# Oracle Financial Services Data Governance for US Regulatory Reporting

User Guide

Release 8.0.3.0.0

Oracle Financial Services Data Governance for US Regulatory Reporting User Guide, Release 8.0.3.0.0

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# ABOUT THE GUIDE

This section provides a brief description of the scope, the audience, the references, the organization of the user guide and conventions incorporated into the user guide. The topics in this section are organized as follows:

- Scope of the guide
- Intended Audience
- Documentation Accessibility
- Access to Oracle Support
- Related Information Sources

# SCOPE OF THE GUIDE

The Oracle Financial Services Data Governance for US Regulatory Reporting User Guide explains the concepts of the Oracle Financial Services Data Governance for US Regulatory Reporting (DGUSRR) and provides step-by-step instructions for navigating through the application.

## INTENDED AUDIENCE

Welcome to release 8.0.3.0.0 of the Oracle Financial Services Data Governance for US Regulatory Reporting User Guide. This manual is intended for the following audience:

- Business Analysts and supervisors in financial institutions

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## RELATED INFORMATION SOURCES

For more information, refer to the following documents in OTN Documentation Library:

- Oracle Financial Services Data Management Installation Manual Release 8.0.3.0.0
- Oracle Financial Services Analytical Applications Reconciliation Framework User Guide, Release 8.0.2
- Oracle Financial Services Data Foundation Installation Guide 8.0.3

- Oracle Financial Services Analytical Applications Infrastructure User Guide, Release 8.0.3 (present in this OTN documentation Library)

# 1 Introduction to Oracle Financial Services Data Governance for US Regulatory Reporting

This chapter provides a brief overview of BCBS 239 Principles and Oracle Financial Services Data Governance for US Regulatory Reporting (DGUSRR).

This chapter includes the following topics:


- Basel Committee on Banking Supervision (BCBS) 239
- Oracle Financial Services Analytical Applications Solution for BCBS 239 Regulations
- Overview of Data Governance for US Regulatory Reporting
- Important Features of Data Governance for US Regulatory Reporting


## 1.1 Overview of Basel Committee on Banking Supervision (BCBS) 239

The Basel Committee on Banking Supervision (BCBS) 239: Principles for Effective Risk Data Aggregation and Risk Reporting are also known as the 14 principles. These principles were developed because, many banks lack "the ability to aggregate risk exposures and identify concentrations quickly and accurately at the bank group level, across business lines, and between legal entities." The BCBS 239 framework is intended to strengthen the risk data aggregation and reporting practices of the banks. BCBS 239 is designed to drive more timely information and better strategic planning and reduce the impact of losses.

## 1.2 Oracle Financial Services Analytical Applications Solution for BCBS 239 Regulations

Oracle Financial Services Analytics Applications (OFSAA) unified platform creates a foundation to address the regulatory requirements and successful BCBS 239 compliance, by providing a common data infrastructure that:

- Builds a single source of truth
- Enables effective data usage
- Supports comprehensive and consolidated reporting

Following table describes the 14 principles of BCBS 239:

| **BCBS 239 Principles Answered by Respective OFSAA Components** | | |
|---|---|---|
| **BCBS 239 Principle** | **Description** | **OFSA Application Catering to the Principle** |
| ***BCBS Principle Category: Overarching Governance and Infrastructure*** | | |
| Principle 1: Governance | Identification, assessment and management of data quality risks to be part of a bank's risk management framework.<br>Risk data aggregation and risk reporting practices must be fully documented and validated, extended to new initiatives, unaffested by the organization structure.<br>Awareness of the limitations of full risk data aggregation. | This principle is addressed by Data Quality Framework and OFS Model Risk Management. |
| Principle 2: Data Architecture and IT Infrastructure | Integrated data taxonomies and architecture across the group.<br>Establish roles and responsibilities to ensure adequate controls. | This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure and OFS Enterprise Modeling Framework. |
| ***BCBS Principle Category: Risk Data Aggregation Capabilities*** | | |
| Principle 3: Accuracy and Integrity | Ensure that risk data aggregation is accurate and reliable with adequate controls, data reconciliation, and single source of data for each risk type.<br>Documentation of risk data aggregation process.<br>Establish escalation channels and action plans. | This principle is addressed by OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, OFS Reconciliation Framework, OFS Data Foundation and OFS Operational Risk. |
| Principle 4: Completeness | Capture all material risk data by relevant dimensions.<br>Any exceptions to completeness should be identified and documented.<br>Consistent risk data aggregation capabilities. | This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, and all OFS Applications. |
| Principle 5: Timeliness | Generate aggregated data as per the desired frequency. | This principle is addressed by OFS Analytical Applications Infrastructure, OFS Applications and Exadata Benchmarks. |

| BCBS 239 Principle | Description | OFSA Application Catering to the Principle |
|---|---|---|
| Principle 6: Adaptability | Flexibility to meet ad-hoc requests especially during stress.<br>Incorporate changes related to internal and external business factors and regulatory framework.<br>Generate sub-sets of data based on specific dimensions. | This principle is addressed by all OFS Applications with OFS Data Foundation, OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework. |
| ***BCBS Principle Category: Risk Reporting Practices*** | | |
| Principle 7: Accuracy | Reports should be reconciled with risk data, validations to be applied to the output and exception reports to be displayed.<br>Establish the reliability of approximations such as output from models, scenarios and stress tests. | This principle is addressed by all the standalone OFS BI analytics applications, and dashboards of all the OFS applications. |
| Principle 8: Comprehensiveness | Cover all material risks including credit, market, operational and liquidity risks, capital adequacy, stress testing.<br>Exposure and position data, concentrations, limits, risk appetite. | This principle is addressed by all the standalone OFS BI analytics application, and dashboards of all the OFS applications. |
| Principle 9: Clarity and Usefulness | Reports should contain risk data, analysis, interpretation and qualitative information.<br>Customized to suit individual requirements. | This principle is addressed by all the standalone OFS BI analytics application, and dashboards of all the OFS applications, and Oracle Business Intelligence Enterprise Edition (OBIEE). |
| Principle 10: Frequency | Produce reports at the desired frequency.<br>Timely availability of reports under stress conditions. | This principle is addressed by all the OFS BI analytics application, OFS applications which compute metrics, and OFS Enterprise Modeling Framework. |
| Principle 11: Distribution | Make reports available to relevant stakeholders in a timely manner while maintaining confidentiality. | This principle is addressed by all the standalone OFS BI analytics application, and dashboards of all the OFS applications, and Oracle Business Intelligence Enterprise Edition (OBIEE). |

| *BCBS Principle Category: Supervisory Review, Tools and Cooperation* | | |
|---|---|---|
| **BCBS 239 Principle** | **Description** | **OFSA Application Catering to the Principle** |
| Principle 12: Review | Supervisors should:<br>• Review banks compliance with principles 1 to 11.<br>• Examine the results of internal and external audits.<br>• Test bank's data aggregation and reporting capabilities under normal and stress conditions. | This principle is addressed by OFS Data Governance for US Regulatory Reporting. |
| Principle 13: Remedial Actions and Supervisory Measures | Use of multiple tools for:<br>• Required remedial action<br>• Increased scrutiny<br>• Independent review<br>• Capital add-ons | This principle is addressed by OFS Data Governance for US Regulatory Reporting. |
| Principle 14: Home/Host cooperation | Supervisors of relevant jurisdictions should cooperate with each other.<br>Information and experience sharing through bilateral or multilateral dialogue. | |

## 1.3 Overview of Data Governance for US Regulatory Reporting

Data Governance for US Regulatory Reporting (DGUSRR) operationalizes the data governance process. The OFSAA DGUSRR enables financial institutions to map multiple data sources to a standard, common business glossary.

Additionally, DGUSRR enables to:

- Identify all critical data elements.
- Track and monitor the data elements from their source to the eventual usage in reporting.
- Manage Regulatory submissions.
- Establish a governance process around the data elements and reporting process to offer greater visibility and increased confidence in the organization for the board of directors and regulators.
- Consolidate and collaborate across the enterprise providing a truly unified enterprise data management process.

The content provided to DGUSRR helps the customer to have access to over 20,000 business terms and definitions that form a part of Metadata Glossary.

## 1.4 Important Features of Data Governance for US Regulatory Reporting

The key features of DGUSRR are listed as follows:

- Provides business glossary for standardization.
- Defines operational and quality controls on ever data element and monitors effectiveness of controls.
- Monitors all key metrics, trends, and variances on data elements.
- Defines, maintains, and tracks regulatory report submissions.
- Completes data quality dashboards.

# 2 Components of Data Governance for US Regulatory Reporting

The components of DGUSRR are listed as follows:

- **Business Glossary**: It maintains the business glossary for standardization along with the Business Terms.
- **Critical Data Elements**: It classifies the Business Terms as critical data elements with approval and review workflows.
- **Controls**: It defines the operational and quality controls on every data element and monitors the effectiveness of the control.
- **Key Indicators**: It monitors all the key metrics, trends of the metrics, variances and so on for the data elements.
- **Issues and Actions**: It defines the issues and remediation action plans to resolve issues.
- **Process Monitoring**: It defines, maintains and tracks the regulatory report submissions which includes all the runs required for the submission.
- **Metadata Report Extract**: It enables you to view the complete lineage and relationship between metadata.

# 3 DGUSRR Application and Common Functionalities

This chapter, details on how to log into the DGUSRR application, and explains the common features that are found across the modules of DGUSRR application. It describes the organization of the user interface and provides step-by-step instructions for navigating through the application.

To avoid repetition, the common functionalities used in different modules of DGUSRR are explained under the Common Functionalities section, taking Glossary as an example.

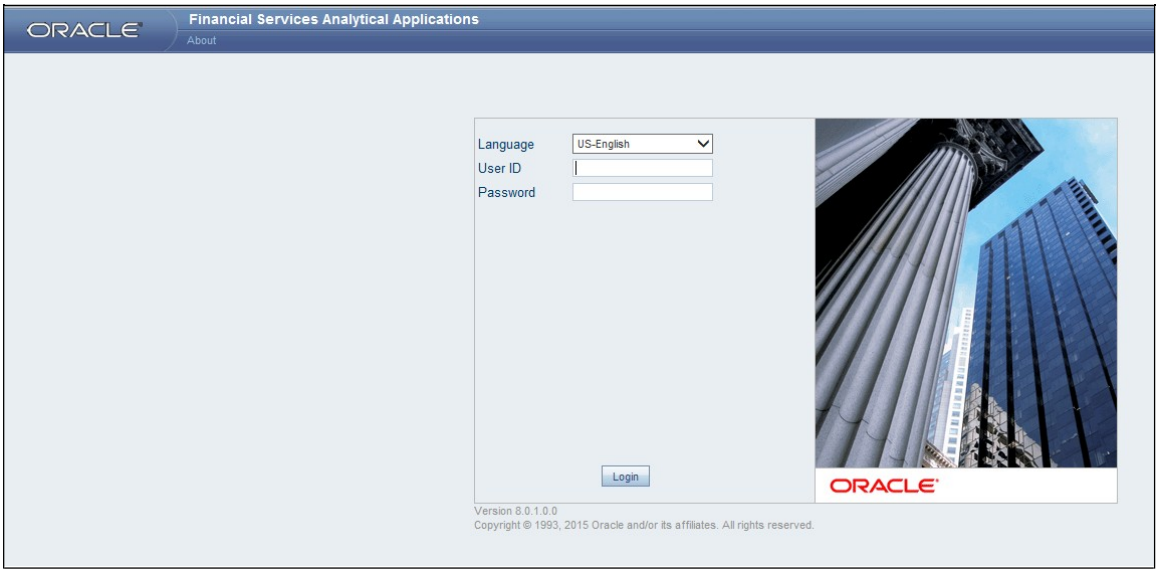
This chapter has the following sections:


- Logging in to OFS DGUSRR Application
- Common Functionalities
- Data Governance for US Regulatory Reporting Common Screen Elements
- Managing Data Governance for US Regulatory Reporting

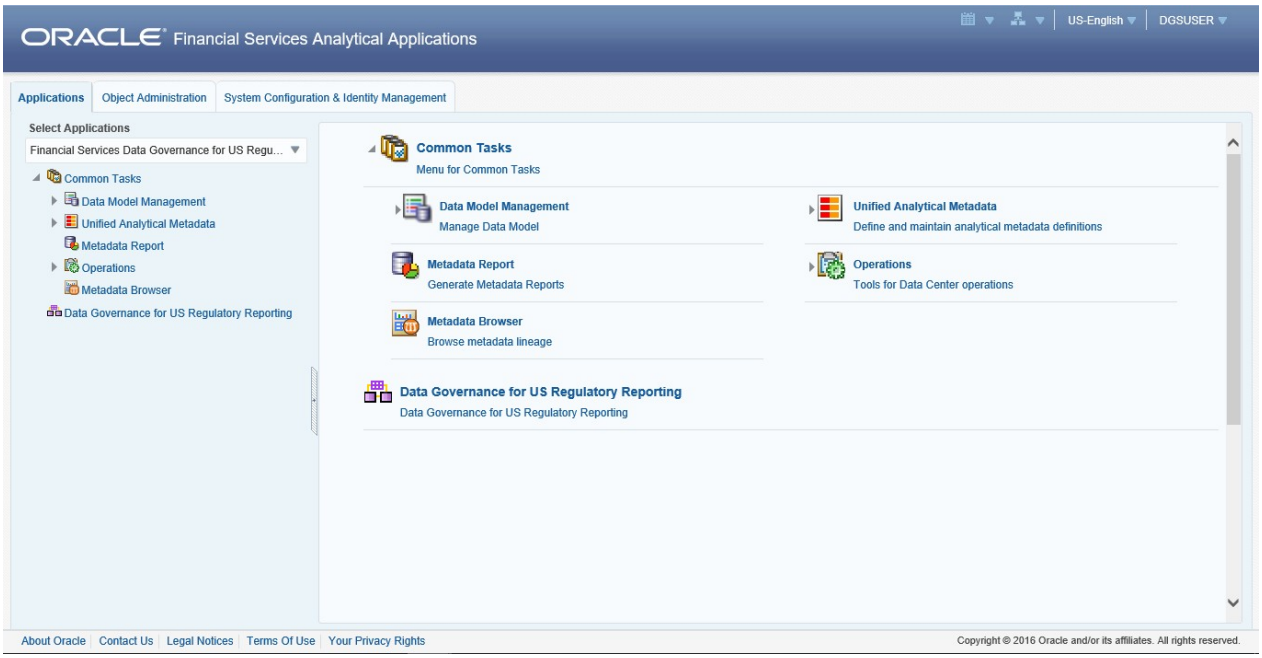

## 3.1 Logging in to the DGUSRR Application

Once the application is installed and configured, you can access DGUSRR through the web browser.

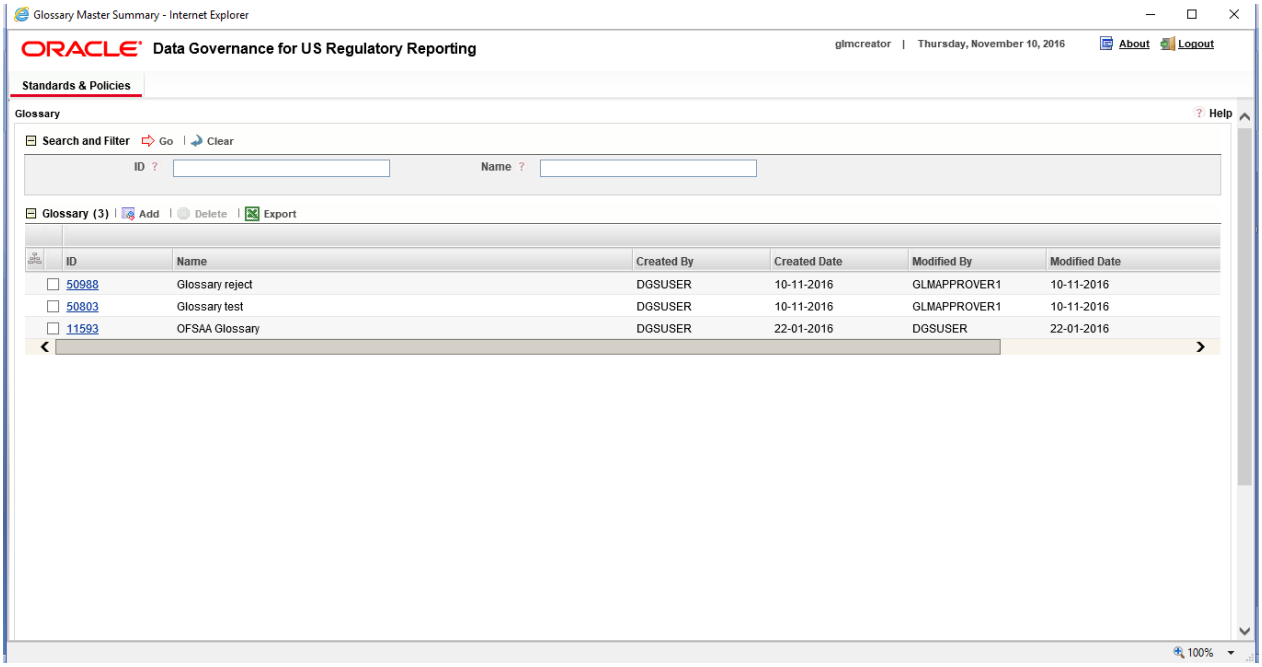
Access the DGUSRR application using the login credentials (User ID and password). The built-in security system ensures that you are permitted to access the window and actions based on the authorization only.




After logging into the application, the following window appears:




Click the **Data Governance for US Regulatory Reporting** option in the Left Hand Side (LHS) of the menu. The **DGUSRR** window appears.




## 3.2 Common Functionalities

It is possible to modify, view, delete, and find dependencies of a Glossary, Control, Key Indicator, Issue, and so on. Following sections explains how this is done, taking the example of a Glossary.

### 3.2.1 Viewing a Glossary

You can view a Glossary at any given point. To view an existing Glossary, perform the following steps:

1. Select the checkbox adjacent to the Glossary name.
2. Click the ID to view the glossary details.

The **Glossary Details** window displays the details of the selected Glossary.

### 3.2.2 Deleting a Glossary

To delete an existing Glossary, perform the following steps:

1. Select the checkbox adjacent to the Glossary name.
2. Click **Delete** button from the tool bar. A confirmation dialogue appears
3. Click **OK**. The Glossary details are deleted.

### 3.2.3 Exporting a Glossary

Refer to section Exporting Records for details.

### 3.2.4 Searching and Filtering

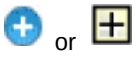
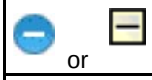
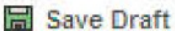
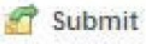
The Search and Filter option in the user interface helps you to find the required information. You can enter the nearest matching keywords to search, and filter the results by entering information on the additional fields. Refer to section Managing Search and List page for details.

## 3.3 Data Governance for US Regulatory Reporting Common Screen Elements

This section describes the common screen elements of DGUSRR.

The following tables lists the various icons and buttons in the DGUSRR user interface:

| Icon/Button | Name | Description |
|---|---|---|
| Help | Help | This Icon displays at the top right corner of a page. Click this button to display information related to the page. |
| Go | Go | This button displays in all Search bars and performs the search function. Click this button to search the selected search criteria. |
| Clear | Clear Search | Click this button to clear the search fields to blank. |
| Wrap | Wrap | When values displayed in the column of a matrix is lengthy, only the first few characters are displayed. Click this button to wrap the text in all columns of a matrix. |
| Unwrap | Unwrap | When values displayed in the columns of a matrix are expanded, click this button to display full details of the text in all columns of a matrix. |

| | | |
|---|---|---|
| | Expand | When values displayed in a particular column or row are lengthy, only the first few characters are displayed followed by the Expand button, indicating that more text is available. Click this button to expand the column or row for the complete text to view. |
| | Collapse | When values displayed in a particular column or row are expanded, click the Collapse button in that column or row to contract the displayed text. |
| | View More | This button displays at the lower left corner of the Details page. Click this button to view additional details of a record such as Documents, Workflow History, and so on. |
| | Hide | Click this button to hide additional details of a record. |
|  | Section Expand | This button is present in some sections of the Details page. Click this button to expand a section and display the fields. |
|  | Section Collapse | Click this button to collapse a section, which is already expanded. All fields in the section are hidden. |
| | Calendar | Click this button to display the calendar. You can select a date from the calendar. |
| | Clear | This button displays on actionable sections of the UI which do not display any pre-populated data. Click this button to clear the data entered. |
|  | Save Draft | Click this button to save a draft version of a record. |
| | Add | Click this button to add a new record. |
| | Delete | Click this button to delete record. |
| | Delink | Click this button to delink records. |
| | Edit | Click this button to edit the details of a record. |
| | Export | Click this button to export a record. |
|  | Submit | Click this button to submit a record. |
| | Cancel | Click this button to cancel an action. |
| | Approve | Click this button to approve a record. |
| | Reject | Click this button to reject a record. |
| | Link | Click this button to link records |

| | | |
|---|---|---|
| Close | Close | Click this button to close a page or window. |
| | Difference | Click this button to view the difference |

## 3.4 Managing OFSDGUSRR

This section describes how to manage the Oracle Financial Services Data Governance for US Regulatory Reporting application. This applies to users across all modules of the application. Some of the functionalities may be specific to the rights owned by a user.

This section discusses the following topics:

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

### 3.4.1 Managing Inbox

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

This section covers following topics:

- Searching Inbox
- Reassigning Tasks

There are four tabs in the Inbox of any user:

**Open Tasks**

This tab displays tasks received by the user which are yet to be completed.

**Completed Tasks**

This tab displays tasks which have been performed or completed by the user.

**Notifications**

This tab displays notifications sent to the user for information.

**Reassigned Tasks**

This tab displays tasks which were not performed by the actual receiver and are reassigned to a different user.

#### 3.4.1.1 Searching Inbox

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

To search the Inbox, perform the following steps:

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

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

| Fields Description | Fields Description |
|---|---|
| Task Name | Enter the name of the task. |
| From | Enter the name of the user from which task was generated |
| Due Date | Select a condition from the drop-down list with the following options:<br><=<br><=><br>>=<br>Select a date from the calendar. |
| Entity Type | Refers to a specific module in Data Governance |

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

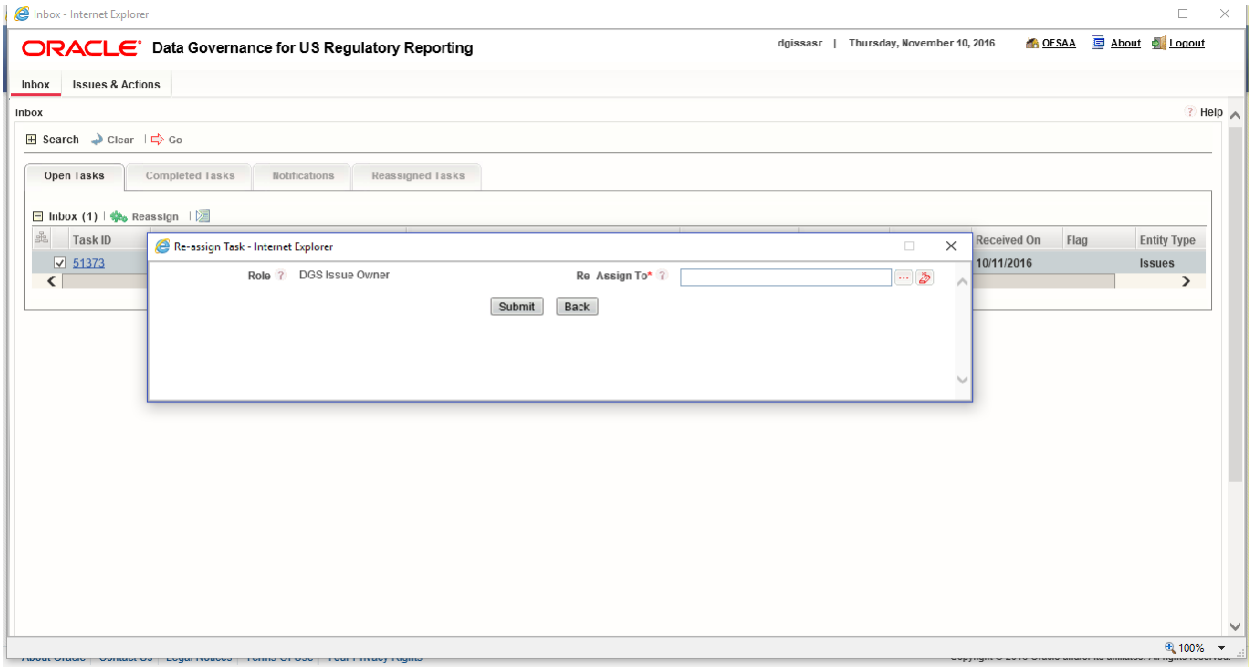
**NOTE:** If no records match the search criteria, the following message is displayed: *No records found for the selected search criteria.*

#### 3.4.1.2 Reassigning Tasks

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

To reassign a task, perform the following steps:

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




4. Click the hierarchy browser icon beside the Re-Assign To box. The hierarchy browser is displayed.
5. Select the appropriate user and click **OK**. The **Re-assign Task** window is displayed.
6. Click **Submit**. The following message is displayed: Update Operation Successful. Click **OK**. The Re-assign Task window is displayed.
7. Click **Back** to return to the Inbox. The task is moved to the Reassigned Tasks section.

## 3.4.2 Managing Search and List Page

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

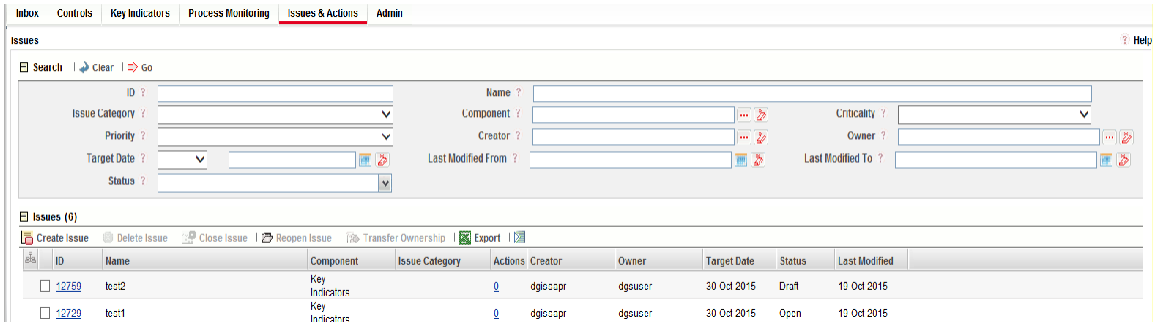
This section includes the following topics:

- Components of Search and List Page
- Managing Pagination
- Exporting Records

### 3.4.2.1 Components of Search and List Page

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

The **Search and List** page contains the following components:

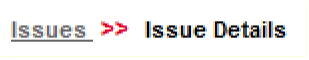



### Masthead

The mast head displays at the top of the page and contains the menus of the application.

### Navigation Path

The **Search and List** page and the **Details** page have navigation path to display the route taken to reach the current page. Click any component of the navigation path to view the respective screen.




### Search Bar

This section allows you to search and view records and their details.

### List Header

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

### Action Buttons

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

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

### Check Boxes

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

### Column Headings

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

To sort the records, perform the following steps:

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

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

The different sorting options are described as follows:

**Sort Ascending**

Upon selecting this option, the records are sorted in ascending order if the data is numeric. In case of a text field, the data is sorted in alphabetical order. If the selected column is a date column, then the data is sorted in chronological order.

**Sort Descending**

Upon selecting this option, the records are sorted in descending order if the data is numeric. In case of a text field, the data is sorted in reverse alphabetical order. If the selected column is a date column, then the data is sorted in reverse chronological order.

**Clear Sort**

Upon selecting this option, the applied sorting is removed and records are displayed in their original order.

**Group by Tree**

Upon selecting this option, the records are listed in a tree structure under various values in the column. You can click **Close** to close the grouping and view the normal List page.

**NOTE:** The Group by Tree option is enabled only for columns which have predefined values from dim tables. They are not enabled for columns for which the data is captured in the front end by the Business User. Also, these options are not available for columns with distinct values like Name, Amount and so on.

**Transpose**

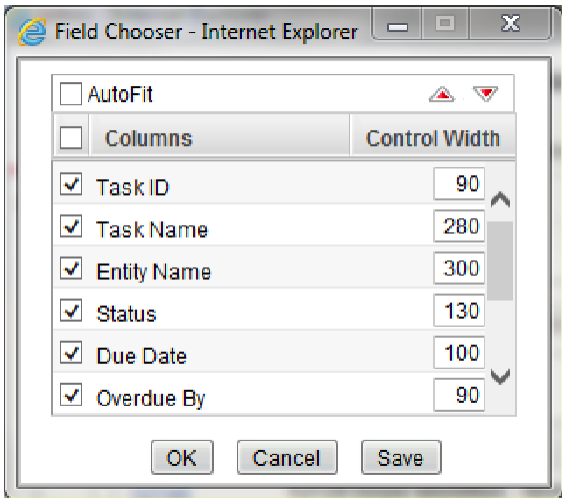
This option allows you to convert columns to rows. Upon clicking this option, the column headings are arranged vertically, the records are displayed horizontally and the record details are displayed vertically corresponding to each column. You can click Close to close the transposed view.

**Field Chooser**

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

To sort by Field Chooser, perform the following steps:

1. Right-click on the column heading. A list of sorting menu displays.
2. Click **Field Chooser**. The Field Chooser window is displayed. The columns displayed are selected by default.




3. Select the fields which you want to display.
4. You can increase or decrease the width of a column by modifying the Control Width value. To change the position of the columns, select a column and click or .
5. Click **OK**. The Field Chooser window closes and the selected columns are displayed.

   Or

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

### 3.4.2.2 Managing Pagination

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

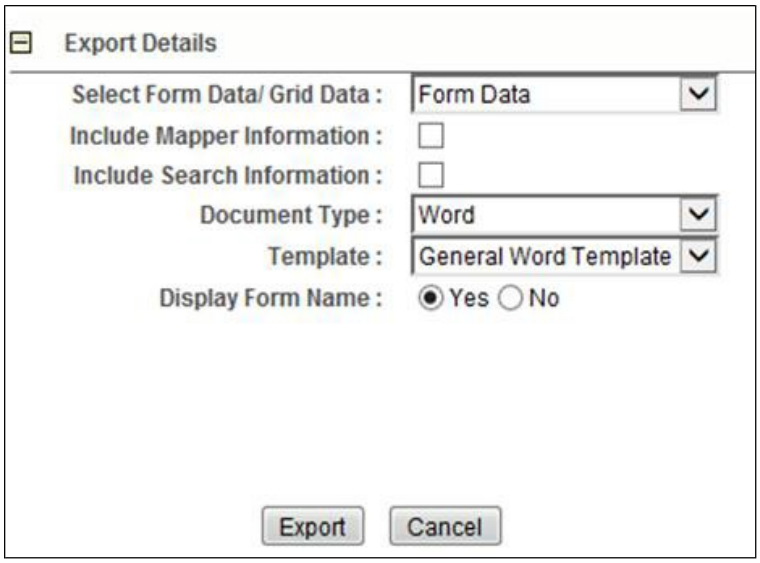
- Click to view the records in the next page.
- Click to view the records in the previous page.
- Click to view the records in the last page.
- Click to return to the first page when you are in any other page.

#### 3.4.2.3 Exporting Records

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

To export the records, perform the following steps:

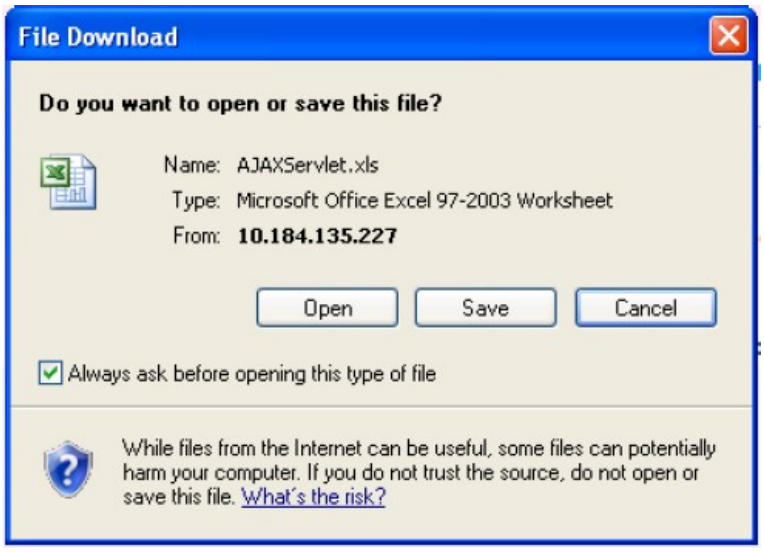
1. Navigate to the **Search and List** page.
2. Click **Export**. The Export Details box is displayed.




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

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

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




5. Click **Open**. A Word file/ Excel spreadsheet is displayed, which consists of a compiled list of all records.

### 3.4.3 Managing Details Page

This section covers the components of the Details page, and describes how to manage them. The details page components may vary from module to module.

This section includes the following topics:

- Components of Details Page
- Managing Linkages
- Managing Documents

#### 3.4.3.1 Components of Details Page

The following sections describe the components found in the Details page:

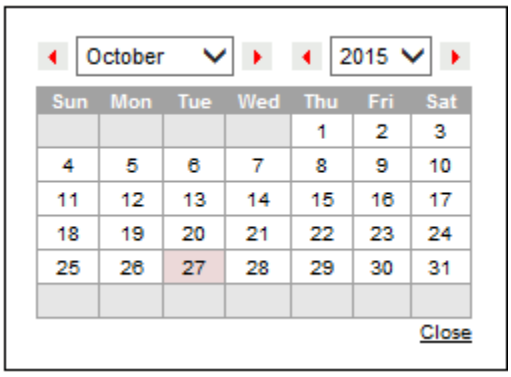
**Field and Data Types**

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

- Text Box: This is an alphanumeric free-text field with a restriction of 300 characters.
- Text Area: This is an alphanumeric free-text field with a restriction of 3000 characters. The number of characters allowed for these fields displays in a box which is non-editable. The count is updated based on the actual number of characters entered in the Text Area.
- Hierarchy Browser: Some fields are provided with a hierarchy browser button, which displays a list of values in hierarchical format. You can select the relevant value from the list.
- Drop-down List: Some fields are provided with a drop-down button, which displays a list of values. You can select the relevant value from the list.

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

- Numeric Fields: These fields allow only numeric data to be entered. The different types of numeric fields include:
  - Number Field - You can enter up to 20 digits.
  - Amount Field - You can enter up to 20 digits and 8 decimals
  - Percentage Field - You can enter up to 3 digits
- Date: These fields are provided with calendar button which allows you to select a date. If you click the Calendar button, a calendar of the current month is displayed with the current date highlighted.

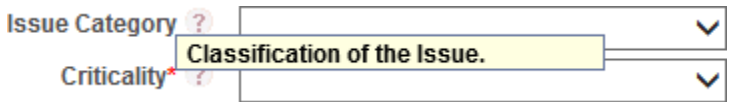



- Mandatory Data Fields: Mandatory fields are fields which capture data that must be entered by the user. All data fields that are marked with a red asterisk (*) are mandatory data fields. Only when all of these fields have been completed, an entity can be submitted by the user for further steps in the workflow. For example, the Owner field is mandatory for submitting a record.

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

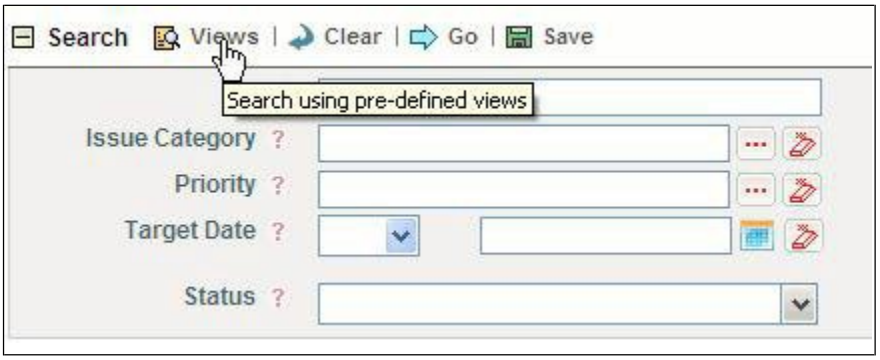
**Contextual Help**

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




**Tool Tip**

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




### 3.4.3.2 Managing Linkages

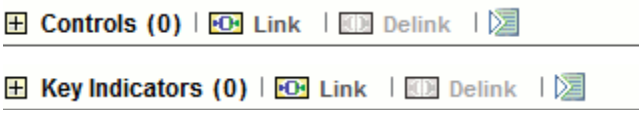
OFSDGUSRR allows you to link and delink records of different modules. Linking and delinking can be performed through the Linkages tab in the Details page. The entities which can be linked vary from module to module.

The process of linking a control to an Issue is explained as follows. The same process can be followed for linking any record to any entities applicable to a particular module of OFSDGUSRR.

**Linking Records**

To link a record to another, perform the following steps:

1. Navigate to the Search and List page of a module.
2. Select a record. The Details page is displayed.
3. Click **Linkages**. The Linkages section is displayed.




4. Click **Link** next to the record you want to link. The Search page displays.
5. Select one or more records from the list. You can also search the records by entering search criteria in the search fields.
6. Click **Link**. The following message is displayed: *Records Linked Successfully*.
7. Click **OK**. The linked record is removed from the list.
8. Click **Back** to return to the Linkages section. The linked record is displayed in the Linkages section.

**Delinking Records**

To delink a record, perform the following steps:

1. Navigate to the Search and List page of a module.
2. Select a record. The Details page is displayed.
3. Click **Linkages**. The Linkages section is displayed.
4. Select the record you want to delink. The Delink button gets enabled.

5. Click **Delink**. The following message is displayed: *Are you sure you want to de-link the records?*
6. Click **OK**. The following message is displayed: *De-link operation successful*. Click OK. The record is removed from the Linkages section.

#### 3.4.3.3 Managing Documents

This section covers following topics:

- Attaching a Document
- Deleting a Document

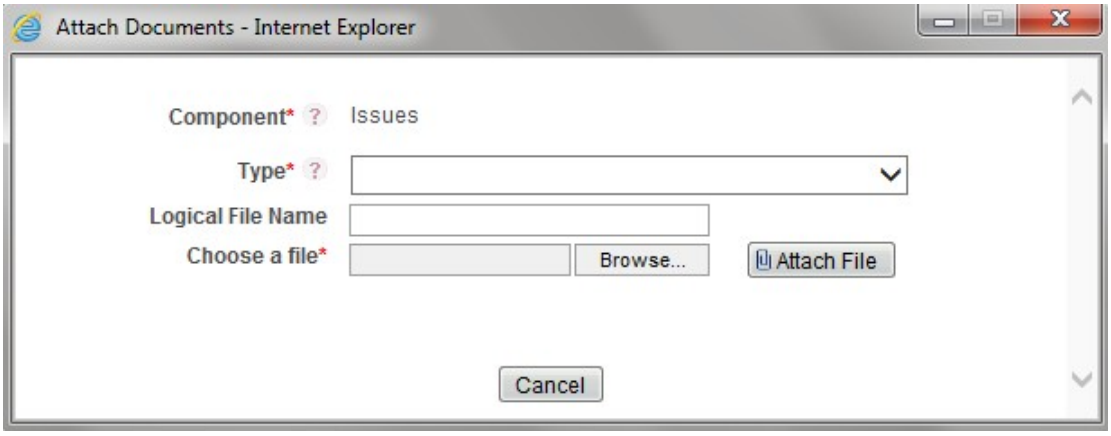
The Details page allows you to attach or delete documents related to the module. You can attach documents in the following formats:

- Microsoft Word
- Microsoft Excel
- PDF
- Text

**Attaching a Document**

To attach a document, perform the following steps:

1. Navigate to the Details page.
2. Click **View More**. The Documents section is displayed.
3. Click **Attach Document(s).** The Attach Documents window is displayed.




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

| Fields | Description |
|---|---|
| Component | Displays the component name for which the document is uploaded. This is a non editable field. |

| | |
|---|---|
| Type | Select the type of file from the following options in the drop-down list:<br>• Regulation<br>• Policy<br>• Documentation<br>• Annexure |
| Logical File Name | Enter the Logical File Name. It is a text field which supports alpha-numeric characters. |

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

   The document is attached and listed in the Documents section.

**Deleting a Document**

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

To delete a document, perform the following steps:

1. Navigate to the Details page.
2. Click **View More**. The Documents section is displayed.
3. Select the document which you want to delete. The Delete Document button enables.
4. Click **Delete Document**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Delete Operation Successful.*
6. Click **OK**. The document is removed from the Documents section.

## 3.5 Admin Module

The Workflow Manager feature allows you to configure the process flow of each module of OFSDGUSRR from a centralized location. You can also configure the Tasks and Notifications sent to each user based on the rules.

This section covers the following topics:

- Accessing the Workflow Manager
- Managing Workflow Details

### 3.5.1 Accessing the Workflow Manager

This section explains how to access the Workflow Manager under the Admin module in OFSDGUSRR application. Users mapped to the role of Admin can access the Workflow Manager section.

To access the Workflow Manager section, perform the following steps:

1. Login to OFSDGUSRR application. The OFSDGUSRR Home page is displayed.

2. Select **Application Preference** from the Admin menu on the Home page and then select **Workflow Manager**. The Workflow Manager page is displayed.
3. Select Application name and the required Workflow Functions Name. The default Master Workflow will be displayed with all other Workflows for the selected Function. Only one Workflow will be active at a time for selected Function.

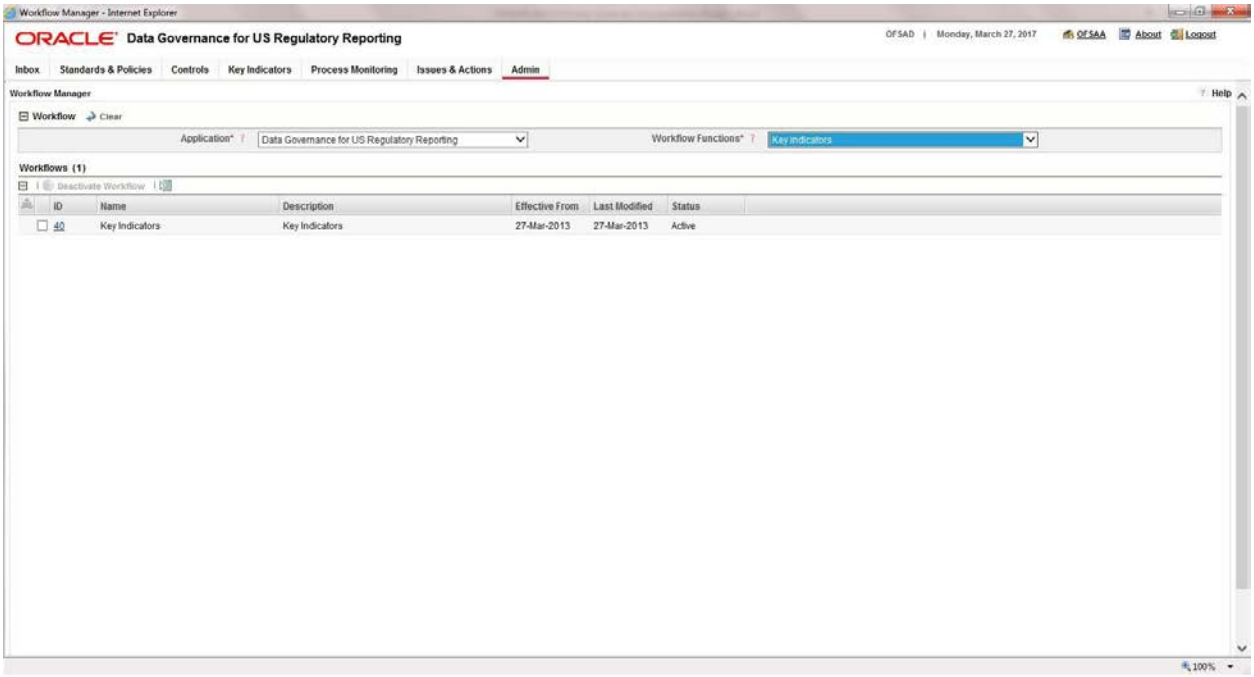
The steps to include a new application and a new workflow function in the Workflow Manager are detailed in Appendix A - Setting up Application and Workflow Function.

### 3.5.2 Searching Workflow

This section explains you how to search and filter the existing Workflow. The Search and List page allows you to filter the Workflow that you want to view and analyze.

To search Workflow, perform the following steps:

1. Navigate to the **Workflow Search and List** page.




2. Enter the following details in the Search fields to filter the Workflow list.

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

| Criteria Description | Criteria Description |
|---|---|
| Application | Select the application for which Workflow Manager is installed. |
| Workflow Functions | Select the function of an application for which Workflows are to be defined. It will be enabled after selecting the Application name in Application field. If you select Application name as Data Governance for US Regulatory Reporting application, then following values are |

| | |
|---|---|
| | applicable for Workflow Function field:<br>• Issues<br>• Actions<br>• Key Indicators<br>• KI Assessments<br>• Control<br>• Planning and Process Monitoring<br>• Glossary<br>• Business Terms |

### 3.5.3 Managing Workflow Details

The Workflow Details page allows you to manage functionalities pertaining to the Workflow.

The section explains the following topics:

- Managing Workflow Stage Details
- Viewing Workflow Process

#### 3.5.3.1 Managing Workflow Stage Details

This section allows you to manage the Workflow Stage details. You can define the followings Stages of Workflow, that is how and when Workflow will move from one stage to another with Notifications and Tasks.

This section allows you to perform following tasks:

- Creating Workflow Stage
- Adding Routing Rules
- Adding Notification
- Adding Tasks
- Mapping of User Roles
- Mapping of Users
- Mapping of User Allocation Rule
- Mapping of Role Allocation Rule
- Mapping of User Decision Rule

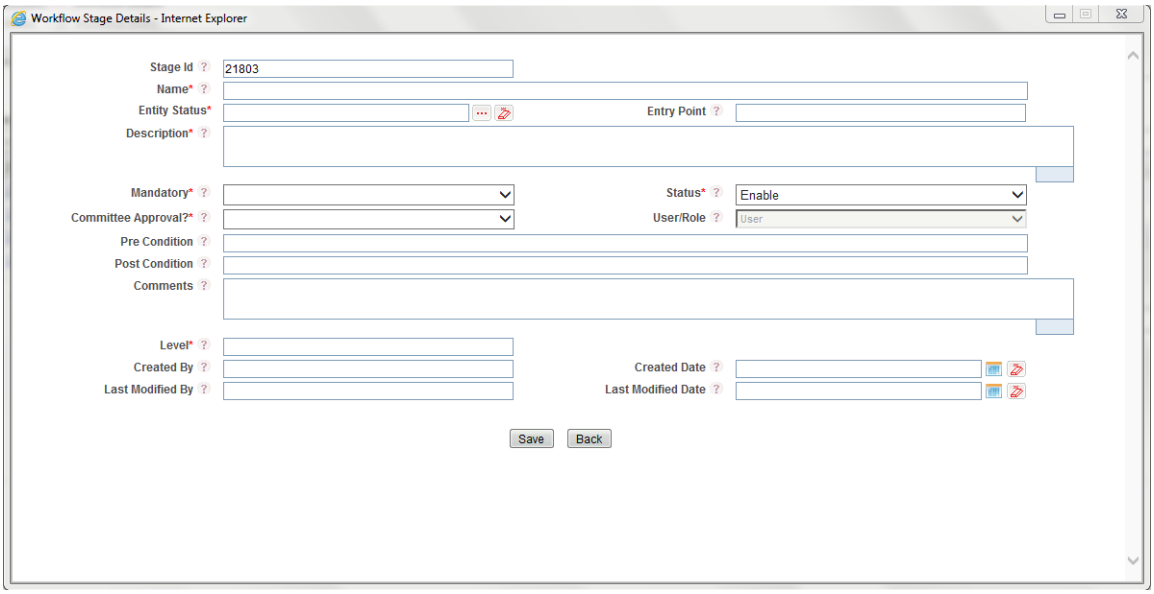
**Creating Workflow Stage**

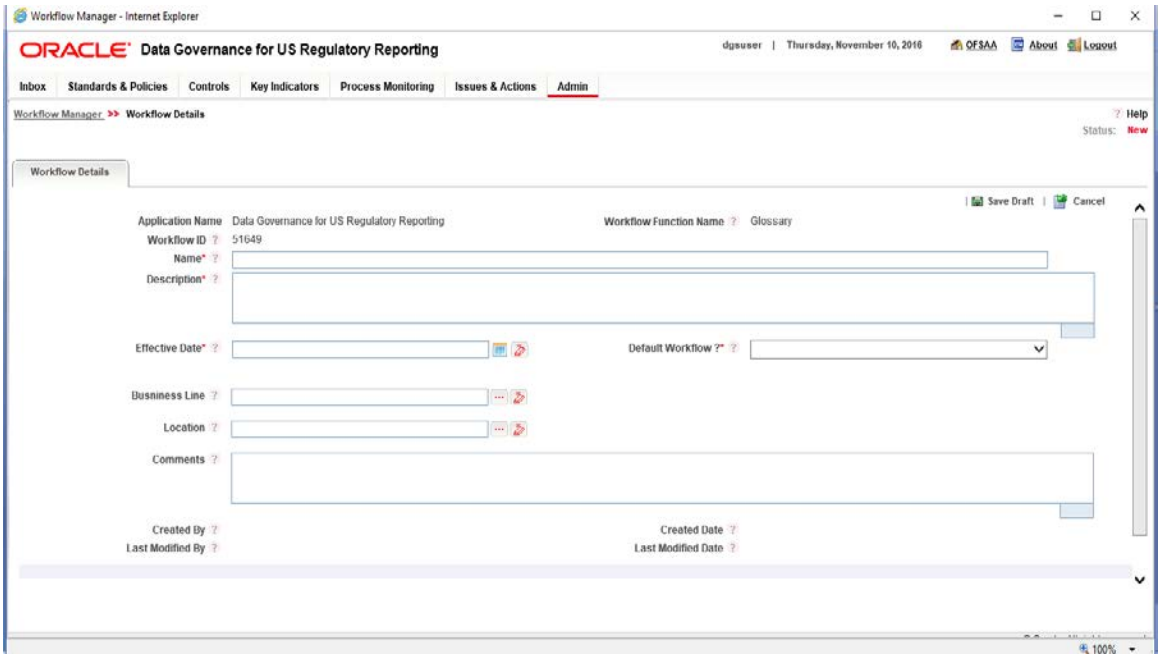
You can create a new Workflow Stage using the Create Workflow Stage option, when a Workflow is in Draft, Active, or Inactive status.

To create a Workflow Stage, perform the following steps:

1. Navigate to the **Workflow Search and List** page.
2. Select the Application Name and Workflow Function Name.

3. Select a Workflow ID from the **Workflow Search and List** page. The **Workflow Details** page is displayed.
4. Select the **Workflow Stage Details** section.
5. Click **Create Workflow Stage**.




6. Enter the information in the **Workflow Stage Details** page.

   The following table describes the fields of this page.

| Field | Description |
|---|---|
| Stage ID | This is an auto populated sequential tracking number assigned to Workflow Stages. This field is not editable. |

| | |
|---|---|
| Name | Enter the name of the Workflow Stage. This field allows you to enter a maximum of 300 characters.<br>**Note**: If you try to save the Workflow Stage details without entering the Workflow Stage name the application displays the following message: Please enter the Workflow Stage name. |
| Entity Status | Enter the Entity Status in which the workflow stage is applicable, from hierarchy browser. For example, in case of Incident module, the Entity Status can be New, Closed, Approved, and so on. |
| Entry Point | Enter the Entry path for the Workflow, that is you can select a path at which Workflow will enter. This field is numeric and the values are set in individual Stages. |
| Description | Enter a brief description of the Workflow.<br>The description field in the Workflow Details page allows you to enter a maximum of 3000 characters.<br>As you begin entering the comments, the word count displayed below the Description text box keeps decreasing. If you try to enter more than 3000 characters in this field, the following error message is displayed: Number of characters exceeded. |
| Mandatory | Select this field as yes if the stage is to be made mandatory. If You have selected this option as Yes, then workflow cannot skip the stage. |
| Status | Enter the Status of the Workflow Stage as Enable or Disable. |
| Committee Approval | Select this option as yes or No. If you select this option as yes then a committee approval is required to move to next stage, that is Workflow will not proceed until all the users of task have worked on it. |
| User/Role | If this is selected as user, then all the tasks for which the user is the assigned user will be completed on completion of any one related task in stage. If this is selected as Role, then all the tasks with roles similar to the logged in user will get completed on completion of any one related task in stage. |
| Pre Condition | Enter the name of procedural condition which should be satisfied, before reaching this stage. |
| Post Condition | Enter the name of procedural condition which is to be checked, to reach the next stage. |
| Level | Enter the Level to which the Workflow Stage belongs. This field accepts only numeric values. |
| Comments | Enter remarks if applicable. |

| | |
|---|---|
| | **Note**: If you try to enter more than 3000 characters in the Comment field, the application displays the following message: Number of characters exceeded. |
| Created By | Shows the user's name who created the Workflow Stage. This field is auto populated after saving the Workflow. |
| Created Date | Show the date on which the Workflow Stage was created. This field is auto populated after saving the Workflow. |
| Last Modified By | Shows the user's name who last modified the Workflow Stage.This field is auto populated. |
| Last Modified Date | Shows the date on which the Workflow Stage was last modified. This field is auto populated. |

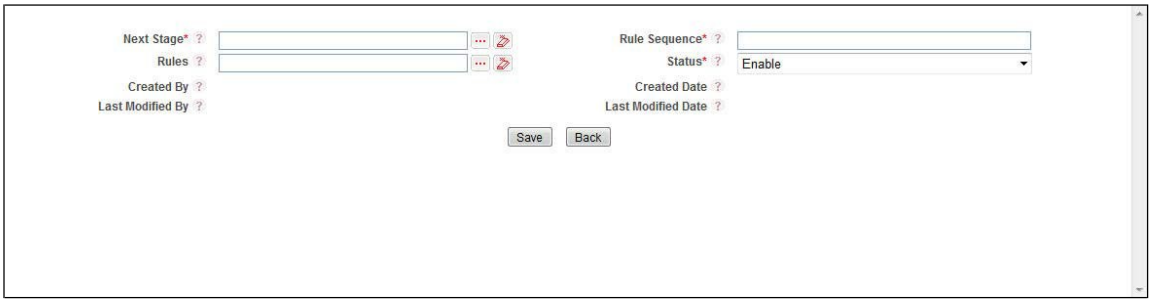
7. Click **Save** button. The **Workflow Stage** is saved and is displayed under **Workflow Stages** grid.

**Adding Routing Rules**

Routing rules are the criteria to determine how a workflow moves between stages. This is performed with the help of adding routing rules which have the logic defined for moving the next stage.

To map a routing rule to a Workflow Stage from the Workflow Details window, perform the following steps:

1. Navigate to the **Workflow Search and List** page.
2. Select the Application Name and Workflow Function Name.
3. Click a Workflow ID from the **Workflow Search and List** page. The **Workflow Details** page is displayed.
4. Select the **Workflow Stage Details** tab.
5. Select the Workflow Stage ID, to which you want to map a routing rule.
6. Click **Map Rules** button in the **Routing Rules** grid.
7. The **Workflow Rule Details** window is displayed.




The following table describes the fields of the Routing Rules page:

| Field | Description |
|---|---|
| Next Stage | Select the Next Stage to where Workflow should move from the current selected stage, from Hierarchy Browser. |
| Rule Sequence | Enter the rule execution sequence number.<br>This is the order/sequence in which the Rule has to be executed in comparison with the other rules available. |
| Rules | Select the Routing Rule from Hierarchy Browser. For example, for Incident Module, Approval is a Rule. |
| Status | Select Enable if the rule is to be enabled on the Workflow Stage and Disable otherwise. By default, it is set to Enable. |
| Created By | This field is auto populated with the name of the user, who created this rule. |
| Created Date | This field is auto populated with the date on which the rule is created. |
| Last Modified By | This field is auto populated with the name of the user, who modified the rule. |
| Last Modified Date | This field is auto populated with the date on which the rule is last modified. |

8. Click **Save**.

   The rule is mapped to the Stage and is displayed under **Routing Rules** grid.

   You can click the Rule ID to view and edit the rule definition details.

   You can also select the check box adjacent to a Rule ID and perform the following:

   - Click **Enable Rule** from the **Routing Rules** grid to enable the selected rule.
     This button is enabled only if you have selected a disabled rule.
   - Click **Disable Rule** from the **Routing Rules** grid to disable the selected rule.
     This button is enabled only if you have selected an enabled rule.

