was last modified. This field is auto populated.

5. Click **Save Draft**. A Confirmation dialog box is displayed. If you click OK, the Workflow is saved and the Workflow Details page is displayed. Now, the status of Workflow is changed to *Draft*.

Submitting a Workflow in Draft Status

Users mapped to the role of Admin can submit a Workflow. The Workflow Search and List page allows you to submit a Workflow.

A Workflow in *Draft* status can be submitted if all mandatory fields of Workflow Details are entered.

To submit a Workflow, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the Application and Workflow Function Name.
3. Select a Workflow in *Draft* status. The Workflow Details page is displayed.

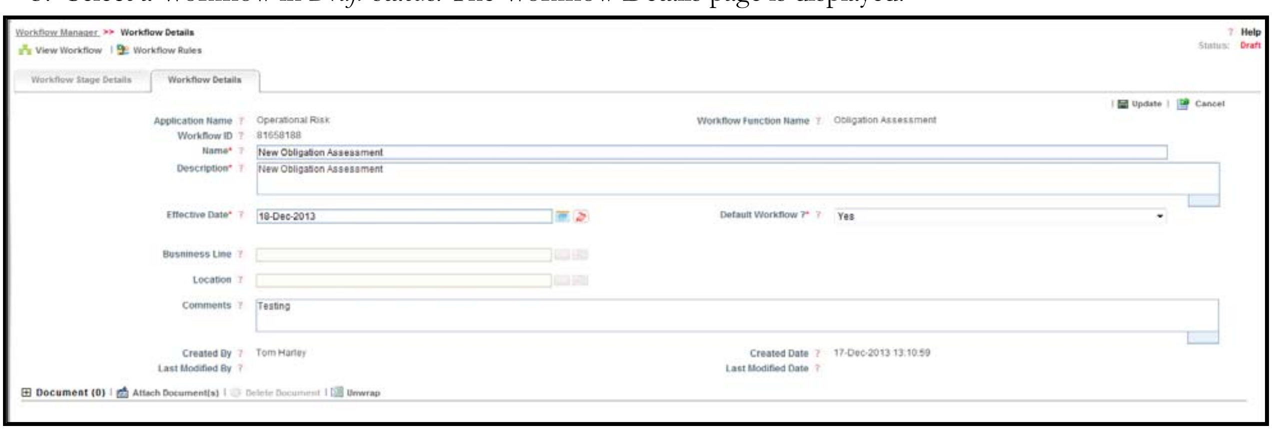


Figure 127. Submitting Workflow Details

The Workflow Details page allows you to perform the following tasks in *Draft* status:

- Editing Workflow Details
- Attaching and deleting documents related to Workflow
- Viewing Workflow
- Viewing/Creating Workflow Rules
- Updating Workflow Stage Details

For more information on these sections, refer to the *Managing Workflow Details* section.

4. Enter the details before submitting the Workflow.
5. Click **Submit**. The following message is displayed: *Update Operation Successful.* The Status of the Workflow changes to *Inactive*.
   If the Effective date of Workflow is today's date, then the Workflow will be *Active* from today's date.

Copying Workflow

The **Copy Workflow** functionality allows you to make a copy of existing Workflow. It will copy the Stage details, Routing Rules, Notifications, Tasks of existing Workflow.
To copy a Workflow, follow the steps given below:

1. Navigate to Workflow Search and List page.
2. Select the Application and Workflow Function Name. The list of Workflows will display.
3. Select a Workflow ID.
4. Click **Copy Workflow.** The Copy Workflow page will display.

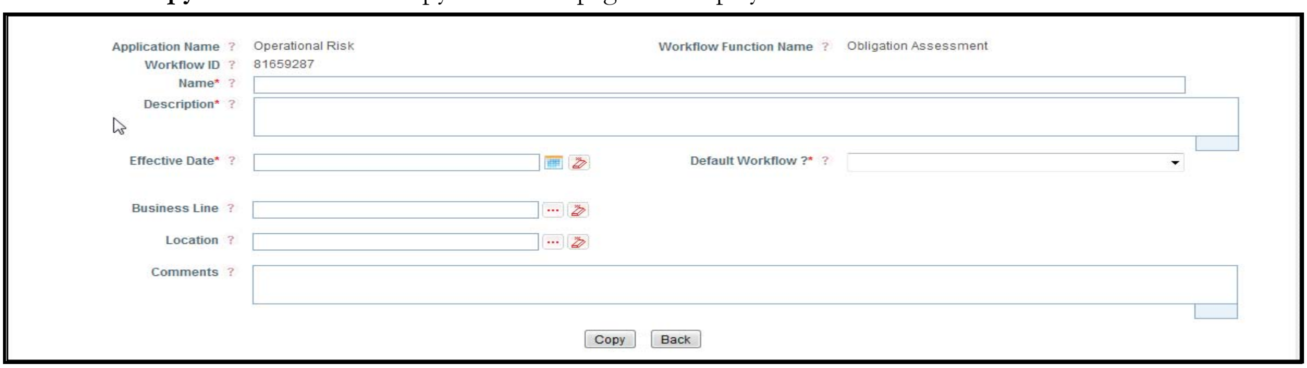


Figure 128. Copying Workflow

5. Click **Copy**.

Managing Workflow Details

The Workflow Details page allows you to manage functionalities pertaining to the Workflow.
The section explains the following topics:

- Managing Details
- Managing Workflow Rules
- Managing Workflow Stage Details
- Viewing Workflow

Note: Only an Administrator can edit the Workflow details.

Managing Details

This tab displays the complete information about the Workflow.

This section allows to perform following tasks:

- Editing Workflow Details
- Attaching and Deleting Documents

Editing Workflow Details

This section describes how to edit and update the existing Workflow details. You can edit the Workflow details when it is in *Draft* status. You can edit the following fields in *Draft* status:

- Name
- Description
- Effective Date
- Business Line
- Location
- Default Workflow
- Comments.

Note: You can edit **Business Line** and **Location** fields only if the **Default Workflow** option is selected as No.

To edit a Workflow, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the Application and Workflow Function Name.
3. Select a Workflow ID. The Workflow Details page is displayed.
4. Click **Workflow Details** tab.
5. Click **Edit**. The editable fields are enabled in the Workflow Details page.

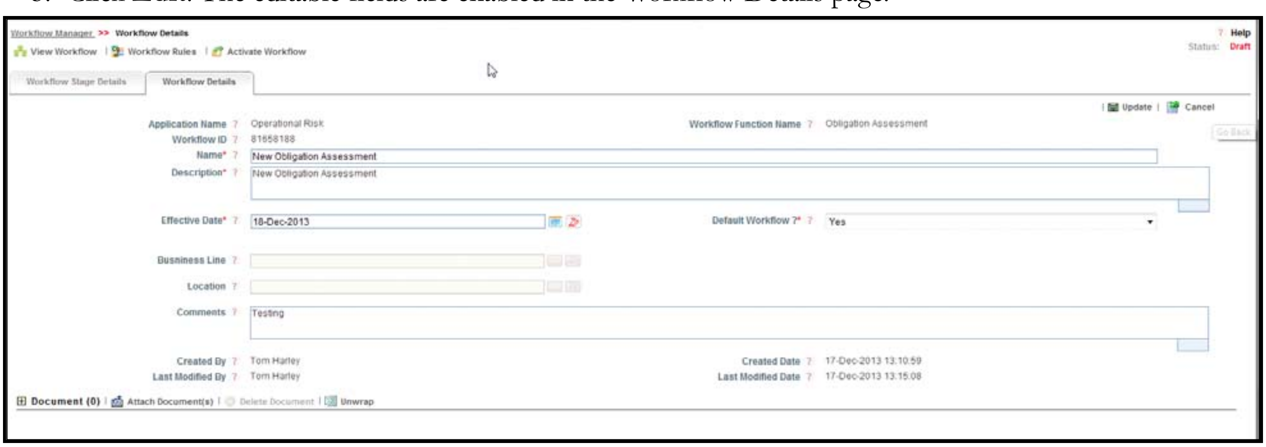


Figure 129. Editing of a Workflow

6. Modify the necessary information. For more information about the Workflow Details page, refer to *Workflow Details*.
7. Click **Update**. The following message is displayed: *Update Operation Successful*.

8. Click **OK** to confirm the changes. The updated Workflow Details page is displayed.

Attaching and Deleting Documents

The Workflow page allows you to attach or delete documents related to a Workflow. Users mapped to the role of Administrator can attach and delete documents related to the Workflow.

For more details on attaching and deleting documents, refer to the General Features chapter.

Managing Workflow Rules

This section allows you to manage the Workflow Rules. The Workflow Rule Search and List page is accessible from Workflow Details page. You can map a rule from **Default** workflow to another workflow using the Rule repository. If the rule is not defined, then you can create the rule and map it
This section allows you to perform the following tasks:

- Searching Workflow Rule
- Creating Workflow Rule
- Editing Workflow Rule
- Deleting Workflow Rule

Searching Workflow Rules

This section explains you how to search and filter the existing Workflow Rules. The Workflow Rule Search and List page allows you to filter the Workflow Rules that you want to view and analyze. The Workflow Rule search section supports two types of search- Search by Views, and Search and you can use only one search at a time.

This section explains the following topics:

- Searching Workflow Rules Using Basic Search
- Searching Workflow Rules Using Pre-defined Views

Searching Workflow Rules Using Basic Search

This search is based on limited set of search criteria and helps you to retrieve the relevant Workflow Rules.

To search for a Workflow Rule using the basic search, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select a Workflow ID in *Draft* Status. The Workflow Details page will be displayed.
3. Click **Workflow Rules**.

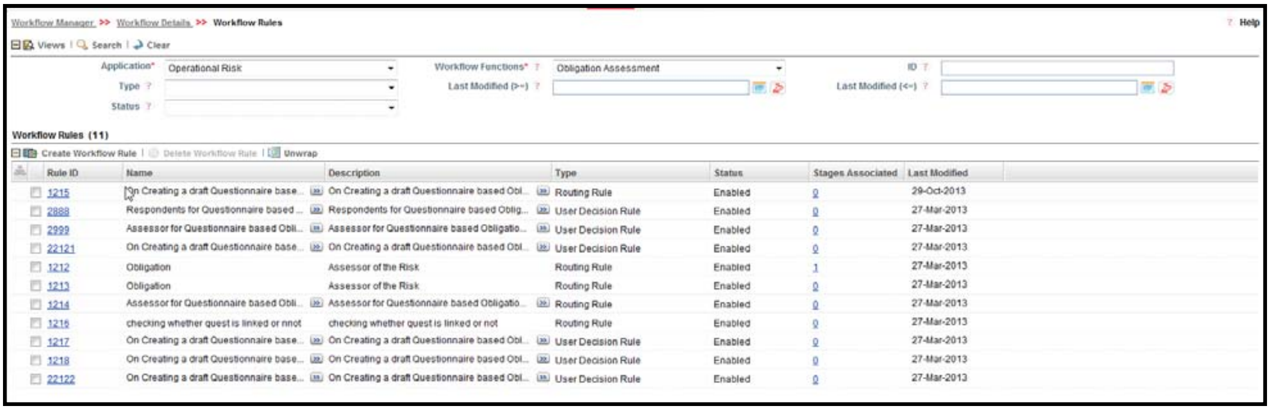


Figure 130. Searching Workflow Rule Using Basic Search

Note: By default, the Workflow Rule Search and List page displays all the Workflow Rules for selected Application and Workflow Function.

