

Oracle Financial Services Operational Risk Analytics **User Guide**

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About this Guide

This guide provides comprehensive instructions for managing the Oracle Financial Services Operational Risk Analytics, Release 8.0 (herein referred to as OFSORA).

This chapter focuses on the following topics:

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

Who Should Use this Guide

The *Oracle Financial Services Operational Risk Analytics User Guide* is designed for use by the board of directors, chief executive officers, chief risk officers, and line of business heads for decision making. These reports will also be helpful for risk managers, business analysts, data analysts and all other business users who analyze operational risk information related to their area of business.

How this Guide is Organized

The *Oracle Financial Services Operational Risk Analytics User Guide* includes the following chapters:

- Chapter 1, “Introduction to Operational Risk Analytics,” provides a brief overview about features and components in OFSORA.
- Chapter 2, “Overview of OFSORA Process Flow,” describes the reports in the Home dashboard.
- Chapter 3, “Populating the Dimension Table,” describes the steps required to setup and execute the slowly changing dimension process.
- Chapter 5, “Executing the Results Transformation Process,” describes the steps required to setup and execute the ORA Result transformation process.
- Chapter 4, “Managing the Dashboards,” describes the seeded reports and dashboards.
- Chapter 6, “Creating a Custom Report,” describes the reports in the Scenario dashboard.
- Chapter 7, “Simplified Batch Execution,” This section describes how to setup and execute a simplified batch for running required OFSORA processes.
- Chapter 8, “Troubleshooting,” provides tips for troubleshooting problems encountered in OFSORA.

Where to Find More Information

For more information about OFSORA, refer to the following documents:

- *Oracle Financial Services Operational Risk Analytics Installation Guide*
- *Oracle Financial Services Operational Risk Analytics Release Notes*

To find additional information about how Oracle Financial Services solves real business problems, see our website www.oracle.com/financial_services.

Conventions Used in this Guide

Table 1 lists the conventions used in this guide.

Table 1. Conventions Used in this Guide

Convention	Meaning
<i>Italics</i>	<ul style="list-style-type: none">● Names of books, chapters, and sections as references● Emphasis
Bold	<ul style="list-style-type: none">● 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	<ul style="list-style-type: none">● 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

Introduction to Operational Risk Analytics

Oracle Financial Services Operational Risk Analytics (OFSORA) enables institutions to perform historical and predictive analysis of enterprise-wide operational risk with a comprehensive and readily deployable suite of pre-built analytics

This chapter covers the following topics:

- About OFSORA
- Logging in to OFSORA
- Components of OFSORA
- Dashboards in OFSORA

About OFSORA

OFSORA enables institutions to perform business-user driven reporting through historical and predictive analysis of enterprise-wide operational risk with a comprehensive and readily deployable suite of pre-built analytics, thereby allowing institutions to capitalize on their present investments. Through better in-depth analysis of loss, risk and control data, an institution can see areas of weakness as well as scope for improvements. OFSORA helps in determining trends based on risks by business units, locations and any other operational risk dimension across time periods and achieve desired transparency and audit ability in reports and dashboards. OFSORA also helps in alerting senior management to evolving situations to prevent future crises and comply with BIS Principles for Effective Risk Data Aggregation and Risk Reporting.

For example, How much more useful would it be to see trends in operational risk data? To see the changes in risk and control assessment score over time; to see positive evidence of where parts of the business are making genuine improvements in reducing their risks and more importantly their controls, and then to recognize those areas in the business that need to improve and so on.

Salient Features of OFSORA

The following are some of the important features of OFSORA:

- Extensive collection of pre-built dashboards, charts and reports covering all operational risk disciplines
- Produce reports with drill-down capabilities for business executives and senior management
- Unified data repository, pre-built for operational risk and compliance reporting with analysis across all functional areas and enabling time-series analytics

- Build ad-hoc and on-demand reports and charts to meet specific business-user needs

Logging in to OFSORA

Access to the OFSORA application depends on the Internet or Intranet environment. OFSORA is accessed through Microsoft Internet Explorer browser. Your system administrator provides the intranet address uniform resource locator.

Your system administrator provides you with a User ID and Password. Login to the application through the Login page.

Note: You will be prompted to change your password on your first login. You can change your password whenever required by logging in. Your password is case sensitive.

To log into OFSORA, follow these steps:

1. Type your user ID in the **User ID** text box.
2. Type your password in the **Password** text box.

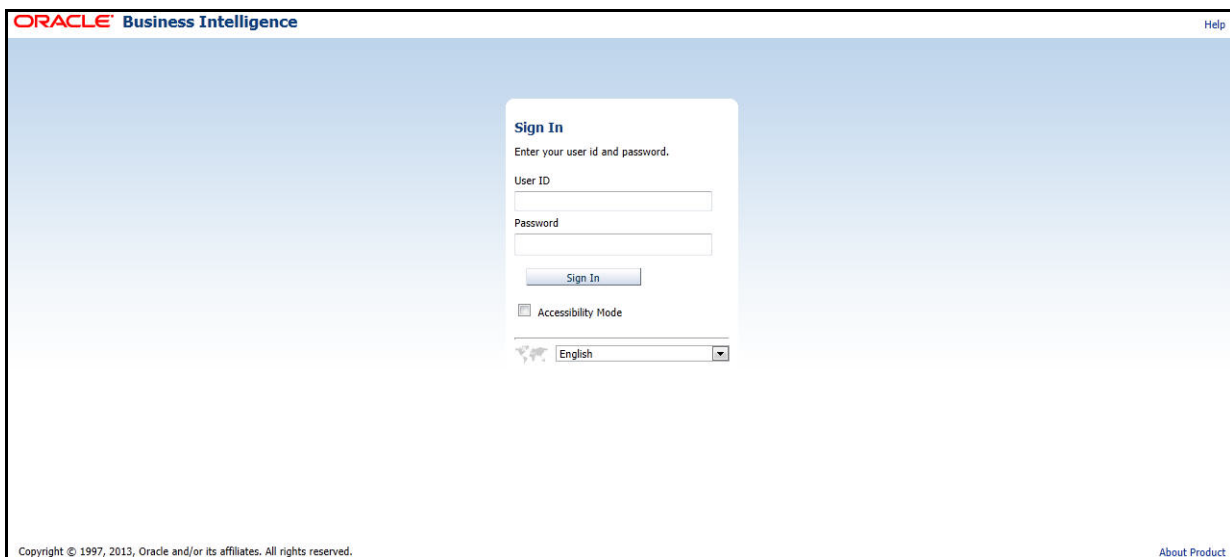
The image shows a screenshot of the Oracle Business Intelligence (BI) Sign In dialog box. The dialog box is titled "Sign In" and contains the instruction "Enter your user id and password." Below this, there are two text input fields: "User ID" and "Password". A "Sign In" button is located below the password field. There is also a checkbox labeled "Accessibility Mode" and a language dropdown menu set to "English". The background of the screenshot shows the Oracle BI EE interface with a blue header and a light blue background. The Oracle logo and "Business Intelligence" text are in the top left, and a "Help" link is in the top right. Copyright information and an "About Product" link are at the bottom.

Figure 1. Sign In Dialog Box

Note: Select the **Accessibility Mode** box if you want content for Oracle BI EE to be rendered in a browser in a way that facilitates the use of a screen reader.

3. Click **Sign In**.

After verifying the user ID and password, the system displays the default page as defined by the system's defaults and as per your role. Click **Home** to display the menus that you have access permission for.

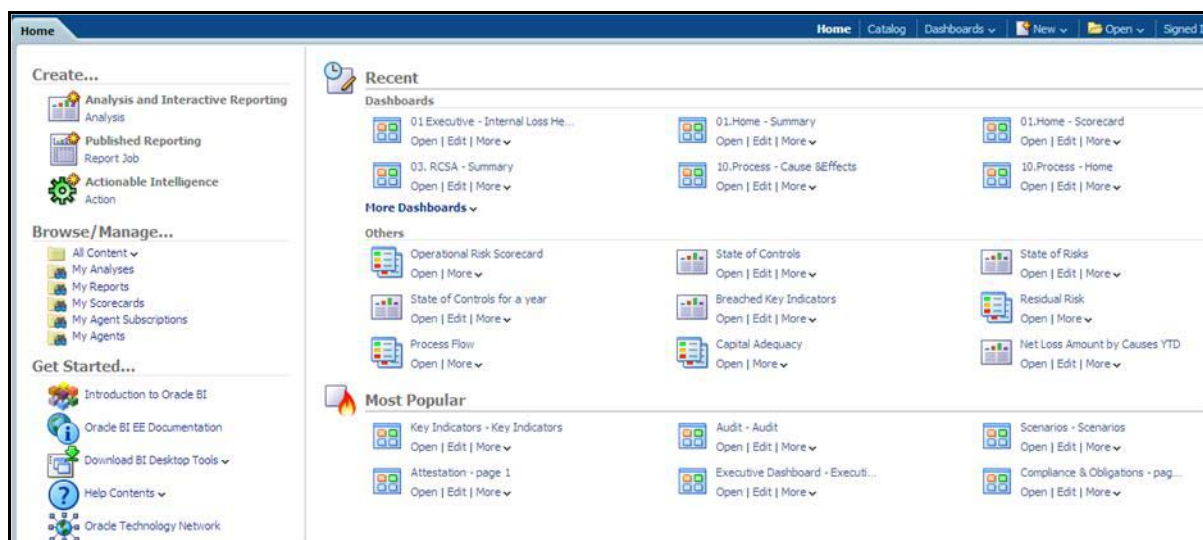


Figure 2. Home Menu

Common Screen Elements in OFSORA

The following are the common screen elements on the OFSORA user interface:

- Dashboard Filters
- Report Links
- Error Messages
- Hover Over Feature

Dashboard Filters

The dashboard filters allow you to filter the reports by the data contained within them. The data in the filters depends on the user that has logged on to the system. Unless otherwise designated, the filters are optional and the report you generate will contain all the data (if the filters are left blank) or the data that is screened by the default data existing in the filters. After selecting the required filters, you click the **Go** button to generate the report. The filter elements are categorized as follows:

- Multi-Select Filters
- Drop-down list Filters
- Text Box Filters

Multi-Select Filters

A multi-select filter allows you to select multiple values as a filter condition for the reports. To use a multi-select filter, click on the ellipsis button next to the field. A window opens with the list of available filter options on the right pane. The right of the multi-select box provides a list of the filter options available to you. At the top of this list, you have the option to further filter the data. You can select the type of match from one of the following options: **begins with**, **ends with**, **contains**, **is LIKE (pattern match)** and the condition you require. For example, if you want to find the data beginning with the letter **K**, you select **begins with** on the **Match** field, enter the letter **K** in the

corresponding text box, and click **Go**. The results returned will be all the data starting with the letter K. This search is not case-sensitive.

Below this section the number of choices returned displays. The section on the left provides a space for selected data. To select a data item for the filter, double-click on the data item or select the data and click the (**<**) button. You can also select all the data by clicking the (**<<**) button. To deselect the data from the Selected section, double-click on the data you do not want to use as a filter, or select the data and click the (**>**) button. You can deselect all the data from the Selected list box by clicking the (**>>**) button. When you have selected the required filters, click **OK** to confirm the selection, or **Cancel** to discard it.

Drop-down list Filters

Drop-down List filters provide a list of items from which you can select one item. Selecting the blank (empty) option applies no filter to your selections. Following are the drop-down lists common to Interactive Analytic Reports.

Trend Drop-down List

The trend drop-down list provides two values - Weekly and Monthly. The weekly trend displays the data for the past rolling quarter on a weekly basis. The monthly trend displays the data for the past rolling year on a monthly basis.

Period Drop-down List

The period drop-down list provides a list of three options - Week, Month, and Year. The Week option returns data for the past one week; the Month option returns data for the past one month; and the Year option returns data for the past one year.

Text Box Filters

A single rectangular box in which you can type text. If the box already contains text, you can select that default text or delete it and type new text. Some text boxes limit the number of characters that you can use.

Report Links

Report links are provided beneath each report allowing you to refresh, download, or print the report.

Refresh

When clicked, the **Refresh** link refreshes the results of the current request. It clears the filters (if the **Go** button has not been clicked after selection of the filters thereby refreshing the report with the selected filters).

Print

When clicked, displays the current report in PDF or HTML format at which point you can select **Print** to print it.

Download

When clicked, downloads the current report into Excel, PowerPoint, or a Web page.

Error Messages

When there is not enough data in the database for the system to display results for the selected filters, or if a required field has not been filled, the application generates the following message: No Result For the Selected Criteria. You can then change the filters, check to see if any mandatory fields are left blank, and try again.

Hover Over Feature

You can hover over a sector of a bar or pie chart to get an actual count for that sector.

Components of OFSORA

The Operation Risk Analytics application comprises of the four components and they are as follows:

- OFSORA Reporting Mart
- Data Movement Processes
- OFSORA OBIEE Repository
- OFSORA OBIEE Web Catalog

OFSORA Reporting Mart

OFSORA Reporting Mart or Physical Data Model optimizes a number of operational risk analytics related relational database tables for reporting and analysis. This allows for comparative reporting of each OFSORA processes that are consolidated into a single reporting table. The Reporting Mart also allows for Period Over Period and Trend Reporting by retaining the historical results of each process. During the processing, the results are stored in both base currency as well as any reporting currency specified by users. Also, the OFSORA Reporting Mart also stores the audit data such as Detail Cash Flow Information and Rate Outputs.

Data Movement Processes

The Data Movement Processes facilitates population of the required data into the OFSORA Reporting Mart through the use of T to T functionality as well as PL/SQL procedures. The Data Movement processes can be executed either through a batch process using the Oracle Financial Services Analytical Applications Infrastructure (OFSAAI) or through a simplified batch process.

OFSORA OBIEE Repository

The OFSORA includes the OFSORA specific OBIEE repository file which provides the mapping of the physical data into the OFSORA Business Model. The OBIEE repositories define the necessary data objects, join relationships and calculated items needed for OFSORA reporting.

OFSORA OBIEE Web Catalog

The OFSORA includes the OFSORA specific OBIEE Web Catalog that provides dashboards and seeded reports, thereby providing users with a head-start in developing their organization specific Risk & Control, Key Indicators, Issues & Actions, Compliance & Obligations and Audit.

Dashboards in OFSORA

The following are the list of list dashboards available in OFSORA:

- Home
- Incident
- RCSA (Risk and Control Self Assessment)
- Key Indicators
- Issues & Actions
- Insurance
- Scenario
- Compliance & Obligations
- Information Library
- Change Initiatives
- Process
- BES (Business Environment Scorecard)
- Audit
- Business Compliance Management

For more information on each of the dashboards listed above, refer to Chapter 4, *Managing the Dashboards*, on page 19. The OFSORA solution provides analytical reports on operational risks for financial institutions. The objective of these reports is to help the managers make better decisions by providing analytical reports about the following topics:

- Operational Losses
- Risk Assessments
- Control Assessments
- Key Indicators (KI)
- Scenario Analysis
- Insurance Coverage
- Compliance and Obligations
- Audit

This chapter provides an overview of the end to end process flow involved in OFSORA.

This chapter includes the following topics:

- Steps in OFSORA Process Flow
- Data movement Process in OFSORA

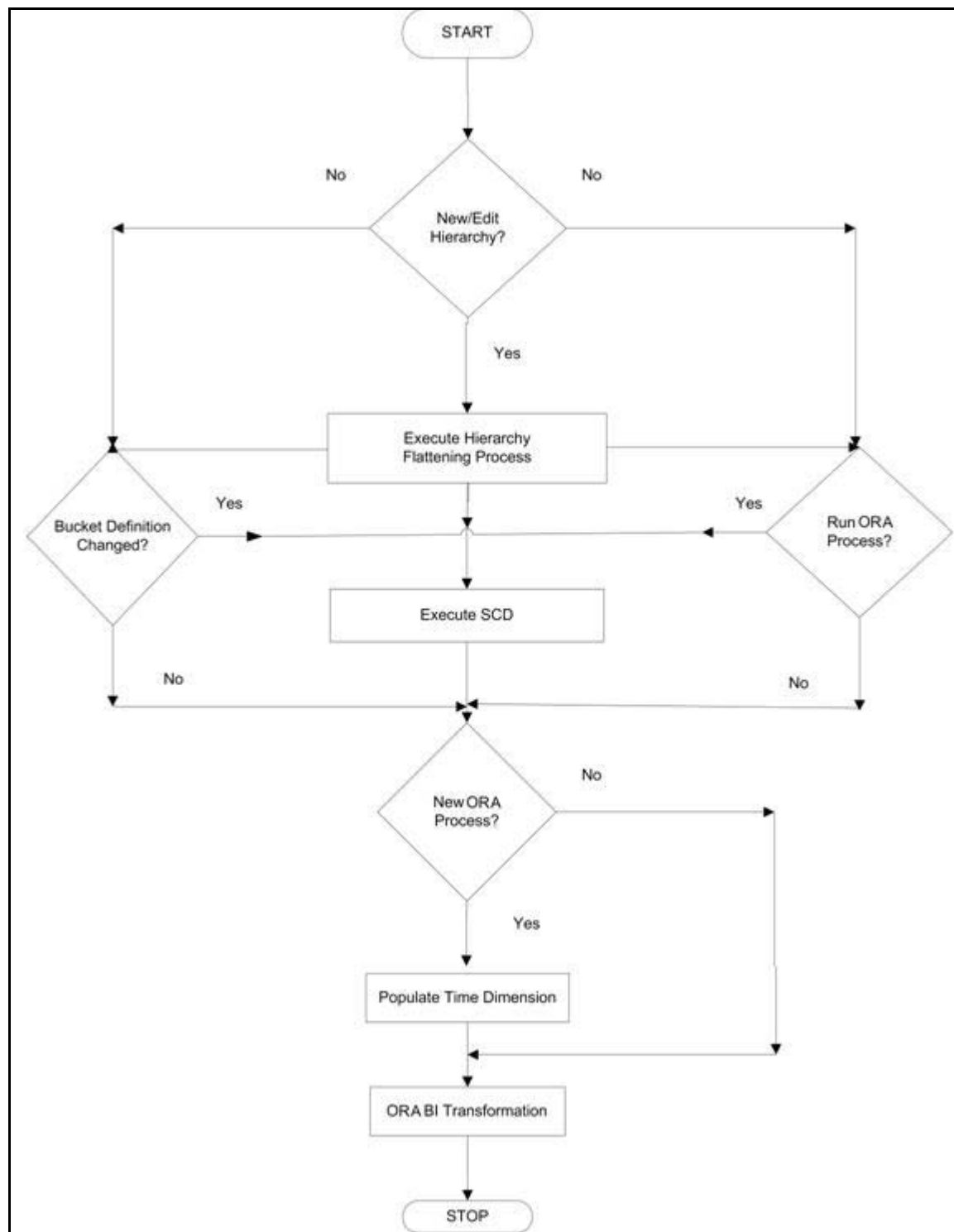
Steps in OFSORA Process Flow

The following steps comprise the OFSORA Process:

1. Dimension Table Population and Slowly Changing Dimension Processing
Run after a new Hierarchy or OFSORA Process is created and/or after hierarchy edits or the <ORA> Active Time Bucket definition is changed.
2. Populating the Dimension Run table
Run only after a new OFSORA Process is created or modified.
3. Time Dimension Population
Run before ORA Results Transformation. This process is also run automatically during ORA Results Transformation if the current data does not already exist.
4. OFSORA Results Transformation
Run after any ORA Process has been run. This process can be run manually as part of a batch process or automatically as an option embedded within each ORA process.

Data movement Process in OFSORA

The following flowchart illustrates the end to end ORABI data movement process:



The end to end data movement process is typically managed through execution of one or more, Batch processes:

The recommended approach is to define batch processes to perform ORABI Transformation, as follows:

OFSORA Batch, with 3 Tasks in sequential order consisting of

- Slowly Changing Dimension Process
- Dimension Run Population Process
- ORABI Transformation Process

(Optional) OFSORA Batch2, with Tasks to execute the required Account Summary T to T processes. This process is only needed if there is a requirement to report against the account level data.

- Populate Time Dimension
- Slowly Changing Dimension Process
- Account Summary T2T Definition Processes (one per instrument table)

Note: See the following sections on how to create a batch and adding respective tasks.

The following are few examples of use cases and the related processing requirements:

Case 1: Initially, when a new Hierarchy is created and/or when edits are made to a Hierarchy, perform the following steps.

1. Run Dimension Table Population and Slowly Changing Dimension Processing
2. Populate the Dimension Run table
3. Run ORA Results Transformation

Case 2: When the active time bucket definition has been changed. Perform the following steps.

1. Run Dimension Table Population and Slowly Changing Dimension Processing
2. Run ORA Results Transformation

Case3: When a new ORA Process is created. Perform the following steps.

1. Run Dimension Table Population and Slowly Changing Dimension Processing
2. Populate the Dimension Run table
3. Run ORA Results Transformation

The dimension table population process allows you to execute the slowly changing dimension (SCD) process against each processed dimension.

Dimension table population should be run after initial creation of a hierarchy and after any changes are made to a hierarchy. Dimensional data changes are handled in the OFSORA solution using the slowly Changing Dimension component (Referred to SCD in subsequent parts of this Document)

This chapter includes the following topics:

- Overview of SCD Process
- Executing the SCD Component
- Checking the Execution Status

Overview of SCD Process

Slowly Changing Dimensions (SCD) are used to maintain the history of dimension-member changes over time.

SCD is a required process and is tied in to the BI application. Without this process, the updated information will not be reflected into OFSORA. For example, if the Active Time Bucket Definition was changed for an ORA Process Execution, the SCD process is required to reflect the new Active Time Bucket details into the Result Area. It is mandatory to run the SCD process if the hierarchies have changed.

For more information on Slowly Changing Dimensions, see:

- Oracle Data Integrator Best Practices for a Data Warehouse at <http://www.oracle.com/technetwork/middleware/data-integrator/overview/odi-bestpractices-datawarehouse-129686.pdf>
- Oracle® Warehouse Builder Data Modeling, ETL, and Data Quality Guide, 11g Release 2 (11.2), Part #E10935-03 at http://docs.oracle.com/cd/E18283_01/owb.112/e10935/dim_objects.htm.

The SCD component is delivered through an executable. For the OFSORA solution, the types of SCD supported are Type 2.

Type 1 SCD methodology

The Type 1 methodology overwrites old data with new data, and therefore does not track changes to the data across time.

Example

Consider a Dimension Table, DIM_PRODUCTS

Table 2. Type 1 SCD Methodology

N_PRODUCT_SKEY	V_PRODUCT_NAME	D_RECORD_START_DATE	D_RECORD_END_DATE	F_LATEST_RECORD_INDICATOR
1	PL	5/31/2010	12/31/9999	Y

In this example:

N_Product_Skey is the surrogate key column which is a unique key for each record in the dimension table.

V_Product_Name is the product name

D_Record_Start_Date indicates the date from which this product record is valid

D_Record_End_Date indicates the date to which this product record is valid

F_Latest_Record_Indicator: A value 'Y' indicates this is the latest record in the dimension table for this product and 'N' indicates it is not.

If the **V_Product_Name** column is set as a Type 1 and if there is a change in the product name to ' External Audit ' from 'EA ' in the earlier example in the next processing period then, when SCD is executed then the record in the earlier example would be changed to:

N_PRODUCT_SKEY	V_PRODUCT NAME	D_RECORD_START_DATE	D_RECORD_END_DATE	F_LATEST_RECORD_INDICATOR
1	External Audit	5/22/2012	12/31/9999	Y

Type 2 SCD Methodology

The Type 2 method tracks historical data by creating multiple records for a given natural key in the dimensional tables with separate surrogate keys. With Type 2, the historical changes in dimensional data are preserved. In the earlier example, for the change in product name from 'PL' to 'Personal Loan' if history has to be preserved then the V_Product_Name column has to be set as Type 2 in which case when SCD is processed for the processing period in which the change happens it will insert a new record as shown in the example below:

N_PRODUCT_SKEY	V_PRODUCT NAME	D_START_DATE	D_END_DATE	F_LATEST_RECORD_INDICATOR
1	PL	5/31/2010	12/31/9999	N
2	Personal Loan	6/30/2010	12/31/9999	Y

Executing the SCD Component

To execute the SCD component from OFSAAI Batch Process, perform the following steps:

1. From the **Home** menu, select **Operations**, then select **Batch Maintenance**.

2. Click **New Batch** ('+' symbol in Batch Name container) and enter the Batch Name and Description.
3. Click **Save**.
4. Select the Batch you created in the earlier step by clicking the check box in the Batch Name container.
5. Click **New Task** ('+' symbol in Task Details container).
6. Enter the Task ID and Description.
7. Select **Run Executable**, from the Component ID list.
8. Click **Parameters**. A pop up window will open, enter the following values and then click **Save**:

Executable: scd, <map ref num>

For example, scd, 2 (Refer the following for details)

Use the following table to identify the map_ref_num to be used while executing the SCD process.

Note: For a more comprehensive coverage of configuration and execution of a batch, see *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

map_ref_num	Target Table that will be updated
1	DIM_PROCESS
2	DIM_INTERNAL_LOBS
3	DIM_LOCATIONS
4	DIM_PRODUCTS
-1	<for all entries>

Wait: When the file is being executed you have the choice to either wait till the execution is complete or proceed with the next task. Click the list box of the field provided for Wait in the Value field to select 'Yes' or 'No'. Clicking **Yes** confirms that you wish to wait for the execution to be complete. Clicking **No** indicates that you wish to proceed.

Batch Parameter: Select 'Y' (upper case required)

- Execute the batch(s) from Batch Execution by choosing the batch created following the steps mentioned in the preceding steps.

Note: You cannot execute SCD process from the simplified batch window.

Checking the Execution Status

The status of the process can be monitored using the batch monitor window. You can access the Batch Monitor by going to the following on the Left menu:

From the **Home** menu, select **Operations**, then select **Batch Monitor**.

Note: For a more comprehensive coverage, see *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

N - Not Started

O - On Going

F - Failure

S – Success

The ICC execution log can be accessed on the application server in the following directory

\$FIC_DB_HOME/log/ficgen.

Sample Path: /dbfiles/home/oracle/OFSAAI/ficdb/log/ficgen

The file name will have the batch execution id.

The detailed SCD component log can be accessed on the application server under the <ftp-share>/<infodom name>/logs

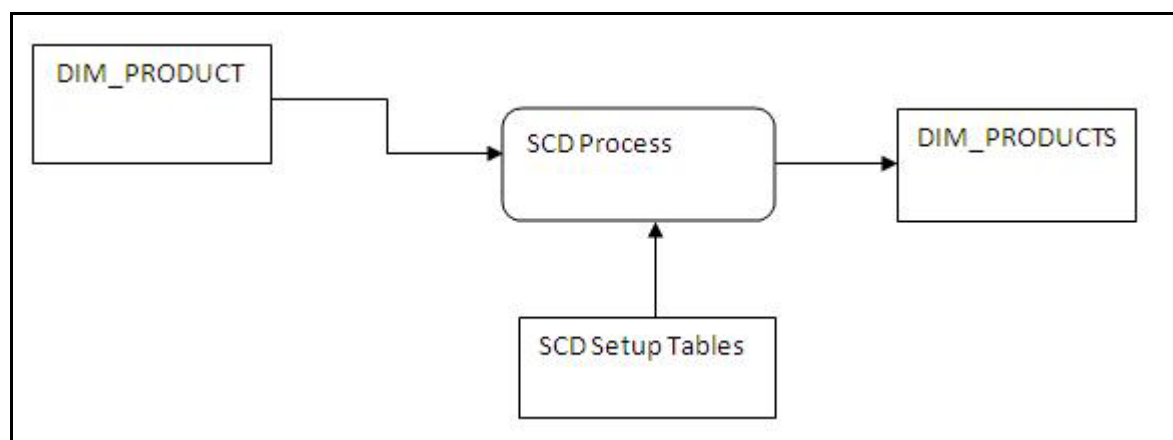
The file name will have the batch execution id.

Sample Path: /dbfiles/home/oracle/ftpshare/OFSADEMO/logs

Note: Check the .profile file in the installation home if you are not able to find the paths mentioned earlier.

List of Dimension Tables

List of ORBI Dimensions impacted by the SCD procedure are DIM_PRODUCTS. This table stores all Stochastic Processes with relevant details.



The following table describes the list of dimension tables:

S.No	Dim en ti on Tables
1	DIM_FREQUENCY
2	DIM_IMPACTS
3	DIM_INTERNAL_EVENT_TYPES
4	DIM_INTERNAL_LOBS
5	DIM_LEGAL_ENTITY
6	DIM_LOCATIONS
7	DIM_PROCESS
8	DIM_PRODUCTS
9	DIM_STATUS
10	DIM_CAUSES
11	DIM_CURRENCY

12	DIM_LIKELIHOOD
13	DIM_ISSUES
14	DIM_ISSUE_TYPES
15	DIM_ISSUE_SOURCE_TYPES
16	DIM_ISSUE_CRITICALITY
17	DIM_ACTION_CRITICALITY
18	DIM_ACTIONS
19	DIM_CONTROL_RATINGS
20	DIM_CONTROL_DE_RATING
21	DIM_CONTROL_OE_RATING
22	DIM_CONTROL_TYPES
23	DIM_CONTROL_NATURE
24	DIM_CONTROL_LIBRARY
25	DIM_CONTROLS
26	DIM_CONTROL_ASMT_TYPES
27	DIM_EXT_INCIDENTS
28	DIM_ENTITY
29	DIM_POLICY_TYPES
30	DIM_KI_NATURE
31	DIM_RAG_VALUES
32	DIM_MEASURE_SCALES
33	DIM_KI_LIBRARY
34	DIM_KEY_INDICATORS
35	DIM_ACTUAL_LOSS_TYPES
36	DIM_IMPACT_TYPES
37	DIM_RECOVERY_TYPES
38	DIM_OPERATIONAL_LOSS_TYPES
39	DIM_OPERATIONAL_LOSS
40	DIM_RISKS
41	DIM_RISK_RATINGS
42	DIM_RISK_LIBRARY
43	DIM_RESIDUAL_RISK
44	DIM_REPUTATION_RISK
45	DIM_SCENARIO
46	DIM_COMP_LIBRARY
47	DIM_COMP_PLAN_TYPE
48	DIM_COMP_RATINGS
49	DIM_COMPLIANCE
50	FCT_COMPLIANCE_TRANS
51	DIM_OBLIGATIONS
52	DIM_OBLG_LIBRARY
53	DIM_CE_TRENDS

54	DIM_OPINIONS
55	DIM_AUDIT_PLAN
56	DIM_AUDIT_WORK_PAPER
57	DIM_AUDIT_WRKPPR_OPINION
58	DIM_AUDIT_PLAN_TYPE
59	DIM_AUDIT_ASSESSMENT
60	DIM_AUDIT_WORK_PAPER_OPINION S

The following are the list of dashboards that appear in the OFSORA application:

- Home
- Incident
- RCSA (Risk and Control Self Assessment)
- Key Indicators
- Issues & Actions
- Insurance
- Scenario
- Audit
- Compliance & Obligations
- Business Continuity Plan
- Information Library
- Change Initiatives
- Process
- BES (Business Environment Scorecard)

Home

The Home Dashboard has important analytical reports from different functional areas, whereas all other dashboards have analytical reports pertaining to their specific subject area. This section describes the reports in the Home dashboard of the OFSORA and includes the following topic:

- Viewing Summary
- Scorecard

Viewing Summary

The Summary tab displays the following reports:

- Performance Indicators
- Net Loss Amount by Causes
- Number of Losses by Causes
- Number of Losses vs Net Loss Amount
- Residual Risk Rating by Causes

- Control Rating by Causes
- Control Rating Distribution for High Risks
- Key Risk Indicator by Causes
- Key Control Indicator by Causes
- Key Indicators by High Risks and Ineffective Controls
- Action Summary by Causes
- Additional Reports
 - Plausible Risk Amount vs Net Loss Amount
 - State of Risks for a Year
 - Risks Breaching Threshold
 - Net Loss Amount Per Risk
 - State of Controls for a Year
 - Net Loss Amount Per Control
 - Breached Key Indicators
 - Aging of Actions

Performance Indicators

This report indicates the performances of operational risk for the selected year with current year.

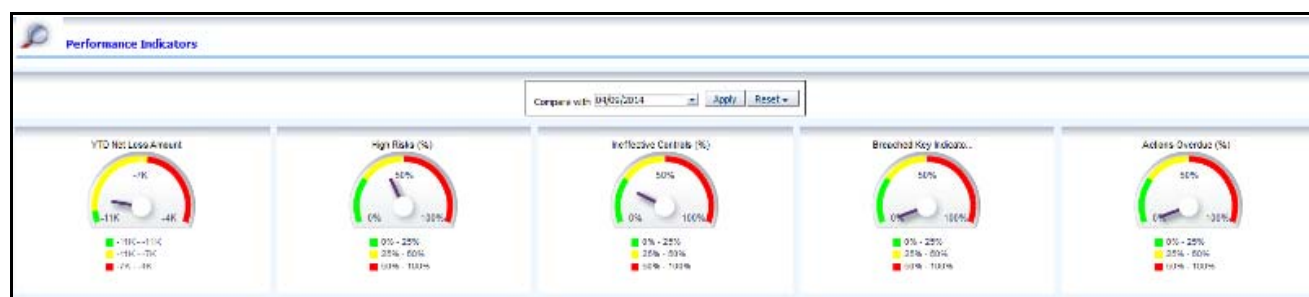


Figure 3. Performance Indicators report

The following table describe the various performance indicators displayed in the Summary page of Home dashboard:

Table 3. Performance Indicators Components

Performance Indicators	Description
Year to Date Net Loss Amount	This indicator shows a comparative analysis of YTD net loss for two selected periods.
High Risks (%)	This indicator shows the percentage of risks in <i>Open</i> status with the latest assessment of <i>High</i> .
Ineffective Controls (%)	This indicator shows the percentage of controls in <i>Open</i> status with the latest assessment of <i>Ineffective</i> .

Table 3. Performance Indicators Components

Performance Indicators	Description
Breached Key Indicators (%)	This indicator shows the percentage of Key Indicators which have breached the threshold.
Actions Overdue (%)	This indicator shows the percentage of actions which have not been completed by their target completion date.

Net Loss Amount by Causes

This report displays the net loss amount shown by causes for the given time period. This report displays the following two columns:

1. The YTD severity as on Date1 (the date selected in the Time hierarchy).
2. The YTD Severity as on Date2 (the date selected in the Compare With hierarchy).

Incidents in all statuses except *Closed* are included for calculation.

This report gives an analysis of YTD losses by their cause for the selected period. You can analyze as to which causes are contributing to losses in relation to previous period.

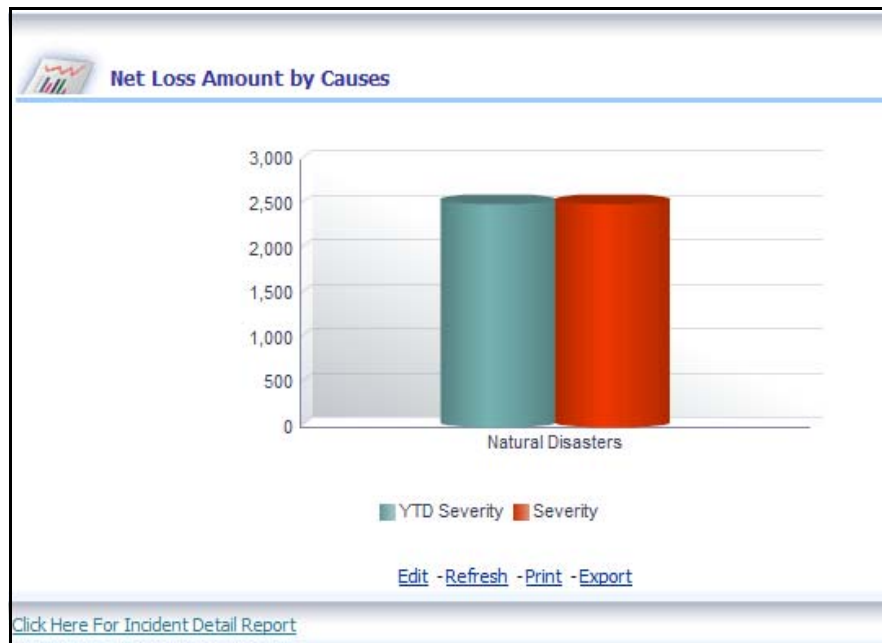


Figure 4. Net Loss Amount by Causes

Note:

- The report displays first level Cause with an option to view next levels
- Click on each bar in the graph to drill down to either *Next Level* or *Incident Details*.
- Click **Next Level** to navigate to the same report but for the next level causes.

The following table describes the components of the Net Loss Amount by Causes report.

Table 4. Net Loss Amount by Causes Components

Component	Description
X Axis	Plots the causes.
Y Primary Axis	Plots the loss amount.
YTD Severity as on Date1	Shows the total net loss amount from January 1 of the year of Date1 till Date1.
YTD Severity as on Date2	Shows the total net loss amount from January 1 of the year of Date 2 till Date 2.

Click **Incident Details** link to view the Incident Details report.

Incident Details

This report provides detailed information about incidents.

Incident Details											
Incident Name	Event Type	Identification Date	Occurrence Date	Currency	Gross Loss Amount	Net Loss Amount	Status	Business Line	Location	Risk Category	Process
2	Natural disaster losses	3/12/2014		Euro	10000.00	10000.00	Approved	Retail Banking	New York	Gold Cards	All
bug 17817660	Bribes or kickbacks	3/12/2014		Euro	-12.00	-12.00	Pending Approval	Retail Banking	New York	Diamond Cards	New Process
Return - Create Bookmark Link											

Figure 5. Incident Details Report

The following table describes the columns in the Incident Details report.

Table 5. Incident Details Report Columns

Column	Description
Incident Name	Displays the name in the incident.
Event Type	Displays the event type for this incident.
Identification Date	Displays the date this incident was identified.
Occurrence Date	Displays the date this incident occurred.
Currency	Displays the base currency associated with this incident.
Gross Loss Amount	Displays the gross loss associated with this incident.
Net Loss Amount	Displays the amount of loss for the incident.
Status	Displays the status of the incident.
Business Line	Displays the business line to which the incident is mapped.
Location	Displays the location to which the incident is mapped.
Risk Category	Displays the risk category of the incident.
Process	Displays the process of the incident.

Number of Losses by Causes

This report displays the number of losses shown by the causes for the given period. This report displays the following two columns:

1. The YTD severity as on Date1 (the date selected in the Time hierarchy).
2. The YTD Severity as on Date2 (the date selected in the Compare With hierarchy).

Incidents in all statuses except Closed are included for calculation.

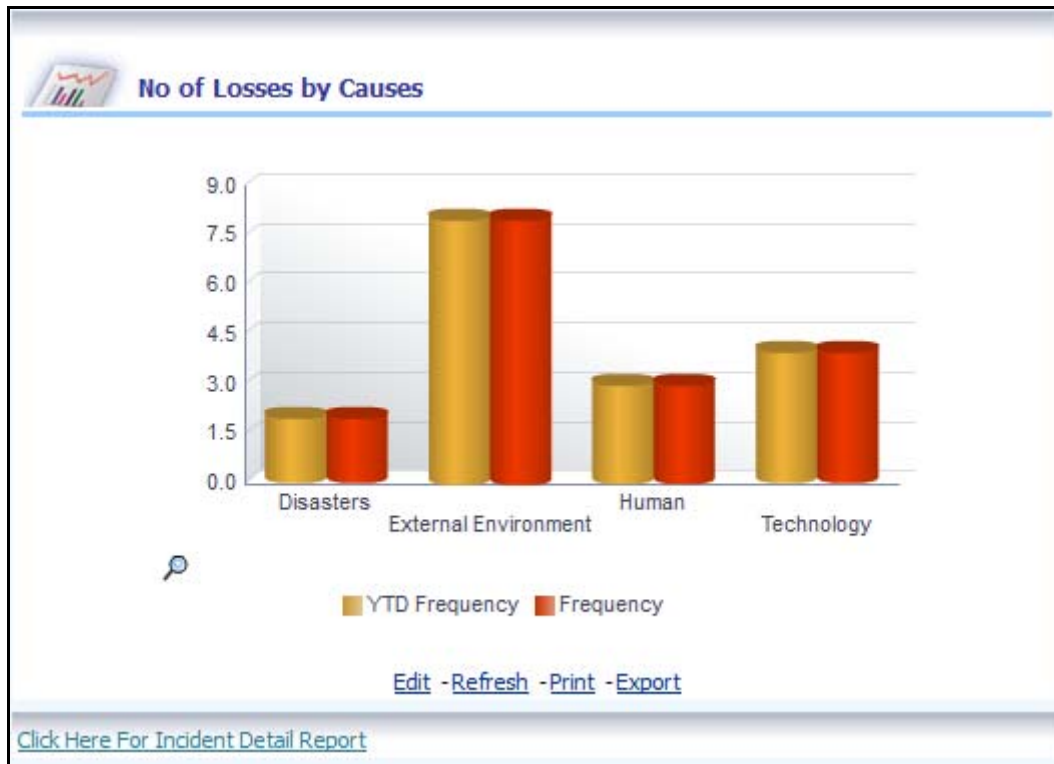


Figure 6. Number of Losses by Causes

The following table describes the components of the Number of Losses by Causes report.