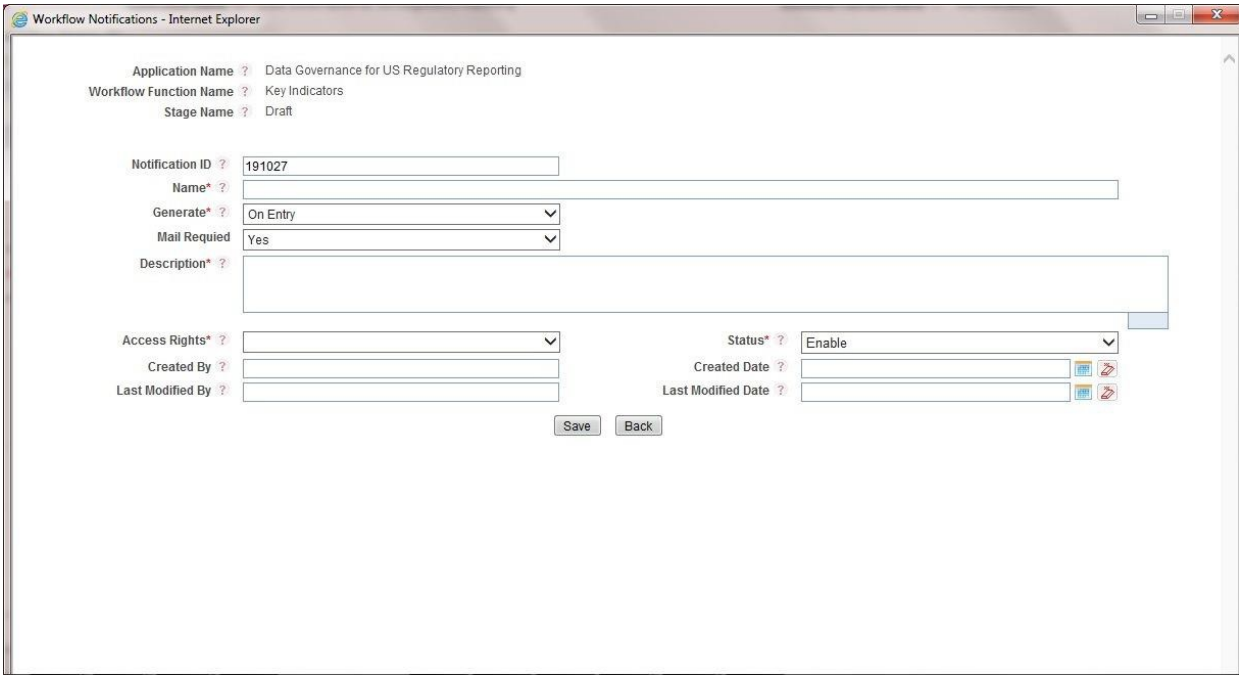
**Adding Notification**

You can create notifications to be generated, during the entry to a Stage, in the Stage, or during exit from a Stage.

To add a notifications from the **Workflow Details** window, perform the following steps:

1. Navigate to the **Workflow Search and List** page.
2. Select the Application Name and Workflow Function Name.
3. Select a Workflow ID from the **Workflow Search and List** page. The **Workflow Details** page is displayed.
4. Click **Workflow Stage Details** tab

5. Select the Workflow Stage.
6. Click **Notifications**.The **Notifications** grid is displayed.
7. Click **Create Notification** button. The **Workflow Notifications Details** page is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.




The following table describes the fields of the Notification page.

| Field | Description |
|---|---|
| Notification ID | This is an auto populated sequential tracking number assigned to the Notifications. This field is not editable. |
| Name | Enter the name of the notification.<br>This field is alphanumeric and the maximum allowed characters are 300. |
| Generate | Select from the drop down list, when to display the notification.<br>The available values are:<br>• **On Entry:** If this option is selected, then notification will be generated on the entry of Stage of Workflow. For example, in case of Incident module, the Incident Owner receives a notification about the Pending Owner status.<br>• **On Exit:** If this option is selected, then notification will be generated on the exit of Stage of Workflow. For example, in case of Incident module, the Incident Owner receives a notification about the Approved status.<br>• **On Stage:** If this option is selected, then notification will be generated |

| | |
|---|---|
| | during the Stage of Workflow. For example, in case of Incident module, the Incident |
| Description | Enter the description for the notification.<br>This field is alphanumeric and the maximum allowed characters are 3000. |
| Access Rights | Select the access rights from the drop down list.<br>The available values are:<br>• **Single:** In Single, you can add only one role. Users of a specific can be selected and rules can be mapped for those users.<br>• **Multi:** In Multi, multiple roles can be added and branching of users can be done. Rules can be added from the repository to choose which role should be given for notification access based on defined conditions.<br>• **User Defined:** In User Defined, the behavior is as defined from the front-end.<br>• **Default Access:** Default Access overrides all conditions of that Workflow and provides Stage access to the selected role and users. |
| Status | Select the status of the notification as Enable or Disable. If the status of Notification is set as Enable, then only the Notification will be generated. |
| Created By | This field is auto populated with the name of the user, who created this notification. |
| Created Date | This field is auto populated with the date on which the notification is created. |
| Last Modified By | This field is auto populated with the name of the user, who last modified the notification. |
| Last Modified Date | This field is auto populated with the date on which the notification is last modified. |

8. Click **Save**. The notification is saved. After saving a Notification, you can perform the following functions based on the access right selected:
   - **Mapping of User Role:** This option allows you to map a notification with a User Role. For more information on Mapping of User Role, refer to Mapping of User Roles section.
   - **Mapping of Users:** This option allows you to map a user to the notification. For more information on Mapping of Users, refer to Mapping of Users section.
   - **Mapping of Role Allocation Rule:** This option allows you to map a Rule to a Role. For more information on Mapping of Role User Allocation Rule, refer to Mapping of Role Allocation Rule section.
   - **Mapping of User Allocation Rule:** This option allows you to map a Rule to a User. For more information on User Allocation Rule, refer to Mapping of User Allocation Rule section.

- **Mapping of User Decision Rule:** This options allows you to map a decision Rule to a Role. For more information on Mapping of User Decision Rule, refer to Mapping of User Decision Rule section.

9. Click **Back** to navigate the **Workflow Stage Details** page. Here, you can perform following functions in the Notification grid:
    - **Enable Notification:** If the Notification is set to enable, then only the Notification will be generated. Click **Enable Notification** button from the **Notifications** grid to enable the selected notification. Only Disabled Notification can be enabled. After clicking on **Enable Notification**, a message is displayed: **Update Operation Successful**. Click **Ok**.
    - **Disable Notification:** Click **Disable Notification** button from the **Notifications** grid to disable the selected notification. Only Enabled Notification can be disabled. After clicking on **Disable Notification**, a message is displayed: **Update Operation Successful**. Click **Ok**.
    - **Mapping of Rule to Notification:** Click **Map Rule** button from the **Notification Rules** grid to map and link a Notification to a rule. For more information, refer to Mapping of Notification to Rule section.
    - **Enable Rule:** Click **Enable Rule** button from the **Notification Rules** grid to enable the selected rule. Only Disabled Rule can be enabled. After clicking **Enable Rule**, a message is displayed: **Update Operation Successful**. Click **Ok**. You can enable only one Active Rule at a time.
    - **Disable Rule:** Click **Disable Rule** button from the **Notification Rules** grid to enable the selected rule. Only Enabled Rule can be disabled. After clicking **Disable Rule**, a message is displayed: **Update Operation Successful**. Click **Ok**.
    - **View Language:** This option allows you to change the langauge of the Notification as per locale. Select a language under the **Language Manager** grid to select and save a language in which the notification has to be displayed. You can modify the Notification name if required as per locale. This grid will be active only after selecting a Notification ID from **Notification grid**. By default, the language is set to english. You can edit the same to other languages if the langauge pack is available.

**Mapping of Rule to Notification**

After adding a Notification, you can map an existing workflow rule to notification. You can map a Rule to

Notification when the Workflow is in Draft, Active, or Inactive status.

To map a notification to a rule, perform the following steps:

1. Navigate to the **Workflow Search and List** page.
2. Select the Application Name and Workflow Function Name.
3. Select a Workflow ID from the **Workflow Search and List** page. The Workflow Details page is displayed.
4. Click the **Workflow Stage Details** tab.

5. Select the defined Workflow Stage ID.
6. Select the Notification to which you want to map the rule. For more information on adding a Notification, refer to Adding Notification section.

**NOTE:** You should select a Notification from Notification grid before mapping a rule, else following message is displayed: Please select a Notification rules. At least one rule should be mapped to the notification with enable status. If you want to map any another rule to that notification, then first you will have to disable the existing rule.

7. Click **Map Rule** button from the **Notification Rules** grid. The **Map Rule** window is displayed.
8. In **Map Rule** window, select the **Rule** and click **Link**. You can map only one active rule to a notification.

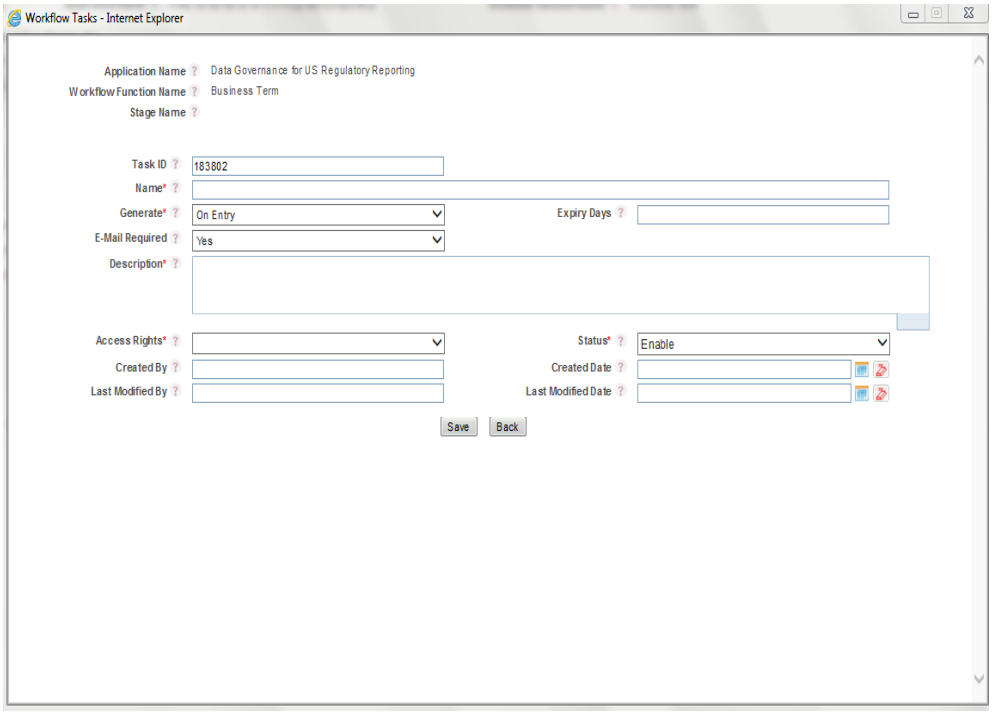
For more information on Workflow Rule, refer to Managing Workflow Rules section.

**Adding Tasks**

You can pre-define tasks to be executed during the entry to a Stage, in the Stage, or during exit from a Stage.

To create a task from the Workflow Details window, perform the following steps:

1. Navigate to the **Workflow Search and List** page.
2. Select the Application Name and Workflow Function Name.
3. Click a Workflow ID from the **Workflow Search and List** page. The **Workflow Details** page is displayed.
4. Click the **Workflow Stage Details** tab.
5. Select the Workflow Stage ID.
6. Click **Tasks**. The Tasks grid is displayed.
7. Click **Create Task**. The **Workflow Tasks Details** page is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.

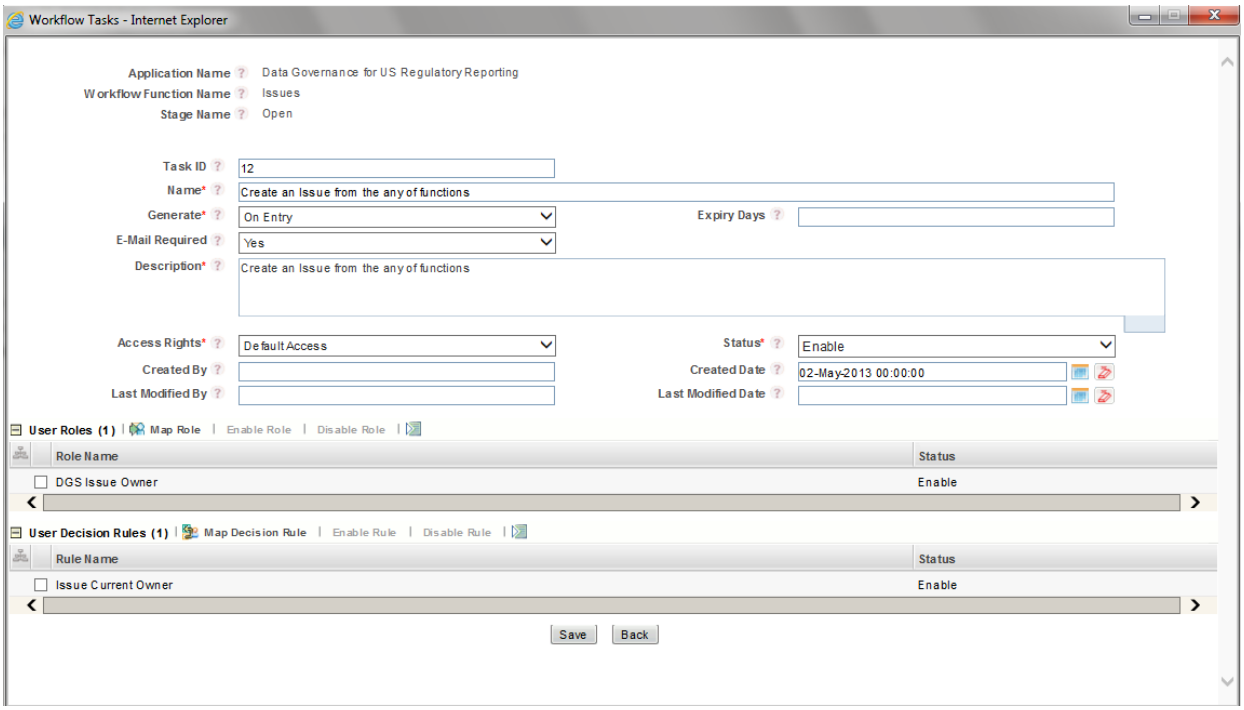



The following table describes the fields of the Task page.

| Field | Description |
|---|---|
| Task ID | This is an auto populated sequential tracking number assigned to tasks. This field is not editable. |
| Name | Enter the name of the task.<br>This field is alphanumeric and the maximum allowed characters are 300. |
| Generate | • On Entry: If this option is selected, then notification will be generated on the entry of Stage of Workflow.<br>• On Exit: If this option is selected, then notification will be generated on the exit of Stage of Workflow.<br>• On Stage: If this option is selected, then notification will be generated during the Stage of Workflow. |
| Expiry Days | Enter the number of days after which task needs activity to be performed on it. |
| E-mail Required | Enter whether Yes or No. |
| Description | Enter the description for the task.<br>This field is alphanumeric and the maximum allowed characters are 3000. |
| Access Rights | Select the access rights from the drop down list.<br>The available values are: |

| | |
|---|---|
| | • Single: In Single, you can add only one role. Users of a specific role can be selected and rules can be mapped for those users.<br>• Multi: In Multi, multiple roles can be added and branching of users can be done. Rules can be added from the repository to choose which role should be given for notification access based on defined conditions.<br>• User Defined: In User Defined, the behavior is as defined from the front-end.<br>• Default Access: Default Access overrides all conditions of that Workflow and provides Stage access to the selected role and users. |
| Status | Select the status of the task from the drop down list as Enable or Disable. If the status of Task is set as Enable, then only the Task will be generated. |
| Created By | This field is auto populated with the name of the user, who created this task. |
| Created Date | This field is auto populated with the date on which the task is created. |
| Last Modified By | This field is auto populated with the name of the user, who modified the task. |
| Last Modified Date | This field is auto populated with the date on which the task is last modified. |

8. Click **Save** button. The task is saved. After saving a Notification, you can perform the following functions:
   - Mapping of User Role: This option allows you to map a notification with a Role. For more information on Mapping of User Role, refer to Mapping of User Roles section.
   - Mapping of Users: This option allows you to map a user to the Task. For more information on Mapping of Users, refer to Mapping of Users section.
   - Mapping of Role Allocation Rule: This option allows you to map a Rule to a Role. For more information on Mapping of Role User Allocation Rule, refer to Mapping of Role Allocation Rule section.
   - Mapping of User Allocation Rule: This option allows you to map a Rule to a User. For more information on User Allocation Rule, refer to Mapping of User Allocation Rule section.
   - Mapping of User Decision Rule: This options allows you to map a decision Rule to a Role. For more information on Mapping of User Decision Rule, refer to Mapping of User Decision Rule section.




9. Click **Back** to navigate the **Workflow Stage Details** page. Here, you can perform following functions from Task grid:

   - **Enable Task:** Click Enable Task button from the Tasks grid to enable the selected notification. Only Disabled Task can be Enabled. After clicking on Enable Task, a message is displayed: Update Operation Successful. Click **OK**.
   - **Disable Task:** Click Disable Task button from the Tasks grid to disable the selected notification. Only. Enabled Task can be Disabled. After clicking on Disable Task, a message is displayed: Update Operation Successful. Click **OK**.
   - **Mapping of Rule to Task:** Click **Map Rule** button from the Task Rules grid to map and link a Task to a rule.
   - **Enable Rule:** Click **Enable Rule** button from the Task Rules grid to enable the selected rule. Only Disabled Rule can be Enabled. After clicking on Enable Rule, a message is displayed: Update Operation Successful. Click **OK**. You can enable only one Active Rule at a time.
   - **Disable Rule:** Click **Disable Rule** button from the Task Rules grid to enable the selected rule. Only Enabled Rule can be Disabled. After clicking on Disable Rule, a message is displayed: Update Operation Successful. Click Ok.
   - **View Language:** This option allows you to change the langauge of the Task as per locale. Select a language under the Task Manager grid to select and save a language in which the notification has to be displayed. You can modify the Notification name if required as per locale. This grid will be active only after selecting a Task ID from Task grid.

### Mapping of Rule to Task

After adding a Task, you can map an existing workflow rule to the Task. You can map a Rule to the Task, when the status of Workflow is Draft, Active, or Inactive.

To map a Rule to a Task, perform the following steps:

1. Navigate to the **Workflow Search and List** page.
2. Select the Application Name and Workflow Function Name.
3. Select a Workflow ID from the **Workflow Search and List** page. The **Workflow Details** page is displayed.
4. Select the **Workflow Stage Details** tab.
5. Select the defined Workflow Stage ID.
6. Select the Task to which you want to map the rule. For more information on adding a Task, refer to Adding Task section.

   **NOTE:** You should select a Task from Task grid before mapping a rule, else following message is displayed: Please select a Task rules. You should map at least one rule Task with enable status. If you want to map another rule to the Task, then you will have to disable the existing rule.

7. Click **Map Rule** from the Task Rules grid. The Map Rule window is displayed.
8. In **Map Rule** window, select the Rule and click **Link**. You can map only one active rule to a Task.

For more information on Workflow Rule, refer to Managing Workflow Rules section.

### Mapping of User Roles

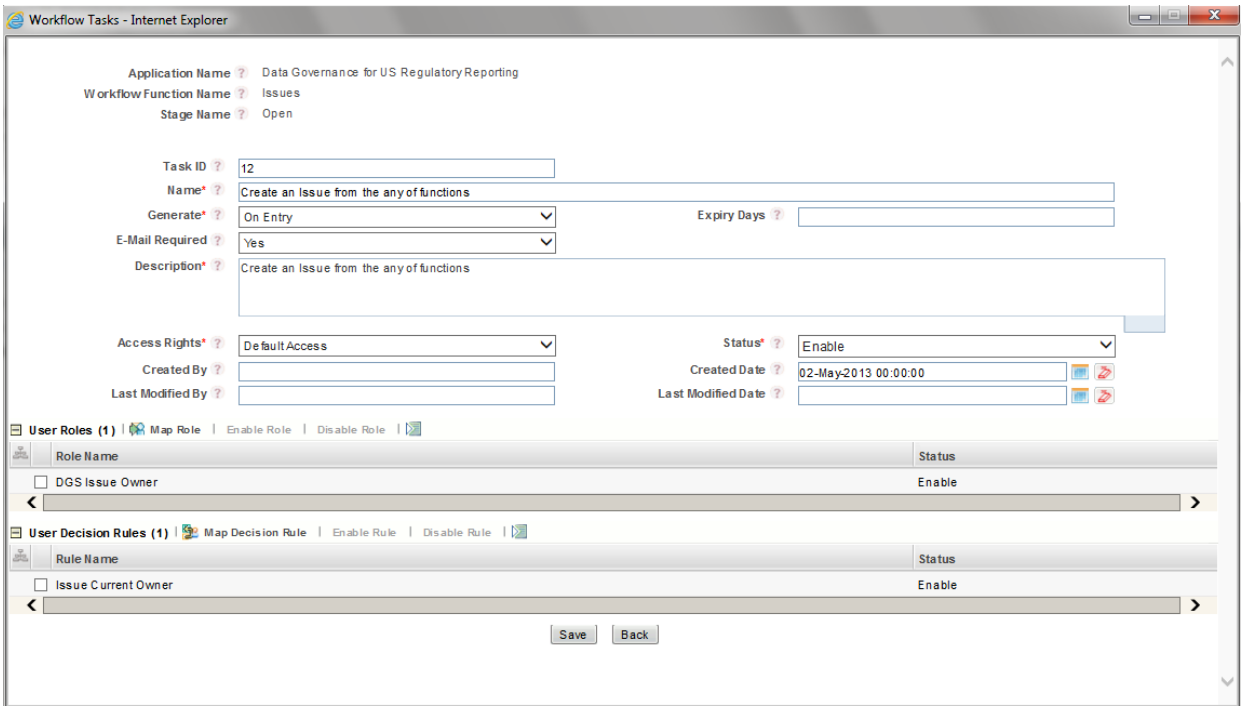
You can map a Role to a Notification or a Task. This option will be available when you select the Access Right as Single, Multi, or Default Access on Create Notification or Create Task page.

To map a Role to Notification or a Task, perform the following steps:

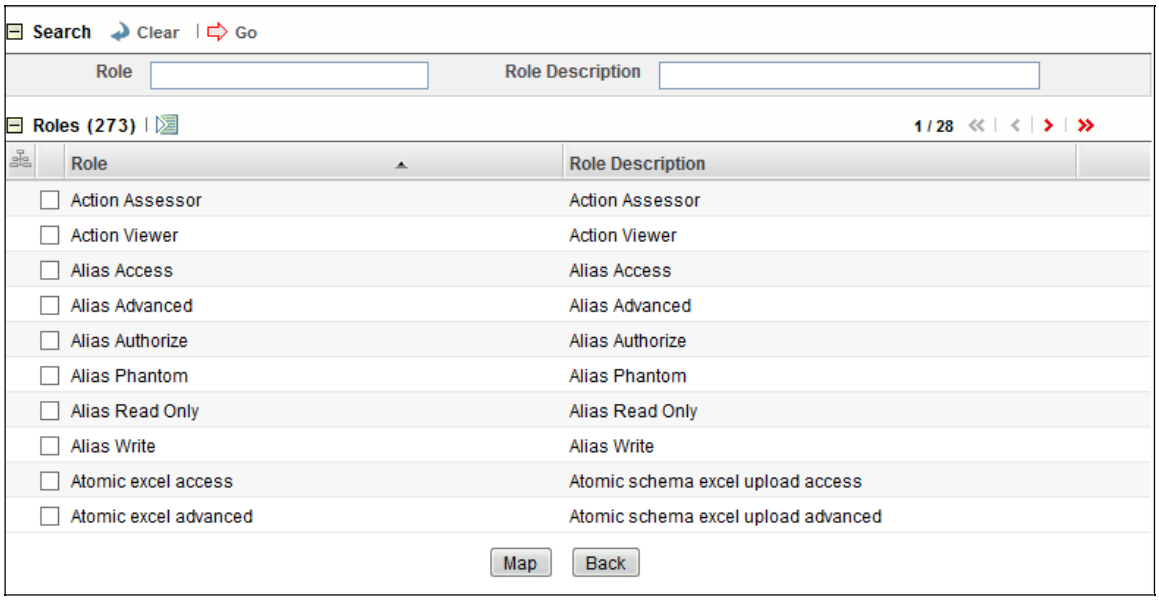
1. Navigate to the **Notification Details** page or **Task Details** page, to which you want to map the Role.

   For more information on Adding Notification, refer to Adding Notification section. For more information on

   Adding a task refer to the Adding Tasks section.




2. Click **Map Role** in **User Roles** grid. The list of User Roles will display. This list shows only those roles, which are mapped to the Business Line and Location selected for a workflow. If the Workflow is set to default, then all roles will be displayed in this list.




3. Select a Role and click **Map**. A confirmation message will display.

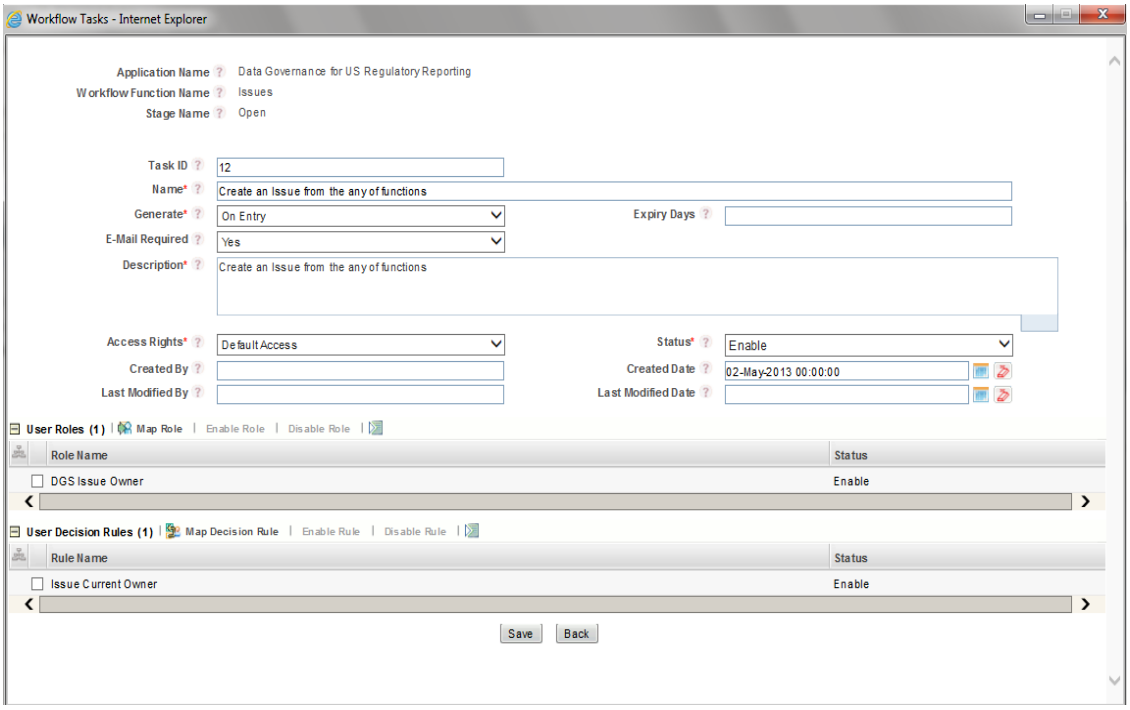
### Mapping of Users

This option allows you to map a new user for a Role in a Notification or a Task. This option will be available when you select the Access Right as Single, or Multi on Create Notification or Create Task page.

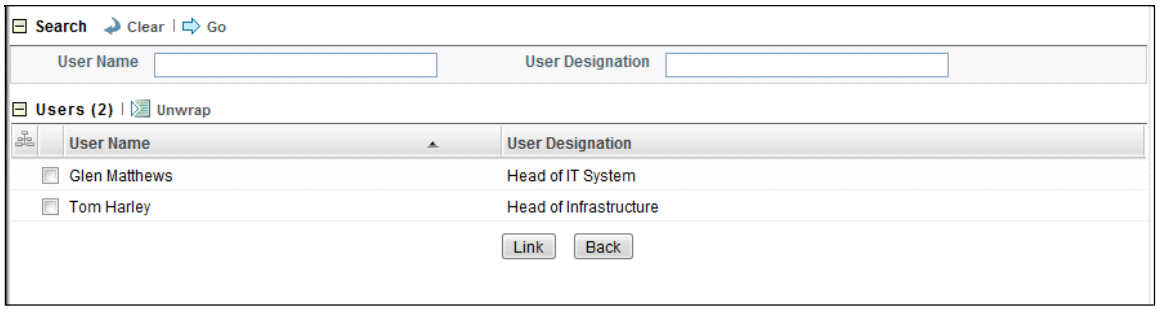
To add a user in Notification or a Task, perform the following steps:

1. Navigate to the **Notification Details** page or **Task Details** page, to which you want to map the Role.

   For more information on Adding Notification, refer to Adding Notification section. For more information on Adding a task refer to the Adding Tasks section.




2. Select a User Role in User Roles grid. If a User Role is not selected, then following message is displayed: *Please select a Role to Map Rule.*
3. Click **Map User** in Users grid. The list of users will display. This list shows all the users, which are mapped to the selected Role.




4. Select a User and click **Link**. A Confirmation message will display and you will be directed back to previous window. After selecting a Role, the corresponding linked User name will be displayed in Users grid.

### Mapping of User Allocation Rule

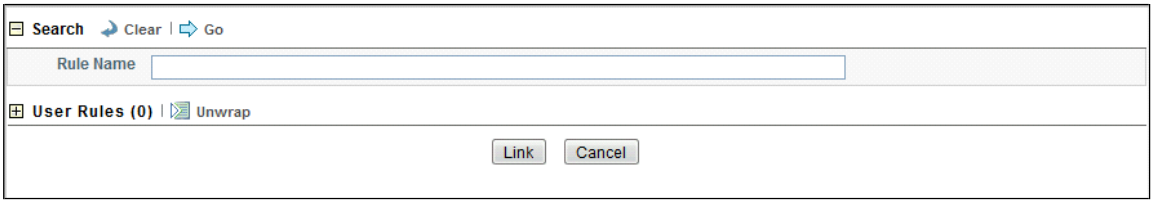
This option allows you to add a new rule to the user. That is, the user receive the Notification or Task only when the condition defined in the Rule will satisfy. This option will be available when you select the Access Right as Single, or Multi on Create Notification or Create Task page.

**NOTE:** Only one active user allocation rule can be mapped to a user.

To add a User Allocation Rule, perform the following steps:

1. Navigate to the **Notification Details** page or **Task Details** page, to which you want to map the Role.

   For more information on Adding Notification, refer to Adding Notification section. For more information on Adding a task refer to the Adding Tasks section.
2. Select a User Role. If a User Role is not selected, then following message is displayed: *Please select a Role to Map Rule.*
3. Select the corresponding User. If a User is not selected, then following message is displayed: *Please select a User.*
4. Click **Map User Rule**.




5. Select the User Rule and click **Link**. A Confirmation message will display and you will be directed back to previous window. After selecting a User Role and User, the corresponding linked User Rule will be displayed in User Allocation Rule grid.

### Mapping of User Decision Rule

This option allows you to add a new User Decision Rule. You can map a User with a decision Rule. This option will be available only if you have selected Default User option from Access Rights drop-down list in **Create Notification** or **Create Task** window.

To add a User Decision Rule, perform the following steps:

1. Navigate to the **Notification Details** page or **Task Details** page, to which you want to map the Role. For more information on Adding Notification, refer to Adding Notification section. For more information on Adding a task refer to the Adding Tasks section.
2. Click **Map Decision Rule**. The list of user decision rules will display.
3. Select the **User Allocation Rule** and click **Link**. A Confirmation message will display and you will be directed back to **Create Notification** or **Create Task** page.

# 4 Obtaining the Business Glossary

This chapter explains the process of obtaining the business glossary.

This chapter includes the following topics:


- About Business Glossary
- User Roles and Actions
- Business Glossary Workflow
- Creating a Business Glossary
- Importing a Business Glossary from Standard Glossary Providers


## 4.1 About Business Glossary

Business glossary is a collection of business terms that provide definitions for common terminologies and acronyms in business processes, accounting, finance, risk management and other aspects of a financial organization. Primarily, a business glossary minimizes the misunderstanding and confusion of business terminology and communications.
The benefits of a business glossary are:

- It maximizes the understanding of the core business concepts and terminology of the organization.
- It minimizes the misuse of data due to inaccurate understanding of the business concepts and terms.
- It maximizes the accuracy of the results obtained as a result of search for business concepts, and associated knowledge.

The OFSAA business glossary of comprises its entire ecosystem spanning risk, compliance, performance and customer insight. It permits import and housing of other business glossaries into OFSAA and also allows mapping of organization specific or industry standard glossaries to standard OFSAA glossary.

## 4.2 User Roles and Actions

All the users are required to be mapped to **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP**, along with their respective individual group.

Following are the user roles and actions for Glossary:

- **Glossary Viewer**: Permits the user to view the glossary. User needs to be mapped to **GLMVIEWERGRP** group**.**
- **Glossary Creator**: Permits the user to create and maintain glossary objects. User needs to be mapped to **GLMCREATEGRP** group**.**
- **Glossary Owner**: A user with this role has all the permissions/rights which a creator has to his specific glossary. The user is responsible person for the glossary of the organization.

Additionally, a user with this role receives all important ongoing notifications, emails and so on regarding that glossary. User needs to be mapped to **GLMOWNERGRP** group**.**

- **Glossary Approver**: Permits the user to approve/reject glossary objects. User needs to be mapped to **GLMAPPRGRP** group**.**

## 4.3 Business Glossary Workflow

## 4.4 Creating a Business Glossary

While defining a Glossary, the fields that are displayed are explained as tabulated.

**NOTE:** You should have Glossary Creator, or Glossary Owner rights to create a glossary.

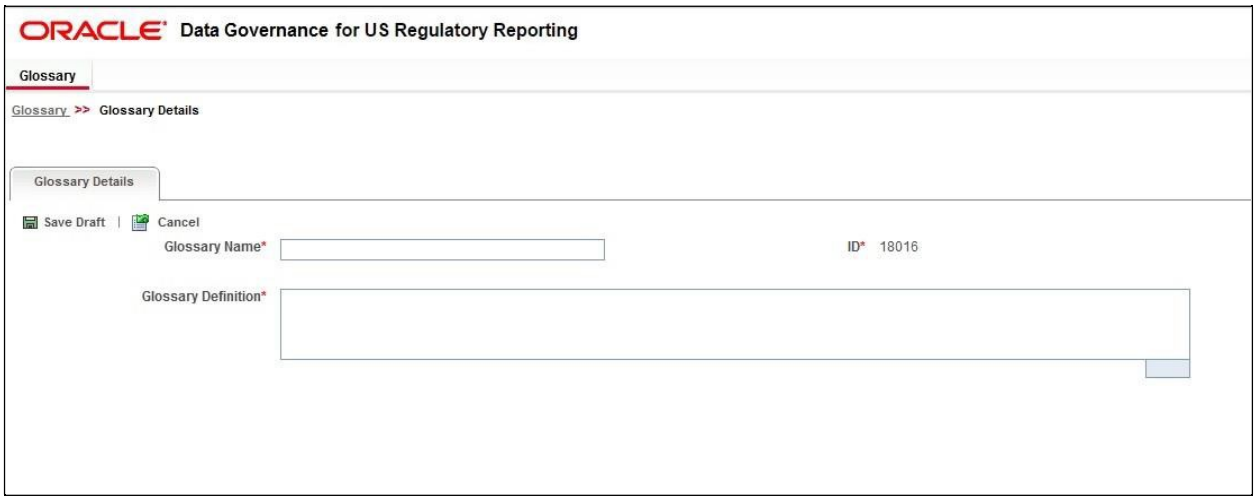
### 4.4.1 Fields and their Descriptions

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| ID | Identification number assigned to the glossary. |
| Glossary Name | Name of the glossary |
| Glossary Definition | A brief description of the glossary |

### 4.4.2 Procedure to Create a Glossary

Perform the following steps to create a glossary:

1. Navigate to the **Glossary** menu in the **Standards and Policies** tab.
2. Click **Add**. The **Glossary Details** page is displayed.



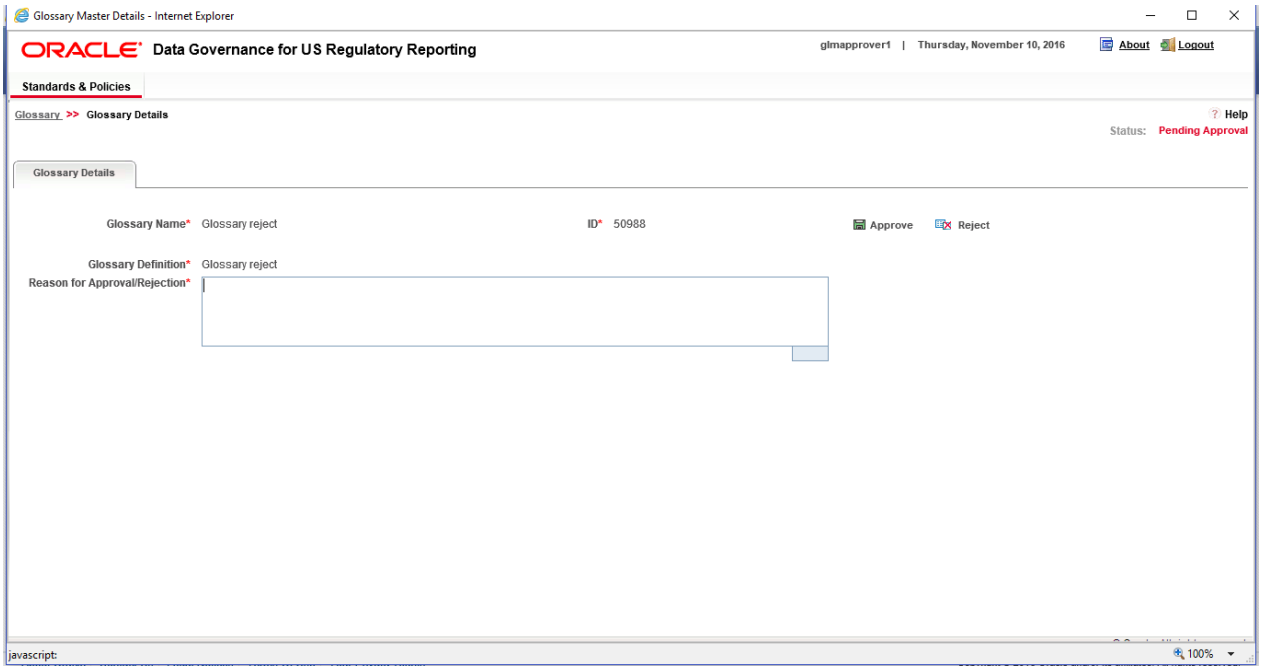

3. Enter the **Glossary Name** and **Glossary Definition** in the fields. The status of the Glossary is New.
4. Click **Save Draft**. The status of the Glossary changes to Draft. A Confirmation dialog box is displayed, with the message: *Add Operation Successful*.
5. Click **OK**.
6. Click **Edit** to review and update the fields, and **Submit**. A Confirmation dialog box is displayed, with the message: *Update Operation Successful*.
7. Click **OK.** The glossary is created,and the Glossary status changes from Draft to Pending Approval state.

## 4.5 Approving a Glossary

**NOTE:** You should have Glossary Approver rights to approve/reject a glossary.

To approve a Glossary perform the following steps:

1. Navigate to the **Glossary** menu, and select the glossary.
2. The status of the Glossary is displayed as **Pending Approval**.



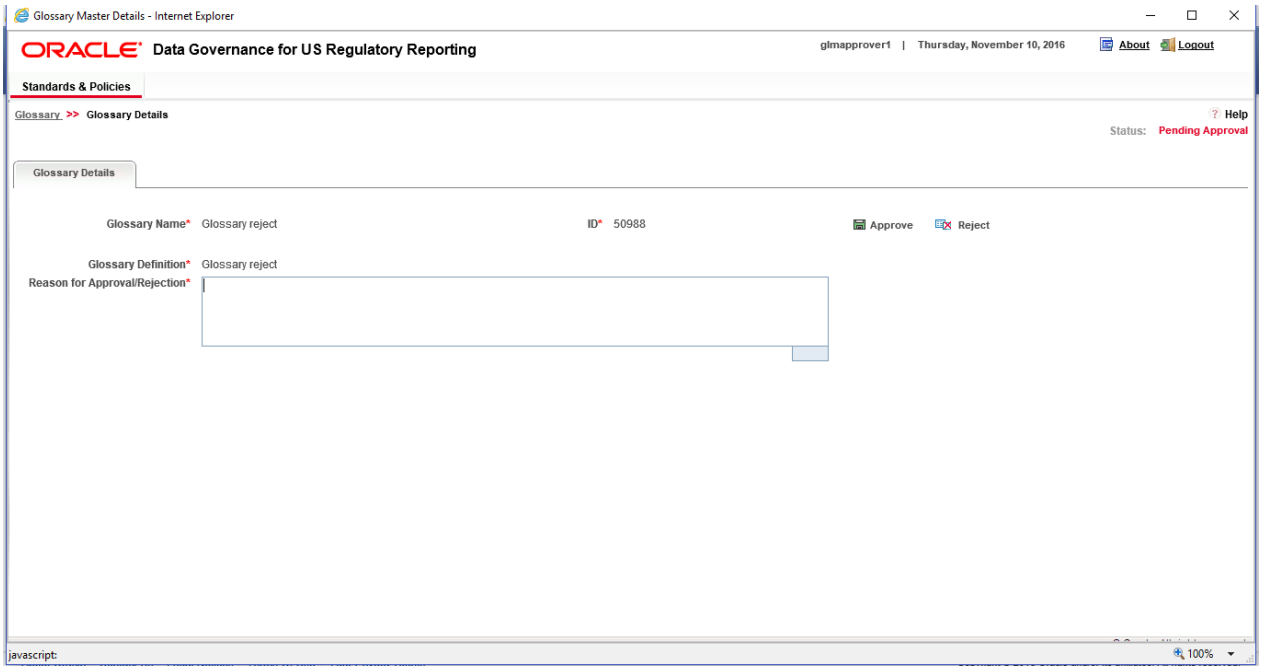

3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Approve**. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful*.'
5. Click **OK**. The status of the Glossary changes to **Active**.

## 4.6 Rejecting a Glossary

**NOTE:** You should have Glossary Approver rights to approve/reject a glossary.

To reject a Glossary perform the following steps:

1. Navigate to the **Glossary** menu, and select the glossary.
2. The status of the Glossary is displayed as **Pending Approval**.




3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Reject.** A Confirmation dialog box is displayed, with the message: *Update Operation Successful*.
5. Click **OK**. The status of the Glossary changes to **Draft**.

# 5 Mapping the Business Terms

This chapter explains Business Terms and the process of mapping Business Terms.

This chapter includes the following topics:


- About Business Terms
- User Roles and Actions
- Business Terms Workflow
- Creating a Business Term
- Usage term
- Mapping Business Terms


## 5.1 About Business Terms

Business terms are individual terms present in a glossary. It includes a definition and several attributes which provide a complete description of the glossary.

Additionally, Business Terms provide associated knowledge such as the user responsible for the term, the associated metrics, correct usage of the term, related terms, list of possible values for the term and so on. OFSAA Glossary includes all the terms related to risk, performance, compliance and insight pre-packaged with all the relevant information in them

## 5.2 User Roles and Actions

All the users are required to be mapped to DGSAUTHGRP, DGSADMINGRP, and DGSANALYSTGRP along with their respective groups.

Following are the user roles and actions for Business Terms:

- **Business Term Viewer**: Permits the user to view the Business Terms. User needs to be mapped to **GLTVIEWERGRP** group**.**
- **Business Term Creator**: Permits the user to create and maintain Business Terms. User needs to be mapped to **GLTCREATEGRP** group**.**
- **Business Term Owner**: A user with this role has all the permissions/rights which a creator has to his specific glossary. The user is responsible person for the glossary of the organization. Additionally, a user with this role receives all important ongoing notifications, emails and so on regarding that glossary. User needs to be mapped to **GLTOWNERGRP** group**.**
- **Business Term Approver**: Permits the user to approve/reject Business Terms. User needs to be mapped to **GLTAPPRGRP** group**.**

## 5.3 Business Terms Workflow

## 5.4 Creating a Business Term

While defining a Business Term, the fields that are displayed are explained as tabulated.

**NOTE:** You should have Business Term Creator, or Business Term Owner rights to create a glossary.

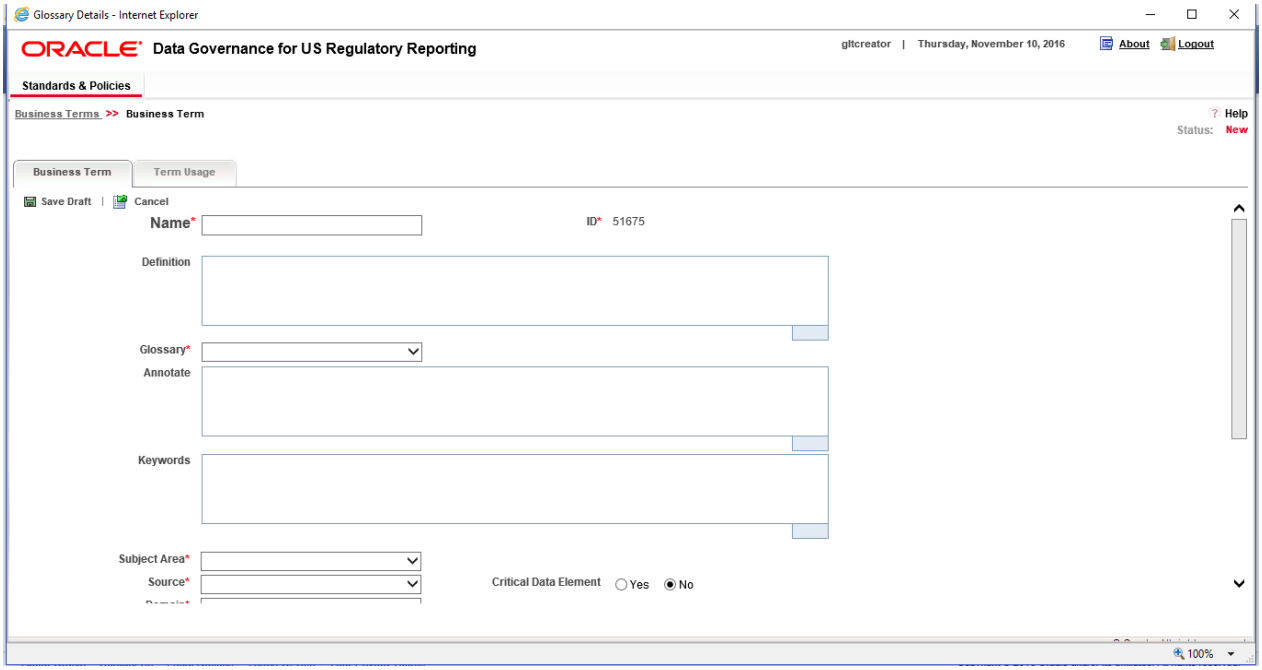
### 5.4.1 Fields and their descriptions

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| ID | Identification number assigned to the glossary term. |
| Name | Name of the Business Term |
| Definition | A brief description of the Business Term |
| Glossary | Select the Glossary from the drop-down box |
| Annotate | Provide a reference text for additional information on Business Term |
| Keywords | Provide the keywords used to search the Business Term |
| Subject Area | Select the subject area from the drop-down box. |
| Source | Select whether the source is Internal or External |
| Domain | Select whether the domain is Alphanumeric, Date or Numeric |
| Critical Data Element | Select whether the glossary term is a critical data element or not |

### 5.4.2 Procedure to Create a Business Term

Perform the following steps to create a Business Term:

1. Navigate to the **Business Terms** menu in the **Standards and Policies** tab.
2. Click **Add**. The Business Term page is displayed. The status of the Business Term is New.



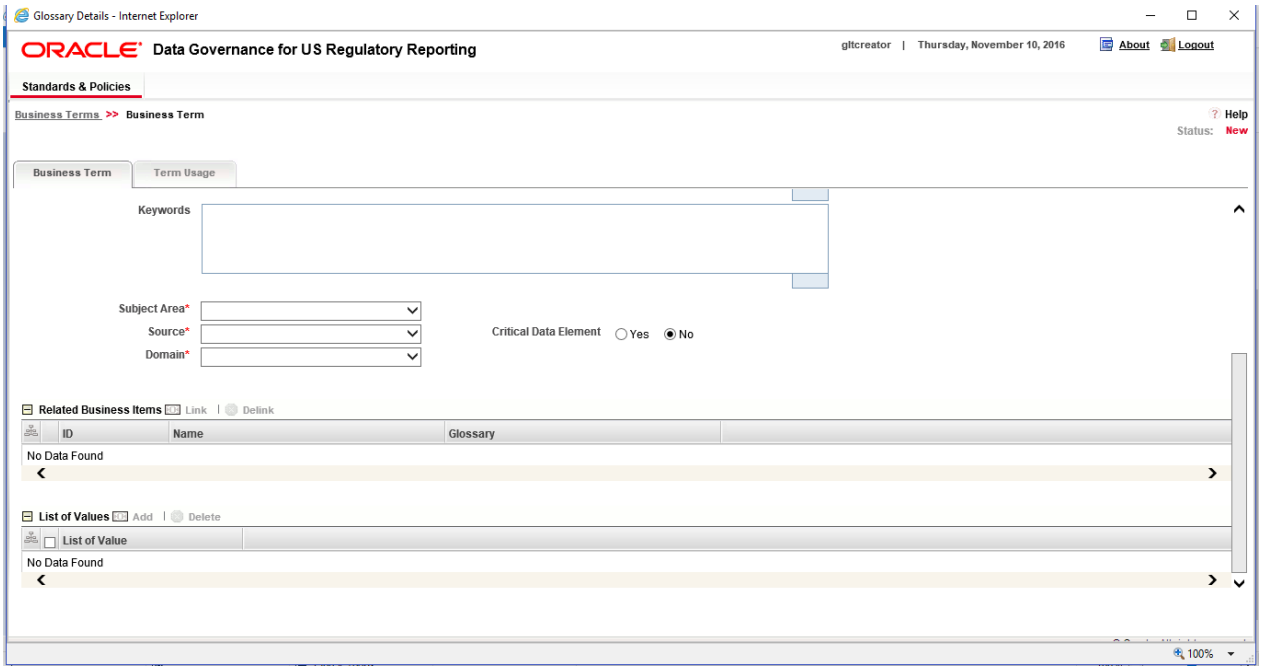

3. Enter the required information in the fields.
4. Select whether the Business Term is a **Critical Data Element**.
5. Click **Save Draft.** A Confirmation dialog box is displayed, with the message: '*Add Operation Successful*.'
6. Click **OK.** The status of the Business Term changes to Draft.
7. You can view the related Business Terms, and link or delink the terms.
8. You can select the List of Values, and Add or Delete the values.
9. Click **Edit** to review and update the fields and **Submit**. A Confirmation dialog box is displayed, with the message: *Update Operation Successful*.
10. Click **OK.** The Business Term is created,and the status changes from Draft to Pending Approval state.

## 5.5 Approving a Business Term

**NOTE:** You should have Business Term Approver rights to approve/reject a Business Term.

To approve a Business term, perform the following steps:

1. Navigate to the **Business Term** menu under **Standards and Policies** tab, and select the Business Term.
2. The status of the Business Term is displayed as Pending Approval.



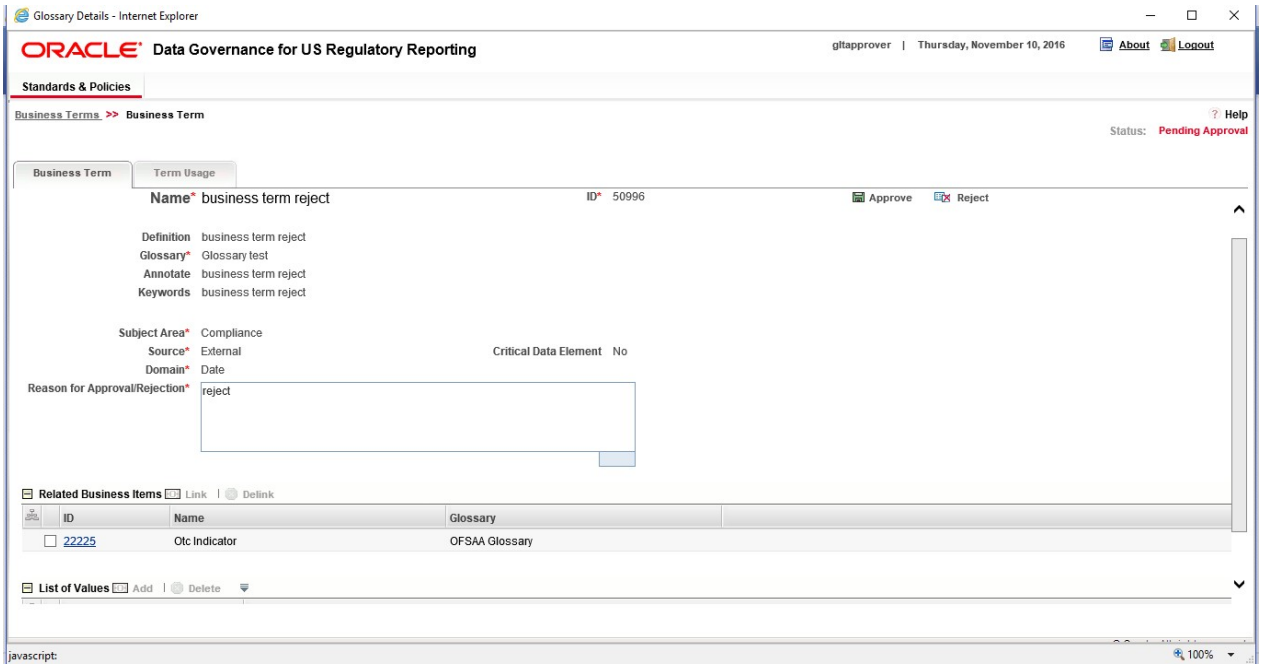

3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Approve**. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful.'*
5. Click **OK**. The status of the Business Term changes to **Active**.

## 5.6 Rejecting a Business Term

**NOTE:** You should have Business Term Approver rights to approve/reject a Business Term.

To reject a Business Term, perform the following steps:

1. Navigate to the **Business Term** menu under **Standards and Policies** tab, and select the Business Term.
2. The status of the Business Term is displayed as Pending Approval.
3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Reject**. A Confirmation dialog box is displayed, with the message: Update Operation Successful.
5. Click **OK**. The status of the Business Term changes to Draft.




## 5.7 Usage Term

The definition of Business Terms is generally designed to produce a common understanding of the meaning of the term, for the entire organization irrespective of the business function. These are standard definitions and do not really define the usage of the term in a specific context.

Usage Term of Business Terms explains the terminology in the context of its usage. A terminology can have one or more usage terms based on the number of use cases that it is applicable for in the organization. Each usage of that particular term has its own explanation of how and why it is used, along with the list of values for that specific context.

OFSAA business glossary provides standard and complete Usage Term for each Business Term.

### 5.7.1 Creating a Usage Term

**NOTE:** User can create Usage Term for Business Terms which are in the Draft stage.

While defining a Usage Term, the fields that are displayed are explained as tabulated.