4. Enter the following search criteria in the basic search fields to filter the Workflow Rule list.

The following table provides a list of the search criteria that display in the Workflow Rule Search section:

Table 54. Basic Workflow Rule Search Criteria

Criteria	Description
Application	Select the application for which Workflow Manager is installed.
Workflow Function	Select the function of an application. It will be enabled after selecting the Application name in Application field.
ID	Enter the sequential tracking number of the Workflow. This field allows you to enter a maximum of 8 numeric values.
Type	Select the category to which the Workflow Rule belongs, from the drop-down list. Following are the possible values for Workflow Rule Type drop-down list: • Routing Rule • User Decision Rule • User Allocation Rule • Role Allocation Rules

Criteria	Description
Last Modified From	Select the last modified date from the calendar to display Workflow Rules having modified date greater than or equal to the specified date. **Validations:** If the date entered in **Last Modified From** is later than the date entered in **Last Modified To** the application displays the following message: *Please verify the range selected in Last Modified Date.*
Last Modified To	Select the last modified date from the calendar to display Workflow Rules having modified date less than or equal to the specified date. **Validations:** If the date entered in **Last Modified From** is later than the date entered in **Last Modified To**, the application displays the following message: *Please verify the range selected in Last Modified Date.*
Status	Select the Workflow Rule status from the drop-down Following are the possible values for Status drop-down list: ● Enable ● Disable

5. Click **Go**. The relevant search list is displayed.

   Note: You can click **Clear** to reset the search fields to blank.

   Warning: If there are no matched details with the given search criteria then the Alert pop-up window displays following message: *No records found with the given search criteria.*

Searching Workflow Rules Using Pre-defined Views

Views search represents pre-populated search criteria and helps you to filter the Workflows Rule based on the pre-defined views.

To search for a Workflow Rule using pre-defined views, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the Application and Workflow Function Name.
3. Select a Workflow ID in *Draft* Status. The Workflow Details page will be displayed.
4. Click **Workflow Rules**.
5. Click **Views**. The Views drop-down list is displayed.

Figure 131. Searching Workflow Rule Using Views

6. Select any of the pre-defined views from the Views drop-down list. The relevant Workflow Rule list page is displayed.

   The following table explains the different types of pre-defined views available.

Table 55. Workflow Views

View Type	Description
Active Allocation Rules	Select *Active Allocation Rules* from the Views drop-down list to display the Allocation Workflow Rules which are in enabled status in descending order of the last modified date.
Active Routing Rules	Select *Active Routing Rules* from the Views drop-down list to display the Routing Workflow Rules which are in enabled status in descending order of the last modified date.

Creating Workflow Rule

You can create a new Workflow Rule using the Create Workflow Rule option. You can map the workflow rule to Stage details, Notification, or Task, if workflow in draft, inactive, and active status.
To create a Workflow Rule, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Click a Workflow ID. The Workflow Details page is displayed.
4. Click **Workflow Rules.**

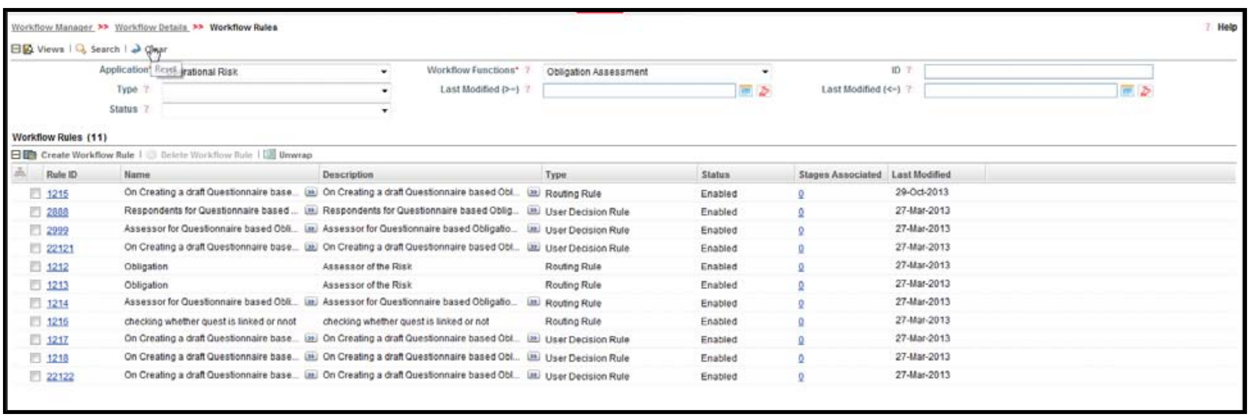


Figure 132. Workflow Rules

5. Click **Create Workflow Rule**.

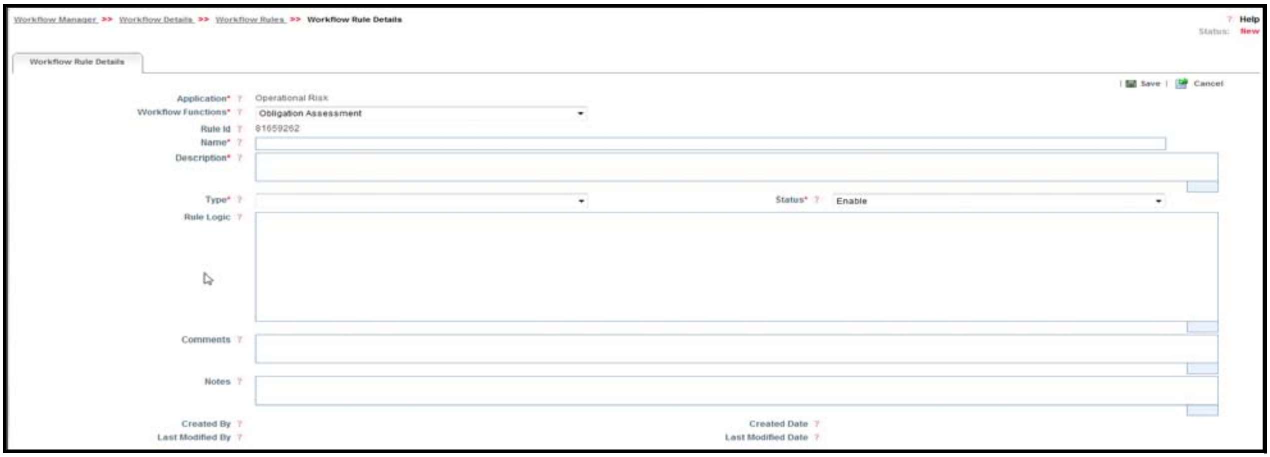


Figure 133. Workflow Rule Details Page

6. Enter the pertinent information in the Workflow Rule Details page.
   The following table describes the fields of this page.

Table 56. Components of the Workflow Rule Details Page

Field	Description
Application	This field is auto-populated and shows the selected Application name. You cannot edit this field.
Workflow Function	This field is auto-populated and shows the selected Workflow Function name. You edit the Workflow function name, if required.
Rule ID	This is an auto populated sequential tracking number assigned to Workflow Rules. This field is not editable.
Name	Enter the name of the Workflow Rule. This field allows you to enter a maximum of 300 characters. **Note:** If you try to save the Workflow Rule details without entering the Workflow Rule name, the application displays the following message: *Please enter the Workflow Rule Name.*
Description	Enter a brief description of the Workflow Rule. The description field in the Workflow Rule Details page allows you to enter a maximum of 3000 characters. As you begin entering the comments, the word count displayed below the Description text box keeps decreasing. If you try to enter more than 3000 characters in this field, the following error message is displayed: *Number of characters exceeded*.

Type	Select the type of Workflow rule. The following values are possible for Type drop-down: ● **Routing Rule:** Select the Type of Workflow Rule as **Routing Rule**, if the Rule belongs to any Routing stage. ● **User Decision Rule:** Select the Type of Workflow Rule as **User Decision Rule**, if the Rule belongs to user's decision. ● **User Allocation Rule:** Select the Type of Workflow Rule as **User Allocation Rule**, if the Rule belongs to user's irrespective of User's role. ● **Role Allocation Rules:** Select the Type of Workflow Rule as **Role Allocation Rule**, if the Rule belongs to user's Role allocation irrespective of User.
Status	Enter the Status of the Workflow rule as Enable or Disable. ● Enable: If the Workflow Rule is Enabled, then the Workflow Rule will be effective for Workflow, where is it selected. ● Disable: If the Workflow Rule is Disabled, then the Workflow Rule will not be effective for Workflow, where is it selected.
Rule Logic	Enter the logic of Workflow Rule in standard programming language (SQL Query). **Note:** If you try to enter more than 3000 characters in the Rule Logic field, the application displays the following message: *Number of characters exceeded*.
Comments	Enter remarks if applicable. **Note:** If you try to enter more than 3000 characters in the Comments field, the application displays the following message: *Number of characters exceeded*.
Notes	Enter the notes, if required. **Note:** If you try to enter more than 3000 characters in the Notes field, the application displays the following message: *Number of characters exceeded*.
Created By	Shows the user's name who created the workflow Rule. This field is auto populated after saving the Workflow.
Created Date	Show the date on which the workflow Rule was created. This field is auto populated after saving the Workflow.
Last Modified By	Shows the user's name who last modified the workflow Rule.This field is auto populated.
Last Modified Date	Shows the date on which the workflow Rule was last modified. This field is auto populated.

7. Click **Save** button. A confirmation message is displayed: *Add Operation Successful*.
8. Click **Ok**. The Workflow Rule is saved and is displayed under *Workflow Rules* grid after clicking **Cancel**.

Editing Workflow Rule

You can edit or update an existing Workflow Rule.
To edit a Workflow Rule, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.

3. Click a Workflow ID. The Workflow Details page is displayed.
4. Click **Workflow Rules.**
5. Click a Workflow Rule. The Workflow Rule Details page will be displayed.
6. Click **Edit**. Following editable fields will enable for updation: Workflow Function, Name, Description, Type, Status, Rule Logic, Comments, and Notes.