Table 6. Number of Losses by Causes Components

Component	Description
X Axis	Plots the causes.
Y Primary Axis	Plots the number of losses.
YTD Severity as on Date1	Shows the total net loss amount from January 1 of the year of Date1 till Date1.
YTD Severity as on Date2	Shows the total net loss amount from January 1 of the year of Date 2 till Date 2.

Click **Incident Details** link to view the Incident Details report. For more information about the incident details report, refer to *Incident Details*, on page 22.

Number of Losses vs Net Loss Amount

This report displays the number of losses and net loss amount by causes for the given period. This report displays the following two columns:

1. The YTD severity as on Date1 (the date selected in the Time hierarchy).
2. The YTD Severity as on Date2 (the date selected in the Compare With hierarchy).

Additionally, this report displays the following two lines:

1. The YTD frequency as on Date1 and another which shows the
2. The YTD frequency as on Date2.

The incidents in all statuses except Closed are included for calculation.



Figure 7. Number of Losses vs Net Loss Amount by Causes

The following table describes the components of the Number of Losses vs Net Loss Amount by Causes report.

Table 7. Number of Losses vs Net Loss Amount by Causes Components

Component	Description
X Axis	Plots the causes.
Y Primary Axis	Plots the number of losses.
Y Secondary axis	Plots the number of losses in a line graph.
YTD Severity as on Date1	Shows the total net loss amount from January 1 of the year of Date1 till Date1.
YTD Severity as on Date2	Shows the total net loss amount from January 1 of the year of Date 2 till Date 2.
YTD Frequency as on Date1	Shows the total number of losses from January 1 of the year of Date1 till Date1.
YTD Frequency as on Date2	Shows the total number of losses from January 1 of the year of Date2 till Date2.

Click **Incident Details** link to view the Incident Details report. For more information about the incident details report, refer to *Incident Details*, on page 22.

Residual Risk Rating by Causes

This report displays the residual risk rating by causes in a stacked bar chart for the given period. All Risks have a primary cause, which determines how the risk is counted. Only risks in *Open* status are considered.

This report gives an analysis of residual rating for risks by their primary cause. This helps organizations to analyze as to which causes are contributing to risks with high rating. This information can be used for management of operational risk.

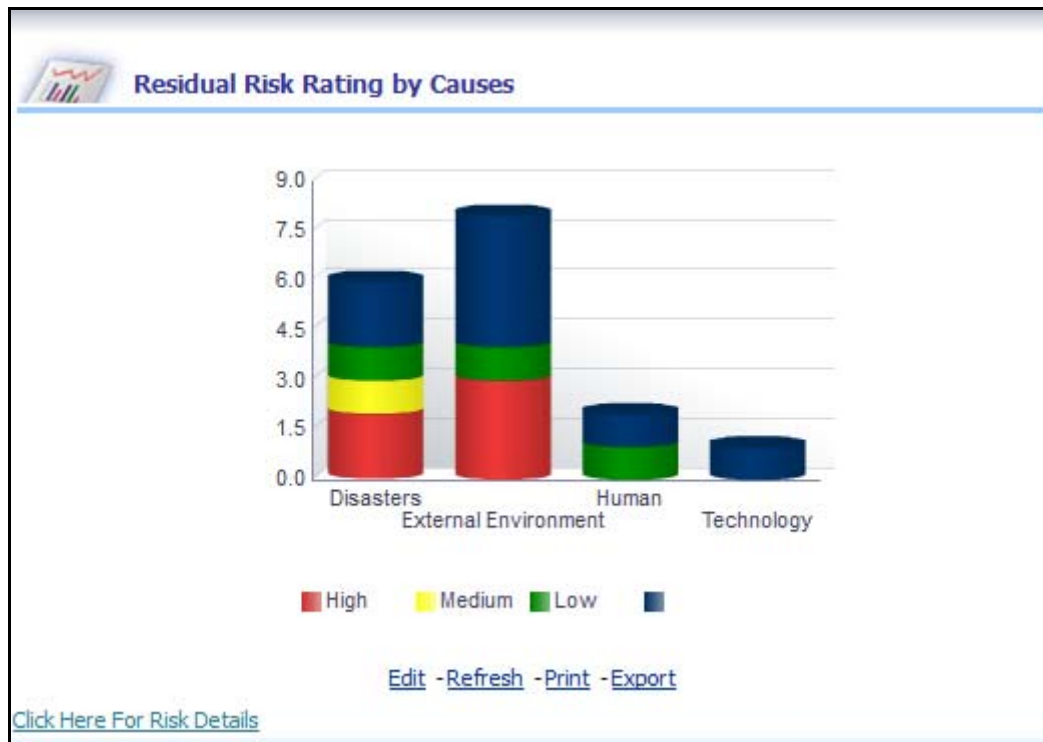


Figure 8. Residual Risk Rating by Causes

The following table describes the components of the Residual Risk Rating by Causes report.

Table 8. Residual Risk Rating by Causes Components

Component	Description
X Axis	Plots the causes and residual risk rating in a stacked chart.
Y Primary Axis	Plots the number of risks.

Note:

- The report displays the first level Dimension/Cause with an option to view next levels
- Click on each bar in the graph to drill down to either *Next Level* or *Risk Detail*
- Click **Next level** to navigate to the same report but for the next level Causes

- Click the **Risk Details** link to view the Risk Details report

Risk Details

This report provides detailed information about risks.

Risk ID	Risk Name	Inherent Rating	Control Effectiveness	Residual Rating	Residual Financial Impact	No. of Events p.a	Assessment Date	Reputational Risk	Basel Event Type	Business Line	Location	Risk Category	Process	Quantitative Inherent Impact
81238264	risk of fraud	Medium	Effective	Less than Risk Threshold			9/24/2012	Very High	Business Disruption and System Failures	Network and Advisory sales	London	End User Computing Risks	All	

[Return - Create Bookmark Link](#)

Figure 9. Risk Details

The following table describes the columns in the Risk Details report.

Table 9. Risk Details Columns

Column	Description
Risk ID	Displays the risk ID.
Risk Name	Displays the risk name.
Inherent Rating	Displays the Inherent Risk Rating.
Control Effectiveness	Displays the overall control effectiveness for the risk.
Residual Rating	Displays the Residual Risk Rating.
Residual Financial Impact	Displays the expected or potential loss amount to be incurred each time the risk materializes in one year from the date of assessment.
No. of Event p.a	Displays the expected or potential number of times the risk might materialize in one year from the date of assessment.
Assessment Date	Displays the date of assessment.
Reputational Risk	Displays the rate risk over loss of goodwill.
Risk Event Type	Displays the Basel event type for the risk.
Business Line	Displays the business line to which the risk is mapped.
Location	Displays the location where this risk is applicable.
Risk Category	Displays the classification of the risk under the risk category.
Process	Displays the process to which this risk is applicable.
Quantitative Inherent Impact	Displays the amount of loss which can occur in a year if the controls are not implemented.

Control Rating by Causes

This report displays the control rating by causes in a stacked bar chart for the given period. The controls do not have causes linked to them, but are linked to many risks and all risks have a primary cause, which determines how the risk is counted. If the same control is linked to multiple risks, then there is a possibility that it mitigates multiple causes. Therefore, there is a possibility of double counting controls across causes, but it will not be double counted for the same cause. Only controls and linked risks in *Open* status are considered.



Figure 10. Control Rating by Causes

The following table describes the components of the control rating by Causes report.

Table 10. Control Rating by Causes Components

Component	Description
X Axis	Plots the causes and control rating in a stacked chart.
Y Primary Axis	Plots the number of controls.

Note: The report displays first level the Dimension/ Cause with an option to view next levels
Click the **Control Details** link to view the Control Details report.

Control Details

This report provides detailed information about controls.

 Home-Control Details High Risks

Control ID	Control Name	Assessment Date	DE Rating	OE Rating	Overall Effectiveness	Business Line	Location	Risk Category	Process	Control Owner
10236	Control local MANUAL	3/14/2014	Requires Improvement	Requires Improvement	Requires Improvement	Retail lending	New York		All	
10892	Control for Plan	0/0/0				Funds Transfer	London	Cards	All	
12450	TP Control	3/12/2014	Qualified	Requires Improvement	Requires Improvement	Fund Management	London		All	
12516	control lib	0/0/0				Fund Management	London		All	
12518	control locall	3/12/2014	Qualified	Qualified	Qualified	Fund Management	London		All	
14566	test issue	0/0/0				Deposits	New York			
14990	New Lib after Patch	0/0/0				Trust and estates	New York		All	
17544	Test Test Control	0/0/0				Retail lending	All		pro#	
18754	TP#	0/0/0				Retail Banking	New York		pro#	
22698	New Control	0/0/0				Consultancy Services / Research / Development (to include training given to outsiders)	Bangalore		New Process	
22808	Test Test Test Control	0/0/0				Deposits	New York			
22809	Test Test Test Control	0/0/0				Retail Banking	New York			
22810	Test Test Test Control	0/0/0				Retail lending	New York			
22811	Test Test Test Control	0/0/0				Fund Management	London			
22812	Test Test Test Control	0/0/0				Trust and estates	New York			
22931	Test T Control	0/0/0				Retail Banking	New York		process for dashboard	
23106	jkjksds	3/13/2014	Qualified	Requires Improvement	Requires Improvement	Consultancy Services / Research / Development (to include training given to outsiders)	London		New Process	
27771	Test Test Control	0/0/0				Retail Banking	New York			
27772	Control Test planning	0/0/0				Retail lending	New York		test process	
29596	Test Control Questionnaire	3/13/2014	Effective	Qualified	Qualified	Retail lending	New York	Recurring Deposits	test process	
29930	PS CT Functionality	3/14/2014	Requires Improvement	Qualified	Qualified	Deposits	New York		All	
32174	PS Control Ques DE Resp	3/14/2014	Effective	Qualified	Qualified	Deposits	New York		All	
32175	PS Control Ques DE Resp	3/14/2014	Effective	Effective	Effective	Retail Banking	New York		All	
32176	PS Control Ques With Resp	3/14/2014	Requires Improvement	Requires Improvement	Requires Improvement	Fund Management	London		All	
32177	PS Control Ques No Resp	3/14/2014	Qualified	Qualified	Qualified	Retail lending	New York		All	

[Return](#) - [Create Bookmark Link](#)

Rows 1 - 25

Figure 11. Control Details report

The following table describes the columns in the Control Details report.

Table 11. Control Details Columns

Column	Description
Control ID	Displays the control ID.
Control Name	Displays the control name.
Assessment Date	Displays the assessment date.
DE Rating	Displays the Design Effectiveness rating for the Control.
OE Rating	Displays the Operating Effectiveness rating for the Control.
Overall Effectiveness	Displays the overall effectiveness rating of the control.
Business Line	Displays the business line to which the control is mapped.
Location	Displays the location to which the control is mapped.
Risk Category	Displays the classification of the risk.
Process	Displays the process applicable to the control.
Control Owner	Displays the name of the user who is responsible for overseeing the control.

Control Rating Distribution for High Risks

This report displays the control rating based on the primary cause of the risk linked to the control. Controls do not have causes linked to them. If the same control is linked to multiple risks, then there is a possibility that it mitigates multiple causes. Therefore, there is a possibility of double counting controls across cause, but it will not be double counted for the same cause. Only controls and linked risks in *Open* status are considered.

This report only considers risks with a rating of *High*.



Figure 12. Control Rating Distribution for High Risks

The following table describes the components of the control rating distribution for High Risks report.

Table 12. Control Rating by Causes Components

Component	Description
X Axis	Plots the causes and control rating in a stacked chart.
Y Primary Axis	Plots the number of controls.

Note: The report displays first level the Dimension/ Cause with an option to view next levels

Click **Control Details** link to view the Control Details report. For more information about the Control Details report, refer to *Control Details*, on page 27.

Key Risk Indicator by Causes

This report displays the Key Risk Indicator (KRI) rating by Causes in a stacked bar chart. All KIs have a primary cause, which is how the KI by cause count is taken.



Figure 13. Key Risk Indicator by Causes

The following table describes the components of the Key Risk Indicator by Causes report.

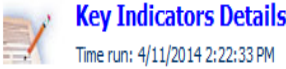
Table 13. Key Risk Indicator by Causes Components

Component	Description
X axis	Plots the causes and KI rating in a stacked chart.
Y Primary axis	Plots the number of KRIs.

- The report displays the first level Dimension/Cause with an option to view next levels
- Click the **KI Details** link to view the KI Details report.

KI Details

This report provides detailed information about Key Indicators.



ID	Name	Type	Nature	Source	KI in Development	Enterprise KI	Risk Event Type	Risk Inventory	Cause	Frequency	Measure Scale	Rating	Status	Line of Business	Location
16018	Test Test KI	KRI	Predictive	Internal	No	Yes	Systems	Operational Risk		Weekly	Percentage	Not Rated	Draft	All	USA
16028	Test Test KI	KRI	Predictive	Internal	No	Yes	Systems	Operational Risk		Weekly	Percentage	Not Rated	Draft	All	China
19691	Test Test KI	KRI	Predictive	Internal	No	Yes	Systems	Operational Risk		Weekly	Percentage	Not Rated	Draft	Deposits	New York
19715	Test Test KI	KRI	Predictive	Internal	No	Yes	Systems	Operational Risk		Weekly	Percentage	Not Rated	Draft	Retail Banking	New York
19739	Test Test KI	KRI	Predictive	Internal	No	Yes	Systems	Operational Risk		Weekly	Percentage	Not Rated	Draft	Retail lending	New York
19763	Test Test KI	KRI	Predictive	Internal	No	Yes	Systems	Operational Risk		Weekly	Percentage	Not Rated	Draft	Fund Management	London
19787	Test Test KI	KRI	Predictive	Internal	No	Yes	Systems	Operational Risk		Weekly	Percentage	Not Rated	Draft	Trust and estates	New York
27237	Test	KRI	Predictive	Internal	No	No	Internal Fraud	Operational Risk			Percentage	Not Rated	Draft	Retail Banking	New York
27259	Test	KRI	Predictive	Internal	No	No	Internal Fraud	Operational Risk			Percentage	Not Rated	Draft	All	Delhi
29464	test test KCI	KRI	Predictive	Internal	No	No	Internal Fraud	Operational Risk		Monthly	Percentage	Not Rated	Open	Retail lending	New York
34575	new KCI from control	KRI	Predictive	Internal	No	No	Internal Fraud	Operational Risk		Quarterly	Percentage	Not Rated	Open	Fund Management	London

[Return](#) - [Create Bookmark Link](#)

Figure 14. KI Details

The following table describes the columns in the KI Details report.

Table 14. KI Details Columns

Column	Description
ID	Displays the KI ID
Name	Displays the name of the KRI
Type	Displays the type of KI being defined
Nature	Displays the nature of the KRI
Source	Displays the Source of the KI
KI In Development	Displays if the KI is in development
Enterprise KI	Displays if the KI is an enterprise KI
Risk Event Type	Displays the risk event type of the KI
Risk Inventory	Displays the risk inventory name
Cause	Displays the cause of the risk
Frequency	Displays the frequency of Assessment/Value capture of KI
Measure Scale	Displays the measure scale of the risk KI
Rating	Displays the KI assessment rating
Status	Displays the status of the KI
Line of Business	Displays the business line for which the KI is created
Location	Displays the location for which the KI is created

Key Control Indicator by Causes

This report displays the Key Control Indicator (KCI) rating by Causes in a stacked bar chart. All KIs have a primary cause, which is how the KI by cause count is taken. Only KIs in *Open* status are considered.

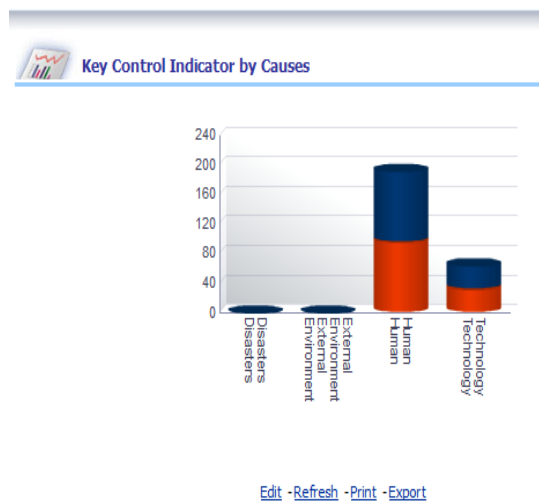


Figure 15. Key Control Indicator by Causes

The following table describes the components of the Key Control Indicator by Causes report.

Table 15. Key Control Indicator by Causes Components

Component	Description
X axis	Plots the causes and KI Rating in a stacked chart.
Y Primary axis	Plots the number of KCIs.

Note: The report displays first level the Dimension/ Cause with an option to view next levels.

Click the **KI Details** link to view the KI Details report. For more information about the KI Details report, refer to *KI Details*, on page 30.

Key Indicators by High Risks and Ineffective Controls

This report displays the Key Indicators linked to risks which are rated as High in Residual Risk Assessment and controls which are rated as Requires Improvement in Control Assessment. All KIs have a primary cause, which is how the KI by cause count is taken. Only KIs in *Open* status are considered.

Note: Use the High Risks/Ineffective Controls drop-down list to filter the information.

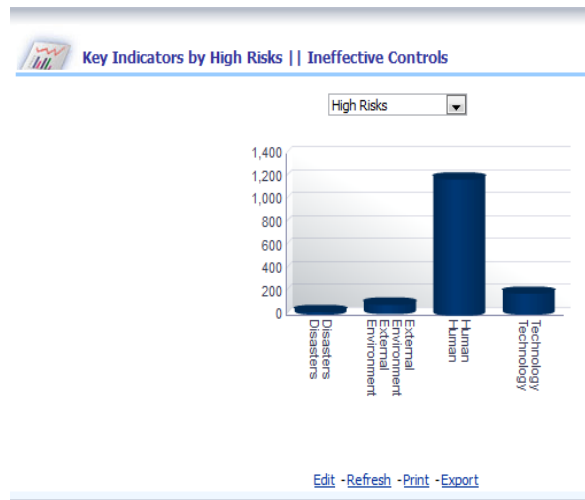


Figure 16. Key Indicators by High Risks: Ineffective Controls

The following table describes the components of the Key Indicators by High Risks and Ineffective Controls report.

Table 16. Key Indicators by High Risks: Ineffective Controls Components

Component	Description
X axis	Plots the causes and KI Rating in a stacked chart.
Y Primary axis	Plots the count of the KRIs.

Click the **KI Details** link to view the KI Details report. For more information about the KI Details report, refer to *KI Details*, on page 30.

Action Summary by Causes

This report displays the number of Open actions vs. Delayed actions (actions whose target completion date is before the current date) by causes. Each action has a source; this report considers all sources by default, with an option to see the report for each source. Use the slider at the top of the report to select the source for the causes.



Figure 17. Action Summary by Causes

The following table describes the components of the Action Summary by Causes report.

Table 17. Action Summary by Causes Components

Component	Description
X axis	Displays the number of open actions vs. delayed actions in a stacked chart.
Y Primary axis	Plots the number of actions.

Click **Action Detail** link to view the Action Details report.

Action Details

This report provides detailed information about Actions.

Action Name	Action Description	Action Creation Date	Target Completion Date	Completion Percentage	Action Cost	Currency Short Description	Line of Business	Location	Source
Action for compliance incidence		10/09/2012	10/17/2012			INR	ABC USA	New York City	Incident Management
Action for incident	Action for incident	09/28/2012	9/30/2012			USD	ABC USA	New York City	Incident Management
action transfer	asdcascd	09/20/2012	9/21/2012			EGP	Network and Advisory sales	London	Incident Management
for BI action		10/09/2012	9/27/2012			CNY	ABC USA	New York City	Incident Management

Figure 18. Action Details

The following table describes the columns in the Action Details table:

Table 18. Action Details Columns

Column	Description
Action Name	Displays the name of action.
Action Description	Displays the action description.
Action Creation Date	Displays the date on which the action is created.

Table 18. Action Details Columns

Column	Description
Target Completion Date	Displays the date on which the action plan has to be completed. If this is overdue, it is displayed in RED.
Completion Percentage	Displays the approximate measure of completion of action.
Action Cost	Displays the actual cost incurred in implementing the action.
Currency	Displays the currency in which the costs are captured.
Line of Business	Displays the business line for which the action plan is created.
Location	Displays the location for which the action plan is created.
Source	Displays the component for which the action plan is created.

Additional Reports

The following sections describe the reports found in the Additional Reports section of the Summary tab.



Figure 19. Additional Reports

Accessing Additional Reports

To access these reports, click the link of the report you wish to view. All filters set on the Summary tab will apply to these reports.

Plausible Risk Amount vs Net Loss Amount

This report displays the latest risk details and net loss amount for the selected risk. The net loss amount (sum of all net losses linked to a risk) is shown for losses that have occurred in the past one year from the date of filter.

For an incident, multiple risks are linked. It is possible that the same loss amount is shown against multiple risks and therefore may be double counted.

[illegible]

Figure 20. Plausible Risk Amount vs Net Loss Amount

The following table describes the columns in the Plausible Risk Amount vs Net Loss Amount report.

Table 19. Plausible Risk Amount vs Net Loss Amount Columns

Column	Description
Risk ID	Displays the sequential tracking number given to the risk.
Risk Name	Displays the name of the risk.
Inherent Rating	Displays the inherent risk rating.
Control Effectiveness	Displays the overall control effectiveness for the risk.
Residual Rating	Displays the residual risk rating.
Residual Financial Impact	Displays the residual financial impact of the risk.
No. of Events p.a	Displays the expected or potential number of times the risk might materialize in one year from the date of assessment.
Assessment Date	Displays the risk assessment date.
Net Loss Amount	Displays the total loss amount of all the incidents linked to the risk.
Line of Business	Displays the business line to which the risk is mapped.
Location	Displays the location to which the risk is mapped.
Risk Category	Displays the classification of the risk.
Process	Displays the process to which this risk is applicable.

State of Risks for a Year

This report displays the residual risk rating of a risk over the past 12 months. All risks in *Open* status with 12 months of residual risk rating are considered.

By default, 25 records display.

Line of Business	Location	RiskID	Risk Name	Status Name	Sep-2012	Oct-2012
ABC USA	New York City	81228746	risk for fraud	Open	High	High
		81229244	risk with questionnaire	Open	High	High
		81233729	risk for plan	Open		
		81233814	risk for plan 1	Open	Low	High
		81235787	risk without control	Open		
		81236594	risk for testing	Open	High	High
		81238304	new risk identified	Open	High	High
		81240424	Risk for test	Open	Medium	Medium
		81240556	Questionnaire based risk assessment	Open	Low	Low
		81240802	Risk for questionnaire based assessment	Open		
		81242825	risk for questionnaire	Open	High	High
		81242977	risk for questionnaire based	Open	High	High
		81243288	risk simulation	Open	High	High
		81243337	new risk for sree	Open	High	High
		81244730	record for BI	Open		
Network and Advisory sales	London	81245979	Risk	Open		
		81228784	NEW RISK CREATED BY AN USER FOR CHECKING THE LINKAGES IN INSURANCE MODULE AND CHECK NI SCENARIO AS WELL	Open		
		81238264	risk of fraud	Open		
		81238265	risk of fraud	Open		
		81241263	test questionnaire	Open		
		81241292	test risk for different KBD	Open		
		81241871	risk for test 5	Open		
		81246898	test-4-BI	Open		Low

Figure 21. State of Risks

The following table describes the columns in the State of Risks report.

Table 20. State of Risks Report Columns

Column	Description
Risk ID	Click ID to view the risk details report. For more information about the Risk Details report, refer to <i>Risk Details</i> , on page 26. From the risk details report, you can view the control details report. For more information about the Control Details report, refer to <i>Control Details</i> , on page 27.
Risk Name	Displays the risk name.
Time Period Ratings	These columns are labeled Month 1 - Month 12 and display the trend of control ratings over those 12 months.

Risks Breaching Threshold

This report displays the latest risk details and threshold amount for the Line of Business. Only risks in *Open* status with the latest residual financial impact greater than threshold for the business are considered.

RiskID	Risk Name	Line of Business	Location	Impact	Likelihood	Residual Rating	Residual Financial Impact	Threshold Amount	No of Events per Annum	Assessment Date	Dummy
81228746	risk for fraud	ABC USA	New York City	Catastrophic 2	Rare	More than Risk Threshold	3,375,000	1,500,000	30	9/11/2012	1

Figure 22. Risks Breaching Threshold

The following table describes the columns in the Risks Breaching Threshold report.

Table 21. Risks Breaching Threshold Columns

Column	Description
Risk ID	Displays the sequential tracking number given to the risk.
Risk Name	Displays the name of the risk.
Line of Business	Displays the business line to which the risk is mapped.
Location	Displays the location to which the risk is mapped.
Impact	Displays the Impact Rating.
Likelihood	Displays the Likelihood rating.
Residual Rating	Displays the Residual Risk Rating.
Residual Financial Impact	Displays the residual financial impact of the risk.
Threshold	Displays the risk threshold for the BU.
No. of Event p.a	Displays the expected or potential number of times the risk might materialize in one year from the date of assessment.
Assessment Date	Displays the risk assessment date.

Net Loss Amount Per Risk

This report displays the latest risk details and net loss amount (sum of all net losses linked to a risk) for the selected risk. The net loss amount is shown for losses that have occurred in the past one year from the date of filter.

For an incident, multiple risks are linked. It is possible that the same loss amount is shown against multiple risks and therefore, it is double counted.

Line of Business	Location	RiskID	Risk Name	Residual Rating	Net Loss Amount	MIS Date Id
ABC USA	All	81236594	risk for testing	High	5250000.00	20121010.00
		81243288	risk simulation	High	3250000.00	20121010.00
	New York City	81236594	risk for testing	High	5250000.00	20121010.00
		81243288	risk simulation	High	3250000.00	20121010.00
	United States	81236594	risk for testing	High	5250000.00	20121010.00
		81243288	risk simulation	High	3250000.00	20121010.00
All	All	81236594	risk for testing	High	5250000.00	20121010.00
		81243288	risk simulation	High	3250000.00	20121010.00
	New York City	81236594	risk for testing	High	5250000.00	20121010.00
		81243288	risk simulation	High	3250000.00	20121010.00
	United States	81236594	risk for testing	High	5250000.00	20121010.00
		81243288	risk simulation	High	3250000.00	20121010.00

Amount in USD

Figure 23. Net Loss Amount Per Risk

The following table describes the columns in the Net Loss Amount Per Risk report.

Table 22. Net Loss Amount Per Risk Columns

Column	Description
Line of Business	Displays the business line to which the risk is mapped.
Location	Displays the location where this risk is applicable.
Risk ID	Displays the sequential tracking number given to the risk.
Risk Name	Displays the risk name.
Residual Rating	Displays the residual risk rating.
Net Loss Amount	Displays the total loss amount of all the incidents linked to the risk.

State of Controls for a Year

This report displays the overall control assessment rating of a control over a period of 12 months from filter date. The overall control assessment rating from the end of each month is considered. Only controls in *Open* status are considered.

By default, this report displays 25 records per page.

ControlID	Control Name	Sep-2014
81639850	CCTV	
81639880	Closure and liquidation of the bank	
81639902	Cancellation of deposit license	
81639924	Periodic Audit of Trading Activities	
81639946	Implemented strong back office operations, centralised management of control activities	
81640199	Credit card Fraud - service provider	
81640231	Property site audits / inspections	
81640284	System access	Qualified
81640303	Risk specific training is completed by staff.	
81640329	Installation of Fire Detectors & Alarms	
81640359	Installation of Fire Extinguishers.	
81640381	Emergency teams and protocols are in place.	
81640403	Customer request.	
81640449	Dual Control	
81640476	Automated cards blocking.	
81640507	Appropriate dismissal and disciplinary action is taken.	
81640529	Custody of Power of Attorney and Bank Seal.	
81640551	Security - Physical Security.	Requires Improvement
81640573	Documentation Checklist	Effective
81640595	Documentation Unit Check	
81640617	Captured Cards delivery	Qualified
81640639	Extending loans to unauthorised purposes	
81640661	Regulator engagement framework	
81640683	Regulator review	
81640705	Regulatory Reporting	

Figure 24. State of Controls

The following table describes the columns in the State of Controls report.

Table 23. State of Controls Columns

Columns	Description
Control ID	Click this column to view the Control Details report. For more information about the Control Details report, refer to <i>Control Details</i> , on page 27.
Control Name	Displays the control name.
Time Period Ratings	These columns are labeled Month 1 - Month 12 and display the trend of control ratings over those 12 months.

Net Loss Amount Per Control

This report displays the latest control details and net loss amount (sum of all net losses linked to a control) for the selected control. The net loss amount is shown for losses that have occurred in the past one year from the date of filter.

For an incident, multiple controls are linked. It is possible that the same loss amount is shown against multiple controls and therefore, it is double counted.

Line of Business	Location	ControlID	Control Name	Net Loss Amount	Overall Effectiveness
ABC USA	All	81238019	Questionnaire based assessment	1,625,000	Qualified
	New York City	81238019	Questionnaire based assessment	1,625,000	Qualified
	United States	81238019	Questionnaire based assessment	1,625,000	Qualified
All	All	81238019	Questionnaire based assessment	1,625,000	Qualified
				8,125,000	Requires Improvement
	EMEA	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	London	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	New York City	81238019	Questionnaire based assessment	1,625,000	Qualified
	United Kingdom	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
Network and Advisory sales	United States	81238019	Questionnaire based assessment	1,625,000	Qualified
	All	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	EMEA	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	London	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
Retail Banking	United Kingdom	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	All	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	EMEA	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	London	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
Retail Finance	United Kingdom	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	All	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	EMEA	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
	London	81238019	Questionnaire based assessment	8,125,000	Requires Improvement
Amount In USD					

Figure 25. Net Loss Amount Per Control

The following table describes the columns in the Net Loss Amount Per Control report.

Table 24. Net Loss Amount Per Control Columns

Column	Description
Line of Business	Displays the business line to which the control is mapped.
Location	Displays the location where this control is applicable.
Control ID	Displays the sequential tracking number given to the control.
Control Name	Displays the name of the control.
Overall Effectiveness	Displays the overall effectiveness rating for the control.
Net Loss Amount	Displays the total loss amount of all the incidents linked to the control.

Breached Key Indicators

This report displays Key Indicators (KI) which have breached their limits. KIs are said to have breached their limits when their latest rating is red.

Figure 26. Breached Key Indicators

Key Indicators Details
Time run: 9/11/2014 4:48:23 PM

ID	Name	Type	Nature	Source	KI in Development	Enterprise KI	Risk Event Type	Risk Inventory	Cause	Frequency	Measure Scale	Rating	Status	Line of Business	Location
81631301	Appointment of Multiple Accountants	KRI	Current	Internal	No	No	Improper Business or Market Practices	Operational Risk	Operational Risk	Quarterly	Number	Not Rated	Open	Retail Banking	New York
81631399	Loan Amount sanctioned to customers	KRI	Lag	Internal	No	No	Improper Business or Market Practices	Operational Risk	Operational Risk	Monthly	Amount	Not Rated	Open	Retail Banking	New York
81631421	Loss Incurred due to fraudulent transactions.	KRI	Lag	Internal	No	No	Unauthorized Activity	Operational Risk	Operational Risk	Monthly	Amount	Not Rated	Open	Retail Banking	New York
81631570	Loss Incurred due to unauthorized trading.	KRI	Lag	Internal	No	No	Improper Business or Market Practices	Operational Risk	Operational Risk	Monthly	Amount	Not Rated	Open	Retail Banking	New York
81631583	Loss Incurred due to illegal security trading.	KRI	Lag	Internal	No	No	Improper Business or Market Practices	Operational Risk	Operational Risk	Monthly	Amount	Not Rated	Open	Retail Banking	New York
81631602	Loss Incurred due to unauthorized bets.	KRI	Lag	Internal	No	No	Trans type Unauthorized with or monetary loss	Operational Risk	Operational Risk	Monthly	Amount	Not Rated	Open	Retail Banking	New York
81634279	Cash shortages.	KRI	Lag	Internal	No	No	Theft or Extortion or Embezzlement or Robbery	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81634469	Gross Fraud loss.	KRI	Lag	External	No	No	Fraud or Credit fraud or Worthless deposits	Operational Risk	Operational Risk	Weekly	Amount	Not Rated	Open	Retail Banking	New York
81632719	Cash shortages.	KRI	Lag	Internal	No	No	Theft or Extortion or Embezzlement or Robbery	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81632727	Fraud incidents reported.	KRI	Lag	Internal	No	No	Fraud or Credit fraud or Worthless deposits	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81632793	Gross Fraud loss.	KRI	Lag	External	No	No	Fraud or Credit fraud or Worthless deposits	Operational Risk	Operational Risk	Monthly	Amount	Not Rated	Open	Retail Banking	New York
81632776	Cases reported during surprise checks/reviews.	KRI	Lag	Internal	No	No	Improper Business or Market Practices	Credit Risk	Credit Risk	Quarterly	Number	Not Rated	Open	Retail Banking	New York
81635018	Property held as mortgage not evaluated in last 1-2 years.	KRI	Lag	Internal	No	No	Improper Business or Market Practices	Credit Risk	Credit Risk	Quarterly	Number	Not Rated	Open	Retail Banking	New York
81635065	Average sick or non holiday absences per employee.	KRI	Current	Internal	No	No	Improper Business or Market Practices	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81635383	Cases of loss of property, assets and cash.	KRI	Lag	Internal	No	No	Damage to Physical Assets	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81635924	Cash withdrawals during the month, excluding credit card cash advances.	KRI	Lag	External	No	No	Fraud or Credit fraud or Worthless deposits	Operational Risk	Operational Risk	Monthly	Amount	Not Rated	Open	Retail Banking	New York
81635942	Internal fraud/mispractice incidents.	KRI	Lag	Internal	No	No	Trans type Unauthorized with or monetary loss	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81635981	Merchant/ Customer behavior / transactions monitoring.	KRI	Current	External	No	No	Improper Business or Market Practices	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81635999	Gross Fraud loss.	KRI	Predictive	External	No	No	Improper Business or Market Practices	Operational Risk	Operational Risk	Monthly	Amount	Not Rated	Open	Retail Banking	New York
81636024	Complaints received from intermediaries.	KRI	Lag	External	No	No	Theft or Extortion or Embezzlement or Robbery	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81636032	Operational losses from sabotage/theft.	KRI	Predictive	External	No	No	Theft of information or monetary loss	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81636070	Insured stolen property.	KPI	Current	External	No	No	Theft of information or monetary loss	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York
81636107	Penalties imposed on the bank by the regulators, for regulatory breaches.	KPI	Lag	External	No	No	Improper Business or Market Practices	Regulatory & Compliance Risk	Regulatory & Compliance Risk	Quarterly	Amount	Not Rated	Open	Retail Banking	New York
81636123	Incidents with compliance / regulatory impacts.	KPI	Predictive	Internal	No	No	Improper Business or Market Practices	Regulatory & Compliance Risk	Regulatory & Compliance Risk	Quarterly	Number	Not Rated	Open	Retail Banking	New York
81636143	Internet banking service unavailable.	KRI	Predictive	Internal	No	No	Theft or Extortion or Embezzlement or Robbery	Operational Risk	Operational Risk	Monthly	Number	Not Rated	Open	Retail Banking	New York

Rows 1 - 25

The following table describes the columns in the Breached Key Indicators report.

Table 25. Breached Key Indicators Columns

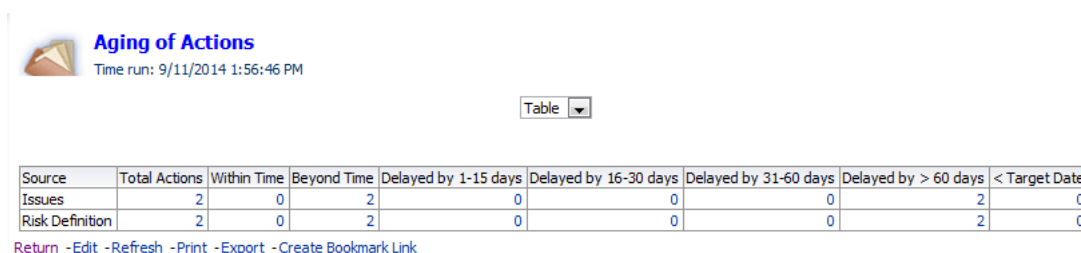
Column	Description
ID	Displays the sequential tracking number given to the KI record.
Name	Displays the name of the Key Indicator.
Type	Displays the type of the Key Indicator
Nature	Displays the nature of the Key Indicator
Source	Displays the source of the Key Indicator
KI In Development	Displays whether the development is in KI or not
Enterprise KI	Displays whether KI is applicable at an enterprise level or at business unit level
Risk Event Type	Displays risk event type of the Key Indicator
Risk Inventory	Displays the risk inventory of the Key Indicator

Table 25. Breached Key Indicators Columns

Column	Description
Cause	Displays the cause of the Key Indicator
Frequency	Displays the frequency of the Key Indicator
Measure Scale	Displays the measure scale of the Key Indicator
Rating	Displays the rating of the Key Indicator
Status	Displays the status of the Key Indicator
Line of Business	Displays the business line to which the KI is mapped.
Assessment Date	Displays the assessment date of KI.

Aging of Actions

This report gives the aging status of actions for different categories of buckets. The report displays the actions created for different component for a given time period with their current status.



The screenshot shows the 'Aging of Actions' report interface. It includes a title 'Aging of Actions' with a sub-header 'Time run: 9/11/2014 1:56:46 PM'. Below the title is a 'Table' dropdown menu. The main data table has columns: Source, Total Actions, Within Time, Beyond Time, Delayed by 1-15 days, Delayed by 16-30 days, Delayed by 31-60 days, Delayed by > 60 days, and < Target Date. The data rows are 'Issues' and 'Risk Definition'. At the bottom, there are links: Return, Edit, Refresh, Print, Export, and Create Bookmark Link.

Source	Total Actions	Within Time	Beyond Time	Delayed by 1-15 days	Delayed by 16-30 days	Delayed by 31-60 days	Delayed by > 60 days	< Target Date
Issues	2	0	2	0	0	0	2	0
Risk Definition	2	0	2	0	0	0	2	0

Return - Edit - Refresh - Print - Export - Create Bookmark Link

Figure 27. Aging of Actions table

The following table describes the columns in the Aging of Actions report:

Table 26. Aging of Action Plans Columns

Column	Description
Source	
Total Actions	Display the count of total number of actions.
Within Time	Display the count of actions completed within the target completion date, that is, the date of completion is lesser than or equal to the target completion date.
Beyond Time	Displays the count of actions in complete status whose date of completion is greater than the target completion date and actions in open status whose target completion date is lesser than the current date.
Delayed by 1-15 Days	Displays the count of actions where the delay is between 1 to 15 days.
Delayed by 16-30 Days	Displays the count of actions where the delay is between 15 to 30 days bucket.

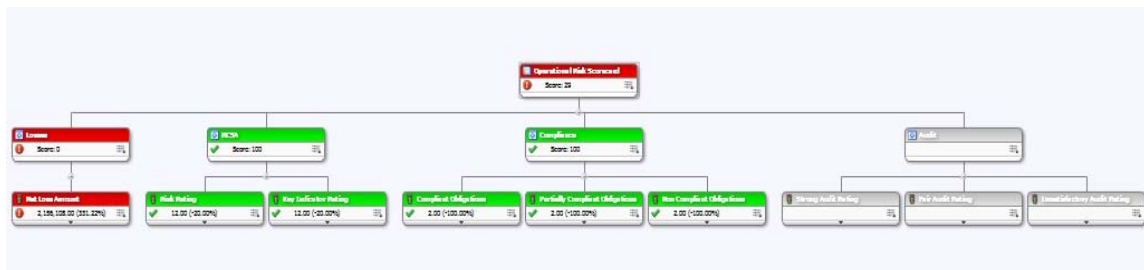
Table 26. Aging of Action Plans Columns

Column	Description
Delayed by 31-60 Days	Displays the count of actions where the delay is between 31 to 60 days bucket.
Delayed by >60 Days	Displays the count of actions where the delay is more than 60 days.
<Target Date	Displays the count of actions in open status with target completion date greater than or equal to the current date.

Click an item in these columns to view the Action Details report. For more information about the Action Details report, refer to *Action Details*, on page 34.