#### 5.7.1.1 Fields and their Descriptions

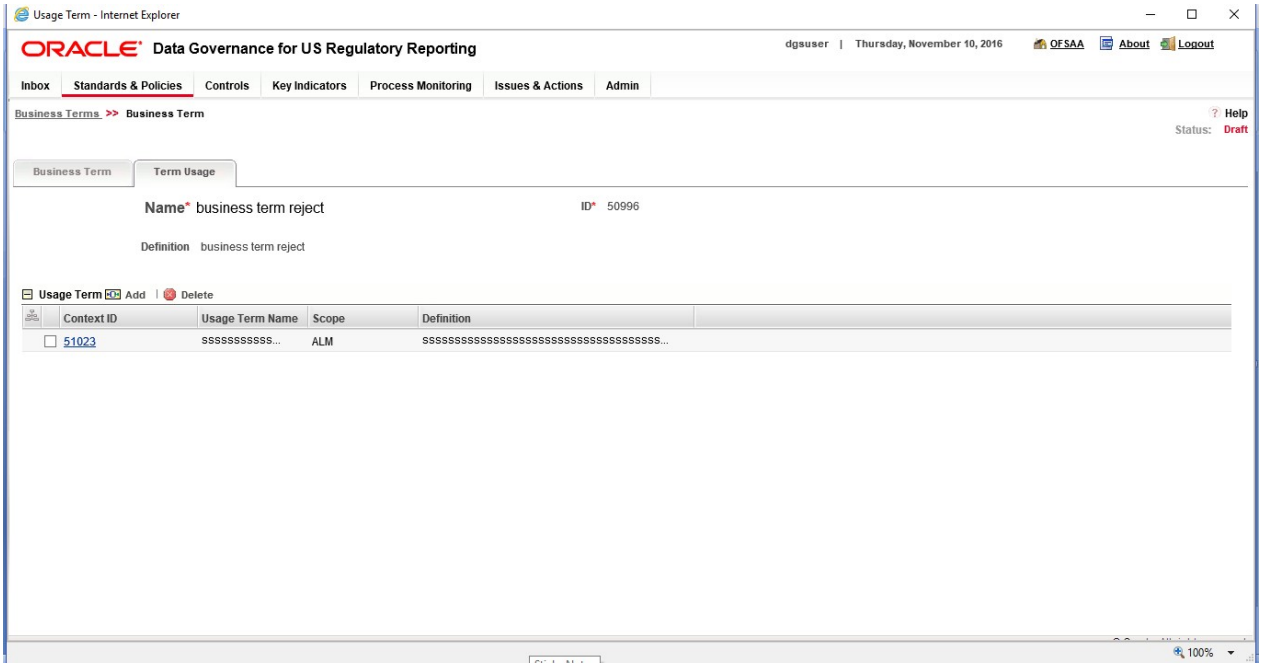
| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Name | Related to other glossary identifiers (multiple contextual definitions for the glossary term) |

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Content Definition | Contextual definition of the glossary term from perspective of source or application |
| Usage Term Name | Provides the name of the usage term |
| Scope | It is the name of the context in which the term is used |
| Context ID | It is a system generated number |

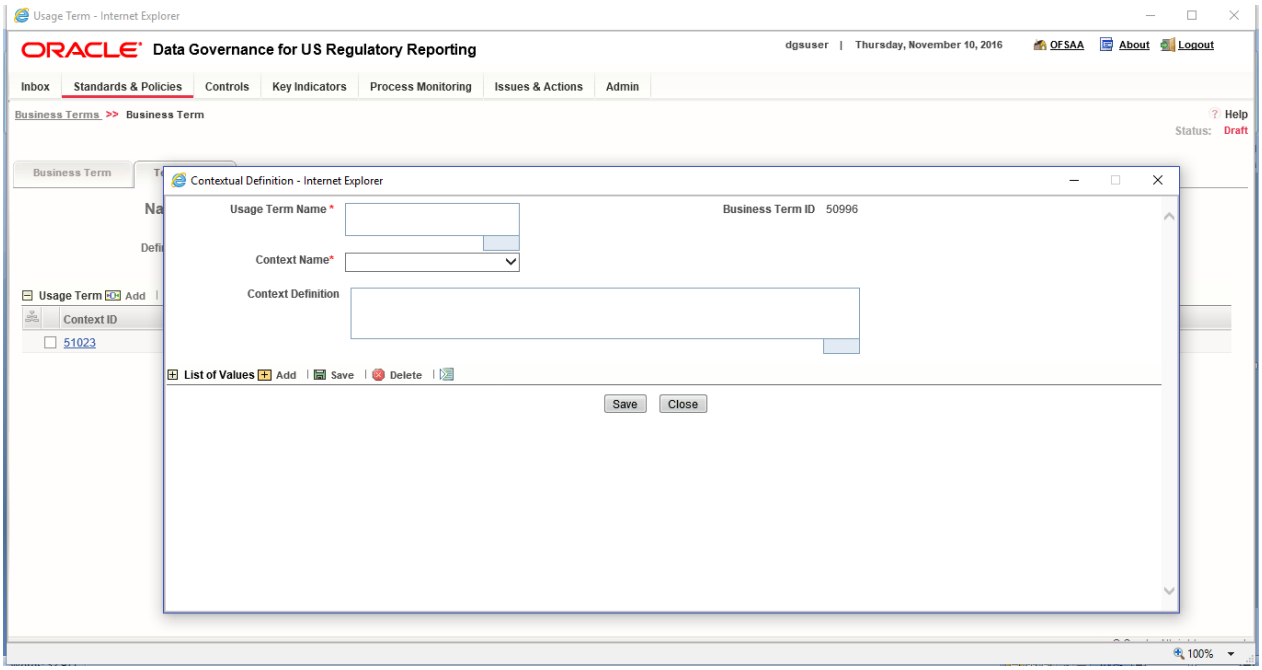
### 5.7.1.2 Procedure to Create a Usage Term

Perform the following steps to add a Usage Term:

1. Navigate to the **Business Terms** search and list page in the **Standards and Policies** tab.
2. Select a Business Term in Draft state. Click the **Term Usage** tab.
3. Click **Add**.




4. A webpage dialog box is displayed. Enter the required information in the fields.



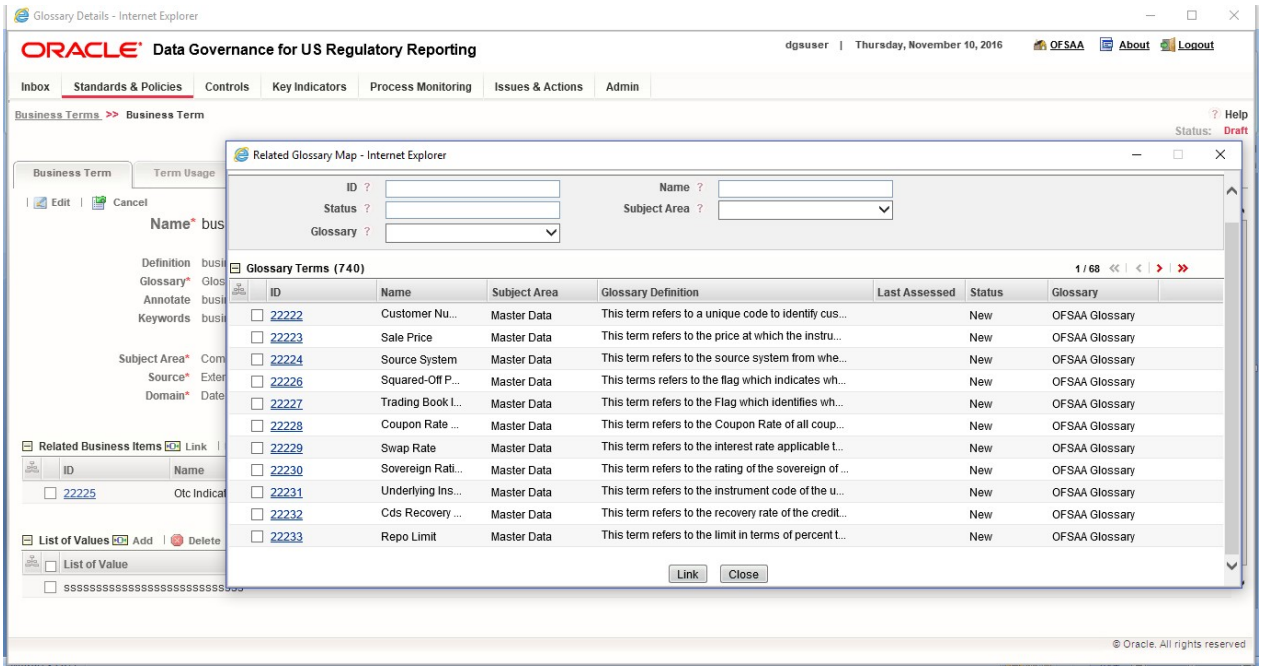

5. Select the Context Name, and provide the Contextual Definition.
6. Click **Save.** A Confirmation dialog box is displayed, with the message: *Add Operation Successful*.
7. Click **OK.** You can view the Usage Term in the **Search and List** page.

## 5.8 Mapping Business Terms

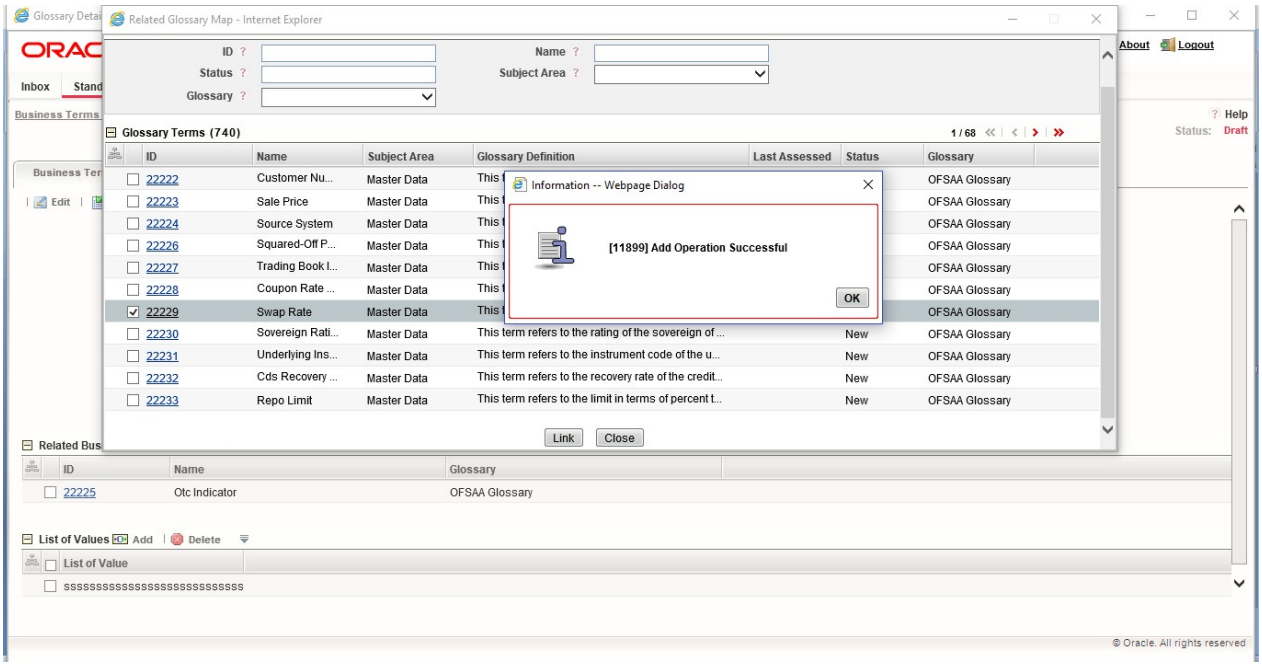
This process involves mapping a term in a glossary to another term in a different glossary. Terms in one glossary are mapped to similar, or related terms in another glossary to achieve consistency and standardization. While organizations use their own terminology, it is essential for them to map their terminologies to industry standard terminologies. This ensures completeness and consistentency in communication with external parties and regulators.

Following are the steps to map business terms with other business terms:

1. Select a business term in draft status.
2. In **Related Business Term** Grid, Click **Link**. This displays a new window with all the Business Terms in the system except the current Business Term.
3. Select the checkbox adjacent to the Business Term and click **Link**.

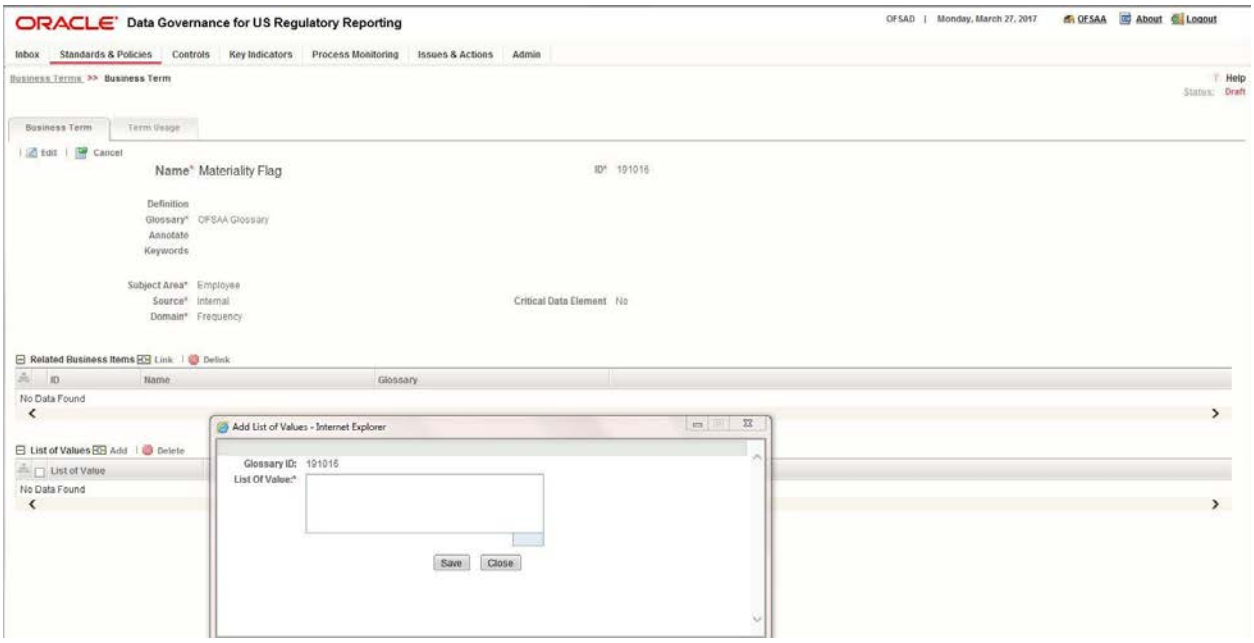



4. A success message is displayed. Click **OK**. Click **Close.**




## 5.9 List of Values

List of Grid enables the user to add some values to the corresponding Business Term.


ORACLE Data Governance for US Regulatory Reporting
OFSAD | Monday, March 27, 2017
OFSAA
About
Logout
Inbox
Standards & Policies
Controls
Key Indicators
Process Monitoring
Issues & Actions
Admin
Business Terms >> Business Term
Help
Status: Draft
Business Term
Term Usage
Edit
Cancel
Name* Materiality Flag
ID* 191016
Definition
Glossary* OFSAA Glossary
Annotate
Keywords
Subject Area* Employee
Source* Internal
Domain* Frequency
Critical Data Element No
Related Business Items
Link
Delink
ID
Name
Glossary
No Data Found
List of Values
Add
Delete
List of Value
No Data Found
Add List of Values - Internet Explorer
Glossary ID: 191016
List Of Value:*
Save
Close

# 6 Identifying the Critical Data Elements

This chapter explains the process of identifying the critical data elements. It includes the following topics:


- About Critical Data Elements
- User Roles and Actions
- Workflow of Critical Data Elements
- Creating a Critical Data Elements


## 6.1 About Critical Data Elements

Critical Data Elements are Business Terms, which are critical for a specific business process. These terms and their values are vital and significant for specific processes. For example, regulatory reporting or management reporting.

These data elements are marked critical with their context, justification, level of criticality and approval for the classification. They are ensured to have additional rigor in their data quality checks, controls, and so on and have sufficient metrics around it to ensure timeliness and accuracy of the values.

Critical Data Elements (CDEs) are defined for each report in Regulatory Repoting. DGUSRR will contain all CDEs for a particular report. List of Critical Data Elements are identified for a particular report and level of criticality will be defined and is stored in the `FSI_GL_CDE_DETAILS` table. These elements are monitored for accuracy and consistency of data within Key Indicator and Control section.

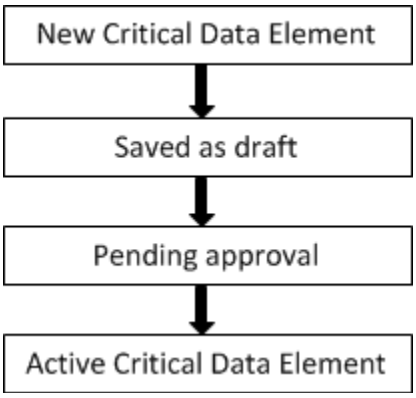
## 6.2 User Roles and Actions

All the users are required to be mapped to DGSAUTHGRP, DGSADMINGRP, and DGSANALYSTGRP, along with their respective following groups.

Following are the user roles and actions for critical data elements:

- **Critical Data Elements Viewer**: Permits the user to view the critical data elements. User needs to be mapped to **CDEVIEWERGRP** group**.**
- **Critical Data Elements Creator**: The user is responsible for classification and maintenance of critical data elements. User needs to be mapped to **CDECREATEGRP** group**.**
- **Critical Data Elements Approver**: The user is responsible for approval and rejection of critical data elements. User needs to be mapped to **CDEAPPRGRP** group**.**
- **Critical Data Elements Owner:** A user with this role has all the permissions/rights, which a creator has to his specific critical data elements. The user is responsible person for the critical data elements of the organization. Additionally, a user with this role receives all important ongoing notifications, emails and so on regarding those critical data elements. User needs to be mapped to **CDEOWNERGRP** group**.**

## 6.3 Workflow of Critical Data Elements




## 6.4 Creating a Critical Data Element

While defining a CDE, the fields that are displayed are explained as tabulated.

**NOTE:** You should have CDE Creator rights to create a CDE.

### 6.4.1 Fields and their descriptions

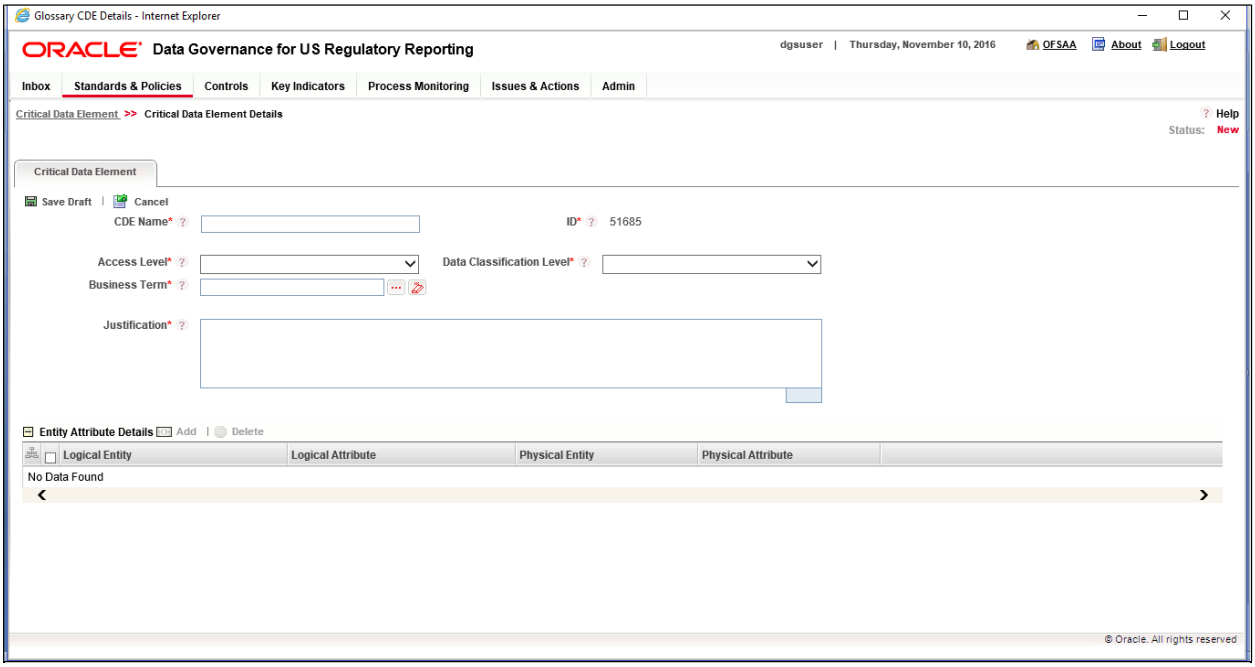
| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| ID | Identification number assigned to the CDE |
| Entity Name | Provide the Entity name |
| Attribute Name | Provide the Attribute name |
| Access Level | Enter the access level, whether public, confidential or restricted |
| Data Classification Level | Select the data classification level, whether Legal, Financial, PHI or PII |
| Business Term | Select the Business Term |
| Justification | Provide justification for classifying the Business Term as a CDE |
| CDE Name | Provides the name of the Critical data Element |

**NOTE:** Entity Name and Attribute Name can only be added if CDE is in Draft status.

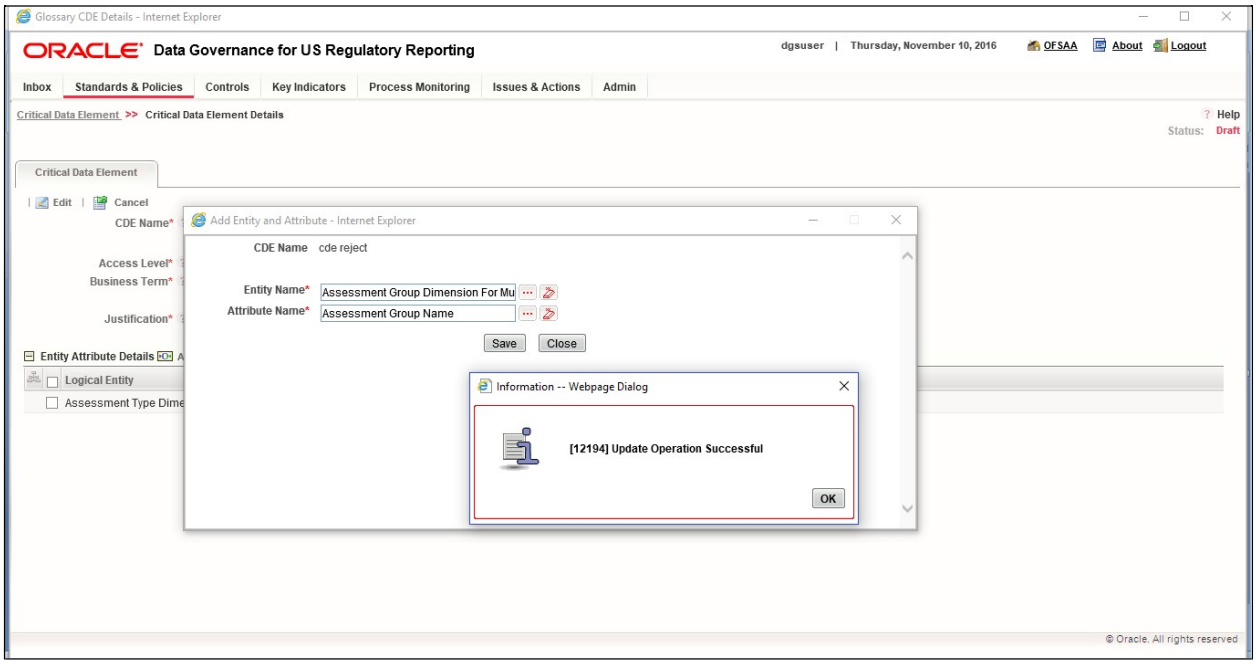
### 6.4.2 Procedure to Create a Critical Data Element

Perform the following steps to create a CDE:

1. Navigate to the **Critical Data Element** menu in the **Standards and Policies** tab.
2. Click **Add**. The **Critical Data Element Details** page is displayed.




3. Enter the required data in the fields.
4. In the **Justification** field, provide a justification for classifying the Business Term as CDE.
5. Click **Save Draft.** A Confirmation dialog box is displayed, with the message: '*Add Operation Successful.'*
6. Click **OK**.
7. Click **Edit** to review and update the fields and click **Submit**.. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful*.'



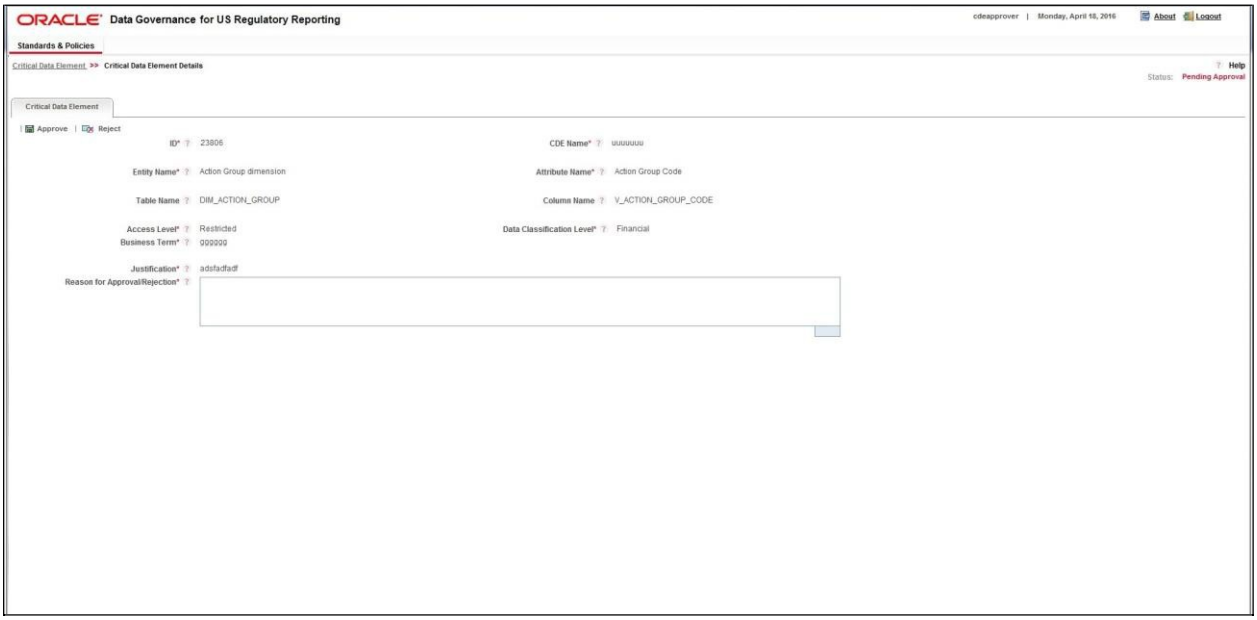

8. Click **OK.** The CDE is created,and the status changes from Draft to Pending Approval state.

## 6.5 Approving a CDE

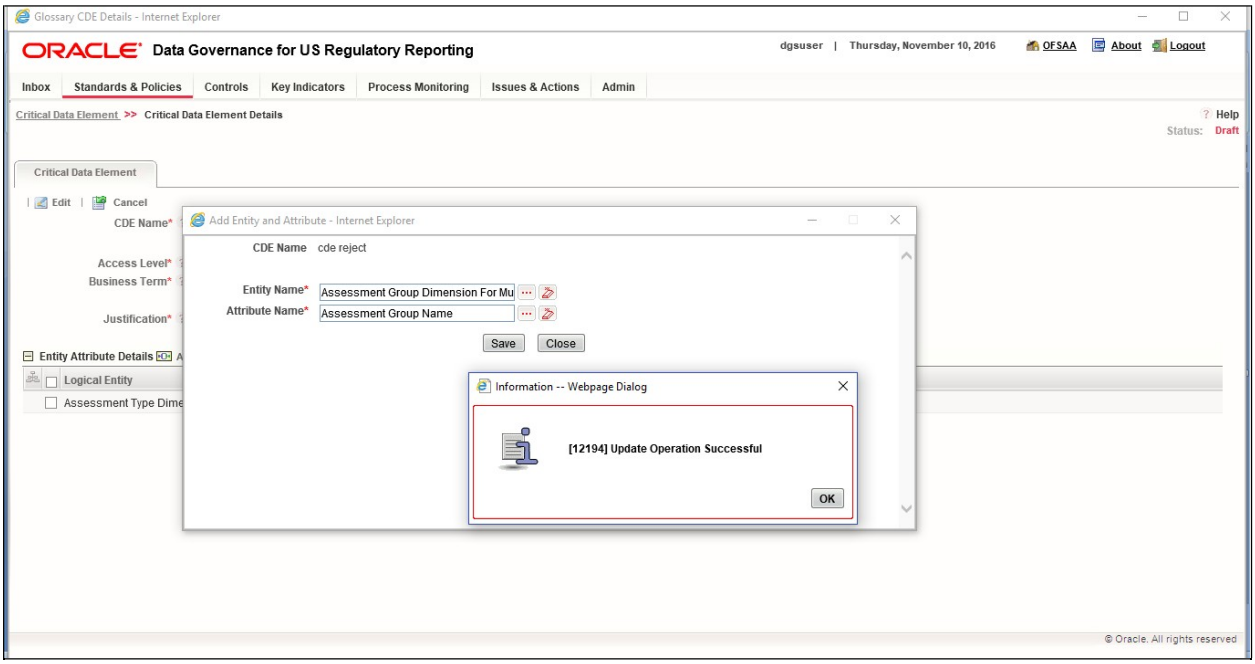
**NOTE:** You should have CDE Approver rights to approve/reject a CDE.

To approve a CDE perform the following steps:

1. Navigate to the **Critical Data Element** menu, and select the CDE ID.
2. The status of the CDE is displayed as **Pending Approval**.



3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Approve**. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful.'*

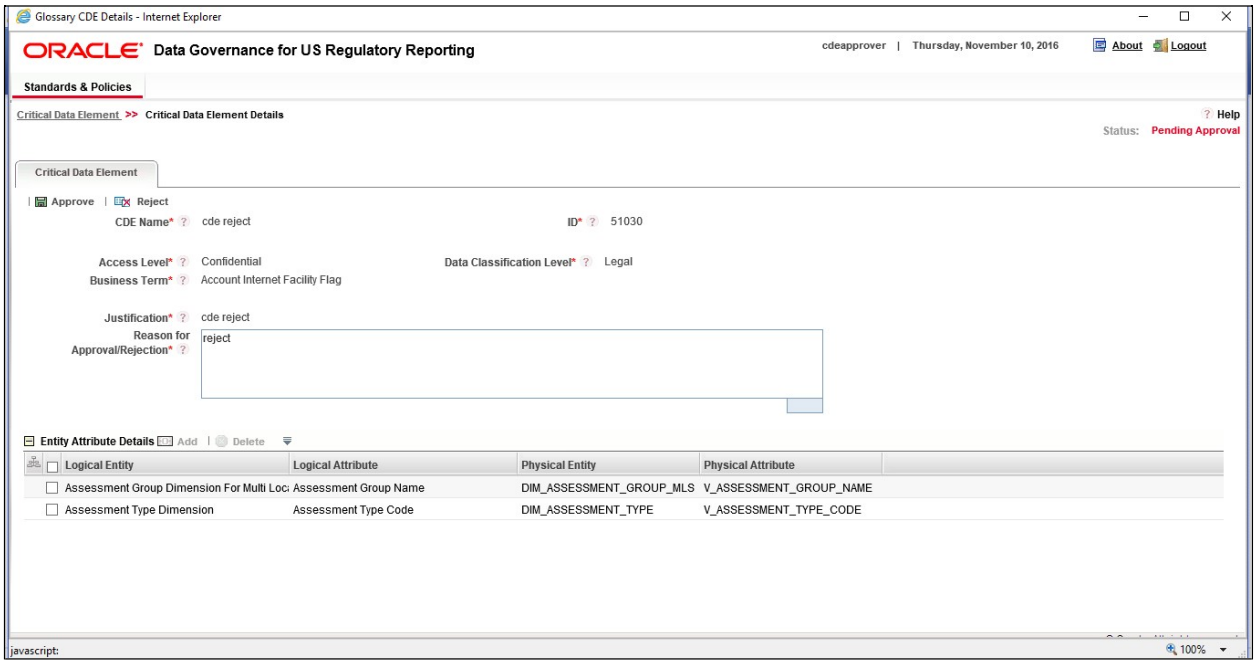



5. Click **OK**. The CDE is approved and the status changes to **Active**.

## 6.6 Rejecting a CDE

To reject a CDE, perform the following steps:

1. Navigate to the **Critical Data Element** menu, and select the CDE ID.
2. The status of the CDE is displayed as **Pending Approval**.
3. Provide a reason, in the **Reason for Approval/Rejection** field.




*4.* Click **Reject**. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful.'*

5. Click **OK**. The CDE is rejected and the status changes to **Draft**.

# 7 Identifying the Controls

This chapter explains the process of identifying the runs.

This chapter includes the following topics:


- About Controls
- DQ Check and Controls
- User Roles and Actions
- Creating a Control
- Assessing a Control
- Raising Issues on Control
- Closing a Control


## 7.1 About Controls

A Control is a measure taken to mitigate a regulatory reporting risk. Control measures help an organization to avoid the risks which may otherwise hamper business due to inconsistentcy in reporting. Controls are defined to ensure that the data elements used for various business processes are accurate in value and obtained in time.

The controls identified for risk mitigation can be recorded and stored in a repository. This section helps how to capture Controls, and assess their effectiveness in avoiding the risks pertaining to reporting.

Control effectiveness establishes the confidence factor on data elements and its values.

The two types of Controls are listed as follows:

- Quality Controls: They are used to assess the data accuracy.
- Operational Controls: They are used to assess the availability and timeliness of data elements.

Controls are defined on data elements based on the defined DQ rules. The effectiveness of these controls can be automatically assessed based on the DQ execution facts.

**NOTE:** A Control user should be mapped to the Issue Creator group in addition to other Control related groups, to create an Issue.

## 7.2 DQ Checks and Controls

Controls are defined on data elements based on the defined DQ rules. The effectiveness of these controls can be automatically assessed based on the DQ execution facts.

**NOTE:** A Control user should be mapped to the Issue Creator group in addition to other Control related groups, to create an Issue.

Following are the types of Data Quality Checks and their definitions:

| Data Quality Check | Definition |
|---|---|
| Blank Value Check | Blank Value Check identifies if the base column is blank without any values considering the blank space. |
| Column Reference/Specific Value Check | Column Reference / Specific Value Check compares the base column data with another column of the base table or with a specified direct value using the list of pre-defined operators. |
| Data Length Check | Data Length Check checks for the length of the base column data using a minimum and maximum value, and identifies if it falls outside the specified range |
| Duplicate Check | Duplicate Check can be used when a combination of column is unique and identifies all the duplicate data of the base table in terms of the columns selected for the duplicate check |
| List of Value Check | List of Value/Code Check can be used to verify values where a dimension/master table is not present. This check identifies if the base column data does not matches with any value or code specified in a list of values. |
| NULL Value Check | Null Value Check identifies if 'NULL' is specified in the base column. |
| Referential Integrity Check | Referential Integrity Check identifies all base column data, which has not been referenced by the selected column of the referenced table. Here, the reference table and columns are user specified. |
| Range Check | Range Check identifies if the base column data falls outside a specified range of Minimum and Maximum value. |

Controls are specific to reports. DQs are defined in the `DQ_CHECK_MASTER` and `DQ_GROUP_MAPPING` table.

DQ rules are defined on the basis of Stage Table and Column mapped to a particular report.

## 7.3 Operational Control

Operational Controls will be created for each of the unique tasks available for a Run.

Batch `##INFODOM##_CREATE_OP_CONTROLS` needs to be executed for any date to create the Operational Controls based on the Tasks available at that point of time in the system.

If new tasks are added, then this batch is required to be executed again to create the new operational controls. There will not be any effect on the existing controls.

`FSI_CONTROL` table stores the list of controls created. Operational controls can be identified with `N_CONTROL_TYPE_KEY=10002`. All the tasks and operational controls mapping will be stored in table -`FSI_OP_CONTROL_TASK_MAP`.

## 7.4 User Roles and Actions

All the users are required to be mapped to **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP**, along with their respective individual group.

The user roles defined in the Controls section of the DGUSRR application are:

- **Control Owner**: Permits the user to create, view and maintain controls.

The Controls section allows you to perform the following actions:

- **Creating Control**: Allows the user to create a new Control. The user can attach or delete documents. The user needs to be mapped to **DGCOGRP** group.
- **Assessing Control**: Allows the user to assess the effectiveness of a Control.
- **Closing Control**: Allows the user to close a Control in Open status and that is not in use.
- **Deleting Control**: Allows the user to delete a Control in Draft status.
- **Exporting Control**: Allows the user to export all the controls.
- **Viewing Control**: Allows the user to view the controls. The user needs to be mapped to **DGCOVIEWGRP** group

## 7.5 Creating a Control

While defining a Control, the fields that are displayed are explained as tabulated.

**NOTE:** You should have Control Owner rights to create a Control.

### 7.5.1 Fields and their Descriptions

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| ID | Displays the unique auto-generated ID for the control |
| Name | Provide a short description or name for the control |
| Description | Provide a long description of the control to indicate the purpose and nature of the control |
| Owner | Select the user responsible for overseeing the control |

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Type | Select the control type from the drop –down box. Quality Control, Operational Control |
| Comments | Provide additional information about the Control |
| Assessment Start Date | Displays the date when the assessment is going to start |
| Frequency | Select the frequency of assessment from the drop-down box: Daily Assessment, Monthly assessment. |
| Methodology | Select the methodology from the drop-down box: OFSAA Methodolgy |

### 7.5.2 Procedure to Create a Control

This section details the procedure to create a control using Batches.

#### 7.5.2.1 Control Creation via Batches

Perform the following steps to create a Control via Batches:

1. For control creation, FSI_DGS_CONFIGURATION table has to be seeded first. User needs to set the frequency too.

| V_MODULE_NAME | V_LOOKUP_CODE | N_LOOKUP_VALUE | V_LOOKUP_CODE_DESC |
|---|---|---|---|
| CTL | COMMENT | The control has been newly created by system | Default Comments |
| CTL | CREATOR | DGSUSER | User who created this control |
| CTL | LOCALE | en_US | English |
| CTL | OWNER | DGSUSER | User to whom this control is assigned |
| CTL | UPDATE_COMMENT | DQ Updated - | Updation Comments |

2. Once config table is seeded then following batch has to be executed, which will create the Controls for the available DQs - Batch - ##INFODOM##_CREATE_CONTROL.
3. Check FCT_CONTROL and FSI_CONTROL_DQ_MAP tables once batch is successfully executed.

**Error Profiling**

1. Execute the DQs and check the **Result Summary and Details**.
2. Run the Batch - ##INFODOM##_REFRESH_MAT_VIEWS, which will refresh all the required Materialized Views.
3. Execute - Batch - ##INFODOM##_LOAD_FSI_ERROR_DATA_PROFILE. This will load the data into FSI_ERROR_DATA_PROFILE table.

4. Execute – Batch - ##INFODOM##_LOAD_FSI_ERROR_DATA. This will load data into FSI_ERROR_DATA table.

**NOTE:** This step is not required to be executed for current release.

** **FSI_ERROR_DATA_PROFILE** table is used for Error Profiling.*

**Control Execution Details**

Following are the steps to perform control execution:

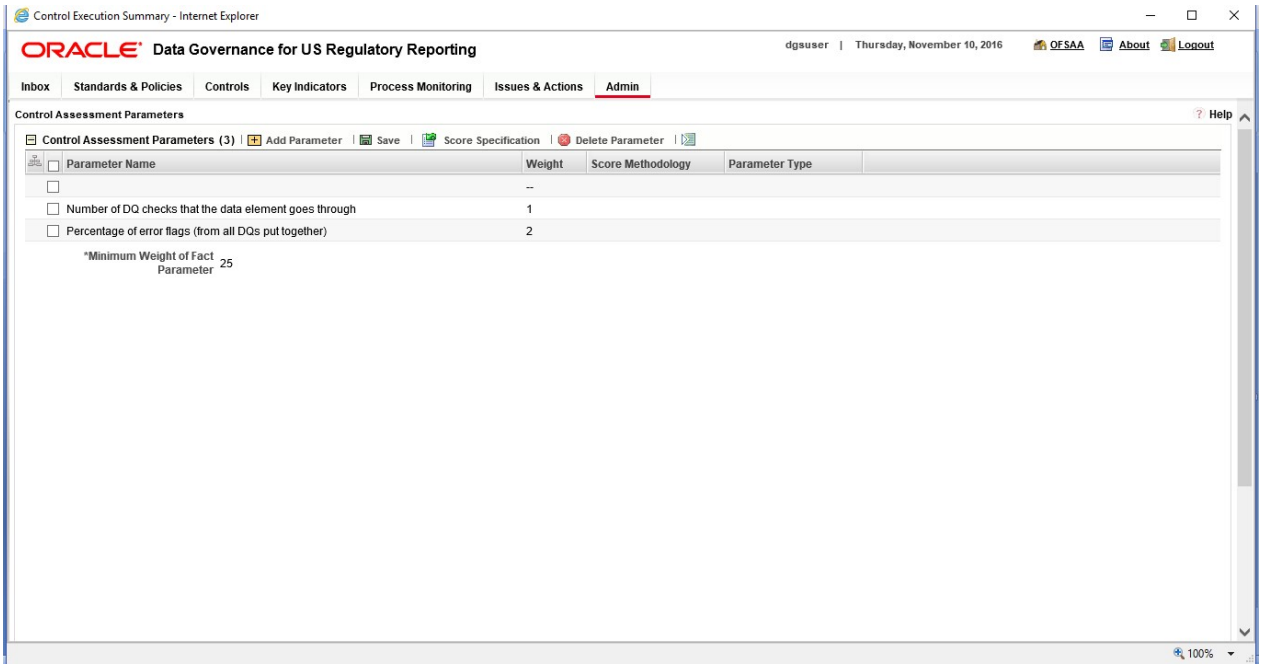
1. Once `FSI_ERROR_DATA_PROFILE` and `FSI_ERROR_DATA` tables are populated, execute the Batch `##INFODOM##_LOAD_FSI_CONTROL_EXEC_DETAIL`.
2. This will load data into `FSI_CONTROL_EXECUTION_DETAILS` tables, which will be used by DGUSRR UI to display the required execution details for a control.

**NOTE:** All the batches require FIC_MIS_DATE while executing. If wrong FIC_MIS_DATE is given it may result to data corruption.

All the batches should be executed in the same sequence as mentioned above.

### 7.5.3 Assessment Parameter Maintenance

Navigate to the **Menu > Admin > Control Assessment Parameters**. The maintenance has a list of seeded parameters, which are dependent on the Data Quality Framework of OFSAAI. The outputs associated to these parameters are derived at run time based on the Data Quality Profiling information within Data Governance for US Regulatory Reporting. The screen also enables a user define new Assessment Parameters that can participate in the Score and Rating calculation of Assessment. Assessments for a particular control depends on the Parameter Type and Score Methodology.




#### 7.5.3.1 Parameter Type

- Inference

  A parameter defined as Inference is assumed to have minimum impact on the assessment of a control (during score/rating calculation for a Control).

- Fact

  A parameter defined as Fact is supposed to have more weight during score calculation of a control.

#### 7.5.3.2 Score Methodology

There are two methodologies, which are used simultaneously during Assessments of a control.

a. Range based

   This method helps to define specific ranges and score against each range at a parameter level.

b. Value based

   This method helps to define a specific value and score against a Parameter defined as Value based.

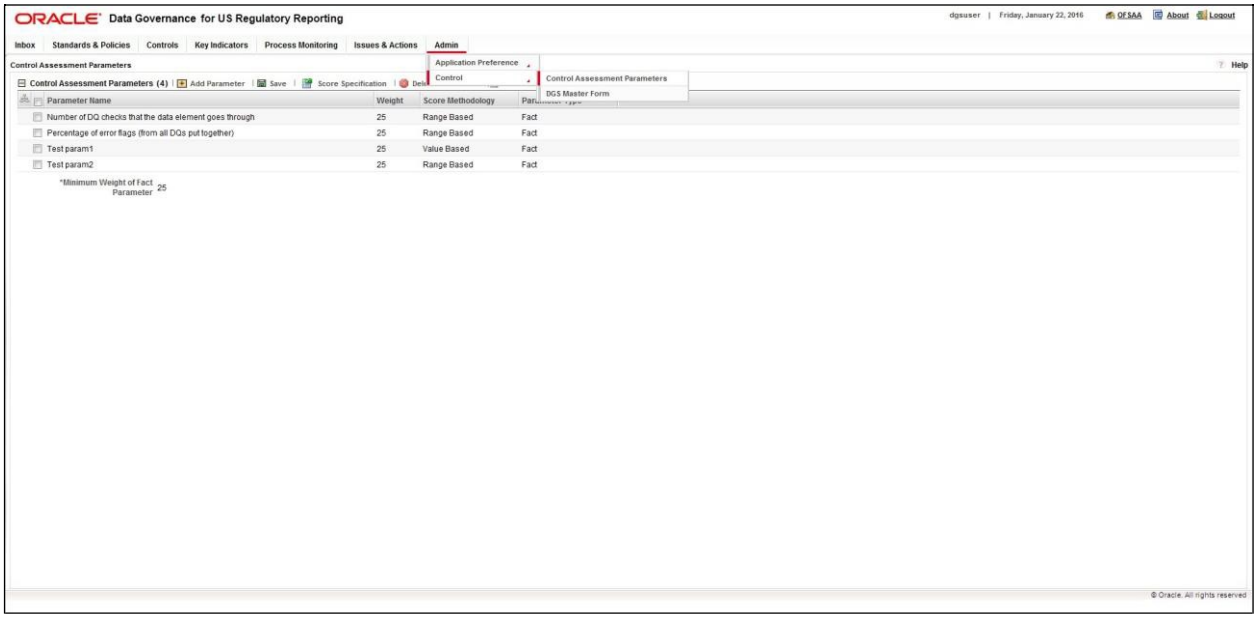
Basically, we use Inference/Fact parameter type to provide weights to the parameters.

Minimum Weight of Fact Parameter is shown in UI so user has to put greater than or equal value of that and the weight value of Inference parameter type is less than minimum values of Fact.

**Validations**

- Sum of weights of all parameters should not be greater than 100.

- Overlapping ranges should not be allowed in Score Specification for score method “Range Based”.




Once parameters are created and ranges are specified, add values for the same parameter in table - **FSI_CONTROL_USER_PARAM_VALUES.** This table captures the Assessment parameter values at the control level. User is supposed to enter values in this table. Assessment calculation mechanism will pick data from this table and utilize the inputs in the score calculation of Assessment for a control or for multiple controls at run time.

| | |
|---|---|
| n_control_key | Refers to n_control_key column of FCT_CONTROL |
| d_fic_mis_date | Date on which Parameter value is generated. |
| n_param_id | V_ID column of `fsi_control_assessment_admin` |
| v_value | Expected Value of a Parameter |

The parameters can be defined as Inference Based/Fact Based.

### 7.5.4 Control Assessment

Assessment can be done for Controls (data elements) using an ICC batch. This provides flexibility to trigger assessments of all the Controls in one go based on the frequency as defined in `FSI_CTL_FREQUENCY` table. This Frequency can be set in `FSI_DGS_CONFIGURATION` table. The parameter information (definition/Values) present above are all utilized during batch execution of Control Assessments.

#### 7.5.4.1 Quality Control Assessment

**Pre-Requisite**

- For doing Control Assessment, Control Execution Details should be present.
- Execution Details can be DQ related or User Defined Parameters related.
- DQ related parameters will be available by default if DQ executions are done for that control.

### Generate Assessments

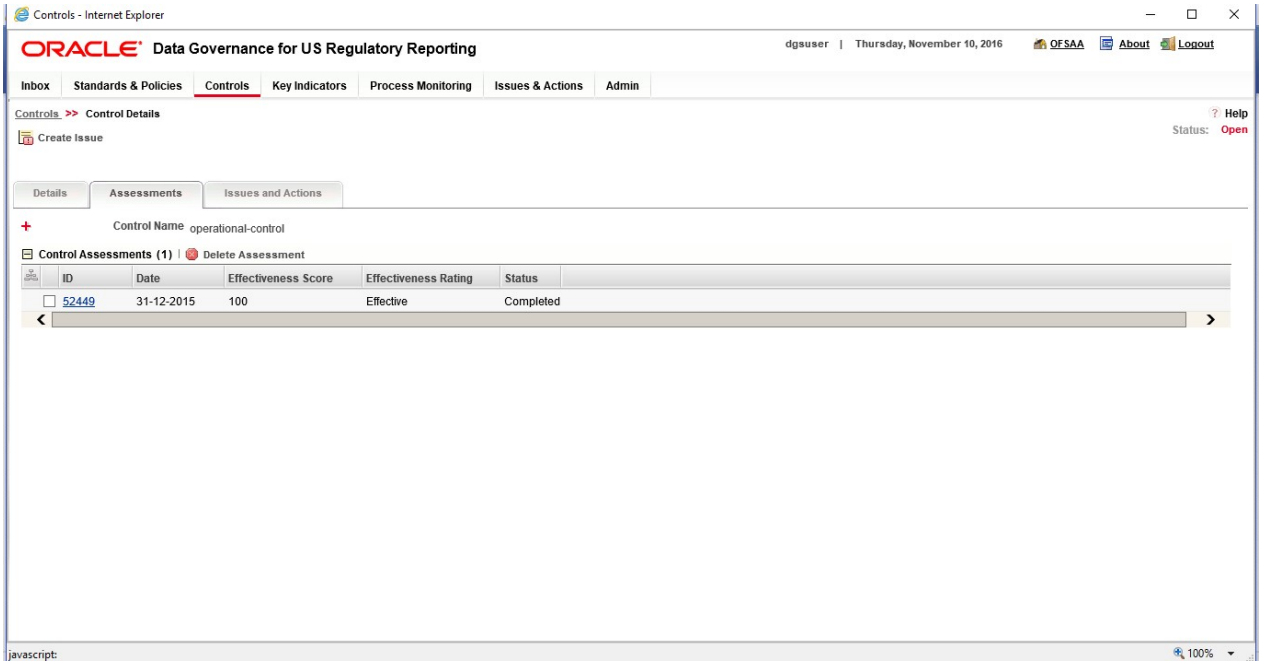
Once all the pre-requisites are met, execute the batch – **Create_Control_Assessment** for a given `FIC_MIS_DATE`.

Once the Assessment batch is triggered, user can see the assessment IDs that are generated in the User Interface of Data Governance for US Regulatory Reporting. The backend engine generates Assessment Start Date as the date on which batch is triggered and the Frequency of Assessment is defaulted to Monthly. Assessment Frequency and Assessment Start date together decide whether the assessment has to be done for a control or not.

The default frequency that is used is configurable and can be adjusted in the following table:

`fsi_dgs_configuration`

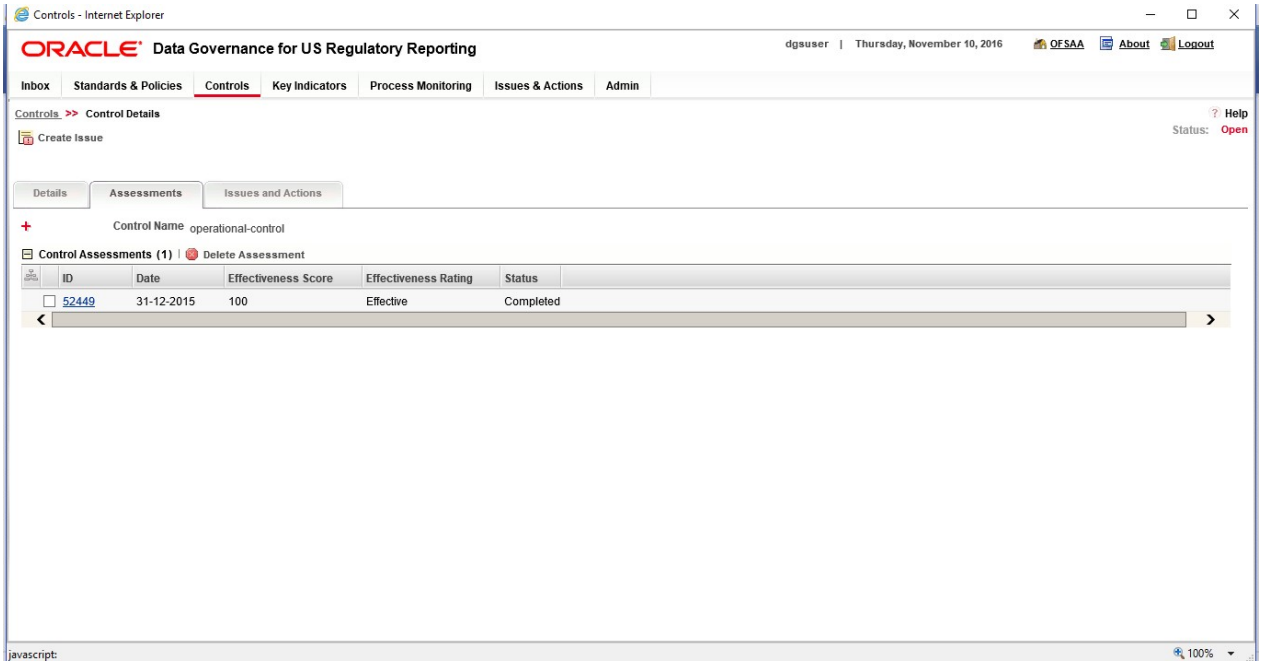
1. Navigate to **Controls** module in DGUSRR.
2. Click the **Control** against which Assessment is expected. The **Assessment** tab will show a unique Assessment Id along with Score, Rating and Status of the Assessment.
3. Click the **Assessment ID** to view the Assessment Parameter details and Assessment Data Quality Execution details.




### User Defined Assessments

1. Click **Controls** Menu to view all the Controls in the system.

2. Click **Control ID** hyperlink for which the control status is **Open**.
3. Click **Assessments** tab to view all the assessments done for a particular control, if any.
4. Click **Delete Assessment** button to delete the assessment in the system.




### 7.5.4.2 Operational Control Assessment

Before doing assessment on operational control following things need to be done:

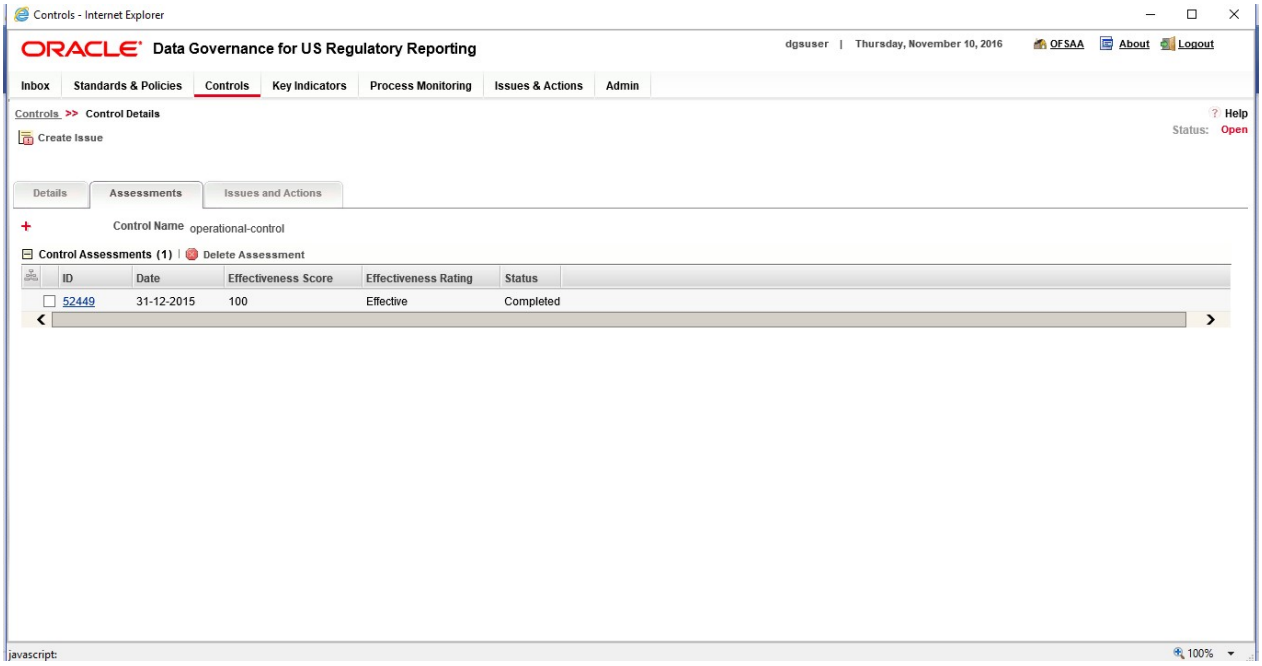
1. Complete Process Monitoring of the RUN for a given date.
2. Execute T2T to move Process Monitoring statistics to FACT table for the same date.
3. Data should be available in the following tables:
    - FSI_PM_BATCH_SCHEDULED_TIME
    - FSI_PM_BATCH_TASK_DEPENDENCY
    - FSI_PM_BATCH_TASK_AVG_TIME
    - FSI_PM_BATCH_TASK_SCH_TIME

Once the above steps are done, then batch `##INFODOM##_ OP_CONTROL_ASSESSMENT` needs to be executed for the given date to do the assessment on operational controls. Once assessment is done, it will start appearing in UI under Assessment tab for a control.