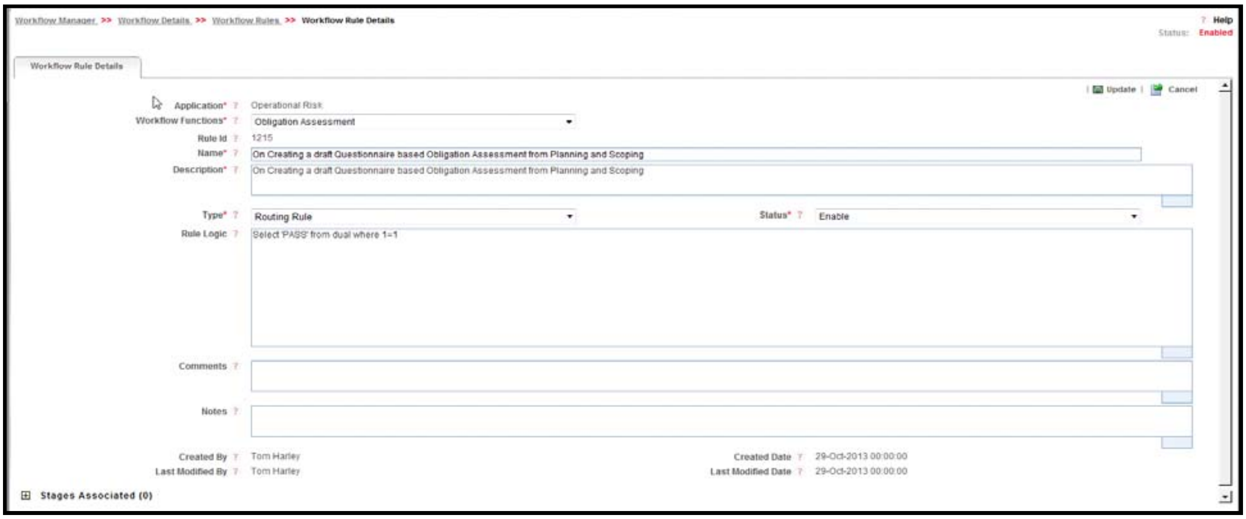


Figure 134. Editing of Workflow Rule

7. Modify the necessary information. For more information about the Workflow Rule Details page, refer Table 2 on page 14.
8. Click **Update**. The following confirmation message is displayed: *Update Operation Successful.*
9. Click **Ok**.

Deleting Workflow Rule

You can delete an existing Workflow Rule, which is not required to map to any Stage details, Notification, or Tasks. If the Workflow rule is mapped to any stage details, notification, tasks and you try to delete that workflow rule, then an error message will display.
To delete a Workflow Rule, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID. The Workflow Details page is displayed.
4. Click **Workflow Rules.**
5. Select a Workflow Rule for which **Stages Associated** field is set as “0” (that shows, the rule is mapped with any stage details, Notification, or Task). You cannot delete Workflow rule, if the **Stage Associated** field of it is set to any other value.
6. Click **Delete Workflow Rule**. The following message is displayed: *Are sure you want to delete this record?*
7. Click **Ok**. The following message is displayed: *Delete Operation Successful.*

Managing Workflow Stage Details

This section allows you to manage the Workflow Stage details. You can define the followings Stages of Workflow, that is how and when Workflow will move from one stage to another with Notifications and Tasks.

This section allows you to perform following tasks:

- Creating Workflow Stage
- Editing Workflow Stage in Draft, Active, and Inactive Status
- Adding Routing Rules
- Adding Notification
- Adding Tasks
- Mapping of User Roles
- Mapping of Users
- Mapping of User Allocation Rule
- Mapping of Role Allocation Rule
- Mapping of User Decision Rule

Creating Workflow Stage

You can create a new Workflow Stage using the Create Workflow Stage option, when a Workflow is in *Draft, Active,* or *Inactive* status.
To create a Workflow Stage, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Select the Workflow Stage Details section.

Figure 135. Workflow Stage Details

5. Click **Create Workflow Stage**.

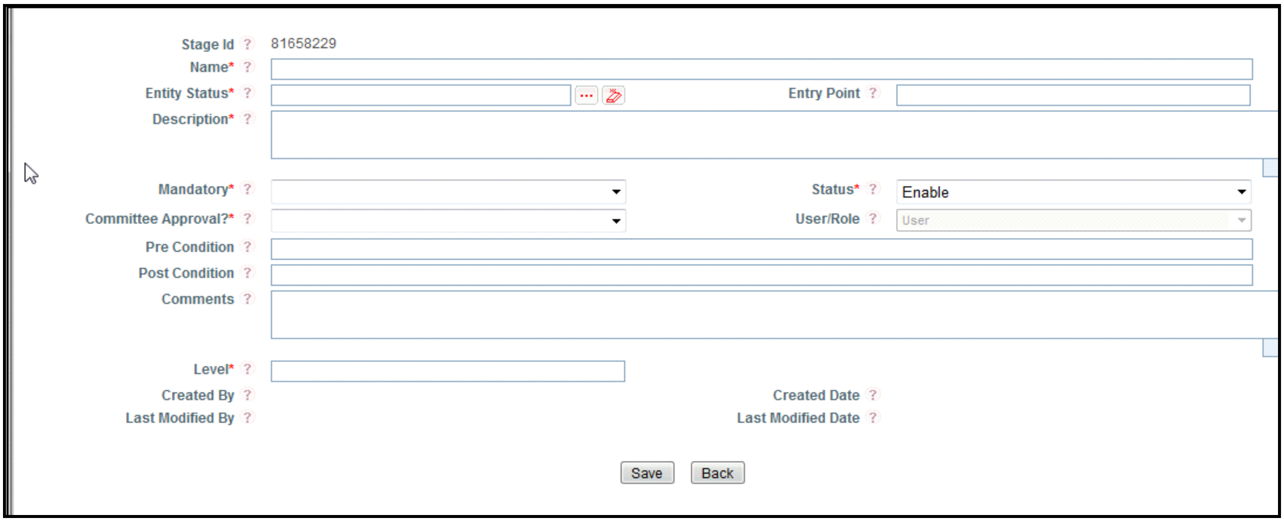


Figure 136. Workflow Stage Details Page

6. Enter the pertinent information in the Workflow Stage Details page.
   The following table describes the fields of this page.

Table 57. Components of the Workflow Stage Details Page

Field	Description
Application	This field is auto-populated and shows the selected Application name. You cannot edit this field.
Workflow Function	This field is auto-populated and shows the selected Workflow Function name. You cannot edit this field.
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. This field allows you to enter a maximum of 300 characters. **Note:** If you try to save the Workflow Stage details without entering the Workflow Stage name the application displays the following message: *Please enter the Workflow Stage name.*
Entity Status	Enter the Entity Status in which the workflow stage is applicable, from hierarchy browser. For example, the Entity Status can be New, Closed, Approved, and so on.
Entry Point	Enter the Entry path for the Workflow, that is you can select a path at which Workflow will enter. This field is numeric and the values are set in individual Stages.
Description	Enter a brief description of the Workflow. The description field in the Workflow Details page allows you to enter a maximum of 3000 characters. As you begin entering the comments, the word count displayed below the Description text box keeps decreasing. If you try to enter more than 3000 characters in this field, the following error message is displayed: *Number of characters exceeded*.
Mandatory	Select this field as yes if the stage is to be made mandatory. If You have selected this option as Yes, then workflow cannot skip the stage.

Status	Enter the Status of the Workflow Stage as Enable or Disable.
Committee Approval	Select this option as yes or No. If you select this option as yes then a committee approval is required to move to next stage, that is Workflow will not proceed until all the users of task have worked on it.
User/Role	If this is selected as user, then all the tasks for which the user is the assigned user will be completed on completion of any one related task in stage. If this is selected as Role, then all the tasks with roles similar to the logged in user will get completed on completion of any one related task in stage.
Pre Condition	Enter the name of procedural condition which should be satisfied, before reaching this stage.
Post Condition	Enter the name of procedural condition which is to be checked, to reach the next stage.
Level	Enter the Level to which the Workflow Stage belongs. This field accepts only numeric values.
Comments	Enter remarks if applicable. **Note:** If you try to enter more than 3000 characters in the Comment field, the application displays the following message: *Number of characters exceeded*.
Created By	Shows the user’s name who created the Workflow Stage. This field is auto populated after saving the Workflow.
Created Date	Show the date on which the Workflow Stage was created. This field is auto populated after saving the Workflow.
Last Modified By	Shows the user’s name who last modified the Workflow Stage.This field is auto populated.
Last Modified Date	Shows the date on which the Workflow Stage was last modified. This field is auto populated.

7. Click **Save** button. The Workflow Stage is saved and is displayed under *Workflow Stages* grid.

Adding Routing Rules

Routing rules are the criteria to determine how a workflow moves between stages. This is performed with the help of adding routing rules which have the logic defined for moving the next stage.

To map a routing rule to a Workflow Stage from the *Workflow Details* window, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Click a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Select the **Workflow Stage Details** tab.
5. Select the Workflow **Stage ID**, to which you want to map a routing rule.
6. Click **Map Rules** button in the *Routing Rules* grid.
7. The *Workflow Rule Details* window is displayed.

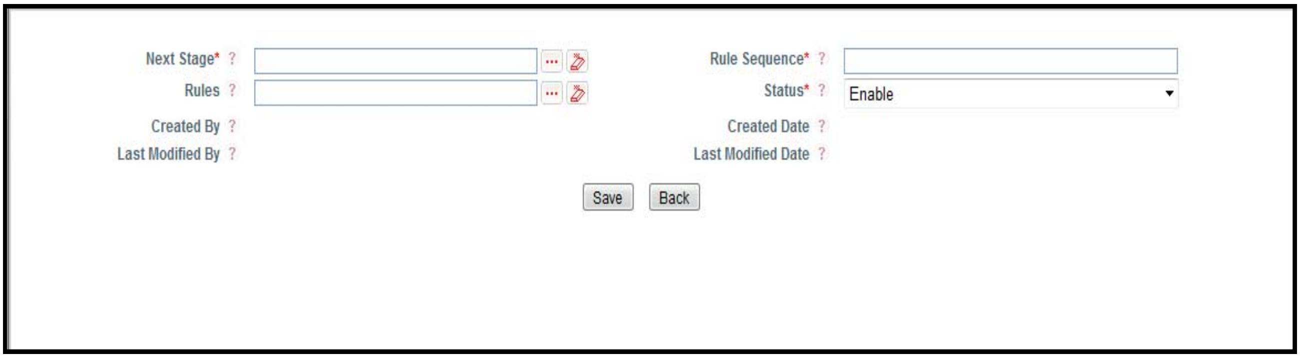


Figure 137. Adding Routing Rules

The following table describes the fields of the Routing Rules page:

Table 58. Adding Routing Rules

Field	Description
Next Stage	Select the Next Stage to where Workflow should move from the current selected stage, from 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	Select the Routing Rule from Hierarchy Browser. For example, for KI Module, **Approval** is a Rule.
Status	Select **Enable** if the rule is to be enabled on the Workflow Stage and **Disable** otherwise. By default, it is set to **Enable**.
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.

8. Click **Save** button.
   The rule is mapped to the Stage and is displayed under *Routing Rules* grid.
   You can click the **Rule ID** 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.

Adding Notification

You can create notifications to be generated, during the entry to a Stage, in the Stage, or during exit from a Stage.

To add a notifications from the *Workflow Details* window, follow these steps:

1. Navigate to the Workflow Search and List page.

2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Click Workflow Stage Details tab
5. Select the Workflow Stage.
6. Click **Notifications**.The *Notifications* grid is displayed.
7. Click **Create Notification** button. The *Workflow Notifications Details* page is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.