Scorecard

Scorecard can be used to identify measures like Risks, Controls, Compliances etc and set Targets for such measures, based on which the Ratings are derived which can help an organization to understand which of the measures are deviating, meeting or exceed expectations



Incident

This section describes the pre-seeded reports in the incident dashboard of the OFSORA and includes the following topics:

- Accessing the Incident Dashboard
- Viewing Heat Map for Internal Losses
- Viewing Trend Reports
- Viewing Analysis of Internal Losses

Accessing the Incident Dashboard

To access the Incident dashboard, select **Incident** from the Dashboard drop-down. The Incident Dashboard page displays.

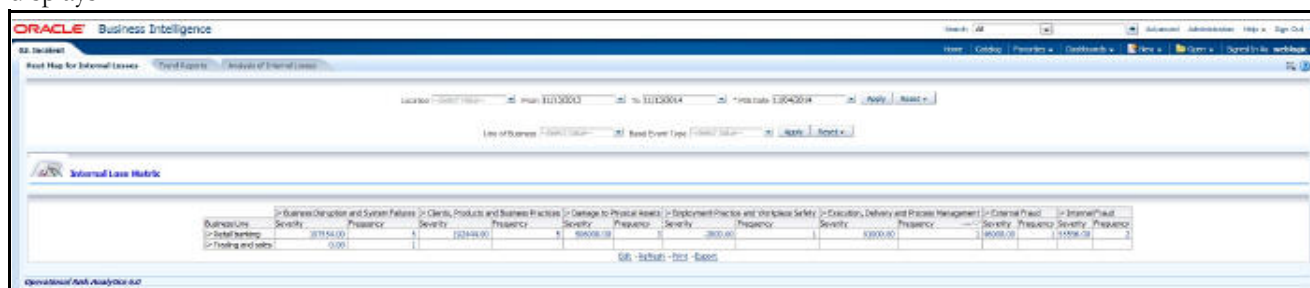


Figure 28. Incident Dashboard Page

The Incident dashboard contains the following tabs:

- Heat Map for Internal Losses
- Trend Reports
- Analysis of Internal Losses

Viewing Heat Map for Internal Losses

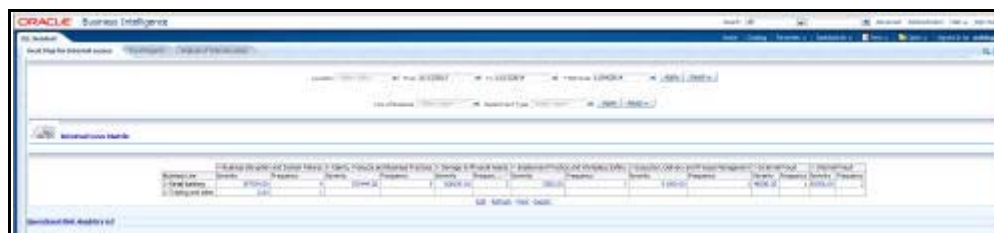


Figure 29. Heat Map for Internal Losses

The following table describes the page level filters on this tab.

Table 27. Incident Page Level Filters - Heat Map for Internal Losses

Filter	Type
Location	Select the location from the drop-down list to display incidents mapped to the selected location.
From and To	Select the date from the drop-down list to display incidents mapped to the selected business line and location for the date specified.
Basel Event Type	Displays the classification of the incident as per basel event type.
Line of Business	Select the business line from the drop-down list to display incident mapped to the selected business line.

Internal Loss Matrix

The Internal Loss Matrix displays the frequency (count of incidents) and severity (amount of loss incurred) of net losses across Line of Businesses and Basel Event Types. The severity displays as the total amount of net loss reported for the selected filters.

This report considers incidents in all statuses except *Closed*.

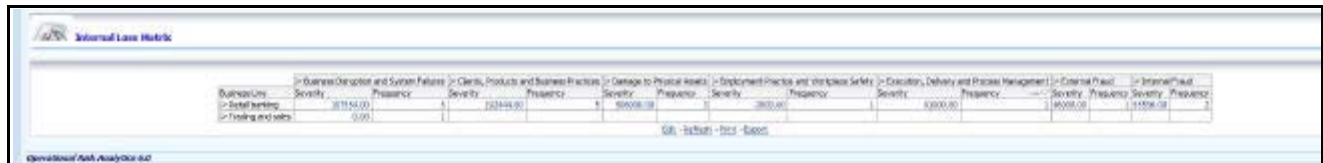


Figure 30. Internal Loss Matrix

Click **Line of Business** or **Basel Event Type** to expand the respective children Line of Businesses and Basel Event Types.

Click on the **Severity** and **Frequency** hyperlinks to view the respective incident details.

Viewing Trend Reports

This tab displays the following reports:

- Trend of Internal Loss Frequency by Location
- Trend of Internal Losses Severity by Location
- Trend of Internal Losses Frequency by Line of Business
- Trend of Internal Losses Severity by Line of Business
- Trend of Internal Losses Frequency by Basel Event
- Trend of Internal Losses Severity by Basel Event
- Additional Reports
 - Trend of Incidents

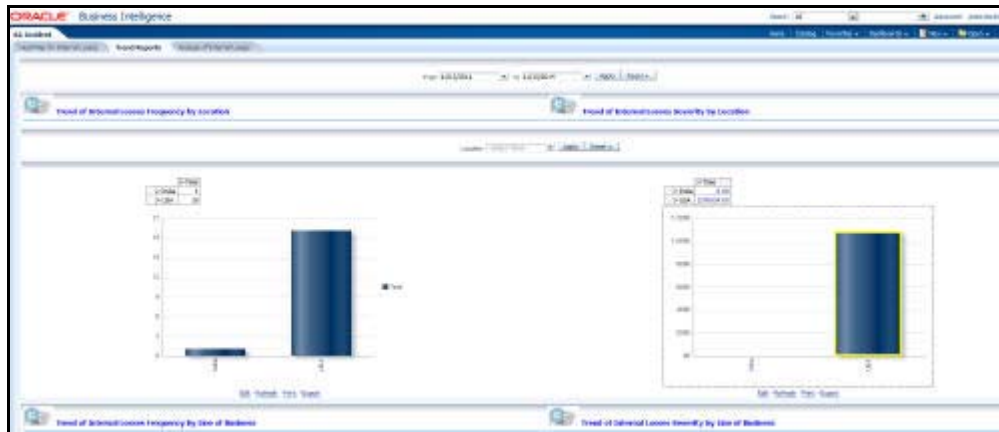


Figure 31. Trend Reports

The following table describes the page level filters on this tab.

Table 28. Incident Page Level Filter - Trend Reports Tab

Filter	Type
Time	Select the date from the drop-down list to display issues mapped to the selected business line and location for the date specified.
Location	Select the location from the drop-down list to display issues mapped to the selected location.
Line of Business	Select the business line from the drop-down list to display issues mapped to the selected business line.
Basel Event Type	Select the classification of the incident as per basel event type.

Trend of Internal Loss Frequency by Location

This report displays the trend across different years. Within the calendar year it can be further drilled down to view the trend across different quarters.

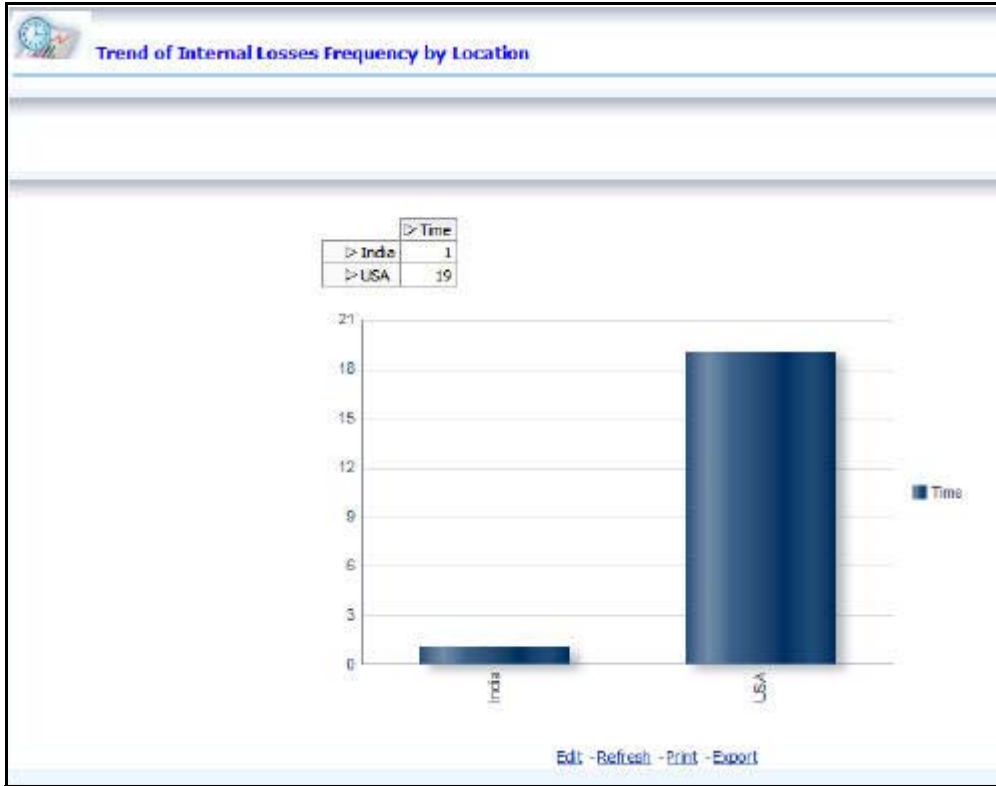


Figure 32. Trend of Internal Loss Frequency by Location

Trend of Internal Loss Frequency by Location Table

This report lists the number of incidents for the combination of location and time period on display.

Click the dropdown arrow on the table view the child nodes.

This report considers incidents in all statuses except *Closed*.

	2012		
	2012-Q4		
	Oct-2012		
All	22	22	22
EMEA	4	4	4
United Kingdom	4	4	4
United States	18	18	18
EMEA	4	4	4

Figure 33. Trend of Internal Loss Frequency by Location table

Trend of Internal Losses Severity by Location

This report displays a trend of internal loss severity by location in both table and graphical format.



Figure 34. Trend of Internal Loss Severity by Location

Trend of Internal Loss Severity by Location Table

This report displays the loss amount for the combination of location and time period on display.

Click on the bar to view the underlying details.

This report considers incidents in all statuses except *Closed*.

	2012	
	2012-Q4	
All	4977075998.00	4977075998.00
EMEA	0.00	0.00
United States	4977075998.00	4977075998.00
EMEA	0.00	0.00

Figure 35. Trend of Internal Loss Severity by Location table

Trend of Internal Losses Frequency by Line of Business

This report displays the trend of internal losses frequency by Line of Business in both table and graphical format.

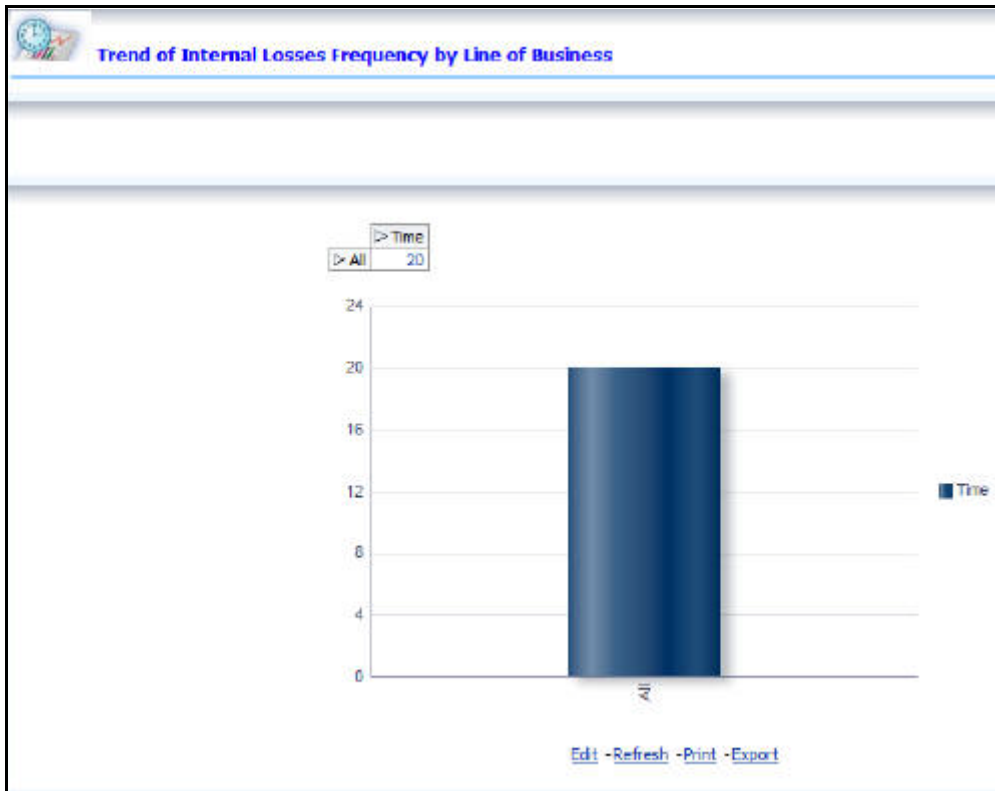


Figure 36. Trend of Internal Losses Frequency by Line of Business

Trend of Internal Losses Frequency by Line of Business Table

This report lists the number of incidents for the combination of Line of Business and time period on display.

Click the dropdown arrow on the table view the child nodes.

This report considers incidents in all statuses except *Closed*.

	2012	
	2012-Q4	
All	22	22
ABC USA	18	18
Retail Banking	4	4

Figure 37. Trend of Internal Losses Frequency by Line of Business table

Trend of Internal Losses Severity by Line of Business

This report displays the trend of internal losses severity by Line of Business in both table and graphical format.



Figure 38. Trend of Internal Losses Severity by Line of Business

Trend of Internal Losses Severity by Line of Business Table

This report lists the loss amount for the combination of line of business and time period on display.

Click the dropdown arrow on the table view the child nodes

This report considers incidents in all statuses except *Closed*.

	2012	
	2012-Q4	
All	4,977,075,998	4,977,075,998
ABC USA	4,977,075,998	4,977,075,998
Retail Banking	0	0

Figure 39. Trend of Internal Losses Severity by Line of Business table

Trend of Internal Losses Frequency by Basel Event

This report displays the trend of internal losses frequency by basel event in both table and graphical format.

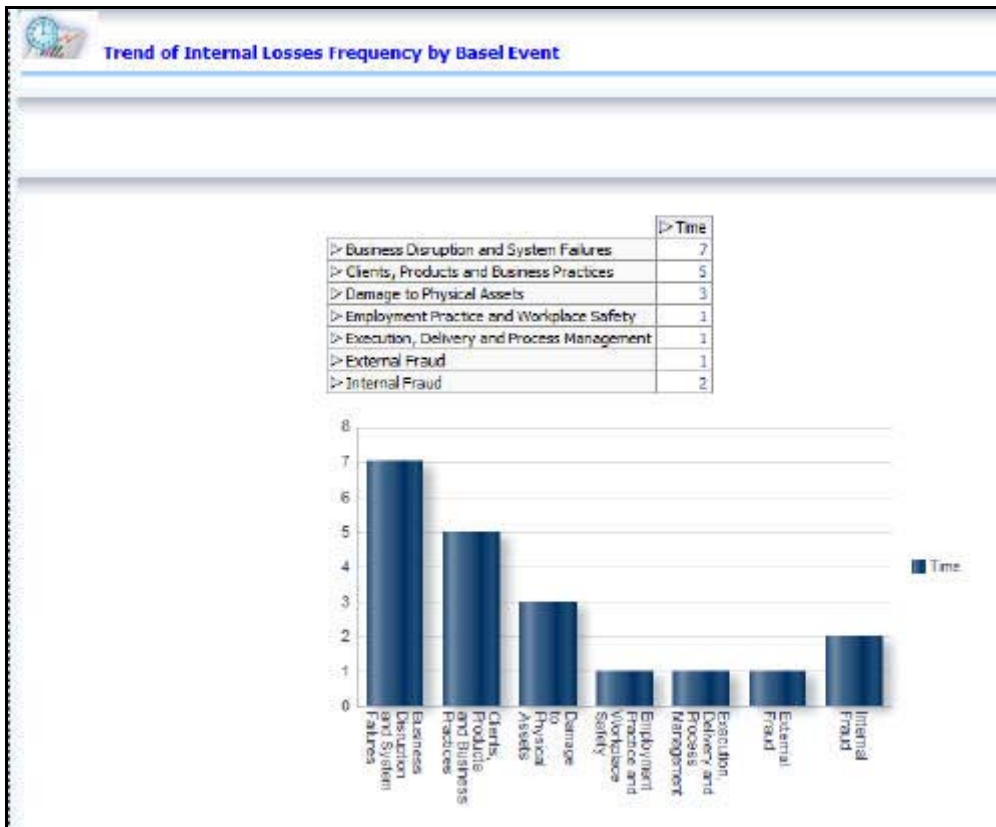


Figure 40. Trend of Internal Losses Frequency by Basel Event

Trend of Internal Losses Frequency by Basel Event Table

This report lists the number of incidents by basel event for the combination of basel event and time period on display.

Click the dropdown arrow on the table view the child nodes.

This report considers incidents in all statuses except *Closed*.

	Time
Business Disruption and System Failures	7
Clients, Products and Business Practices	5
Damage to Physical Assets	3
Employment Practice and Workplace Safety	1
Execution, Delivery and Process Management	1
External Fraud	1
Internal Fraud	2

Figure 41. Trend of Internal Losses Frequency by Basel Event Table

Note: Right click on the table top and select **Collapse all items in view** to restore the original report.

Trend of Internal Losses Severity by Basel Event

This report displays the trend of internal losses severity by basel event in both table and graphical format.



Figure 42. Trend of Internal Losses Severity by Basel Event

Trend of Internal Losses Severity by Basel Event Table

This report lists the loss amount by basel event for the combination of basel event and time period on display.

- The report displays the first level Dimension/Cause with an option to view next levels
- Click the dropdown arrow on the table view the child nodes.

This report considers incidents in all statuses except *Closed*.

	Time
> Business Disruption and System Failures	187554.00
> Clients, Products and Business Practices	192444.00
> Damage to Physical Assets	506000.00
> Employment Practice and Workplace Safety	-2000.00
> Execution, Delivery and Process Management	91000.00
> External Fraud	46000.00
> Internal Fraud	55556.00

Figure 43. Trend of Internal Losses Severity by Basel Event Table

Note: Right click on the table top and select **Collapse all items in view** to restore the original report.

Additional Reports

The following section describe the reports available in the Additional Reports section of the Trend Reports tab.

Trend of Incidents

Accessing Additional Reports

To access these reports, click the link of the Trend of Incidents report. All filters set on the Trend Reports tab will apply to this report.

Trend of Incidents

This report provides an analysis of the losses happened over the years.

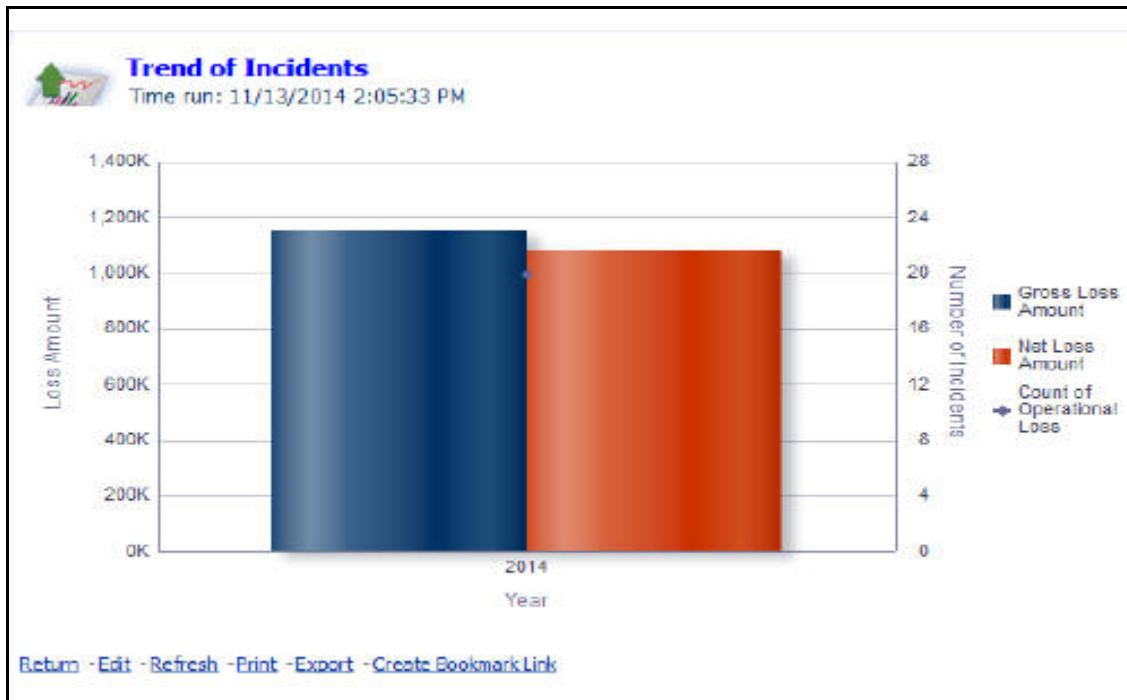


Figure 44. Trend of Incidents

Viewing Analysis of Internal Losses

This tab displays the following reports:

- Internal Losses vs External Losses
- Gross Loss Amount vs. Net Loss Amount

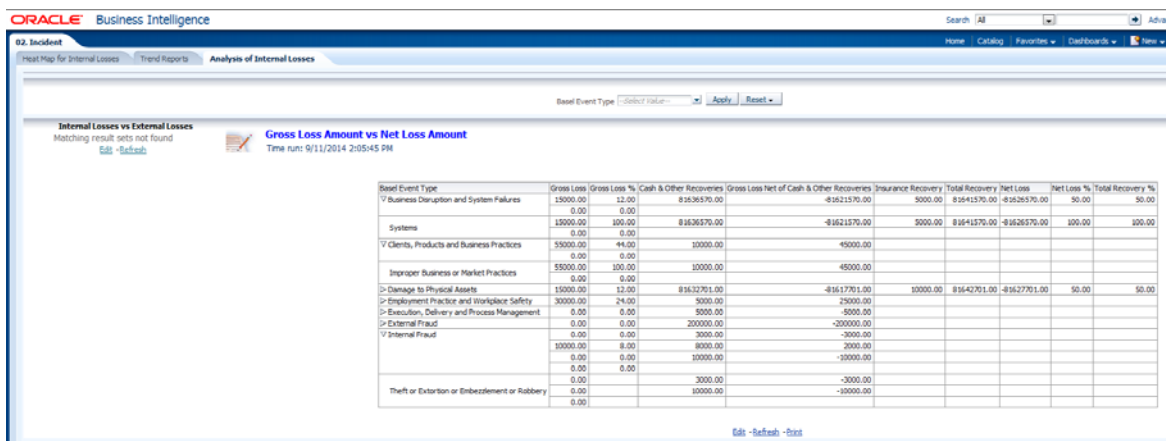


Figure 45. Analysis of Internal Losses

The following table describes the page level filters on this tab.

Table 29. Incident Page Level Filter - Analysis of Internal Loss Tab

Filter	Type
Occurrence Date Between	Select the date from the drop-down list to display issues mapped to the selected business line and location for the date specified.
Basel Event Type	Select the classification of the incident as per basel event type.

By default all charts will be for all basel event types in this page. You can drill down from parent to respective children basel event types.

Internal Losses vs External Losses

This report provides an analysis of internal losses compared to external losses for Basel Event Types. The report compares the contribution of each basel event type to the frequency (number of incidents for the basel event type for the filter time period) and severity (amount of net loss for the basel event type for the filter time period) of internal losses with external loss.

Internal incidents in all statuses except *Closed* and external incidents in all statuses are considered.

Click the drop down arrow on the table to expand the Basel Event Type to the next level.

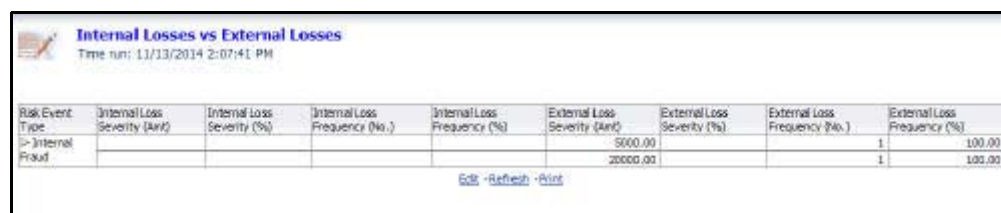


Figure 46. Internal Losses vs External Losses

The following table describes the columns in the Internal Losses vs External Losses report.

Table 30. Internal Losses vs. External Losses Columns

Column	Description
Basel Event Type	Displays the Basel Event Type of the incident.
Internal Loss Severity (Amt)	Displays the internal loss amount for the Basel Event Type.
Internal Loss Severity (%)	Displays the internal loss amount for the Basel Event Type as a percentage of total loss amount for all Basel Event Types.
Internal Loss Frequency (No.)	Displays the internal loss frequency for the Basel Event Type.
Internal Loss Frequency (%)	Displays the internal loss frequency for the Basel Event Type as a percentage of total loss frequency for all Basel Event Types.
External Loss Severity (Amt)	Displays the external loss amount for the Basel Event Type.
External Loss Severity (%)	Displays the external loss amount for the Basel Event Type as a percentage of total loss amount for all Basel Event Types.
External Loss Frequency (No.)	Displays the external loss frequency for the Basel Event Type.
External Loss Frequency (%)	Displays the external loss frequency for the Basel Event Type as a percentage of total loss frequency for all Basel Event Types.

Gross Loss Amount vs. Net Loss Amount

This report displays the internal gross loss (sum of loss amounts for the Basel Event Type) compared to the net loss (sum of loss amounts for that Basel Event Type) by Basel Event Type. This report also displays the recovery details. This report gives an analytical picture of contribution of gross loss amount by different basel event types and their recoveries. The information available in this report can be used for decision making such as the planning insurance coverage based on the information.

Basel Event Type	Gross Loss	Gross Loss %	Cash & Other Recoveries	Gross Loss Net of Cash & Other Recoveries	Insurance Recovery	Total Recovery	Net Loss	Net Loss %	Total Recovery %
Business Disruption and System Failures	15000.00	12.00	81636570.00	-81621570.00	3000.00	81641570.00	50.00	50.00	95.00
Systems	15000.00	100.00	81636570.00	-81621570.00	3000.00	81641570.00	50.00	50.00	95.00
IT Clients, Products and Business Practices	55000.00	44.00	10000.00	45000.00					
Improper Business or Market Practices	55000.00	100.00	10000.00	45000.00					
Damage to Physical Assets	15000.00	12.00	81632701.00	-81617701.00	10000.00	81627701.00	50.00	50.00	95.00
Employment Practice and Workplace Safety	30000.00	24.00	5000.00	25000.00					
Execution, Delivery and Process Management	0.00	0.00	5000.00	-5000.00					
External Fraud	0.00	0.00	20000.00	-20000.00					
Internal Fraud	0.00	0.00	3000.00	-3000.00					
Theft or Extortion or Embezzlement or Robbery	0.00	0.00	10000.00	-10000.00					

Figure 47. Gross Loss vs. Net Loss by Basel Event Types

- The report displays the first level Dimension/Cause with an option to view next levels
- Click the drop down arrow to expand the basel event type to the next level.

The following table describes the columns in the Gross Loss vs. Net Loss by Basel Event Types report.

Table 31. Gross Loss vs. Net Loss by Basel Event Types Columns

Column	Description
Basel Event Type	Displays the basel event type of the Incident.
Gross Loss	Displays the gross loss amount for the basel event type.
Gross Loss%	Displays the gross loss amount for the basel event type as a percentage of total gross loss amount for all the basel event types.
Cash and Other Recoveries	This column displays the net recovery from all sources except Insurance. It contains the sum of cash and other recoveries for all incidents for that BET.
Gross Loss Net of Cash & Other Recoveries	Displays the gross loss less gross loss net of cash and other recoveries.
Insurance Recovery	This column displays the recovery from Insurance, and displays the sum of insurance recoveries for all incidents for that BET.
Total Recovery	Displays the cash and other recoveries + insurance recovery.
Net Loss	Displays the gross loss - total recovery.
Net Loss%	Displays the net loss for the basel event type as a percentage of total net loss for all the basel event types.
Total Recovery%	Displays the recovery for the basel event type as a percentage of total recovery for all the basel event types.

RCSA (Risk and Control Self Assessment)

This section describes the reports found in the Risk and Control Self Assessment Dashboard (RCSA) dashboard of the OFSORA and includes the following topics:

- Accessing the RCSA Dashboard
- Viewing Summary
- Viewing Trend Analysis-Risks
- Viewing Trend Analysis-Controls

Accessing the RCSA Dashboard

To access the RCSA dashboard, select **RCSA** from the Dashboards drop-down. The RCSA Dashboard page displays.

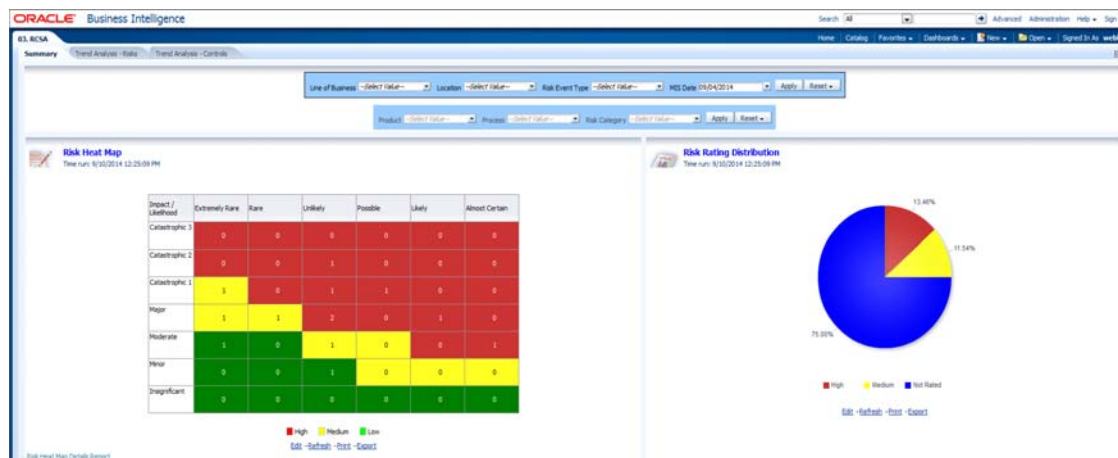


Figure 48. RCSA Dashboard

The RCSA dashboard contains the following tabs:

- Summary
- Trend Analysis -Risks
- Trend Analysis - Controls

Viewing Summary

This tab displays the following reports:

- Risk Heat Map
- Risk Rating Distribution
- Inherent Risk Across Business Line
- Controls Across Business Lines
- Residual Risk Across Business Line
- Control Heat Map

- Control Rating Distribution
- Control Effectiveness
- Risks Vs Cost of Control
- Risk Reports
 - State of Risks
 - High Impact Risks
 - Risks without Controls
 - Risks not Assessed
 - Risks without Insurance
 - Risks with Key Risk Indicators
 - Actions for High Risks
- Control Reports
 - State of Controls
 - Ineffective Controls
 - Summary of Control Assessment
 - Control not Assessed
 - Controls with Key Control Indicators
 - Actions for Ineffective Controls

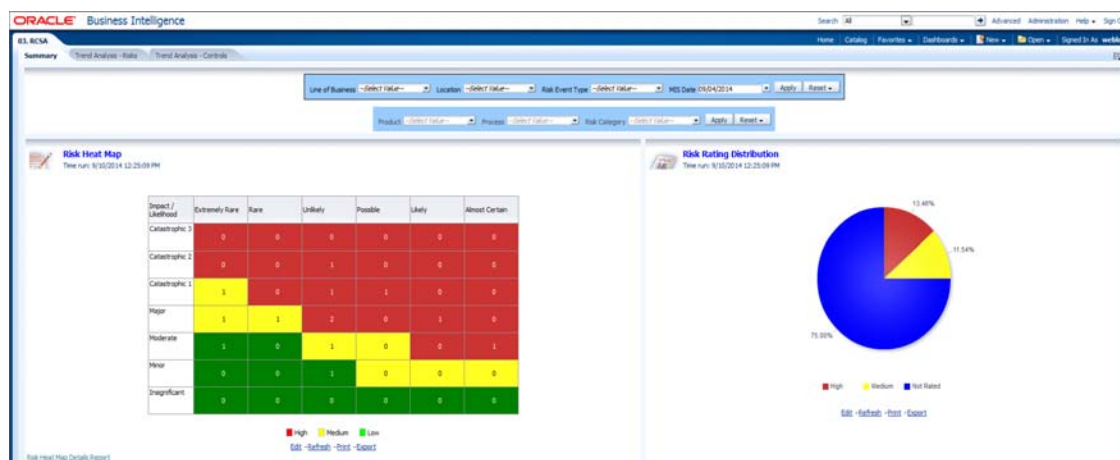


Figure 49. RCSA Summary Tab

The following table describes the page level filters on this tab.

Table 32. RCSA Page Level Filter - Summary Tab

Filter	Type
Line of Business	Select the business line from the drop-down list to display data for the selected business line.
Location	Select the location from the drop-down list to display data for the selected location.
Legal Entity	Displays the legal jurisdiction in which the organization is operating.
Time	Select the date from the drop-down list to display data for the selected business line and location for the date specified.

Risk Heat Map

This report displays the count of residual risk ratings for each combination of impact and likelihood rating.

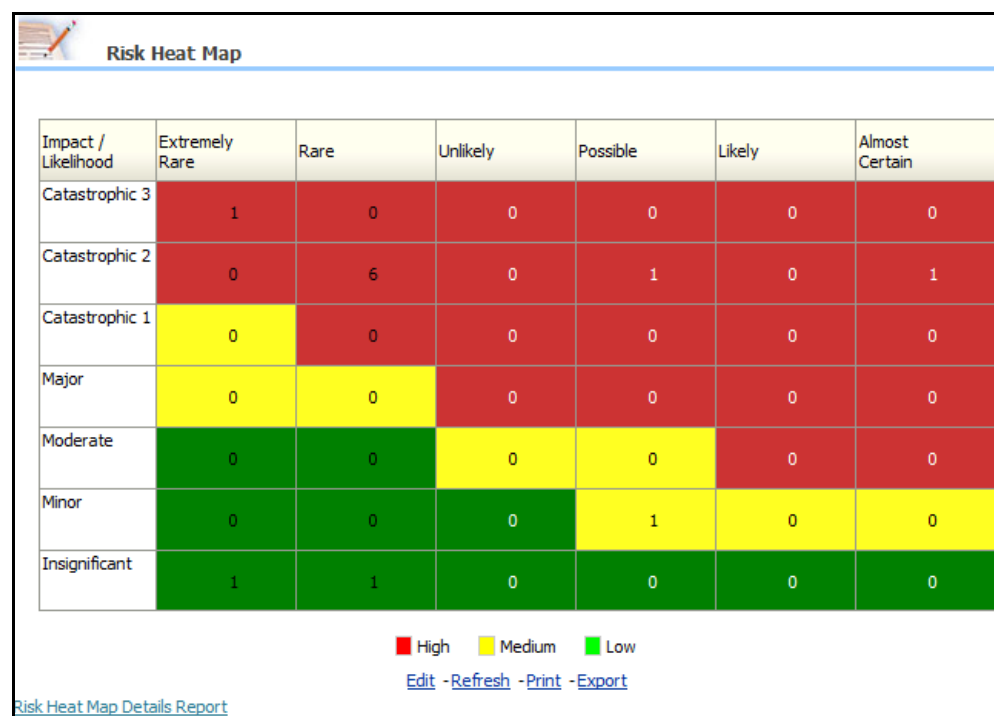


Figure 50. Risk Heat Map

The following table describes the columns in this report.

Table 33. Risk Heat Map Columns

Column	Description
Impact/Likelihood	Displays the impact rating/likelihood rating of the risk.

Click a number in this report to drill down to the Risk Details report.

Risk Heat Map Details Report

This report displays risk heat map details for different Likelihoods and Impacts.

Risk ID	Risk Name	Risk Event Type	Inherent Rating	Control Effectiveness	Residual Rating	Quantitative Inherent Impact	Residual Financial Impact	Threshold Amount	Reputational Impact	Staff Impact	Customer Impact	Regulatory Impact	Assessment Date	Primary Cause	Reputational Risk	Business Line	Location	Risk Category	Process
93630542	Non-Compliance.	Improper Business or Market Practices												Compliance	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631040	Over Exposure of Loans	Improper Business or Market Practices												Lender Liability	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631077	Loss due to Fraudulent Transaction	Unauthorized Activity												Unauthorized Trading	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631100	Bankruptcy due to Speculative Investment	Unauthorized Activity												Unauthorized Trading	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631166	Risk of huge fines due to Regal trading	Unauthorized Activity												Unauthorized Trading	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631189	Risk of loss due to Hidden Trading and Improper Hedging	Unauthorized Activity												Unauthorized Trading	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631438	Cash shortage on account of internal fraud.	Theft or Extortion or Embezzlement or Robbery												Human	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631466	Fraudulent credit card transactions.	Forgery												Forgery and Counterfeiting	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631493	Loss of property related documents.	Retail consumer disclosure violations												Forgery and Counterfeiting	High	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631520	Awaiting finance from multiple banks by the client for single asset.	Retail consumer disclosure violations												Forgery and Counterfeiting	Possible	Retail Banking	New York	Fraud	Loan Review - Hot Loan Process
93631558	Swind Credit of wrong amount or account.	Improper Business or Market Practices												Simultaneous Data Entry	High	Retail Banking	New York	Employee liability risk	Loan Review - Hot Loan Process
93631623	Damage to physical assets.	Damage to Physical Assets												Fire	High	Retail Banking	New York	Facilities and Infrastructure Risk	Loan Review - Hot Loan Process
93631650	Inadequate Security Systems.	Damage to Physical Assets												Fire	Very High	Retail Banking	New York	Facilities and Infrastructure Risk	Loan Review - Hot Loan Process

Risk Details Report

This report displays risk details as on the date of filter. For more information about the Risk Details report, refer to *Risk Details*, on page 26.

Control Details Report

This report displays control details as on the date of risk assessment. For more information about the Control Details report, refer to *Control Details*, on page 27.

Risk Rating Distribution

This report displays the percentage of residual risk ratings in a pie chart.

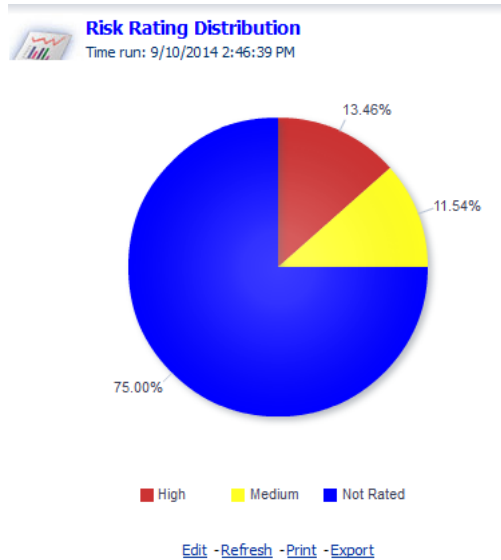


Figure 51. Risk Rating Distribution

Click a section on the pie chart to drill down to the Risk Details report. For more information about the Risk Details report, refer to *Risk Details*, on page 26.

Inherent Risk Across Business Line

This report displays the total number of risks among different business lines.



Figure 52. Inherent Risk Across Business Line

Controls Across Business Lines

This report displays the count of control with their effectiveness rating for different Business Units.