Tables:

- FCT_PM_BATCH_TASK_MEASURES: Stores the statistics on each task.
- FSI_CTL_EFFECTIVENESS: Stores the Assessments created.
- FSI_CONTROL_ASSESS_SUMMARY: Summary of the assessment.

- FSI_OP_CONTROL_EXEC_DETAILS: Assessment details with all parameters.

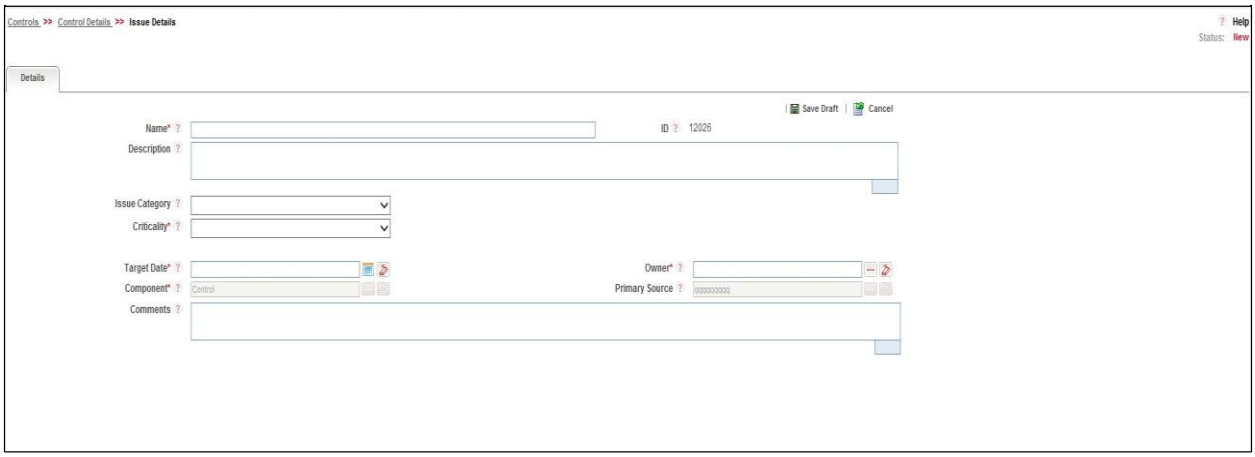



## 7.6 Raising Issues on Controls

In control module, if the user is mapped to Issue Creator role, the user has an option to create issue if the control is in open status.

1. Navigate to the **Control Details** page, **Create Issue** button appears on the top of the page.

2. Click **Create Issue** button to view the **Issue Creation** page.




## 7.7 Closing a Control

A Control in Open status can be closed. Perform the following steps to close a control:

1. Navigate to the **Controls Search** and **List** page, and select the Control.
2. Click **Close Control**. The following screen is displayed.

3. Enter a justification for closing the Control. Click **Submit**.
4. The Control is closed.

# 8 Defining the Key Indicators for Monitoring

This chapter explains the details of the Key Indicators (KI) module in the Oracle Financial Services Data Governance for US Regulatory Reporting application and step-by-step instructions to use this module.

This chapter includes the following topics:


- About Key Indicators
- Parameters of Key Indicators
- User Roles and Actions
- Creating a Key Indicator
- Managing Measure and Formulas


## 8.1 About Key Indicators

The Key Indicator (KI) component provides the flexibility to define Key Indicators to evaluate values, trends and variances of various data elements. They are important measures from the data foundation. which provide an insight into values of various data elements that are required for critical organizational processes. These indicators are reviewed on a periodic basis to alert stakeholders of possible situations needing attention.

OFS DGUSRR Key Indicators module provides an early-warning system to identify potential costly operational hazards including fraud, legal and technology risks. The use of KIs is recommended by Bank of International Settelments (BIS) for sound Operational Risk management. Therefore, it is an essential component of Basel II and Sarbanes-Oxley laws.

The type of values are quantitative and qualitative. For quantitative type of KI the user should load the measures. KIs are used as quantitative measures to monitor individual Critical Data elements and to determine the effectiveness of controls. The KI values are monitored for specific business processes such as regulatory reporting, used to determine variances, time series trends and many other metrics of data elements.

The application allows users to define various levels of thresholds depending on the level of analysis required. KI values are compared against threshold ranges defined.This determines the Red Amber Green (RAG) status of the KI. Various notifications and tasks can be sent to appropriate stakeholders depending on the level of the KI threshold value breach. The RAG status can be used as an indicator of the effectiveness of the Controls.

**NOTE:** A Key Indicator user should be mapped to the Issue Creator group in addition to other Key Indicator related groups, to create an Issue.

## 8.2 Parameters of Key Indicators

DGUSRR for Key Indicators for Regulatory Reporting is based on two parameters:

- Periodic Comparison

- Edit Checks

### 8.2.1 Key Indicators based on Periodic Comparison

Periodic comparison, as the name suggests, is the comparison of reports between two time intervals or periods. If we are handling monthly reports, then we need to compare and analyze the reports of two months (periods). If handling yearly reports, we need to compare and analyze the reports of two years (periods). This kind of comparison helps us to identify any kind of issue with the data.

**NOTE:** For few reports, first quarter of the current year cannot be compared with the last quarter of the previous year. As the report is for the current year and hence, comparison with previous year's data is invalid. By default, the reports are filtered by the latest values on the basis of Run Skey and MIS Date Skey Filter for period comparison.

Data is analyzed for each MDRM codes present in Regulatory Reports to identify the possible indicators. We have defined Key Indicator based on Period Comparison for each MDRM code present in report. Corresponding Thresholds are defined for each Key Indicator and Scores are provided for each threshold value. This score value in turn helps us to categorize RAG (Red, Amber and Green) status against each Key Indicator. According to the RAG value, user can take necessary actions for Red and Amber KIs.

### 8.2.2 Key Indicators based on Edit Checks

Each report has its own Edit check sheet that includes various Validity, Qualitative, Intraseries and Interseries check.

- **Validity Check:** Validity check is basically Quantitaive check. A validity check is used to check whether a particular value in a report is a number or not as it should be as per the Edit Check sheet. For example; One of the most common validity check states Value not equal to null.

**NOTE:** Derived columns should not be considered for Key Indicators. For example: if cells A1+A2=A3. Then A3 is the derived column.

- **Qualitative Check:** Qualitative Checks define value in one column should match values of another column. This ensures the quality of the reports.
- **Interseries Check:** Interseries Check involves comparison of two schedules within a single report.
- **Intraseries Check:** Intraseries Check involves comparison of two schedules from two different reports

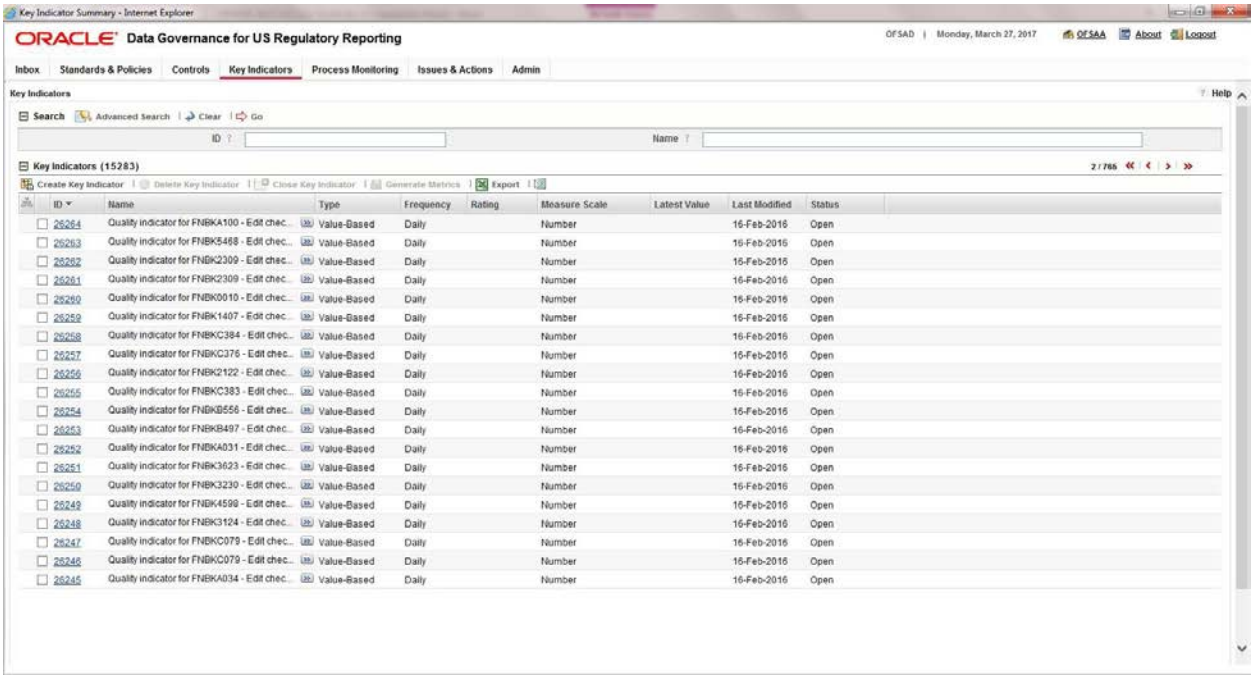
Edit checks are classified into two types:

- Controls

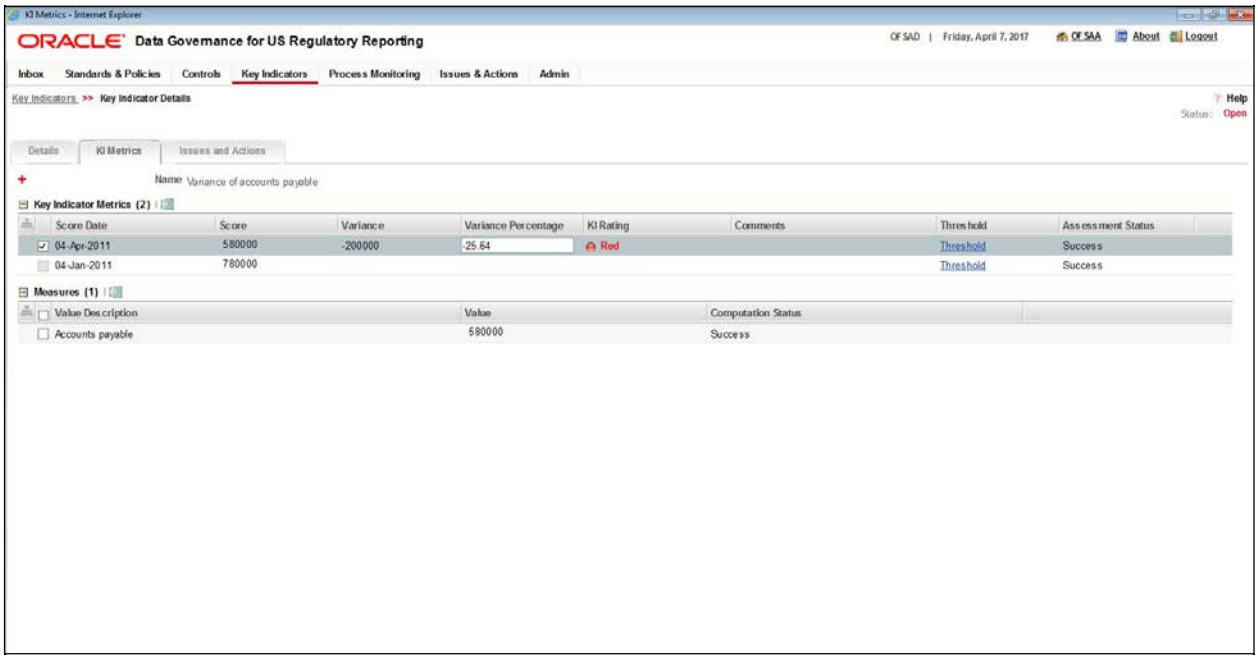
- Key Indicators

Edit check is defined on the basis of MDRM code. If the MDRM code mapping is received from the Staging phase, it is a Control and hence defined as a DQ check. If the MDRM code mapping is received rom Reporting phase, it is a Key Indicator. KI has its own formula. The Content of DGUSRR will define the KI definition and threshold values. This is fed to the DGUSRR, which reads the KI definition and threshold values to generate the KI indicators and provide the required RAG value.

The KI definitions are available in the FCT_KRI_DEF table.




The Threshold values are available in the FCT_KI_DEF_THRSLD table




## 8.3 User Roles and Actions

This section explains the different user roles and actions that can be perform in the Key Indicator module of the OFS DGUSRR application.

### 8.3.1 User Roles

All the users are required to be mapped to DGSAUTHGRP, DGSADMINGRP, and DGSANALYSTGRP along with their following respective groups.

The user roles defined in the Key Indicator module of OFS DGUSRR:

- **Key Indicator Creator**: Permits the user to create, view and maintain Key Indicators. The user needs to be mapped to **DGSKRCODGRP** group.
- **Key Indicator Value Capturer:** Helps the user to generate metrics. The user needs to be mapped to **KIVCAP** group.
- **Key Indicator Viewer:** Helps the user to view the key indicators. The user needs to be mapped to **DGKIVIEWGRP** group.

### 8.3.2 Actions

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

- **Creating Key Indicator**: This action allows the user to create a new Key Indicator record. Users can link or delink the components, define the formulas, Threshold limits, and attach or delete the documents before or after submitting the Key Indicator.
- **Editing Key Indicator**: This action allows the user to edit and update the Key Indicators in Draft or Review status.

- **Closing Key Indicator**: This action allows the user to close the Key Indicators in Open status.
- **Deleting Key Indicator**: This action allows the user to delete the Key Indicators in Draft Status.
- **Exporting Key Indicator**: This action allows the user to export the list of Key Indicator records. The Exported Key Indicator function allows the organization to have a compiled list of all applicable Key Indicator records.

## 8.4 Creating a Key Indicator

While defining a Key Indicator, the fields that are displayed are explained as tabulated.

**NOTE:** You should have Key Indicator Creator rights to create a Key Indicator.

### 8.4.1 Fields and their descriptions

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Name | Provide a short description for the KI |
| ID | Unique ID for the KI (auto-generated) |
| Description | Provide a long description for the KI |
| Type | • Value Based<br>• Variance Based |
| Source | Source from where the KI value is obtained, whether Internal or External |
| Frequency | Frequency at which the value of the KI is obtained from the source such as yearly, Half-yearly, Quarterly, Monthly, Fortnightly, Weekly, Daily |
| Measure Scale | Select the scale from the drop-down box, whether Percentage, Number or Amount |
| Owner | Select the KI owner |
| Caution User | User to be notified when value breaches the caution level |
| Critical User | User to be notified when value breaches the critical level |
| Currency | Select the base currency for thresholds and KI value |
| Comments | Provide additional information if any. |

### 8.4.2 Procedure to Create a Key Indicator

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

**NOTE:** Users mapped to the role of Key Indicator Creator can create a Key Indicator.

To create a Key Indicator, perform the following steps:

1. Navigate to the **Key Indicator Search** and **List** page, and click **Create Key Indicator**. The **Key Indicators Details** page is displayed.

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

2. Enter the required information in the fields.
3. In the **Owner** field, click the hierarchy browser and select the Owner for the control. Click to clear the field. Similarly, select **Caution User** and **Critical User.**
4. Click **Save Draft**. A Confirmation dialog box is displayed, with the message: *Add Operation Successful*.
5. Click **OK**. The Key Indicator is saved and Key Indicator Details page is displayed. The status of Key Indicator changes to Draft.
6. Click **Edit** to update the information, and **Submit**. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful*.' The status of the Key Indicator changes to Open.

**NOTE:** You cannot submit a Key Indicator at the first instance.

7. You can view the KI in the **Key Indicator Search and List** page.

## 8.5 Managing Measure and Formulas

For Enterprise valid Key Indicators, the values are generated. Predefined value sets are created in the applications installed in the same Information Domain. Users mapped to the role of Key Indicator Creator can update this details in Draft or Open status.

### 8.5.1 Creating Measures

The seeded measures are populated in the measure list of Measure and Formula page. To create the manual measures, perform the following steps:

1. Enter the values in following columns of DIM_KI_MEASURE table (available in atomic schema):

**Columns of DIM_KI_MEASURE Table**

| Column | Description |
|---|---|
| N_MEASURE_KEY | This is the primary key. Enter a unique key number. |
| V_MEASURE_CODE | Enter the measure code. This should be same as of N_MEASURE_KEY. |
| V_MEASURE_NAME | Allows you to enter the name of measure which is not available in existing list. For example, number of customers, number or complaints and so on. You can enter a maximum 300 characters in this column. |
| N_MEASURE_TYPE | Enter the type of measure. The type is entered as Number as you have defined it for status. Following are the types of measure<br>1 - Internal Source - (Automated)<br>2 - External Source - (Automated)<br>3 - Internal Source - (Manual)<br>4 - External Source - (Manual) |
| N_MEASURE_STATUS | Enter the status of measure as 1 (active) or 2 (Inactive). Only active measures will be displayed in measure list of Measure and Formula page. |
| N_ENTITY_KEY | Enter the entity key value. For example, if you want to create a measure based on Risk module, enter the entity value of that module in this field. The Entity Key values are available in SETUP_COMPONENTS table. |
| N_APP_KEY | Enter the name of application. Following are the values for Application key:<br>1 – Data Governance for US Regulatory Reporting |

2. DIM_KI_MEASURE_MLS table is used to store the names of the measure in different languages as available or installed. Enter the values in following fields of DIM_KI_MEASURE_MLS table:

**Columns of DIM_KI_MEASURE_MLS table**

| Column | Description |
|---|---|
| N_MEASURE_KEY | This is the primary key. Enter the unique key number. This value should be same as defined in DIM_KI_MEASURE table. |
| V_MEASURE_NAME | Allows you to enter the name of measure which is not available in existing list. For example, number of custom- ers, number or complaints and so on. This value should be same as defined in DIM_KI_MEASURE table. |

| | |
|---|---|
| DESCLOCALE | Enter the locale details of measure. For example, en_US and so on. |

3. After populating these values in table, the created measures (if status is active) will be displayed in KI screen when defining the formula.

**NOTE:** Measures should be created in these tables to appear in the user interface.

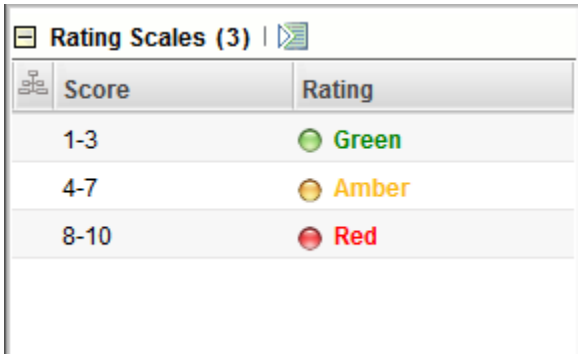
### 8.5.2 Defining Limits

To define the limits for a specific KI, perform the following steps:

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

**NOTE:** While creating the KI, select the Type as Quantitative, Source as Internal, and ensure that the KI is in Draft state.

3. Expand the **View more** section. In the Threshold section, click **Define Limits.**
4. Assign Lower limit, Uppder Limit, Score and Rating. Ensure that the ranges do not overlap.
5. Click **Update**. A Confirmation dialog box is displayed, with the message: *Update Operation Successful*.
6. Click **OK**.
7. Click **View Rating Scale** to view the rating assigned to each score. Based on the score the rating scale is classified as Green, Amber or Red.



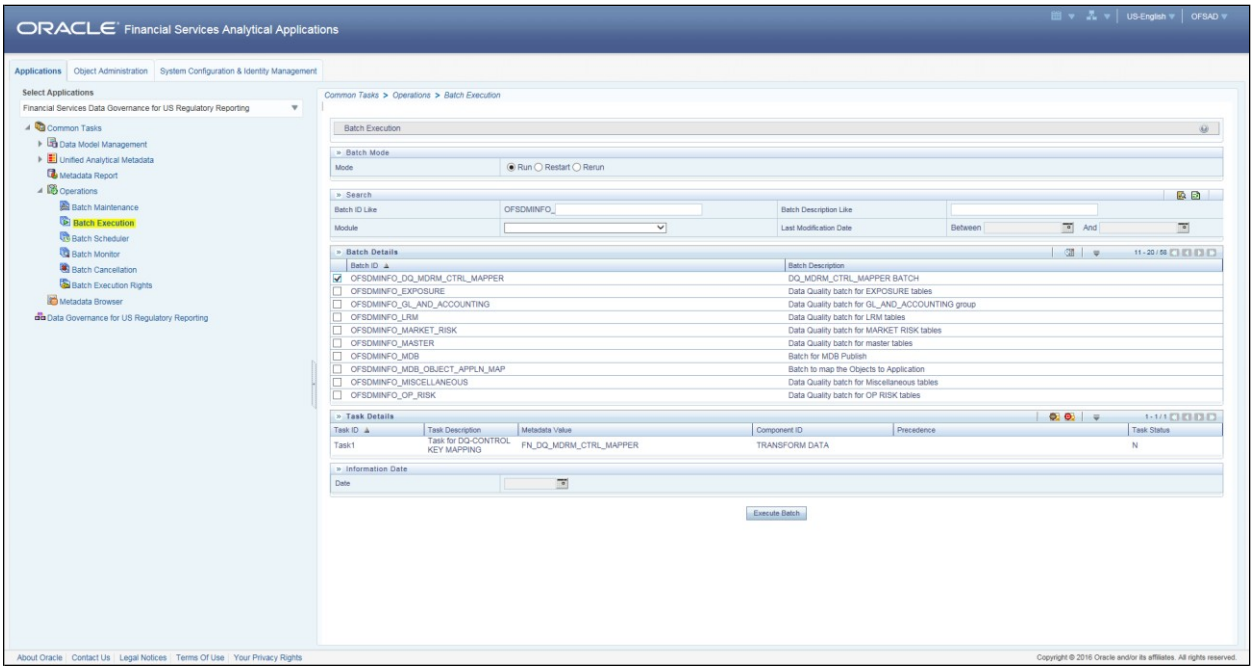

### 8.5.3 Bulk KI Assessment

Bulk KI Assessment process helps to create assessments for multiple KIs at once based on the frequency and start date of the KIs. For performing Bulk KI Assessment, execute the batch `<INFODOM>_BULK_KI_ASSESSMENT` for a given date.

### 8.5.4 DQ-Control Mapping Utility

Perform the following steps to access DQ_Control Mapping Utility:

1. Select Financial Services Data Governance for US Regulatory Reporting from the **Select Applications** dropdown.
2. Navigate to **Common Tasks-> Operations-> Batch Execution**.
3. Select `DQ_MDRM_CTRL_MAPPER` batch from the **Batch Details** grid to execute the batch.




To map the created controls to the DQs, navigate to the Batch Execution and execute the batch `DQ_MDRM_CTRL_MAPPER`.

This will map N_CONTROL_KEY from the DQs present in the `fsi_control_dq_map` table to the pre-seeded entries in the `fsi_rr_ctl_map`.

### 8.5.5 Updating Measures in Formula

To update a Formula, perform the following steps:

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

**NOTE:** To delete a measure from the Formula, select the measure and click **Delete**.

# 9 Issues and Actions

This chapter explains the process of creating issues for problems or deficiencies arising during execution of the plan, which require attention and resolution, and describes the process of identifying the corrective actions for issues. When you identify a particular issue or a problem statement that poses as an risk, you can create issues and subsequently create necessary action plans to resolve or address those issues.

Organizations use action plans to address a particular issue that has occurred. Users mapped to the role of Issue Owners or Action Creators can create Action Plans for their Issues.

This chapter includes the following topics:


- About issues and Actions
- Issues
- Managing Issues
- Actions
- Managing Actions


## 9.1 About Issues and Actions

An issue is a problem statement or matter requiring attention. Actions are plans or activities taken up to resolve those issues. Actions are corrections activities that are planned to remediate an issue, and are assigned to individual users for updates and completion.

Organizations may need to identify and track issues whenever there is an alarming situation, such as when an incident is reported, Key Indicators (KIs) are breached, risk is assessed as high, control is assessed as ineffective, regulation is breached and so on. It can be created out of ineffective controls, breached key indicators, or as a result of delays in completion of tasks process monitoring. It can also be created to track change management of a change to a metadata and its impact on all related metadata objects.

Issues can be created either from the Issues and Actions module or from other modules such as Controls, whenever the parameters are alarming and require issue creation.

Actions are created to remediate an issue. After the actions are closed the issue is reviewed for closure. Therefore, ensure that you complete all actions to close an issue. Action plans aim at estimating the cost involved in addressing issues. If the cost of taking up the action is more than the risk involved in the issue, an organization can choose to close the issues without any actions.

## 9.2 Issues

This section includes:


- User Roles and Actions
- Issue Workflow

- Tasks and Notifications in Issues

### 9.2.1 User Roles and Actions

All the users are required to be mapped to DGSAUTHGRP, DGSADMINGRP, and DGSANALYSTGRP along with their following respective groups.

This section provides information on the user roles and actions in Issues module.

**User Roles**

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

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

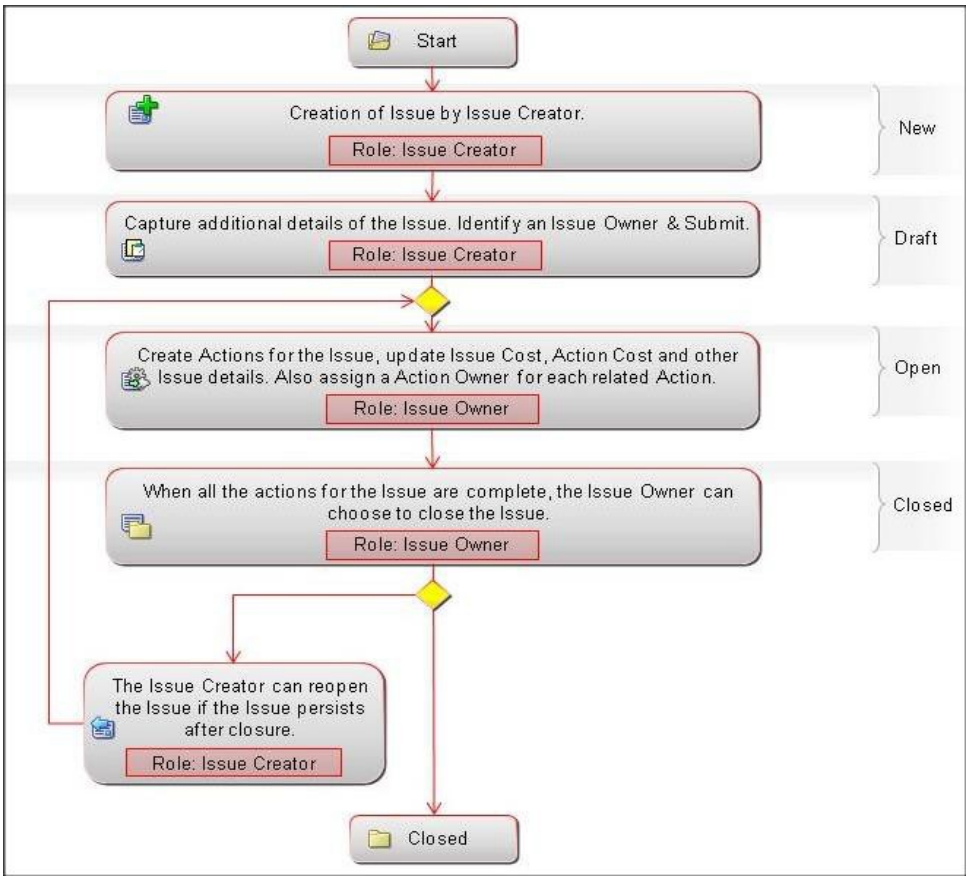
**Actions**

The User Roles described above can perform the following actions:

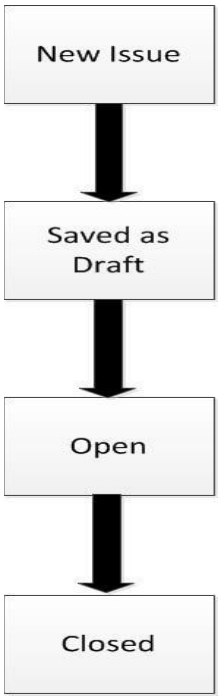
- **Creating Issue**: This action allows an Issue Creator to create a new issue identified by an organization.
- **Creating Action**: This action allows an Issue Owner to create new action plans or link existing action plans from the Issue Details page for resolving an issue.
- **Deleting Issue**: This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

### 9.2.2 Issue Workflow

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




The status flow of the Issues module is as follows:



### 9.2.3 Tasks and Notifications in Issues

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

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

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

## 9.3 Managing Issues

This section includes the following:


- Creating an Issue
- Managing Issue Details
- Transferring Ownership of an Issue
- Closing an Issue
- Reopening Closed Issues
- Deleting an Issue
- Exporting List of Issues to Excel
- Creating Actions from Issues


### 9.3.1 Creating an Issue

While creating an Issue, the fields that are displayed are explained as tabulated.

#### 9.3.1.1 Fields and their descriptions

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Name | Short description for the issue |
| ID | unique id for the issue(auto generated) |
| Description | long description for the issue |
| Issue Category | Select the classification type of the issue from the drop-down box, such as Data Authorization, Data Security, Data Privacy, Data Accuracy, Data Availability, Timeliness |
| Criticality | Select the level of criticality of the issue such as High/Medium/Low from the dropdown |
| Target Date | Select a target date from the calendar for completion of the issue |
| Owner | Select the User, from the hierarchy button, who owns and tracks the resolution of the issue |
| Component | Select the component from the hierarchy button which the Issue is to be created |
| Primary Source | Select the particular entity in the source function for which the Issue is to be created. This is only active if input is provided for Component. |

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Comments | Provide additional information if any |

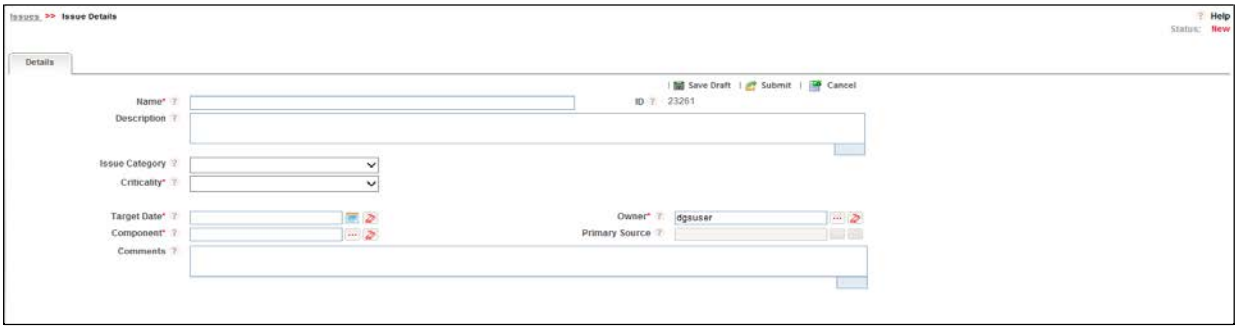
#### 9.3.1.2 Procedure to Create an Issue

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

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

To manually create an issue from the Issues and Actions module, perform the following steps:

1. When creating issues from the **Issues & Actions** module, select issues and navigate to the **Issues Search** and **List** page and click **Create Issue**. The **Issues Details** page is displayed.
   Or,
   When creating issues from other modules in the DGUSRR application, navigate to the respective module details page and click **Create Issue**. The **Issues Details** page is displayed.




2. Enter the required information in the fields.
3. Click **Save Draft** to save the information entered in the Definition page. A Confirmation dialog box is displayed, with the message: '*Add Operation Successful.'*
4. Click **OK**. You are navigated to the **Issues Details** page and the status of the issue changes to **Draft**. You can Edit the Issue and Update or Submit it to the Issue Owner.

   Or:

   Click **Submit** to save the entered information and submit the issue to the Issue Owner for taking further actions. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful*.'
5. Click **OK**. You are navigated to the Issues Details page and the status of the issue changes to Open. A new issue is created.

### 9.3.2 Managing Issue Details

The Issues Details page allows you to manage additional tasks and functionalities pertaining to the Issues. This section covers the following topics:

- Editing an Issue
- Managing Details
- Managing Linkages

#### 9.3.2.1 Editing an Issue

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

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

**Editing an Issue in Draft Status**

To edit an issue in Draft status, perform the following steps:

1. Select the Issue ID from the Issue search and list page. Navigate to the **Issues Details** page.
2. From the **Details** tab, click **Edit**. Modify the necessary issue details.
3. Click **Update** to save the information entered in the details page. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful*.'
4. Click **OK**. You are navigated to the **Issue Details** page and the status of the issue remains in Draft.

   Or:

   Click **Submit** to save the entered information and submit the issue to the Issue Owner for taking further actions. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful*.'
5. Click **OK**. You are navigated to the Issues Details page and the status of the issue changes to **Open**.

#### 9.3.2.2 Managing Details

This section covers the following topics:

- Attaching and Deleting Documents

**Attaching and Deleting Documents**

The **Issue Details** page allows you to attach or delete documents related to an issue. Refer to Managing Documents section for details.

#### 9.3.2.3 Managing Linkages

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

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

This section includes the following topics:

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

**Linking an Record to an Issue**

To link an entity record such as controls or Key Indicators to an issue, perform the following steps:

1. Login to the application as an Issue Owner.
2. Navigate to the **Issue Details** page of an issue in Open status.
3. Click **Linkages** tab. The list of entities such as Controls or Key Indicators is displayed.
4. Click **Link** on the required entity. A window with a search bar and a list of pre-filtered records is displayed in various statuses. The following table displays the statuses of records that you can link to each entity:

| Entity Name | Status of Records |
|---|---|
| Controls | Open |
| Key Indicators | Open |

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

   Or:

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

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

**Delinking an Record to an Issue**

To delink entity records such as controls or Key Indicators from an issue, perform the following steps:

1. Login to the application as an Issue Owner.

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

The record is delinked from the respective entity section.

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

### 9.3.3 Transferring Ownership of an Issue

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

To transfer the ownership of an issue, perform the following steps:

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

   Or:

   From the **Issues Details** page of an issue in Open status, click **Transfer Ownership**. The **Ownership Transfer** window is displayed.
2. Select a new owner from the hierarchy browser window.
3. Enter any comments in the **Comments** fields.
4. Click **Submit**. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful.'*
5. Click **OK**.
6. Click **Back**.

You are navigated to either the updated **Issues and Search List** page or the **Issues Details** page from where the transfer of ownership action is performed.

### 9.3.4 Closing an Issue

You can close an issue when you have completed all the actions created for an issue or you believe that the identified issue is no longer relevant.

**NOTE:** When you want to close an issue, the status of all the associated actions must be in Completed status. If you try to close an issue without completing all the actions associated with it, the following message is displayed: '*Please close all actions associated with the Issue.'*

To close an Issue, perform the following steps:

1. Navigate to the **Issues Search and List** page. Select an issue in Open status, and click **Close Issue**. The **Issue Details** page is displayed.

   Or:

   From **Issues Details** page of an issue in Open status, click **Close Issue**. The **Issue Details** pag is displayed.

2. Enter the reason for the closure of the issue in the **Comments** field.
3. Click **Submit**. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful.'*
4. Click **OK**.
5. Click **Back**.

You are navigated to either the updated **Issues and Search List** page or **Issues Details** page from where the closure action is performed. The status of the issue changes to Closed.

### 9.3.5 Reopening Closed Issues

An Issue Creator user can reopen a closed issue if the user believes that if there is a need to re-examine the issue or the issue that was closed is still existing in the organization, or the actions plans initiated to mitigate the issue were not satisfactory.

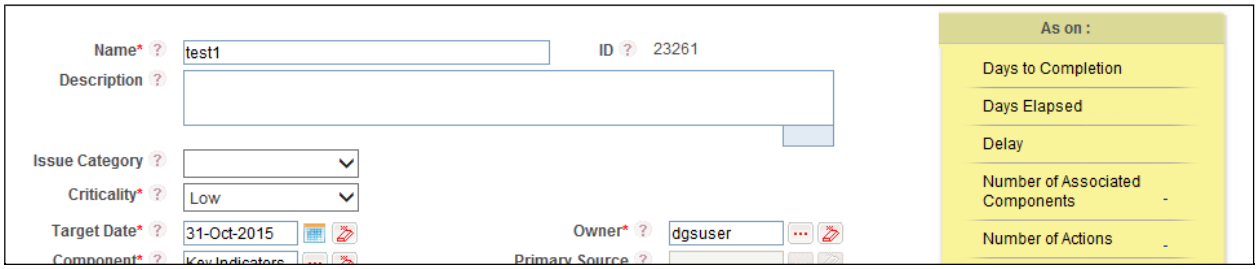
**NOTE:** Only users mapped the role of Issue Creator can reopen the closed issues.

To reopen a closed issue, perform the following steps:

1. Navigate to the Issues Search and List page. Select an issue in Closed status, and click **Reopen**. The **Issue Details** page is displayed.

   Or:

   From the **Issues Details** page of an issue in Closed status, click **Reopen**. The **Issue Details** page is displayed.



2. Enter comments in the **Comments** field.
3. Click **Submit**. A Confirmation dialog box is displayed, with the message: '*Update Operation Successful.'*
4. Click **OK**. You are navigated back to the **Issue Details** window.
5. Click **Back**.

You are navigated to either the updated **Issues and Search List** page or **Issues Details** page from where the reopening actions is performed. The status of the issue changes to Open.

### 9.3.6 Deleting an Issue

Users mapped to the role of Issue Creator, or Issue Owner can delete issues in Draft status if they are not applicable to the business or an organization.

**NOTE:** You can delete an issue only when it is in Draft status.

To delete an issue, perform the following steps:

1. Navigate to the **Issues Search and List** page.
2. Select an issue in Draft status.
3. Click **Delete**. The Confirmation window is displayed:
4. Click **OK**. The following window is displayed: *Delete Operation Successful.*
5. Click **OK**. The selected issue is deleted. You are navigated to the updated Issues Search and List page.

### 9.3.7 Exporting List of Issues to Excel

You can export the list of issues displayed in the Issues Search and List page to an Excel format.

**NOTE:** You cannot export individual issues to Excel.

Refer to section Exporting Records for more details.

### 9.3.8 Creating Actions from Issues

When an organization wants to record recommended action plans to address a particular issue that has occurred, they can create action plans. Users mapped to the role of Issue Owner or Action Creator can create action plans or new actions for an issue.

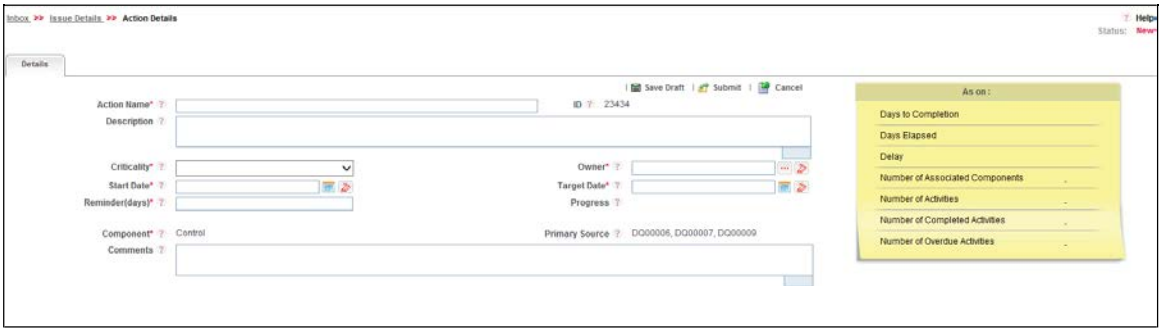
To create action plans for a an issue, perform the following steps:

1. From the **Open Tasks** tab in the **Inbox** menu, click a Task ID in Open status. You are navigated to the **Issues Details** page.

   Or:

   Navigate to the **Issues Search and List** page and click the required Issue ID in Open status on which you want to create actions. You are navigated to the **Issues Details** page.

2. Expand **View More** from the **Details** tab. The Actions, Document and Workflow History sections are displayed.
3. Click **Create Action** from the Actions section. The **Actions Definition** page is displayed.




4. Enter the following information in the **Actions Definition** page.

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Action Name | Short description for the action |
| ID | Unique id for the action (auto generated) |
| Description | Provide a long description for the action |
| Criticality | Select the level of criticality of the action plan such as High/Medium/Low |
| Start Date | Enter the date by which the action plan has to be executed |
| Target Date | Enter a target date for completion of the action |
| Owner | Select the User who owns and tracks the resolution of the action |
| Reminder Days | Enter the number of days before which the action assessor has to be intimated to complete the action |
| Progress | This field is enabled for an Action Owner to update the measure of completion of action plan.<br>**Note**: By default, this field is disabled when the action is created. |
| Component | Select the component for the action |
| Primary Source | Select the particular entity in the source function for which the automatic issue is being created |
| Comments | Provide additional information if any |

5. Click **Save Draft** to save the information entered in the details page. A Confirmation dialog box is displayed, with the message: '*Add Operation Successful*'. Click **OK**. You are navigated to the **Actions Details** page and the status of the issue changes to Draft.

   Or:

   Click **Submit** to save the entered information and submit the action to the Action Owner for taking further actions. A Confirmation dialog box is displayed, with the message: '*Add Operation Successful*.' Click **OK**. You are navigated to the Actions Details page and the status of the action changes to Open.

   A new action is created and a task is sent to the owner of the action for taking further actions.

**NOTE:** You can also use the Link option to link the various actions that are applicable to the current issue.

## 9.4 Actions

This section includes:

- User Roles and Actions
- Action Workflow
- Tasks and Notifications in Actions

### 9.4.1 User Roles and Actions

This section provides information on the user roles and actions in the Actions module.

**User Roles**

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

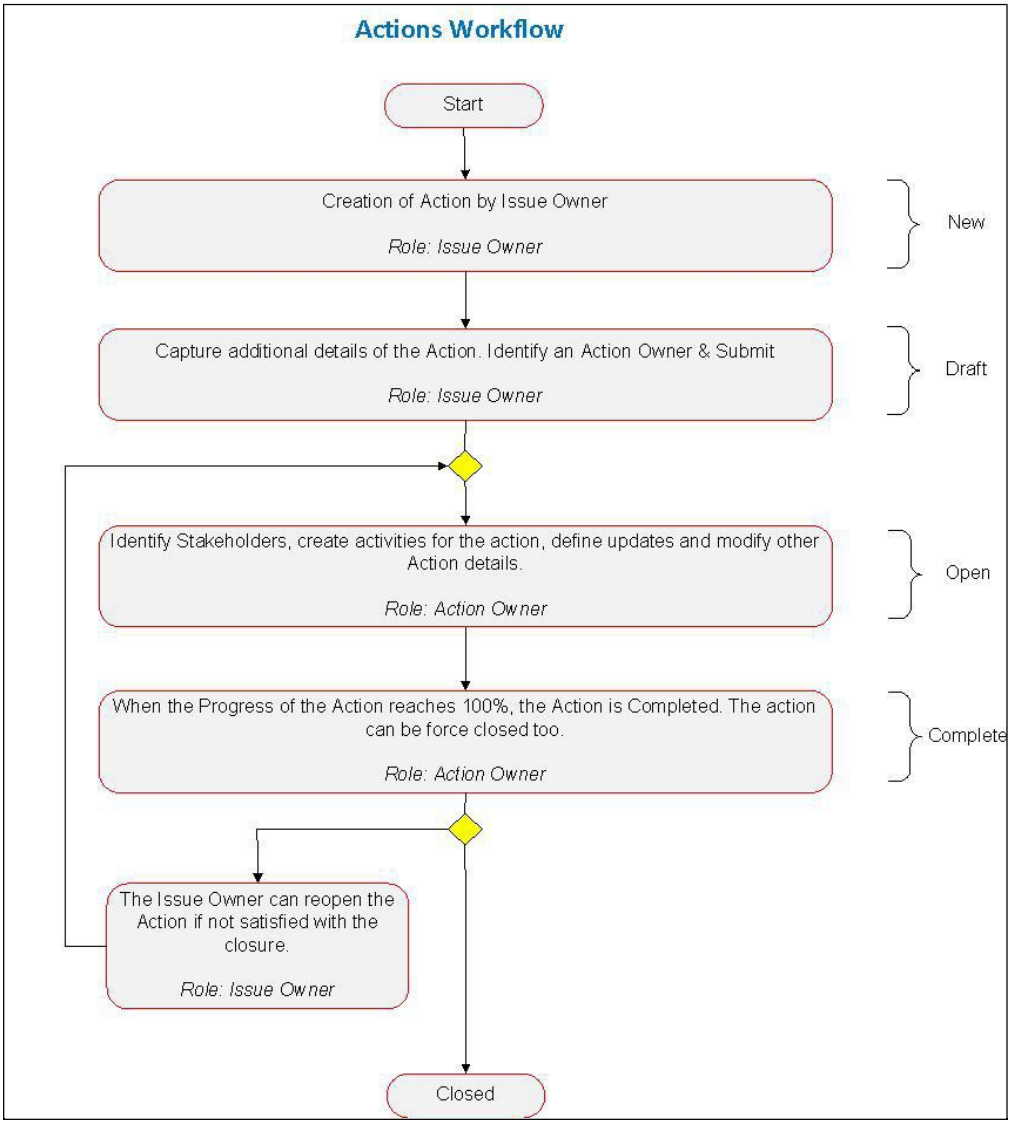
- **Issue Owner or Action Creator:** This user is responsible for assessing the issue created by the Issue Creator, adding issue details, and creating adequate action plans to resolve the issue. This user can assign a created action to an Action Owner and can also reopen the completed actions. The user needs to be mapped to DGISASRGRP group.
- **Action Owner:** This user is responsible for assessing the actions created by the Issue Owner, implementing action plans pertaining to an issue and tracking them to completion. This user can update the percentage completion of actions, activities performed and cost incurred in carrying out the actions. The user needs to be mapped to the DGSAUTHGRP, DGSADMINGRP, and DGSANALYSTGRP along with the DGAAGRP group.

**Actions**

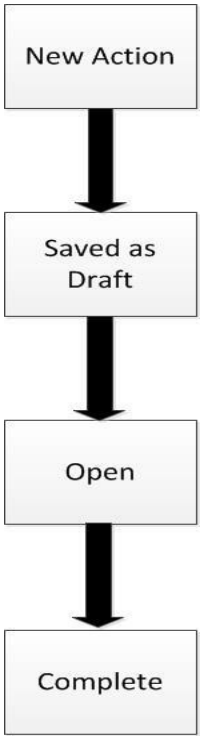
The user roles described above can perform the following actions:

- **Deleting Action:** This action allows an Issue Owner or Action Creator user to delete an action in Draft status when an Issue Owner or Action Creator believes that the action is no longer required.
- **Force- Closing Action:** This action allows an Action Creator or Issue Owner user to close an issue when associated actions have been completed.
- **Reopening Action:** This action allows an Issue Owner or an Action Creator to reopen closed actions.
- **Transferring Ownership**: This action allows an Action Owner to transfer the ownership of an action to an appropriate user.
- **Exporting Action:** This action allows all user roles to export the list of actions to a Microsoft Excel spreadsheet.

### 9.4.2 Actions Workflow



The status flow of the Actions module is as follows:




### 9.4.3 Tasks and Notifications in Actions

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

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

| Action Performed | Task/Notification | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Submitting an Action by Issue Owner or Action Creator | Task | A Task is sent to the Action Owner selected in the Owner field. | Action Owner | Open |
| Submitting an Action by Action Owner | Notification | A Notification is sent to the Issue Creator of the Issues mapped to the action. | Issue Creator | Open |
| Transferring the Ownership | Task | A Task is sent to the new action ownerselected in the Transfer Ownership window. | Action Owner | Open |

| | | | | |
|---|---|---|---|---|
| Transferring Ownership | Notification | A Notification is sent to the Issue Owner who created the Action and all the stakeholders captured in stake holders tab. | Issue Owner and Stake holders | Open |
| Completing the Progress of an Action to 100% | Notification | A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in Stakeholders tab. | Issue Owner and Stake Holders | Closed |
| Force closing an Action | Notification | A Notification is sent to the Issue Owner who created the Action and all the stake holders captured in Stakeholders tab. | Issue Owner and Stake holders | Open |

## 9.5 Managing Actions

This section includes the following:

- Managing Action Details
- Transferring Ownership of an Action
- Closing an Action
- Reopening Completed Actions
- Deleting an Action
- Exporting List of Actions to Excel

### 9.5.1 Managing Action Details

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

This section discuses the following topics:

- Editing Action Details
- Managing Details

#### 9.5.1.1 Editing Action Details

When you want to update or modify action plans associated with issues, you can edit an action from the Action Details page. Users mapped to the role of Action Owner can edit an issue in Open status whereas an Action Creator user can edit only in Draft status.

To edit an action in Open status, perform the following steps:

1. Navigate to the **Action Details** page.
2. From the **Details** tab, click **Edit**. The Action Details page is displayed.
3. Modify the necessary action details.

   You can also perform actions such as adding an activity, adding stakeholders, adding action updates and viewing the workflow. For more information, refer to Managing Details.
4. Click **Submit**. A Confirmation dialog box is displayed, with the message: *Update Operation Successful.*
5. Click **OK**. The updated Action Details page is displayed.

#### 9.5.1.2 Managing Details

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

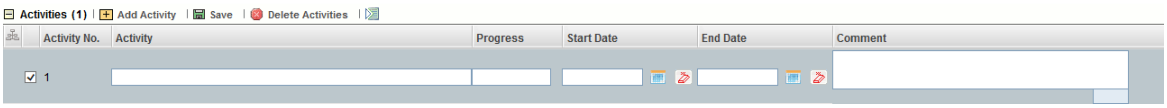
This section discuses the following topics:

- Adding Activities to an Action
- Adding Action Updates
- Attaching and Deleting Documents

**Adding Activities to an Action**

To add an activity to an action, perform the following steps:

1. Navigate to the **Action Details** page of an action in **Open** status.
2. Expand **View More** to display the list of sections.
3. Click **Add Activity** from the Activity section. An activity row is added.



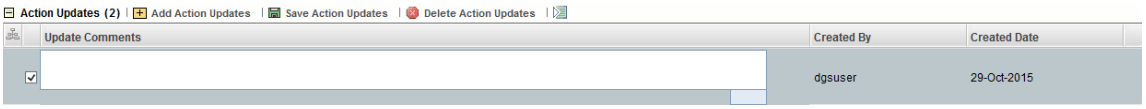

4. Check the check box for the row to make the Activity editable.
5. Enter the Activity Name, Progress, Start date, End date of the activity. and any comments.
6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. A new activity is added in the activities section.

**NOTE:** To delete an activity, select the row and click **Delete Activities**.

**Adding Action Updates**

To add an update to an Action, perform the following steps:

1. Navigate to the **Action Details** page of an action in **Open** status.
2. Expand **View More** to display the list of sections.
3. Click **Add Action Updates** from Action Updates section. An Action Update row is added.




4. Click the check box for the row to make the action update editable.
5. Enter comments in the field **Update Comments.**
6. Click **Save Action Updates**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. A new update action is added in the Action Updates section.

**NOTE:** To delete an action update, select against each row and click **Delete Action Updates**.

#### Attaching and Deleting Documents

The Action Details page allows you to attach or delete documents related to an action. For more details on how to attach and delete documents, refer to Managing Documents section.

### 9.5.2 Transferring Ownership of an Action

To transfer the ownership of an Action, perform the following steps:

1. From the **Action Search and List** page, select an action in **Open** status, and click **Transfer Ownership.** The Ownership Transfer window is displayed.

   Or:

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

2. Select a new owner from the hierarchy browser window.
3. Enter any comments in the **Comments** fields.
4. Click **Submit**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**.
6. Click **Back**. You are navigated to either the updated Issues and Search List page or Issues Details page from where the transfer of ownership action is performed.

### 9.5.3 Closing an Action

Actions can be closed once they are complete. If all actions for an Issue is addressed, then Issues can be closed. If an Action is abandoned mid-way, it can be force closed. Once all actions are closed, the Issue can be closed.

Only users mapped to the role of Action Owner can close or force close actions. Only an Issue Owner can close Issues.

#### 9.5.3.1 Force-Closing an Action

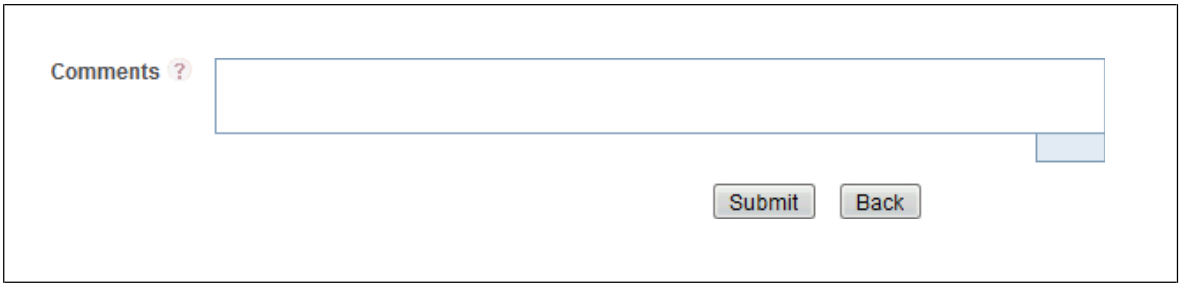
You can force-close an action if it is no longer relevant to the associated issues. You can force-close an action only when it is in Open status.

To close an action, perform the following steps:

1. From the **Action Search and List** page, select an action in **Open** status, and click **Force Close Action**. An Action Details window is displayed.

   Or:

   From the **Action Details** page of an action in **Open** status, click **Force Close Action**. An Action Details window is displayed.




2. Enter the reason for the closure of the issue in the **Comments** field.
3. Click **Submit**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.
5. Click **Back**. You are navigated to either the updated Actions and Search List page or Action Details page from where the closure action is performed. The status of the issue changes to Complete.

### 9.5.4 Reopening Completed Actions

Only a user mapped to the role of Issue Owner can reopen actions associated for an Issue.

To reopen a completed action by an Issue Owner, perform the following steps:

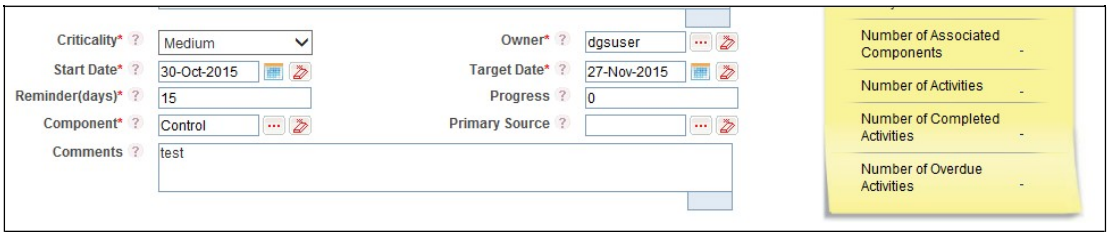
1. From the **Issues Search and List** page, select an issue in **Open** status. Expand **View More** and click the required Action ID in Completed status. The Action Details page is displayed. Click **Reopen Action**. An Action Details window is displayed.

   Or:

From the **Action Search and List** page, select an action in **Completed** status, and click **Reopen Action**. The Action Details window is displayed.

Or:

From the **Action Details** page of an action in **Completed** status, click **Reopen Action**. An Action Details window is displayed.




2. Enter comments in the **Comments** field.
3. Click **Submit**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.
5. Click **Back**. You are navigated to either the updated Action Search List page or Issues Details page from where the reopening actions is performed. The status of the issue changes to Open.

### 9.5.5 Deleting an Action

The Controls section allows you to delete Action Plans in Draft status.

Users mapped to the role of Issue Owner can delete Actions in Draft status if Issue Creation is turned on. If Issue Creation is turned off, Users mapped to the role of Control Owner, can delete Draft Actions linked to Controls. Users mapped to the role of Action Owner can delete issues in Draft status if they are not applicable to the business or an organization.

To delete an action in Draft status, perform the following steps:

1. From the **Action Search and List** page, select an action in **Draft** status.
2. Click **Delete Action**. The following confirmation message is displayed: *Are you sure you want to delete this record?*
3. Click **OK**. The following message is displayed: *Delete Operation Successful.*
4. Click **OK**. The selected action is deleted.

You are navigated to the updated Action Search and List page.

### 9.5.6 Exporting List of Actions to Excel

You can export the list of actions displayed in the Action Search and List page to an Excel spreadsheet. Refer to section Exporting Records for more details.

**NOTE:** You cannot export individual actions to Excel.

# 10 Process Monitoring

This chapter explains the process of identifying the reporting plan.