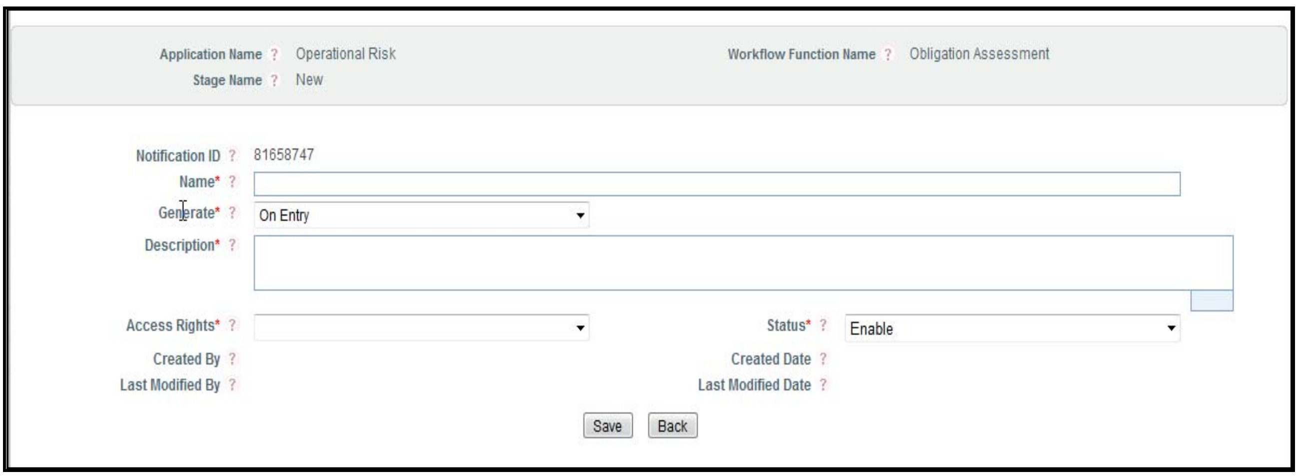


Figure 138. Create Notification Page

The following table describes the fields of the Notification page.

Table 59. Creating Notification

Field	Description
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 field is alphanumeric and the maximum allowed characters are 300.
Generate	Select from the drop down list, when to display the notification. The available values are: ● **On Entry:** If this option is selected, then notification will be generated on the entry of Stage of Workflow. ● **On Exit:** If this option is selected, then notification will be generated on the exit of Stage of Workflow. ● **On Stage:** If this option is selected, then notification will be generated during the Stage of Workflow.
Description	Enter the description for the notification. This field is alphanumeric and the maximum allowed characters are 3000.

Table 59. (Continued)Creating Notification

Field	Description
Access Rights	Select the access rights from the drop down list. The available values are: • **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 for 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 and users.
Status	Select the status of the notification as **Enable** or **Disable.** If the status of Notification is set as Enable, then only the Notification will be generated.
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 last modified the notification.
Last Modified Date	This field is auto populated with the date on which the notification is last modified.

8. Click **Save** button. The notification is saved. After saving a Notification, you can perform the following functions based on the access right selected:
   - **Mapping of User Role:** This option allows you to map a notification with a User Role. For more information on Mapping of User Role, refer to *Mapping of User Roles* section.
   - **Mapping of Users:** This option allows you to map a user to the notification. For more information on Mapping of Users, refer to *Mapping of Users* section.
   - **Mapping of Role Allocation Rule:** This option allows you to map a Rule to a Role. For more information on Mapping of Role User Allocation Rule, refer to *Mapping of Role Allocation Rule* section.
   - **Mapping of User Allocation Rule:** This option allows you to map a Rule to a User. For more information on User Allocation Rule, refer to *Mapping of User Allocation Rule* section.
   - **Mapping of User Decision Rule:** This options allows you to map a decision Rule to a Role. For more information on Mapping of User Decision Rule, refer to *Mapping of User Decision Rule* section.

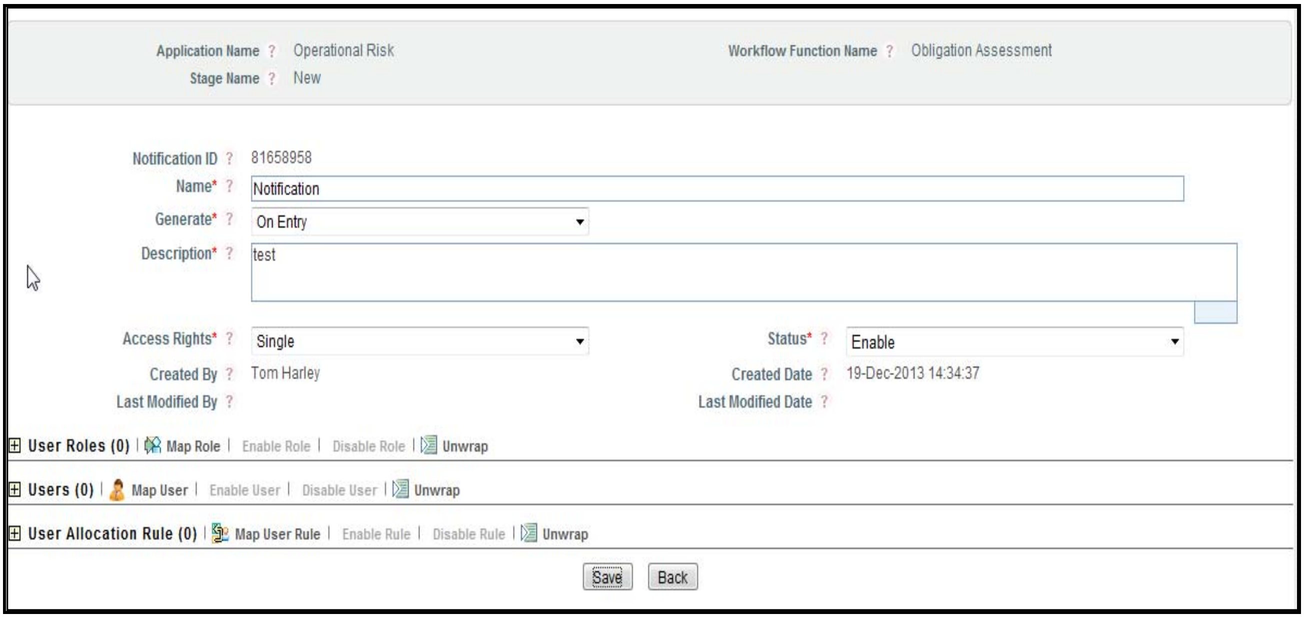


Figure 139. Create Notification Page

9. Click **Back** to navigate the Workflow Stage Details page. Here, you can perform following functions in the Notification grid:
   - **Enable Notification:** If the Notification is set to enable, then only the Notification will be generated. Click **Enable Notification** button from the *Notifications* grid to enable the selected notification. Only Disabled Notification can be Enabled. After clicking on **Enable Notification**, a message is displayed: *Update Operation Successful*. Click **Ok**.
   - **Disable Notification:** Click **Disable Notification** button from the *Notifications* grid to disable the selected notification. Only Enabled Notification can be Disabled. After clicking on **Disable Notification**, a message is displayed: *Update Operation Successful*. Click **Ok**
   - **Mapping of Rule to Notification:** Click **Map Rule** button from the *Notification Rules* grid to map and link a Notification to a rule. For more information, refer to *Mapping of Notification to Rule* section.
   - **Enable Rule:** Click **Enable Rule** button from the *Notification Rules* grid to enable the selected rule.Only Disabled Rule can be Enabled. After clicking on **Enable Rule**, a message is displayed: *Update Operation Successful*. Click **Ok**. You can enable only one Active Rule at a time.**Disable Rule:** Click **Disable Rule** button from the *Notification Rules* grid to enable the selected rule. Only Enabled Rule can be Disabled. After clicking on **Disable Rule**, a message is displayed: *Update Operation Successful*. Click **Ok**.
   - **View Language:** This option allows you to change the language of the Notification as per locale. Select a language under the *Language Manager* grid to select and save a language in which the notification has to be displayed. You can modify the Notification name if required as per locale. This grid will be active only after selecting a Notification ID from Notification grid. By default, the language is set to english. You can edit the same to other languages if the language pack is available.

Mapping of Rule to Notification

After adding a Notification, you can map an existing workflow rule to notification. You can map a Rule to Notification when the Workflow is in Draft, Active, or Inactive status.

To map a notification to a rule, follow the steps given below:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Click the Workflow Stage Details tab.
5. Select the defined Workflow Stage ID.
6. Select the Notification to which you want to map the rule. For more information on adding a Notification, refer to *Adding Notification* section.

   Note: You should select a Notification from Notification grid before mapping a rule, else following message is displayed: *Please select a Notification rules.* At least one rule should be mapped to the notification with enable status. If you want to map any another rule to that notification, then first you will have to disable the existing rule.

7. Click **Map Rule** button from the *Notification Rules* grid. The *Map Rule* window is displayed.
8. In Map Rule window, select the Rule and click **Link**. You can map only one active rule to a notification. For more information on Workflow Rule, refer to Managing Workflow Rules section.

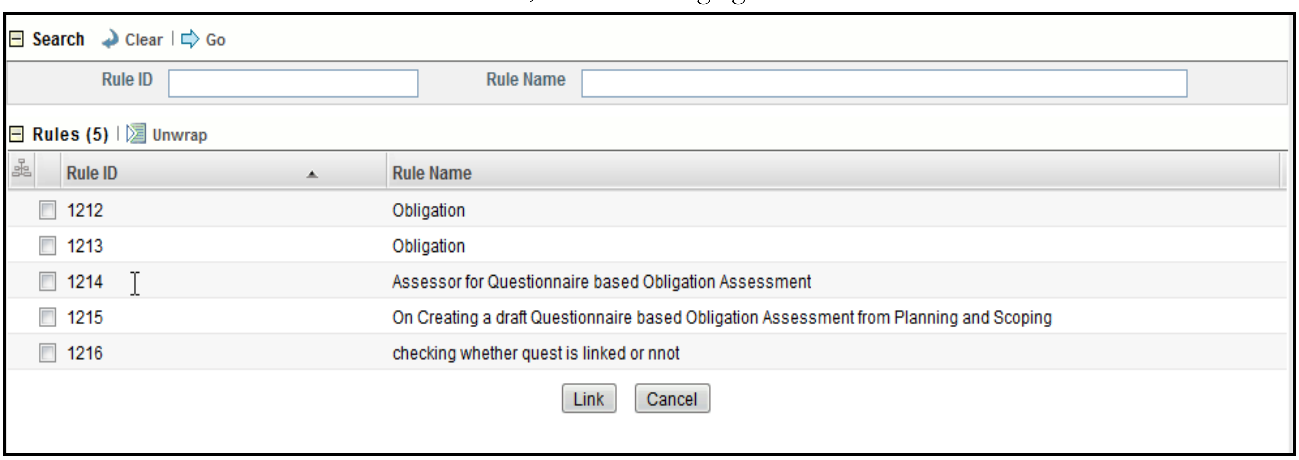


Figure 140. Mapping Rule to Notification

Adding 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. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Click a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Click the Workflow Stage Details tab.
5. Select the Workflow Stage **ID**.
6. Click **Tasks**. The *Tasks* grid is displayed.
7. Click **Create Task**. The *Workflow Tasks* Details page is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.