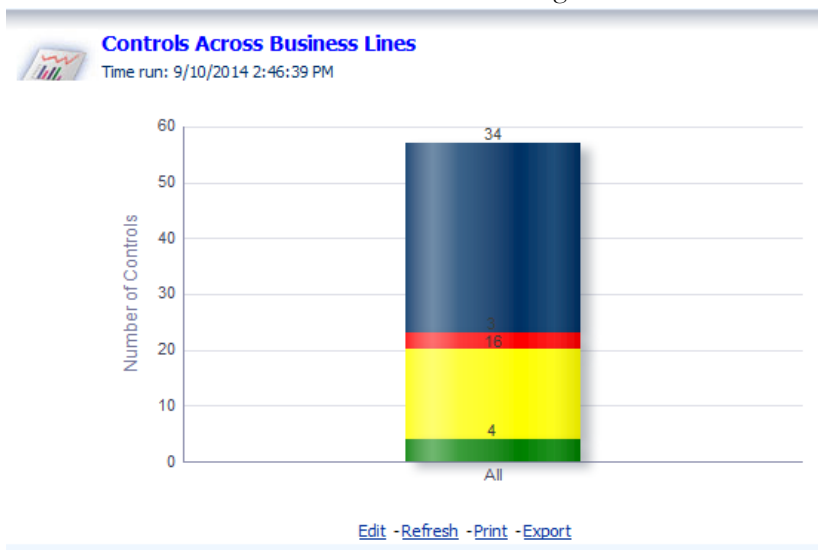


Figure 53. Controls Across Business Lines

Residual Risk Across Business Line

This report displays the number of Risks for different rating criteria such as High/medium/Low, based on the Residual Risk Rating for different Business Units. Residual Risk rating is the rating for the Risks based on the control effectiveness.

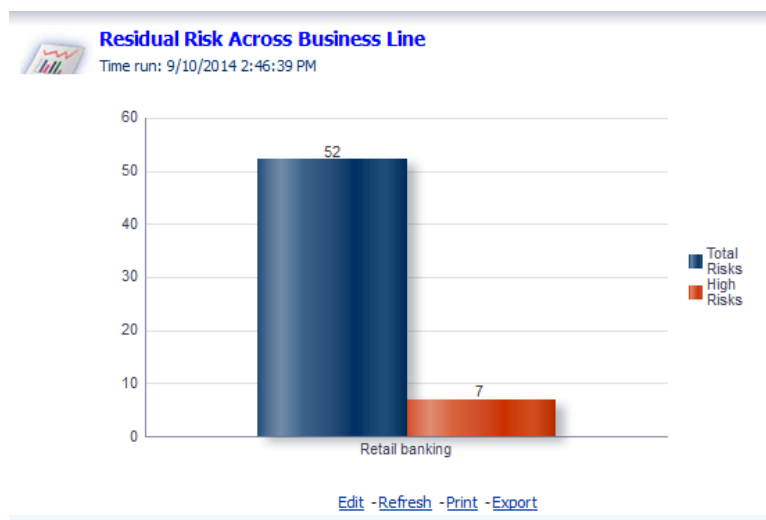


Figure 54. Residual Risk Across Business Line

Control Heat Map

This report displays the number of control ratings for each combination of OE and DE rating.

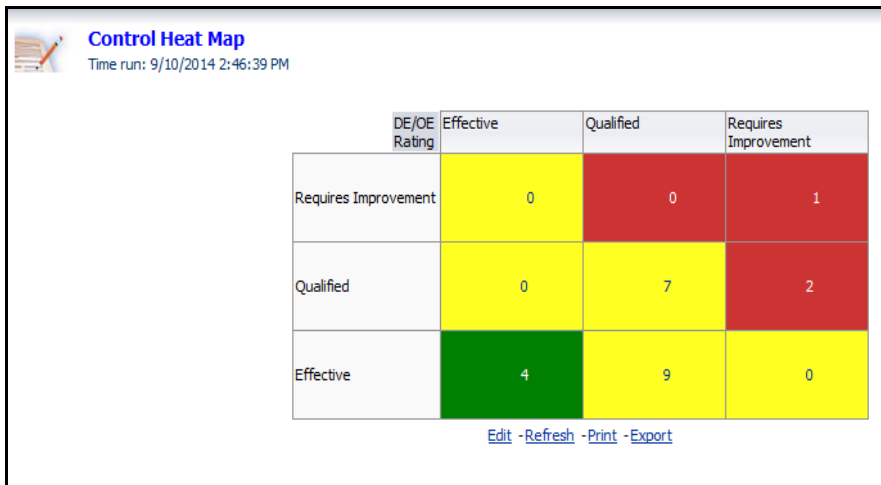


Figure 55. Control Heat Map

The following table describes the columns in this report.

Table 34. Control Heat Map Columns

Column	Description
OE Rating / DE Rating	Displays the operating effectiveness rating/design effectiveness rating.

Click a number in this report to drill down to the Control Details report. For more information about the Control Details report, refer to *Control Details*, on page 27.

Control Rating Distribution

This report displays the percentage of control ratings in a pie chart.

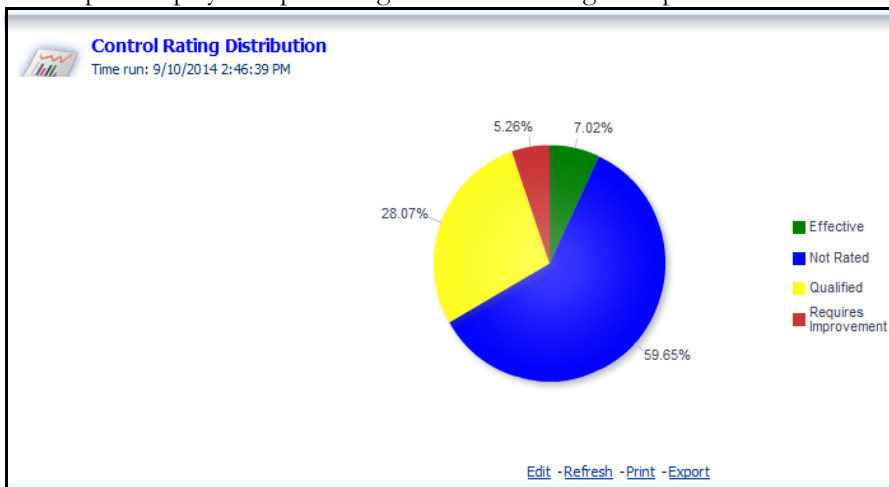


Figure 56. Control Rating Distribution

Click a section of the pie chart to drill down to the Control Details report. For more information about the Control Details report, refer to *Control Details*, on page 27.

Control Effectiveness

This section contains three bar chart reports, which represent the effectiveness of controls.

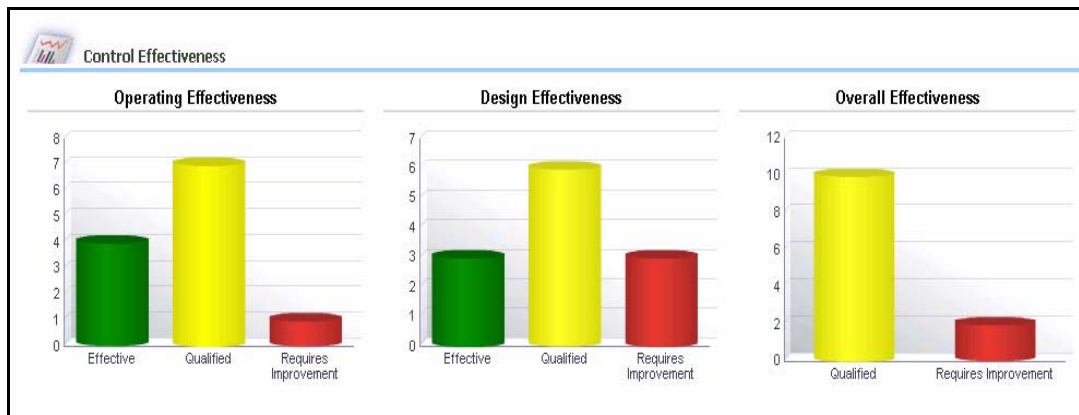


Figure 57. Control Effectiveness

The report displays the first level Dimension/Cause with an option to view next levels

Click any bar to drill down to the Control Details report. For more information about the Control Details report, refer to *Control Details*, on page 27.

Operating Effectiveness

This report represents the number of controls by rating for operating effectiveness.



Figure 58. Operating Effectiveness

Design Effectiveness

This report represents the number of controls by rating for design effectiveness.

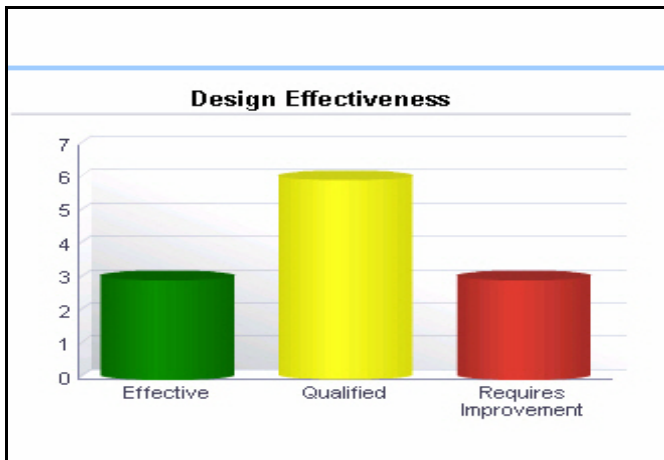


Figure 59. Design Effectiveness

Overall Effectiveness

This report represents the number of controls by rating for overall effectiveness.

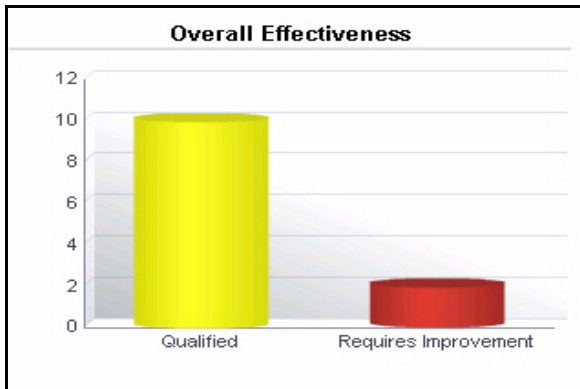


Figure 60. Overall Effectiveness

Risks Vs Cost of Control

This report displays the Risks and their cost of controls along with the number of incidents. This helps to analyze the Cost of mitigation risk, based on the Residual Rating and the Number of Incidents associated with the Risk.

Risk Reports

This section contains the following link reports:

- State of Risks
- High Impact Risks
- Risks without Controls
- Risks not Assessed
- Risks without Insurance
- Risks with Key Risk Indicators

- Actions for High Risks

State of Risks

For more information about the State of Risks report, refer to *State of Risks for a Year*, on page 36.

High Impact Risks

This report displays risks with the following impact ratings during residual risk assessment:

- Catastrophic3
- Catastrophic2
- Catastrophic1
- Major

Line of Business	Location	RiskID	Risk Name	Count of Controls	Impact Rating	Residual Risk Rating	Assessment Date	Net Loss Amount	Threshold Amount
Retail Banking	New York	81633585	Wrong Processing of payroll.	2	Low	Catastrophic3	1/26/2014	0	500,000
		81634006	Misuse of ATM captured cards by employees.	1	Low	Catastrophic2		0	5,000
		81636995	Threat of Unauthorized activity leading to Client data leak	2	Low	Catastrophic1			
Retail Banking	New York	81633951	Loans availed by customers by submitting false information.	2	Medium	Major		25,000	10,000
		81634266	Failure of critical systems and IT infrastructure.	1	Medium	Major		0	5,000
		81636907	Printer break down	1	Medium	Major			
		81646374	Pandemic spread	1	Medium	Major		6,000	1,000
		81646455	Sales Reporting Failures.	2	Medium	Major		10,000	2,000,000



Figure 61. High Impact Risks

The following table describes the columns in the High Impact Risks report:

Table 35. High Impact Risks Columns

Column	Description
Line of Business	Displays the business line to which the risk is mapped.
Location	Displays the location to which the risk is mapped.
Risk ID	Displays the sequential tracking number given to the risk.
Risk Name	Displays the risk name.
Count of Controls	Displays the total number of open controls linked to this risk. Click Count of Controls hyper link to view the Control Details Report. For more information about the Control Details report, refer to <i>Control Details</i> , on page 27.

Table 35. High Impact Risks Columns

Column	Description
Impact Rating	<p>Displays the impact rating.</p> <p>This column is color coded in the following way:</p> 
Residual Risk Rating	<p>Displays the residual risk rating.</p> <p>This column is color coded in the following way:</p> 
Assessment Date	Displays the date of latest risk assessment.
Net Loss Amount	<p>Total net loss amount for the incidents linked to these controls.</p> <ul style="list-style-type: none"> ● If multiple incidents are linked to a risk, then the net loss amount is the sum of net loss amount for all the incidents. ● If the same incident is linked to multiple risks, then the net loss amount will be shown against all the risks. <p>Click Net Loss Amount hyper link to drill down to the Incident Details Report. For more information about the Incident Details report, refer to <i>Incident Details</i>, on page 22.</p>
Threshold Amount	Displays the threshold amount for risks set for a business line.

Risks without Controls

This report lists the risks that do not have controls.

Line of Business	Location	RiskID	Risk Name	RAG Value	Risk Rating	Net Loss Amount	Threshold Amount
Retail Banking	New York	81633585	Wrong Processing of payroll.		Low		500000.00
		81633705	ATM Cards may be issued to wrong person.		Low		1000.00
		81633951	Loans availed by customers by submitting false information.		Medium		10000.00
		81633979	Lost or stolen cards reported to the branch is not hotlisted		Low		1000.00
		81634006	Misuse of ATM captured cards by employees.		Low		5000.00
		81634266	Failure of critical systems and IT infrastructure.		Medium		5000.00
		81636907	Printer break down		Medium		5000.00
		81636995	Threat of Unauthorized activity leading to Client data leak		Low		
		81646374	Pandemic spread		Medium		1000.00
		81646455	Sales Reporting Failures.		Medium		2000000.00
		81646477	Unsolicited Sales.				
		81678545	Financial Crime		Medium		

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Figure 62. Risks Without Controls

The following table describes the columns in the Risks Without Controls report:

Table 36. Risks without Controls Columns

Column	Description
Line of Business	Displays the business line to which the risk is mapped.
Location	Displays the location to which the risk is mapped.
Risk ID	Displays ID of the risk.
Risk Name	Displays the risk name.
RAG Value	Displays the residual risk rating.
Risk Rating	Displays the Risk rating of the latest residual rating.
Net Loss Amount	<p>Total net loss amount for the incidents linked to these risks.</p> <ul style="list-style-type: none"> ● If multiple incidents are linked to a risk, then the net loss amount is the sum of net loss amount for all the incidents. ● If the same incident is linked to multiple risks, then the net loss amount will be shown against all the risks. <p>Click Net Loss Amount hyper link to drill down to the Incident Details Report.</p>
Threshold Amount	Threshold amount set for the Line of Business in Financial Impact Scales.

Risks not Assessed

This report lists all risks that have not been assessed in the past one year from the filter date



Figure 63. Risks not Assessed in over a year

The following table describes the columns in the risks not assessed in over a year report:

Table 37. Risks not Assessed in Over a Year Columns

Column	Description
Line of Business	Displays the business line to which the risk is mapped.
Location	Displays the location to which the risk is mapped.
Risk ID	Displays the sequential tracking number given to the risk.
Risk Name	Displays the risk name.
Inherent Risk Rating	Displays the inherent risk rating.
Control Effectiveness	Displays the control effectiveness.
Residual Risk Rating	Displays the residual risk rating.
Assessment Date	Displays the risk assessment date.

Risks without Insurance

This report lists risks which are not covered by any insurance.

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Risks without Insurance
Time run: 9/10/2014 3:15:43 PM

Line of Business	Location	Risk Event Type	RiskID	Risk Name	Plausible Financial Impact	Impact Rating	Residual Rating	Assessment Date
Retail Banking	New York	Advisory Activity	81634060	Improper advice to customers.				
			81634143	Inaccurate advice to customers.				
		Business Disruption and System Failures	81636907	Printer break down	4000.00	Major	Medium	
			81633623	Damage to physical assets.				
		Damage to Physical Assets	81633650	Inadequate Security Systems.				
			81633466	Fraudulent credit card transactions.				
		Forgery	81633677	Misuse of ATM captured cards .				
			81633705	ATM Cards may be issued to wrong person.	3200.00	Moderate	Low	
		Fraud or Credit fraud or Worthless deposits	81633733	Fraudulent credit card transactions.				
			81630542	Non- Compliance.				
		Improper Business or Market Practices	81631040	Over Exposure of Loans				
			81633558	Debit/ Credit of wrong amount or account.				
			81633585	Wrong Processing of payroll.	100000.00	Major	Low	1/26/2014
			81633843	Anti Fraud Management procedures are not in place.				
			81633979	Lost or stolen cards reported to the branch is not hotlisted	10000.00	Moderate	Low	
			81634087	Security Requirements Non-Compliance.				
			81634115	Lack of documented approval from Regulators.				
			81634183	Inadequate enterprise records management system and processes				
			81634212	Errors, omissions or delays in statutory reporting.				
			81634239	Non-settlement of claims within Regulator mandated period.				
		Malicious destruction of assets	81646321	Workflow Disruption				
			81646351	Business Disruption				
			81646374	Pandemic spread		Catastrophic 1	Medium	
			81646499	Organisational Reputation Loss Risk				
			81646519	Brand name decline				

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Rows 1 - 25

Figure 64. Risks without Insurance

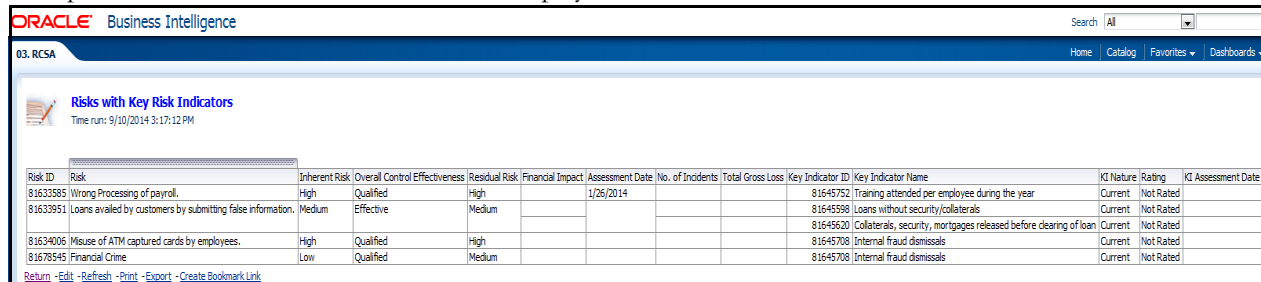
The following table describes the columns in the risks with no insurances report:

Table 38. Risks without Insurance Columns

Column	Description
Line of Business	Displays the business line to which the risk is mapped.
Location	Displays the location to which the risk is mapped.
Basel Event Type	Displays the basel event type of the risk.
Risk ID	Displays the sequential tracking number given to the risk.
Risk Name	Displays the risk name.
Plausible Financial Impact	Displays the plausible financial impact of risk assessment.
Impact Rating	Displays impact rating.
Residual Rating	Displays residual risk rating.
Assessment Date	Displays the risk assessment date.

Risks with Key Risk Indicators

This report lists risks and the linked key risk indicators, which are used to track/monitor the risk. If a risk has multiple KRIs linked to it, then all risks will display.



Risk ID	Risk	Inherent Risk	Overall Control Effectiveness	Residual Risk	Financial Impact	Assessment Date	No. of Incidents	Total Gross Loss	Key Indicator ID	Key Indicator Name	KI Nature	Rating	KI Assessment Date
81633585	Wrong Processing of payroll.	High	Qualified	High		1/26/2014			81645752	Training attended per employee during the year	Current	Not Rated	
81633951	Loans availed by customers by submitting false information.	Medium	Effective	Medium					81645598	Loans without security/collaterals	Current	Not Rated	
									81645620	Collaterals, security, mortgages released before clearing of loan	Current	Not Rated	
81634006	Misuse of ATM captured cards by employees.	High	Qualified	High					81645708	Internal fraud dismissals	Current	Not Rated	
81678545	Financial Crime	Low	Qualified	Medium					81645708	Internal fraud dismissals	Current	Not Rated	

Figure 65. Risks with Key Risk Indicators

The following table describes the columns in the Risks with Key Risk Indicators report:

Table 39. Risks with Key Risk Indicators Columns

Column	Description
Risk ID	Displays the sequential tracking number given to the risk.
Risk Name	Displays the risk name.
KRI ID	Displays the sequential tracking number given to the KRI.
KRI Name	Displays the KRI name.
Line of Business	Displays the business line to which the KRI is mapped.
Location	Displays the location to which the risk is mapped.
KRI Nature	Displays the nature of KRI.
RAG Value	Displays KI assessment rating.

Actions for High Risks

This report lists risks with a residual risk rating of *High* for the selected time period. It also displays any issues or actions that have been linked to the risk.

RiskID	Risk Name	Line of Business	Location	Residual Risk Rating	Assessment Date	Issue Name	Action Name
81228746	risk for fraud	ABC USA	New York City	More than Risk Threshold	20120911.00	Issue for outstanding	Action for risk
						issue for process in pro	action for issu

Figure 66. Actions for High Risks

The following table describes the columns in the Actions for High Risks report:

Table 40. Actions for High Risks Columns

Column	Description
Line of Business	Displays the business line to which the action is mapped
Location	Displays the location to which the risk is mapped.
Risk ID	Displays the sequential tracking number given to the risk.
Risk Name	Displays the risk name.
Issue Name	Name of the issue that was created or linked. Click Issue Name hyper link to view the Issue Details report. For more information about the Issue Details report, refer to <i>Issue Details</i> , on page 139.
Action Name	Name of the action created for the issues that were created or linked. Click Action Name hyper link to view the Action Details report. For more information about the Action Details report, refer to <i>Action Details</i> , on page 34.

Control Reports

This section contains the following reports:

- State of Controls
- Ineffective Controls
- Summary of Control Assessment
- Control not Assessed
- Controls with Key Control Indicators
- Actions for Ineffective Controls

All filters set on the main page apply to these reports.

State of Controls

This report displays the overall control assessment rating of a control over a period of 12 months from filter date. For more information about the State of Controls report, refer to *State of Controls for a Year*, on page 39.

Ineffective Controls

This report displays controls with the overall control rating as ineffective and the losses incurred because of failure of these controls. If multiple incidents are linked to a control, then net loss amount should be sum of net loss amount for all the incidents. If the same incident is linked to multiple controls, the net loss amount will be shown against each, which may result in double counting.

Losses with an occurrence date in the last one year from the date of this report is considered.

Control ID	Control Name	DE Rating	OE Rating	Overall Effectiveness	Assessment Date	Net Loss Amount	Line of Business	Location
81640551	Security - Physical Security.	Qualified	Requires Improvement	Requires Improvement	2/2/2014	0	Retail Banking	New York
81650007	Fortnightly sales meet	Qualified	Requires Improvement	Requires Improvement	1/8/2014	10,000	Retail Banking	New York
81650053	Proper checks to control financial crimes.	Requires Improvement	Requires Improvement	Requires Improvement	1/30/2014	50,000	Retail Banking	New York

Figure 67. Ineffective Controls

The following table describes the columns in the Ineffective Controls report.

Table 41. Ineffective Controls Columns

Columns	Description
Control ID	Displays ID of the control.
Control Name	Displays the risk name.
DE Rating	Displays design effectiveness rating.
OE Rating	Displays operating effectiveness rating.
Overall Effectiveness	Displays overall control effectiveness.
Assessment Date	Displays latest control assessment date.
Net Loss Amount	Shows the total net loss amount for the incidents linked to these controls. Click this column to view the incident details report. For more information about the Incident Details report, refer to <i>Incident Details</i> , on page 22.
Line of Business	Displays the business line to which the control is mapped
Location	Displays the location to which the risk is mapped.

Summary of Control Assessment

This report displays the number of controls by DE and OE Rating for each nature of control. Nature of Control is captured in the categories:

- Corrective
- Preventative
- Detective

This report considers all controls in *Open* status.

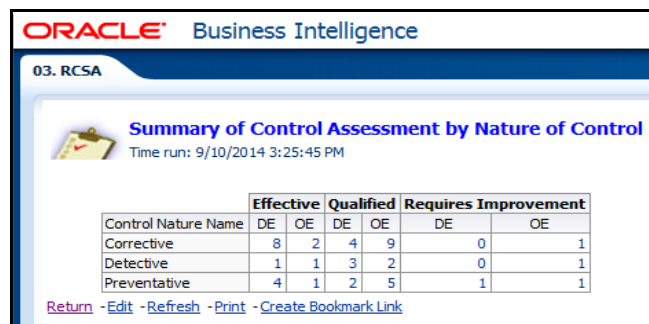


Figure 68. Summary of Control Assessment

The following table describes the columns in the Summary of Control Assessment report.

Table 42. Summary of Control Assessment Columns

Contro Nature	Control Rating
Corrective	Effective
Preventative	Qualified
Detective	Requires Improvement

Click a number in any of these columns to view the Control Details report. For more information about the Control Details report, refer to *Control Details*, on page 27.

Control not Assessed

This report displays all the controls in *Open* status that have not been assessed in the past one year from the filter date.



Figure 69. Control not Assessed in Over a Year

The following table describes the columns in the Control not Assessed in Over a Year report.

Table 43. Control not Assessed in Over a Year Columns

Column	Description
Line of Business	Displays the business line to which the control is mapped.
Location	Displays the location to which the risk is mapped.
Control ID	Displays the sequential tracking number given to the control.
Control Name	Displays the control name.
DE Rating	Displays design effectiveness rating.
OE Rating	Displays operating effectiveness rating.
Overall Rating	Displays overall control rating.
Assessment Date	Displays latest date of assessment.

Controls with Key Control Indicators

This report displays the controls and linked KCIs to track/monitor the controls. If a control has multiple KCIs linked to it, then they will display all the KCI's.

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Controls with Key Control Indicators
Time run: 9/10/2014 3:52:19 PM

Control ID	Control Name	DE Assessment	OE Assessment	Overall Effectiveness	Control Assessment Date	No. of Incidents	Total Gross Loss	No. of Key Indicator
81639850	CCTV					1	0.00	
81639902	Cancellation of deposit license					1		
81639924	Periodic Audit of Trading Activities					1	225000000000.00	
81639946	Implemented strong back office operations, centralised management of control activities					1	0.00	
81640199	Credit card Fraud - service provider					1	0.00	
81640231	Property site audits / inspections					1	0.00	
81640284	System access	Qualified	Qualified	Qualified	2/2/2014	1	0.00	
81640303	Risk specific training is completed by staff.					1	0.00	
81640329	Installation of Fire Detectors & Alarms					1	15000.00	
81640359	Installation of Fire Extinguishers.					1	15000.00	
81640381	Emergency teams and protocols are in place.					1	15000.00	
81640507	Appropriate dismissal and disciplinary action is taken.					2	50000.00	
81640529	Custody of Power of Attorney and Bank Seal.					1	0.00	
81640573	Documentation Checklist	Effective	Effective	Effective	2/3/2014	1	10000.00	
81640595	Documentation Unit Check					1	10000.00	
81640617	Captured Cards delivery	Effective	Qualified	Qualified	1/7/2014	1	0.00	
81640639	Extending loans to unauthorised purposes					1		
81640661	Regulator engagement framework					1	0.00	
81640683	Regulator review					2	0.00	
81640705	Regulatory Reporting					1	0.00	
81640727	Inconsistent, inaccurate data reported to Regulators					1	0.00	
81640749	Backup	Effective	Effective	Effective	1/9/2014	2	0.00	
81640771	Security - Antivirus Patching					1	0.00	
81640793	IT Testing - Completeness					1	0.00	
81640815	Staff Cash Counting					1		

Rows 1 - 25

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Figure 70. Controls with Key Control Indicators

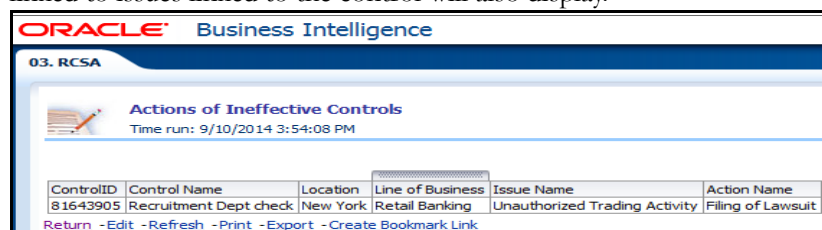
The following table describes the columns in the Key Control Indicators report.

Table 44. Controls with Key Control Indicators Columns

Column	Description
Control ID	Click Control ID hyper link to view the Control Details report. For more information about the Control Details report, refer to <i>Control Details</i> , on page 27.
Control Name	Displays the control name.
KCI ID	Displays the KCI ID.
KCI Name	Displays the KCI name.
Line of Business	Displays the business line to which the control is mapped.
Location	Displays the location to which the risk is mapped.
KCI Nature	Shows whether the KCI is predictive or lag in nature.
RAG Value	Displays KI assessment rating.
Assessment Date	Displays the KCI assessment date.

Actions for Ineffective Controls

This report displays controls in *Open* status with the overall control rating as ineffective for the selected time period. Any issues that were created or linked to the control on that date will also display. Any actions that were created or linked to issues linked to the control will also display.



ControlID	Control Name	Location	Line of Business	Issue Name	Action Name
81643905	Recruitment Dept check	New York	Retail Banking	Unauthorized Trading Activity	Filing of Lawsuit

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Figure 71. Actions for Ineffective Controls

The following table describes the columns in the Actions for Ineffective Controls report.

Table 45. Actions for Ineffective Controls Columns

Column	Description
Control ID	Displays the sequential tracking number given to the control.
Control Name	Displays the control name.
Line of Business	Displays the business line to which the control is mapped.
Location	Displays the location to which the control is mapped.
DE Rating	Displays design effectiveness rating.
OE Rating	Displays operating effectiveness rating.

Table 45. Actions for Ineffective Controls Columns

Column	Description
Assessment Date	Displays latest date of assessment.
Issue Name	Displays the name of an issue that was created or linked to the control. Click Issue Name hyper link to view the issue details report. For more information about the Issue Details report, refer to <i>Issue Details</i> , on page 139.
Action Name	Displays the name of an action that was created or linked to an issue linked to the control. Click this column to view the action details report. For more information about the Action Details report, refer to <i>Action Details</i> , on page 34.

Viewing Trend Analysis-Risks

This tab displays the following reports:

- Trend of Risks by Line of Business
- Trend of Risks by Location
- Trend of Risks by Causes
- Trend of Risks by Risk Event Type
- Total No of Risks vs High Risks
- Reputation Risks

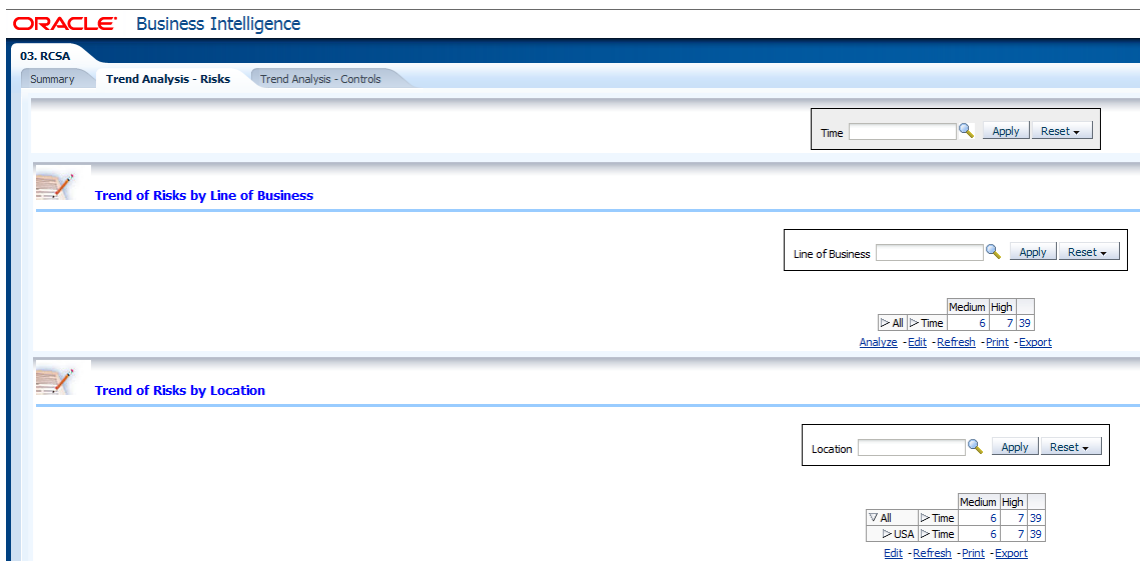


Figure 72. Trend Analysis -Risks

The following table describes the page level filters on this tab.

Table 46. RCSA Page Level Filter: Trend Analysis- Risks tab

Filter	Type
Location	Select the location from the drop-down list to display the data for the selected business line.
Occurrence Date Between	Select the date from the drop-down list to display data for the selected business line and location for the date specified.
Basel Event Type	Select the basel event type of the risk.
Line of Business	Select the business line from the drop-down list to display data for the selected business line.

Trend of Risks by Line of Business

This report displays a trend of residual risk ratings by line of business, as shown in the total number of risks for the combination of line of business and time period.

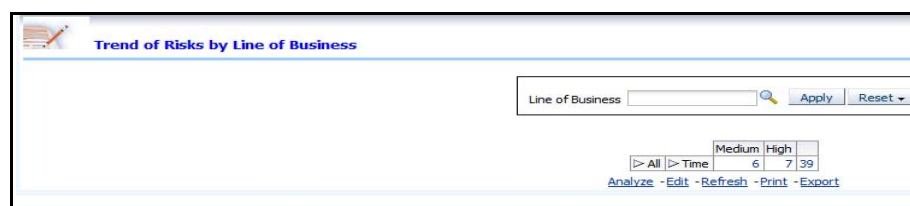


Figure 73. Trend of Risks by Line of Business

The report displays first level the Dimension/ Cause with an option to view next levels

Click drop down arrow to expand the Line of Business and time period.

Click a number in these columns to view the Risk Details report. For more information about the Risk Details report, refer to *Risk Details*, on page 26.

Trend of Risks by Location

This report displays a trend of residual risk ratings by location, as shown in the total number of risks for the combination of location and time period.



Figure 74. Trend of Risks by Location

Click drop down arrow to expand the location and time period.

Click a number in these columns to view the Risk Details report. For more information about the Risk Details report, refer to *Risk Details*, on page 26.

Trend of Risks by Causes

This report displays a trend of residual risk ratings by Causes, as shown in the total number of risks for the combination of Cause and time period.



		Medium	High	
▷ Disasters	▷ Time		1	2
▽ External Environment	▷ Time		1	13
▷ Business Environment	▽ Time			3
	▷ 2014			3
▷ Political / Legislative / Regulatory	▷ Time			10
▷ Human	▷ Time	4	6	38
▷ Technology	▷ Time	2		2

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Figure 75. Trend of Risks by Cause

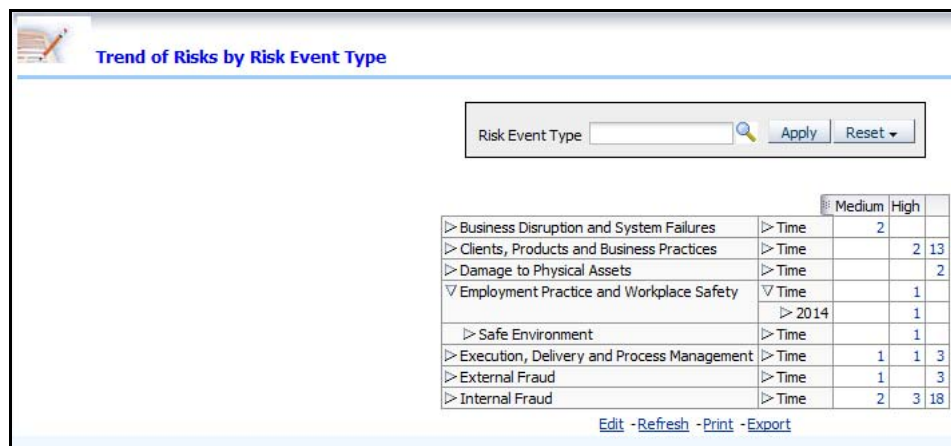
The report displays first level the Dimension/ Cause with an option to view next levels

Click drop down arrow to expand the cause and time period.

Click a number in these columns to view the Risk Details report. For more information about the Risk Details report, refer to *Risk Details*, on page 26.

Trend of Risks by Risk Event Type

This report displays a trend of residual risk ratings by risk event type, as shown in the total number of risks for the combination of Risk Event Type and time period.



		Medium	High	
▷ Business Disruption and System Failures	▷ Time		2	
▷ Clients, Products and Business Practices	▷ Time		2	13
▷ Damage to Physical Assets	▷ Time			2
▽ Employment Practice and Workplace Safety	▷ Time			1
	▷ 2014			1
▷ Safe Environment	▷ Time			1
▷ Execution, Delivery and Process Management	▷ Time	1	1	3
▷ External Fraud	▷ Time	1		3
▷ Internal Fraud	▷ Time	2	3	18

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Figure 76. Trend of Risks by Risk Event Type

The report displays first level the Dimension/ Cause with an option to view next levels

Click drop down arrow to expand the Risk Event Type and time period.

Click a number in these columns to view the Risk Details report. For more information about the Risk Details report, refer to *Risk Details*, on page 26.

Total No of Risks vs High Risks

This report provides a comparative analysis between the number of Risks for a Business Unit and the total number of High Risks. This indicates the Risk Appetite for a Business Unit.

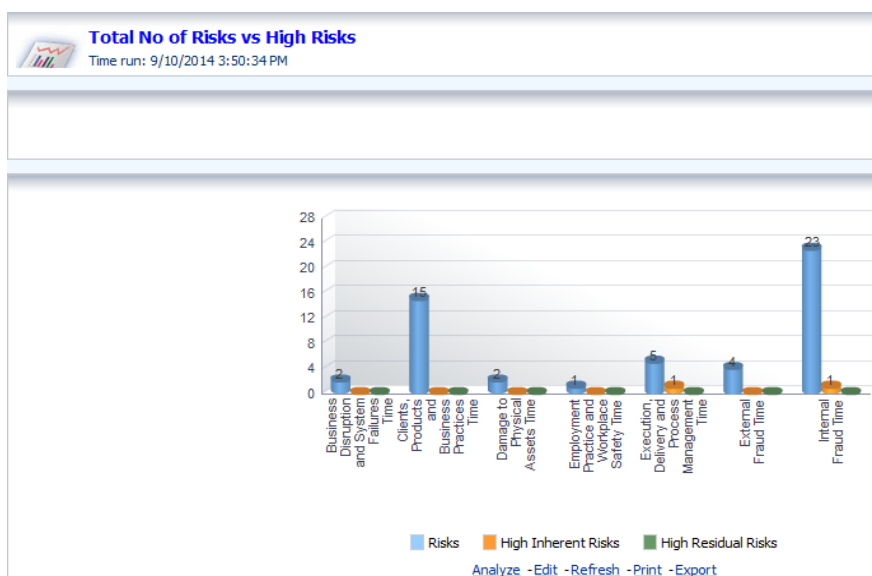


Figure 77. Total No of Risks vs High Risks

Reputation Risks

This report displays the number of reputational risks for a Business Unit in comparison with the total number of risks for that Business Unit.

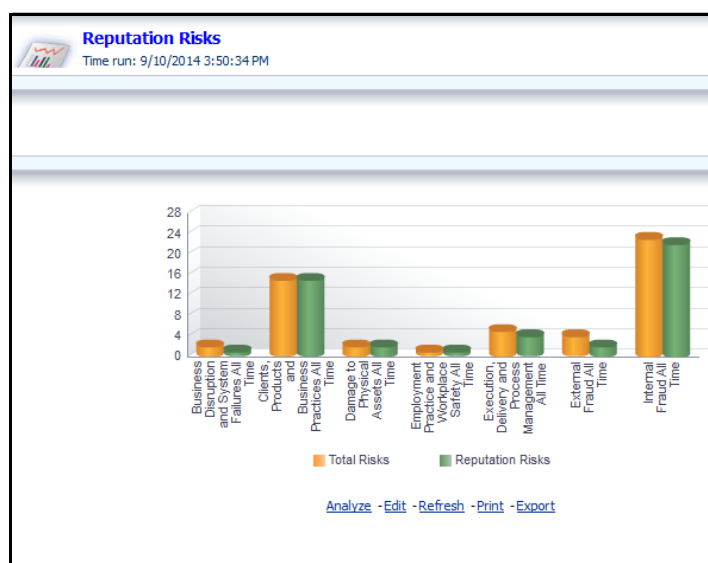


Figure 78. Reputation Risks

Viewing Trend Analysis-Controls

This tab displays the following reports:

- Trend of Controls by Line of Business
- Trend of Controls by Location
- Trend of Control Ratings by Control Category

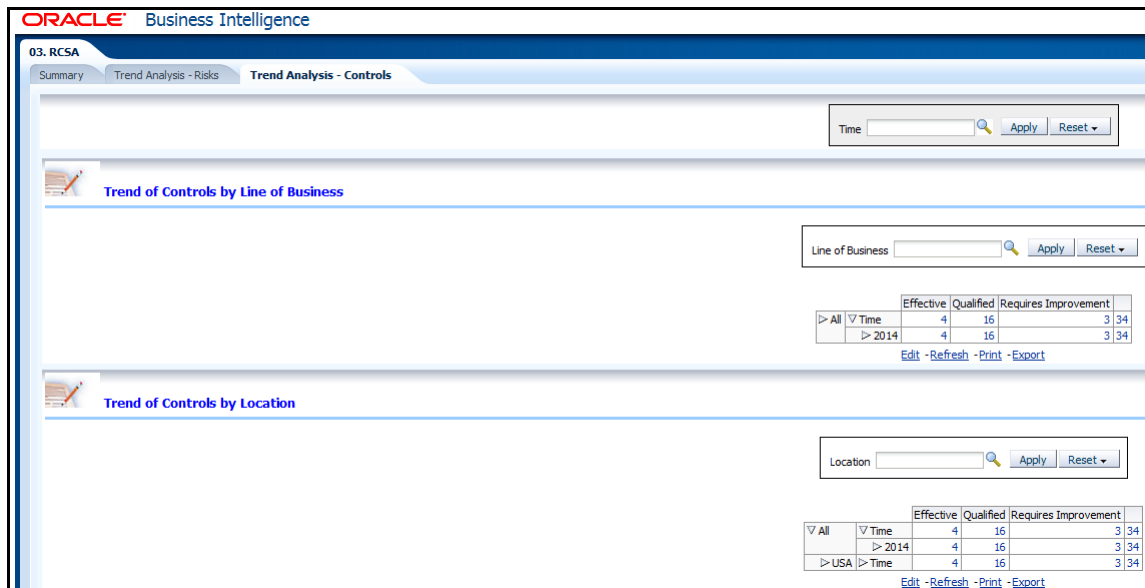


Figure 79. Trend Analysis - Controls

The following table describes the page level filters on this tab.