This chapter includes the following topics:


- User Roles and Actions
- Process Monitoring Workflow
- Creating a Reporting Plan
- Linking the OFSAA Runs to a Plan
- Linking the Tasks to Runs
- Linking the Dependent Tasks to Tasks
- Monitoring a Reporting Plan
- Viewing a Reporting Plan


## 10.1 User Roles and Actions

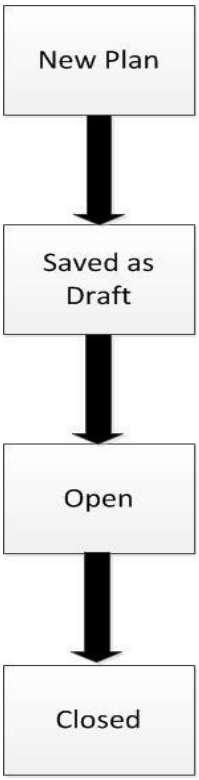
All the users need to be mapped to **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP**, along with **DGSPSI** and **PROCUSER**.

Following is the user role and action for Glossary:

- **PROCUSER :** Permits the user to access the processs monitioring module.

## 10.2 Process Monitoring Workflow

Following flowchart describes the Process Monitoring Workflow:




## 10.3 Creating a Reporting Plan

The reporting plan provides an overview of the timelines for the regulatory submission. It is activity specific. For example, the plan for regulatory report submission of one activity is different than another. The plan includes the scope and schedule for tracking and completion.

To create a reporting plan, define the name, purpose, owner and additional attributes for the plan. Additionally, you need to define the OFSAA runs and scope of the plan. You can choose any OFSAA run as the scope and derive the tasks from all the runs in the scope.

### 10.3.1 Fields and their descriptions

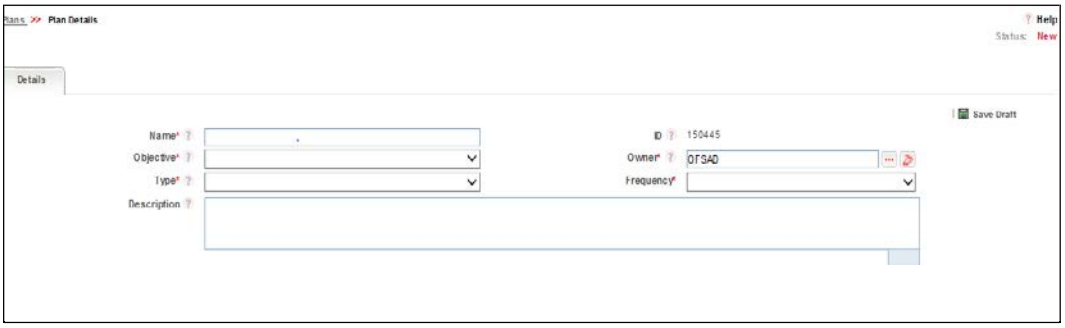
| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Name | Provide a short description of the plan. |
| ID | Displays the unique ID for the plan (auto-generated). |
| Objective | Select the objective from the drop-down box, whether Business, Management or Regulatory. |
| Owner | Select the owner of the plan such as the user responsible for tracking the plan to closure. |

| Fields | Description |
|---|---|
| **Fields marked in red asterisk(*) are mandatory** | |
| Type | Select the plan type from the drop-down box, whether Regulatory Report Submission, or Management Report Submission. |
| Description | Provide a long description of the plan. |
| Frequency | It is the frequency of a Plan |

### 10.3.2 Procedure to Create a Reporting Plan

Perform the following steps to create a Reporting Plan:

1. Navigate to the **Process Monitoring Search and List** page.
2. Click **Create Plan**. The **Plan Details** page is displayed.
3. Enter the required information in the fileds.




4. Click **Save Draft**. A Confirmation dialog box is displayed, with the message: *Click OK to continue to Details page for newly created entry. Click Cancel to remain in the create new screen to add additional entries.*
5. Click **OK** to proceed. The status of the Plan changes to Draft.

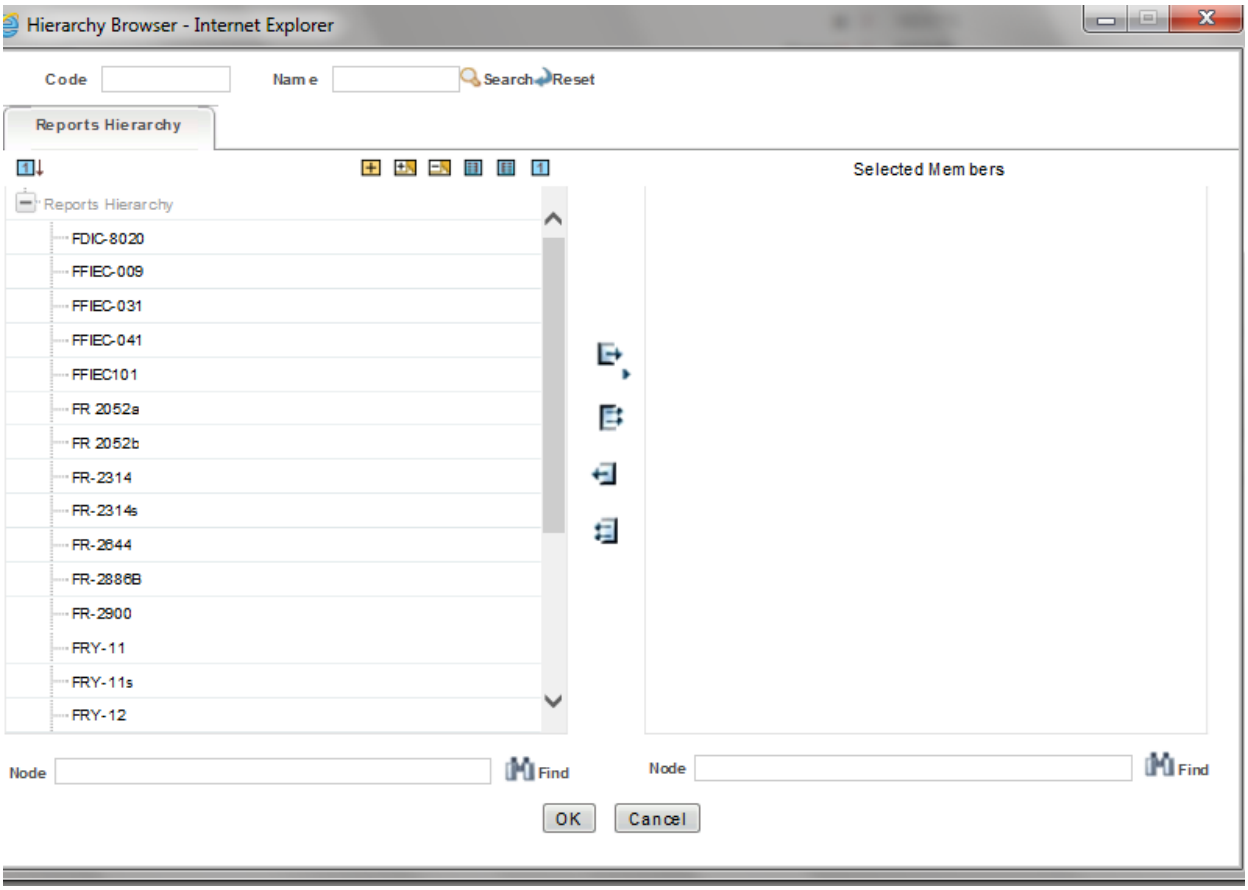
**NOTE:** You should schedule the plan before submitting.

6. The plan is submitted, and the status changes to Open.

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

## 10.4 Linking Reports to a Plan

Regulatory Reports can be associated to a Plan in Process Monitoring module

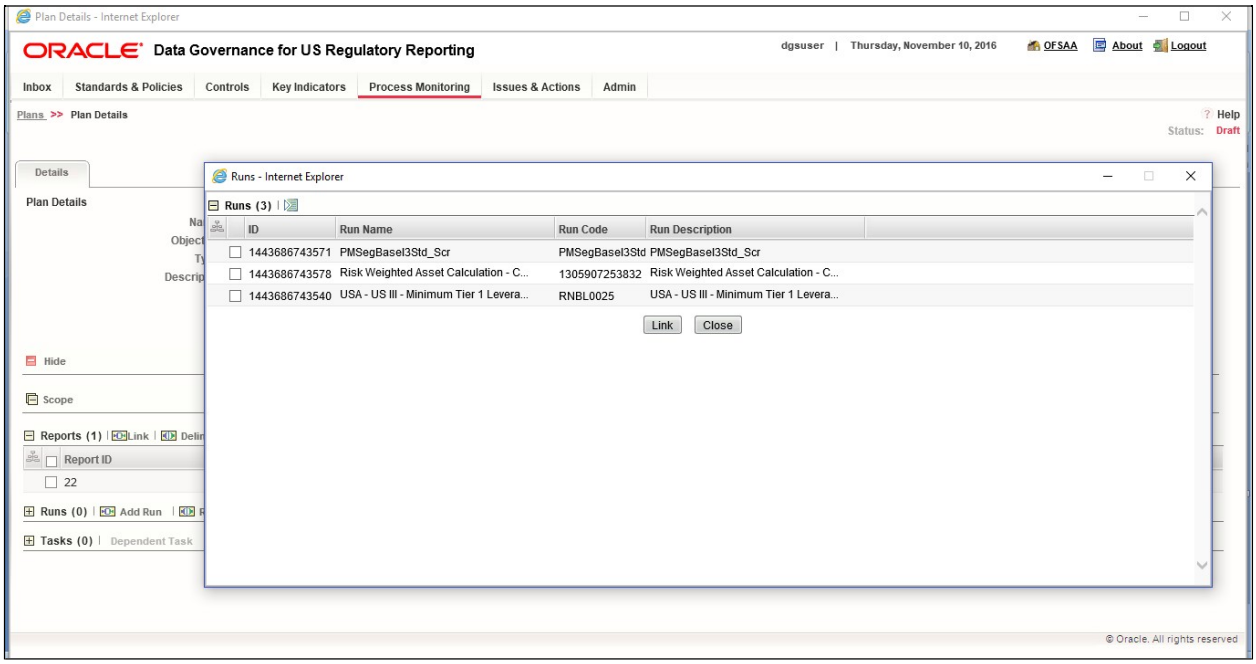



## 10.5 Linking the OFSAA Runs to a Plan

Data Governance for US Regulatory Reporting facilitates mapping of OFSAA Runs to the Plans created in Process Monitoring module. For the created plan, user can link the Runs by selecting the **Link** button in the Runs Grid. All the selected runs will be displayed in the Runs grid.

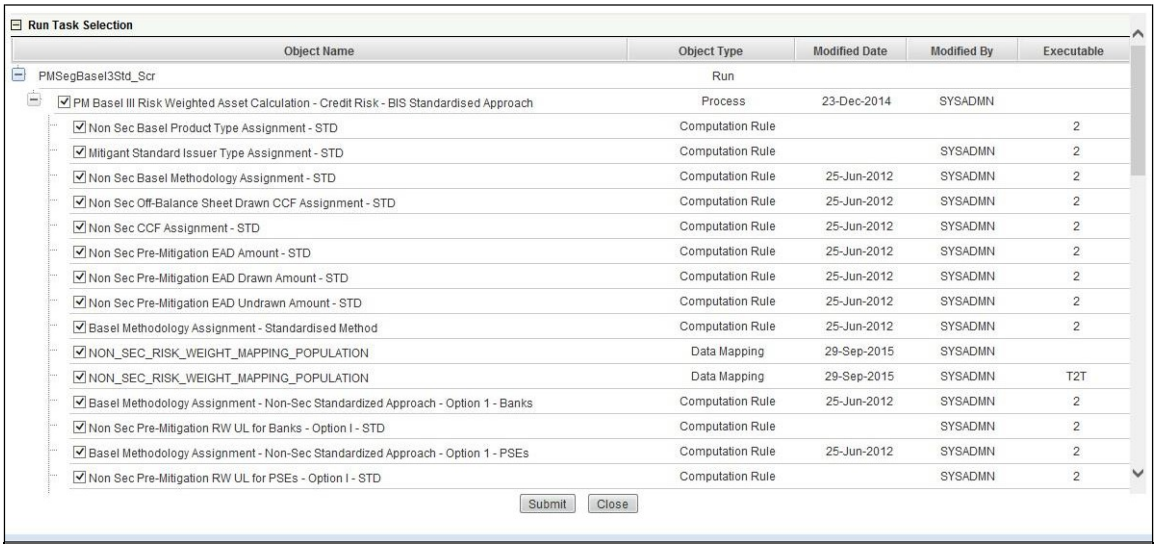
**NOTE:** Install another media pack to obtain the Run information. The runs available as a part of the applications in the media pack can be made visible in Data Governance for US Regulatory Reporting.

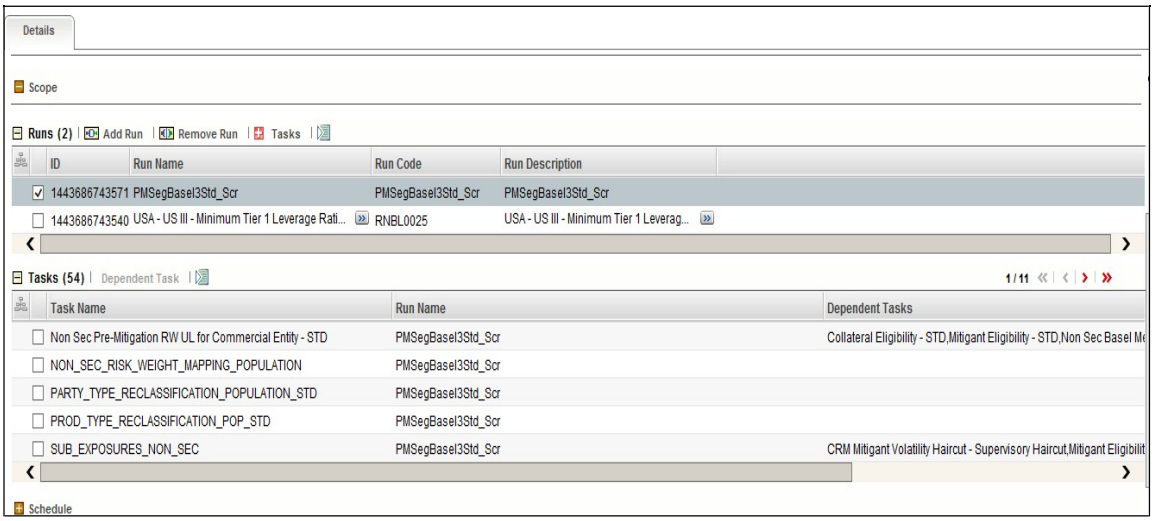
Metadata Publish is required to publish the Run related information.




## 10.6 Linking the Tasks to Runs

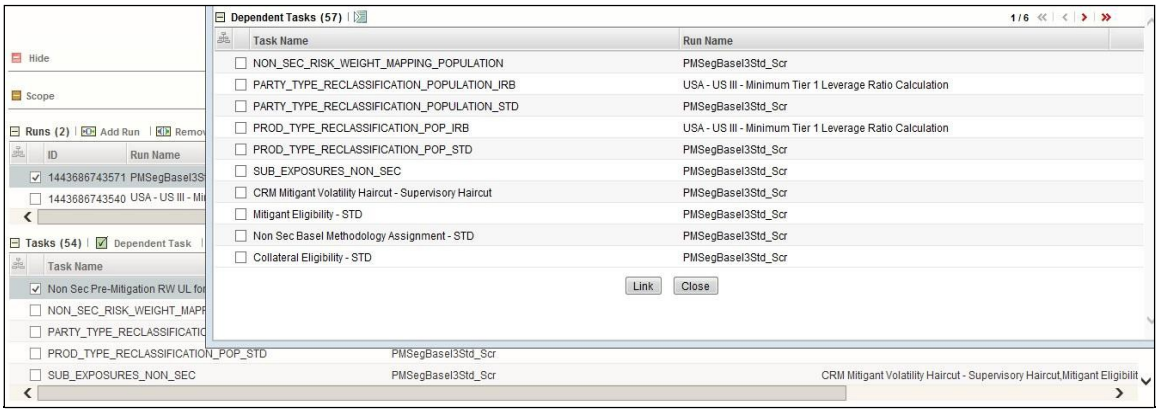
Data Governance for US Regulatory Reporting facilitates mapping of Tasks to Runs in Process Monitoring module. The **Task** button in the Runs grid give the user the option to select the tasks. On clicking **Task button,** a pop-up window displays all the tasks under the selected Run. The selected tasks can be seen in the Task grid under the Run grid.






## 10.7 Linking the Dependent Tasks to Tasks

Data Governance for US Regulatory Reporting facilitates mapping of Dependent Tasks to Tasks in Process Monitoring module. The **Dependent Task** button in the Tasks grid give the user the option to select the dependent tasks. On click of each task, the **Dependent Task** button is enabled that displays a pop up window where the user has the provision to select the dependent task for the selected task. The selected dependent task is also displayed in the Task Grid.




## 10.8 Monitoring a Reporting Plan

After submission the reporting plan is monitored for completion of individual tasks.

## 10.9 Viewing a Reporting Plan

This helps the user to view the reporting plan. The user needs to be mapped to the **DGPMVIEWGRP** group.

To get the Process Monitioring Plan and task details in T2T_FCT_PLAN_TASK_EXEC every time when the new plan and tasks are added following steps need to be followed.

1. Create the batch from FSDF Rule Run framework screen.
2. Execute the created batch with selected tasks.
3. Execute the fct_plan_task_exec excluding T2T_FCT_PLAN_TASK_EXEC
4. Execute the DIM_TASK, DIM_RUN_EXECUTION and DIM_REPORT_SUB_PLAN.
5. Execute the FCT_PLAN_TASK_EXEC batch including only T2T_FCT_PLAN_TASK_EXEC Task.

# 11 Dashboards

Dashboards will provide the reports for the various modules in the DGUSRR Application.

## 11.1 Data Quality Dashboards

Data Quality Rules for the Dashboards should be executed through batches only and not through DQ screen.

Batches corresponding to Data Quality and Data Profile have to be executed to view the dashboards. Refer the Runchart for further details.

Based on Data Quality check defined in the DQ framework of AAAI, Dashboard generates the reports. These are predefined values as well. Dashboard generates the reports based on what kind of check type the user wants to analyze the data with.

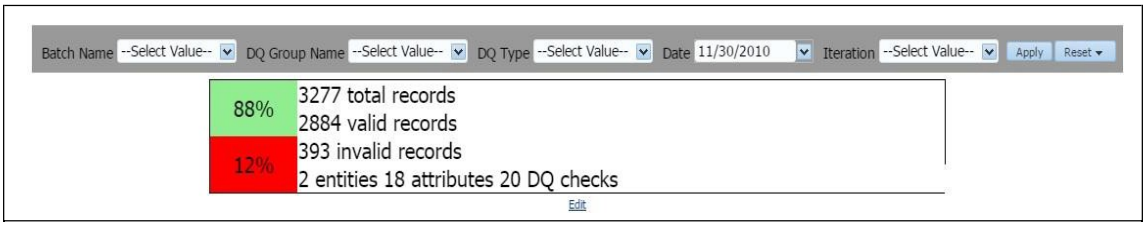
Data Quality Dashboard provides the data based on following list of drop-downs and selecting the desired Date:

- Batch Name
- DQ Group Name
- DQ Type
- Iteration

Click **Apply** to generate the reports. Click **Reset** to reset the values.

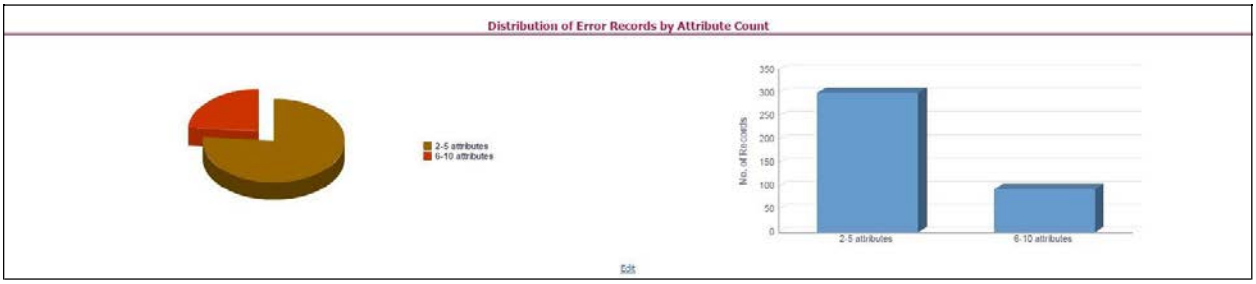
The first grid displays the following data:

- Pass DQ percentage (Green shows the pass DQ %)
- Fail DQ percentage (Red shows the failed DQ %)
- Number of Total Records
- Number of Valid Records
- Number of Invalid Records
- Number of entities, attributes, and DQ checks



### 11.1.1 Distribution of Error Records by Attribute Count

This analysis displays the distribution of error records based on range of attribute counts in the form of pie charts and bar graphs.




1. Click either on pie chart or bar graph to get drill down which displays the following details:
   - Entity
   - Attributes
   - DQ Check Type Name
   - Percentage of Rejected Records Count
2. Click **Attributes** to display the following:
   - Data Profile: It displays 2 analyses:
     - Data Profile: Tabular representation of the following data based on Entity-Attribute Name:
       - Count Distinct values
       - Count Null Values
       - Max Value
       - Mean Value
       - Minimum Value
       - Outliers – Greater than 2x mean
       - Outliers – Less than 2x mean
       - Total Row Count

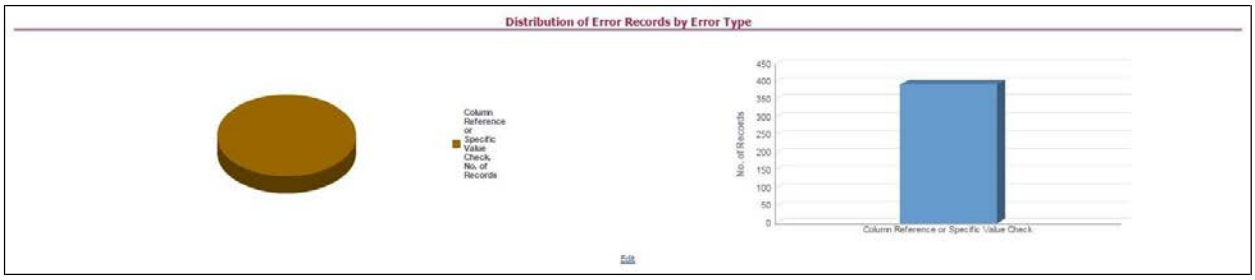
- Trend of Data Profile: This report shows the trend of data profiling in a 6 month interval from the selected date. It is a Graphical representation of the following data based on Entity-Attribute Name:
  - Count Distinct values
  - Count Null Values
  - Total Row Count

- Data Bucket: It displays 2 analyses:
  - Data Bucket: Data Bucket is the tabular representation of the following data based on Dimension Table:
    - Node Code
    - Distribution Count

  - Trend of Data Bucket: This report shows the trend of data profiling in a 6 month interval from the selected date. It is a graphical representation of Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
    - Bar Graph
    - Line Graph

### 11.1.2 Distribution of Error Records by Error Type

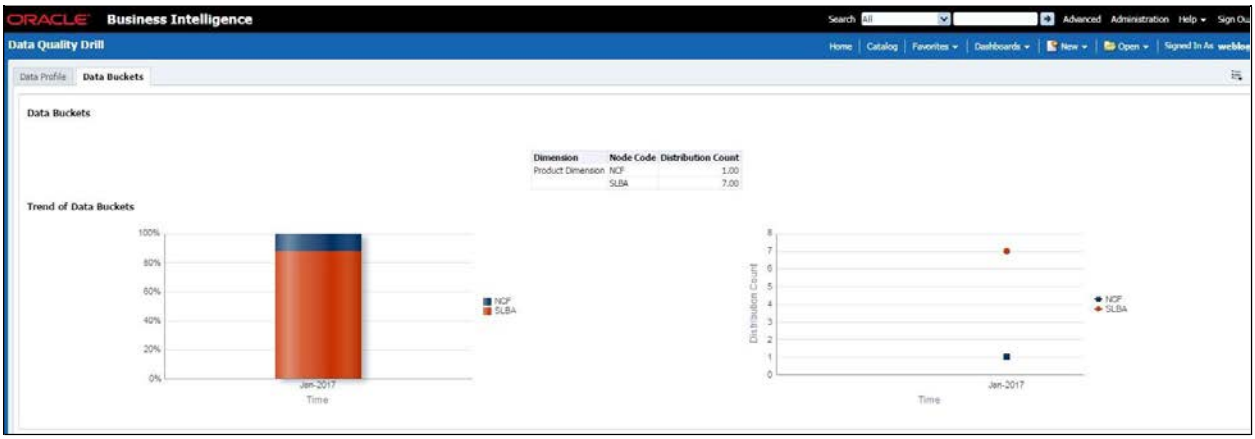
This analysis displays the distribution of error records based on error type.




1. Click either on pie chart or bar graph to get drill down which displays the following details:
   - Entity
   - Attributes
   - DQ Check Type Name
   - Percentage of Rejected Records Count
   - Date
2. Click **Attributes** to display the following:
   - Data Profile: It displays two analyses:
     - Data Profile: Tabular representation of the following data based on Entity-Attribute Name:
       - Count Distinct values
       - Count Null Values
       - Max Value
       - Mean Value
       - Minimum Value
       - Outliers – Greater than 2x mean
       - Outliers – Less than 2x mean
       - Total Row Count

- Trend of Data Profile: Graphical representation of the following data based on Entity-Attribute Name:
  - Count Distinct values
  - Count Null Values
  - Total Row Count

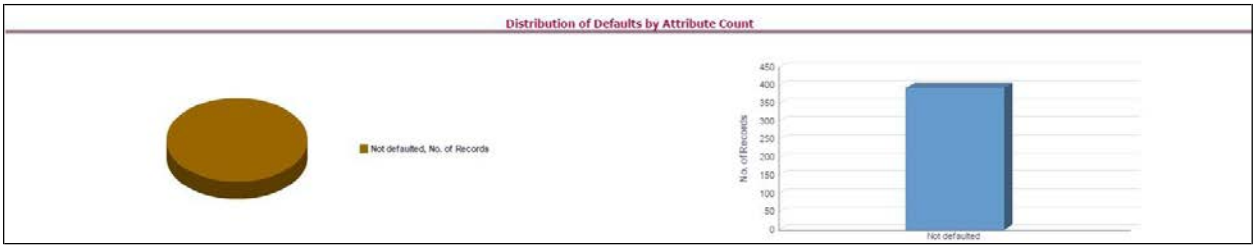
- Data Bucket: It displays two analysis:
  - Data Bucket: Data Bucket is the tabular representation of the following data based on Dimension Table:
    - Node Code
    - Distribution Count




- Trend of Data Bucket: Graphical representation of Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
  - Bar Graph
  - Line Graph

### 11.1.3 Distribution of Defaults by Attribute Count

This analysis displays the distribution of default records based on attribute count.




1. Click either on pie chart or bar graph to get drill down which displays the following details:

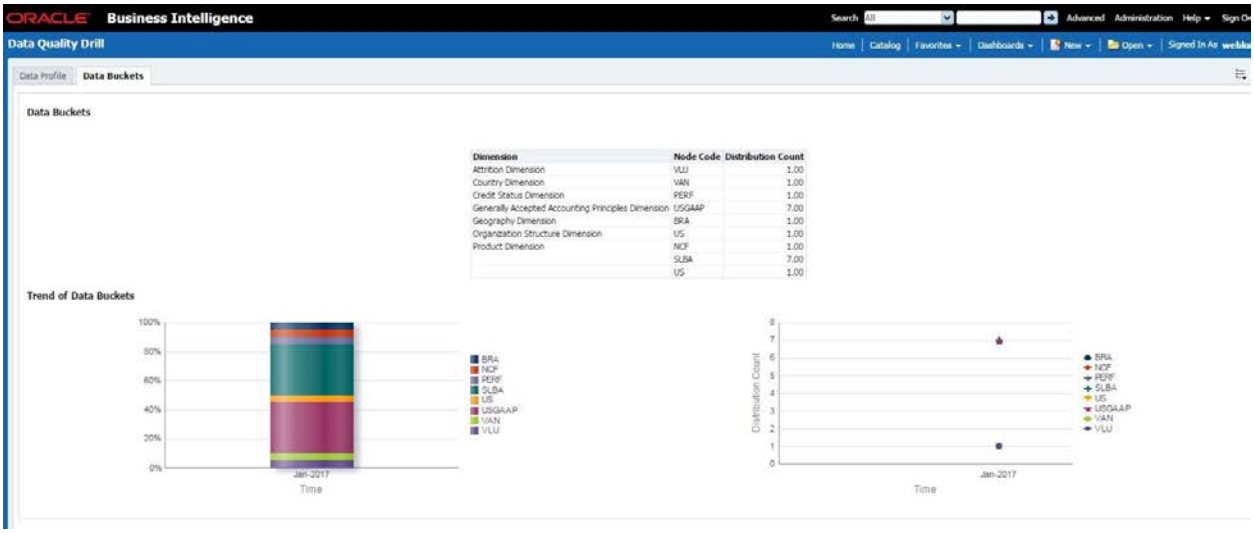
- Entity
- Attributes
- DQ Check Type Name
- Percentage of Rejected Records Count

2. Click **Attributes** to display the following:

- Data Profile: It displays two analysis:
  - Data Profile: Tabular representation of the following data based on Entity-Attribute Name:
    - Count Distinct values
    - Count Null Values
    - Max Value
    - Mean Value
    - Minimum Value
    - Outliers – Greater than 2x mean
    - Outliers – Less than 2x mean
    - Total Row Count

  - Trend of Data Profile: Graphical representation of the following data based on Entity-Attribute Name:
    - Count Distinct values
    - Count Null Values
    - Total Row Count
- Data Bucket: It displays two analysis:
  - Data Bucket: Data Bucket is the tabular representation of the following data based on Dimension Table:

- Node Code
- Distribution Count




- Trend of Data Bucket: Graphical representation of Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
  - Bar Graph
  - Line Graph

## 11.2 Controls Dashboard

Execute the batches corresponding to Controls to view the Controls dashboards.

This section displays two dashboard pages:

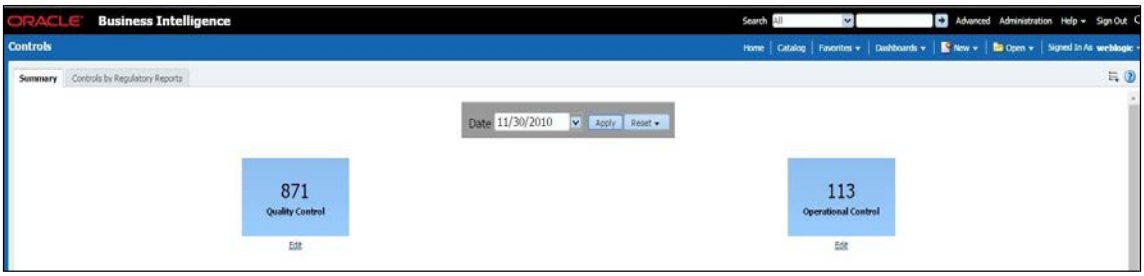
- Summary
- Controls by Regulatory Reports

### 11.2.1 Summary

Select the date to generate the dashboard reports.

Following are the types of Controls that are displayed as the Performance Tiles in the Controls module:

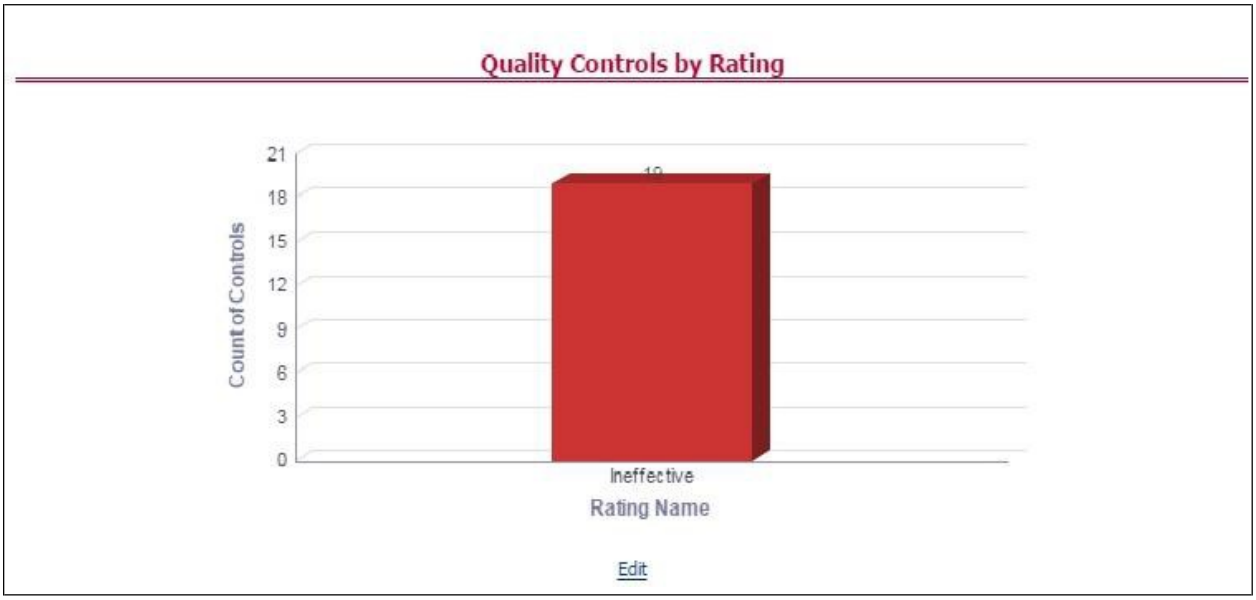
- **Quality Control:** Provides the number of Quality controls present in the system.
- **Operational Control:** Provides the number of operational controls present in the system.




#### 11.2.1.1 Quality Controls by Rating

This section provides the graphical representation of Number of Controls against Quality Controls. The three types of Rating Name are listed as follows:

- Effective
- Ineffective
- Qualified




1. Click the graphs to view the drill-down **Control Assessment** reports. The following data is displayed under Control Assessment dashboard:
   - Control ID
   - Control Name
   - Number of DQ checks
   - Assessment ID
   - Assessment Date
   - Effective Score

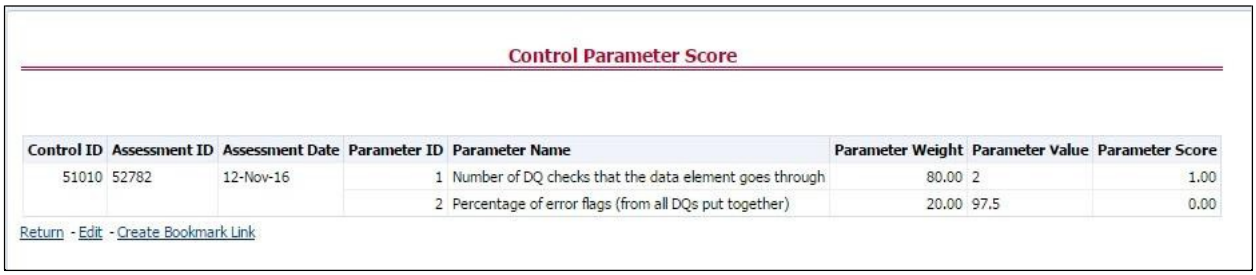
- Rating Name

Control Assessment Details

| Control ID | Control Name | Number of DQ checks | Assessment ID | Assessment Date | Effective Score | Rating Name |
|---|---|---|---|---|---|---|
| 51010 | Original Term in Original Term | 2 | 52782 | 12-Nov-16 | 80.00 | Ineffective |
| 51020 | Interest Provision Amount MTD in Interest Provision Amount MTD | 1 | 52785 | 12-Nov-16 | 80.00 | Ineffective |
| 51029 | Account Write-off Date in Account Write-off Date | 1 | 52772 | 12-Nov-16 | 80.00 | Ineffective |
| 51080 | Card Renewal Date in Card Renewal Date | 1 | 52784 | 12-Nov-16 | 80.00 | Ineffective |
| 51113 | Next Payment Date in Next Payment Date | 1 | 52777 | 12-Nov-16 | 100.00 | Ineffective |
| 51114 | Account Open Date in Account Open Date | 1 | 52786 | 12-Nov-16 | 80.00 | Ineffective |
| 51139 | Account Writeback Date in Account Writeback Date | 1 | 52778 | 12-Nov-16 | 80.00 | Ineffective |
| 51180 | Next Payment Date in Next Payment Date | 1 | 52773 | 12-Nov-16 | 80.00 | Ineffective |
| 51226 | Adjustment Effective Date in Adjustment Effective Date | 2 | 52787 | 12-Nov-16 | 100.00 | Ineffective |
| 51278 | Last Repriced Date in Last Repriced Date | 1 | 52788 | 12-Nov-16 | 80.00 | Ineffective |
| 51293 | End Of Period Balance in End Of Period Balance | 1 | 52781 | 12-Nov-16 | 80.00 | Ineffective |
| 51305 | Billing Cycle Date in Billing Cycle Date | 1 | 52783 | 12-Nov-16 | 80.00 | Ineffective |
| 51395 | Last Activity Date in Last Activity Date | 1 | 52771 | 12-Nov-16 | 80.00 | Ineffective |
| 51415 | Last Card Status Update Date in Last Card Status Update Date | 1 | 52775 | 12-Nov-16 | 80.00 | Ineffective |
| 51444 | Last Payment Date in Last Payment Date | 1 | 52776 | 12-Nov-16 | 80.00 | Ineffective |
| 51517 | Number Of Times Delinquent Throughout Life in Number Of Times Delinquent Throughout Life | 1 | 52789 | 12-Nov-16 | 80.00 | Ineffective |
| 51540 | Last Credit Limit Change Date in Last Credit Limit Change Date | 1 | 52779 | 12-Nov-16 | 80.00 | Ineffective |
| 51583 | Next Reprice Date in Next Reprice Date | 1 | 52780 | 12-Nov-16 | 80.00 | Ineffective |
| 51839 | Revised Renewal Date in Revised Renewal Date | 1 | 52774 | 12-Nov-16 | 100.00 | Ineffective |

Return - Edit - Create Bookmark Link

2. Click **Assessment ID** to view the drill-down **Control Parameter Score**.



Control Parameter Score

| Control ID | Assessment ID | Assessment Date | Parameter ID | Parameter Name | Parameter Weight | Parameter Value | Parameter Score |
|---|---|---|---|---|---|---|---|
| 51010 | 52782 | 12-Nov-16 | 1 | Number of DQ checks that the data element goes through | 80.00 | 2 | 1.00 |
| | | | 2 | Percentage of error flags (from all DQs put together) | 20.00 | 97.5 | 0.00 |

Return - Edit - Create Bookmark Link

### 11.2.1.2 Quality Control Effectiveness Trend

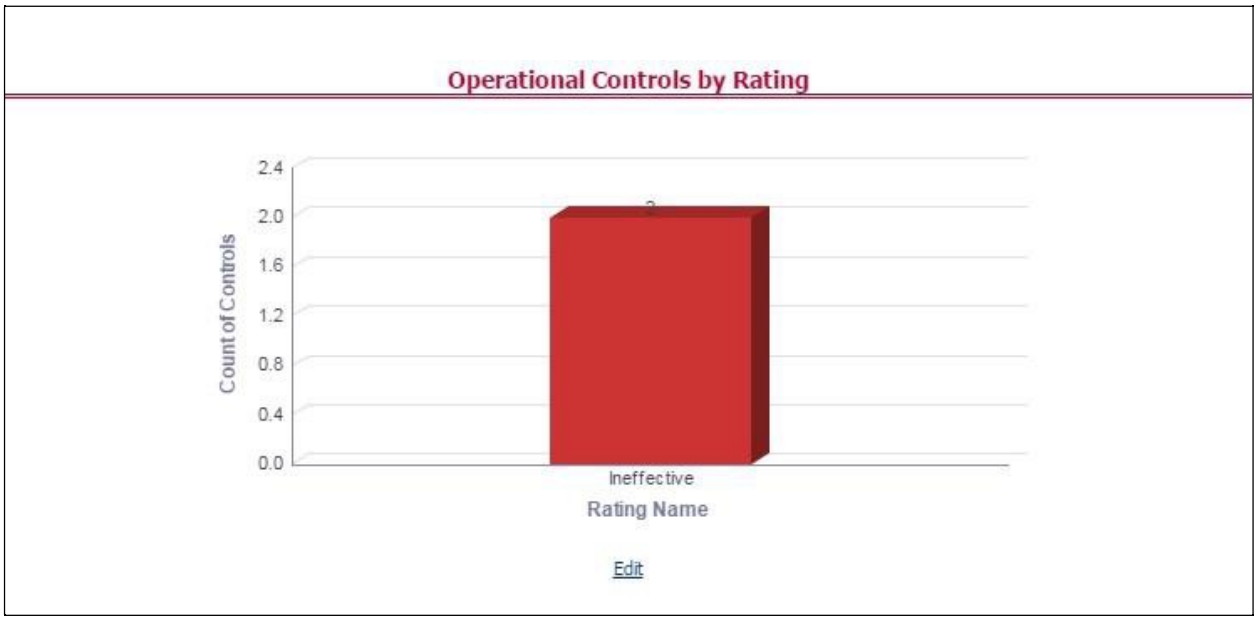
This section provides the graphical representation of Number of Quality Controls within a period of six months from the selected date.

3. Click the graphs to view the drill-down **Control Assessment** reports. The following data is displayed under Control Assessment dashboard:
    - Control ID
    - Control Name
    - Number of DQ checks
    - Assessment ID
    - Assessment Date
    - Effective Score
    - Rating Name
4. Click **Assessment ID** to view the drill-down **Control Parameter Score**.

#### 11.2.1.3 Operational Controls by Rating

This section provides the graphical representation of Number of Controls against Operational Controls. Following listed are the three types of Rating Names:

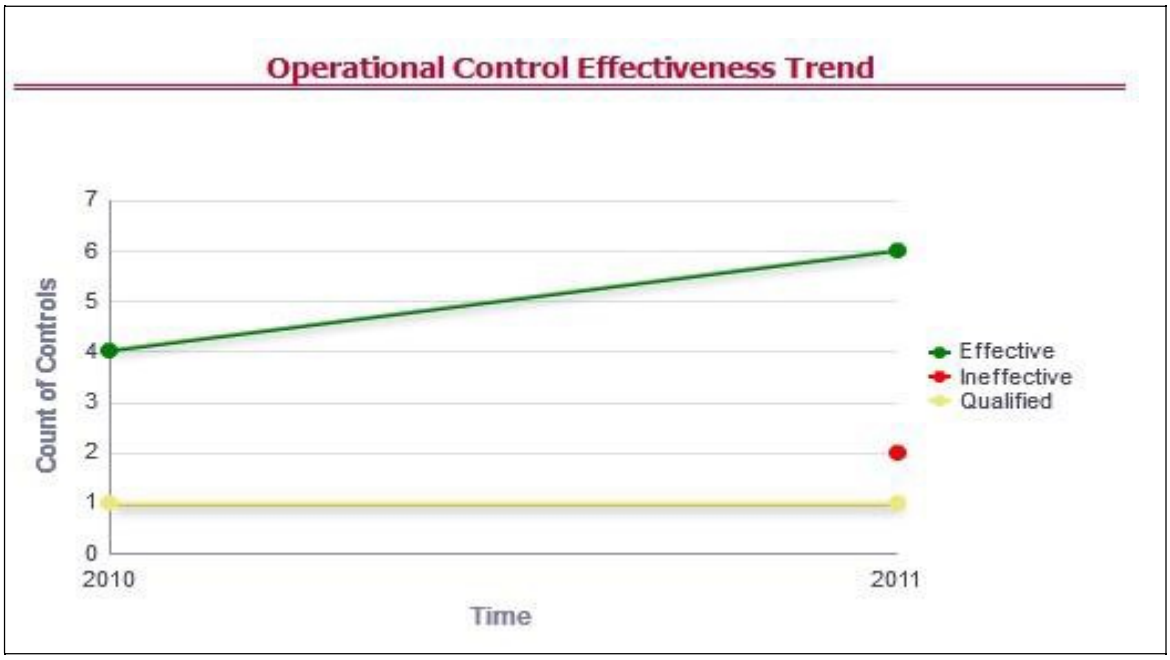
- Effective
- Ineffective
- Qualified




5. Click the graphs to view the drill-down **Control Assessment** reports. The following data is displayed under Control Assessment dashboard:
   - Control ID
   - Control Name
   - Number of DQ checks
   - Assessment ID
   - Assessment Date
   - Effective Score
   - Rating Name
6. Click **Assessment ID** to view the drill-down **Control Parameter Score**.

#### 11.2.1.4 Operational Control Effectiveness Trend

This section provides the graphical representation of Number of Operational Controls within a period of six months from the selected date.



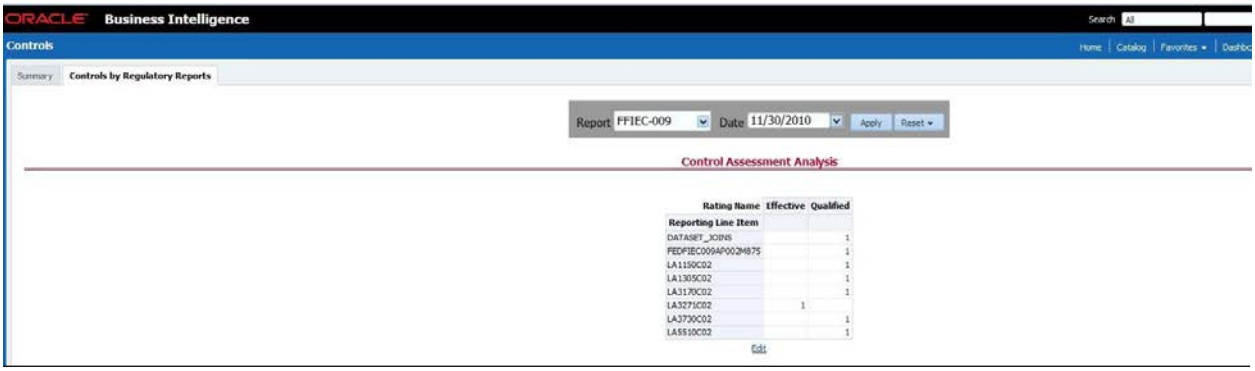

7. Click the graphs to view the drill-down **Control Assessment** reports. The following data is displayed under Control Assessment dashboard:
   - Control ID
   - Control Name
   - Number of DQ checks
   - Assessment ID
   - Assessment Date
   - Effective Score
   - Rating Name
8. Click **Assessment ID** to view the drill-down **Control Parameter Score**.

### 11.2.2 Controls by Regulatory Reports

Select the desired Regulatory Report, the Date and click **Apply** to view the **Control Assessment Analysis** dashboard.

Following details are listed in the Control Assessment Analysis report:

- Rating Name
- Reporting Line Item




## 11.3 Key Indicators Dashboards

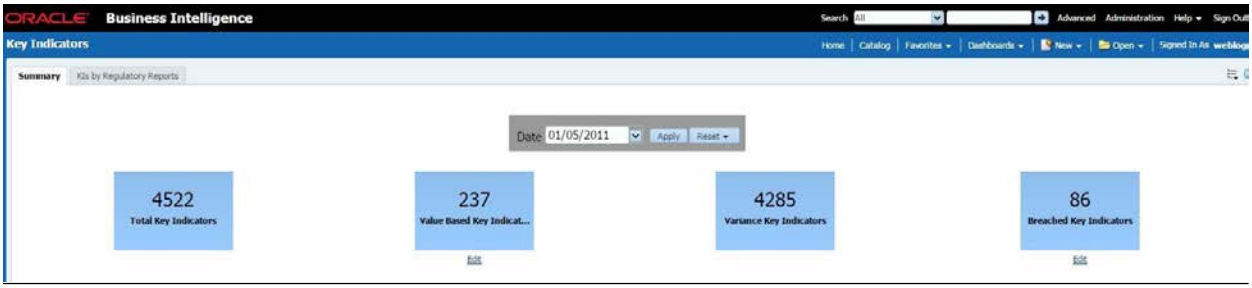
This dashboard displays various reports based on analysis of key indicators in the system.

### 11.3.1 Summary

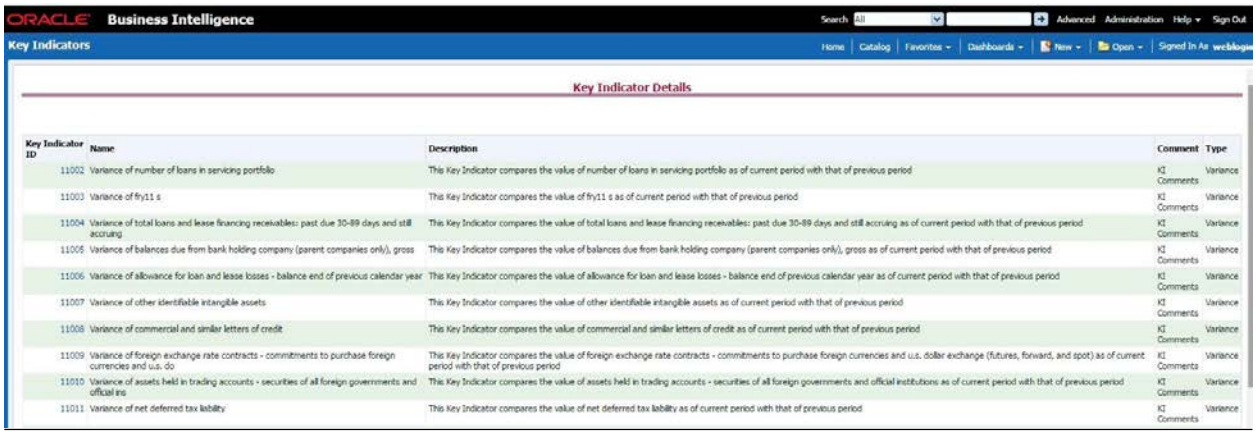
The **Summary** page displays the following Performance Tiles:

- **Total Key Indicators:** It displays the total number of key indicators.
- **Value Based Key Indicators:** It displays the total number of Value based Key Indicators.
- **Variance Key Indicators:** It displays the total number of Variance based Key Indicators.
- **Breached Key Indicators:** It displays the total number of Breached Key Indicators.

1. Select a date and click **Apply** to display the records based on the selected date.




2. Click each Performace Tile to display the Key Indicator details. The following details are displayed:
   - Key Indicator ID
   - Name
   - Description
   - Comment
   - Type

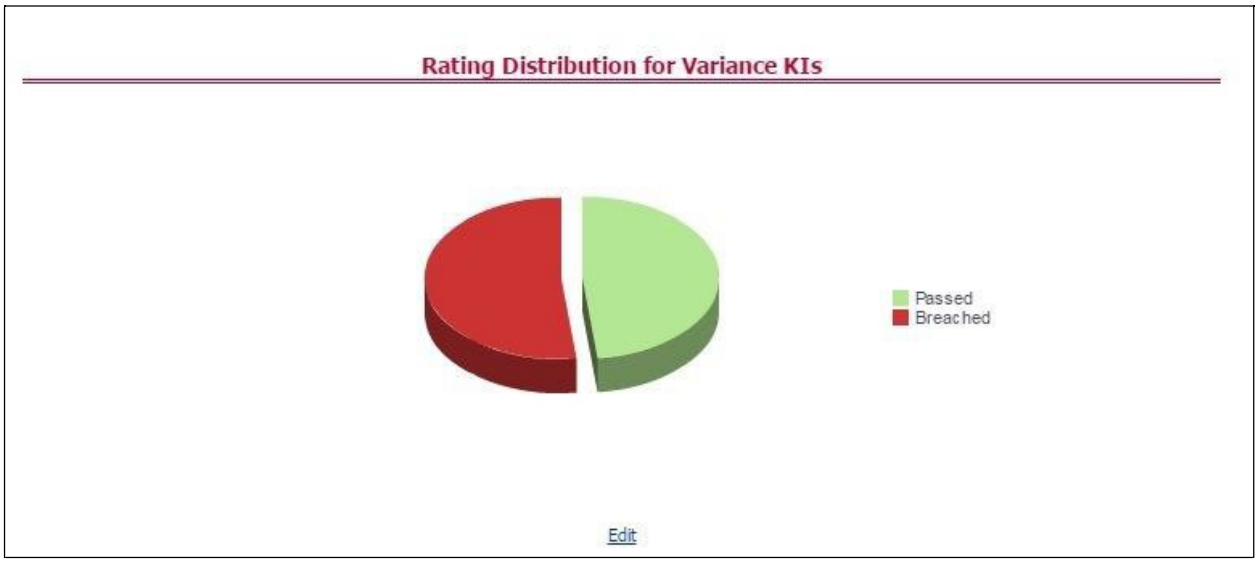



3. Click **Key Indicator ID** to display the **Assessment Details** page. The following details are displayed:

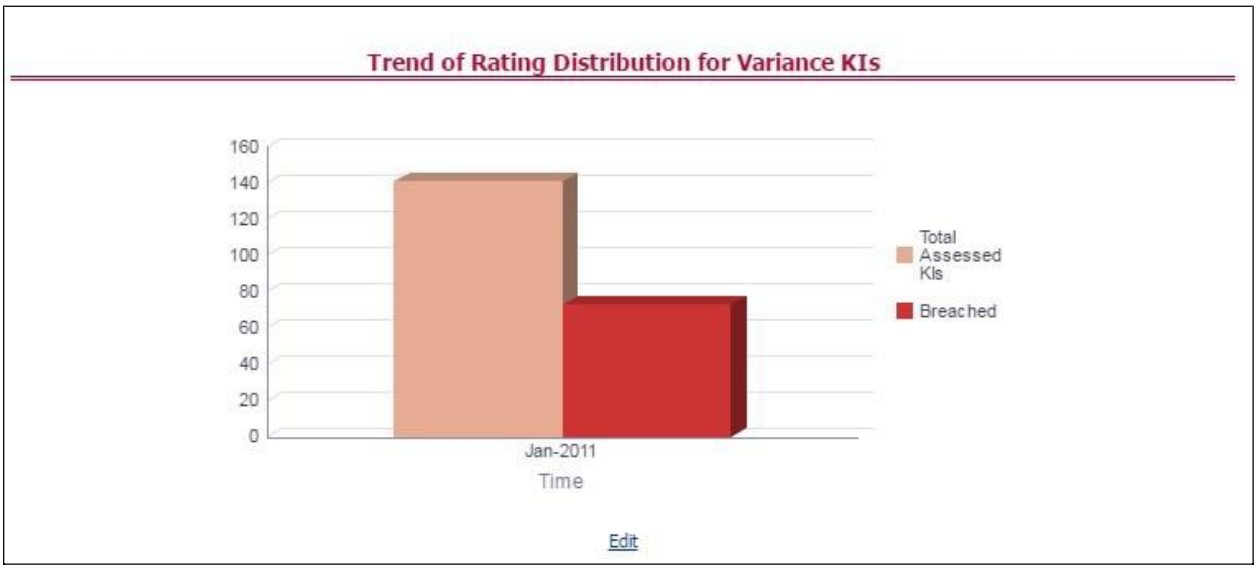
   - Assessment ID
   - Key Indicator ID
   - Current Period Value
   - Previous Period Value
   - Variance
   - Variance Percentage
   - RAG Score
   - Status

Following are the various sections of dashboards:

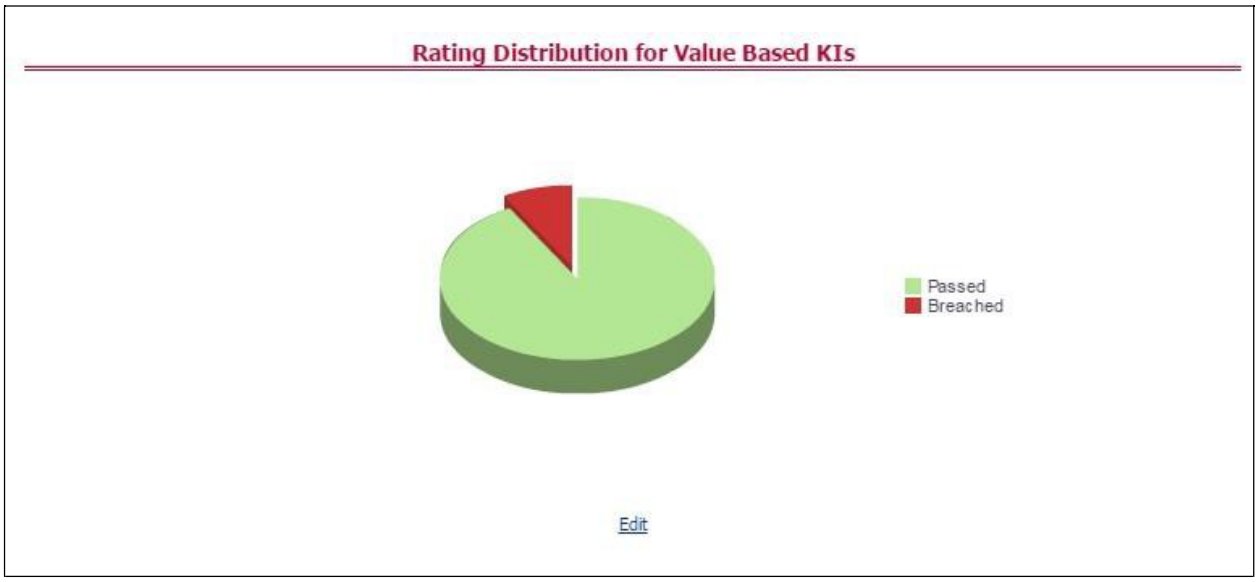
- **Rating Distribution for Variance KIs:** This report displays the latest rating distribution for the assessed variance KIs.