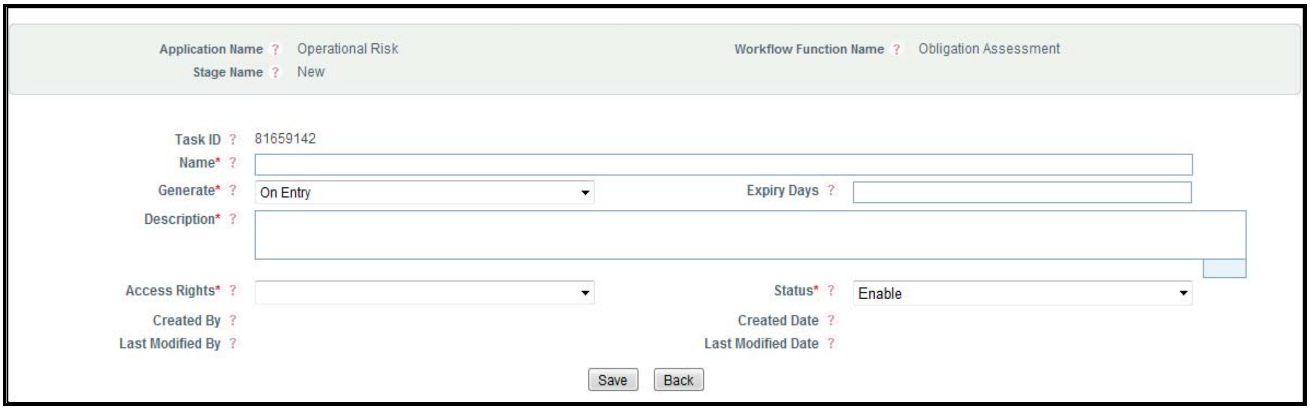


Figure 141. Creating Task Page

The following table describes the fields of the Task page.

Table 60. Creating Tasks

Field	Description
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	• **On Entry:** If this option is selected, then notification will be generated on the entry of Stage of Workflow. • **On Exit:** If this option is selected, then notification will be generated on the exit of Stage of Workflow. • **On Stage:** If this option is selected, then notification will be generated during the Stage of Workflow.
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: • **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 for 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 and users.
Status	Select the status of the task from the drop down list as **Enable** or **Disable**. If the status of Task is set as Enable, then only the Task will be generated.
Created By	This field is auto populated with the name of the user, who created this task.

Table 60. (Continued)Creating Tasks

Field	Description
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.

8. Click **Save** button. The task is saved. After saving a Notification, you can perform the following functions:
   - **Mapping of User Role:** This option allows you to map a notification with a Role. For more information on Mapping of User Role, refer to *Mapping of User Roles* section.
   - **Mapping of Users:** This option allows you to map a user to the Task. For more information on Mapping of Users, refer to *Mapping of Users* section.
   - **Mapping of Role Allocation Rule:** This option allows you to map a Rule to a Role. For more information on Mapping of Role User Allocation Rule, refer to *Mapping of Role Allocation Rule* section.
   - **Mapping of User Allocation Rule:** This option allows you to map a Rule to a User. For more information on User Allocation Rule, refer to *Mapping of User Allocation Rule* section.
   - **Mapping of User Decision Rule:** This options allows you to map a decision Rule to a Role. For more information on Mapping of User Decision Rule, refer to *Mapping of User Decision Rule* section.

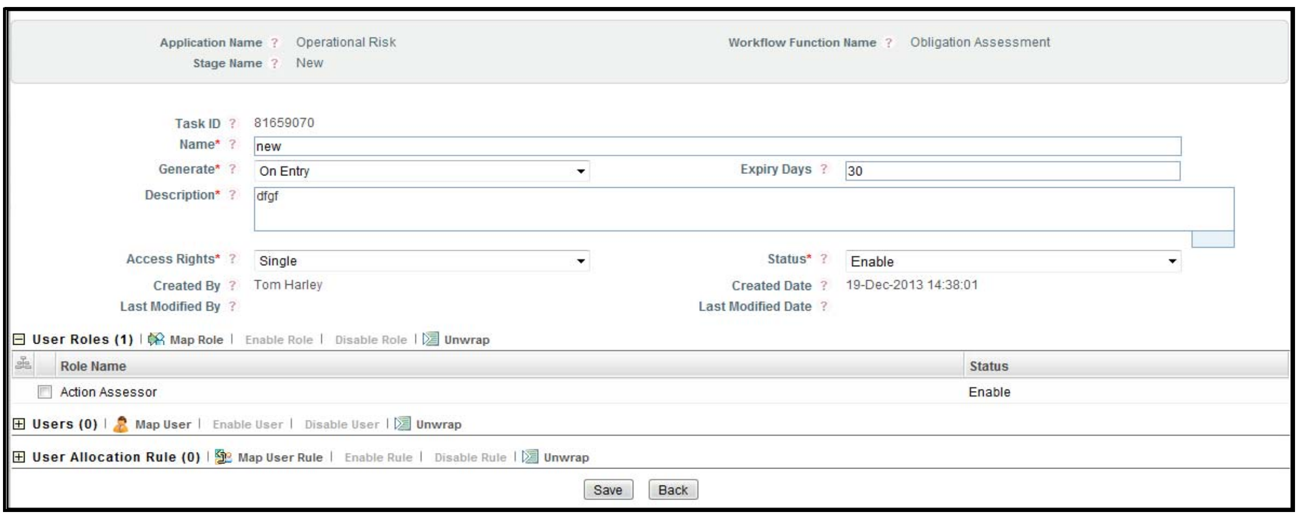


Figure 142. Create Task Page

9. Click **Back** to navigate the Workflow Stage Details page. Here, you can perform following functions from Task grid:
   - **Enable Task:** Click **Enable Task** button from the *Tasks* grid to enable the selected notification. Only Disabled Task can be Enabled. After clicking on **Enable Task**, a message is displayed: *Update Operation Successful*. Click **Ok**.
   - **Disable Task:** Click **Disable Task** button from the *Tasks* grid to disable the selected notification. Only Enabled Task can be Disabled. After clicking on **Disable Task**, a message is displayed: *Update Operation Successful*. Click **Ok**.
   - **Mapping of Rule to Task:** Click **Map Rule** button from the *Task Rules* grid to map and link a Task to a rule.

- **Enable Rule:** Click **Enable Rule** button from the *Task Rules* grid to enable the selected rule. Only Disabled Rule can be Enabled. After clicking on **Enable Rule**, a message is displayed: *Update Operation Successful*. Click **Ok**. You can enable only one Active Rule at a time.
- **Disable Rule:** Click **Disable Rule** button from the *Task Rules* grid to enable the selected rule. Only Enabled Rule can be Disabled. After clicking on **Disable Rule**, a message is displayed: *Update Operation Successful*. Click **Ok**.
- **View Language:** This option allows you to change the language of the Task as per locale. Select a language under the *Task Manager* grid to select and save a language in which the notification has to be displayed. You can modify the Notification name if required as per locale. This grid will be active only after selecting a Task ID from Task grid.

Mapping of Rule to Task

After adding a Task, you can map an existing workflow rule to the Task. You can map a Rule to the Task, when the status of Workflow is Draft, Active, or Inactive.

To map a Rule to a Task, follow the steps given below:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Select the Workflow Stage Details tab.
5. Select the defined Workflow Stage ID.
6. Select the Task to which you want to map the rule. For more information on adding a Task, refer to *Adding Task* section.

   Note: You should select a Task from Task grid before mapping a rule, else following message is displayed: *Please select a Task rules. You should map* at least one rule Task with enable status. If you want to map another rule to the Task, then you will have to disable the existing rule.

7. Click **Map Rule** button from the *Task Rules* grid. The *Map Rule* window is displayed.
8. In Map Rule window, select the Rule and click **Link**. You can map only one active rule to a Task.
   For more information on Workflow Rule, refer to Managing Workflow Rules section.

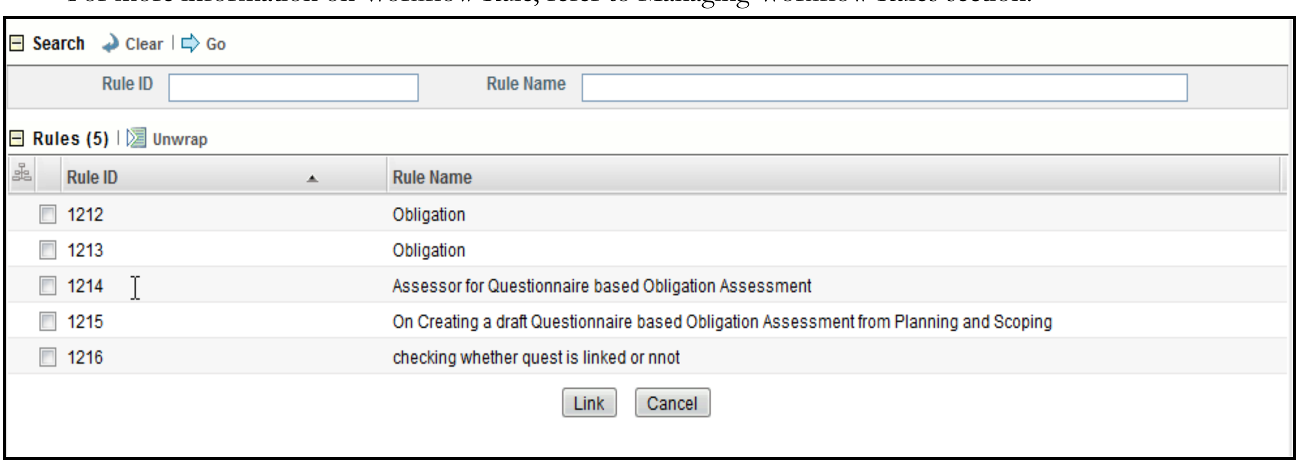


Figure 143. Mapping Rule to Task

Mapping of User Roles

You can map a Role to a Notification or a Task.
This option will be available when you select the **Access Right** as Single, Multi, or Default Access on **Create Notification** or **Create Task** page.

To map a Role to Notification or a Task, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.
   For more information on Adding Notification, refer to Adding Notification section. For more information on Adding Task, refer to Adding Task section.

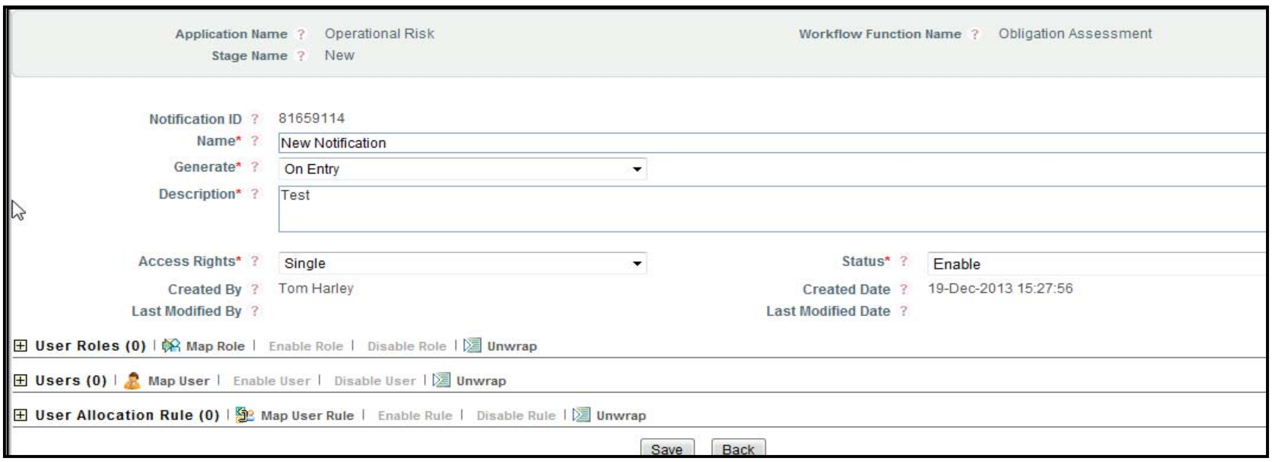


Figure 144. Create Notification Page

2. Click **Map Role** in User Roles grid. The list of User Roles will display. This list shows only those roles which are mapped to the Business Line and Location selected for a workflow. If the Workflow is set to default, then all roles will be displayed in this list.