Table 47. RCSA Page Level Filter: Trend Analysis- Controls Tab

Filter	Type
Location	Select the location from the drop-down list to display data for the selected location.
Occurrence Date Between	Select the date from the drop-down list to display the data with occurrence date between the selected dates.
Basel Event Type	Select the basel event type of the risk.
Line of Business	Select the business line form the drop-down list to display the data for the selected business line.

Trend of Controls by Line of Business

This report displays a trend of control ratings by line of business, as shown in the total number of controls for the combination of line of business and time period.

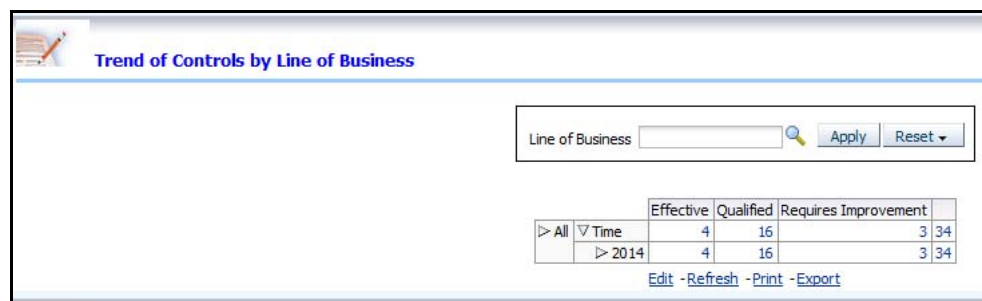


Figure 80. Trend of Controls by Line of Business

Click drop down arrow to expand the Line of Business and time period.

Click a number in these columns to view the Control Details report. For more information about the Control Details report, refer to *Control Details*, on page 27.

Trend of Controls by Location

This report displays trend of control ratings by location, as shown in the total number of controls for the combination of location and time period.

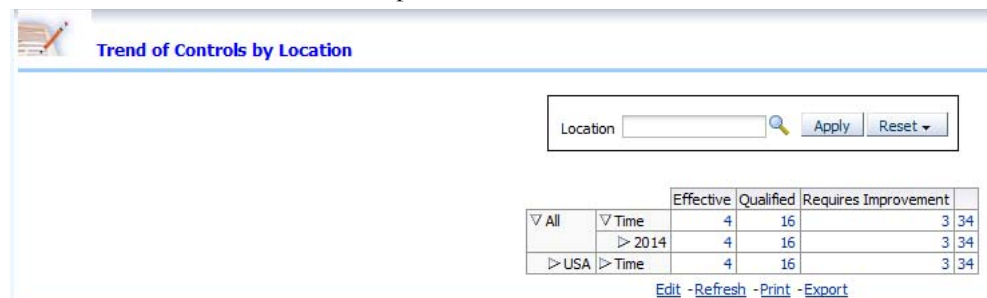


Figure 81. Trend of Controls by Location

Click drop down arrow to expand the Location and time period.

Click a number in these columns to view the Control Details report. For more information about the Control Details report, refer to *Control Details*, on page 27.

Trend of Control Ratings by Control Category

This report displays trend of control ratings by Control Category, as shown in the total number of controls for the combination of Control Category and time period.

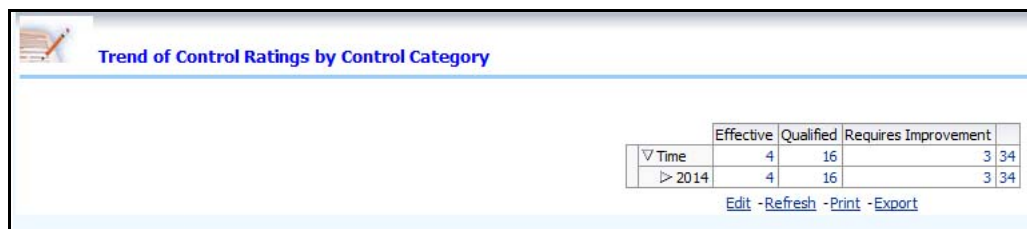


Figure 82. Trend of Control Ratings by Control Category

Key Indicators

This section describes the reports in the Key Indicators dashboard of the OFSORA and includes the following topics:

- Accessing the Key Indicators Dashboard
- Viewing Key Indicator Details
- Viewing Key Indicator

Accessing the Key Indicators Dashboard

To access the Key Indicators Dashboard, select **Key Indicator** from the Dashboard drop-down. The Key Indicators Dashboard page displays.

The Key Indicators dashboard contains the following tabs:

- Key Indicator Details
- Key Indicator

Viewing Key Indicator Details

This tab displays the following reports:

- Key Indicators with Assessment Rating by Business Line
- Key Indicators with Assessment Rating by Location
- Key Indicators by Type along with Assessments
- Key Indicators by Risk Event Type
- Internal Losses vs. Key Indicator Breaches
- Key Indicators by Causes Vs Risks by Causes

Key Indicators with Assessment Rating by Business Line

This report displays the number of Key Indicators with their Assessment ratings for different Business Lines. It provides the comparative analysis of the trend of KI rating for different Business Lines.



Figure 83. Key Indicators with Assessment Rating by Business Line

Key Indicators with Assessment Rating by Location

This report displays the number of Key Indicators with their Assessment ratings for different Locations. It also provides the comparative analysis of the trend of KI rating for different Locations.

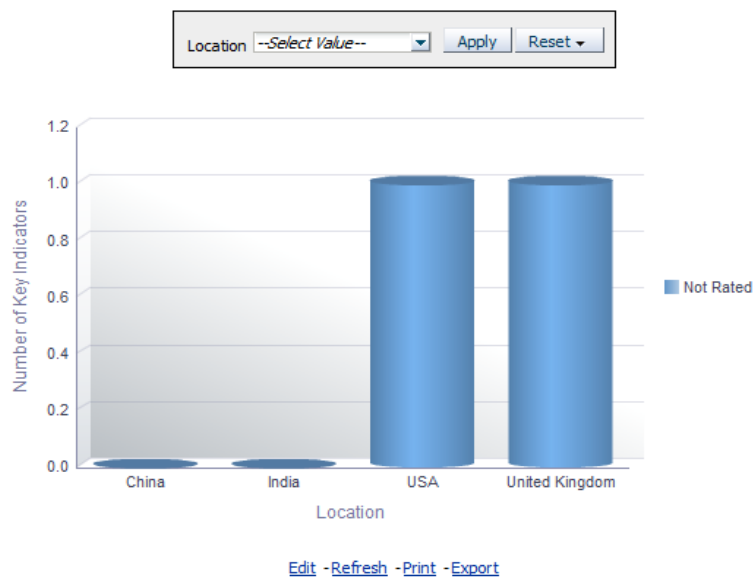


Figure 84. Key Indicators with Assessment Rating by Location

Key Indicators by Type along with Assessments

This report displays the number of Key Indicators along with the assessment rating based on the KI Type.



Figure 85. Key Indicators by Type along with Assessments

Key Indicators by Risk Event Type

This report displays the number of Key Indicators with their Assessment ratings for different Risk Event Type. It also provides the comparative analysis of the trend of KI rating for different Risk Event Types.



Figure 86. Key Indicators by Risk Event Type

Internal Losses vs. Key Indicator Breaches

This report displays the total number of Incidents and KI breaches for multiple Risk Event types.



Figure 87. Internal Losses vs. Key Indicator Breaches

Key Indicators by Causes Vs Risks by Causes

This report provides a comparative analysis of the total number of Key indicators and the number of Risks for different Causes. This report allows the users to understand the Causes that impact the Risks and Key Indicators.



Figure 88. Key Indicators by Causes Vs Risks by Causes

Viewing Key Indicator

This tab displays the following report:

Trend of Internal Losses vs KIs Breaches

Expected Assessments Vs Actual Assessments

Additional Reports

KI with Risks and Incidents

Key Indicators with Controls and Incidents

Key Indicators with Scenarios and Incidents

Key Indicators Details

Trend of Internal Losses vs KIs Breaches

Expected Assessments Vs Actual Assessments

This report displays the number of Actual Assessment available versus the number of Expected Assessment based on the frequency defined in the KI Details. This allows you to analyze if the Assessments are carried out as per set frequency or not.

Name	ID	Type	Nature	Enterprise KI	Frequency	Start Date	Expected Count of Metrics	Actual Count of Metrics	Line of Business	Location
new KCI from control	34575	KRI	Predictive	No	Quarterly				Fund Management	London
test test KCI	29464	KRI	Predictive	No	Monthly				Retail lending	New York

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Figure 89. Expected Assessments Vs Actual Assessments

Issues & Actions

This section describes the reports found in the Issues & Actions dashboard of the OFSORA and includes the following topics:

- Accessing the Issues and Actions Dashboard
- Viewing Issues Reports
- Viewing Trend Reports

Accessing the Issues and Actions Dashboard

To access the Issues and Actions Dashboard, select **Issues & Actions** from the Dashboards drop-down. The Issues and Actions Dashboard page is displayed.

The Issues and Actions dashboard contains the following tabs:

- Issue Reports
- Trend Reports

Viewing Issues Reports

This tab displays the following reports:

- Aging of Issues
- Aging of Action Plans
- Issue Metrics
- Action Metrics
- Reopened Issues
- Additional Reports
 - Issue Details
 - Action Plan Details

The following table describes the page level filters on this tab.

Table 48. Page Level Filter

Filter	Type
Line of Business	Select the business line from the drop-down list to display issues mapped to the selected business line.
Location	Select the location from the drop-down list to display issues mapped to the selected location.
Time	Select the date from the drop-down list to display issues mapped to the selected business line and location for the date specified.

Aging of Issues

This report gives the aging status of issues for different categories of buckets. The report displays the issues created from different sources for a given MIS time period with their current status.

	Time taken to address the Operational Risk Management - Issues							
	Total Operational Risk Management - Issues raised	Within Time	Beyond Time	Delayed by 1-15 days	Delayed by 16-30 days	Delayed by 31-60 days	Delayed by > 60 days	< Target Date
Audit Assessment	2	0	1	0	0	1	0	1
Audit Tasks	3	0	3	0	3	0	0	0
Compliance Plan	3	1	2	2	1	0	0	0
Control Definition	1	0	1	0	1	0	0	0
Incident Management	3	0	3	0	3	0	0	0
KI Definition	2	0	2	1	0	1	0	0
Risk Definition	3	0	3	0	1	2	0	0

Figure 90. Aging of Issues

The following table describes the columns in the Aging of Issues report:

Table 49. Aging of Issues Columns

Column	Description
Total Operational Risk Management-Issues Raised	Displays the count of total number of issues.
Within Time	Displays the count of issues completed within the target completion date, that is, the date of completion is lesser than or equal to the target completion date.
Beyond Time	Displays the count of issues in completed status with date of completion greater than the target completion date, in addition to the issues in open status with target completion date lesser than the current date.
Delayed by 1-15 Days	Displays the count of issues which are overdue in the 1-15 day bucket.
Delayed by 16-30 Days	Displays the count of issues which are overdue in the 16-30 day bucket.
Delayed by 31-60 Days	Displays the count of issues which are overdue in the 31-60 day bucket.
Delayed by >60 Days	Displays the count of issues which are overdue by more than 60 days.
<Target Date	Displays the count of issues in open status with target completion date greater than or equal to the current date.

Click on count of issues to view the Issue Details report.

Aging of Actions

This report displays the number of Actions and the time taken to complete an Issue. This also displays the Actions which are delayed and the delay time taken in different buckets.

Issue Metrics

This report displays the number of entities such as Risks, Controls, Incidents, and so on which are associated with the Issues. The number of such entities are hyperlinked and you can view the details of each entity.

Issue Name	Issue Id	Count of Risks	Count of Actions	Count of Operational Losses	Count of Controls	Count of Process	Count of Infilb	Count of ChangeInitiatives	Count of Obligations	Count of Compliance
dfbfdb	11700		1			3	3	3		
dfg	12858					1	1	1		
issue	10078		1	1		2	2	2		

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Action Metrics

This report displays the number of entities such as Risks, Controls, Incidents, and so on which are associated with the Actions. The number of such entities are hyperlinked and you can view the details of each entity.

Action	△▽	Action Id	Count of Risks	Count of Operational Losses	Count of Controls	Count of Process	Count of Infilb	Count of ChangeInitiatives	Count of Obligations	Count of Compliance	Count of Issues
action1		10207									1
fdbfd		10862						1			1
fdhhdhdhdhd		11830									1
sdvhdhdhdhdhdhdhdhd		12735									1

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Reopened Issues

This report displays the Issues which have been reopened after completion of all Actions and Closure of Issues. This also displays the number of times the Issue have been reopened after closure.

Issue Name	Issue Id	Source Type Name	Issue Type Name	Issue Criticality Name	Issue Priority	Creation Date	Target Completion Date	Issue Estimated Cost	Issue Cost	Count of Actions	Count of Completed Actions	Line of Business	Location	Status Name	Module Name	Reopened Issues
dfg	12858.00		External	Low	Low	4/9/2014	4/30/2014	43.00				Fund Management	London	Open	KI Definition	0

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Additional Reports

The following additional reports are available as part of Issues & Actions dashboard:

- Issue Details
- Action Plan Details

Issue Details

Displays the details of the Issue such as Name, Type, Category, Cost, and so on to understand an existing problem.

Issue Name	Issue Id	Source Type Name	Issue Type Name	Issue Criticality Name	Issue Priority	Creation Date	Target Completion Date	Issue Estimated Cost	Issue Cost	Count of Actions	Count of Completed Actions	Line of Business	Location	Status Name	Module Name
dfg	12858		External	Low	Low	4/9/2014	4/30/2014	43.00				Fund Management	London	Open	KI Definition

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Action Plan Details

This report displays the details of the Action such as Name, Type, Category, Cost, and so on to understand the Actions performed.

Action Id	Action	Action Description	Created Date	Target Completion Date	Percentage Completion	Actual Cost	Count of Issues	Line of Business	Location	Status
10125	action		3/28/2014	3/29/2014	0.00	2144.00		Fund Management	London	Complete
10207	action1	dfas	3/28/2014	3/31/2014				Retail Banking	New York	Open
10862	fdbfd	bdbfb	4/1/2014	4/2/2014				Fund Management	London	Open
11830	fdhhdhdhdhd		4/7/2014	4/9/2014				Fund Management	London	Open
12735	sdvhdhdhdhdhdhdhdhd	sdv	4/9/2014	4/29/2014				Fund Management	London	Open

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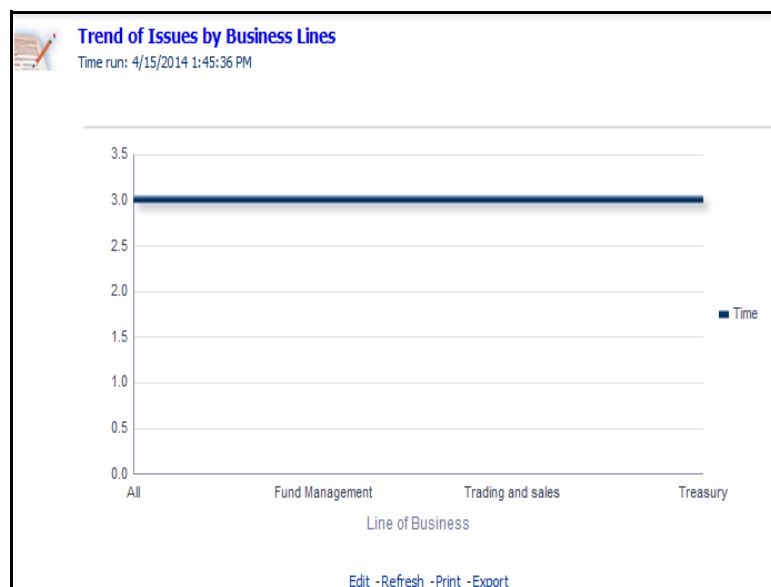
Viewing Trend Reports

This tab displays the following reports:

- Trend of Issues by Business Lines
- Trend of Issues by Locations
- Trend of Issues by Risk Event Types
- Trend of Issues by Issue Type
- Trend of Issue costs vs Actual cost
- Issue Category Vs Risks
- Additional Reports
 - Issue Details
 - Action Plan Details

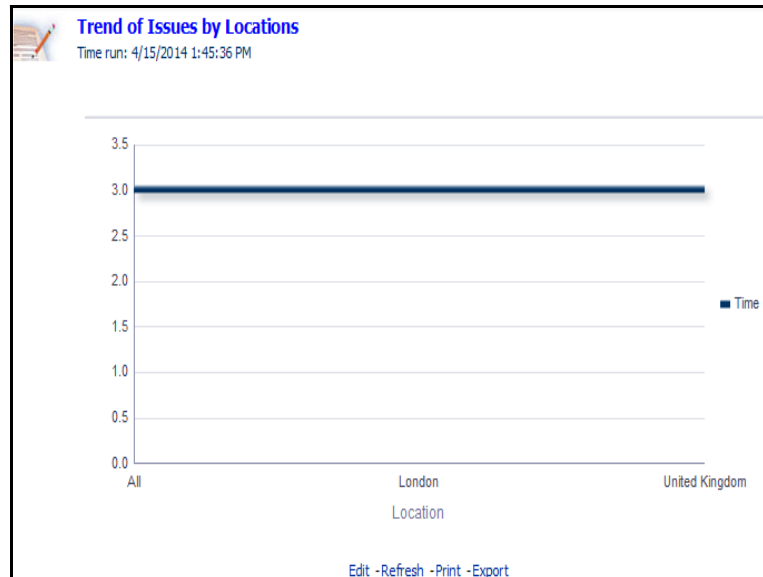
Trend of Issues by Business Lines

This report displays the trend of Issues for different time period for a Business Line. This enables the user to understand the number of Issues faced by BL yearly.



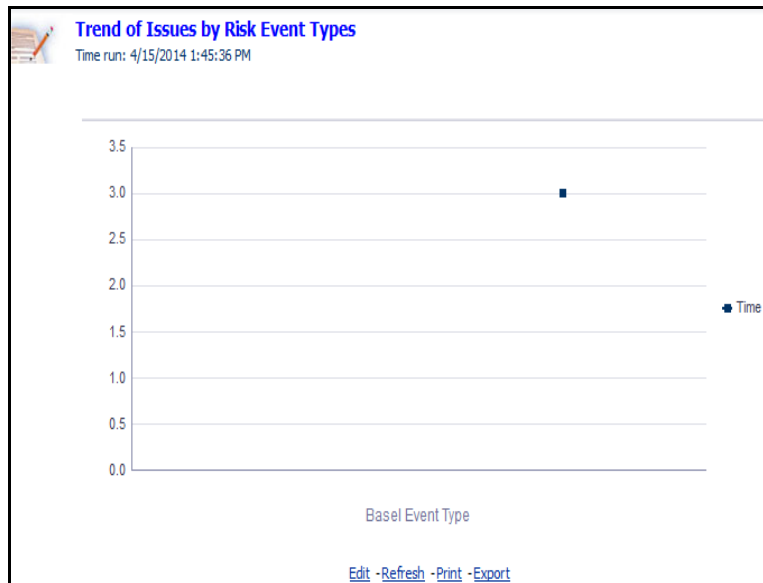
Trend of Issues by Locations

This report displays the trend of Issues for different time period for the Location. This would enable the user to understand the Count of Issues faced at any Location over an year.



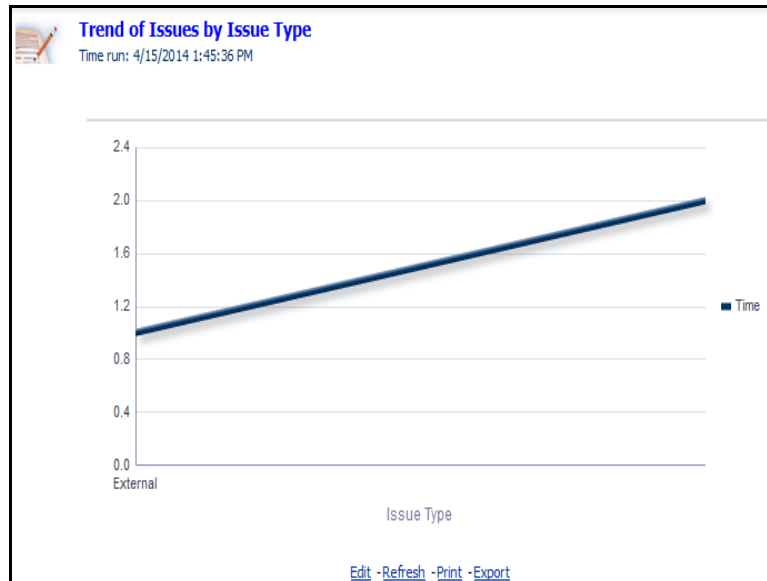
Trend of Issues by Risk Event Types

This report displays the trend of Issues for different time periods, based on different Risk event types. This enables the user to understand the number of Issues which are categorized under different risk event type and also provide appropriate actions.



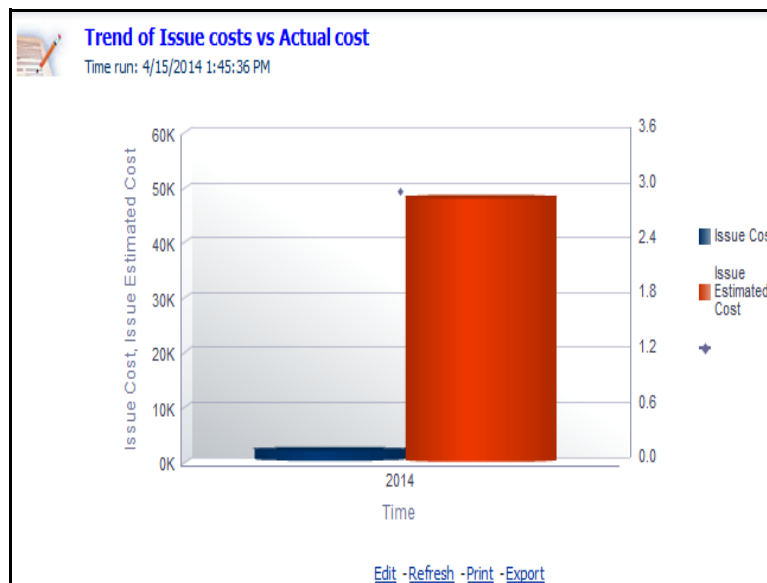
Trend of Issues by Issue Type

This report displays the trend of Issues for different time period based on different Issue Types. This enables the user to understand the number of Issues which are categorized under different types and identify the problem areas.



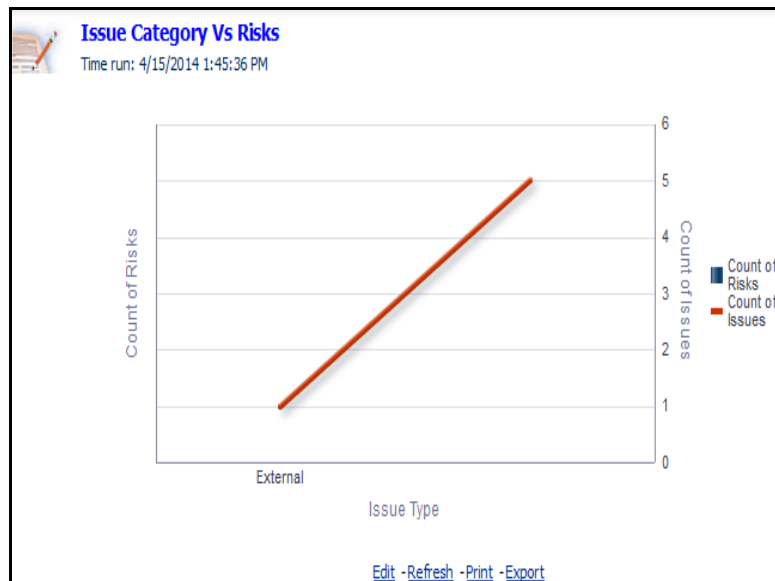
Trend of Issue costs vs Actual cost

This report provides a comparative analysis of the trend of Issue cost versus actual costs incurred. This enables the user to analyze the allocation of funds for Mitigation of Issues.



Issue Category Vs Risks

This report displays the number of Issues created for each Issue types and the number of risks linked to such Issues. This allows the user to perform a comparative analysis on the problem areas and associated Risks for each of the Issue types.



Additional Reports

The following additional reports are available as part of Trend Reports dashboard.

Issue Details

This report displays the details of the Issues such as Name, Type, Category, Cost, and so on for understanding the problem.

Issue Name	Issue Id	Source Type Name	Issue Type Name	Issue Criticality Name	Issue Priority	Creation Date	Target Completion Date	Issue Estimated Cost	Issue Cost	Count of Actions	Count of Completed Actions	Line of Business	Location	Status Name	Module Name
dfg	12858		External	Low	Low	4/9/2014	4/30/2014	43.00				Fund Management	London	Open	KI Definition

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Action Plan Details

This report displays the details of Actions taken to address any Issue in the organization.

Action Id	Action	Action Description	Created Date	Target Completion Date	Percentage Completion	Actual Cost	Count of Issues	Line of Business	Location	Status
10125	action		3/28/2014	3/29/2014	0.00	2144.00		Fund Management	London	Complete
10207	action1	dfas	3/28/2014	3/31/2014				Retail Banking	New York	Open
10862	fdbfd	bdbfb	4/1/2014	4/2/2014				Fund Management	London	Open
11830	fdhhdhhdh		4/7/2014	4/9/2014				Fund Management	London	Open
12735	sdv	sdv	4/9/2014	4/29/2014				Fund Management	London	Open

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Insurance

This section describes the reports found in the insurance dashboard of the OFSORA and includes the following topics:

- Accessing the Insurance Dashboard
- Viewing Claims Details
- Viewing Insurance Coverage and Recovery by Basel Event Type

Accessing the Insurance Dashboard

To access the **Insurance** dashboard select **Insurance** from the Dashboards drop-down. The Insurance dashboard is displayed.

The Insurance dashboard contains the following tabs:

- Claims Details
- Policies

Viewing Claims Details

This tab displays the following reports:

- Insurance Policies by Business Line
- Insurance Policies by Location
- Insurance Policies by Risk Event Type
- Additional Reports
 - Insurance Policies vs. Claims
 - Claim Date vs Recovery Date by Insurer
 - Premium vs Cover Amount by Insurer

The following table describes the page level filters on this tab.

Table 50. Insurance Page Level Filter-Insurance Coverage and Recovery by Policy Type Tab

Filter	Type
Line of Business	Select the business line from the drop-down list to display insurance policies mapped to the selected business line.
Location	Select the location from the drop-down list to display insurance policies mapped to the selected location.
Time	Select the date from the drop-down list to display insurance policies mapped to the selected business line and location for the date specified.

Insurance Policies by Business Line

This report displays the number of insurance policies which are taken to cover Incidents or Events based on different Business Line. It would help the business to interpret the total coverage available and premium payable/paid by the Business Line.

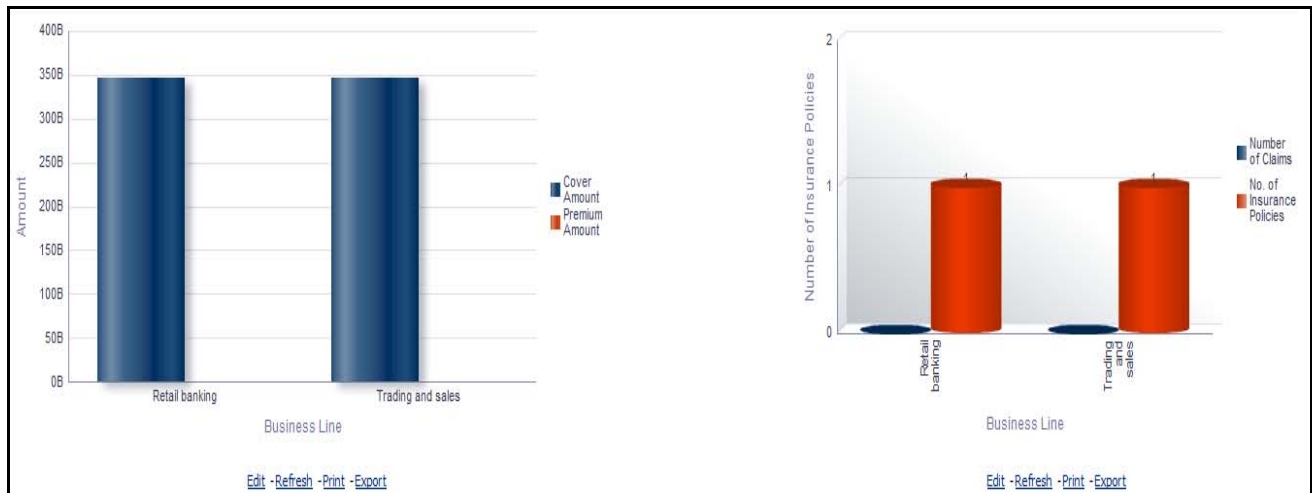


Figure 91. Insurance Policies by Business Line

Insurance Policies by Location

This report displays the number of Insurance Policies which are taken to cover Incidents or Events based on different Risk Event Types. It would help the Business to interpret the total coverage available and premium payable/ paid by the Location.

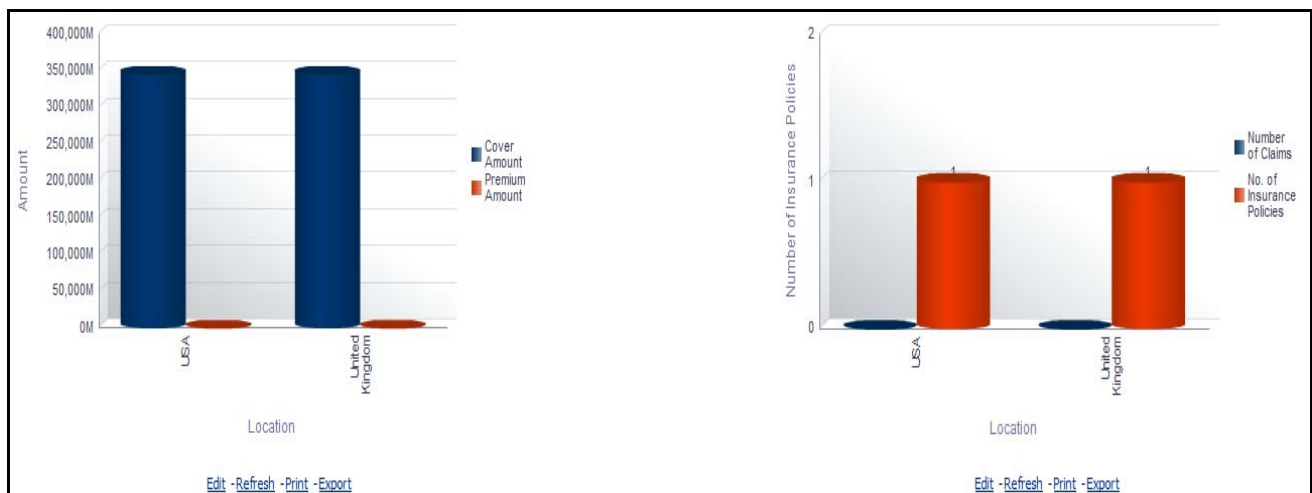


Figure 92. Insurance Policies by Location

Insurance Policies by Risk Event Type

This report displays the number of Insurance Policies which are taken to cover Incidents or Events based on different Risk Event Types. It would help the Business to interpret the total coverage available and premium payable/paid by the Risk Event Type.

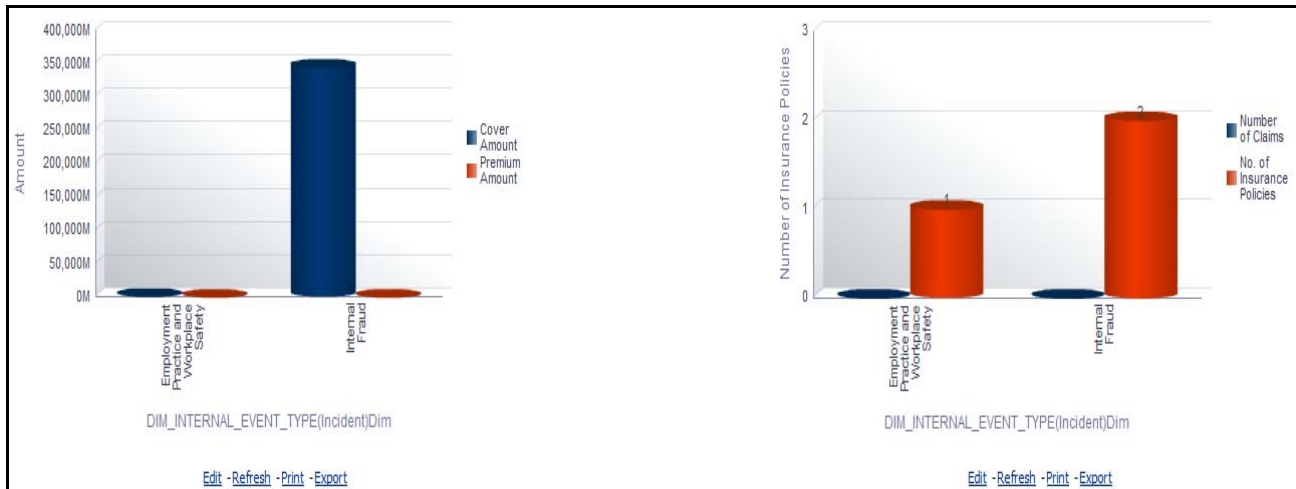


Figure 93. Insurance Policies by Risk Event Type

Additional Reports

The following additional reports are available as part of the Claims Details dashboard.

Insurance Policies vs. Claims

This report displays the Insurance Policies with the details of the Cover Amount and Premium, and also the Incidents where the claims are made against the Insurance. This helps in analyzing whether the Insured amount is optimal for the business needs.

Policy Name	Policy ID	Policy Number	Policy Type	Risk Event Type	Currency	Cover Amount	Premium Amount	Incident Name	Incident ID	Claim Date	Claim Amount	Amount Recovered	Incident Business Line	Incident Location
NO BL AND LOC	16499		Fidelity Guarantee Insurance	Employment Practice and Workplace Safety	AOA	1,231,231,312	21,321		0					
as	16518		Third Party Liability	Internal Fraud	Aruban Florin	3,234	2		0					
erewerw	10608		Fire Insurance	Internal Fraud	Armenia Dram	345,345,565,757	454,545		0					

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Claim Date vs Recovery Date by Insurer

This report displays the claim date and the recovery date by different Insurers. This would help the Business in arriving at the probable settlement dates and delayed settlement for various insurers for any claims arising out of any events/incidents.

Policy ID	Policy Name	Policy Number	Currency	Cover Amount	Insurer	Claim Amount	Claim Date	Recovered Amount	Days taken for Recovery	Recovery Date
10608	erewerw		Armenia Dram	345345565757.00						
16499	NO BL AND LOC		AOA	1231231312.00						
16518	as		Aruban Florin	3234.00						

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Premium vs Cover Amount by Insurer

This report displays a comparative analysis of the cover amount and premium amount by each Insurer which would help the business understand the cost of insuring with different insurers.

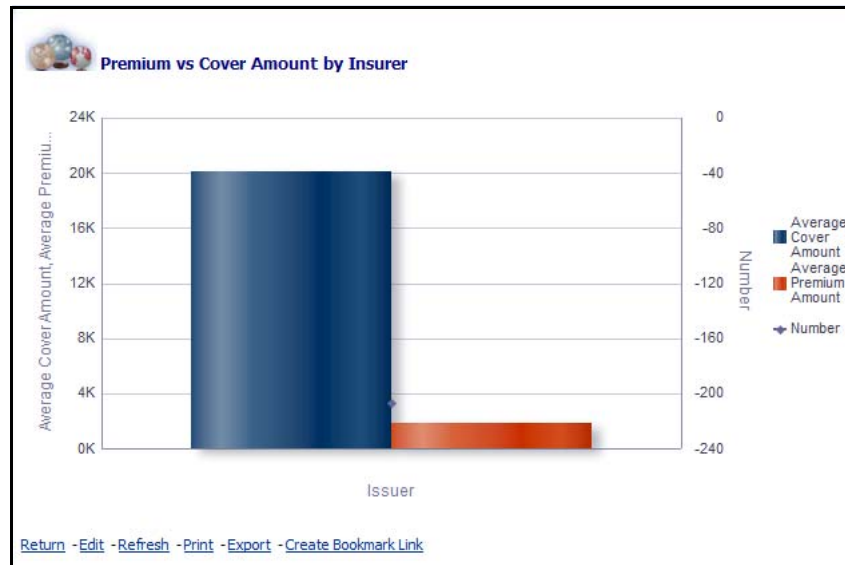


Figure 94. Premium vs Cover Amount by Insurer

Viewing Policies

This tab displays the following reports:

- Insurance Policies due for Renewal
- Policies without Business Unit
- Additional Reports
 - Insurance Policies

Insurance Policies due for Renewal

This report displays the insurance policies which are nearing expiry date and are due for renewal. This would allow the business to be notified and renew the insurance policies before their expiry.

Policy ID	Policy Name	Policy Number	Policy Type	Risk Event Type	Start Date	Expiry Date	Renewal Date	Currency	Premium Amount	Cover Amount	Deductible
57223	insurance expire		Bankers Blanket Insurance	Business Disruption and System Failures	7/27/2014	30/07/2014	0/0/0	US Dollar	500.00	50000.00	
88327	test		Products Liability Insuranceee	Execution, Delivery and Process Management	12/27/2014	29/12/2014	12/28/2014	Australian Dollar	50000.00	400000.00	

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Policies without Business Unit

This report displays the Insurance Policies which are not associated with any business unit. This would help the business in understanding and associating such insurance policies with specific business units or applicable for all business units.

Policy ID	Policy Name	Policy Number	Policy Type	Risk Event Type	Start Date	Expiry Date	Renewal Date	Currency	Premium Amount	Cover Amount	Deductible	Probability of Payout	Issuer	Broker	Policy Owner
16499	NO BL AND LOC		Fidelity Guarantee Insurance	Employment Practice and Workplace Safety	4/14/2014	30/04/2014	4/29/2014	AOA	21321.00	1231231312.00					Business Continuity Approver
16518	as		Third Party Liability	Internal Fraud	4/14/2014	17/04/2014	4/16/2014	Aruban Florin	2.00	3234.00	2.00				Business Continuity Planner

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Additional Reports

The following additional reports are available as part of the Policies dashboard.

Insurance Policies

This report displays the details of Insurance Policies like Name, Cover Amount, Premium Amount, Insurer etc for further understanding.