- **Trend of Rating Distribution for Variance KIs:** This report displays the trend of the latest rating distribution for the assessed variance KIs.




- **Rating Distribution for Value Based KIs:** This report displays the latest rating distribution for the assessed value based KIs.



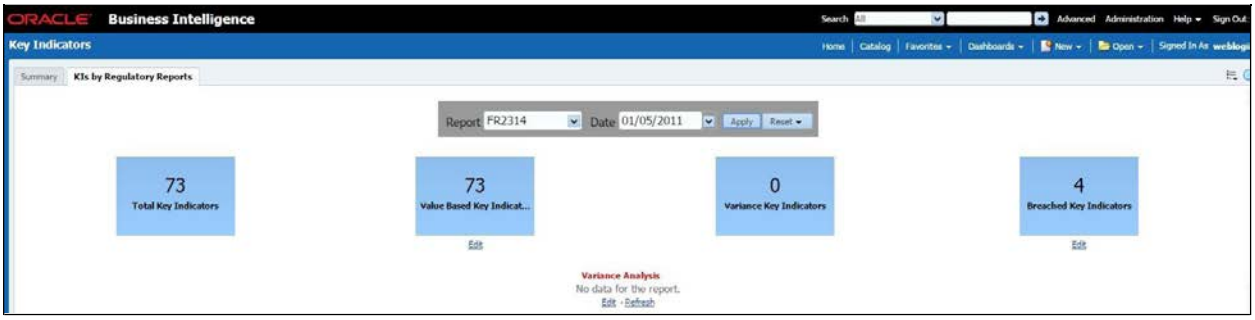

- **Trend of Rating Distribution for Value Based KIs:** This report displays the trend of the latest rating distribution for the assessed value based KIs.

### 11.3.2 KIs by Regulatory Reports

The **KIs by Regulatory Reporting** page displays the following Performance Tiles:

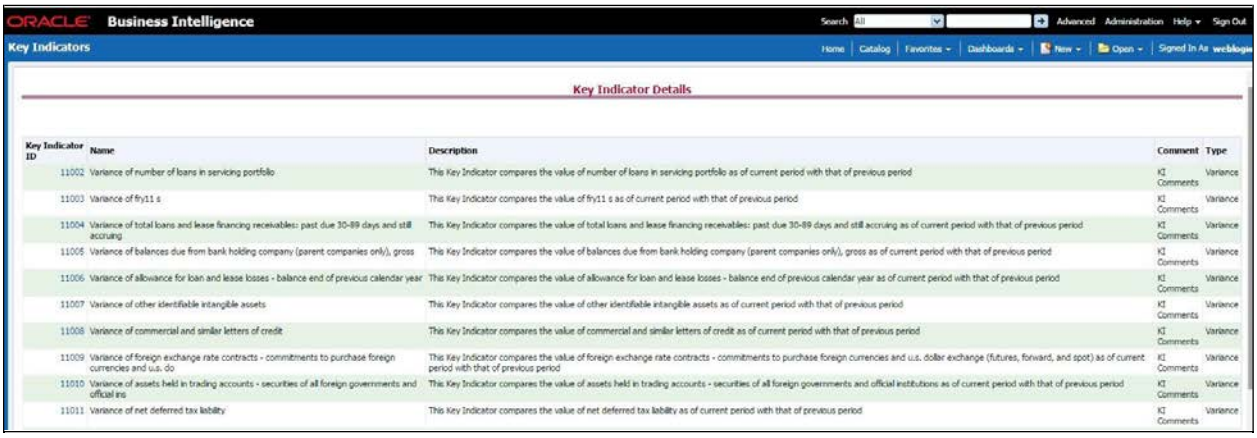
- **Total Key Indicators:** It displays the total number of key indicators.
- **Value Based Key Indicators:** It displays the total number of Value based Key Indicators.
- **Variance Key Indicators:** It displays the total number of Variance based Key Indicators.
- **Breached Key Indicators:** It displays the total number of Breached Key Indicators.

To view the aforementioned values for a particular report, select the particular report name from the dropdown, click **Apply**.




Click the Performance Tiles to view the Key Indicator Details. The following data is displayed:

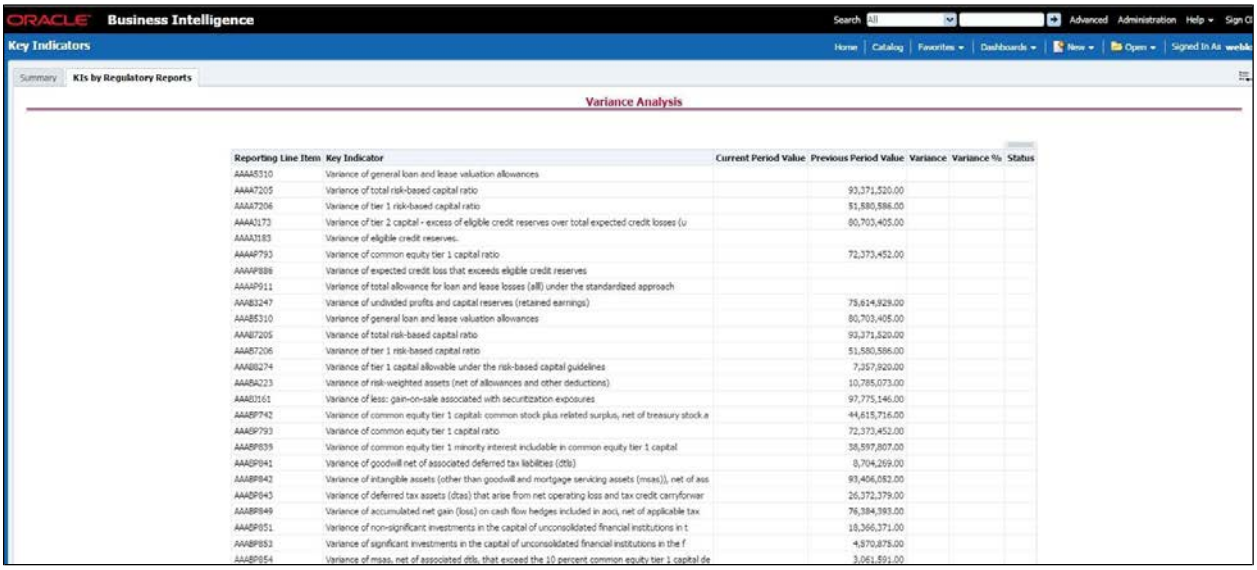
- Key Indicator ID
- Name
- Description
- Comment
- Type



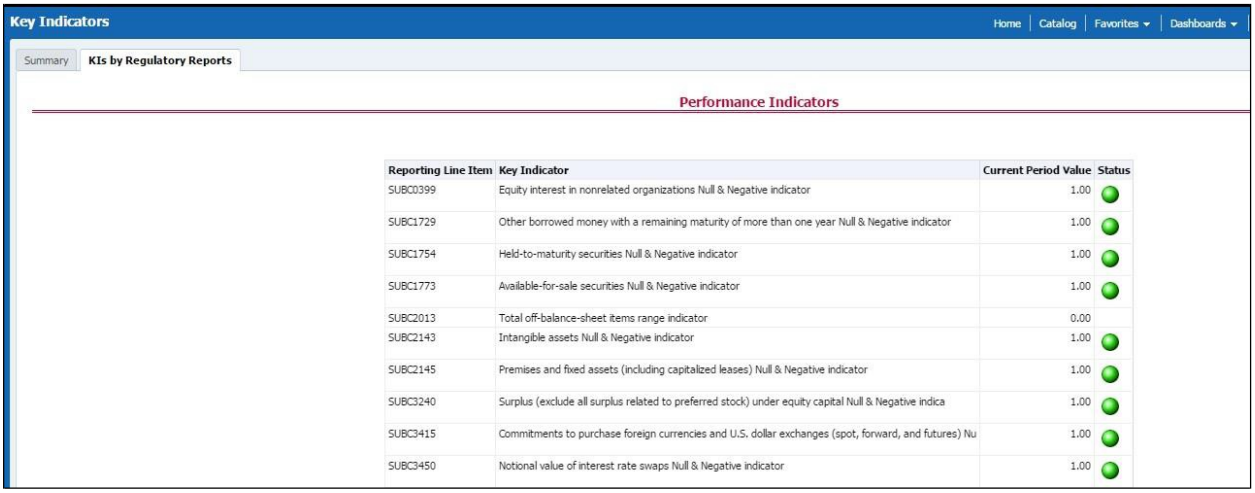

Following are the various sections of dashboards:

- **Variance Analysis:** It provides the following data for the selected report:
  - **Reporting Line Item:** It displays the reporting line item for the selected report.
  - **Key Indicator:** It provides the description of the KIs with respect to the Reporting Line Item.
  - **Current Period Value:** It provides the current period value for the respective Reporting Line Item
  - **Previous Period Value:** It provides the previous period value for the respective Reporting Line Item

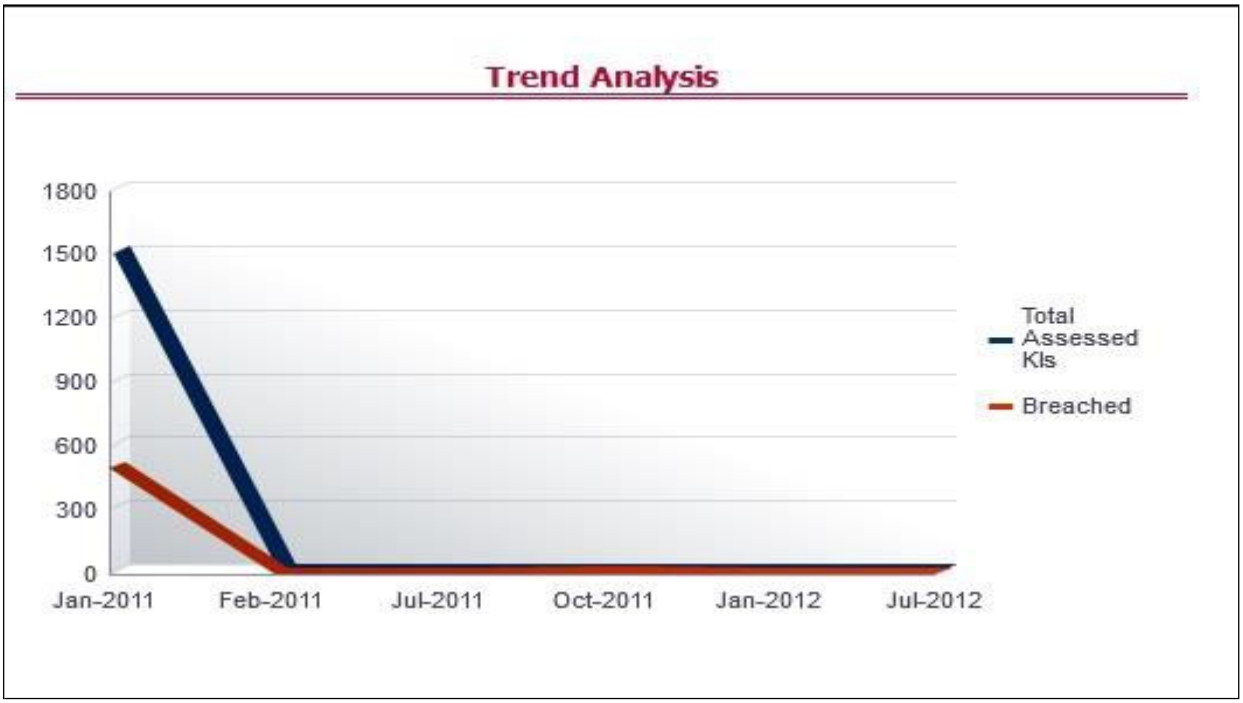
- **Variance:** It provides the difference in Current and Previous Period Value for the particular Reporting Line Item
- **Variance Percentage:** It displays the percentage of variance based on Previous Period value
- **Status:** It displays the status of the KIs depending on the various values.



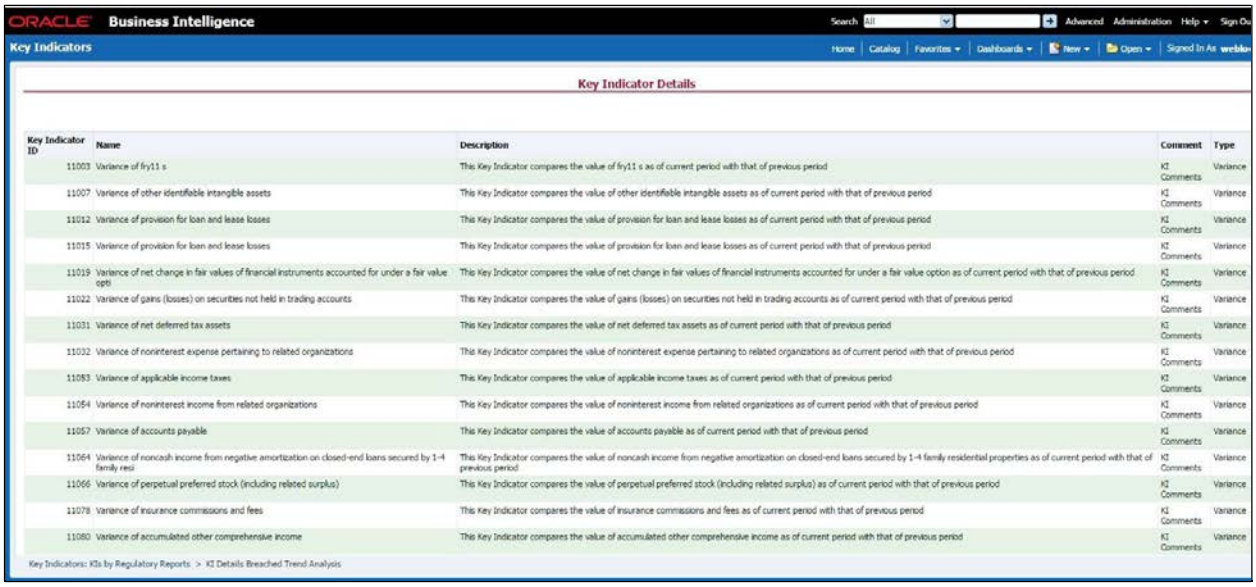

- **Performance Indicators:** It provides the following data for the selected report:
  - **Reporting Line Item:** It displays the reporting line item for the selected report.
  - **Key Indicator:** It provides the description of the KIs with respect to the Reporting Line Item.
  - **Current Period Value:** It provides the current period value for the respective Reporting Line Item
  - **Status:** It displays the status of the KIs depending on the various values.



- **Trend Analysis:** It displays the trend of total assessed KIs and breached KIs for a particular time interval.




Click the graph marks to view the **Key Indicator Details** drill down report.




## 11.4 Process Monitoring

This dashboard provides the following two pages:

- Process Monitoring
- Process Analysis

### 11.4.1 Process Monitoring

When a Plan is executed, the user can refresh the page to check the details of on-going tasks.

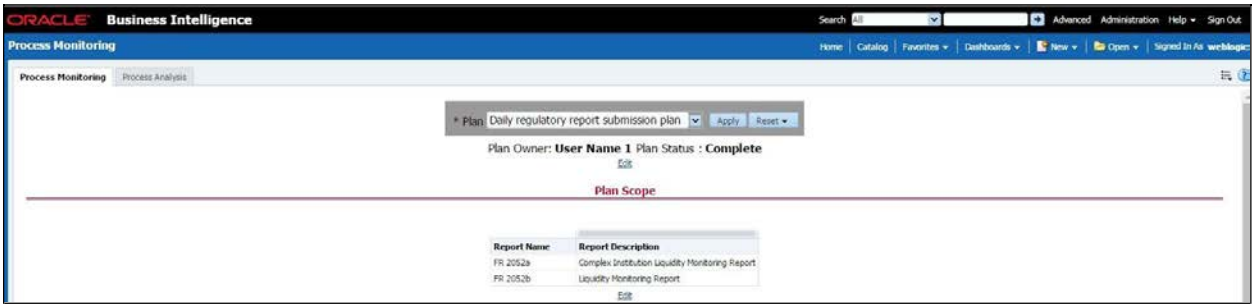
Select a **Plan** from the drop-down and click **Apply** to view the Process Monitoring dashboard. It also displays the Plan Owner and Plan Status based on the Plan selection.

This section describes the following analysis:

- Plan Scope
- Task Tracking

#### 11.4.1.1 Plan Scope

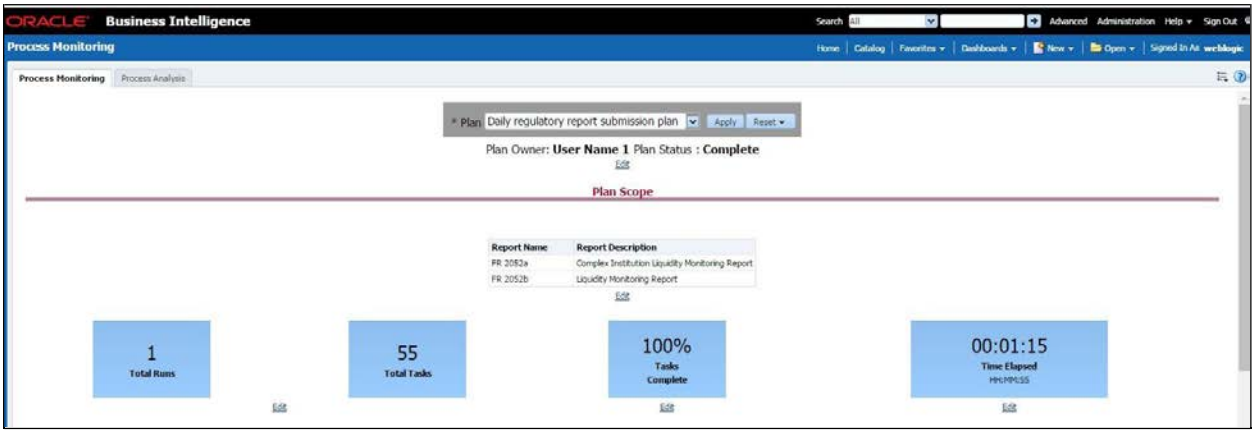
This grid displays the **Report Name** and **Report Description** associated with the selected Plan from the drop-down.




#### 11.4.1.2 Performance Tiles

Following Performance Tiles are displayed based on the selected Plan:

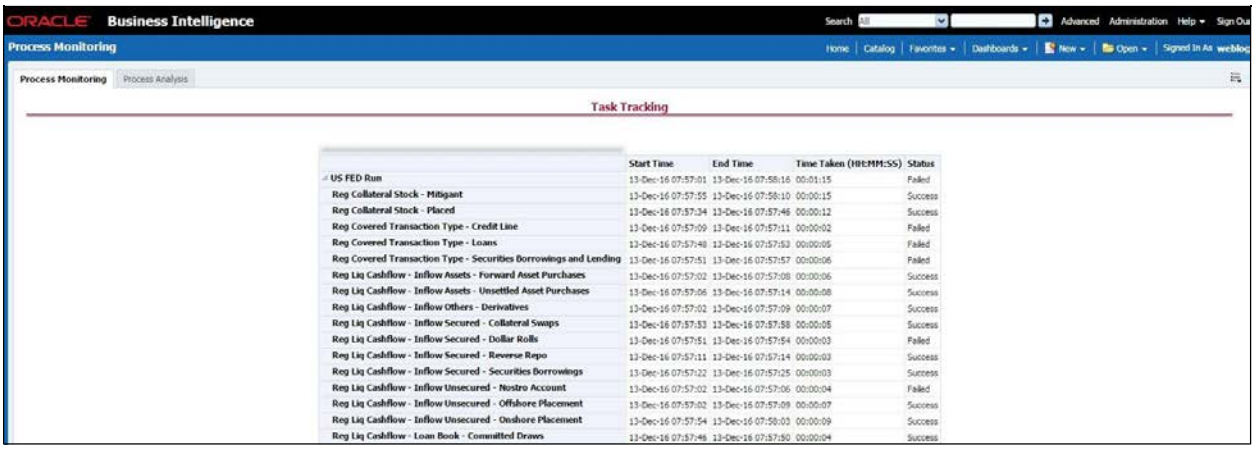
- Total Runs: It displays the count of total number of runs
- Total Tasks: It displays the count of total number of tasks
- Tasks Complete: It displays the percentage of tasks completed
- Time Elapsed: It displays the time elapsed during the execution of the Plan.



#### 11.4.1.3 Task Tracking

This grid displays the following data based on the selected Plan:

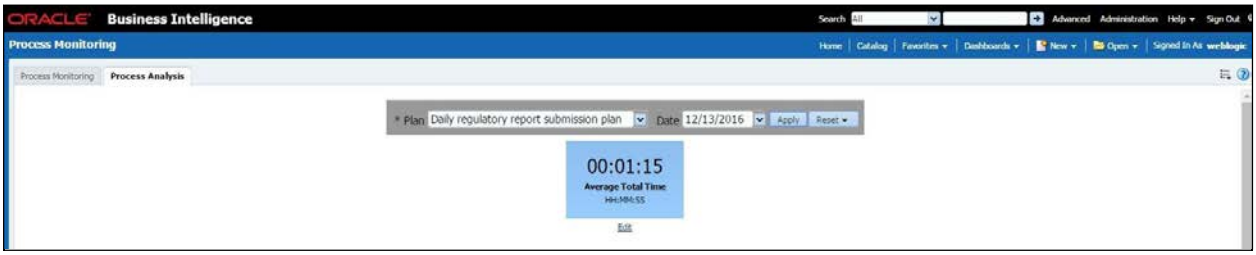
- Run Task Hierarchy: It displays the Runs associated with the Plan and tasks associated with the Runs.
- Start Time: It displays the start time of each Run on Run level and start time of each task associated with the Run.
- End Time: It displays the end time of each Run on Run level and end time of each task associated with the Run
- Time Taken: It displays the total time taken by each Run on Run level and time taken by each task associated with the Run.
- Status: It displays the status of each Run on Run level and status of each task associated with the Run.




### 11.4.2 Process Analysis

Select a **Plan** from the drop-down, select a date and click **Apply** to view the Process Analysis dashboard.

It displays Average Total Time (HH:MM:SS) Performance Tile.




The following sections are displayed in this dashboard:

- Plan Performance

- Longest Running Tasks
- Trend of Rating Distribution for Variance KIs
- Trend of Rating Distribution for Value Based KIs
- Trend of Issues
- Quality Control Effectiveness Trend
- Operational Control Effectiveness Trend
- Trend of Issues

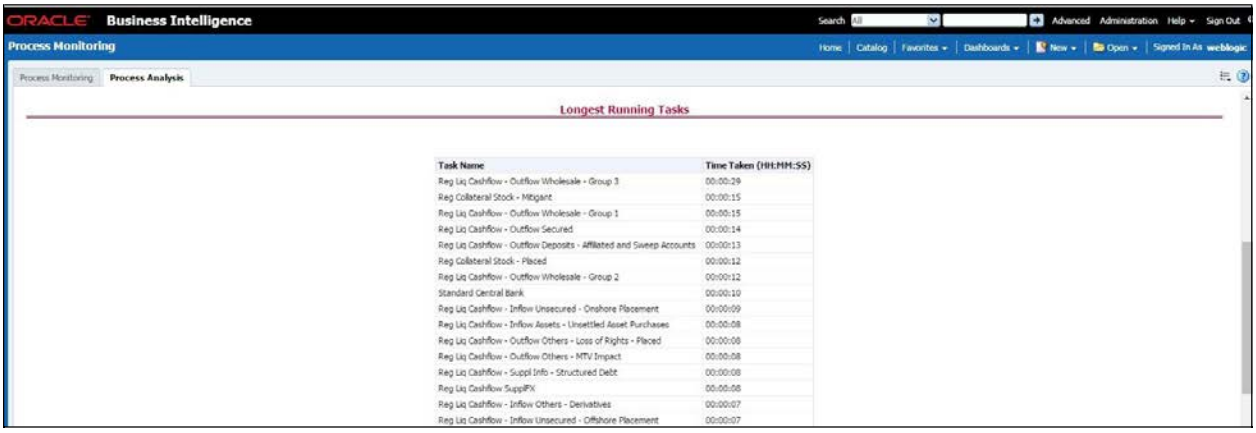
#### 11.4.2.1 Plan Performance

This report displays the time taken by the Run.

Click X axis to view the Task level details.

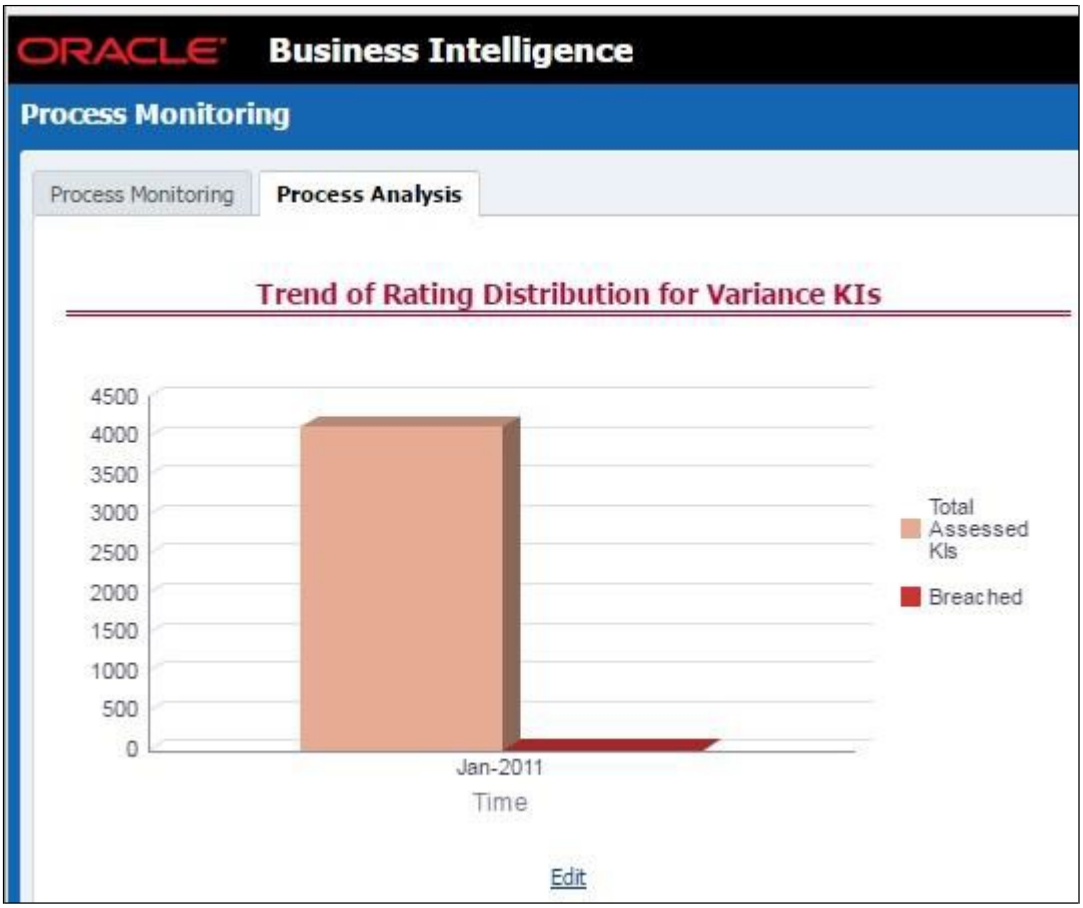
#### 11.4.2.2 Longest Running Tasks

This report displays the time taken by each task in descending order.



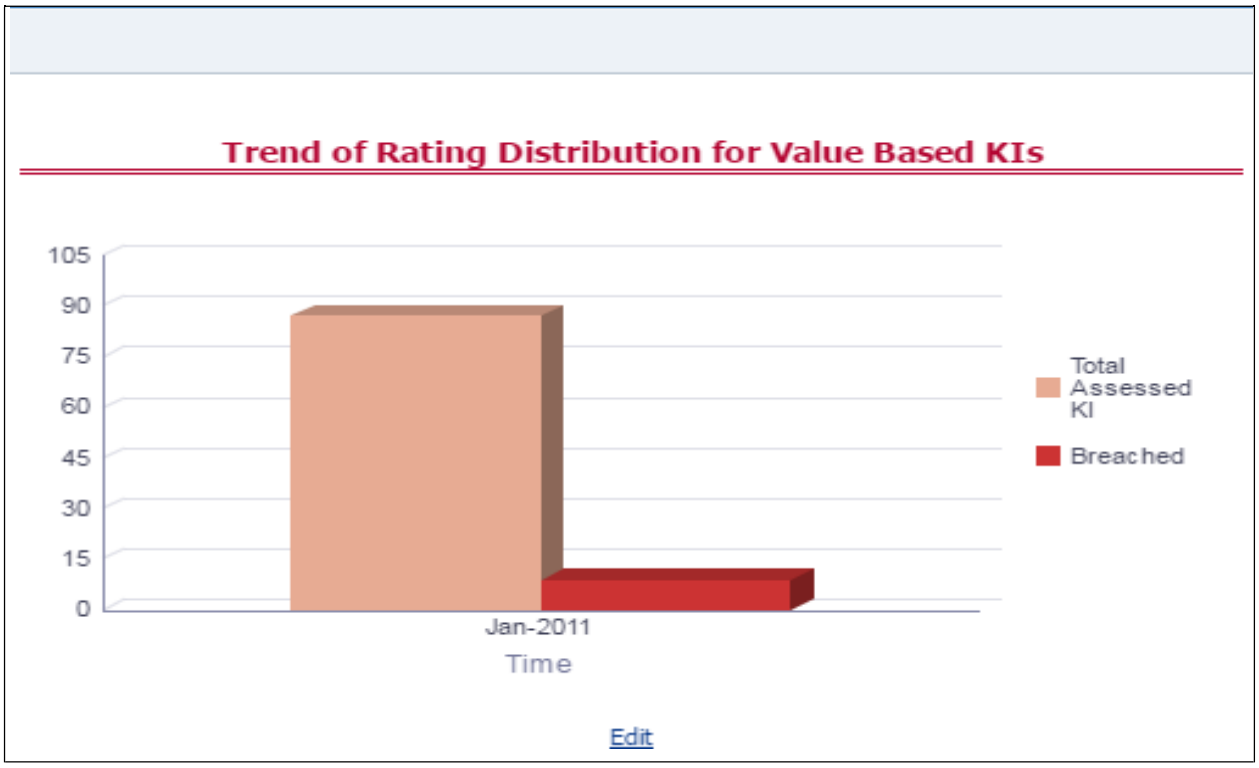

#### 11.4.2.3 Trend of Rating Distribution for Variance KIs

This report displays the rating distribution of Variance KIs in the form of bar-graph.



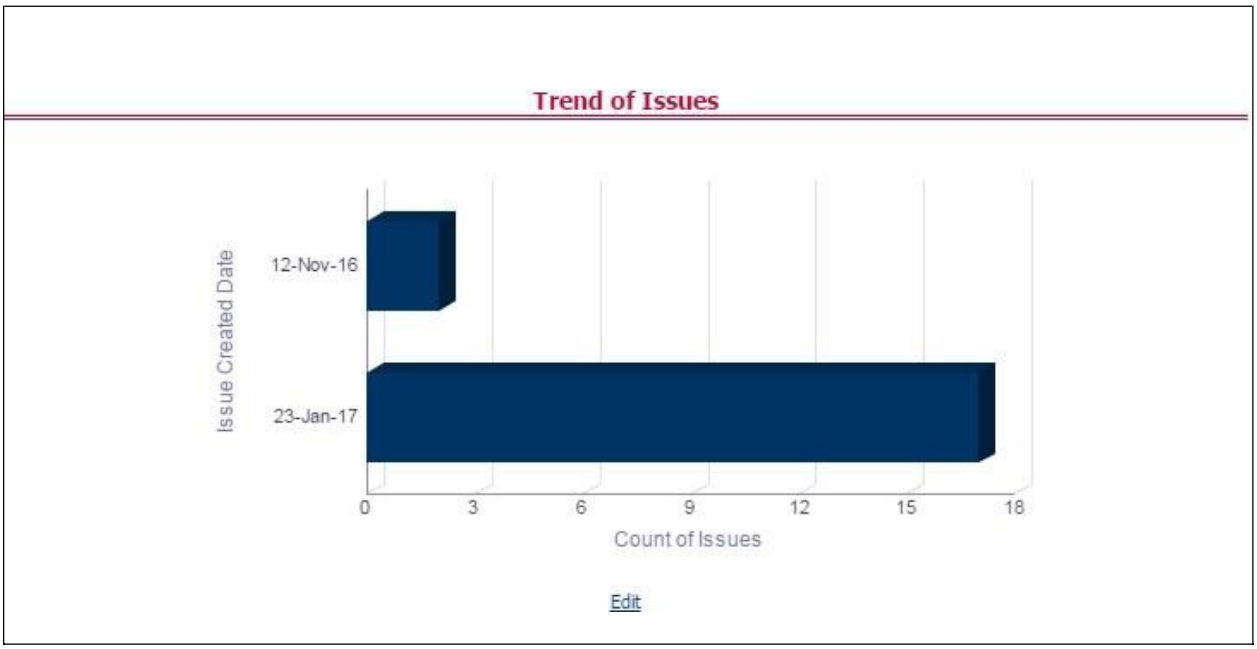

#### 11.4.2.4 Trend of Rating Distribution for Value Based KIs

This report displays the rating distribution of Value Based KIs in the form of bar-graph.



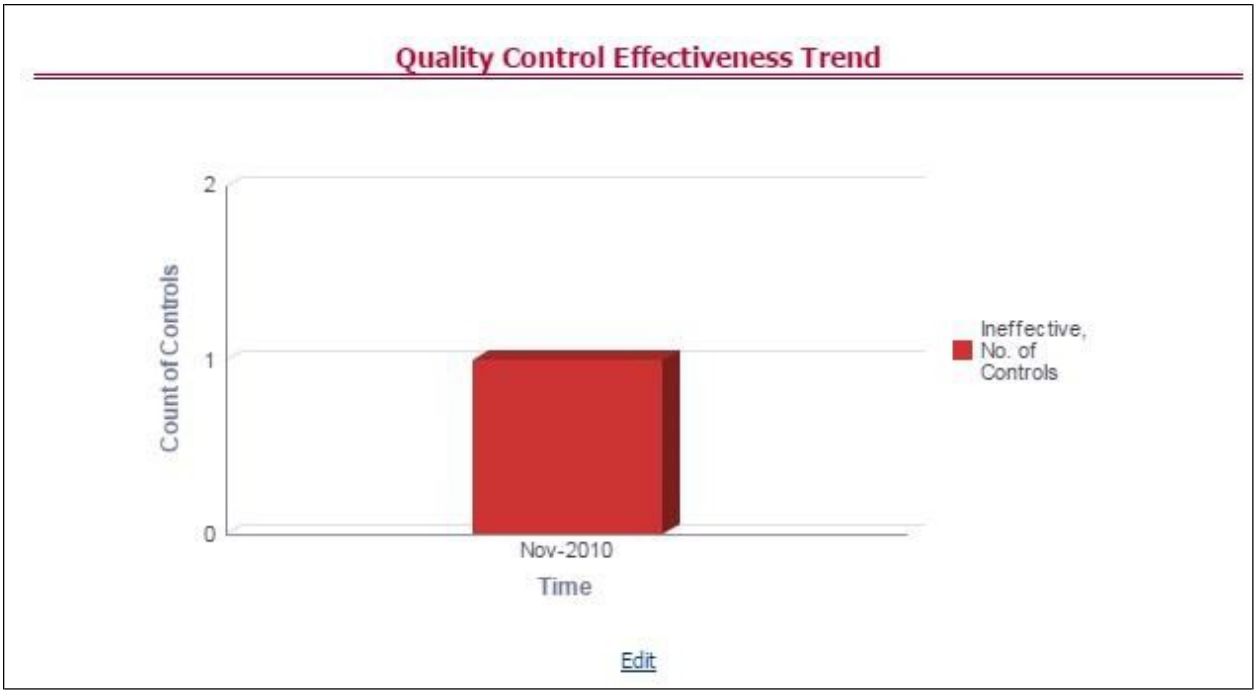

### 11.4.2.5 Trend of Issues

This report displays issue reported for KIs based on the selected plan.



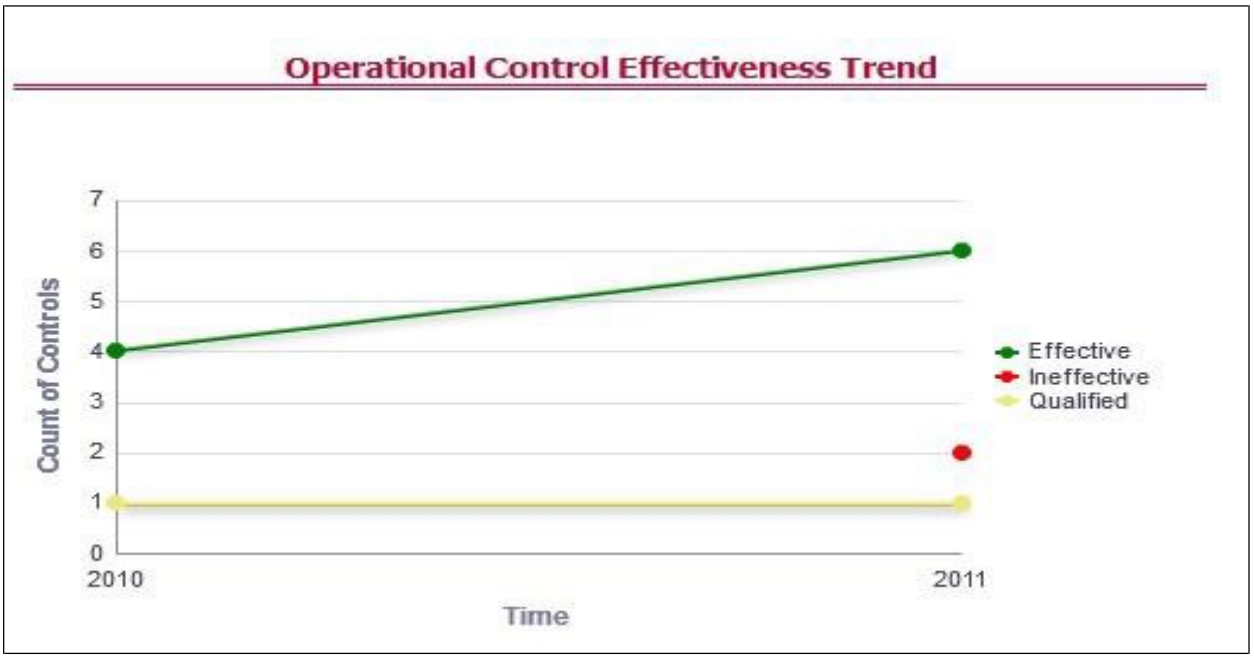
#### 11.4.2.6 Quality Control Effectiveness Trend

This report displays the Quality Control Effectiveness, based on the selected Plan, in the form of bar-graph.



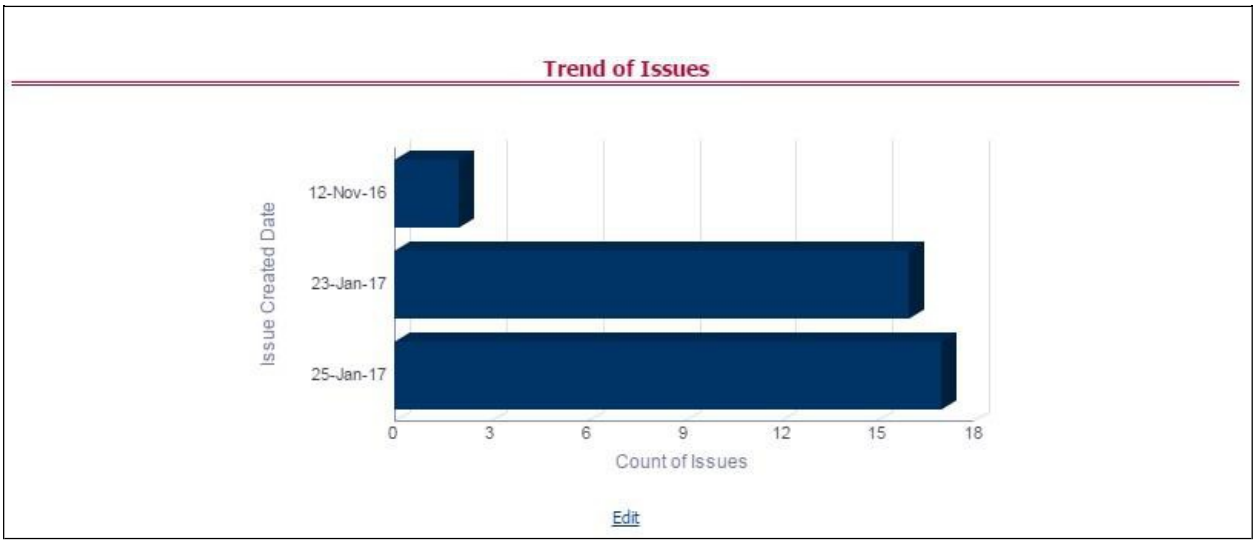

#### 11.4.2.7 Operational Control Effectiveness Trend

This report displays the Operational Control Effectiveness, based on the selected Plan, in the form of bar-graph.



#### 11.4.2.8 Trend of Issues

This report displays issue reported for Controls based on the selected plan.




## 11.5 Regulatory Report Analysis

Select a Plan Name from the dropdown, select a date from the calendar and Click **Apply** to view the Regulatory Report Analysis.

The following values are displayed in terms of Performance Tiles:

- Reporting Elements with Errors: It displays the percentage of Reporting Elements with Errors.
- Reporting Elements with breach in Variance Key Indicators: It displays the percentage of Reporting Elements associated with breached Variance Key Indicators
- Reporting Elements with breach in value Based Key Indicators: It displays the percentage of Reporting Elements associated with breached Value Based Key Indicators
- Reporting Elements with Control Failures: It displays the percentage of Reporting Elements associated with failed controls.
- Issues in total: It displays the total number of issues associated with Controls and KI.
- Outstanding Issues: It displays the total number of open issues.

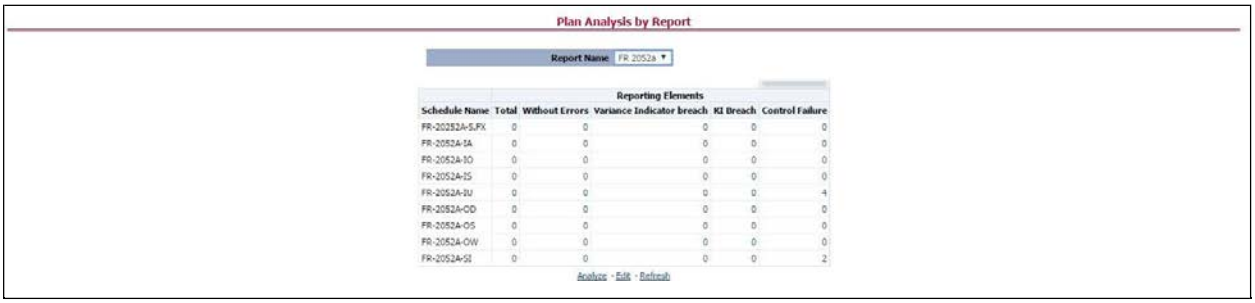
Regulatory Report Analysis dashboard displays the following grids:

- Plan Analysis by Report
- Issue and Action Tracking

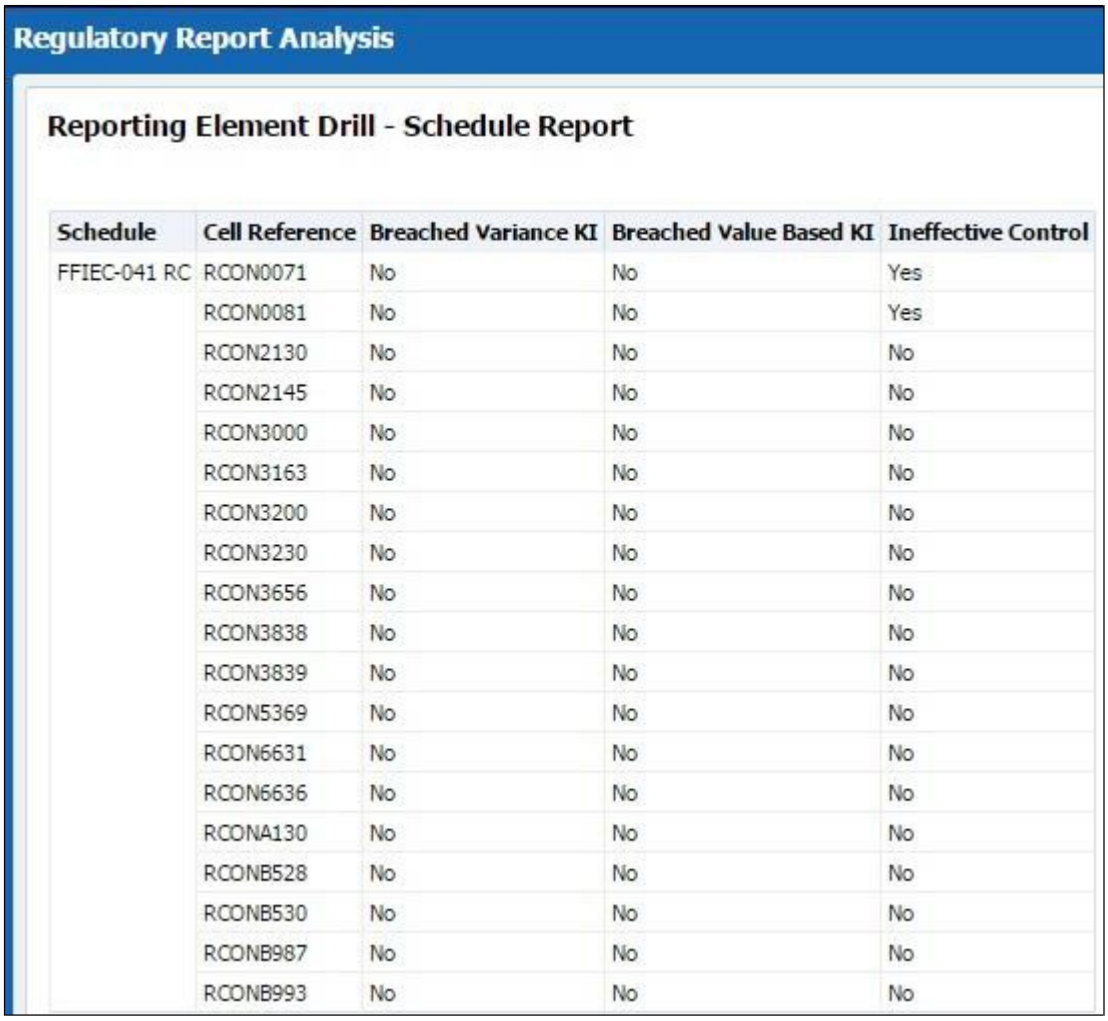
### 11.5.1 Plan Analysis by Report

This analysis displays reports, schedules, and count of Reporting Elements associated with the selected Plan.

1. Select the **Report Name** from the drop-down to view the following data:
   - Schedule Name: It displays the name of schedule.
   - Total: It displays the number of reporting elements linked to schedule
   - Without Errors: It displays the number of reporting elements without errors
   - Variance Indicator Breach: It displays the number of reporting elements linked to breached Variance Indicators
   - KI Breach: It displays the number of reporting elements linked to breached Value Based Key Indicators
   - Control Failure: It displays the number of reporting elements linked to failed controls.




2. Click **Total** associated with each schedule to display Reporting Element drill-down Report. Following details are displayed:
   - Schedule: It displays the name of the schedule.
   - Cell Reference: It displays the reporting elements associated with the schedule.
   - Breached Variance KI: It displays if there are any Breached Variance KIs.
   - Breached Value Based KI: It displays if there are any Breached Value Based KIs.
   - Ineffective Control: It displays if there are any Ineffective Controls.



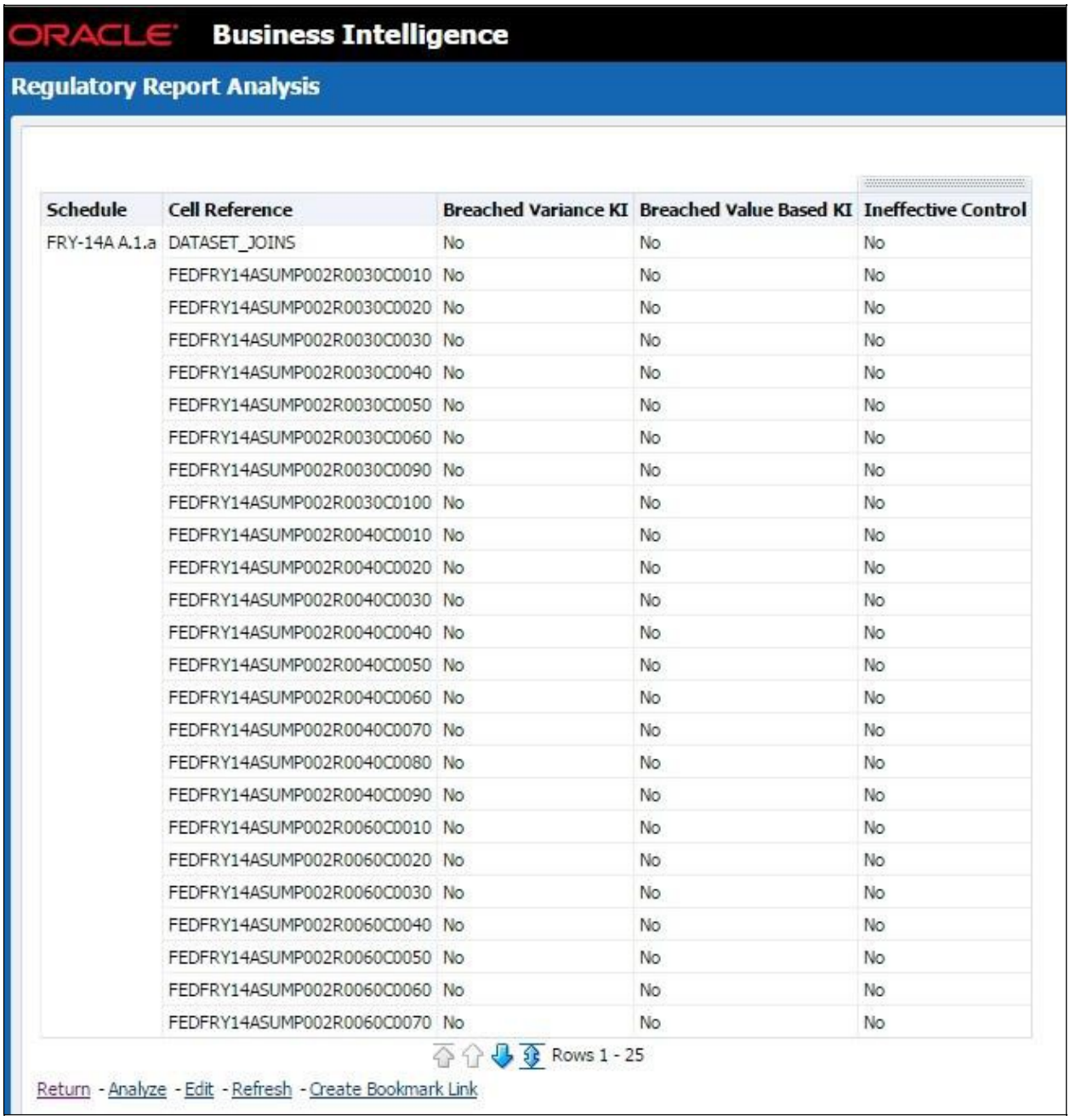
Regulatory Report Analysis

Reporting Element Drill - Schedule Report

| Schedule | Cell Reference | Breached Variance KI | Breached Value Based KI | Ineffective Control |
|---|---|---|---|---|
| FFIEC-041 RC | RCON0071 | No | No | Yes |
| | RCON0081 | No | No | Yes |
| | RCON2130 | No | No | No |
| | RCON2145 | No | No | No |
| | RCON3000 | No | No | No |
| | RCON3163 | No | No | No |
| | RCON3200 | No | No | No |
| | RCON3230 | No | No | No |
| | RCON3656 | No | No | No |
| | RCON3838 | No | No | No |
| | RCON3839 | No | No | No |
| | RCON5369 | No | No | No |
| | RCON6631 | No | No | No |
| | RCON6636 | No | No | No |
| | RCONA130 | No | No | No |
| | RCONB528 | No | No | No |
| | RCONB530 | No | No | No |
| | RCONB987 | No | No | No |
| | RCONB993 | No | No | No |

3. Click **No Errors** associated with each schedule to display Reporting Element drill-down Report. Following details are displayed:

   - Schedule: It displays the name of the schedule.
   - Cell Reference: It displays the reporting elements associated with the schedule.
   - Breached Variance KI: It displays if there are any Breached Variance KIs.
   - Breached Value Based KI: It displays if there are any Breached Value Based KIs.
   - Ineffective Control: It displays if there are any Ineffective Controls.