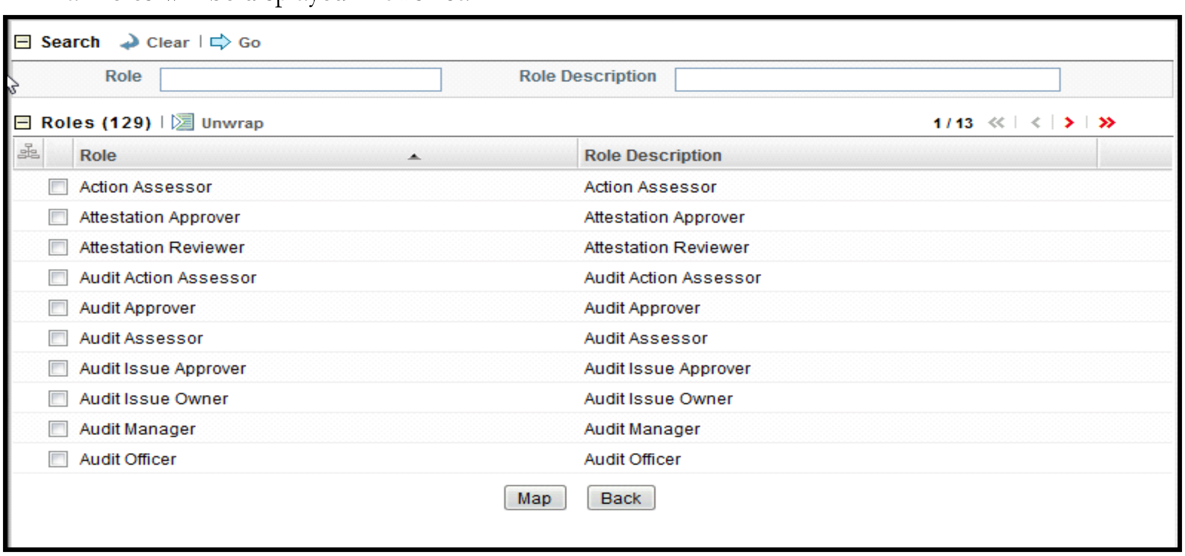


Figure 145. List of User Roles

3. Select a Role and click **Map**. A Confirmation message will display.

Mapping of Role Allocation Rule

This option allows you to add a new Role Allocation Rule. You can map a Role with a Rule.

This option will be available when you select the **Access Right** as Multi on **Create Notification** or **Create Task** page.

To add a User Allocation Rule, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.
   For more information on Adding Notification, refer to Adding Notification section. For more information on Adding Task, refer to Adding Task section.

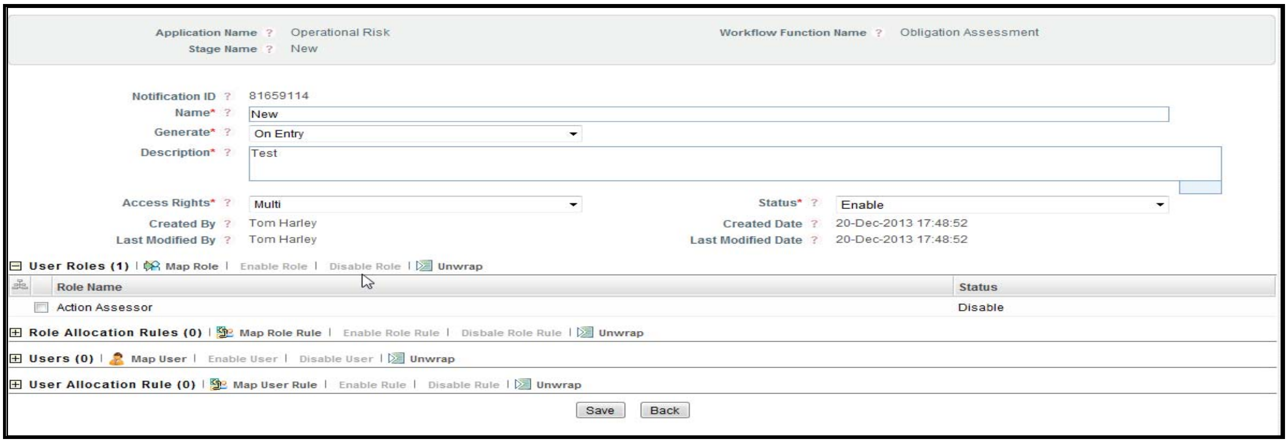


Figure 146. Create Notification Page

2. Select a **User Role**. If a User Role is not selected, then following message is displayed: *Please select a Role to Map Rule*.

3. Click **Map Role Rule**. The list of Role Allocation Rules will display. This list shows all the rules which are role allocation rules.

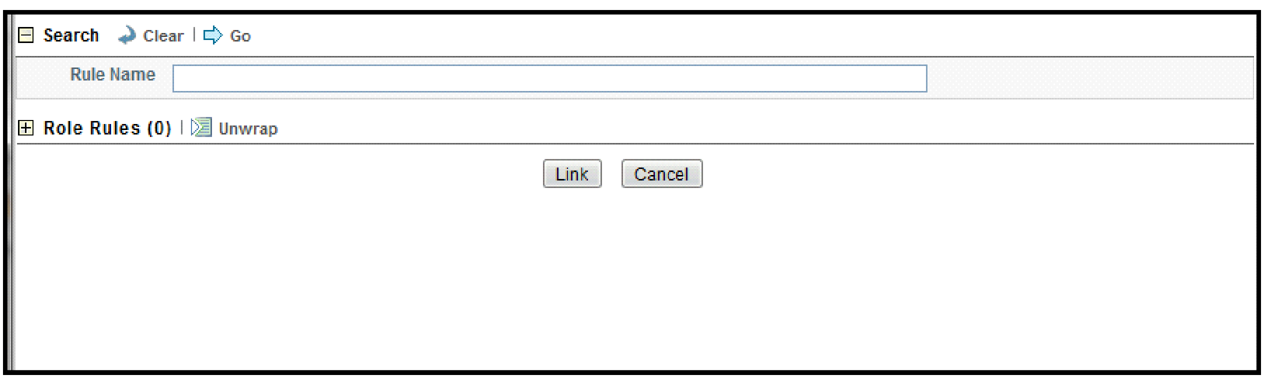


Figure 147. List of Role Rules

4. Select the Role Rule and click **Link**. A Confirmation message will display and you will be directed back to **Create Notification** or **Create Task** page.
   After selecting a User Role and User, the corresponding linked User Rule will be displayed in *User Allocation Rule* grid.

Mapping of Users

This option allows you to map a new user for a Role in a Notification or a Task.
This option will be available when you select the **Access Right** as Single, or Multi on **Create Notification** or **Create Task** page.

To add a user in Notification or a Task, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.
   For more information on Adding Notification, refer to Adding Notification section. For more information on Adding Task, refer to Adding Task section.

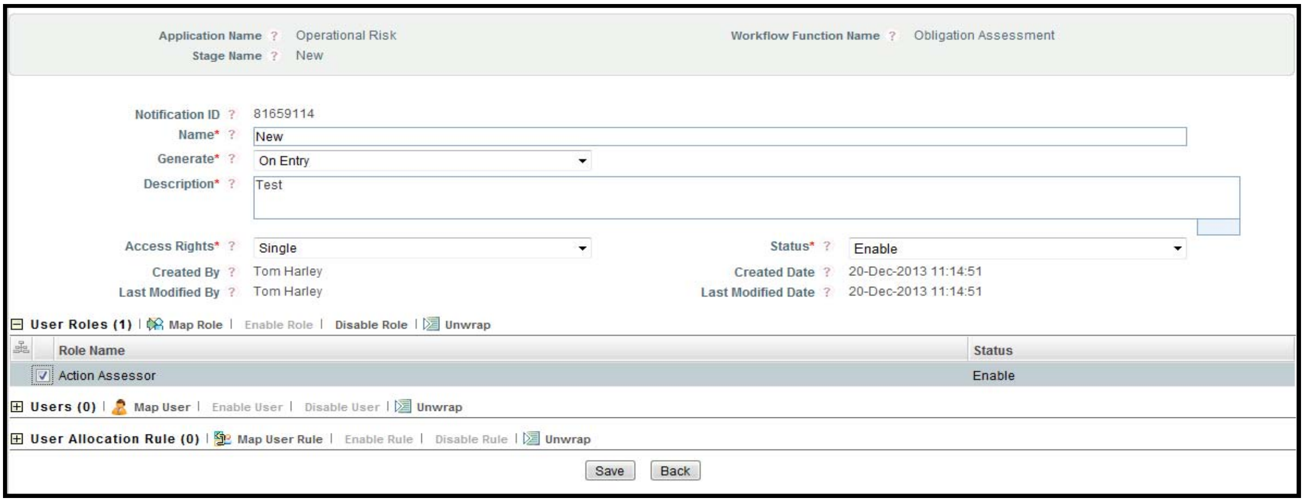


Figure 148. Create Notification Page

2. Select a **User Role** in **User Roles** grid. If a User Role is not selected, then following message is displayed: *Please select a Role to Map Rule.*

3. Click **Map User in Users grid**. The list of users will display. This list shows all the users which are mapped to the selected Role.

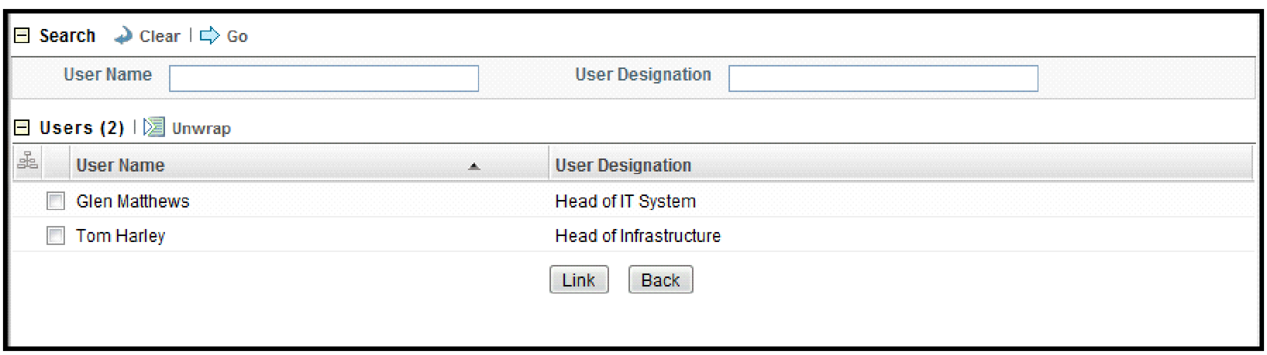


Figure 149. List of Users

4. Select a User and click **Link**. A Confirmation message will display and you will be directed back to previous window.
   After selecting a Role, the corresponding linked User name will be displayed in *Users* grid.