Policy ID	Policy Name	Policy Number	Policy Type	Risk Event Type	Start Date	Expiry Date	Renewal Date	Currency	Premium Amount	Cover Amount	Deductible	Probability of Payout	Issuer	Broker	Policy Owner	Business Line	Location
10608	erewerw		Fire Insurance	Internal Fraud	3/28/2014	31/03/2014	0/0/0	Armenia Dram	454545.00	345345565757.00					Audit Plan Manager	Fund Management	London
																Retail Banking	New York
16499	NO BL AND LOC		Fidelity Guarantee Insurance	Employment Practice and Workplace Safety	4/14/2014	30/04/2014	4/29/2014	AOA	21321.00	1231231312.00					Business Continuity Approver		
16518	as		Third Party Liability	Internal Fraud	4/14/2014	17/04/2014	4/16/2014	Aruban Florin	2.00	3234.00	2.00				Business Continuity Planner		

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Scenario

This section describes the reports available in the Scenario dashboard of the OFSORA and includes the following topics:

- Accessing the Scenario Dashboard
- Viewing Scenario Details
- Viewing Impact

Accessing the Scenario Dashboard

To access the scenario dashboard, select **Scenario** from the Dashboards drop-down. The Scenario Dashboard page is displayed.

The following table describes the page level filters on this tab.

Table 51. Scenario Page Level Filter

Filter	Type
Line of Business	Select the business line from the drop-down list to displays scenarios mapped to the selected business line.
Location	Select the location from the drop-down list to displays scenarios mapped to the selected location.
Risk Event Type	Select the Risk event type from the drop-down list to display scenarios of the selected event category.
MIS Date	Select the date from the drop-down list to display scenarios mapped to the selected business line and location for the date specified.

Viewing Scenario Details

This tab displays the following reports:

- Financial Impact Trend
- Non-Financial Impact Trend
- Scenario Loss Trend
- Scenarios not associated with any Risk
- High Frequency Scenarios with No Incidents
- Scenarios without Insurance
- Insurances associated with Scenarios
- Scenario Details

Financial Impact Trend

This report displays the number of total financial impact (impact related to financial losses) over a period based on assessment, if the defined Scenario occurs in the organization in different buckets for the financial impact.

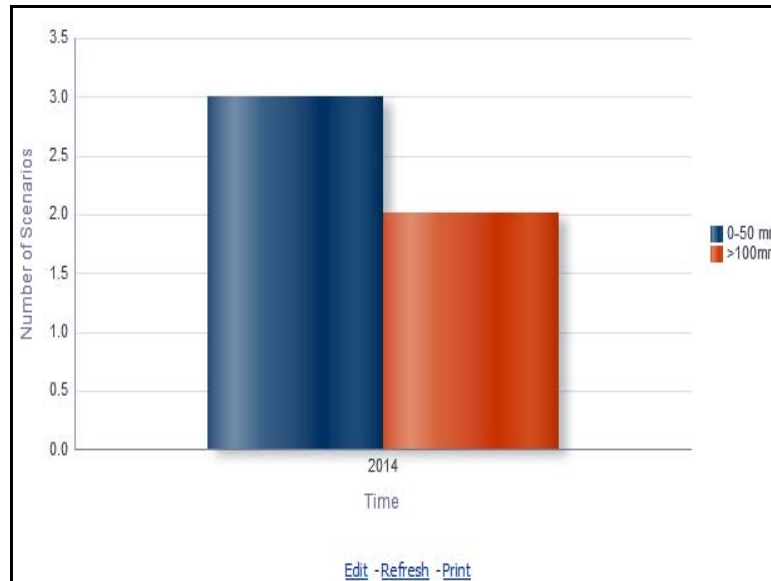


Figure 95. Financial Impact Trend

Non-Financial Impact Trend

This report displays the number of non financial impact (for example, staff, customer, and so on) over a period based on assessment, if the defined Scenario occurs in the organization in different ratings as High, Medium, and Low.



Figure 96. Non-Financial Impact Trend

Scenario Loss Trend

This report displays the total financial losses associated with scenarios over the past years. This allows the users to assess the occurrence of a scenario and its impact.



Figure 97. Scenario Loss Trend

Scenarios not associated with any Risk

This report displays all the scenarios which have not been associated or linked with any Risks. The Risks provide a direction for the occurrence and impact of the Scenarios.

Scenario Name	Scenario ID	Risk Event Type	Owner	Impacted Business Line	Impacted Location	Typical Frequency (in Years)	Net Non Financial Impact	Total Financial Impact
scenario with insurance open	31419	Misappropriation of assets	Scenario Admin	Trust and estates	New York	2	Medium	3435446465446.00
							Medium	3435446465446.00
sdrfswr	40244	Theft or Robbery	Scenario Admin	Trust and estates	New York	234	Medium	353535.00
test	10038	Malicious destruction of assets	Scenario Admin	Retail Banking	New York	12	NA	24243.00
							NA	24243.00
wdqeweqe	10099	Aggressive sales	Scenario Admin	Trust and estates	New York	23	NA	4534.00
							NA	4534.00

Figure 98. Scenarios not associated with any Risk

High Frequency Scenarios with No Incidents

This report displays the Scenarios which are assessed as highly probable to occur but do not have any Incidents associated with them. The probability of occurrence/frequency is provided as a filter and the users can modify the filter for High Frequency.

Scenario ID	Scenario Name	Owner	Business Line	Location	Risk Inventory	Risk Event Type	Impacted Business Line	Impacted Location	Typical Frequency (in Years)	Total Financial Impact	Net Non Financial Impact	Assessment Date
31419	scenario with insurance open	Scenario Admin	Trust and estates	New York	Non-traded Market Risk	Misappropriation of assets	Trust and estates	New York	2	3435446465446.00	Medium	5/9/2014

Figure 99. High Frequency Scenarios with No Incidents

Scenarios without Insurance

This report displays the scenarios which do not have any Insurance associated with them. This provides the organizations with the different Business Scenarios which are not covered with Insurance policy.

Scenario Name	Owner	Impact On Strategic Objectives	Impacted Business Line	Impacted Location	Total Financial Impact	Net Non Financial Impact	Assessment Date	Business Line	Location	Risk Inventory	Risk Event Type	Risk Category	Product	Process
sdrfswr	Scenario Admin		Trust and estates	New York	353535.00	Medium	5/13/2014	Trust and estates	New York		Theft or Robbery		All	All
wdqweqwe	Scenario Admin	df	Trust and estates	New York	4534.00	NA	3/28/2014	Trust and estates	New York	Strategic Execution Risk	Aggressive sales	Corporate Social Responsibility	Cards	All
													Student Cards	All
													All	All
													Cards	All
													Student Cards	All

Figure 100. Scenarios without Insurance

Insurances associated with Scenarios

This report displays the Scenarios which are covered with an Insurance Policy. The Insurance policies cover the losses in case of occurrence of the Scenario.

Scenario Name	Scenario ID	Owner	Typical Frequency (In Years)	Net Non Financial Impact	Total Financial Impact	Impacted Business Line	Impacted Location	Insurances
scenario with insurance open	31419	Scenario Admin	2	Medium	3435446465446.00	Trust and estates	New York	1
								1
								1
								1
								1
								1
								1
								1
								1
								1
test	10038	Scenario Admin	12	NA	24243.00	Retail Banking	New York	1
								1
								1
								1
								1
								1
								1

Figure 101. Insurances associated with Scenarios

Scenario Details

This report displays the details of the Scenario such as Name, Risk Event Type, Impacts, and so on.

Scenario Name	Owner	Business Line	Location	Risk Inventory	Risk Event Type	Risk Category	Product	Process	Impact On Strategic Objectives	Impacted Business Line	Impacted Location	Typical Frequency(In years)	Total Financial Impact	Net Non Financial Impact	Assessment Date
scenario with insurance open	Scenario Admin	Trust and estates	New York	Non-traded Market Risk	Misappropriation of assets	Corporate Social Responsibility	All	werwreew12344		Trust and estates	New York	2	3435446465446.00	Medium	5/9/2014
							Cards	werwreew12344		Trust and estates	New York	2	3435446465446.00	Medium	5/9/2014
							Gold Cards	werwreew12344		Trust and estates	New York	2	3435446465446.00	Medium	5/9/2014
										Trust and estates	New York	2	3435446465446.00	Medium	5/9/2014
										Trust and estates	New York	234	353535.00	Medium	5/13/2014
sdrfswr	Scenario Admin	Trust and estates	New York		Theft or Robbery					Trust and estates	New York				
test	Scenario Admin	Retail Banking	New York	Defined Benefit Pension Risk	Malicious destruction of assets	Environmental liability	All	All	dfsdf	Retail Banking	New York	12	24243.00	NA	4/24/2014
							Cards	All	dfsdf	Retail Banking	New York	12	24243.00	NA	4/24/2014
										Retail Banking	New York		24243.00	NA	4/24/2014
							Gold Cards	All	dfsdf	Retail Banking	New York	12	24243.00	NA	4/24/2014
										Retail Banking	New York		24243.00	NA	4/24/2014
wdqweqwe	Scenario Admin	Trust and estates	New York	Strategic Execution Risk	Aggressive sales	Corporate Social Responsibility	All	All	df	Trust and estates	New York	23	4534.00	NA	3/28/2014
													4534.00	NA	3/28/2014
													NA	NA	3/28/2014
							Cards	All	df	Trust and estates	New York	23	4534.00	NA	3/28/2014
													4534.00	NA	3/28/2014
													NA	NA	3/28/2014
							Student Cards	All	df	Trust and estates	New York	23	4534.00	NA	3/28/2014
													4534.00	NA	3/28/2014
													NA	NA	3/28/2014

Figure 102. Scenario Details

Viewing Impact

The Impact tab displays the following reports:

- Financial Impacts by Business Line
- Non-Financial Impacts by Business Line

Financial Impacts by Business Line

This report displays the number of Financial Impact, that is the impact related to financial losses for different Business Lines on assessment, if the defined Scenario occurs in the organization in different preset bucket for the financial Impact.

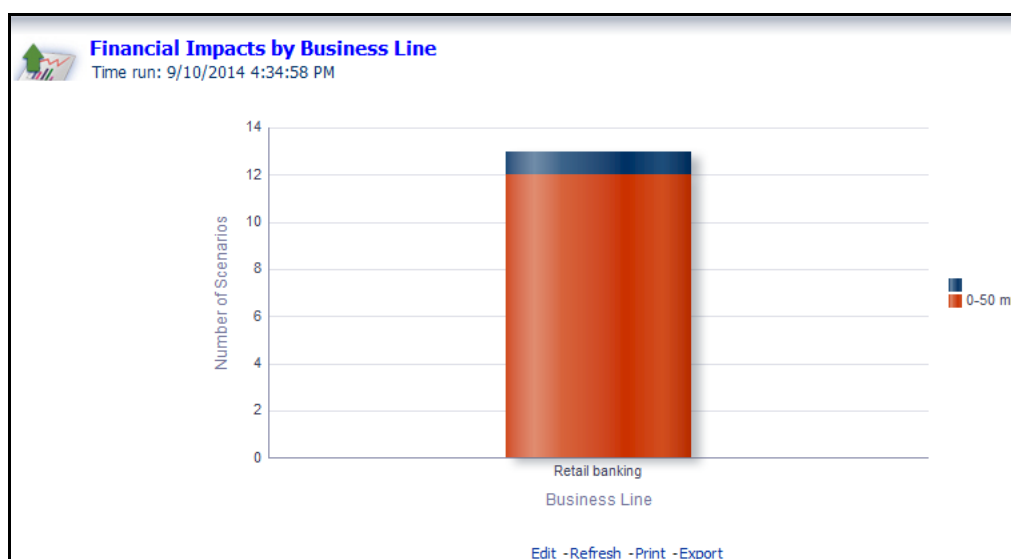


Figure 103. Financial Impacts by Business Line

Non-Financial Impacts by Business Line

This report displays the number of Non Financial Impacts, that is Staff, Customer, and so on for different Business Lines on assessment, if the defined Scenario occurs in the organization in different ratings such as High, Medium, and Low.

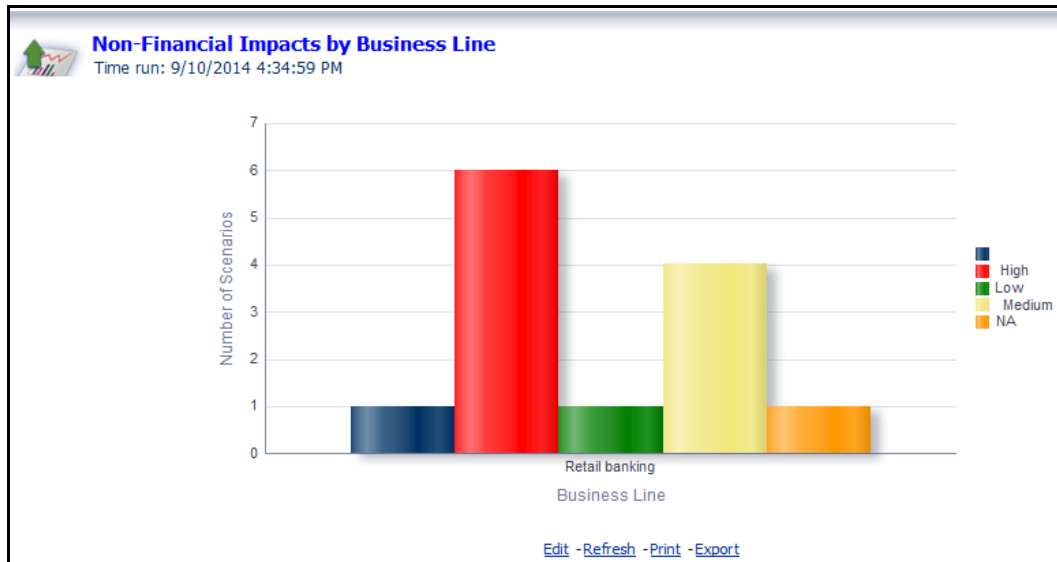


Figure 104. Non-Financial Impacts by Business Line

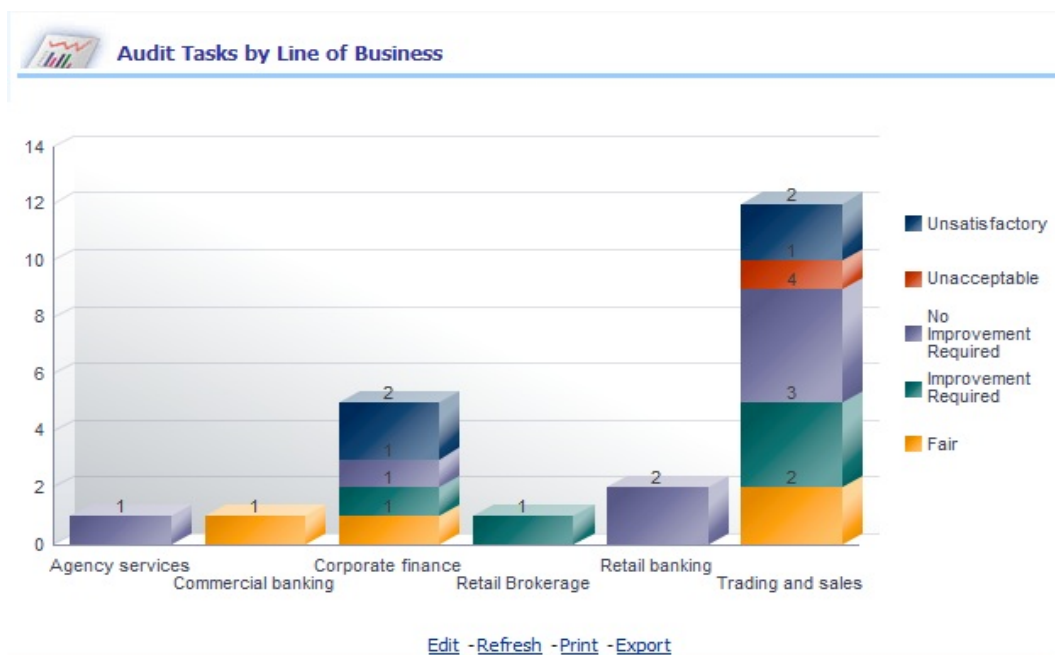
Audit

This section describes the reports found in the Audit dashboard of the OFSORA and includes the following topics:

- Audit Tasks by Line of Business
- Audit Tasks by Location

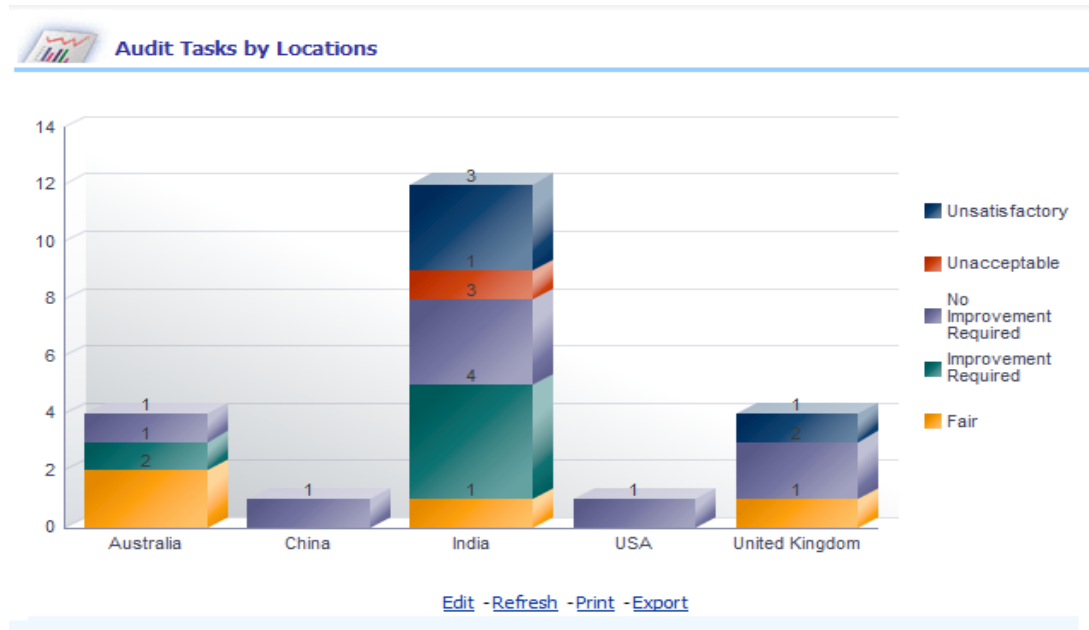
Audit Tasks by Line of Business

Displays the various Ratings in a Stacked Bar, based on the Audit Rating for Audit Tasks from different Business Lines.



Audit Tasks by Location

Displays the various Ratings in a Stacked Bar, based on the Audit Rating for Audit Tasks from different Locations.



Compliance & Obligations

This section describes the reports found in the Compliance and Obligations dashboard of the OFSORA and includes the following topics:

- Accessing the Compliance and Obligations Dashboard
- Viewing Summary
- Viewing Trend Analysis

Accessing the Compliance and Obligations Dashboard

To access the Compliance and Obligations dashboard, select **Compliance & Obligations** from Dashboards drop-down. The Compliance and Obligations Dashboard page is displayed.

The Compliance and Obligations dashboard contains the following tabs:

- Summary
- Trend Analysis

Viewing Summary

This tab displays the following reports:

- Regulation Assessment
- Obligation Assessments

- Regulation Risk Heat Map
- Obligation Risk Heat Map
- Obligation Assessments with Controls
- Additional Reports
 - Regulation Details
 - Policy Details Report
 - Obligation Details
 - Compliance Plan Details
 - State of Regulations
 - State of Obligations

The following table describes the page level filters on this tab.

Table 52. Compliance and Obligations Page Level Filter - Summary Tab

Filter	Type
Location	Select the location from the drop-down list to display data for selected location.
Line of Business	Select the business line from the drop-down list to display data for the selected business line.
Time	Select the date from the drop-down list to display data for the selected business line and location for the date specified.

Regulation Assessment

This report displays regulations in *Open* status by business lines and locations with their latest assessment rating and date of assessment.

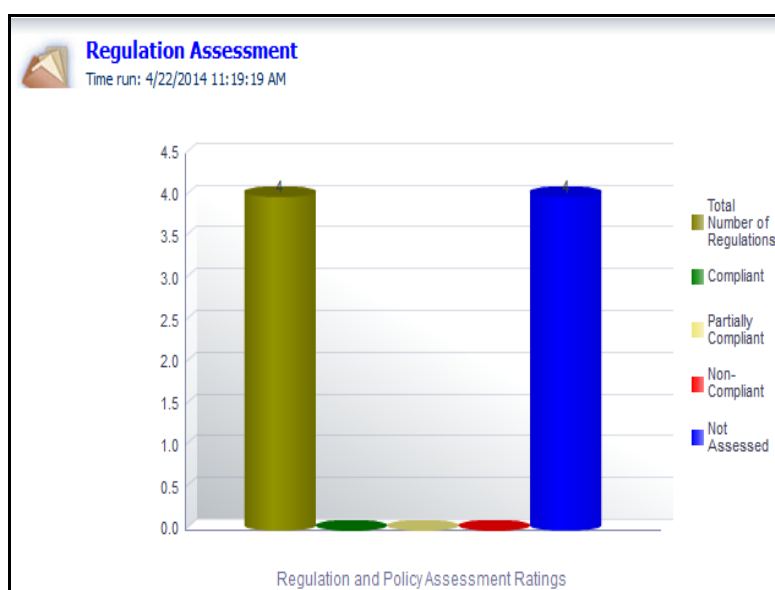


Figure 105. Regulation Assessment

The following table describes the components in this report.

Table 53. Regulation Assessments Components

Component	Description
Total Number of Regulations	Displays the total count of regulations at different lines of business and locations.
Compliant	Displays the total count of regulations with latest assessment <i>Compliant</i> at lines of business and locations.
Partially Compliant	Displays the total count of regulations with latest assessment <i>Partially Compliant</i> at lines of business and locations.
Non-Compliant	Displays the total count of regulations with latest assessment <i>Non Compliant</i> at lines of business and locations.
Not Assessed	Displays the total count of regulations, which are not assessed at lines of business and locations.

Click a bar to drill down to the Regulation Details table.

Obligation Assessments

This report displays the Obligations by Business Unit (BU) with their latest assessment rating and date of assessment.

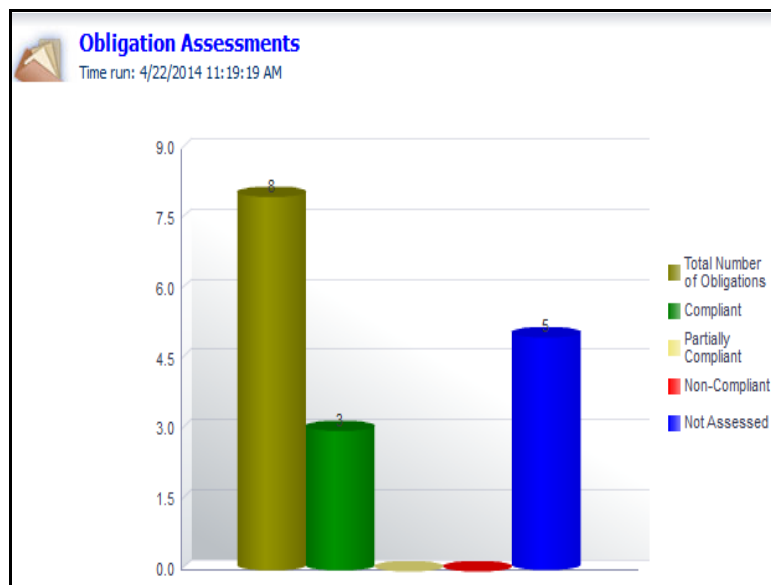


Figure 106. Obligation Assessments bar chart

Click on a bar to drill down to the Obligation Details report. For more information about the Obligation Details report, refer to *Obligation Details*, on page 113.

Regulation Risk Heat Map

This report displays regulations and their obligations with their assessment. All risks arising out of the regulation and their assessment is also displayed.

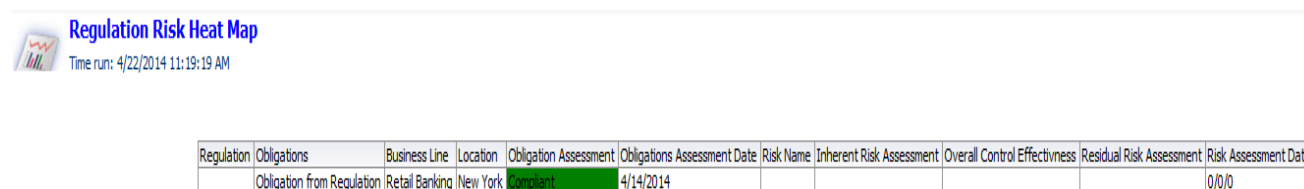


Figure 107. Regulation Risk Heat Map

The following table describes the columns in the Regulation Risk Heat Map.

Table 54. Regulation Risk Heat Map Columns

Column	Description
Regulation Name	Displays the regulation name.
Obligations	Displays the obligation name.
Line of Business	Displays the line of business to which the regulation is mapped.
Location	Displays the location to which the regulation is mapped.
Obligation Assessment	Displays the Assessment rating for the obligation.
Obligation Assessment Date	Displays the date of assessment of obligations.
Risk Name	Displays the risk name. Click Risk Name hyperlink to view the Risk Details report. For more information about the Risk Details report, refer to <i>Risk Details</i> , on page 26.
Inherent Risk Assessment	Displays the inherent risk rating of the risk.
Overall Control Effectiveness	Displays the overall control effectiveness for the risk.
Residual Risk Assessment	Displays the residual risk rating of the risk.
Risk Assessment Date	Displays the risk assessment date.

Obligation Risk Heat Map

This report displays the obligations with their assessment at different business lines and locations. All risks arising out of the obligation and their assessment is also displayed.

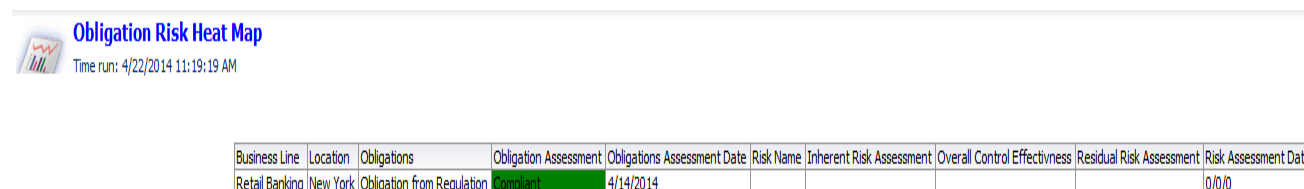


Figure 108. Obligation Risk Heat Map

The following table describes the columns in the Obligation Risk Heat Map.

Table 55. Obligation Risk Heat Map Columns

Column	Description
Line of Business	Displays the business line to which the obligation is mapped
Location	Displays the location to which the obligation is mapped
Obligations name	Displays the obligation name.
Obligation Assessment	Displays the latest obligation assessment.
Obligation Assessment Date	Displays the latest obligation assessment date.
Risk Name	Displays the risk name. Click to drill down to the Risk Details report. For more information about the Risk Details report, refer to <i>Risk Details</i> , on page 26.
Inherent Risk Assessment	Displays the Inherent risk assessment rating.
Overall Control Effectiveness	Displays the overall control effectiveness rating.
Residual Risk Assessment	Displays the residual risk assessment rating.
Risk Assessment Date	Displays the risk assessment date.

Obligation Assessment with Controls

This report displays obligations in *Open* status with their latest assessment at different Lines of Business and Location. If the obligation is not assessed, then *Not Assessed* is shown.

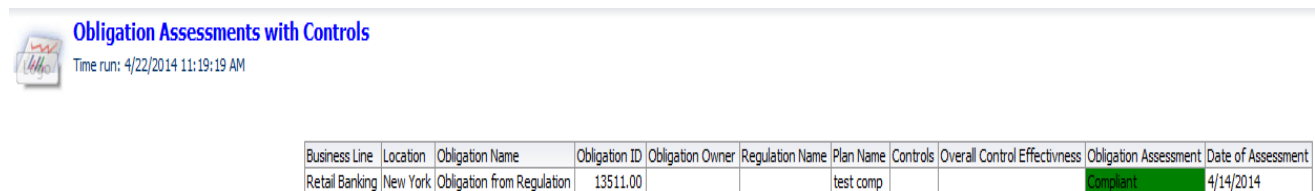


Figure 109. Obligation Assessment with Controls

The following table describes the columns in the Obligation Assessment with Controls report.

Table 56. Obligation Assessment with Controls Columns

Column	Description
Line of Business	Displays the business line to which the obligation is mapped. Available when an obligation is made part of a compliance plan.
Location	Displays the location at which the obligation is applicable.
Obligation Name	Displays the Name of the Obligation.
Obligation ID	Displays the ID of the Obligation
Obligation Owner	Displays the name of the owner of the obligation.
Controls	Number of controls linked to this obligation. Click Controls hyper-link to view the Control Details report. For more information about the Control Details report, refer to <i>Control Details</i> , on page 27.

Table 56. Obligation Assessment with Controls Columns

Column	Description
Overall Control Effectiveness	Overall control effectiveness rating for the obligation.
Obligation Assessment	Displays the obligation assessment rating.
Date of Assessment	Displays the latest obligation assessment date.

Additional Reports

The following reports can be accessed by clicking the appropriate link in the Additional Reports list.

- Regulation Details
- Policy Details Report
- Obligation Details
- Compliance Plan Details
- State of Regulations
- State of Obligations

Regulation Details

This report displays regulations in *Open* status by KBD with their latest assessment rating and date of assessment. If the regulation is not assessed, then *Not Assessed* displays.

Regulation Name	Regulation ID	Description	Type	Category	Review Cycle	Regulation Number	Potential Penalty	Regulation Updates	Issuance Date	Effective From	No. of Impacted Business Units	No. of Compliance Plans	No. of Obligations
Banking facilities for vulnerable/disabled account holders	81630137	The facilities offered for person account holders should also be extended to non-person account holders also who are vulnerable/incapacitated and or not willing open and operate joint accounts. Types of vulnerable/incapacitated account holders fall into the following categories: (a) An account holder who is too ill to sign a cheque/cannot be physically present in the bank to withdraw money from his bank account but can put his/her thumb impression on the cheque/withdrawal form. (b) An account holder who is not only unable to be physically present in the bank but is also not even able to put his/her thumb impression on the cheque/withdrawal form due to certain physical incapacity.	Regulation		Yearly		1200		12/1/2013	12/25/2013			
Branches/ATMs should be accessible to customers with disabilities	81630198	In order to facilitate easy access of banking facilities for disabled persons, banks have been advised to offer banking facilities including, cheque book facility/operation of ATM/locker, net banking, retail loans, credit cards etc., to the visually challenged as they are legally competent to contract.	Policy	Retail Banking	Yearly					11/30/2013		37	
Environmental and Social Impact Assessment Policy	81637208	Environmental and Social Impact Assessment Policy	Policy		Yearly					4/2/2012			
Excessive and Luxury Expenditure Policy	81637290	Environmental policies	Policy		Yearly					1/1/2013			
Internal Systems	81630124	The purpose of this Regulation is to lay down procedures and principles concerning the internal control, internal audit and risk management systems to be established by banks and the functioning of these systems.	Regulation	Retail Banking	Yearly		1120		11/10/2013	11/30/2013			
Large Value Accounts - Legal Audit of Documents	81630161	The central bank has advised banks and select financial institutions to subject the title deeds and other documents in respect of all credit exposures of Rs. 5 crore and above to periodic legal audit and verification of title deeds with relevant authorities as part of regular audit exercise till the loan stand fully repaid.	Policy	Risk Management	Yearly					11/30/2013			
Payment and Settlement Systems	81637227	Payment and Settlement Systems Regulations (PSSR), 2009 on 27 April 2009.	Regulation		Quarterly		100000		4/27/2009	5/1/2009			
Providing banking facilities to visually impaired persons	81630180	In order to facilitate access to banking facilities by visually challenged persons, banks have been advised to offer banking facilities including, cheque book facility/operation of ATM/locker, net banking, retail loans, credit cards etc., to the visually challenged as they are legally competent to contract.	Policy	Retail Banking	Yearly					11/30/2013		37	
Prudential Regulations for NBFI's	81637129	New Prudential Regulations for NBFI's issued by the Regulatory Authority	Regulation		Quarterly		800000		3/1/2011	1/1/2012			
Regulations for Insurance policy	81634467	Regulations related to structuring insurance policies issued by the regulator. Design of the insurance policy should take care of all the guidelines in place.	Regulation	Insurance	Quarterly	APRA 112546	10000	Additional regulations are issued. APRA 112546 dated 01 Jan 2014 replaced the earlier regulation APRA 112400	1/1/2014	1/1/2014			

Figure 110. Regulation Details

The following table describes the columns in the Regulation Details report.

Table 57. Regulation Details Columns

Column	Description
Regulation Name	Displays the name of the regulation.
Regulation ID	Displays the ID of the regulation
Description	Displays the description of the regulation
Type	Displays the type of the regulation
Category	Displays the regulator who issued the regulation.
Review Cycle	Displays the review cycle of the regulation
Regulation Number	Displays the regulation number
Potential Penalty	Displays the potential penalty of the regulation
Regulation Updates	Displays the regulation updates
Issuance Date	Displays the issuance dates of the regulation
Effective From	Displays the effective dates of the regulation
No. of Impacted Business Units	Displays the no. of impacted business units of the regulation
No. of Compliance Plans	Displays the no. of compliance plans of the regulation
No. of Obligations	Displays the no. of obligations of the regulation

Click the number of obligations in the Obligations column to drill down to the Obligation Details report.

Policy Details Report

This report displays the details of Internal Policies such as Name, Type, Owner, Issuing department, and so on.

Policy Details Report
Time run: 9/10/2014 4:47:53 PM

Name	Policy ID	Description	Type	Category	Review Cycle	Policy Number	Potential Penalty	Policy Updates	Effective From	No. of Impacted Business Units	No. of Compliance Plans	No. of Obligations
Facilities for incapacitated account	81630137	The facilities offered for pension account holders should also be extended to non-pension account holders also who are sick/old/incapacitated and or not willing open and operate joint accounts. Types of sick/old/incapacitated account holders: The cases of sick/old/incapacitated account holders fall into the following categories: (a) An account holder who is too ill to sign a cheque/cannot be physically present in the bank to withdraw money from his bank account but can put his/her thumb impression on the cheque/withdrawal form. (b) An account holder who is not only unable to be physically present in the bank but is also not even able to put his/her thumb impression on the cheque/withdrawal form due to certain physical incapacity.	Regulation		Yearly		1200		12/25/2013			
ATMs should be able to customers with disabilities	91630139	In order to facilitate easy access of banking facilities for disabled persons, banks have been advised to offer banking facilities including, cheque book facility/operation of ATM/locker, net banking, retail loans, credit cards etc., to the visually challenged as they are legally competent to contract.	Policy	Retail Banking	Yearly				11/30/2013	37.00		
Environmental and Social Assessment Policy	81637208	Environmental and Social Impact Assessment Policy	Policy		Yearly				1/1/2012			
Environmental policies	91637290	Environmental policies	Policy		Yearly				1/1/2013			
Excess and Luxury Items Policy	81630144	This policy sets forth rules and prohibitions against excessive and luxury expenditures for the employees of the Financial Institute and its wholly owned subsidiaries.	Policy	Risk Management	Yearly				11/30/2013			
Internal Control Systems	81630124	The purpose of this Regulation is to lay down procedures and principles concerning the internal control, internal audit and risk management systems to be established by banks and the functioning of these systems.	Regulation	Retail Banking	Yearly		1120		11/30/2013			
Value Accounts - Legal Documents	81630162	The central bank has advised banks and select financial institutions to subject the title deeds and other documents in respect of all credit exposures of Rs. 5 crore and above to periodic legal audit and e-verification of title deeds with relevant authorities as part of regular audit exercise till the loan stand fully repaid.	Policy	Risk Management	Yearly				11/30/2013			
Payment and Settlement Systems	81637227	Payment and Settlement Systems Regulations (SPSR), 2009 on 27 April 2009.	Regulation		Quarterly		100000		3/1/2009			
Facilities for visually challenged persons	91630130	In order to facilitate access to banking facilities for visually challenged persons, banks have been advised to offer banking facilities including, cheque book facility/operation of ATM/locker, net banking, retail loans, credit cards etc., to the visually challenged as they are legally competent to contract.	Policy	Retail Banking	Yearly				11/30/2013	37.00		
Prudential Regulations for Insurance	91637229	New Prudential Regulations for NRI is issued by the Regulatory Authority	Regulation		Quarterly		500000		1/1/2012			
Insurance	81654467	Regulations related to structuring insurance policies issued by the regulator. Design of the insurance policy should take care of all the guidelines in place.	Regulation	Insurance	Quarterly	APRA 112546	10000	Additional regulations are issued. APRA 112546 dated 01 Jan 2014 replaced the earlier regulation APRA 112400.	1/1/2014			

[Edit](#) [Refresh](#) [Print](#) [Create Bookmark Link](#)

Figure 111. Policy Details Report

Obligation Details

This report displays obligations in *Open* status by KBD with their latest assessment rating and date of assessment. If the obligation is not assessed, then *Not Assessed* displays.

Compliance & Obligations

Chapter 4—Managing the Dashboards

Obligation Details											
Time run: 10/20/2014 4:45:44 PM											
Obligation Name	Obligation ID	Description	Objective	Theme	Category	Risk Event Type	Legal Entity	Effective Date	Review Cycle	Location	Business Line
Assessment of Lending Proposals for social risks	82554628	Assessment of Lending Proposals for social risks	General Business Requirements	Risk Management		Employment Practice and Workplace Safety			Quarterly	New York	Retail Banking
	83687285	Assessment of Lending Proposals for social risks	General Business Requirements	Risk Management		Employment Practice and Workplace Safety			Quarterly	New York	Retail Banking
Establishment of Internal systems	83653513	For the purpose of monitoring and controlling the risks to which they are exposed, banks must establish and operate adequate and effective internal systems in conformity with the scope and nature of their activities, capable of adaptation to changing conditions, and covering all their branches and units, and their partnerships subjected to consolidation in accordance with regulations introduced on the basis of the Law, in the framework of the procedures and principles stipulated in this regulation.	Soundness & Solvency	Resilience	Retail Banking	Transaction Capture, Execution and Maintenance	Oracle Financial Services Software, Inc.		Yearly	New York	Retail Banking
Furnishing review notes	83653553	Bank need to furnish a review note to its Board/audit Committee of the Board at quarterly intervals on an ongoing basis giving therein information in respect of audits which should cover aspects like, number of loan accounts due for legal audit for the quarter, how many accounts covered, list of deficiencies observed by the auditors, steps taken to rectify the deficiencies, number of accounts in which the rectification could not take place, course of action to safeguard the bank's interest in such cases, action taken on issues pending from earlier quarters.	General Business Requirements	Resilience	Retail Banking	Working compensation			Quarterly	New York	Retail Banking
Identification procedure of sick/old/invalidated non-person account holders	83653622	With a view to enabling old/invalid account holders to operate their bank accounts, banks should follow the following procedure – (a) whenever thumb or toe impression of the sick/old/invalidated account holder is obtained, it should be identified by two independent witnesses known to the bank, one of whom should be a responsible bank official. (b) Where the customer cannot even put his/her thumb impression and also would not be able to physically present in the bank, a mark can be obtained on the cheque withdrawal form which should be identified by two independent witnesses, one of whom should be a responsible bank official. (c) The customer may also be asked to indicate to the bank as to who would withdraw the amount from the bank on the basis of cheque withdrawal form as obtained above and that person should be identified by two independent witnesses. The person who would be actually drawing the money from the bank should be asked to furnish his signature to the bank.	General Business Requirements	Providing Suitable Products & Services	Retail Banking	Selection, Sponsorship, and Up			Yearly	New York	Retail Banking
Implementation of Electronic Payments Reforms	83654689	Implementation of Electronic Payments Reforms	General Business Requirements	Effective Product Administration		Execution, Delivery and Process Management			Quarterly	New York	Retail Banking
Internal Reporting of Policy Violations	83653412	This policy sets forth rules and prohibitions against excessive and luxury expenditures for the employees of the Financial Institute and its wholly owned subsidiaries.	General Business Requirements	Resilience	Retail Banking	Transaction Capture, Execution and Maintenance	Oracle Financial Services Software, Inc.		Quarterly	New York	Retail Banking
	83653422	This policy sets forth rules and prohibitions against excessive and luxury expenditures for the employees of the Financial Institute and its wholly owned subsidiaries.	General Business Requirements	Resilience	Retail Banking	Transaction Capture, Execution and Maintenance	Oracle Financial Services Software, Inc.		Quarterly	New York	Retail Banking
Legal Audit of Documents	83653533	The central bank has advised banks and select financial institutes to subject the title deeds and other documents in respect of all credit exposures of Rs. 5 crore and above to periodic legal audit and re-verification of title deeds with relevant authorities as part of regular audit exercise till the loan stand fully repaid.	General Business Requirements	Resilience	Retail Banking	Transaction Capture, Execution and Maintenance			Yearly	New York	Retail Banking
Procedures to be followed for Loan Sanction.	83643115	The bank management has to comply with all the required guidelines while giving loans to customers.	General Business Requirements	Risk Management	Retail Banking	Prudential or Credit Fraud or Violation			Quarterly	New York	Retail Banking
Provide ramps at ATMs and branches	83653595	To provide banking facilities to disabled people, bank has resolved to make necessary arrange ramps at it's ATMs and Branches.	Customer Satisfaction	Providing Suitable Products & Services	Retail Banking	Customer Intake and Documentation			Quarterly	New York	Retail Banking
Talking ATMs with Braille Keyboards	83653574	To provide banking facilities to visually impaired people, bank has resolved to make necessary arrangements with at least one third of new ATMs installed as talking ATMs with Braille keyboards in consultation with other banks to ensure that at least one talking ATM with Braille keyboard is generally available in each locality for catering the needs of the visually impaired people.	Customer Satisfaction	Providing Suitable Products & Services	Retail Banking	Monitoring and Reporting	Oracle Financial Services Software Ltd.		Yearly	New York	Retail Banking

Figure 112. Obligation Details


The following table describes the columns in the Obligation Details report.