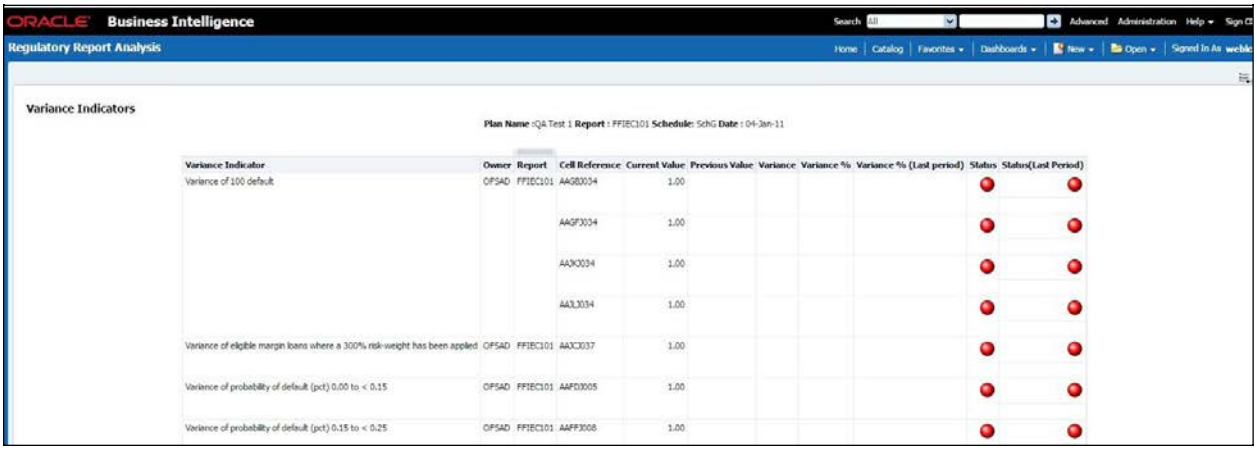



| Schedule | Cell Reference | Breached Variance KI | Breached Value Based KI | Ineffective Control |
|---|---|---|---|---|
| FRY-14A A.1.a | DATASET_JOINS | No | No | No |
| | FEDFRY14ASUMP002R0030C0010 | No | No | No |
| | FEDFRY14ASUMP002R0030C0020 | No | No | No |
| | FEDFRY14ASUMP002R0030C0030 | No | No | No |
| | FEDFRY14ASUMP002R0030C0040 | No | No | No |
| | FEDFRY14ASUMP002R0030C0050 | No | No | No |
| | FEDFRY14ASUMP002R0030C0060 | No | No | No |
| | FEDFRY14ASUMP002R0030C0090 | No | No | No |
| | FEDFRY14ASUMP002R0030C0100 | No | No | No |
| | FEDFRY14ASUMP002R0040C0010 | No | No | No |
| | FEDFRY14ASUMP002R0040C0020 | No | No | No |
| | FEDFRY14ASUMP002R0040C0030 | No | No | No |
| | FEDFRY14ASUMP002R0040C0040 | No | No | No |
| | FEDFRY14ASUMP002R0040C0050 | No | No | No |
| | FEDFRY14ASUMP002R0040C0060 | No | No | No |
| | FEDFRY14ASUMP002R0040C0070 | No | No | No |
| | FEDFRY14ASUMP002R0040C0080 | No | No | No |
| | FEDFRY14ASUMP002R0040C0090 | No | No | No |
| | FEDFRY14ASUMP002R0060C0010 | No | No | No |
| | FEDFRY14ASUMP002R0060C0020 | No | No | No |
| | FEDFRY14ASUMP002R0060C0030 | No | No | No |
| | FEDFRY14ASUMP002R0060C0040 | No | No | No |
| | FEDFRY14ASUMP002R0060C0050 | No | No | No |
| | FEDFRY14ASUMP002R0060C0060 | No | No | No |
| | FEDFRY14ASUMP002R0060C0070 | No | No | No |

4. Click **Variance Indicator Breach** associated with each schedule to display Variance Indicators and Issue Details – Variance Based Indicators drill-down Report. Following details are displayed in Variance Based Indicators:

   - Plan Name
   - Report Name
   - Schedule
   - Date

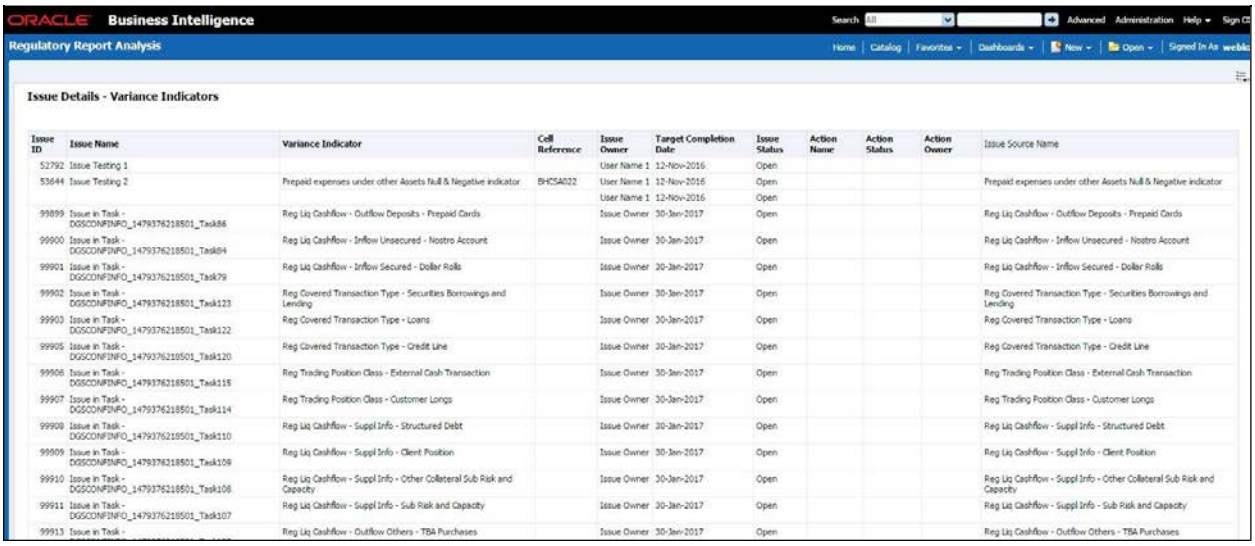
- Variance Indicator
- Owner
- Report
- Cell Reference
- Current Value
- Previous Value
- Variance
- Variance %
- Variance % (Last Period)
- Status
- Status (Last Period)
- Comments




Following details are displayed in Issue Details-Variance Based Indicators:

- Issue ID
- Issue Name
- Variance Indicator
- Cell Reference
- Issue Owner
- Target Completion Date
- Issue Status
- Action Name
- Action Status

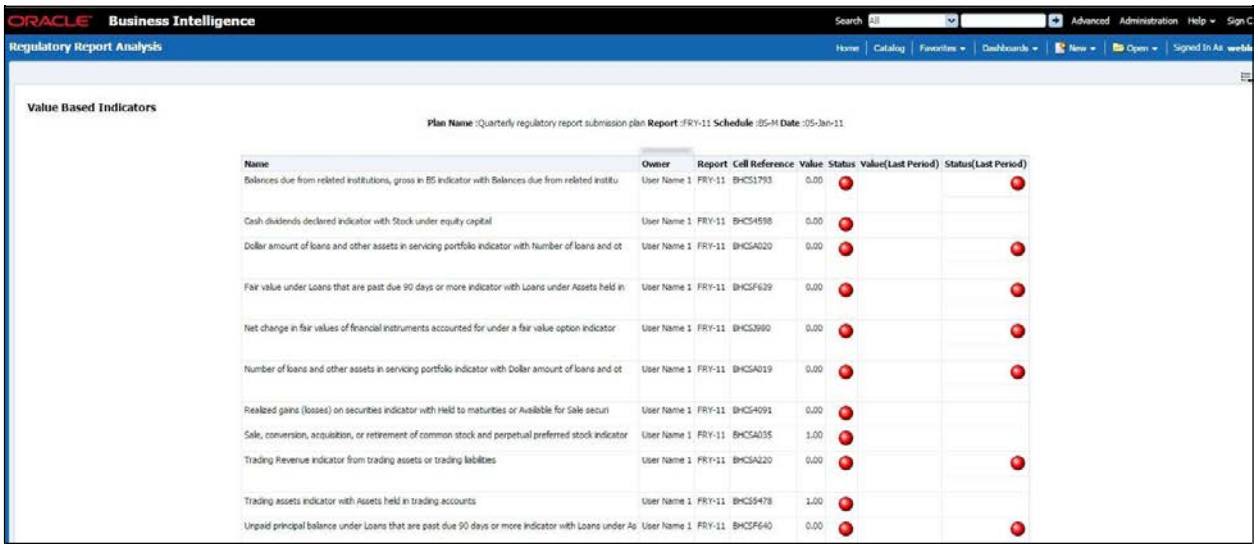
- Action Owner
- Issue Source Name




| Issue ID | Issue Name | Variance Indicator | Cell Reference | Issue Owner | Target Completion Date | Issue Status | Action Name | Action Status | Action Owner | Issue Source Name |
|---|---|---|---|---|---|---|---|---|---|---|
| 52792 | Issue Testing 1 | | | User Name 1 | 12-Nov-2016 | Open | | | | |
| 53644 | Issue Testing 2 | Prepaid expenses under other Assets Null & Negative indicator | BHCSA022 | User Name 1 | 12-Nov-2016 | Open | | | | Prepaid expenses under other Assets Null & Negative indicator |
| | | | | User Name 1 | 12-Nov-2016 | Open | | | | |
| 99899 | Issue in Task - DGSCONFINFO_1479376218501_Task86 | Reg Liq Cashflow - Outflow Deposits - Prepaid Cards | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Liq Cashflow - Outflow Deposits - Prepaid Cards |
| 99900 | Issue in Task - DGSCONFINFO_1479376218501_Task84 | Reg Liq Cashflow - Inflow Unsecured - Nostro Account | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Liq Cashflow - Inflow Unsecured - Nostro Account |
| 99901 | Issue in Task - DGSCONFINFO_1479376218501_Task79 | Reg Liq Cashflow - Inflow Secured - Dollar Rolls | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Liq Cashflow - Inflow Secured - Dollar Rolls |
| 99902 | Issue in Task - DGSCONFINFO_1479376218501_Task123 | Reg Covered Transaction Type - Securities Borrowings and Lending | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Covered Transaction Type - Securities Borrowings and Lending |
| 99903 | Issue in Task - DGSCONFINFO_1479376218501_Task122 | Reg Covered Transaction Type - Loans | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Covered Transaction Type - Loans |
| 99905 | Issue in Task - DGSCONFINFO_1479376218501_Task120 | Reg Covered Transaction Type - Credit Line | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Covered Transaction Type - Credit Line |
| 99906 | Issue in Task - DGSCONFINFO_1479376218501_Task115 | Reg Trading Position Class - External Cash Transaction | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Trading Position Class - External Cash Transaction |
| 99907 | Issue in Task - DGSCONFINFO_1479376218501_Task114 | Reg Trading Position Class - Customer Longs | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Trading Position Class - Customer Longs |
| 99908 | Issue in Task - DGSCONFINFO_1479376218501_Task110 | Reg Liq Cashflow - Suppl Info - Structured Debt | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Liq Cashflow - Suppl Info - Structured Debt |
| 99909 | Issue in Task - DGSCONFINFO_1479376218501_Task109 | Reg Liq Cashflow - Suppl Info - Client Position | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Liq Cashflow - Suppl Info - Client Position |
| 99910 | Issue in Task - DGSCONFINFO_1479376218501_Task108 | Reg Liq Cashflow - Suppl Info - Other Collateral Sub Risk and Capacity | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Liq Cashflow - Suppl Info - Other Collateral Sub Risk and Capacity |
| 99911 | Issue in Task - DGSCONFINFO_1479376218501_Task107 | Reg Liq Cashflow - Suppl Info - Sub Risk and Capacity | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Liq Cashflow - Suppl Info - Sub Risk and Capacity |
| 99913 | Issue in Task - | Reg Liq Cashflow - Outflow Others - TBA Purchases | | Issue Owner | 30-Jan-2017 | Open | | | | Reg Liq Cashflow - Outflow Others - TBA Purchases |

5. Click **KI Breach** associated with each schedule to display Value Based Indicators and Issue Details – Value Based Indicators drill-down Report. Following details are displayed in Value Based Indicators:

- Plan Name
- Report
- Schedule
- Date
- Name
- Owner
- Report
- Cell Reference
- Value
- Status
- Value (Last Period)
- Status (Last Period)



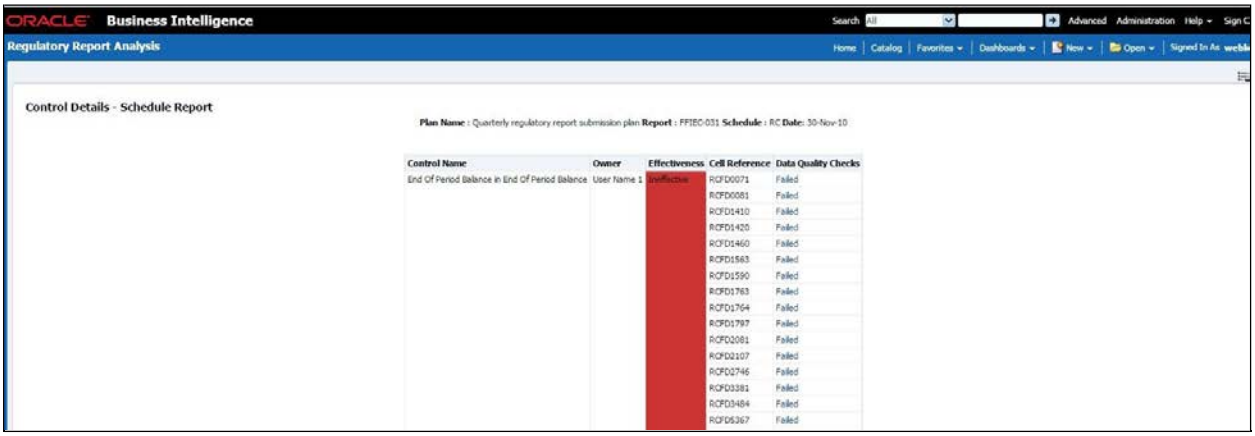

Following details are displayed in Issue Details - Value Based Indicators:

- Issue Name
- Key Indicator
- Cell Reference
- Issue Owner
- Target Completion Date
- Issue Status
- Action Name
- Action Status
- Action Owner
- Issue Source Name
- KI Report Code
- KI Schedule Code

6. Click **Control Failure** associated with each schedule to display Control details and Issue Details – Value Based Indicators drill-down Report. Following details are displayed in Control Details:

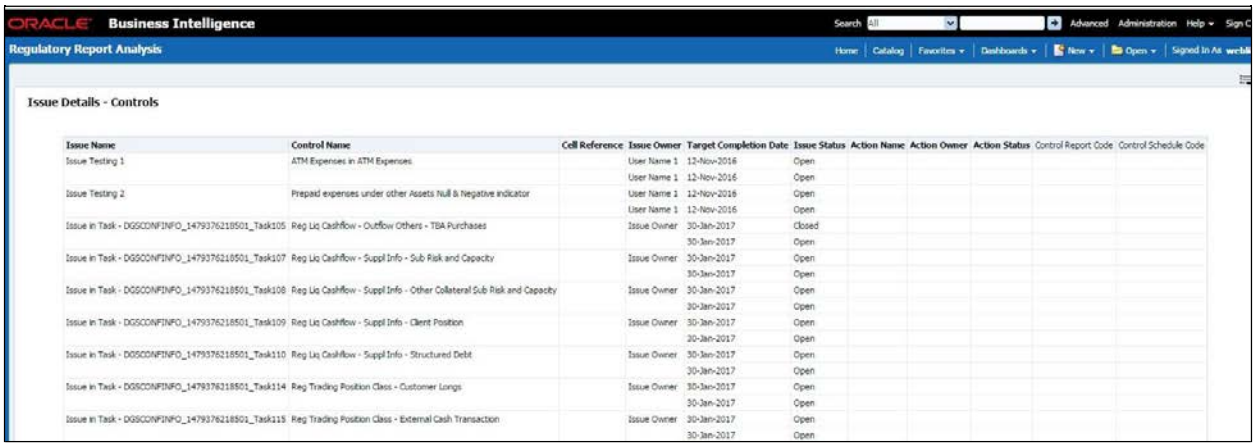
- Plan Name

- Report Name
- Schedule
- Date
- Control Name
- Owner
- Effectiveness
- Cell Reference
- Data Quality Checks



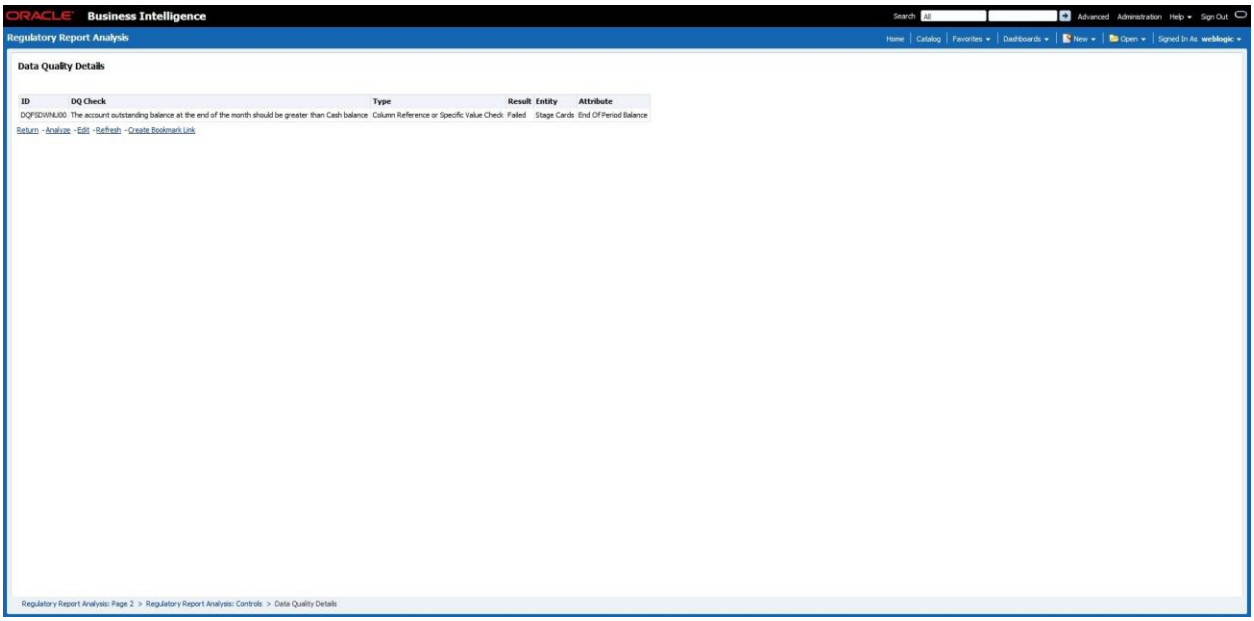

Following details are displayed in Issue Details - Controls:

- Issue Name
- Control Name
- Cell Reference
- Issue Owner
- Target Completion Date
- Issue Status
- Action Name
- Action Status
- Action Owner



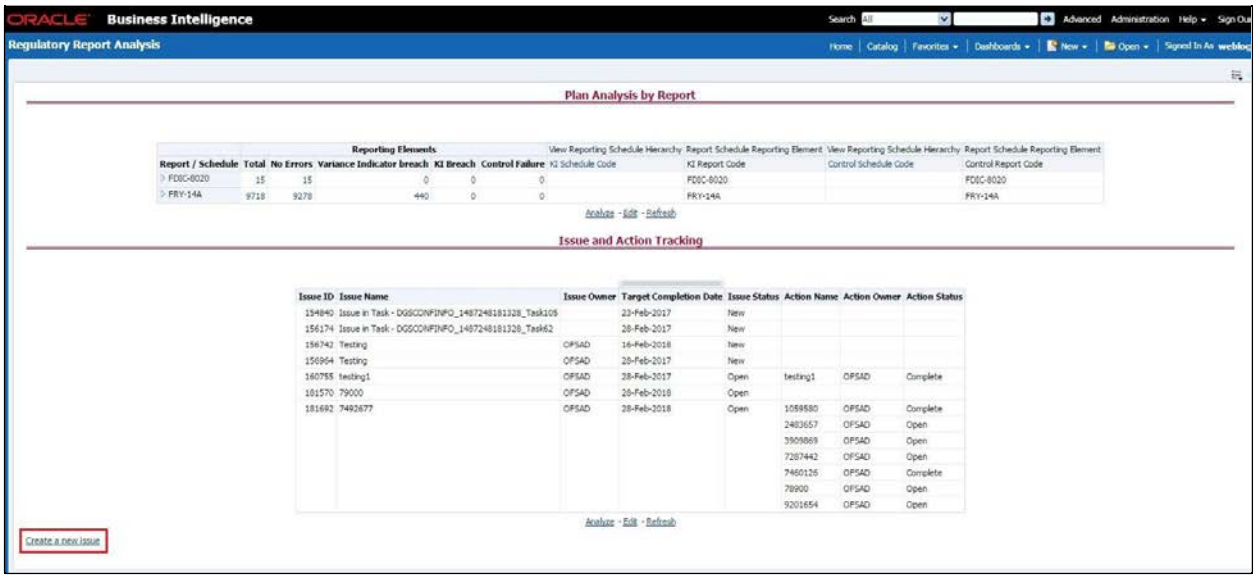

7. Click **Data Quality Checks** associated with each Control to display the following Data Quality Details:

   - ID
   - DQ Check
   - Type
   - Result Entity
   - Attribute




## 11.5.2 Create a New Issue

Click **Create a New Issue** hyperlink to navigate to the OFSAA Create Issue page where the user can log in a new issue.


ORACLE Business Intelligence
Search
Advanced
Administration
Help
Sign Out
Regulatory Report Analysis
Home
Catalog
Favorites
Dashboards
New
Open
Signed In As weblogic
Plan Analysis by Report
Reporting Elements
View Reporting Schedule Hierarchy
Report Schedule Reporting Element
View Reporting Schedule Hierarchy
Report Schedule Reporting Element
Report / Schedule
Total
No Errors
Variance Indicator breach
KI Breach
Control Failure
KI Schedule Code
KI Report Code
Control Schedule Code
Control Report Code
FDIC-8020 15 15 0 0 0 FDIC-8020 FDIC-8020
FRY-14A 9718 9278 440 0 0 FRY-14A FRY-14A
Analyze - Edit - Refresh
Issue and Action Tracking
Issue ID
Issue Name
Issue Owner
Target Completion Date
Issue Status
Action Name
Action Owner
Action Status
154840 Issue in Task - DGSCONFINFO_1487248181328_Task105 23-Feb-2017 New
156174 Issue in Task - DGSCONFINFO_1487248181328_Task62 28-Feb-2017 New
156742 Testing OFSAD 16-Feb-2018 New
156964 Testing OFSAD 28-Feb-2017 New
160755 testing1 OFSAD 28-Feb-2017 Open testing1 OFSAD Complete
161570 79000 OFSAD 26-Feb-2018 Open
161682 7482677 OFSAD 28-Feb-2018 Open 1059580 OFSAD Complete
2483657 OFSAD Open
3909869 OFSAD Open
7287442 OFSAD Open
7460126 OFSAD Complete
78900 OFSAD Open
9201654 OFSAD Open
Analyze - Edit - Refresh
Create a new issue

# 12 Metadata Browser

This section includes the following sections:


- Exporting Metadata Browser Objects to XML
- Registering a Metadata Browser Object
- Publishing a Metadata Browser Business Term


## 12.1 Exporting Metadata Browser Objects to XML

You can export the Metadata Browser (MDB) objects, in an XML format. This exported XML can be directly used to import data in the database. By using this XML export functionality you can:

- Export the list of all the objects of a particular object type.
- Export all the details of a particular object.

Based on the requirement you need to make the respective Webservice call by passing request XMLs, with all the fields required to generate the desired output XML.

The WebService class that holds the two methods is the `MDBObjectExportWS`. A Webservice call to either of the methods in this class should be made from the server on which the application is hosted, to the server on which the Webservice is hosted, such as the OFSAAI server.

1. To generate an XML with list of all the objects of a particular object type, you need to invoke the `generateXMLObjectsList(String xml)`.

   Use the following format of request xml with the fields holding not null values:

```
<Object>
<infodom>{infodom}</infodom>
<objectType>{Object_Type_Id}</objectType>
</Object>
Below is the format of the corresponding response XML:

<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<Objects>
<object>
<Id>{object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{master_id}</MasterId>
<Folder>{folder_name}</Folder>
<Type>{object_type_id}</Type>
```

```
</object>
<object>
<Id>{object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{master_id}</MasterId>
<Folder>{folder_name}</Folder>
<Type>{object_type_id}</Type>
</object>
<object>
<Id>{object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{master_id}</MasterId>
<Folder>{folder_name}</Folder>
<Type>{object_type_id}</Type>
</object>
.
.
.
.
<object>
<Id>{object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{master_id}</MasterId>
<Folder>{folder_name}</Folder>
<Type>{object_type_id}</Type>
</object>
</Objects>
```

2. To generate an XML with with all the details of the object, you need to invoke the `generateXMLObjectDetails(String xml).`

   Use the following format of request xml with the fields holding not null values:

```
<object>
<infodom>{infodom}</infodom>
<Id>{Object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{Master_Id} </MasterId>
<Folder>{Folder_name}</Folder>
<Type>{Object_Type_Id}</Type>
```

```
</object>
```

Following is the format of the corresponding response XML:

```
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<Object>
<Id>{Object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{Master_id}</MasterId>
<Folder>{folder_name}</Folder>
<Type>{object_type_id}</Type>
<Properties>
   <Property desc="property_description">
         <AttributeName>{attribute_name}</AttributeName>
         <AttributeValue>{attribute_value}</AttributeValue>
   </Property>
   <Property desc="property_description">
         <AttributeName>{attribute_name}</AttributeName>
         <AttributeValue>{attribute_value}</AttributeValue>
         .
         .
         .
         <AttributeValue>{attribute_name}</AttributeName>
         <AttributeValue>{attribute_value}</AttributeValue>
   </Property>
   <Property desc="property_description">
         <AttributeName>{attribute_name}</AttributeName>
         <AttributeValue>{attribute_value}</AttributeValue>
         </Property>
   .
   .
   .
   <Property desc="property_description">
         <AttributeName>{attribute_name}</AttributeName>
         <AttributeValue>{attribute_value}</AttributeValue>
   </Property>
</Properties>
```

```
<DependentObjects>
   <DependsOn>
         <Object Id="obj_def_id" Type="object_type_id"/>
         <Object Id="obj_def_id" Type="object_type_id"/>
         .
         .
         <Object Id="obj_def_id" Type="object_type_id"/>
   </DependsOn>
   <UsedIn>
         <Object Id="obj_def_id" Type="object_type_id"/>
         <Object Id="obj_def_id" Type="object_type_id"/>
         .
         .
         <Object Id="obj_def_id" Type="object_type_id"/>
   </UsedIn>
</DependentObjects>
</Object>
```

## 12.2 Registering a MDB Object

The Mutility registers a new MDB object based on the input XML. You should provide valid entries in this XML before execution.

Provide the path of input XML file in the `MDBObjectRegistration.properties` file located in the `FIC_DB/conf folder.`

Following is an example of a Sample MDBObjectRegistration.properties file:

```
file_path:/FIC_HOME/XML Directory/MDBObjectRegistraionSample.xml
```

In the command line execute the '`MDBObjectRegistration.sh`' shell script available in `FIC_DB/bin` folder. After successful execution you can view the object in the MDB.

The XML file has a predefined template. You can only provide values based on this template structure.