Mapping of User Allocation Rule

This option allows you to add a new rule to the user. That is, the user receive the Notification or Task only when the condition defined in the Rule will satisfy.

This option will be available when you select the **Access Right** as Single, or Multi on **Create Notification** or **Create Task** page.

Note: Only one active user allocation rule can be mapped to a user.

To add a User Allocation Rule, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.
   For more information on Adding Notification, refer to Adding Notification section. For more information on Adding Task, refer to Adding Task section.

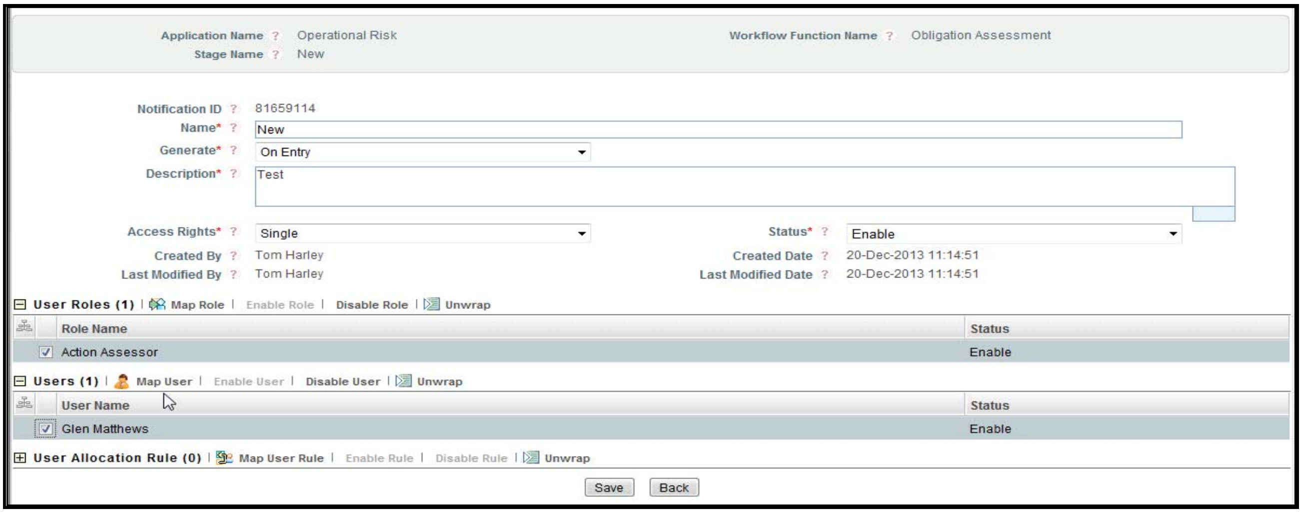


Figure 150. Create Notification Page

2. Select a **User Role**. If a User Role is not selected, then following message is displayed: *Please select a Role to Map Rule*.

3. Select the corresponding **User**. If a User is not selected, then following message is displayed: *Please select a User*.

4. Click **Map User Rule**.

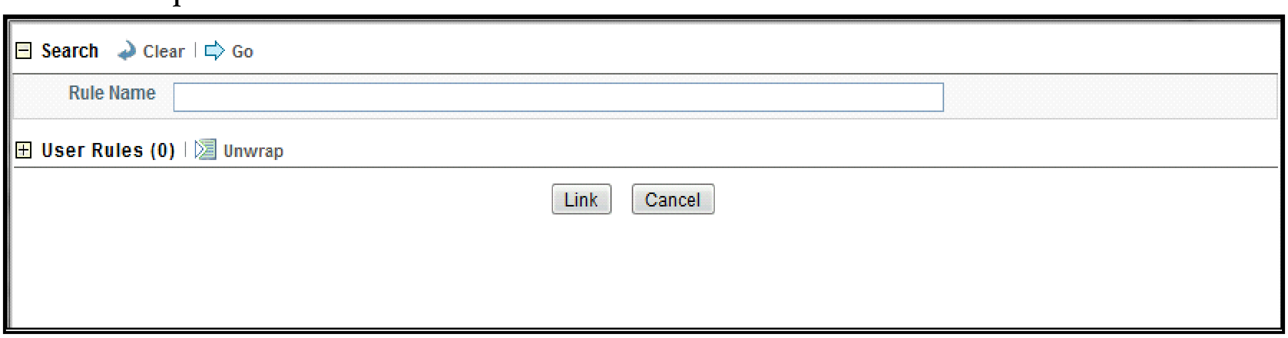


Figure 151. List of User Rules

5. Select the User Rule and click **Link**. A Confirmation message will display and you will be directed back to **previous window.**
   After selecting a User Role and User, the corresponding linked User Rule will be displayed in *User Allocation Rule* grid.

Mapping of User Decision Rule

This option allows you to add a new User Decision Rule. You can map a User with a decision Rule.

This option will be available only if you have selected **Default User** option from **Access Rights** drop-down list in **Create Notification** or **Create Task** window.

To add a User Decision Rule, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.
   For more information on Adding Notification, refer to Adding Notification section. For more information on Adding Task, refer to Adding Task section.

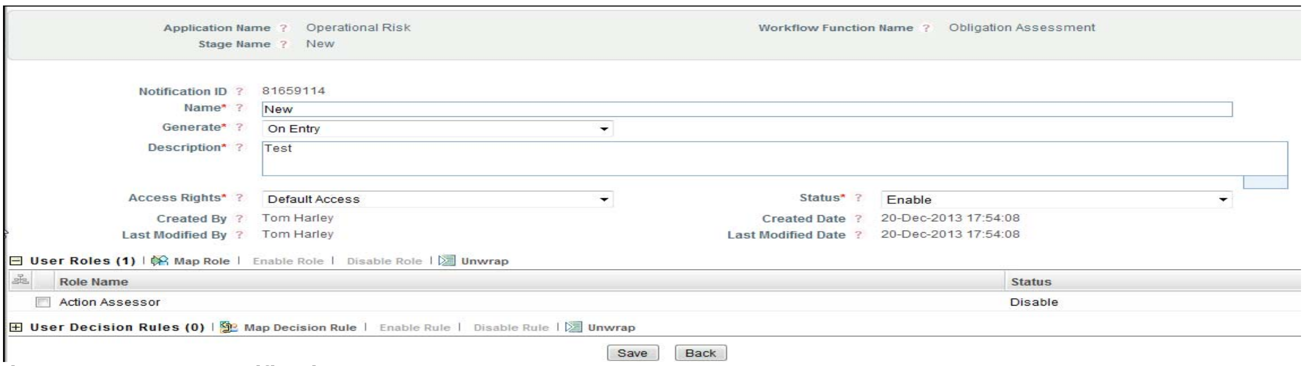


Figure 152. Create Notification Page

2. Click **Map Decision Rule**. The list of user decision rules will display.

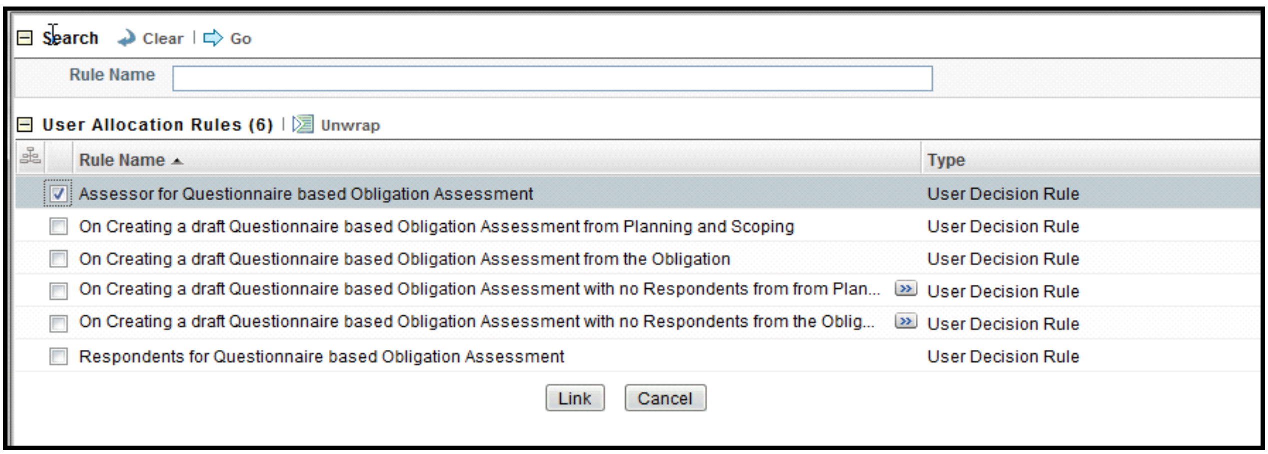


Figure 153. List of User Allocation Rules

3. Select the User Allocation Rule and click **Link**. A Confirmation message will display and you will be directed back to **Create Notification** or **Create Task** page.

Viewing Workflow Process

The View Workflow option allows you to view the process flow of Workflow in graphical format.
To view the Workflow, follow the steps given below:

1. Navigate to Workflow Search and List page.
2. Select a Workflow ID in *Draft, Active, Inactive,* or *Deactive* status.
3. Click **View Workflow**.