Table 58. Obligation Details Columns

Column	Description
Obligation Name	Displays the Name of the obligations
Obligation ID	Displays the ID of the obligations
Description	Displays the description of the obligations
Objective	Displays the objective of the obligations
Theme	Displays the theme of the obligations
Category	Displays the category of the obligations
Risk Event Type	Displays the risk event type of the obligations
Legal Entity	Displays the legal entity of the obligations
Effective Date	Displays the effective date of the obligations
Review Cycle	Displays the review cycle of the obligations
Location	Displays the location to which the regulation is applicable
Business Line	Displays the business line to which the obligation is mapped. Available when an obligation is part of a compliance plan.

Compliance Plan Details

This report displays some of the details of the Compliance Plans like Name, Purpose, Number of Regulations, Number of Obligations etc.


 **Compliance Plan Details**
Time run: 4/22/2014 11:59:24 AM

Compliance Plan Name	Compliance Plan ID	Description	Business Line	Location	Type	Legal Entity	Effective date	Plan Review Cycle	Count of Obligations	Count of Regulation
dsvdv	14030	fdevr	Fund Management	London	Regulations/Policies	Others	4/10/2014	Yearly	1	1
test comp	15449	dgdgfdgfdg	Fund Management	London	Obligation	MSG	4/14/2014	Quarterly	1	1

Figure 113. Compliance Plan Details

State of Regulations

This report lists regulations in *Open* status by line of business with their rating for the past 12 months.
This report displays 25 rows by default.

 **State of Regulations**
Time run: 4/22/2014 12:00:39 PM


Regulation ID	Regulation 	Line of Business	Location	Regulation Assessment
10835	policy			
15271	Regulation Name1			
15278	Regulation Name1	Retail Banking	New York	
15315	Policy 11			

Figure 114. State of Regulations

The following table describes the columns in the State of Regulations report.

Table 59. State of Regulations Columns

Column	Description
Line of Business	Displays the business line to which the regulation is mapped.
Location	Displays the location to which the regulation is mapped.
Regulation ID	Displays the regulation ID.
Regulation	Displays the regulation name.

State of Obligations

This report lists obligations in *Open* status by Line of Business with their rating for the past 12 months.
This report displays 25 rows by default.



Figure 115. State of Obligations

The following table describes the columns in the State of Obligations report.

Table 60. State of Obligations Columns

Column	Description
Line of Business	Displays the business line to which the obligation is mapped.
Location	Displays the location to which the obligation is mapped.
Regulation ID	Displays the obligation ID.
Regulation	Displays the obligation name.

Viewing Trend Analysis

This tab displays the following reports:

- Trend of Regulations by Line of Business
- Trend of Obligations by Line of Business
- Trend of Regulations by Location
- Trend of Obligations by Location

The following table describes the page level filters on this tab.

Table 61. Compliance & Obligations Page Level Filter - Trend Analysis Tab

Filter	Type
Line of Business	Select the business line from the drop-down list to display data for the selected business line.
Location	Select the location from the drop-down list to display data for the selected location.
Time	Select the date from the drop-down list to display data for the selected business line and location for the date specified.

Trend of Regulations by Line of Business

This report displays a trend of regulation assessments by the Line of Business in table format.

Trend of Regulations by Line of Business

This report lists the number of regulations for the combination of Line of Business and time period on display. Regulations are sorted by the assessment ratings:

- Compliant
- Non Compliant
- Partially Compliant



		2014
Retail banking	Compliant	6
	Non Compliant	6
	Partially Compliant	6

[Edit](#)

Figure 116. Trend of Regulations by Line of Business table

Click arrow icon to expand the Line of Business and time to display the children levels.

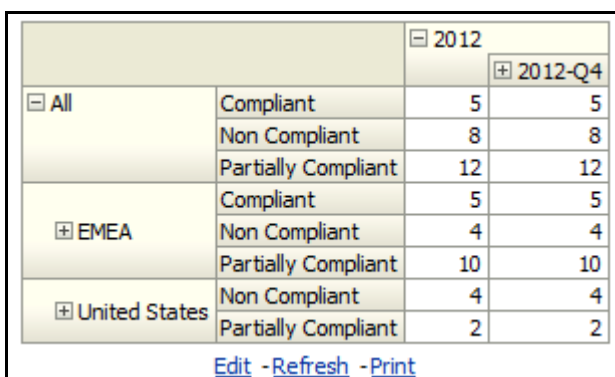
This report only considers regulations in *Open* status.

Trend of Regulations by Location

This report lists the number of regulation assessments for the combination of Location and time period on display. Regulations are sorted by assessment ratings:

- Compliant
- Non Compliant
- Partially Compliant

This report only considers regulations in *Open* status.



		2012	2012-Q4
All	Compliant	5	5
	Non Compliant	8	8
	Partially Compliant	12	12
EMEA	Compliant	5	5
	Non Compliant	4	4
	Partially Compliant	10	10
United States	Non Compliant	4	4
	Partially Compliant	2	2

[Edit](#) - [Refresh](#) - [Print](#)

Figure 117. Trend of Regulations by Location table

The report displays first level the Dimension/ Cause with an option to view next levels

Click drop down arrow on the table to expand the Location and time to display the children levels.

Trend of Obligations by Line of Business

This report displays a trend of obligation assessments by the Line of Business in table format.

Trend of Obligations by Line of Business Table

This report lists the number of obligation assessments for the combination of Line of Business and time period on display.

Click + on the table to expand the line of business and time to display the children levels.

Obligations are sorted by the following statuses:

- Compliant
- Non Compliant
- Partially Compliant

This report only considers obligations in *Open* status.

		2012	
			2012-Q4
All	Compliant	3	3
	Non Compliant	3	3
	Partially Compliant	3	3
ABC USA	Compliant	2	2
	Non Compliant	3	3
	Partially Compliant	1	1
Retail Banking	Compliant	3	3
	Non Compliant	1	1
	Partially Compliant	2	2

[Edit](#) - [Refresh](#) - [Print](#)

Figure 118. Trend of Obligations by Line of Business table

Trend of Obligations by Location

This report displays a trend of obligation assessments by the Location, in table format.

Trend of Obligations by Location		
Time run: 9/11/2014 12:52:37 PM		
		> 2014
> USA	Compliant	6
	Non Compliant	6
	Partially Compliant	6
Edit		

Trend of Obligations by Location Table

This report lists the number of obligation assessments for the combination of Location and time period on display. This report only considers obligations in *Open* status.

Obligations are sorted by the following statuses:

- Compliant
- Non Compliant
- Partially Compliant

		2012	
		2012-Q4	
All	Compliant	3	3
	Non Compliant	3	3
	Partially Compliant	3	3
EMEA	Compliant	3	3
	Non Compliant	1	1
	Partially Compliant	2	2
United Kingdom	Compliant	3	3
	Non Compliant	1	1
	Partially Compliant	2	2
United States	Compliant	2	2
	Non Compliant	3	3
	Partially Compliant	1	1
Edit - Refresh - Print			

Figure 119. Trend of Obligations by Location table

The report displays first level the Dimension with an option to view next levels

Click drop down arrow on the table to expand the Location and time to display the children levels.

Business Continuity Plan

This section describes the reports found in the Business Continuity Plan (BCP) dashboard of the OFSORA and includes the following topics:

- Business Continuity Plans by Business Lines

- Business Continuity Plans by Locations
- Business Continuity Plans by Risk Event Types

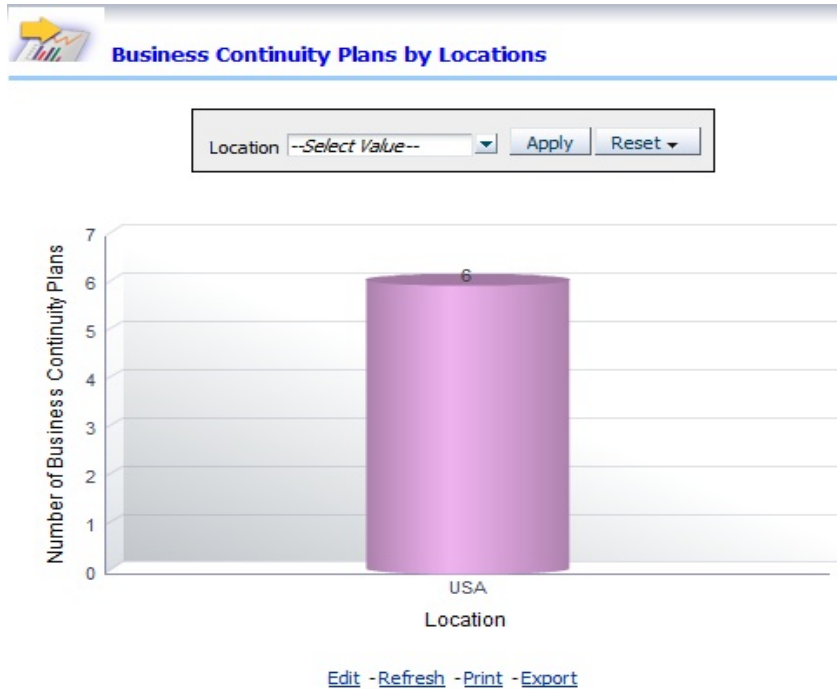
Business Continuity Plans by Business Lines

Displays the count of Business Continuity Plans which are Active for various Lines of Business.



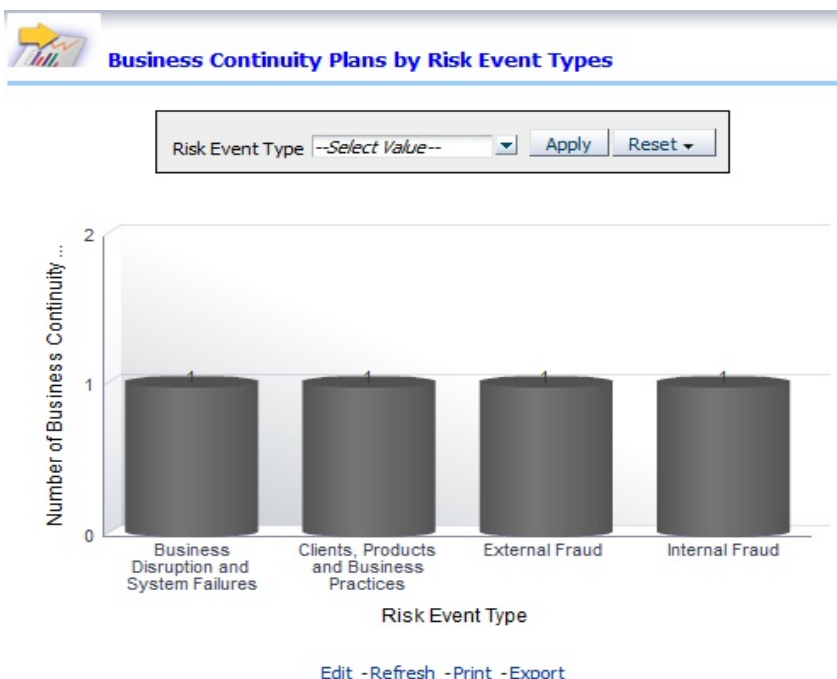
Business Continuity Plans by Locations

Displays the count of Business Continuity Plans which are Active for various Locations.



Business Continuity Plans by Risk Event Types

Displays the count of Business Continuity Plans which are Active for various Risk Event Type.

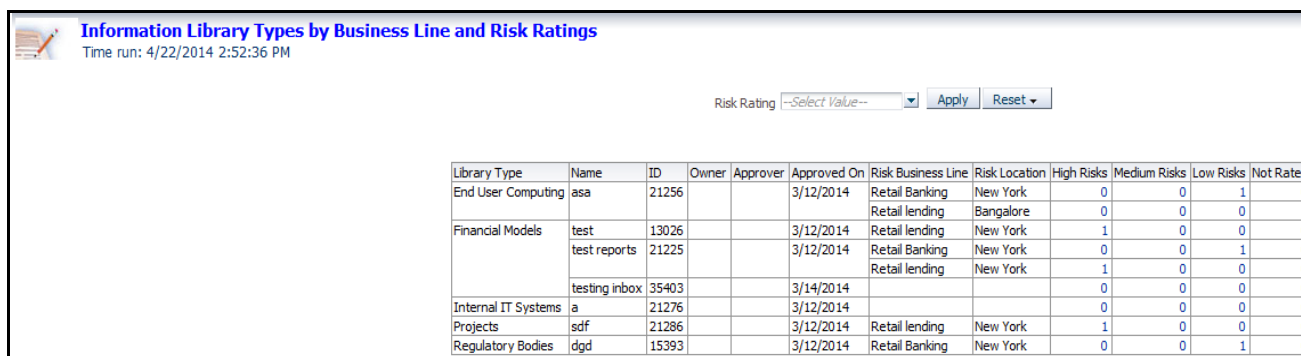


Information Library

- Information Library Types by Business Line and Risk Ratings
- Information Library Types by Business Line and Control Effectiveness
- Information Library Types by Business Line and BCP Ratings
- Information Libraries not associated with Entities
- New & Retired Information Libraries

Information Library Types by Business Line and Risk Ratings

This report displays the number of different Information Libraries associated with Risks, based on the Business line of the Risks and the Residual Risk Rating.

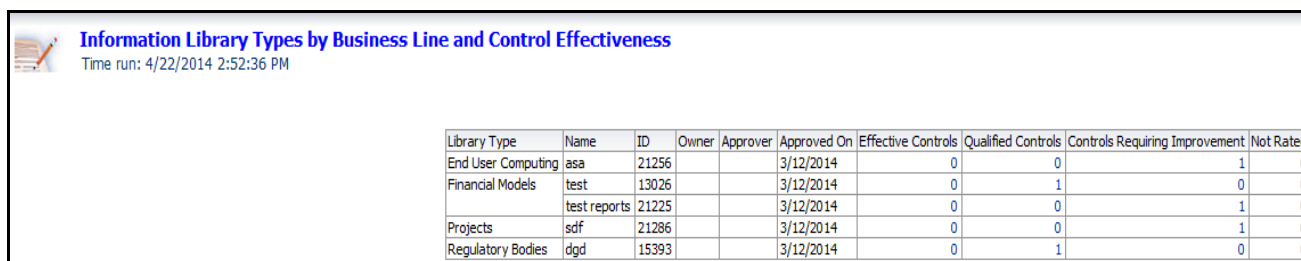


Library Type	Name	ID	Owner	Approver	Approved On	Risk Business Line	Risk Location	High Risks	Medium Risks	Low Risks	Not Rated
End User Computing	asa	21256			3/12/2014	Retail Banking	New York	0	0	1	0
						Retail lending	Bangalore	0	0	0	1
Financial Models	test	13026			3/12/2014	Retail lending	New York	1	0	0	0
	test reports	21225			3/12/2014	Retail Banking	New York	0	0	1	0
	testing inbox	35403			3/14/2014	Retail lending	New York	1	0	0	0
Internal IT Systems	a	21276			3/12/2014			0	0	0	0
Projects	sdf	21286			3/12/2014	Retail lending	New York	1	0	0	0
Regulatory Bodies	dgd	15393			3/12/2014	Retail Banking	New York	0	0	1	0

Figure 120. Information Library Types by Business Line and Risk Ratings

Information Library Types by Business Line and Control Effectiveness

This report displays the number of different Information Libraries associated with Controls, based on the Business Line of the Controls and the Overall Control Effectiveness Rating.



Library Type	Name	ID	Owner	Approver	Approved On	Effective Controls	Qualified Controls	Controls Requiring Improvement	Not Rated
End User Computing	asa	21256			3/12/2014	0	0		1
Financial Models	test	13026			3/12/2014	0	1		0
	test reports	21225			3/12/2014	0	0		1
Projects	sdf	21286			3/12/2014	0	0		1
Regulatory Bodies	dgd	15393			3/12/2014	0	1		0

Figure 121. Information Library Types by Business Line and Control Effectiveness

Information Library Types by Business Line and BCP Ratings

This report displays the number of different Information Libraries associated with the Business Continuity Plan, based on the Business line of the BCP and the Overall Assessment Rating of the BCP.

Information Library Types by Business Line and BCP Ratings
Time run: 4/22/2014 2:52:36 PM

Library Type	Name	ID	Owner	Approver	Approved On	BCP rated Good	BCP rated Medium	BCP rated Poor	Not Rated
End User Computing	asa	21256			3/12/2014				
Financial Models	test	13026			3/12/2014				
	test reports	21225			3/12/2014				
	testing inbox	35403			3/14/2014				
Internal IT Systems	a	21276			3/12/2014				
Projects	sdf	21286			3/12/2014				
Regulatory Bodies	dgd	15393			3/12/2014				

Figure 122. Information Library Types by Business Line and BCP Ratings

Information Libraries not associated with Entities

This report displays the Information Libraries which are not linked/associated with any other entities and are stand alone. That is the Information Libraries which do not impacted by other Entities such as Risks, Controls, and so on.

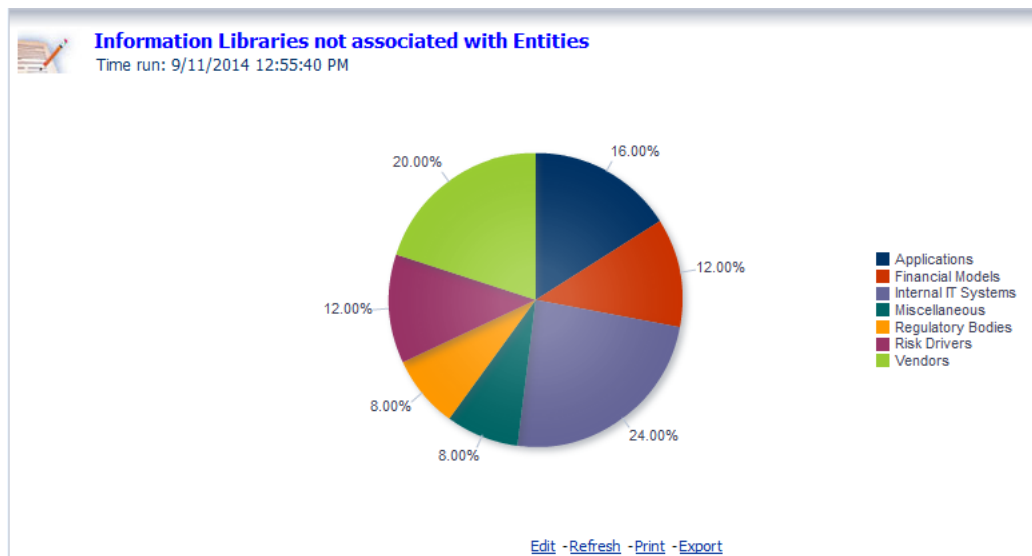


Figure 123. Information Libraries not associated with Entities

New & Retired Information Libraries

This report displays the number of Information Libraries which have been added in the past period and are retired. The details of such Information Libraries can be accessed by clicking on the Bars.

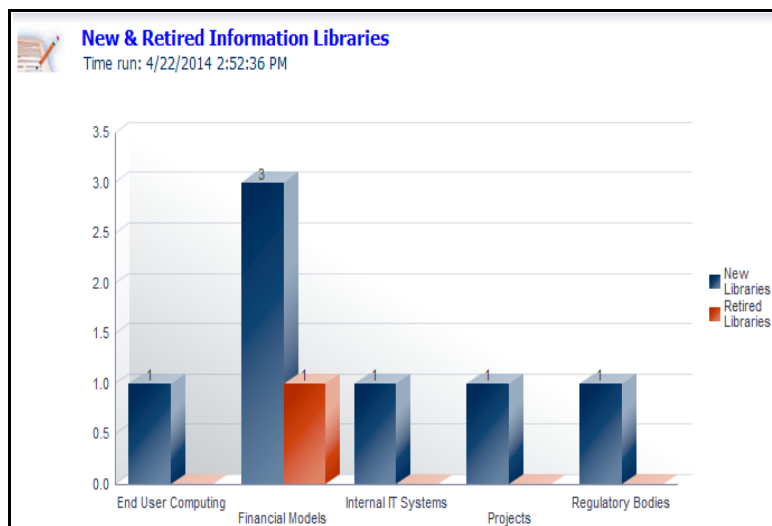


Figure 124. New & Retired Information Libraries

Change Initiatives

- Change Initiative Analysis
- Change Initiative Impact

Change Initiative Analysis

- Change Initiatives by Business Lines
- Change Initiatives by Locations
- Recommended RET Vs Applicable RET

Change Initiatives by Business Lines

This report displays the number of Change Initiatives and the cost incurred in implementing the changes in different Business Lines.

Click on Trading and Sales to view the Actual Cost and Count of Change Management

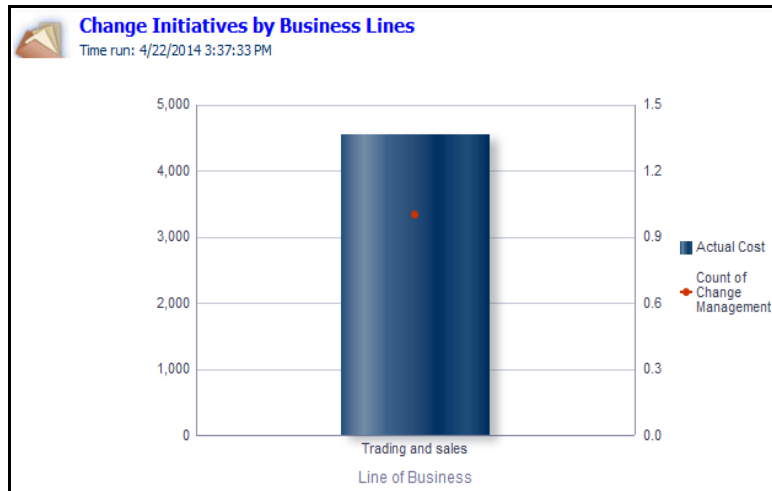


Figure 125. Change Initiatives by Business Lines

Change Initiatives by Locations

This report displays the number of Change Initiatives and the cost incurred in implementing the changes in different Locations.

Click on Location to expand the respective children location Types.

Click on Count of Change Management to view the details of the change management.

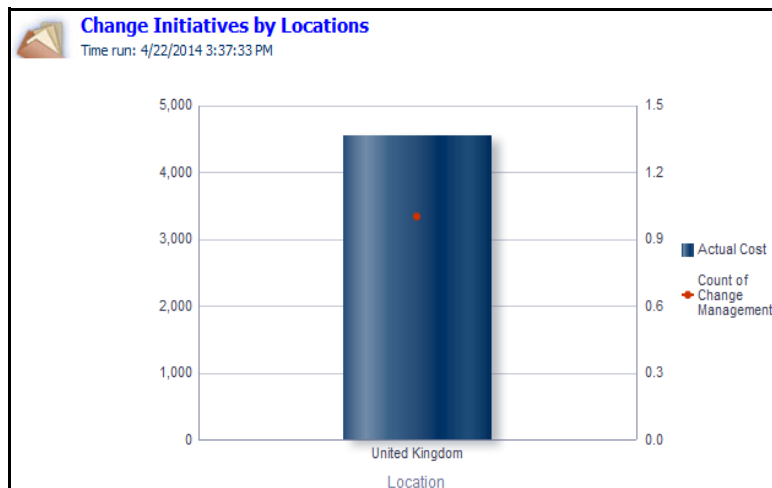


Figure 126. Change Initiatives by Locations

Recommended Risk Event Type Vs Applicable Risk Event Type

This report displays the Change Initiatives with the difference between recommended RET and applicable RET. The report also provides a hyperlink to view the Risks associated with such RETs. This allows the user to assess the recommendations provided by the system for Change Initiatives.


 Recommended RET Vs Applicable RET Time run: 4/22/2014 3:37:33 PM									
Change Initiatives ID	Change Initiatives Name	Type	Start Date	Target Completion Date	Percentage Complete	Materiality	Recommended RET	Applicable RET	No. of Risks per RET
24280	1234567890	Existing Project	3/14/2014	3/13/2014	100.00	High	No	No	1
							No	No	1

Figure 127. Recommended RET Vs Applicable RET

Table 62. Recommended RET Vs Applicable RET

Column	Description
Change Initiatives ID	Displays the Change Initiatives ID of the Recommended RET Vs Applicable RET
Change Initiatives Name	Displays the Change Initiatives Name of the Recommended RET Vs Applicable RET
Type	Displays the Type of the Recommended RET Vs Applicable RET
Start Date	Displays the Start Date of the Recommended RET Vs Applicable RET
Target Completion Date	Displays the Target Completion Date of the Recommended RET Vs Applicable RET
Percentage Complete	Displays the Percentage Complete of the Recommended RET Vs Applicable RET
Materiality	Displays the Materiality of the Recommended RET Vs Applicable RET
Recommended RET	Displays the Recommended RET of the Recommended RET Vs Applicable RET
Applicable RET	Displays the Applicable RET of the Recommended RET Vs Applicable RET
No. of Risks per Risk Event Type	Displays the No. of Risks per Risk Event Type of the Recommended RET Vs Applicable RET

Change Initiative Impact

- Change initiatives with High Impact Risks
- Change Initiatives due to Regulations
- Additional Reports
 - Change Initiatives with Scenarios
 - Change Initiatives with Incomplete Delivery Risk Assessment
 - Change Initiatives Details

Change initiatives with High Impact Risks

This report displays the Change Initiatives which have Risks associated, where the Change Impact is High based on the Delivered Risk assessment for the Change Initiatives.


 Change initiatives with High Impact Risks Time run: 4/22/2014 3:43:56 PM										
Change Initiative Name	Change Initiative ID	Start Date	Target Completion Date	Percentage Complete	Status of Change Initiative	Risk Name	Risk Id	Change Impact	Change Impact Status	Change Impact Analysis
1234567890	24280	3/14/2014	3/13/2014	100.00	Open	risk for test	12440			

Figure 128. Change Initiatives with High Impact Risks

Table 63. Change Initiatives with High Impact Risks

Column	Description
Change Initiative Name	Displays the Change Initiatives Name of the Change Initiatives with High Impact Risks
Change Initiative ID	Displays the Change Initiative ID of the Change Initiatives with High Impact Risks
Start Date	Displays the Start Date of the Change Initiatives with High Impact Risks
Target Completion Date	Displays the Target Completion Date of the Change Initiatives with High Impact Risks
Percentage Complete	Displays the Percentage Complete of the Change Initiatives with High Impact Risks
Status of Change Initiative	Displays the Status of Change Initiative of the Change Initiatives with High Impact Risks
Risk Name	Displays the Risk Name of the Change Initiatives with High Impact Risks
Risk ID	Displays the Risk ID of the Change Initiatives with High Impact Risks
Change Impact	Displays the Change Impact of the Change Initiatives with High Impact Risks
Change Impact Status	Displays the Change Impact Status of the Change Initiatives with High Impact Risks
Change Impact Analysis	Displays the Change Impact Analysis of the Change Initiatives with High Impact Risks
Risk Change Impact Identifier	Displays the Risk Change Impact Identifier of the Change Initiatives with High Impact Risks

Change Initiatives due to Regulations

This report displays the Change Initiatives which are required due to the regulatory mandate. This displays the changes initiatives which are associated with Regulations.


 Change Initiatives due to Regulations Time run: 4/22/2014 3:43:56 PM													
Change Initiative ID	Change Initiative Name	Start Date	Target Completion Date	Percentage Complete	Materiality	Regulation Name	Regulation ID	Type	Regulation Number	Regulator	Potential Penalty	Issuance Date	Effective From
24280	1234567890	3/14/2014	3/13/2014	100	High	dsfs	11555	Regulation		Regular	32	3/11/2014	3/12/2014
					Low	dsfs	11555	Regulation		Regular	32	3/11/2014	3/12/2014
						dsfs	11555	Regulation		Regular	32	3/11/2014	3/12/2014

Figure 129. Change Initiatives due to Regulations

Table 64. Change Initiatives due to Regulations

Column	Description
Change Initiative Name	Displays the Change Initiatives Name of the Change Initiatives due to Regulations
Change Initiative ID	Displays the Change Initiatives ID of the Change Initiatives due to Regulations
Start Date	Displays the Start Date of the Change Initiatives due to Regulations
Target Completion Date	Displays the Target Completion Date of the Change Initiatives due to Regulations
Percentage Complete	Displays the Percentage Complete of the Change Initiatives due to Regulations
Materiality	Displays the Materiality of the Change Initiatives due to Regulations
Impacted Business from Change	Displays the Impacted Business from Change of the Change Initiatives due to Regulations
Regulation Name	Displays the Regulation Name of the Change Initiatives due to Regulations
Regulation ID	Displays the Regulation ID of the Change Initiatives due to Regulations
Type	Displays the Type of the Change Initiatives due to Regulations
Regulation Number	Displays the Regulation Number of the Change Initiatives due to Regulations
Regulator	Displays the Regulator of the Change Initiatives due to Regulations
Potential Penalty	Displays the Potential Penalty of the Change Initiatives due to Regulations
Issuance Time	Displays the Issuance Time of the Change Initiatives due to Regulations
Effective From	Displays the Effective From of the Change Initiatives due to Regulations

Additional Reports

- Change Initiatives with Scenarios
- Change Initiatives with Incomplete Delivery Risk Assessment
- Change Initiatives Details

Change Initiatives with Scenarios

This report displays the Change Initiatives based on which the Scenarios are created. These Change Initiatives are associated/linked with scenarios.



Change Initiatives with Scenarios

Time run: 4/22/2014 3:57:01 PM

Change Initiative Name	Change Initiative ID	Start Date	Target Completion Date	Percentage Complete	Status Name	Scenario Key	Scenario
1234567890	24280.00	3/14/2014	3/13/2014	100.00	Open	10555.00	test
						14464.00	Test Scenario Assessment failing
CI for report	25189.00	3/13/2014	3/25/2014		Closed	23025.00	SC 1
Ci 2	26010.00	3/13/2014	3/14/2014		Closed	10555.00	test
						31884.00	SC Test
TEST BUG	24934.00	3/13/2014	4/9/2014		Draft	46473.00	MC1
change for test	10456.00	3/11/2014	3/31/2014	100.00	Completed	31884.00	SC Test

Figure 130. Change Initiatives with Scenarios

Table 65. Change Initiatives with Scenarios

Column	Description
Change Initiative Name	Displays the Change Initiatives Name of the Change Initiatives with Scenarios
Change Initiative ID	Displays the Change Initiative ID of the Change Initiatives with Scenarios
Start Date	Displays the Start Date of the Change Initiatives with Scenarios
Target Completion Date	Displays the Target Completion Date of the Change Initiatives with Scenarios
Percentage Complete	Displays the Percentage Complete of the Change Initiatives with Scenarios
Status Name	Displays the Status Name of the Change Initiatives with Scenarios
Scenario Key	Displays the Scenario Key of the Change Initiatives with Scenarios
Scenario	Displays the Scenario of the Change Initiatives with Scenarios

Change Initiatives with Incomplete Delivery Risk Assessment

This report displays the Change Initiatives associated with Risks for which delivered risk assessment is incomplete. The value of such Change Impacts is **Not Reviewed**.



Change Initiatives with Incomplete Delivery Risk Assessment

Time run: 4/22/2014 6:35:09 PM

Change Initiative Name	Change Initiative ID	Start Date	Target Completion Date	Percentage Complete	Status of Change Initiative	Risk ID	Risk Name	Change Impact	Change Impact Status	Change Impact Analysis
hello! change	10733.00	4/3/2014	4/30/2014	100.00	Open	10138.00	risk for test			
						12843.00	risk for process dashboard			
vd chng	15802.00	4/14/2014	4/30/2014		Open	12843.00	risk for process dashboard			
						14740.00	risk for questionnaire			

Figure 131. Change Initiatives with Incomplete Delivery Risk Assessment

Table 66. Change Initiatives with Incomplete Delivery Risk Assessment

Column	Description
Change Initiative Name	Displays the Change Initiatives Name of the Change Initiatives with Incomplete Delivery Risk Assessment
Change Initiative ID	Displays the Change Initiative ID of the Change Initiatives with Incomplete Delivery Risk Assessment
Start Date	Displays the Start Date of the Change Initiatives with Incomplete Delivery Risk Assessment
Target Completion Date	Displays the Target Completion Date of the Change Initiatives with Incomplete Delivery Risk Assessment
Percentage Complete	Displays the Percentage Complete of the Change Initiatives with Incomplete Delivery Risk Assessment
Status of Change Initiative	Displays the Status of Change Initiative of the Change Initiatives with Incomplete Delivery Risk Assessment
Risk ID	Displays the Risk ID of the Change Initiatives with Incomplete Delivery Risk Assessment
Risk Name	Displays the Risk Name of the Change Initiatives with Incomplete Delivery Risk Assessment
Change Impact	Displays the Change Impact of the Change Initiatives with Incomplete Delivery Risk Assessment

Column	Description
Change Impact Status	Displays the Change Impact Status of the Change Initiatives with Incomplete Delivery Risk Assessment
Change Impact Analysis	Displays the Change Impact Analysis of the Change Initiatives with Incomplete Delivery Risk Assessment
Risk Change Status Identifier	Displays the Risk Change Status Identifier of the Change Initiatives with Incomplete Delivery Risk Assessment

Change Initiatives Details

This report displays the details of Change Initiatives such as Name, Type, Business Line, and so on.



ID	Name	Type Name	Start Date	Target Completion Date	Percentage Complete	Estimated Cost	Actual Cost	PIRR	Reviewer	Owner	Status	Business Line	Location	Impacted Business Lines	Impacted Processes	Others Impacts	Impacted Risks
10733	hello change	Existing Project	4/3/2014	4/30/2014	100.00	432334.00	32.00	102.00		Change Manager	Open	Fund Management	London	0	1	0	2
11179	sdgsg	Existing Vendor	4/14/2014	4/30/2014	100.00	436.00	2356.00	102.00		Change Manager	Completed	Fund Management	London	0	0	0	0
15802	vd chng	Existing Vendor	4/14/2014	4/30/2014		43.00				Change Manager	Open	Fund Management	London	1	2	2	2

Figure 132. Change Initiatives Details

Table 67. Change Initiatives Details

Column	Description
ID	Displays the ID of the Change Initiatives Details
Name	Displays the Name of the Change Initiatives Details
Type Name	Displays the Type Name of the Change Initiatives Details
Start Date	Displays the Start Date of the Change Initiatives Details
Target Completion Date	Displays the Target Completion Date of the Change Initiatives Details
Percentage Complete	Displays the Percentage Complete of the Change Initiatives Details
Estimated Cost	Displays the Estimated Cost of the Change Initiatives Details
Actual Cost	Displays the Actual Cost of the Change Initiatives Details
PIRR	Displays the PIRR of the Change Initiatives Details
Reviewer	Displays the Reviewer of the Change Initiatives Details
Owner	Displays the Owner of the Change Initiatives Details
Status	Displays the Status of the Change Initiatives Details
Business Line	Displays the Business Line of the Change Initiatives Details
Location	Displays the Location of the Change Initiatives Details
Impacted Business Lines	Displays the Impacted Business Lines of the Change Initiatives Details
Impacted Processes	Displays the Impacted Processes of the Change Initiatives Details
Other Impacts	Displays the Other Impacts of the Change Initiatives Details
Impacted Risks	Displays the Impacted Risks of the Change Initiatives Details

Process

This section describes the pre-seeded reports in the Process dashboard of the OFSORA and includes the following topics:

You can view the following reports under Process Dashboard:

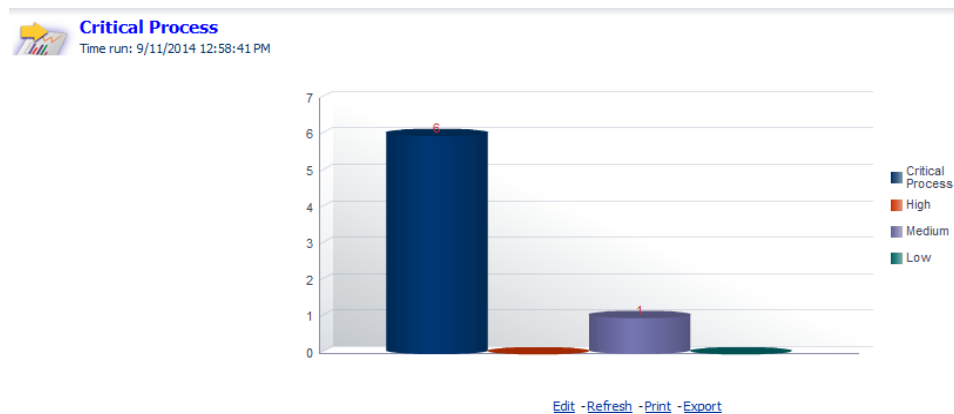
- Critical Process
- Process With High Assessment Rating
- Process Heat Map
- Losses Associated With Processes
- Additional Reports
 - State of Processes
 - Process Details
 - Process Metrics

Critical Process

This report displays the Processes which are critical to the Business.


Click on Critical Process to expand the respective children critical processTypes.

High, Medium and Low process types are displayed.



Process with High Assessment Rating

This report displays the Processes which are rated as High in Overall Risk Assessment of the Processes.

 **Process With High Assessment Rating**
Time run: 4/23/2014 11:19:57 AM

Process ID	Name	Critical	Requires Attestation	Inherent Risk	Volume of Transaction	Dependency on IT Systems	Dependency on Third Party / Outsourcing	Susceptibility to Internal Fraud	Overall Control Effectiveness	Overall Risk Assessment	Valid From	Valid To	Assessment Date	Assessed by
12507.00	asdasd	No	No		Low	NA			Requires Improvement	High	06-Apr-2014	09-Apr-2014	09-Apr-2014	Process Owner
										High	06-Apr-2014	09-Apr-2014	09-Apr-2014	Process Owner

Figure 133. Process with High Assessment Rating

Table 68. Process with High Assessment Rating

Column	Description
Process ID	Displays the Process ID of the Process with High Assessment Rating
Name	Displays the Name of the Process with High Assessment Rating
Critical	Displays the Criticality of the Process with High Assessment Rating
Requires Attestation	Displays the Requires Attestation of the Process with High Assessment Rating
Inherent Risk	Displays the Inherent Risk of the Process with High Assessment Rating
Volume of Transaction	Displays the Volume of Transaction of the Process with High Assessment Rating
Dependency on IT Systems	Displays the Dependency on IT Systems of the Process with High Assessment Rating
Dependency on Third Party / Outsourcing	Displays the Dependency on Third Party / Outsourcing of the Process with High Assessment Rating
Susceptibility to Internal Fraud	Displays the Susceptibility to Internal Fraud of the Process with High Assessment Rating
Overall Control Effectiveness	Displays the Overall Control Effectiveness of the Process with High Assessment Rating
Overall Risk Assessment	Displays the Overall Risk Assessment of the Process with High Assessment Rating
Valid From	Displays the Valid From of the Process with High Assessment Rating
Valid To	Displays the Valid To of the Process with High Assessment Rating
Assessment Date	Displays the Assessment Date of the Process with High Assessment Rating
Assessed By	Displays the Assessed By of the Process with High Assessment Rating

Process Heat Map

This report displays the Processes and their Overall Risk Assessments with the assessment of related entities such as Risks, Controls, and so on.