Following is the Input XML template:

```
<OBJECT TYPE_ID="">
      <INFODOM></INFODOM>
      <NAME></NAME>
      <TYPE>E</TYPE>
      <LOCALE>en_US</LOCALE>
      <ATTR_GROUP ID="1">
```

```
            <FORM_CODE></FORM_CODE>
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```

## 12.3 Publishing a MDB Business Term

The execution occurs through the command line by calling the `MDBPublishExecution` shell script in the `FIC_DB/bin` location.

Following are the prerequisites for publishing:

- You should make an entry for both MDBGlossaryImplementation and MDBSubjectAreaImplementation API in the MDB_POP_IMPL_LIST table . The order of execution order should be such as, first the subject area should be executed, followed by the glossary.
- You should create a menu for the Business Term in MDB, using MDB_MENU_DETAILS table, before publishing.
- An object type of 15001 for Business Term and 15002 for subject area is created in the MDB table.
- After executing the APIs, Subject area objects and Business Term objects are populated in the MDB tables.
- You should specify the attribute layout in the tables MDB_OBJECT_TYPE_LAYOUT and MDB_OBJECT_TYPE_ATT_LAYOUT. After successful execution, you can view the Business Term objects in the Meta Data Browser.

# 13 Metadata Report Extract

Metadata Report Extract Functionality helps the user to export OFSAA metadata into Excel sheet and XMLs. This feature helps to get a view of OFSAA metadata and its dependencies. It is a template based approach where-in user creates templates and selects Metadata Objects that need to be extracted. The extraction process is supported only for Excel and XMLs. While defining the template, user is expected to have prior knowledge of the OFSAA Metadata objects that are relevant from his application point of view.

## 13.1 Prerequisites

The following executions must be performed before using the Metadata Report Utility:

1. **MDB Publish**: Execute the batch, **INFODOM_MDB**

   **Logs**: MDB logs are generated under deployed area

   **/Context_Name/logs/MDB_XXXX.log**

2. **Data Elements Wrapper**: Execute the batch, **INFODOM_POP_DATA_ELEMENTS_USFED**

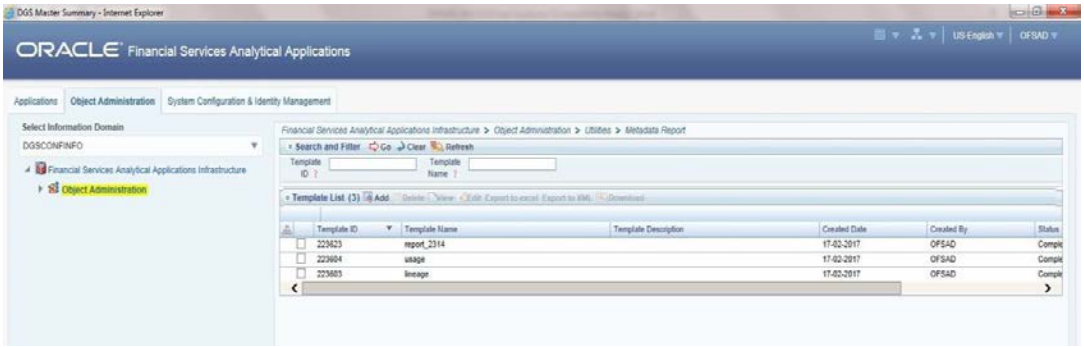
   **Logs**: Data Elements logs are generated in atomic schema under **FSI_MESSAGE_LOGS** table.

| **NOTE:** | Both executions require adequate tablespace. Ensure your atomic schema is having enough tablespace. |
|---|---|

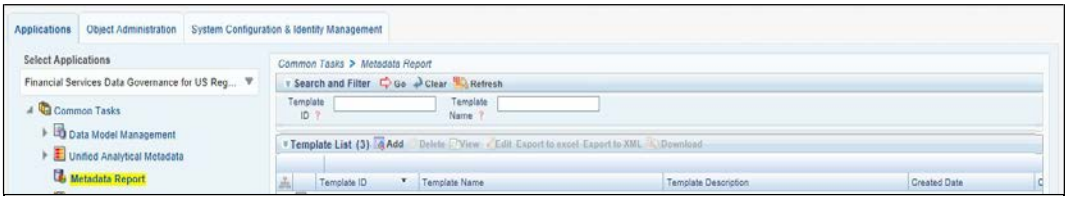
## 13.2 Creating and Exporting Metadata Report Templates

Perform the following steps to create and export Metadata Report Templates:

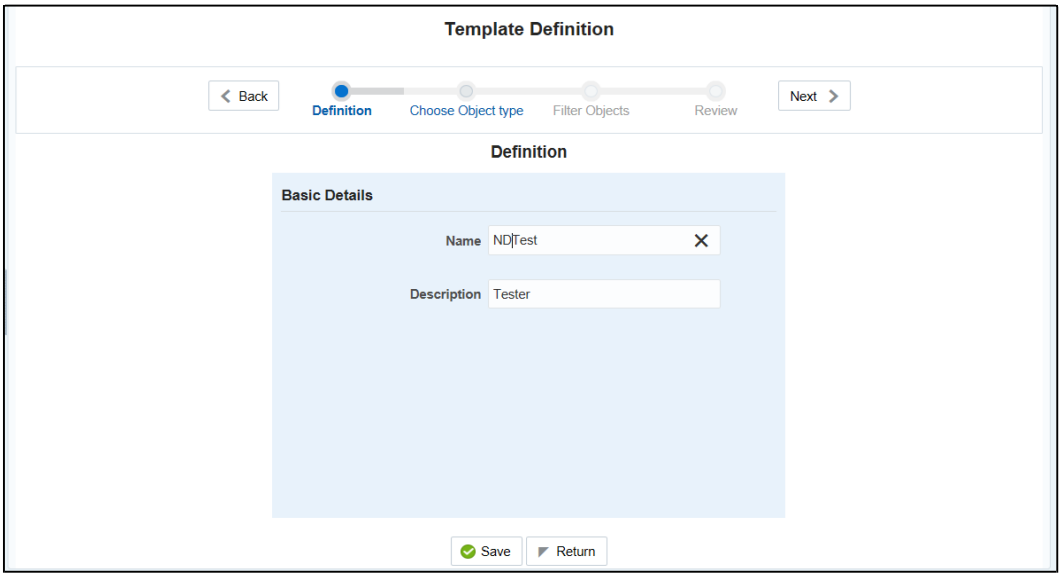
1. Navigate to **Object Administration → Utilities → Metadata Report**.




2. Click **Add** icon, in Summary screen, to create a new Metadata Report template.



3. Provide the **Name** and **Description** for the new template in **Template Definition** page. Click **Save** and **Next**.



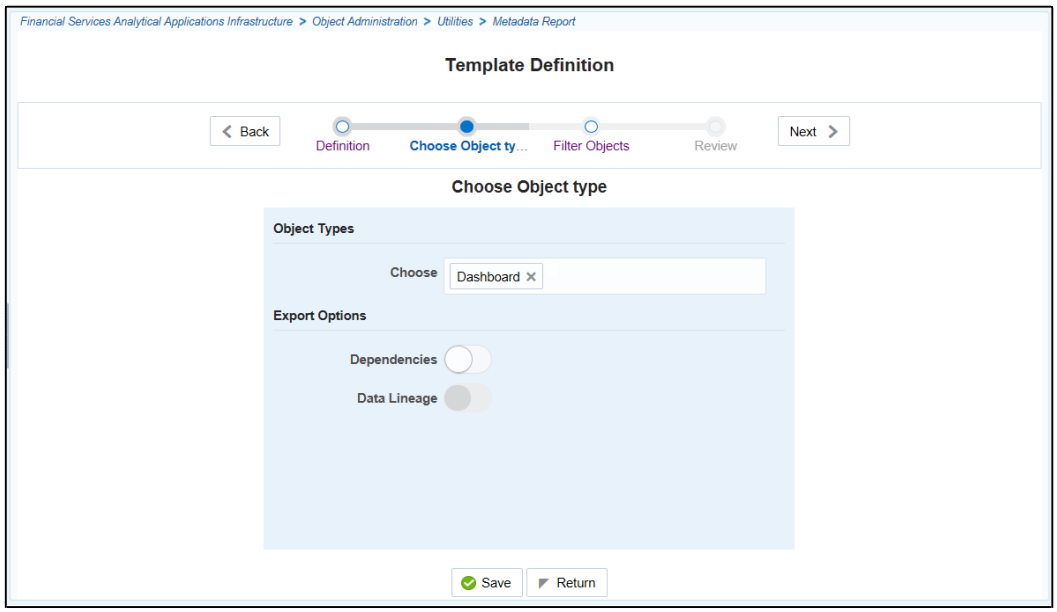

4. Select the desired object from the **Object Type** dropdown to be exported. Select **Export Options** type as **Individual/Relational**.

   **Individual** report generates only the basic properties of the object selected, that is, name and description. **Relational** report generates detailed information up to the Entities level, if Dependencies is chosen; and up to the Staging Columns level, if Data Lineage is selected along with Dependencies.

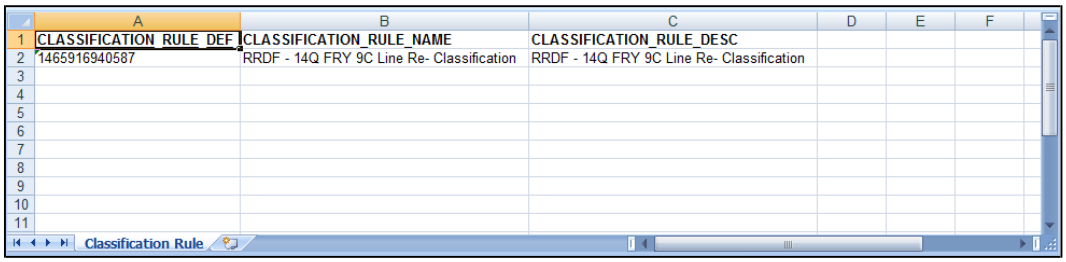
   **Dependencies**: Metadata object is dependent on several other metadata objects. Metadata object is also used (that is, consumed) in several other metadata objects. Dependency or usage tree can be of any depth. For example, a rule can be dependent on a hierarchy, business processor, and dataset. Further, each of these metadata objects can be dependent on other metadata objects. Metadata Export Utility exports all the dependent or used metadata objects for all paths in the dependency or usage tree, if this option is selected.

   **Lineage**: Data is loaded from source systems to staging and then moved across to processing / reporting. Lineage traces the data element as it moves across different layers of OFSAA: staging, processing, and reporting. Metadata Export Utility exports the lineage of each of the reporting area data element that is identified by dependencies.

   **For Individual:** In the **Export Options**, do not select **Dependencies** or **Data Lineage.**



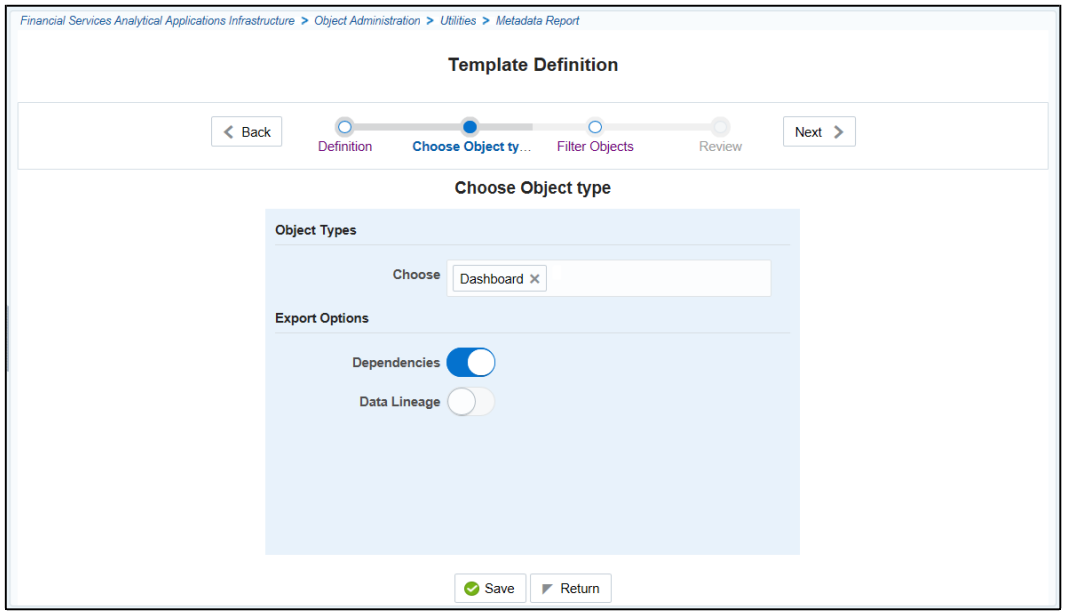

The exported sample report for Individual is as follows:



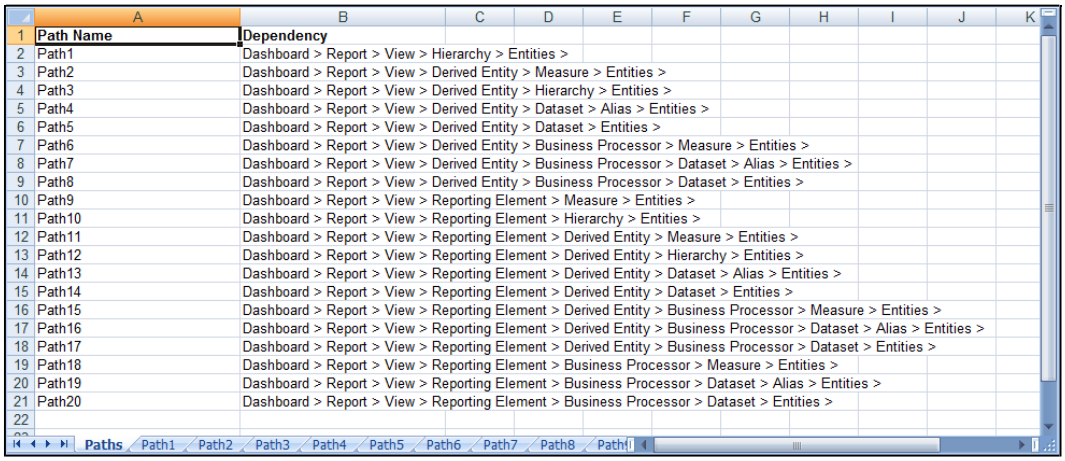
| | A | B | C | D | E | F |
|---|---|---|---|---|---|---|
| 1 | CLASSIFICATION_RULE_DEF | CLASSIFICATION_RULE_NAME | CLASSIFICATION_RULE_DESC | | | |
| 2 | 1465916940587 | RRDF - 14Q FRY 9C Line Re- Classification | RRDF - 14Q FRY 9C Line Re- Classification | | | |
| 3 | | | | | | |
| 4 | | | | | | |
| 5 | | | | | | |
| 6 | | | | | | |
| 7 | | | | | | |
| 8 | | | | | | |
| 9 | | | | | | |
| 10 | | | | | | |
| 11 | | | | | | |

Classification Rule

**For Relational**: In the **Export Options**, select **Dependencies**.



The exported sample report for Relational is as follows:



| | A | B |
|---|---|---|
| 1 | **Path Name** | **Dependency** |
| 2 | Path1 | Dashboard > Report > View > Hierarchy > Entities > |
| 3 | Path2 | Dashboard > Report > View > Derived Entity > Measure > Entities > |
| 4 | Path3 | Dashboard > Report > View > Derived Entity > Hierarchy > Entities > |
| 5 | Path4 | Dashboard > Report > View > Derived Entity > Dataset > Alias > Entities > |
| 6 | Path5 | Dashboard > Report > View > Derived Entity > Dataset > Entities > |
| 7 | Path6 | Dashboard > Report > View > Derived Entity > Business Processor > Measure > Entities > |
| 8 | Path7 | Dashboard > Report > View > Derived Entity > Business Processor > Dataset > Alias > Entities > |
| 9 | Path8 | Dashboard > Report > View > Derived Entity > Business Processor > Dataset > Entities > |
| 10 | Path9 | Dashboard > Report > View > Reporting Element > Measure > Entities > |
| 11 | Path10 | Dashboard > Report > View > Reporting Element > Hierarchy > Entities > |
| 12 | Path11 | Dashboard > Report > View > Reporting Element > Derived Entity > Measure > Entities > |
| 13 | Path12 | Dashboard > Report > View > Reporting Element > Derived Entity > Hierarchy > Entities > |
| 14 | Path13 | Dashboard > Report > View > Reporting Element > Derived Entity > Dataset > Alias > Entities > |
| 15 | Path14 | Dashboard > Report > View > Reporting Element > Derived Entity > Dataset > Entities > |
| 16 | Path15 | Dashboard > Report > View > Reporting Element > Derived Entity > Business Processor > Measure > Entities > |
| 17 | Path16 | Dashboard > Report > View > Reporting Element > Derived Entity > Business Processor > Dataset > Alias > Entities > |
| 18 | Path17 | Dashboard > Report > View > Reporting Element > Derived Entity > Business Processor > Dataset > Entities > |
| 19 | Path18 | Dashboard > Report > View > Reporting Element > Business Processor > Measure > Entities > |
| 20 | Path19 | Dashboard > Report > View > Reporting Element > Business Processor > Dataset > Alias > Entities > |
| 21 | Path20 | Dashboard > Report > View > Reporting Element > Business Processor > Dataset > Entities > |
| 22 | | |

Paths | Path1 | Path2 | Path3 | Path4 | Path5 | Path6 | Path7 | Path8 | Path9

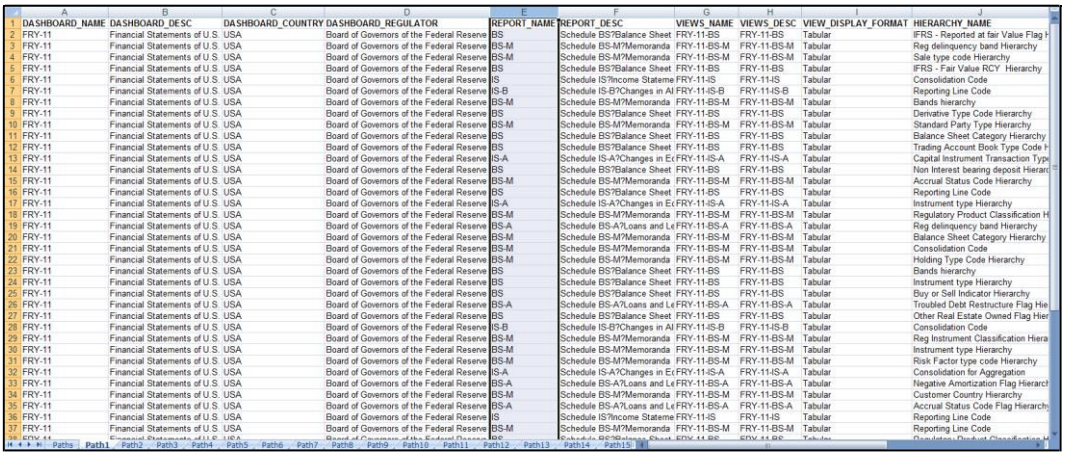
The first sheet shows the different Paths and their Dependencies upto the Entities level. Select the required **Path** sheet at the bottom to view the dependencies.

Each path tells how the dependency/usage is derived from dashboard to entity or vice versa involving various OFSAA object types like Derived Entity, Hierarchies, Datasets, Measures, and so on.

These paths are generated by the system using data already published in MDB dependency tables as part of OFSAA MDB object publish.

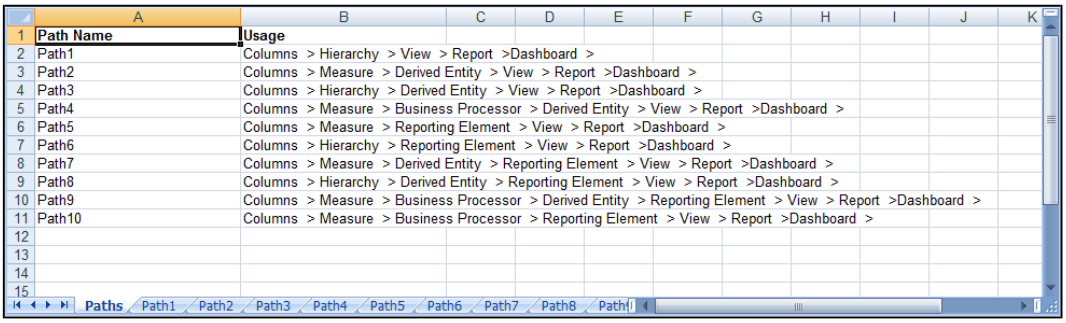
1. For every dependent object type displayed in each path sheet, the following columns are displayed:
   a) Object type name
   b) Object type description
   c) One or many Object specific properties (optional)

For example: In Path1, Dashboard is the first Object type, the dependencies generated are Dashboard Name, Dashboard Description, and Dashboard properties: Dashboard Country, Dashboard Regulator and so on. Similarly, Report is the next Object type in Path1 and the dependencies generated are Report Name, Report Description, Views Name, Views Description, View Display Format and so on. Then followed by Hierarchy Objects name, description and properties up to the Entities level.



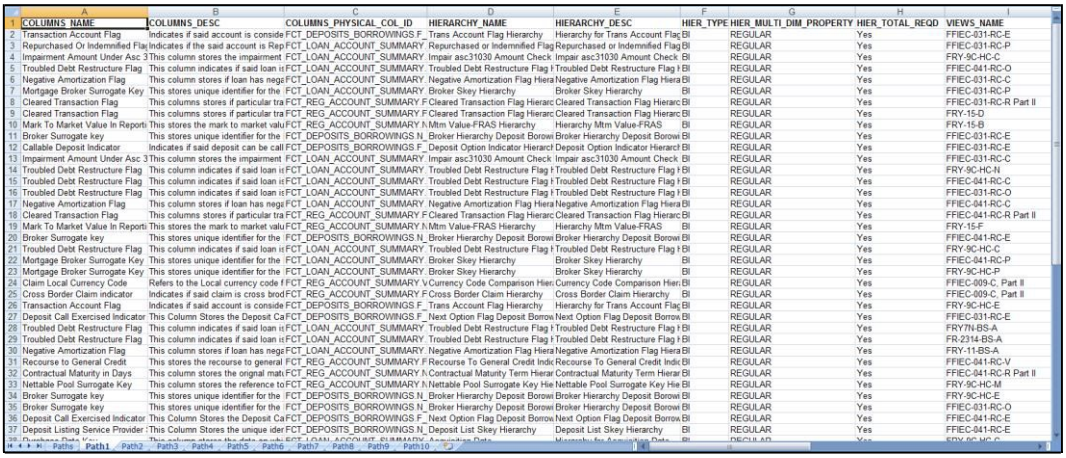
| DASHBOARD_NAME | DASHBOARD_DESC | DASHBOARD_COUNTRY | DASHBOARD_REGULATOR | REPORT_NAME | REPORT_DESC | VIEWS_NAME | VIEWS_DESC | VIEW_DISPLAY_FORMAT | HIERARCHY_NAME |
|---|---|---|---|---|---|---|---|---|---|
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | IFRS - Reported at fair Value Flag H |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Reg delinquency band Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Sale type code Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | IFRS - Fair Value RCY Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | IS | Schedule IS?Income Stateme | FRY-11-IS | FRY-11-IS | Tabular | Consolidation Code |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | IS-B | Schedule IS-B?Changes in Al | FRY-11-IS-B | FRY-11-IS-B | Tabular | Reporting Line Code |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Bands hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Derivative Type Code Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Standard Party Type Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Balance Sheet Category Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Trading Account Book Type Code H |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | IS-A | Schedule IS-A?Changes in Ec | FRY-11-IS-A | FRY-11-IS-A | Tabular | Capital Instrument Transaction Type |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Non Interest bearing deposit Hierarc |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Accrual Status Code Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Reporting Line Code |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | IS-A | Schedule IS-A?Changes in Ec | FRY-11-IS-A | FRY-11-IS-A | Tabular | Instrument type Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Regulatory Product Classification H |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-A | Schedule BS-A?Loans and Le | FRY-11-BS-A | FRY-11-BS-A | Tabular | Reg delinquency band Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Balance Sheet Category Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Consolidation Code |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Holding Type Code Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Bands hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Instrument type Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Buy or Sell Indicator Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-A | Schedule BS-A?Loans and Le | FRY-11-BS-A | FRY-11-BS-A | Tabular | Troubled Debt Restructure Flag Hie |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS | Schedule BS?Balance Sheet | FRY-11-BS | FRY-11-BS | Tabular | Other Real Estate Owned Flag Hier |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | IS-B | Schedule IS-B?Changes in Al | FRY-11-IS-B | FRY-11-IS-B | Tabular | Consolidation Code |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Reg Instrument Classification Hiera |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Instrument type Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Risk Factor type code Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | IS-A | Schedule IS-A?Changes in Ec | FRY-11-IS-A | FRY-11-IS-A | Tabular | Consolidation for Aggregation |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-A | Schedule BS-A?Loans and Le | FRY-11-BS-A | FRY-11-BS-A | Tabular | Negative Amortization Flag Hierarch |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Customer Country Hierarchy |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-A | Schedule BS-A?Loans and Le | FRY-11-BS-A | FRY-11-BS-A | Tabular | Accrual Status Code Flag Hierarch |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | IS | Schedule IS?Income Stateme | FRY-11-IS | FRY-11-IS | Tabular | Reporting Line Code |
| FRY-11 | Financial Statements of U.S. | USA | Board of Governors of the Federal Reserve | BS-M | Schedule BS-M?Memoranda | FRY-11-BS-M | FRY-11-BS-M | Tabular | Reporting Line Code |

The Usage sample report (generated by default when Dependencies is selected) is as follows:



| Path Name | Usage |
|---|---|
| Path1 | Columns > Hierarchy > View > Report >Dashboard > |
| Path2 | Columns > Measure > Derived Entity > View > Report >Dashboard > |
| Path3 | Columns > Hierarchy > Derived Entity > View > Report >Dashboard > |
| Path4 | Columns > Measure > Business Processor > Derived Entity > View > Report >Dashboard > |
| Path5 | Columns > Measure > Reporting Element > View > Report >Dashboard > |
| Path6 | Columns > Hierarchy > Reporting Element > View > Report >Dashboard > |
| Path7 | Columns > Measure > Derived Entity > Reporting Element > View > Report >Dashboard > |
| Path8 | Columns > Hierarchy > Derived Entity > Reporting Element > View > Report >Dashboard > |
| Path9 | Columns > Measure > Business Processor > Derived Entity > Reporting Element > View > Report >Dashboard > |
| Path10 | Columns > Measure > Business Processor > Reporting Element > View > Report >Dashboard > |

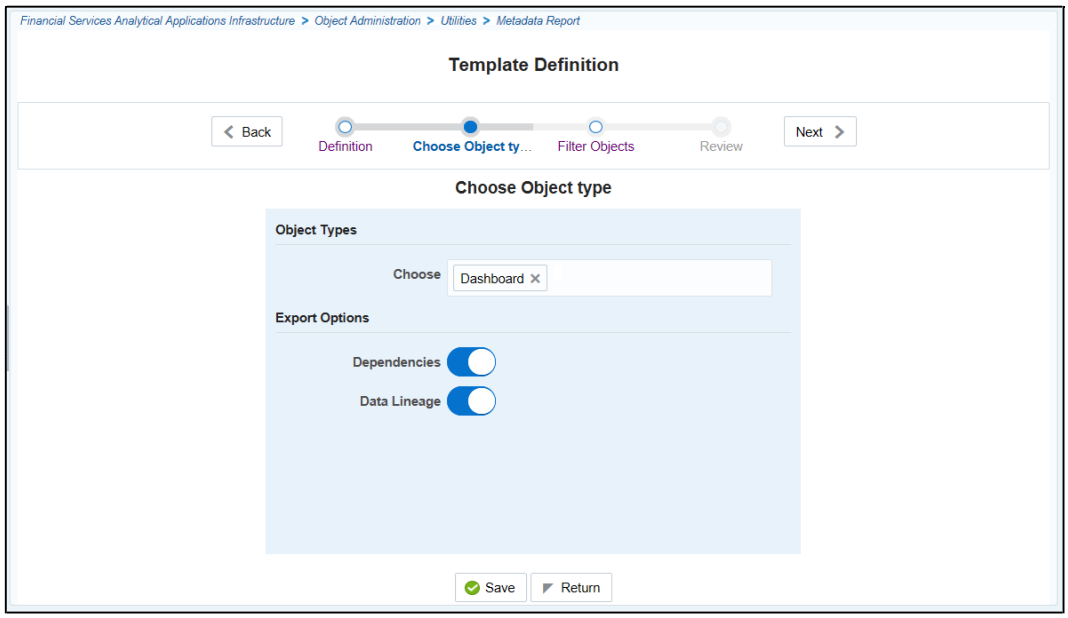
The first sheet shows the different Paths and their Usage upto the Dashboard level. Select the required **Path** sheet at the bottom to view the Usage.



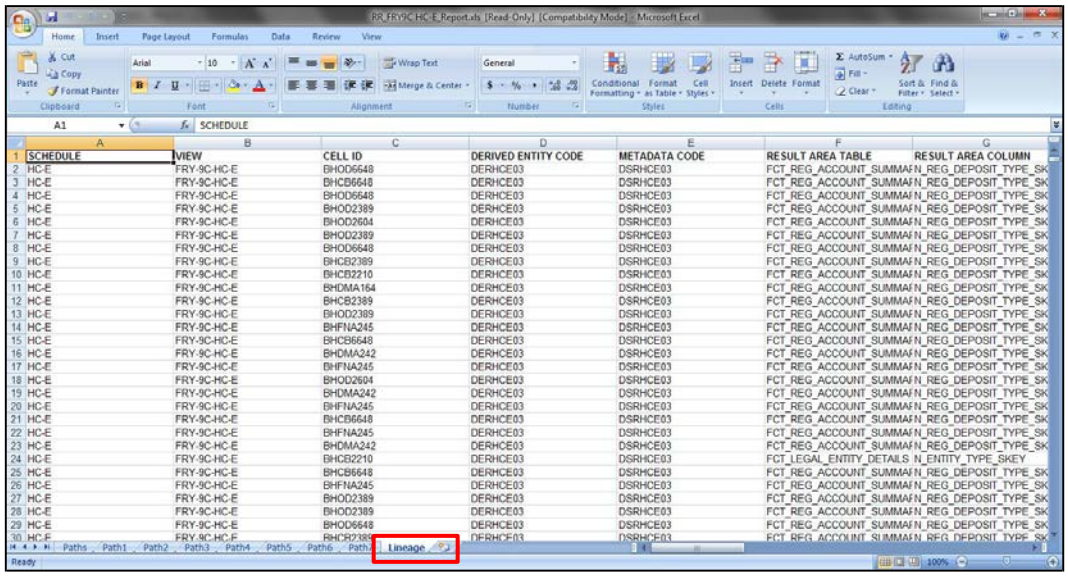
| COLUMNS_NAME | COLUMNS_DESC | COLUMNS_PHYSICAL_COL_ID | HIERARCHY_NAME | HIERARCHY_DESC | HIER_TYPE | HIER_MULTI_DIM_PROPERTY | HIER_TOTAL_REQD | VIEWS_NAME |
|---|---|---|---|---|---|---|---|---|
| Transaction Account Flag | Indicates if said account is conside | FCT_DEPOSITS_BORROWINGS.F_ | Trans Account Flag Hierarchy | Hierarchy for Trans Account Flag | BI | REGULAR | Yes | FFIEC-031-RC-E |
| Repurchased Or Indemnified Flag | Indicates if the said account is Rep | FCT_LOAN_ACCOUNT_SUMMARY. | Repurchased or Indemnified Flag | Repurchased or Indemnified Flag | BI | REGULAR | Yes | FFIEC-031-RC-P |
| Impairment Amount Under Asc 3 | This column stores the impairment | FCT_LOAN_ACCOUNT_SUMMARY. | Impair asc31030 Amount Check | Impair asc31030 Amount Check | BI | REGULAR | Yes | FRY-9C-HC-C |
| Troubled Debt Restructure Flag | This column indicates if said loan is | FCT_LOAN_ACCOUNT_SUMMARY. | Troubled Debt Restructure Flag H | Troubled Debt Restructure Flag H | BI | REGULAR | Yes | FFIEC-041-RC-O |
| Negative Amortization Flag | This column stores if loan has nega | FCT_LOAN_ACCOUNT_SUMMARY. | Negative Amortization Flag Hiera | Negative Amortization Flag Hiera | BI | REGULAR | Yes | FFIEC-031-RC-C |
| Mortgage Broker Surrogate Key | This stores unique identifier for the | FCT_LOAN_ACCOUNT_SUMMARY. | Broker Skey Hierarchy | Broker Skey Hierarchy | BI | REGULAR | Yes | FFIEC-031-RC-P |
| Cleared Transaction Flag | This columns stores if particular tra | FCT_REG_ACCOUNT_SUMMARY.F | Cleared Transaction Flag Hierarc | Cleared Transaction Flag Hierarc | BI | REGULAR | Yes | FFIEC-031-RC-R Part II |
| Cleared Transaction Flag | This columns stores if particular tra | FCT_REG_ACCOUNT_SUMMARY.F | Cleared Transaction Flag Hierarc | Cleared Transaction Flag Hierarc | BI | REGULAR | Yes | FRY-15-D |
| Mark To Market Value In Reporti | This stores the mark to market valu | FCT_REG_ACCOUNT_SUMMARY.N | Mtm Value-FRAS Hierarchy | Hierarchy Mtm Value-FRAS | BI | REGULAR | Yes | FRY-15-B |
| Broker Surrogate key | This stores unique identifier for the | FCT_DEPOSITS_BORROWINGS.N_ | Broker Hierarchy Deposit Borrowi | Broker Hierarchy Deposit Borrowi | BI | REGULAR | Yes | FFIEC-031-RC-E |
| Callable Deposit Indicator | Indicates if said deposit can be call | FCT_DEPOSITS_BORROWINGS.F_ | Deposit Option Indicator Hierarcl | Deposit Option Indicator Hierarcl | BI | REGULAR | Yes | FFIEC-031-RC-E |
| Impairment Amount Under Asc 3 | This column stores the impairment | FCT_LOAN_ACCOUNT_SUMMARY. | Impair asc31030 Amount Check | Impair asc31030 Amount Check | BI | REGULAR | Yes | FFIEC-031-RC-C |
| Troubled Debt Restructure Flag | This column indicates if said loan is | FCT_LOAN_ACCOUNT_SUMMARY. | Troubled Debt Restructure Flag H | Troubled Debt Restructure Flag H | BI | REGULAR | Yes | FRY-9C-HC-N |
| Troubled Debt Restructure Flag | This column indicates if said loan is | FCT_LOAN_ACCOUNT_SUMMARY. | Troubled Debt Restructure Flag H | Troubled Debt Restructure Flag H | BI | REGULAR | Yes | FFIEC-041-RC-C |
| Troubled Debt Restructure Flag | This column indicates if said loan is | FCT_LOAN_ACCOUNT_SUMMARY. | Troubled Debt Restructure Flag H | Troubled Debt Restructure Flag H | BI | REGULAR | Yes | FFIEC-031-RC-O |
| Negative Amortization Flag | This column stores if loan has nega | FCT_LOAN_ACCOUNT_SUMMARY. | Negative Amortization Flag Hiera | Negative Amortization Flag Hiera | BI | REGULAR | Yes | FFIEC-041-RC-C |
| Cleared Transaction Flag | This columns stores if particular tra | FCT_REG_ACCOUNT_SUMMARY.F | Cleared Transaction Flag Hierarc | Cleared Transaction Flag Hierarc | BI | REGULAR | Yes | FFIEC-041-RC-R Part II |
| Mark To Market Value In Reporti | This stores the mark to market valu | FCT_REG_ACCOUNT_SUMMARY.N | Mtm Value-FRAS Hierarchy | Hierarchy Mtm Value-FRAS | BI | REGULAR | Yes | FRY-15-F |
| Broker Surrogate key | This stores unique identifier for the | FCT_DEPOSITS_BORROWINGS.N_ | Broker Hierarchy Deposit Borrowi | Broker Hierarchy Deposit Borrowi | BI | REGULAR | Yes | FFIEC-041-RC-E |
| Troubled Debt Restructure Flag | This column indicates if said loan is | FCT_LOAN_ACCOUNT_SUMMARY. | Troubled Debt Restructure Flag H | Troubled Debt Restructure Flag H | BI | REGULAR | Yes | FRY-9C-HC-C |
| Mortgage Broker Surrogate Key | This stores unique identifier for the | FCT_LOAN_ACCOUNT_SUMMARY. | Broker Skey Hierarchy | Broker Skey Hierarchy | BI | REGULAR | Yes | FFIEC-041-RC-P |
| Mortgage Broker Surrogate Key | This stores unique identifier for the | FCT_LOAN_ACCOUNT_SUMMARY. | Broker Skey Hierarchy | Broker Skey Hierarchy | BI | REGULAR | Yes | FRY-9C-HC-P |
| Claim Local Currency Code | Refers to the Local currency code f | FCT_REG_ACCOUNT_SUMMARY.V | Currency Code Comparison Hier | Currency Code Comparison Hier | BI | REGULAR | Yes | FFIEC-009-C, Part II |
| Cross Border Claim indicator | Indicates if said claim is cross brod | FCT_REG_ACCOUNT_SUMMARY.F | Cross Border Claim Hierarchy | Cross Border Claim Hierarchy | BI | REGULAR | Yes | FFIEC-009-C, Part II |
| Transaction Account Flag | Indicates if said account is conside | FCT_DEPOSITS_BORROWINGS.F_ | Trans Account Flag Hierarchy | Hierarchy for Trans Account Flag | BI | REGULAR | Yes | FRY-9C-HC-E |
| Deposit Call Exercised Indicator | This Column Stores the Deposit Ca | FCT_DEPOSITS_BORROWINGS.F_ | Next Option Flag Deposit Borrow | Next Option Flag Deposit Borrow | BI | REGULAR | Yes | FFIEC-031-RC-E |
| Troubled Debt Restructure Flag | This column indicates if said loan is | FCT_LOAN_ACCOUNT_SUMMARY. | Troubled Debt Restructure Flag H | Troubled Debt Restructure Flag H | BI | REGULAR | Yes | FRYTH-BS-A |
| Troubled Debt Restructure Flag | This column indicates if said loan is | FCT_LOAN_ACCOUNT_SUMMARY. | Troubled Debt Restructure Flag H | Troubled Debt Restructure Flag H | BI | REGULAR | Yes | FR-2314-BS-A |
| Negative Amortization Flag | This column stores if loan has nega | FCT_LOAN_ACCOUNT_SUMMARY. | Negative Amortization Flag Hiera | Negative Amortization Flag Hiera | BI | REGULAR | Yes | FRY-11-BS-A |
| Recourse to General Credit | This stores the recourse to general | FCT_REG_ACCOUNT_SUMMARY.F | Recourse To General Credit Indic | Recourse To General Credit Indic | BI | REGULAR | Yes | FFIEC-041-RC-V |
| Contractual Maturity in Days | This column stores the orignal matu | FCT_REG_ACCOUNT_SUMMARY.N | Contractual Maturity Term Hierar | Contractual Maturity Term Hierar | BI | REGULAR | Yes | FFIEC-041-RC-R Part II |
| Nettable Pool Surrogate Key | This column stores the reference to | FCT_REG_ACCOUNT_SUMMARY.N | Nettable Pool Surrogate Key Hie | Nettable Pool Surrogate Key Hie | BI | REGULAR | Yes | FRY-9C-HC-M |
| Broker Surrogate key | This stores unique identifier for the | FCT_DEPOSITS_BORROWINGS.N_ | Broker Hierarchy Deposit Borrowi | Broker Hierarchy Deposit Borrowi | BI | REGULAR | Yes | FRY-9C-HC-E |
| Broker Surrogate key | This stores unique identifier for the | FCT_DEPOSITS_BORROWINGS.N_ | Broker Hierarchy Deposit Borrowi | Broker Hierarchy Deposit Borrowi | BI | REGULAR | Yes | FFIEC-031-RC-O |
| Deposit Call Exercised Indicator | This Column Stores the Deposit Ca | FCT_DEPOSITS_BORROWINGS.F_ | Next Option Flag Deposit Borrow | Next Option Flag Deposit Borrow | BI | REGULAR | Yes | FFIEC-041-RC-E |
| Deposit Listing Service Provider | This Column Stores the unique ider | FCT_DEPOSITS_BORROWINGS.N_ | Deposit List Skey Hierarchy | Deposit List Skey Hierarchy | BI | REGULAR | Yes | FFIEC-041-RC-E |

Select **Data Lineage** in **Template Definition → Choose Object Type** to export the lineage details up to the Staging Columns level.

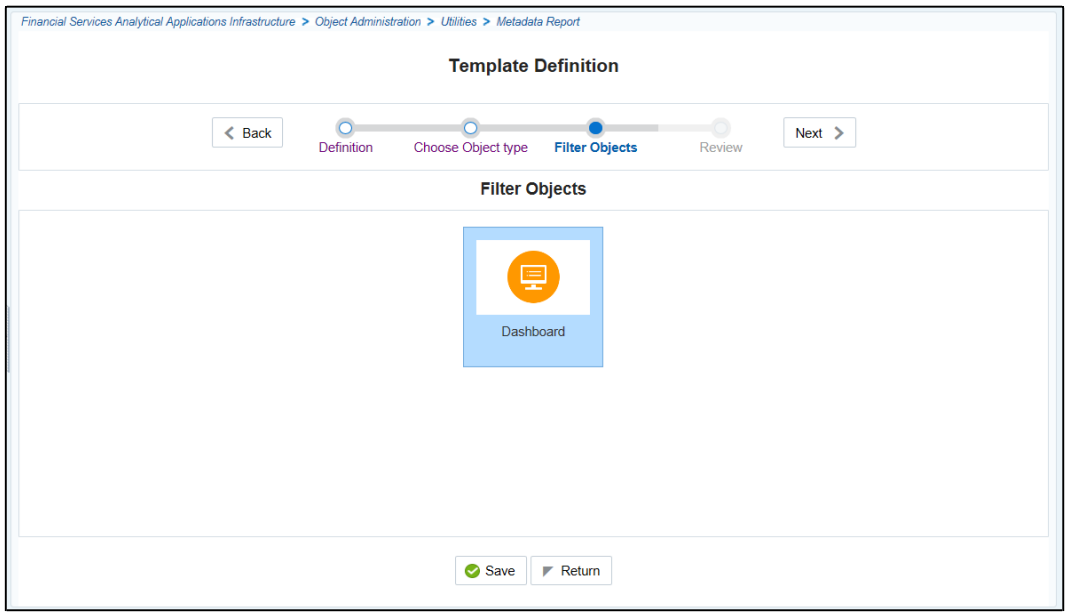
**NOTE:** Data Lineage can be selected only if you have opted for the Dependencies feature. The minimum memory settings to run lineage reports must be export JAVA_OPTS="-Xms1024m -Xmx8192m".



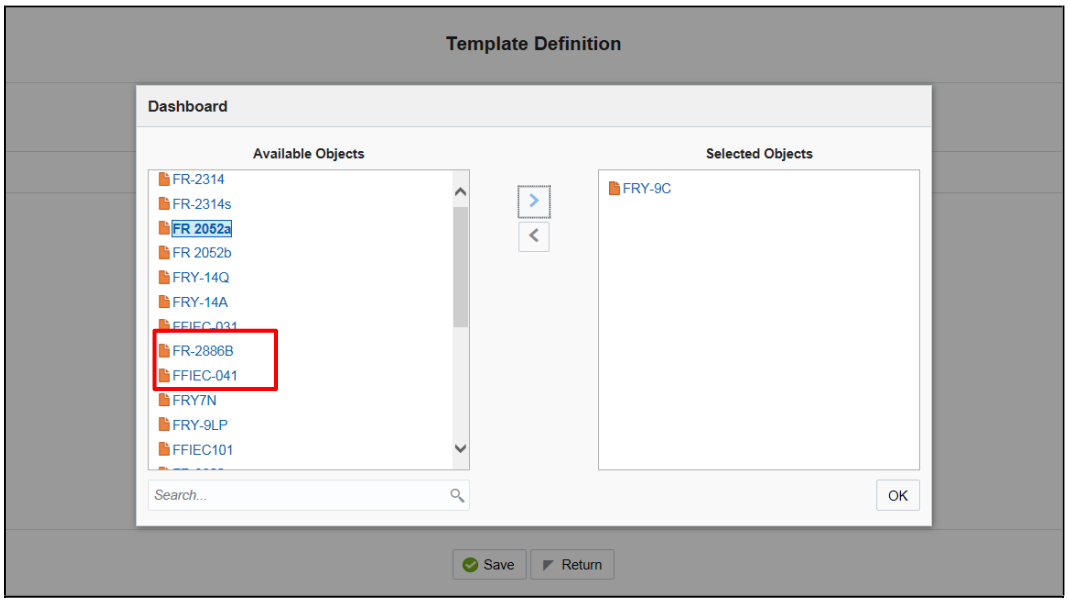

**NOTE:** Data Lineage is generated as a separate sheet in the generated Relational report along with the Dependencies. Select the **Lineage** sheet to view the Data Lineage (up to Staging column level).




5. Select **Filter Objects** to see the selected objects.

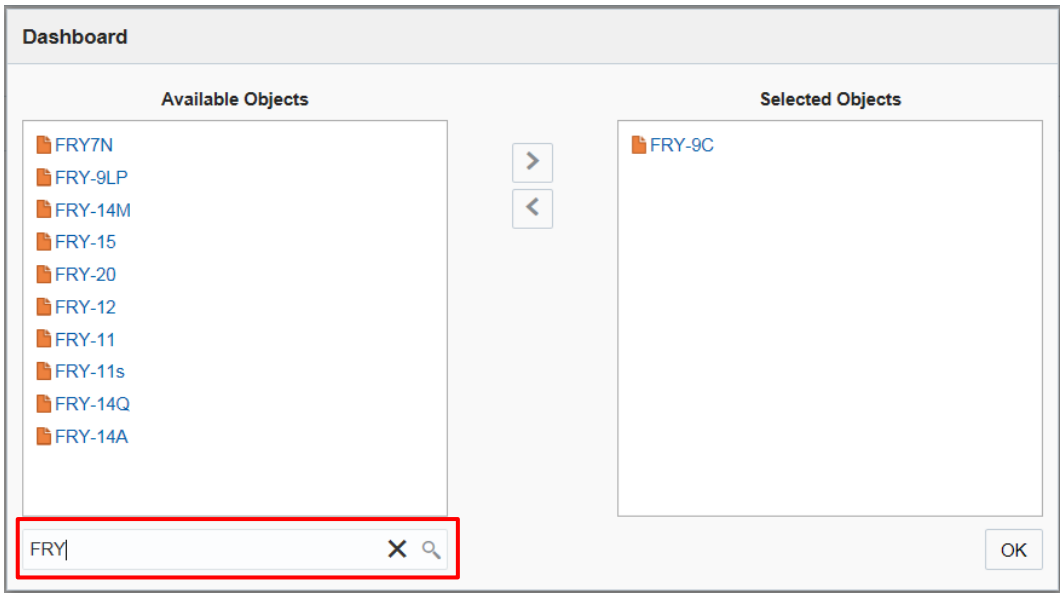



6. Select one **Filter Object** from the **Available Objects** and click to add a **Selected Object**. Select one **Selected Object** from the **Available Objects** and click to remove a **Filter Object**.

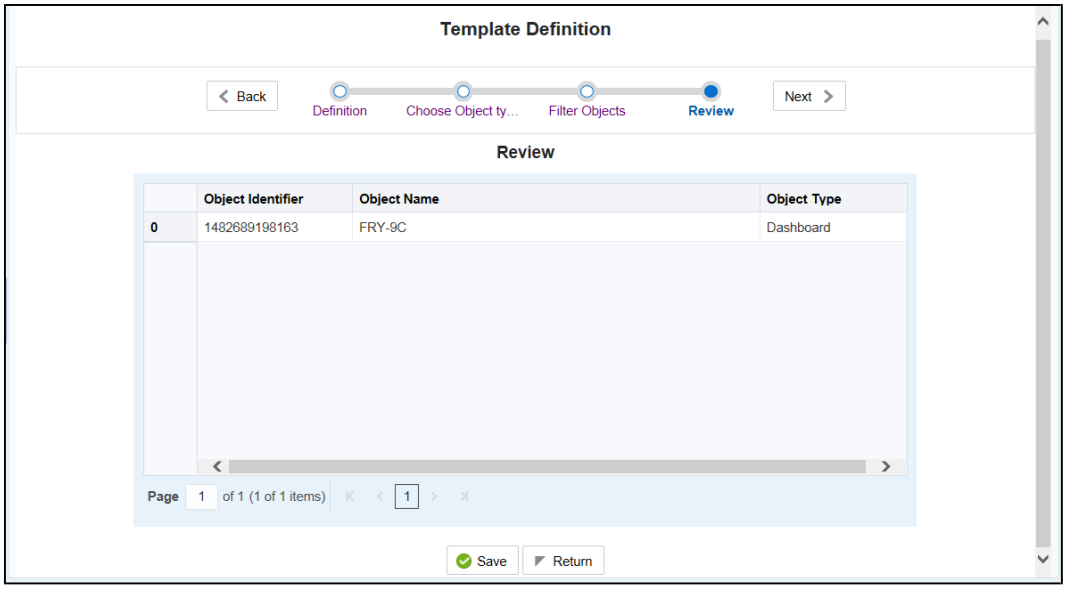



When the object list is huge, use the Search option as shown above. Type first three letters of the Filter Object name and the relevant Filter Objects will be displayed.

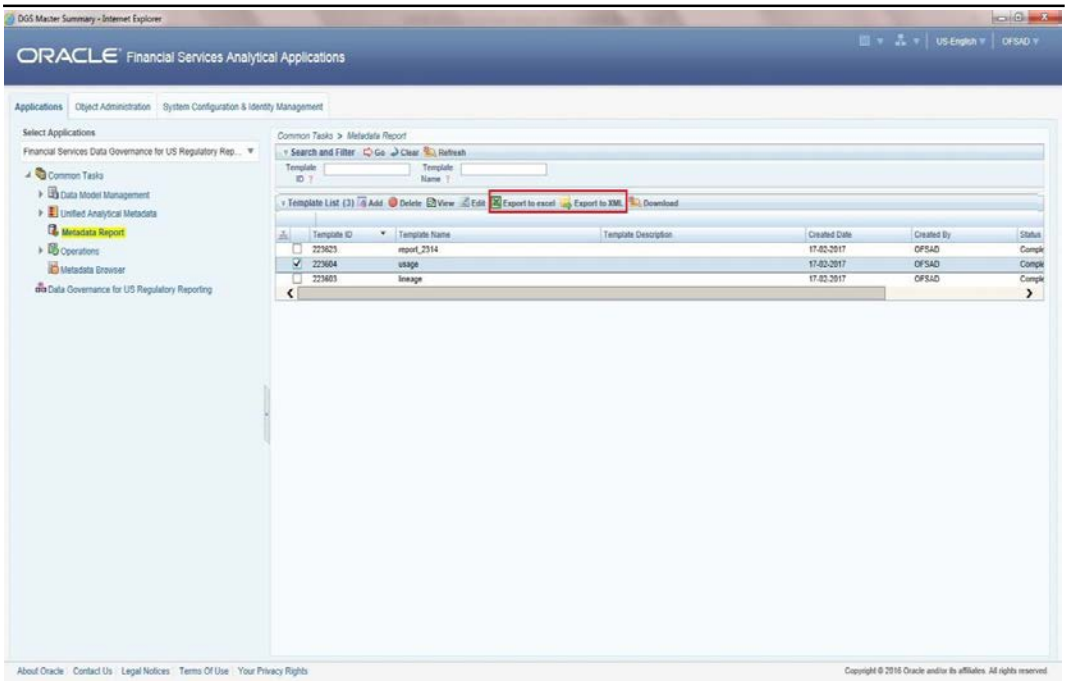
**NOTE:** You can type the complete Filter Object name to select and add to the Selected Objects.




7. Review the **Template Definition** once and click **Save**.



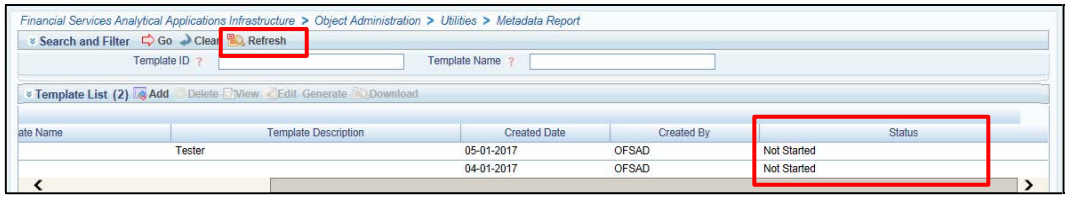
8. Click **Return** to go to the **Summary** page.
9. Select a **Template** in the **Template List** in **Summary** screen and click **Export to excel** or **Export to XML** to export the desired objects in Excel Sheet and XML format.




**NOTE:** MDB Publish must be triggered before executing the Generate option.

**NOTE:** XMLs will be exported as individual type only

10. The Report Generation function is an asynchronous action and to check the status of the export function, use the **Refresh** option in **Summary** screen.




- **For Excel Export**, the following are the Status values:
  - **Not Started**: The Report Generation is yet to start, but the function has triggered the action in the background.
  - **Ongoing**: The Report Generation is started and in process.
  - **Completed**: The Report Generation is completed and ready to view or download.
  - **Failed/Partially Completed**: The Report Generation encountered an issue and the process is partially completed or failed.

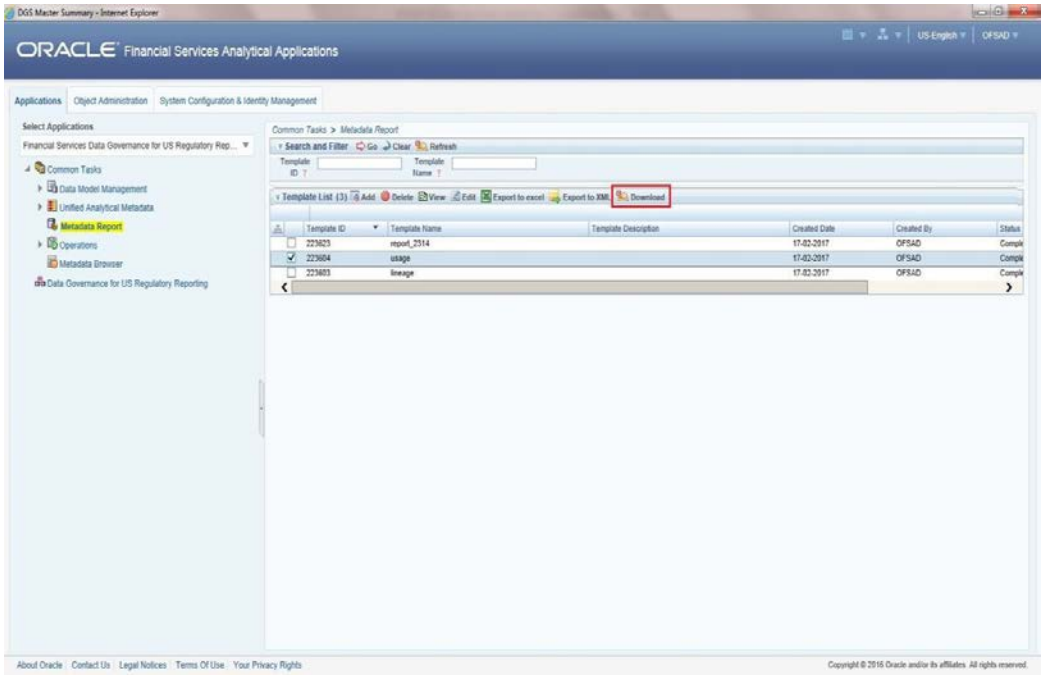
**NOTE:** The export logs are generated and placed in the path **/Context_Name/logs/MDB_XXXX.log**.

- For XML Export:
  - Not Started
  - Check Metadata Export folder in server

**NOTE:** This is to distinguish the XML extract from the Excel export. XMLs cannot be downloaded from UI

11. Select a **Template** in the **Template List** in **Summary** screen and click **Download** to save a copy of the generated Metadata Report Templates excel sheet, after the export status shows as completed.

**NOTE:** XML files exported cannot be downloaded using this option.




**User Access:**

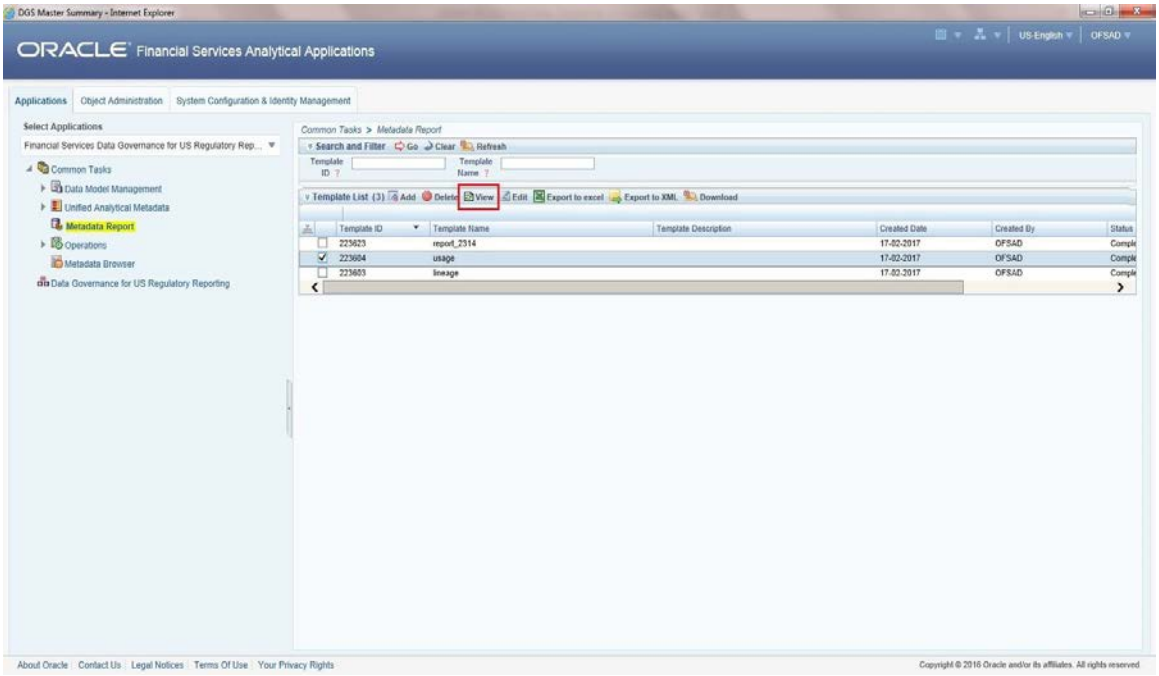
The following user groups are pre-seeded in the component that helps user to get access to the Metadata Report Extract screen.

- MDR View Group: Helps users to see Metadata Report Extract with View permissions.
- MDR Owner Group: Helps users to create templates in Metadata Report Extract.

## 13.3 Viewing Metadata Report Templates

Perform the following steps to view the Metadata Report Templates:

1. Select a **Template** in the **Template List** in **Summary** screen.
2. Click **View** icon to view the generated Metadata Report Templates excel report (after the export status shows as completed).

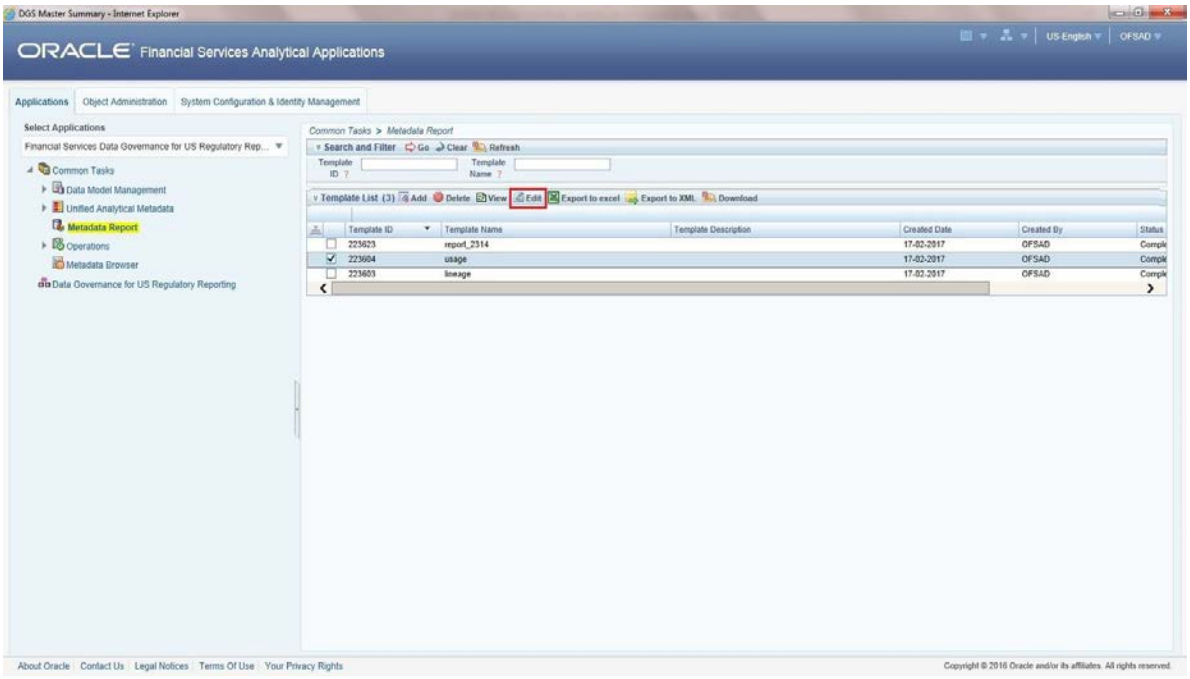



**NOTE:** The Metadata Report Templates excel report is opened in view-only mode.

## 13.4 Modifying/Editing Metadata Report Templates

Perform the following steps to edit or modify the Metadata Report Templates:

1. Select a **Template** in the **Template List** in **Summary** screen.
2. Click **Edit** icon to modify the generated Metadata Report Templates excel report (after the export status shows as completed).

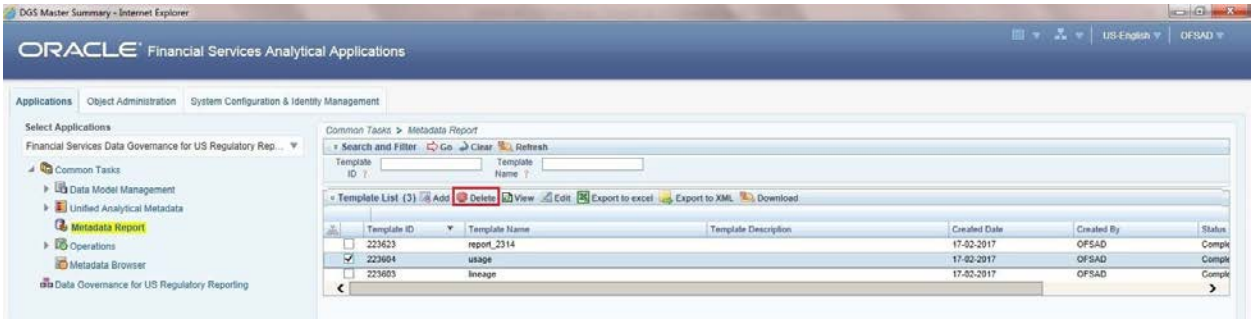



**NOTE:** Pre-defined Seeded Metadata Report Templates cannot be edited.

## 13.5 Deleting Metadata Report Templates

Perform the following steps to delete the Metadata Report Templates:

1. Select a **Template** in the **Template List** in **Summary** screen.
2. Click **Delete** icon to delete the Metadata Report Templates.




Pre-defined Seeded Metadata Report Templates cannot be deleted.

## 13.6 Enhancement for Metadata Report for version 8.0.3.1.0

### Prerequisites

The following executions must be performed before using the Metadata Export Utility:

1. Before executing MDB Publish and Data Elements Wrapper Batch, ensure the following:
   - **a.** Tablespace Requirement:
     - **i.** Ensure that the **USERS** tablespace have minimum **150 GB** available
     - **ii.** Ensure that the **TEMP** tablespace is minimum **45 GB** available

**b.** Execute the following **Gather Stat** command for the mentioned tables:

```
BEGIN
DBMS_STATS.GATHER_TABLE_STATS(USER, 'TABLE_NAME');
END;
```

**iii.** Atomic Schema:

FSI_M_CELL_DETAILS

FSI_DE_SEEDED_DIMENSIONS

FSI_DE_TABLE_APPLICATION_MAP

FSI_DE_PP_TABLE_LIST

FSI_DE_METADATA_SEEDED_VW_MAP

FSI_DE_PP_TABLE_REPORT_MAP

Config Schema:

AAI_OBJECT_B

AAI_OBJECT_TL

PR2_RULE_MAP

PR2_RULE_OBJECT

PR2_RULE_OBJECT_MEMBER

PR2_OBJECT_TL

PR2_OBJECT_TRACE

BATCH_MASTER

BATCH_TASK_MASTER

BATCH_PARAMETER_MASTER

METADATA_MASTER

METADATA_ELEMENT_MASTER

METADATA_LOCALE_MASTER

METADATA_TYPE_MASTER

METADATA_ATTRIBUTE_MASTER

2. **MDB Publish**: Execute the batch, INFODOM_MDB
3. **Logs:** MDB logs are generated under deployed area **/Context_Name/logs/MDB_XXXX.log**

**Data Elements Wrapper Execution:** After MDB Publish is completed succesfully with message “Metadata publishing is finished.” in the **/Context_Name/logs/MDB_XXXX.log**, you must execute the Data Elements Utility with the following seeded batch to get the Data Lineage for each Metadata in OFSAA:

**Parameters used in <INFODOM>_DATA_LINEAGE_DGS Batch**

The batch can be executed in different modes according to each requirement. The following are the parameters used for executing the batch

The default parameters used in the **<INFODOM>_DATA_LINEAGE_DGS** batch are:

**Task1 (METADATA PARSER)**

| Sl. No. | Parameter | Description | List of Values | Default Value |
|---|---|---|---|---|

| | | | | |
|---|---|---|---|---|
| 1 | P_FULL_PARSE | Full Parser Flag | Y/N | 'Y' |
| 2 | P_INFODOM_NAME | Infodom Name | ##INFODOM## | <Value of the Infodom where DG is installed>. For example: 'FSDFINFO' |

**Inclusion of Runs for Lineage Reports**

When any new run or any new batch, for example DIH batch for connectors, are created then **fsi_de_pop_run_relationship** table needs to be updated. Update the new run or batch names in the REL_RUN_NAME column.

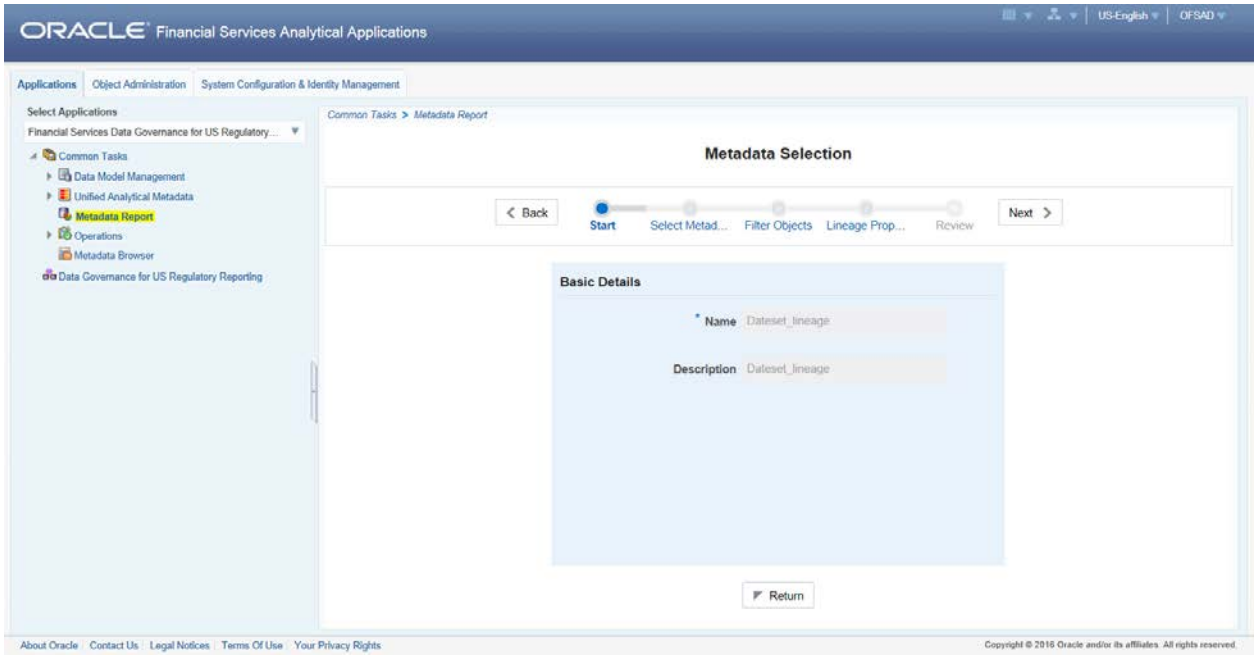
| RUN_NAME | REL_RUN_NAME | PROCESSING_OUTPUT_FLAG |
|---|---|---|
| GLRECON_DIFF_CALC_RUN | DGSINFO_DIMENSION_DATA_RECON | N |
| GLRECON_DIFF_CALC_RUN | DGSINFO_DIM_GL_ACCOUNT_POP | N |
| GLRECON_DIFF_CALC_RUN | DGSINFO_EXCHANGE_RATE_DATA | N |
| GLRECON_DIFF_CALC_RUN | DG_RULES_RUN | N |
| GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | N |

**Data Elements Wrapper**: Execute the batch**, <INFODOM>_DATA_LINEAGE_DGS**

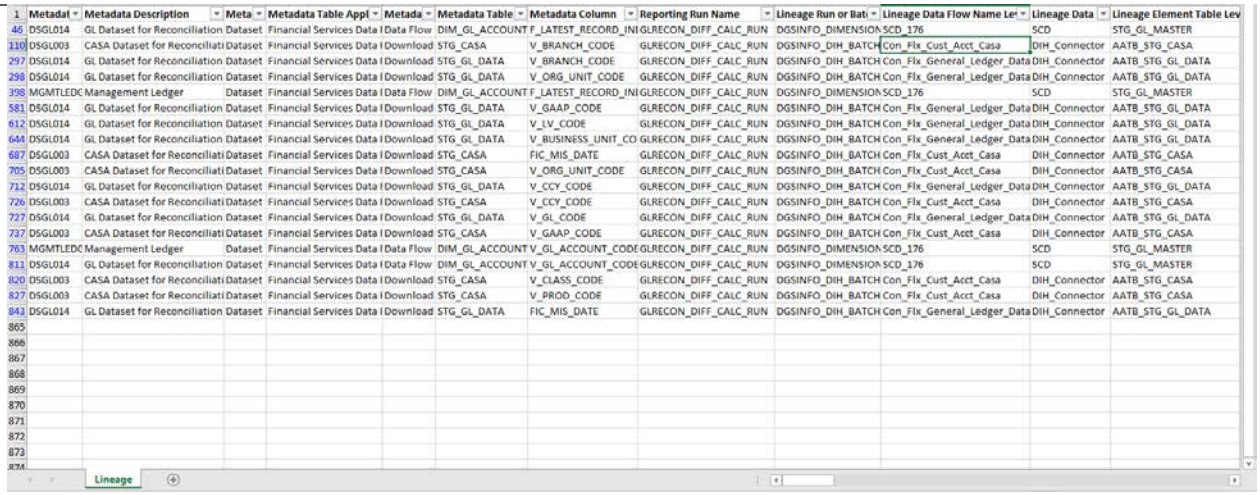
**D**ata Elements logs are generated in atomic schema under **FSI_MESSAGE_LOGS** table.

For more information on Creating and Exporting Metadata Report Templates, refer to section 13.2.

**Note: As part of 8.0.3.1.0 enhancement Metadata Report UI has been refreshed, below is an example of the new UI**




**The Metadata Lineage Extract will be a separate Excel unlike the previous version.**



| | Metadat | Metadata Description | Meta | Metadata Table Appl | Metada | Metadata Table | Metadata Column | Reporting Run Name | Lineage Run or Bat | Lineage Data Flow Name Le | Lineage Data | Lineage Element Table Lev |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 46 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Data Flow | DIM_GL_ACCOUNT | F_LATEST_RECORD_INI | GLRECON_DIFF_CALC_RUN | DGSINFO_DIMENSION | SCD_176 | SCD | STG_GL_MASTER |
| 110 | DSGL003 | CASA Dataset for Reconciliati | Dataset | Financial Services Data I | Download | STG_CASA | V_BRANCH_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_Cust_Acct_Casa | DIH_Connector | AATB_STG_CASA |
| 297 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Download | STG_GL_DATA | V_BRANCH_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_General_Ledger_Data | DIH_Connector | AATB_STG_GL_DATA |
| 298 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Download | STG_GL_DATA | V_ORG_UNIT_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_General_Ledger_Data | DIH_Connector | AATB_STG_GL_DATA |
| 398 | MGMTLEDG | Management Ledger | Dataset | Financial Services Data I | Data Flow | DIM_GL_ACCOUNT | F_LATEST_RECORD_INI | GLRECON_DIFF_CALC_RUN | DGSINFO_DIMENSION | SCD_176 | SCD | STG_GL_MASTER |
| 581 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Download | STG_GL_DATA | V_GAAP_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_General_Ledger_Data | DIH_Connector | AATB_STG_GL_DATA |
| 612 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Download | STG_GL_DATA | V_LV_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_General_Ledger_Data | DIH_Connector | AATB_STG_GL_DATA |
| 644 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Download | STG_GL_DATA | V_BUSINESS_UNIT_CO | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_General_Ledger_Data | DIH_Connector | AATB_STG_GL_DATA |
| 687 | DSGL003 | CASA Dataset for Reconciliati | Dataset | Financial Services Data I | Download | STG_CASA | FIC_MIS_DATE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_Cust_Acct_Casa | DIH_Connector | AATB_STG_CASA |
| 705 | DSGL003 | CASA Dataset for Reconciliati | Dataset | Financial Services Data I | Download | STG_CASA | V_ORG_UNIT_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_Cust_Acct_Casa | DIH_Connector | AATB_STG_CASA |
| 712 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Download | STG_GL_DATA | V_CCY_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_General_Ledger_Data | DIH_Connector | AATB_STG_GL_DATA |
| 726 | DSGL003 | CASA Dataset for Reconciliati | Dataset | Financial Services Data I | Download | STG_CASA | V_CCY_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_Cust_Acct_Casa | DIH_Connector | AATB_STG_CASA |
| 727 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Download | STG_GL_DATA | V_GL_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_General_Ledger_Data | DIH_Connector | AATB_STG_GL_DATA |
| 737 | DSGL003 | CASA Dataset for Reconciliati | Dataset | Financial Services Data I | Download | STG_CASA | V_GAAP_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_Cust_Acct_Casa | DIH_Connector | AATB_STG_CASA |
| 763 | MGMTLEDG | Management Ledger | Dataset | Financial Services Data I | Data Flow | DIM_GL_ACCOUNT | V_GL_ACCOUNT_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIMENSION | SCD_176 | SCD | STG_GL_MASTER |
| 811 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Data Flow | DIM_GL_ACCOUNT | V_GL_ACCOUNT_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIMENSION | SCD_176 | SCD | STG_GL_MASTER |
| 820 | DSGL003 | CASA Dataset for Reconciliati | Dataset | Financial Services Data I | Download | STG_CASA | V_CLASS_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_Cust_Acct_Casa | DIH_Connector | AATB_STG_CASA |
| 827 | DSGL003 | CASA Dataset for Reconciliati | Dataset | Financial Services Data I | Download | STG_CASA | V_PROD_CODE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_Cust_Acct_Casa | DIH_Connector | AATB_STG_CASA |
| 843 | DSGL014 | GL Dataset for Reconciliation | Dataset | Financial Services Data I | Download | STG_GL_DATA | FIC_MIS_DATE | GLRECON_DIFF_CALC_RUN | DGSINFO_DIH_BATCH | Con_Flx_General_Ledger_Data | DIH_Connector | AATB_STG_GL_DATA |
| 865 | | | | | | | | | | | | |
| 866 | | | | | | | | | | | | |
| 867 | | | | | | | | | | | | |
| 868 | | | | | | | | | | | | |
| 869 | | | | | | | | | | | | |
| 870 | | | | | | | | | | | | |
| 871 | | | | | | | | | | | | |
| 872 | | | | | | | | | | | | |
| 873 | | | | | | | | | | | | |
| 874 | | | | | | | | | | | | |

Lineage

# 14 Appendix A: Setting up Application and Workflow Function

This section details the steps involved in configuring an Application and/or its corresponding Workflow Functions in the Workflow Manager to enable defining the complete workflow for the Application Workflow function.

This chapter lists the following steps:


- Step 1: Application
- Step 2: Workflow Function
- Step 3: Application Component Mapping
- Step 4: Workflow Function Status Mapping
- Step 5: Create Workflow Action
- Step 6: Associate Workflows to Workflow Functions
- Step 7: Conclusion


## Step 1: Application

For the availability of a new application in workflow manager, entries must be made to the tables DIM_APP_INFO and DIM_APP_INFO_MLS.

| **TABLE NAME** | DIM_APP_INFO | | | |
|---|---|---|---|---|
| **SCHEMA NAME** | Atomic | | | |
| **DESCRIPTION** | This table stores basic information regarding the application(s). Like Application Name, Application Code, and so on. | | | |
| **FIELD NAME** | **DESCRIPTION** | **DATA TYPE** | **SAMPLE VALUE** | **MANDATORY** |
| N_APP_KEY | A unique number to identify the Application. | NUMBER | 5 | Yes |
| V_APP_CODE | A unique number to identify the Application. | VARCHAR | OFS_BANK | Yes |
| V_APP_NAME | Name of the Application. | VARCHAR | Banking Management | Yes |
| V_APP_DESC | Brief description about the Application. | VARCHAR | Banking Management | No |
| D_RECORD_START_DATE | Application is valid from the start date. | DATE | 4/1/2015 11:00:00AM | Yes |
| D_RECORD_END_DATE | Application is valid to the end date. | DATE | 4/1/9999 11:00:00AM | Yes |

| TABLE NAME | DIM_APP_INFO_MLS | | | |
|---|---|---|---|---|
| SCHEMA NAME | Atomic | | | |
| DESCRIPTION | This table stores the locale specific entries for the application(s) name. | | | |
| **FIELD NAME** | **DESCRIPTION** | **DATA TYPE** | **SAMPLE VALUE** | **MANDATORY** |
| N_APP_KEY | A unique number to identify the Application. This key is as specified in the DIM_APP_INFO table. | NUMBER | 5 | Yes |
| V_APP_NAME | Name of the Application. | VARCHAR | Banking Management | Yes |
| DESCLOCALE | Locale (en_US, es_ES, and so on) | VARCHAR | en_US | Yes |

## Step 2: Workflow Function

For the availability of a new workflow function in workflow manager, the entries must be made to the tables SETUP_COMPONENTS & SETUP_COMPONENTS_MLS.

| TABLE NAME | SETUP_COMPONENTS | | | |
|---|---|---|---|---|
| SCHEMA NAME | Atomic | | | |
| DESCRIPTION | This table stores basic information regarding the workflow function(s). Like Function Name, Function Key, Physical Fact table name, and so on. | | | |
| **FIELD NAME** | **DESCRIPTION** | **DATA TYPE** | **SAMPLE VALUE** | **MANDATORY** |
| N_ENTITY_KEY | A unique number to identify the Workflow Function. | NUMBER | 200 | Yes |
| V_ENTITY_NAME | Name of the Workflow Function. | VARCHAR | Credit Banking | Yes |
| V_ENTITY_DESC | Brief description about the Workflow Function. | VARCHAR | Manage the Credit Banking facility | No |
| V_FCT_TABLENAME | The primary FACT table of the Workflow Function | VARCHAR | FCT_CREDIT_BANK | Yes |
| D_RECORD_START_ | Workflow Function is valid | DATE | 4/1/2015 11:00:00 | Yes |

| | | | | |
|---|---|---|---|---|
| DATE | from the start date. | | AM | |
| D_RECORD_END_DATE | Workflow Function is valid to the end date. | DATE | 4/1/9999 11:00:00 AM | Yes |

| **TABLE NAME** | SETUP_COMPONENTS_MLS | | | |
|---|---|---|---|---|
| **SCHEMA NAME** | Atomic | | | |
| **DESCRIPTION** | This table stores the locale specific entries for the workflow function(s) name. | | | |
| **FIELD NAME** | **DESCRIPTION** | **DATA TYPE** | **SAMPLE VALUE** | **MANDATORY** |
| N_ENTITY_KEY | A unique number to identify the Workflow Function. This key is as specified in the SETUP_COMPONENTS table. | NUMBER | 200 | Yes |
| V_ENTITY_NAME | Name of the Workflow Function. | VARCHAR | Credit Banking | Yes |
| DESCLOCALE | Locale (en_US, es_ES, and so on) | VARCHAR | en_US | Yes |

## Step 3: Application Component Mapping

To map the new/existing Workflow Function(s) to the new/existing Application, an entry must be made to the FCT_APP_COMPONENT_MAP table.

| **TABLE NAME** | FCT_APP_COMPONENT_MAP | | | |
|---|---|---|---|---|
| **SCHEMA NAME** | Atomic | | | |
| **DESCRIPTION** | This table stores the mapping between application and workflow function(s). | | | |
| **FIELD NAME** | **DESCRIPTION** | **DATA TYPE** | **SAMPLE VALUE** | **MANDATORY** |
| N_APP_COMP_KEY | A unique number to identify the mapping between Workflow Function and Application. | NUMBER | 1000 | Yes |
| N_APP_KEY | Unique key that identifies the Application. This key is as specified in the DIM_APP_INFO table. | NUMBER | 5 | Yes |

| | | | | |
|---|---|---|---|---|
| N_ENTITY_KEY | Unique key that identifies the Workflow Function. This key is a specified in the SETUP_COMPONENTS table. | NUMBER | 200 | Yes |

## Step 4: Workflow Function Status Mapping

To map the component status to the respective workflow function, the following entries must be made to the table SETUP_COMPONENT_STATUS_MAP.

| **TABLE NAME** | SETUP_COMPONENT_STATUS_MAP | | | |
|---|---|---|---|---|
| **SCHEMA NAME** | Atomic | | | |
| **DESCRIPTION** | This table stores the mapping between workflow functions and their respective statuses. | | | |
| **FIELD NAME** | **DESCRIPTION** | **DATA TYPE** | **SAMPLE VALUE** | **MANDATORY** |
| N_OR_STATUS_CD | The status of the component. This key is as defined in DIM_OR_STATUS table. | NUMBER | 13 | Yes |
| N_ENTITY_KEY | Unique key that identifies the Workflow Function. This key is a specified in the SETUP_COMPONENTS table. | NUMBER | 200 | Yes |
| N_SORT_ORDER | The sequence in which the status needs to be displayed. | NUMBER | 1 | Yes |

## Step 5: Create Workflow Action

To enable create workflow functionality

) for the new Application &workflow function, following entries should be made to the following table.

**NOTE:** This step is required only when a new application is being included in the workflow manager. It is not necessary to follow this step if a new workflow function is being added to an existing application.

| **TABLE NAME** | FORMS_VIEW_MAPPING |
|---|---|
| **SCHEMA NAME** | Configuration |
| **DESCRIPTION** | This table contains the masking definition for the form control Create Workflow. |

| FIELD NAME | DESCRIPTION | DATA TYPE | MANDATORY |
|---|---|---|---|
| FORM_CODE | Name of the Physical File that displays the list of Workflows configured for a Workflow Function. The form code is as specified in the FORMS_MASTER table in the configuration schema. | VARCHAR | Yes |
| FORM_VERSION | Identifies if the configuration is enabled or disabled. (0 – Enable, 1 - Disable ) | NUMBER | Yes |
| DSN_ID | The Information Domain name | VARCHAR | Yes |
| CONTROL_ID | The identification number provided to identify a field in the UI. This information is available in the FORMS_MAP_ITEMS table in the configuration schema. | NUMBER | Yes |
| VIEW_ID | A unique identifier provided for a specific ROLE against a specific Workflow Function status. | NUMBER | Yes |
| PARENT_VALUE | A computed value which is a product of Workflow Function Status and render mode. | NUMBER | Yes |
| CONTAINER | This flag identifies if the above mentioned CONTROL_ID, identifies a specific control or a specific container (0 – control, 1 – container) | NUMBER | Yes |
| CONTROL_STATUS | The visibility mode that needs to be applied to the control/container. (1 – Enabled, 2 – Disabled, 3 – Hidden). | NUMBER | Yes |

The following values must be seeded mandatorily.

| FIELD NAME | ROW 1 | ROW 2 | ROW 3 | ROW 4 |
|---|---|---|---|---|
| FORM_CODE | FrmWFMaster | FrmWFMaster | FrmWFMaster | FrmWFMaster |
| FORM_VERSION | 0 | 0 | 0 | 0 |
| DSN_ID | OFSINFODOM | OFSINFODOM | OFSINFODOM | OFSINFODOM |

| | | | | |
|---|---|---|---|---|
| CONTROL_ID | 2 | 233 | 231 | 3 |
| VIEW_ID | 29007 | 29007 | 29007 | 29007 |
| PARENT_VALUE | 2005* | 2005* | 2005* | 2005* |
| CONTAINER | 0 | 0 | 0 | 0 |
| CONTROL_STATUS | 1 | 1 | 1 | 1 |

* 2005 is a computed value = (2000 + Application Key)

## Step 6: Associate Workflows to Workflow Functions

To associate the workflows created through Workflow Manager to its appropriate Workflow Function, make the required following entries.

| **TABLE NAME** | WFM_LIST | | | |
|---|---|---|---|---|
| **SCHEMA NAME** | Atomic | | | |
| **DESCRIPTION** | This table associates the workflows created through workflow manager to its respective workflow function. | | | |
| **FIELD NAME** | **DESCRIPTION** | **DATA TYPE** | **SAMPLE VALUE** | **MANDATORY** |
| N_WFM_LIST_ID | Unique Identification number to identify the workflow function within the Workflow Manager. | NUMBER | 2000 | Yes |
| V_DSN_ID | The Information Domain name. | VARCHAR | OFSINFODOM | Yes |
| V_SEGMENT_ID | Segment in which the solution is installed. | VARCHAR | OFSSEGMENT | Yes |
| N_WFM_FN_ID | Workflow Function ID as specified in SETUP_COMPONENTS table. | NUMBER | 200 | Yes |
| V_WFM_FN_NAME | Name of the Workflow Function. | VARCHAR | Credit banking | No |
| N_KBD_1_REQD | Is Key Business Dimension 1 required?<br>1 - Yes/ 0 – No | NUMBER | 1 | Yes |
| N_KBD_2_REQD | Is Key Business | NUMBER | 1 | Yes |

| | | | | |
|---|---|---|---|---|
| | Dimension 2 required?<br>1 - Yes/ 0 – No | | | |
| N_KBD_3_REQD | Is Key Business Dimension 3 required?<br>1 - Yes/ 0 – No | NUMBER | 0 | Yes |
| N_KBD_4_REQD | Is Key Business Dimension 4 required?<br>1 - Yes/ 0 – No | NUMBER | 0 | Yes |
| V_KBD_1_LABEL | If KBD 1 required, then give the KBD label name.<br>(Business Line, Location, others). | VARCHAR | Business Line | No |
| V_KBD_2_LABEL | If KBD 2 required, then give the KBD label name.<br>(Business Line, Location, others). | VARCHAR | Location | No |
| V_KBD_3_LABEL | If KBD 3 required, then give the KBD label name.<br>(Business Line, Location, others). | VARCHAR | | No |
| V_KBD_4_LABEL | If KBD 4 required, then give the KBD label name.<br>(Business Line, Location, others). | VARCHAR | | No |

## Step 7: Conclusion

You have successfully completed the setup process to define a workflow for a new application or workflow function using workflow manager.

Log into the application and started defining the workflow for the new application or workflow function.

OFS Data Governance for

US Regulatory Reporting

User Guide

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