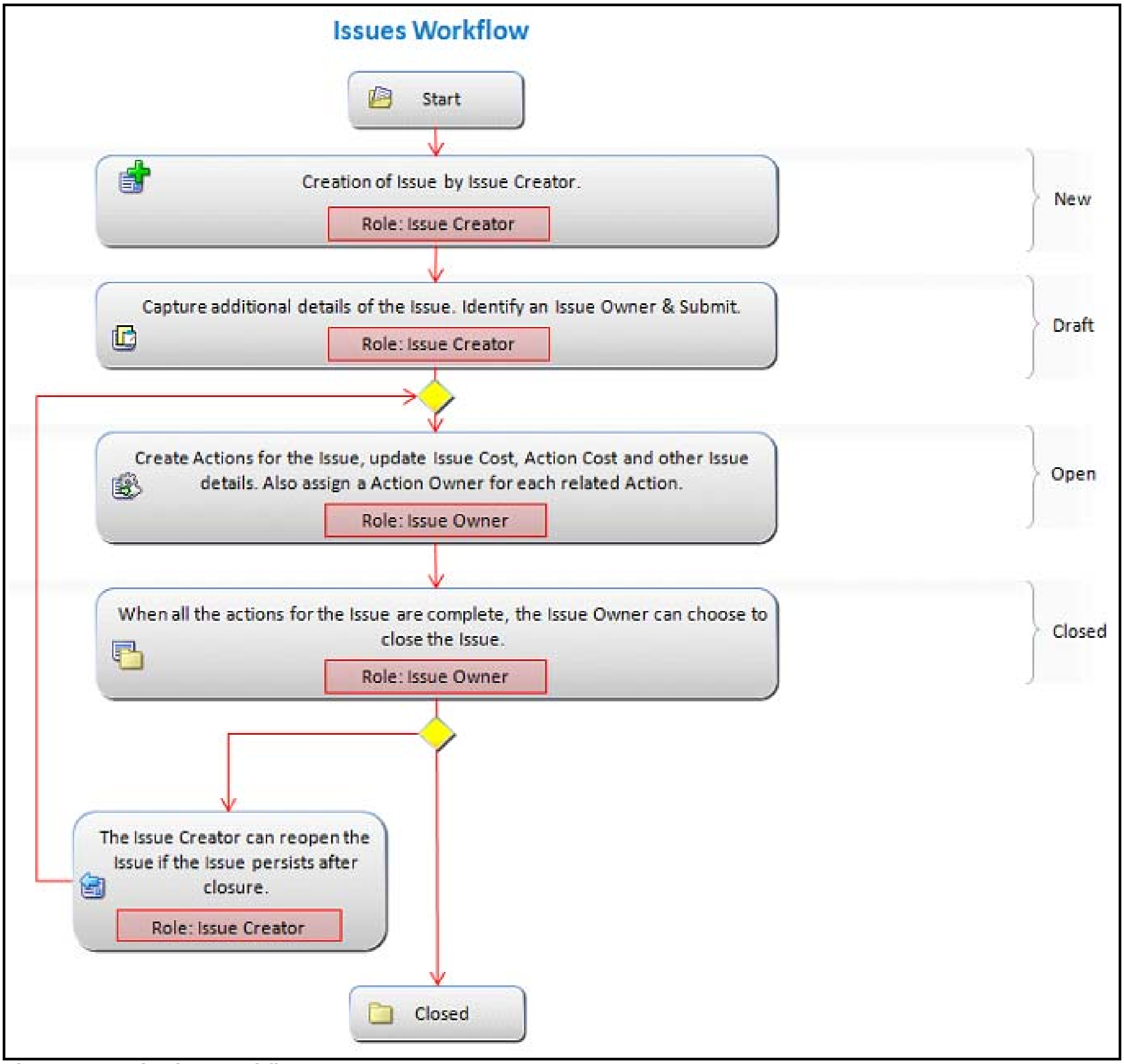


Figure 154. Viewing Workflow

Activating a Workflow

The Workflow will be automatically active from Inactive status to Active through a batch run. It will be active from the date that is defined in **Effective Date** field during the Workflow Creation. While activating a draft status workflow, if the effective date matches to current date, the workflow directly moves into Active status.

Note: On a particular workflow being activated all other workflows existing for the same business line and location will move into *Deactive* status.

Deactivating a Workflow

This option allows you to deactive the Workflow. Before Deactivating a workflow, make sure that at least one active workflow should be there for Application.

To deactivate a Workflow, follow the steps given below:

1. Navigate to Workflow Search and List page.

2. Select a Workflow ID, which you want to deactive.

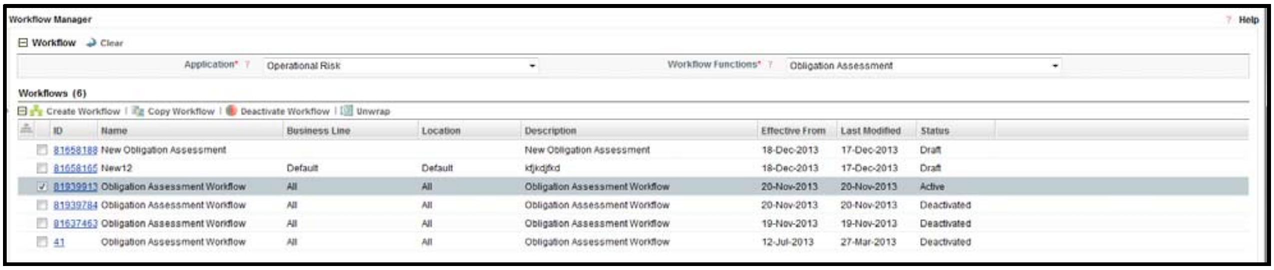


Figure 155. Deactivating Workflow

3. Click **Deactivate Workflow**.

Note: You can deactive the Workflow, which is in active state.

Managing the Issues and Action Configuration

In some cases, an organization prefers to create actions directly, rather than creating an issue and then an action. In other cases, such as during the Audit process, creating issues is a standard norm. OFSERA allows organizations to decide whether to create issues first and then create actions OR create actions directly. You can configure these settings in the Issues and Actions Configuration page.

Accessing the Issues and Action Configuration

This section explains how to access the Issues and Action Configuration under the Admin module in Oracle Financial Services Operational Risk application.
Users mapped to the role of Admin can access the Issues and Action Configuration section.
To access the Issues and Action Configuration section, follow these steps:

1. Login to OFSSAI application.
2. Select **Enterprise Risk Assessment**. The OFSERA Home page is displayed.
3. Select **Application Preference** from the Admin menu on the Home page and then select **Issues and Action Configuration**. The Issues and Actions Configuration page is displayed.

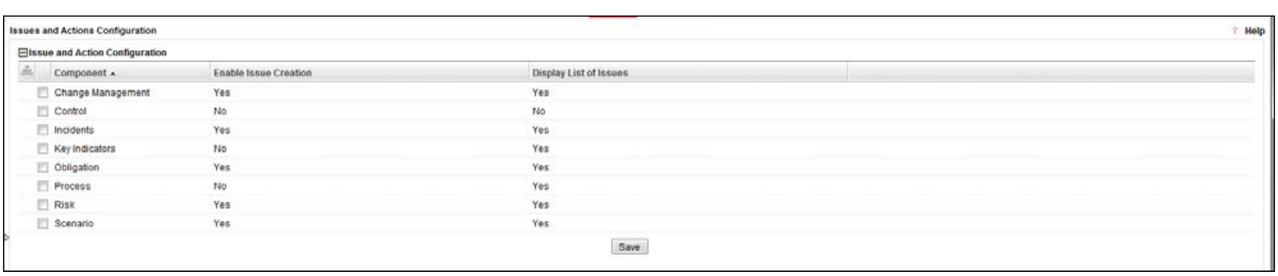


Figure 156. Issues and Actions Configuration page

Enabling/ Disabling Issue Creation

To enable or disable issue creation without first creating an action, follow these steps:

1. In the Issues and Actions Configuration section, select the component you wish to enable or disable issue creation for by clicking the check box associated with the component.

   Note: This pre-packaged list displays the applicable components only if the OFSERA products are installed in the same environment together.

- If Issues and Actions is used by other applications, then the Component list has to be configured manually.

2. Click either **Yes** or **No**.

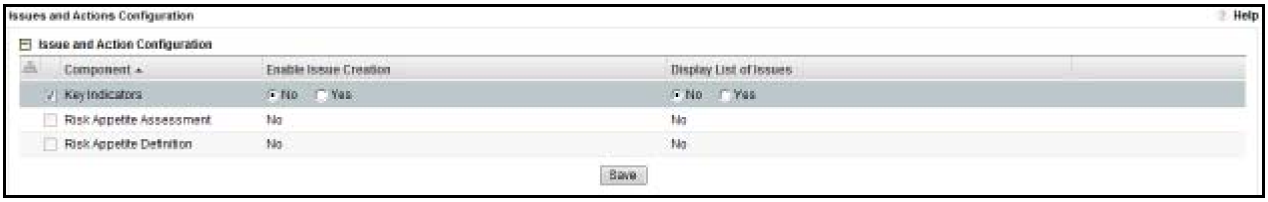


Figure 157. Enabling/Disabling Issue Creation

If Yes is selected, issues can be created manually from the Issues & Action module and the component you have enabled issue creation for. Issues can also be created using the *Create Issue* button in the Details page of the component.

Actions can be created for the respective Issues by Issue Owners. Issues can be linked to the component. Actions linked to the issues will be populated. For more information about Issues and Actions, refer to section *Managing Issues and Actions* on page XX.

If No is selected, issues cannot be created manually for the component you have disabled issue creation for. Instead, the *Create Action* button is enabled in the Details page of the component. Actions can be created and OFSERA will generate an Issue when the first action is created for a particular source.

3. Click **Save**. The following message is displayed: *Entered Configuration Saved.*
4. Click **OK** to save your configuration.

Displaying Lists of Issues

To display the lists of issues in modules other than Issues and Actions, follow these steps:

1. In the Issues and Actions Configuration section, select the component you wish to display the lists of issues in by clicking the check box associated with the component.
2. Click either **Yes** or **No**.

If Yes is selected, the Issues and Actions section will display in the component you have selected. Issues can also be linked to the component. Actions linked to the issues will be populated. For more information about Issues and Actions, refer to section *Managing Issues and Actions* on page XX.

If No is selected, the Issues and Actions section will be renamed to the Actions section in the component you have selected and issues will not display.

Managing the Risk Appetite Settings

There are fields and sections in the Risk Appetite screen which are not mandatory for display while assessing a Risk. OFSERA allows you to choose which of these non-mandatory fields should be displayed or hidden, according to the needs of your organization. You can configure these settings in the Risk Appetite Configuration page.

Accessing the Risk Appetite Settings

This section explains how to assign a score to Specific Statements according to threshold values, under the Admin module in Oracle Financial Services Enterprise Risk Assessment application.
Users mapped to the role of Admin can access the Risk Appetite Settings section.
To access the Risk Appetite Settings section, follow these steps:

1. Login to OFSAAI application.

2. Select **Enterprise Risk Assessment**. The OFSERA Home page is displayed.
3. Select **Application Preference** from the Admin menu on the Home page and then select **Risk Appetite Settings**. The Risk Appetite Settings page is displayed.

Figure 158. Risk Appetite Settings page

Configuring the Risk Appetite Section

To configure the Risk Appetite section using the Risk Appetite Settings feature, follow these steps:

1. In the Risk Appetite Settings section, select the categories by which you want to measure Risk Appetite in the Risk Appetite Settings page by clicking the drop-down list. Categories for measuring Risk Appetite are:
   - Select All
   - Overall Rating
   - Performance
   - Risks
2. Select the date from the calendar.
3. Click **Add** and enter the values for **Lower Limit** and **Upper Limit** and select the **Rating** from the drop-down list for the values.
4. Click **Update**.
5. Click **Save Changes.**

Note:

Lower limit and Upper limit accepts only numeric inputs without decimals. Maximum of 15 digits is allowed. It accepts any number in the range as defined in the Risk Appetite Admin page.

- Green : For example, if the Lower Limit and Upper Limit is in between 1 and 3, then the green color is displayed.
- Amber : For Example, if the Lower Limit and Upper Limit is in between 4 and 7, then the amber color is displayed.
- Red : For example, if the Lower Limit and Upper Limit is in between 8 and 10, then the red color is displayed.

Deleting the Limits

To delete the limits, follow these steps:

1. Login to OFSAAI application.
2. Select **Enterprise Risk Assessment**. The OFSERA Home page is displayed.

3. Select **Application Preference** from the Admin menu on the Home page and then select **Risk Appetite Settings**. The Risk Appetite Settings page is displayed.
4. Select the **Threshold** from the list, you want to delete.
5. Click **Delete Limits.**
6. Click **OK**.