Process Heat Map
Time run: 4/23/2014 11:19:57 AM

Process ID	Process Name	Critical	Requires Attestation	Process - Inherent Risk	Process - Overall Risk Assessment	Process Assessment Date	Risks			Controls			Key Indicators			Obligations			Business Continuity Plans		
							High	Medium	Low	Requires Improvement	Qualified	Effective	Red	Amber	Green	Non-Compliant	Partially Compliant	Compliant	Poor	Medium	Good
999.00	All	No	No				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
11410.00	test ord process	No	No				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
11420.00	parent and child	No	No				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
12507.00	asdasd	No	No		High	4/9/2014 2:02:14 PM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
12540.00	asda	No	No		Medium	4/9/2014 2:08:53 PM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
12673.00	process for risk dashboard	No	No			4/14/2014 4:07:49 PM	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0
12818.00	sad	No	No			4/14/2014 4:06:03 PM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
17904.00	process12345	No	No				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
19190.00	werwreew12344	No	No				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Figure 134. Process Heat Map

Table 69. Process Heat Map

Column	Description
Process ID	Displays the Process ID of the Process Heat Map
Process Name	Displays the Process Name of the Process Heat Map
Critical	Displays the Criticality of the Process Heat Map
Requires Attestation	Displays the Requires Attestation of the Process Heat Map
Inherent Risk	Displays the Inherent Risk of the Process Heat Map
Process Overall Risk Assessment	Displays the Process Overall Risk Assessment of the Process Heat Map
Process Assessment Date	Displays the Process Assessment Date of the Process Heat Map
Risks	Displays the Risks (High, Medium and Low) of the Process Heat Map
Controls	Displays the Controls (Requires Improvement, Qualified and Effective) of the Process Heat Map
Key Indicators	Displays the Key Indicators of the Process Heat Map
Obligations	Displays the Obligations (Non Compliant, Partially Compliant and Compliant) of the Process Heat Map
Business Continuity Plans	Displays the Business Continuity Plans (Poor, Medium and Good) of the Process Heat Map

Losses Associated With Processes

This report displays the Processes which have losses linked/associated with them. This allows the user in taking the necessary corrective action plans.

Losses Associated With Processes
Time run: 4/23/2014 11:19:57 AM

Process Name	Owner	Critical	Requires Attestation	Complexity	Process - Risk Assessment	Process Assessment Date	Incidents	Total Losses (in Base CCY)
All		No	No	Not Rated			5	51665.00
asda	Process Owner	No	No	Not Rated	Medium	09-Apr-2014	5	185000.00
asdasd	Process Owner	No	No	Low	High	09-Apr-2014	5	315000.00
parent and child	Process Owner	No	No	Not Rated			0	
process for risk dashboard	Process Owner	No	No	Not Rated		14-Apr-2014	0	
process12345	Process Owner	No	No	Not Rated			0	
sad	Process Owner	No	No	Not Rated		14-Apr-2014	0	
test ord process	Process Owner	No	No	Not Rated			5	215000.00
werwreew12344	Process Owner	No	No	Not Rated			0	

Figure 135. Losses Associated With Processes

Table 70. Losses Associated With Processes


Column	Description
Process ID	Displays the Process ID of the Losses Associated With Processes
Process Name	Displays the Process Name of the Losses Associated With Processes
Owner	Displays the Owner of the Losses Associated With Processes
Critical	Displays the Criticality of the Losses Associated With Processes
Inherent Risk	Displays the Inherent Risk of the Losses Associated With Processes
Requires Attestation	Displays the Requires Attestation of the Losses Associated With Processes
Overall Risk Rating	Displays the Overall Risk Rating of the Losses Associated With Processes
Assessment Date	Displays the Assessment Date of the Losses Associated With Processes
Requires Attestation	Displays the Requires Attestation of the Losses Associated With Processes
Incidents	Displays the Incidents of the Losses Associated With Processes
Total Losses	Displays the Total Losses of the Losses Associated With Processes

Additional Reports

- State of Processes
- Process Details
- Process Metrics

State of Processes

This report displays the overall risk assessment rating of a Process over a period of past 12 months. This considers an assessment to be valid until next assessment is available. That is, if a Process is assessed in month of April, such assessment will be held valid until the process is assessed again.

 **State of Processes**
Time run: 9/11/2014 1:01:19 PM

Process ID	Process Name	Sep-2014
999	All	
81629800	Expenditure Authorization	
81629815	Employee On boarding	
81629825	Trade Confirmation(matching of Trades)	
81629835	on boarding new customer	
81629853	Settlement Process	
81636367	Know Your Customer	
81636408	Customer Identification Process	
81636424	Credit Card Issuance Process	High
81636463	Home Loan Process	High
81636482	Pre-Approval - Home Loan Process	
81636492	Lock in Rate - Home Loan Process	Medium
81636502	Property Appraisal - Home Loan Process	
81636512	Loan Review - Home Loan Process	High
81636522	Closing Costs - Home Loan Process	
81637121	SWIFT	
81637131	Account Opening	Low
81637141	Payment System	High
81637158	Cheque Clearing process	
81637168	Transfer of Funds	Medium
81637178	Processing of New Accounts	
81637188	Overdraft process	
81637198	Loan Processing	High
81637208	Customer Compliants Redressal	Low
81637218	Attendance Tracking	Low

Return - Edit - Refresh - Print - Export - Create Bookmark Link


Figure 136. State of Processes

Table 71. State of Processes

Column	Description
Process ID	Displays the Process ID of the State of Processes
Process Name	Displays the Process Name of the State of Processes
Date	Displays the levels (High, Medium, Low) on a Date of the State of Processes

Process Details

This report displays the Process details such as Name, Critical, Assessment Date, and so on for further analysis.

 **Process Details**
Time run: 4/23/2014 11:30:23 AM

ID	Name	Parent Process	Critical	Requires Attestation	Owner	Assessment Date	Valid From	Valid To	Complexity	Volume of Transaction	Dependency on IT Systems	Dependency on Third Party / Outsourcing	Susceptibility to Internal Fraud	Inherent Risk	Overall Control Effectiveness	Overall Risk Assessment	Assessed by	Applicable Business Units
999	All		No	No					Not Rated									
11410	test ord process		No	No	Process Owner				Not Rated									
11420	parent and child	test ord process	No	No	Process Owner				Not Rated									
12507	asdasd	parent and child	No	No	Process Owner	09-Apr-2014	06-Apr-2014	09-Apr-2014	Low	Low	NA				Effective	High	Process Owner	1
12540	asda		No	No	Process Owner	09-Apr-2014	06-Apr-2014	09-Apr-2014	Not Rated	Low	High				Qualified	Medium	Process Owner	1
12673	process for risk dashboard		No	No	Process Owner	14-Apr-2014	01-Apr-2014	14-Apr-2014	Not Rated									1
12818	sad		No	No	Process Owner	14-Apr-2014	13-Apr-2014	14-Apr-2014	Not Rated									
17904	process12345	parent and child	No	No	Process Owner				Not Rated									1
19190	wewreew12344	asda	No	No	Process Owner				Not Rated									

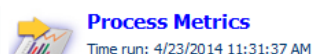
Figure 137. Process Details

Table 72. Process Details

Column	Description
ID	Displays the Process ID of the Process Details
Name	Displays the Name of the Process Details
Parent Process	Displays the Parent Process of the Process Details
Critical	Displays the Criticality of the Process Details
Requires Attestation	Displays the Requires Attestation of the Process Details
Owner	Displays the Owner of the Process Details
Assessment Date	Displays the Assessment Date of the Process Details
Valid From	Displays the Valid From Date of the Process Details
Valid To	Displays the Valid To Date of the Process Details
Volume of Transaction	Displays the Volume of Transaction of the Process Details
Dependency on IT Systems	Displays the Dependency on IT Systems of the Process Details
Dependency on Third Party / Outsourcing	Displays the Dependency on Third Party / Outsourcing of the Process Details
Susceptibility to Internal Fraud	Displays the Susceptibility to Internal Fraud of the Process Details
Inherent Risk	Displays the Inherent Risk of the Process Details
Overall Control Effectiveness	Displays the Overall Control Effectiveness of the Process Details
Overall Risk Assessment	Displays the Overall Risk Assessment of the Process Details
Assessed By	Displays the Assessed By of the Process Details
Applicable Business Units	Displays the Applicable Business Units of the Process Details
Comments	Displays the Comments of the Process Details

Process Metrics

This report displays the count of other entities such as Risks, Controls, Incidents, and so on, which are associated with a Process. The count of such entities are hyperlinked so that you can view the details of each entity.



Process ID	Process Name	Applicable Business Units	No. of Risks	No. of Controls	No. of Incidents	No. of Key Indicators	No. of Obligations	No. of BCP	No. of Issues	No. of Actions
999	All	0	2	1	1	1	2	0	0	0
11410	test ord process	0	0	0	1	0	0	0	0	0
11420	parent and child	0	1	1	0	0	0	0	0	0
12507	asdasd	1	0	1	1	0	0	0	0	0
12540	asda	1	0	0	1	0	0	0	0	0
12673	process for risk dashboard	1	1	1	0	0	0	0	0	0
12818	sad	0	0	0	0	0	0	0	0	0
17904	process12345	1	0	0	0	0	0	0	0	0
19190	werwreew12344	0	0	0	0	0	0	0	0	0

Figure 138. Process Metrics

Table 73. Process Metrics

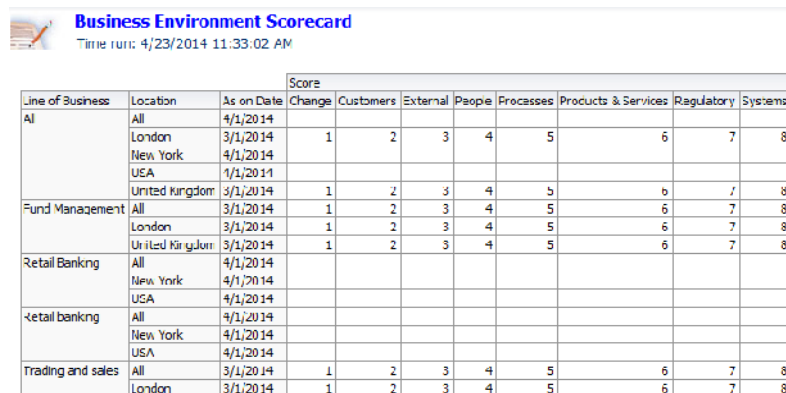
Column	Description
Process ID	Displays the Process ID of the Process Metrics
Process Name	Displays the Process Name of the Process Metrics
Applicable Business Units	Displays the Applicable Business Units of the Process Metrics
No. of Risks	Displays the No. of Risks of the Process Metrics
No. of Controls	Displays the No. of Controls of the Process Metrics
No. of Incidents	Displays the No. of Incidents of the Process Metrics
No. of Key Indicators	Displays the No. of Key Indicators of the Process Metrics
No. of Obligations	Displays the No. of Obligations of the Process Metrics
No. of BCP	Displays the No. of BCP of the Process Details
No. of Issues	Displays the No. of Issues of the Process Metrics
No. of Actions	Displays the No. of Actions of the Process Metrics

BES (Business Environment Scorecard)

- Business Environment Scorecard
- Business Environment Scorecard Not Revised
- BES Parameter Snapshot

Business Environment Scorecard

This report displays the latest Scorecard defined for all the Business Units.



Business Environment Scorecard
Time run: 4/23/2014 11:33:02 AM

Line of Business	Location	As on Date	Score							
			Change	Customers	External	People	Processes	Products & Services	Regulatory	Systems
All	All	4/1/2014								
	London	3/1/2014	1	2	3	4	5	6	7	8
	New York	4/1/2014								
	USA	4/1/2014								
Fund Management	United Kingdom	3/1/2014	1	2	3	4	5	6	7	8
	All	3/1/2014	1	2	3	4	5	6	7	8
	London	3/1/2014	1	2	3	4	5	6	7	8
	United Kingdom	3/1/2014	1	2	3	4	5	6	7	8
Retail Banking	All	4/1/2014								
	New York	4/1/2014								
	USA	4/1/2014								
	All	4/1/2014								
Retail banking	All	4/1/2014								
	New York	4/1/2014								
	USA	4/1/2014								
	All	4/1/2014								
Trading and sales	All	3/1/2014	1	2	3	4	5	6	7	8
	London	3/1/2014	1	2	3	4	5	6	7	8


Figure 139. Business Environment Scorecard

Table 74. Business Environment Scorecard

Column	Description
Business Line	Displays the Business Line of the Business Environment Scorecard
Location	Displays the Location of the Business Environment Scorecard
As on Date	Displays the As on Date of the Business Environment Scorecard
Score	Displays the Score (Change, Customers, External, People, Processes, Products & Services, Regulatory and Systems) of the Business Environment Scorecard

Business Environment Scorecard Not Revised

This report displays the Business Units which have not revised the scorecard based on the selected time frame.



Business Environment Scorecard Not Revised
Time run: 4/23/2014 11:33:02 AM

NoL reviewed for :

Business Line	Location	Reviewed by	Last Reviewed On
All	All	BES Identifier	4/1/2014
	London	BES Identifier	3/1/2014
	New York	DCS Identifier	4/1/2014
	USA	HIS Identifier	4/1/2014
	United Kingdom	BES Identifier	3/1/2014
Fund Management	All	BES Identifier	3/1/2014
	London	BES Identifier	3/1/2014
	United Kingdom	DCS Identifier	3/1/2014
Retail Banking	All	HIS Identifier	4/1/2014
	New York	BES Identifier	1/1/2014
	USA	BES Identifier	4/1/2014
Retail banking	All	BES Identifier	4/1/2014
	New York	DCS Identifier	4/1/2014
	USA	HIS Identifier	4/1/2014
Trading and sales	All	BES Identifier	3/1/2014
	London	BES Identifier	3/1/2014
	United Kingdom	BES Identifier	3/1/2014
Treasury	All	DCS Identifier	3/1/2014
	London	HIS Identifier	3/1/2014
	United Kingdom	BES Identifier	3/1/2014
Trust and estates	All	BES Identifier	4/1/2014
	New York	BES Identifier	4/1/2014
	USA	DCS Identifier	4/1/2014

Figure 140. Business Environment Scorecard Not Revised

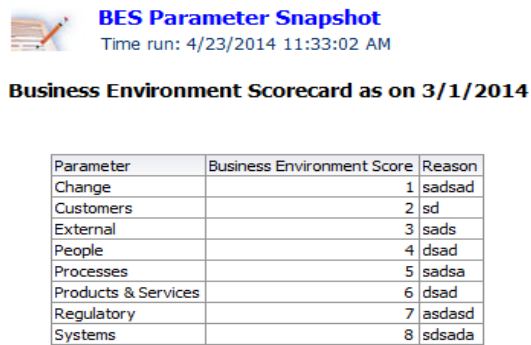
Table 75. Business Environment Scorecard Not Revised

Column	Description
Business Line	Displays the Business Line of the Business Environment Scorecard Not Revised
Location Name	Displays the Location Name of the Business Environment Scorecard Not Revised
Reviewed By	Displays the Reviewed By name of the Business Environment Scorecard Not Revised
Last Reviewed On	Displays the Last Reviewed On date of the Business Environment Scorecard Not Revised

BES Parameter Snapshot

This report displays the latest Business Environment Scorecard with the scoring for different parameters and justification for the Scoring.

Note: To view this report selection of a specific Line of business & Location is mandatory.



BES Parameter Snapshot
Time run: 4/23/2014 11:33:02 AM

Business Environment Scorecard as on 3/1/2014

Parameter	Business Environment Score	Reason
Change	1	sadsad
Customers	2	sd
External	3	sads
People	4	dsad
Processes	5	sadsa
Products & Services	6	dsad
Regulatory	7	asdasd
Systems	8	sdsada

Figure 141. BES Parameter Snapshot

Table 76. BES Parameter Snapshot

Column	Description
Parameter	Displays the Parameter of the BES Parameter Snapshot
Business Environment Score	Displays the Business Environment Score of the BES Parameter Snapshot
Reason	Displays the Reason of the BES Parameter Snapshot

Executing the Results Transformation Process

This chapter describes the steps required to setup and execute the OFSORA Result transformation process. ORA Results Transformation is the process of pushing the OFSORA Results from the OFSORA Processing area to the OFSORA Mart. It transforms both Deterministic and Stochastic ORA results as well as other related information such as forecast rates and detailed cash flows, based on the type of process and processing options selected.

This chapter includes the following topics:

- Executing the OFSORA Results Transformation Process
- Checking the Execution Status

Executing the OFSORA Results Transformation Process

There are 4 ways to execute the ORA Results Transformation process. Depending on your preference and particular use case, you can choose to run ORA Results Transformation using any of these methods.

1. Select the ORA Results transformation option within the ORA Processing > Output Preferences block (check box). When this option has been selected, OFSORA transformation will run automatically when the ORA process is run.



2. From the ORA Processing Summary page, select any ORA Process and then select the Transform ORA Results option. This will trigger the immediate execution of the OFSORA transformation process.



3. Create and run a batch process using the infrastructure Batch Processing capability.
4. Create and run a batch process using the simplified batch window. For more details refer Appendix: Simplified Batch Execution.

The following steps describe how to execute the ORA Results Transformation process from the OFSAAI Batch Processing framework:

- From the **Home** menu, select **Operations**, then select **Batch Maintenance**.
- Click **New Batch** ('+' symbol in Batch Name container) and enter the Batch Name and description.
- Click **Save**.

- Select the Batch you have created in the earlier step by clicking on the check box in the Batch Name container.
- Click **New Task** ('+' symbol in Task Details container).
- Enter the Task ID and Description.
- Select **Transform Data**, from the components list.
- Click **Parameters**. A pop up window will open, enter the following values and then click **Save**:
 - Rule Name - Select `ORA_BI_TRANSFORMATION` from the list of all available transformations. (This is a seeded Data Transformation which is installed as part of the OFSORA application installer, if you don't see this in the list contact Oracle support)
 - Parameter List – Process Id, Re-run Flag

(Refer the following for details on Parameter list)

Explanation for the parameter list:

Process Id indicates the process for which the data is to be transformed from ORA operational tables to OFSORA tables. This is a mandatory parameter.

Re-run flag indicates whether the current run is a fresh run or a re-run for the same process ID. 'N' indicates a fresh run and 'Y' indicates a re-run.

When ORA Results Transformation is executed for a new ORA process, it is treated as a new run. Note, `BI_TRANSFORM_STATUS` will be `NULL` in `FSI_PROCESS_RUN_HISTORY` for the Process and As-of-date combination.

When the Transformation is performed for an existing process, it becomes a re-run which means the related `FACT` table records are first deleted for the process and new results are re-inserted. Note, `BI_TRANSFORM_STATUS` will be "1" in `FSI_PROCESS_RUN_HISTORY` for the Process and As-of-date combination.

Sample parameters for this task are: 40006526, 'Y' (uppercase required)

5. Save and execute the batch from the Batch Execution window.

- **Note:** When prompted for the execution date, select the 'As of Date' corresponding to the ORA results that you want to transform. If some other date is selected, the ORA Result Transformation will not run for the expected data set.

The function can also be executed directly on the database through SQLPLUS. Details are as follows:

- Function Name: `FN_ORM_BI_TRANSFORMATION`
- Parameters: `p_batch_run_id`, `p_as_of_date`, `pid`, `p_re_run_flag`
- Sample parameter values: 'Batch1','20111231','40006526','Y'

Checking the Execution Status

The status of the execution can be monitored using the batch monitor window. You can access by going to the following on the Left menu

From the **Home** menu, select **Operations**, then select **Batch Monitor**.

Note: For a more comprehensive coverage, see *Oracle Financial Services Analytical Applications Infrastructure User Guide*.

The status messages in Batch Monitor are as follows:

- N - Not Started
- O - On Going
- F - Failure
- S – Success

The Batch Process execution log and the detailed ORA Transformation component log can be accessed on the application server by going to the following directory `$FIC_DB_HOME/log/date`.

The file name will have the batch execution id.

Sample Path: `/dbfiles/home/oracle/OFSAAI/ficdb/log/date`

The database level operations log can be accessed by querying the `fsi_message_log` table. The batch run id column can be filtered for identifying the relevant log.

To monitor the progress of the transformation program query the table `FSI_MESSAGE_LOG` with process ID and batch run ID as follows.

```
select * from fsi_message_log where a.process_id=<ProcessID> and  
batch_run_id=<Batch Run ID>;
```

Note: Check the `.profile` file in the installation home if you are not able to find the paths mentioned earlier.

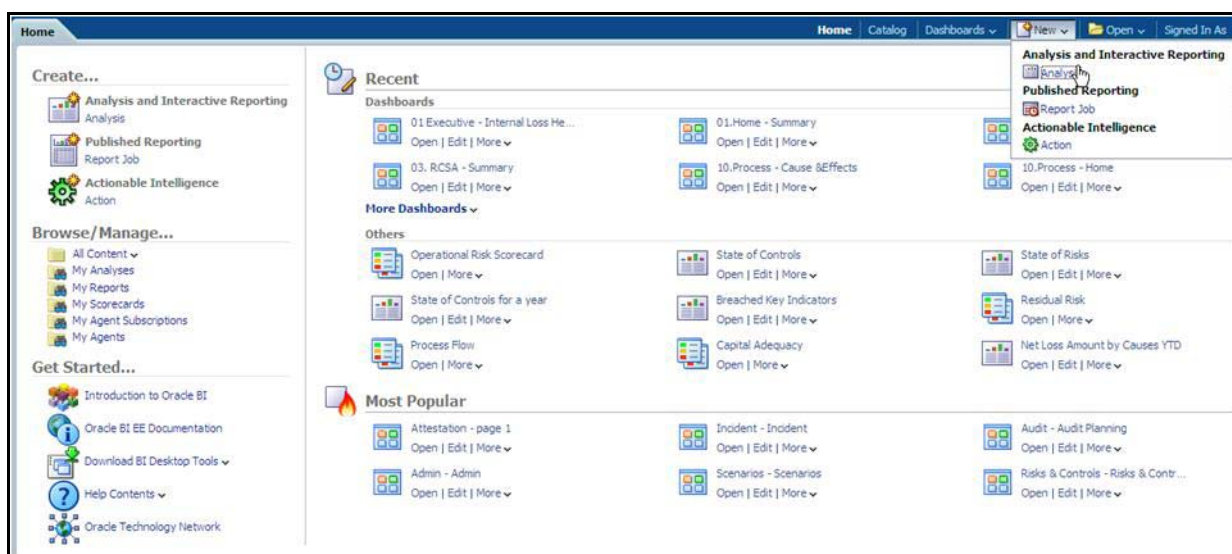
CHAPTER 6

Creating a Custom Report

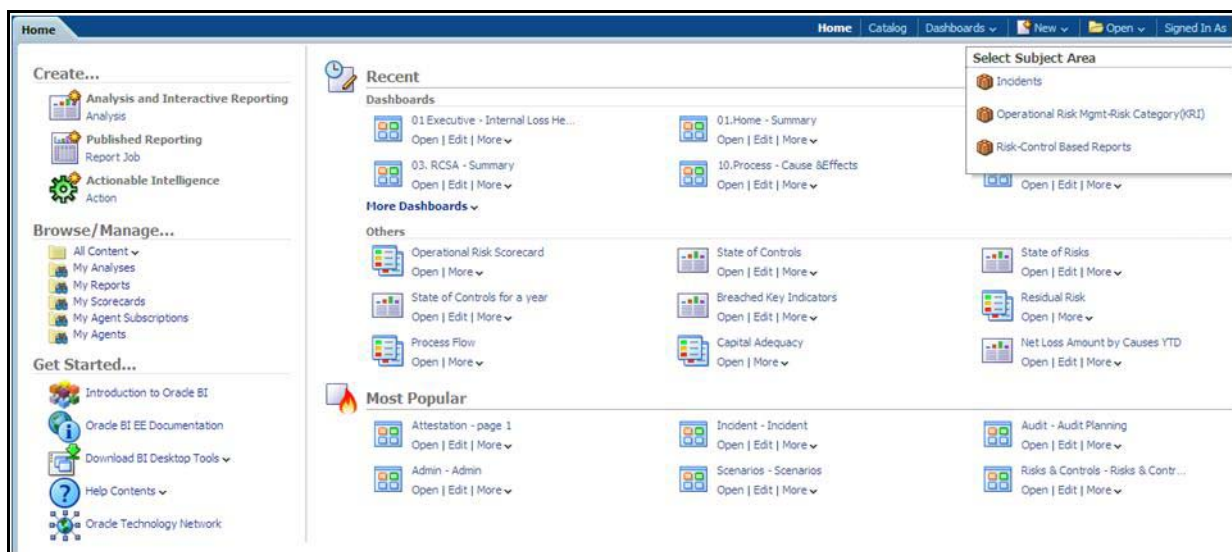
OFSORA provides the feasibility of creating a custom/adhoc reports to analyse in different dimensions other than the existing reports provided in the application. This section provides an example of how to create a custom report using OBIEE + OFSORA.

To create a custom report and add it to an existing Dashboard page, perform the following steps.

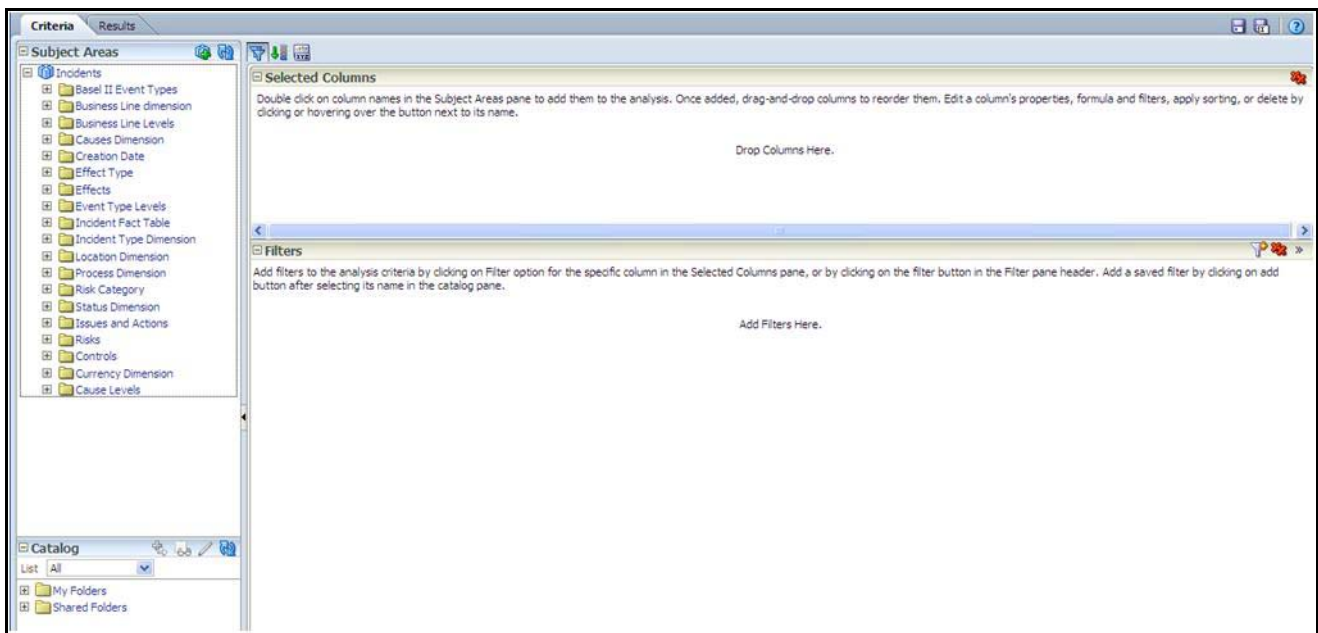
1. Log in to the OFSORA application.
2. On top right corner, select **New** and click **Analysis** from the drop-down list.



A list of Subject Area displays.

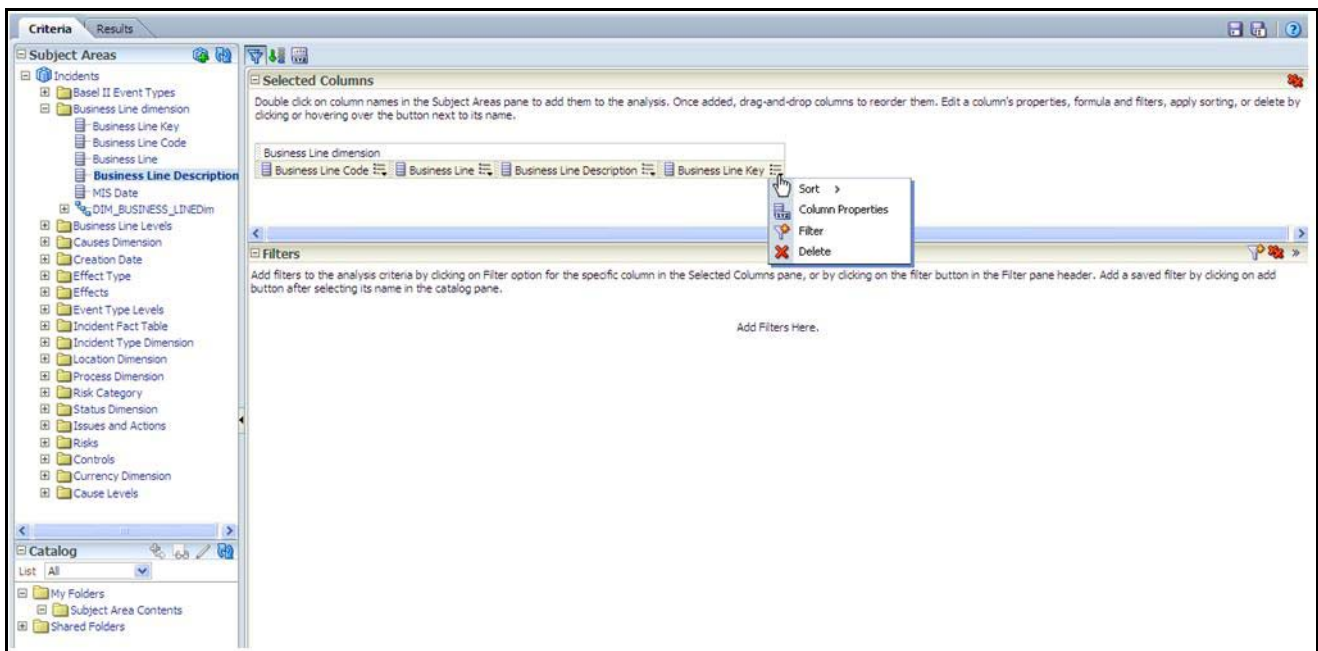


- Click the required Subject Area OFSORA to see all the metadata objects available to build the report.

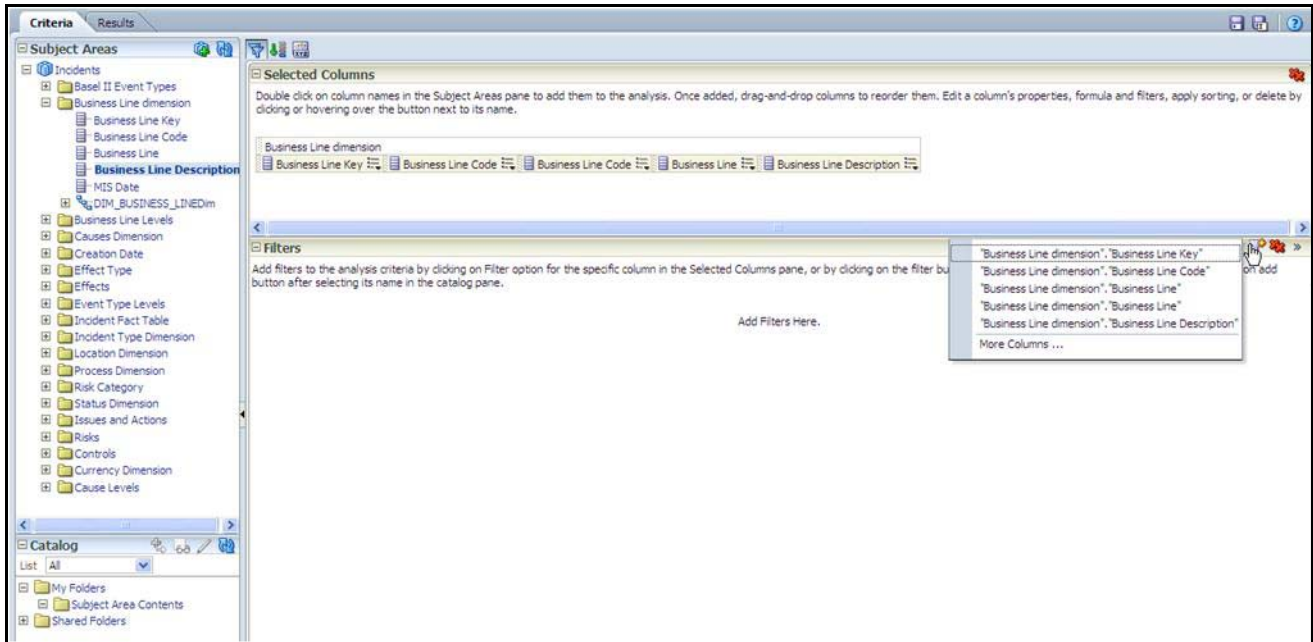


- Double click on the required column names in the Subject Areas pane to add them to the analysis or drag and drop the required column in the Selected Columns pane.

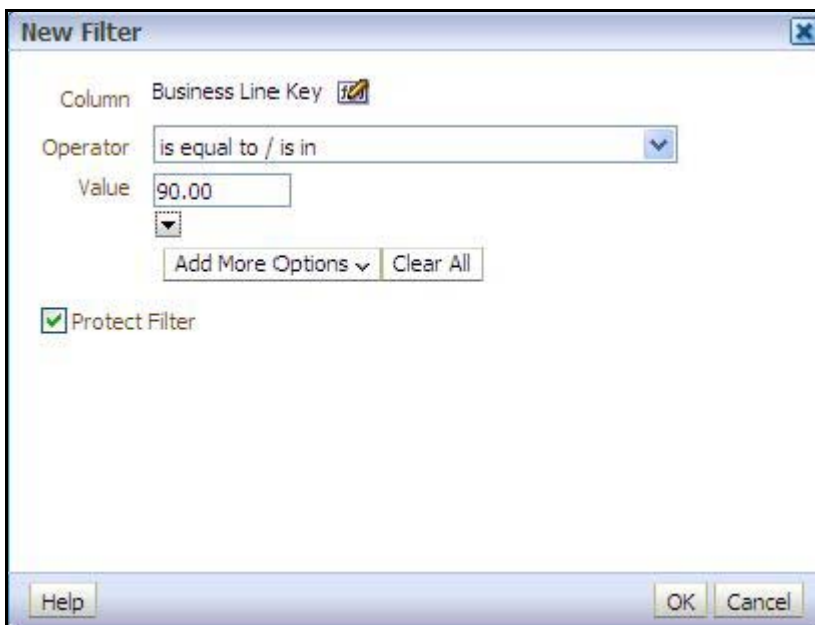
Note: Once you have added the columns, you can drag-and-drop columns to reorder them. You can also edit a column's properties, apply formula and filters, apply sorting, or delete by clicking or hovering over the column name.



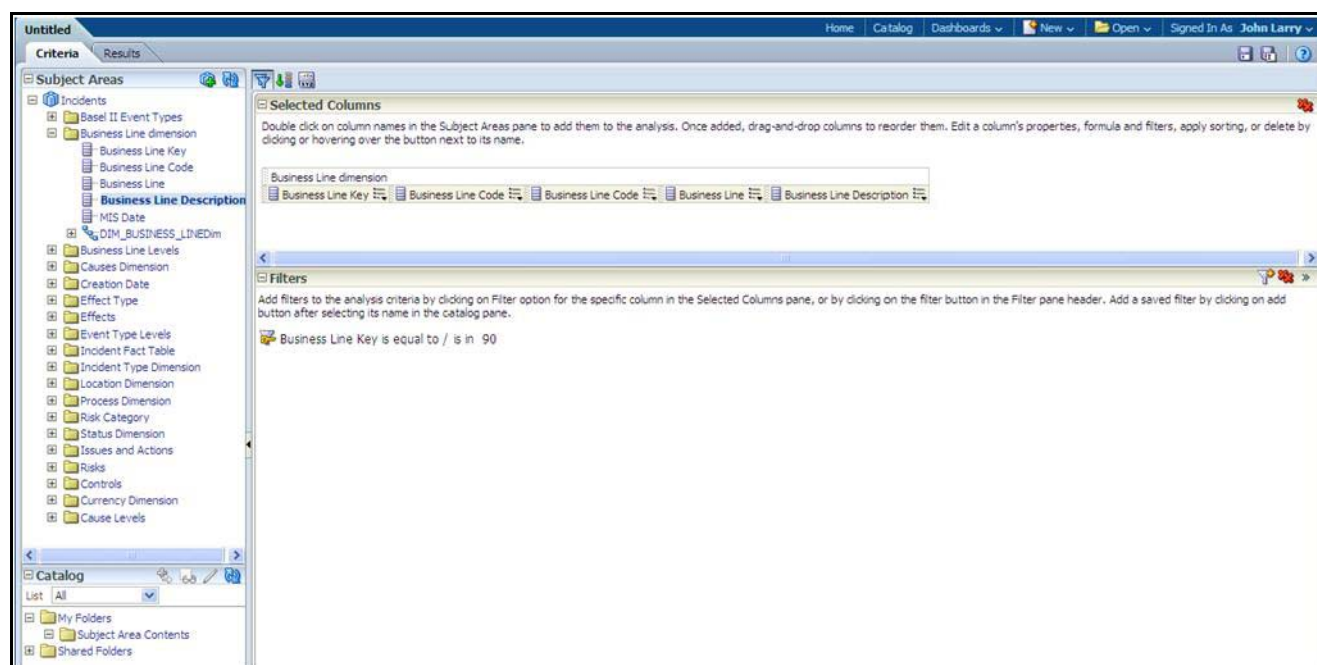
5. You can add filters to the selected analysis criteria by clicking on **Filter** option for the specific column in the Selected Columns pane, or by clicking on the Filter button in the Filter pane header.



6. Enter the required filter criteria in the New Filter window.



7. Click OK.



8. Repeat step # 5 through 7 to add all the relevant filters.

Note: To remove a filter from the filters pane, hover over the added filter and click delete. You can also delete all the filters at once by clicking the *Remove all filters* button on the filter pane header.

9. Once you have added the required filters to all the columns, click **Results** to view the report.
10. You can save the analysis as well as save the custom report by clicking the respective save buttons.

This section describes how to setup and execute a simplified batch for running required OFSORA processes. This section covers the following topic:

Steps for Simplified Batch Execution

To execute a procedure through the Simplified Batch user interface, create a batch through the following steps:

1. In the Financial Service Application menu, select **Administration** and then select **Simplified Batch**.
2. Click **Add** to add a new batch.
3. Enter the Name and Description of the batch that you wish to add.
4. Select the Folder Name and Access Type.
5. Select Batch Execution Type: Parallel or Sequential
 - Parallel Execution signifies the list of tasks to be executed in Parallel
 - Sequential Execution signifies the list of tasks to be executed in sequential order
6. Click **Select Task**.

Select Task Type and Source. (Refer the following mapping for more information.)

S.No	Procedure	Task Type	Folder or Source	Task Selector/Rule Name
1	OFSORA Transformation	Transform Data	N/A	ORA_BI_TRANSFORMATION
2	Time Dimension Population	Transform Data	N/A	Dim_Dates_Population

7. Click Search to view list of Tasks based on the Task type.
8. In Task Selector pane, select Task. Drag and drop into the right pane. (That is, Rule Name which is a seeded Data Transformation procedure installed as part of the OFSORA application installer, if you don't see this procedure in the list, contact Oracle support.
Note: User can deselect the task by drag and drop into the left pane.
9. Click OK.
10. In the Task details pane, select the Task by clicking on the check box and enter the optional parameters. Here the optional parameters would be the same parameter list as mentioned in the respective batch execution processes.
11. Click **Save**.
12. Select the Batch you created in the earlier step by clicking on the check box in the Simplified Batch Summary window.
13. Click **Run** to execute the batch.

This section provides tips for troubleshooting problems encountered in OFSORA and includes the following topic:

Solutions for Troubleshooting the Problems

1. **Problem:** Batch Failed to Execute.

Solution: Before executing a batch check if the following services are running on the application server (For more information on how to check if the services are up and on, and how to start the services if you find them not running, see *Oracle Financial Services Analytical Applications Infrastructure User Guide*).

- Iccserver
- Router
- AM
- Messageserver

2. **Problem:** SCD is not processing a particular Hierarchy.

Solution: A row will have to be inserted to `SETUP_MASTER` table manually using a SQL Tool for the SCD to process that hierarchy. For more information refer section Tables used by the SCD component, page 3-12.

3. **Problem:** During execution of the OFSORA Transformation the program may not complete successfully.

Solution: Check for the existence of the `PROCESS_ID` and `LAST_RUN_AS_OF_DATE` combination in `FSI_PROCESS_RUN_HISTORY` table.

4. **Problem:** Failed to execute ORABI Transformation after the SCD process has run.

Solution: Execute `DIM_RUN` Population, page 3-23 as mentioned in the section prior to OFSORA Transformation.

