

Oracle Financial Services Data Governance for US Regulatory Reporting

User Guide

Release 8.0.4.0.0



Oracle Financial Services Data Governance for US Regulatory Reporting User Guide, Release 8.0.4.0.0

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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 8.0.4.0.0 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 8.0.4.0.0
- 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	OFS Application Catering to the Principle
<i>BCBS Principle Category: Overarching Governance and Infrastructure</i>		
Principle 1: Governance	<p>Identification, assessment and management of data quality risks to be part of a bank's risk management framework.</p> <p>Risk data aggregation and risk reporting practices must be fully documented and validated, extended to new initiatives, unaffected by the organization structure.</p> <p>Awareness of the limitations of full risk data aggregation.</p>	This principle is addressed by Data Quality Framework and OFS Model Risk Management.
Principle 2: Data Architecture and IT Infrastructure	<p>Integrated data taxonomies and architecture across the group.</p> <p>Establish roles and responsibilities to ensure adequate controls.</p>	This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure and OFS Enterprise Modeling Framework.
<i>BCBS Principle Category: Risk Data Aggregation Capabilities</i>		
Principle 3: Accuracy and Integrity	<p>Ensure that risk data aggregation is accurate and reliable with adequate controls, data reconciliation, and single source of data for each risk type.</p> <p>Documentation of risk data aggregation process.</p> <p>Establish escalation channels and action plans.</p>	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	<p>Capture all material risk data by relevant dimensions.</p> <p>Any exceptions to completeness should be identified and documented.</p> <p>Consistent risk data aggregation capabilities.</p>	This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, and all OFS Applications.
Principle 5: Timeliness	<p>Generate aggregated data as per the desired frequency.</p>	This principle is addressed by OFS Analytical Applications Infrastructure, OFS Applications and Exadata Benchmarks.

BCBS 239 Principle	Description	OFS Application Catering to the Principle
Principle 6: Adaptability	<p>Flexibility to meet ad-hoc requests especially during stress.</p> <p>Incorporate changes related to internal and external business factors and regulatory framework.</p> <p>Generate sub-sets of data based on specific dimensions.</p>	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	<p>Reports should be reconciled with risk data, validations to be applied to the output and exception reports to be displayed.</p> <p>Establish the reliability of approximations such as output from models, scenarios and stress tests.</p>	This principle is addressed by all the standalone OFS BI analytics applications, and dashboards of all the OFS applications.
Principle 8: Comprehensiveness	<p>Cover all material risks including credit, market, operational and liquidity risks, capital adequacy, stress testing.</p> <p>Exposure and position data, concentrations, limits, risk appetite.</p>	This principle is addressed by all the standalone OFS BI analytics application, and dashboards of all the OFS applications.
Principle 9: Clarity and Usefulness	<p>Reports should contain risk data, analysis, interpretation and qualitative information.</p> <p>Customized to suit individual requirements.</p>	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	<p>Produce reports at the desired frequency.</p> <p>Timely availability of reports under stress conditions.</p>	This principle is addressed by all the OFS BI analytics application, OFS applications which compute metrics, and OFS Enterprise Modeling Framework.
Principle 11: Distribution	<p>Make reports available to relevant stakeholders in a timely manner while maintaining confidentiality.</p>	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: <ul style="list-style-type: none"> Review banks compliance with principles 1 to 11. Examine the results of internal and external audits. 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: <ul style="list-style-type: none"> Required remedial action Increased scrutiny Independent review 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. 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 every 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.

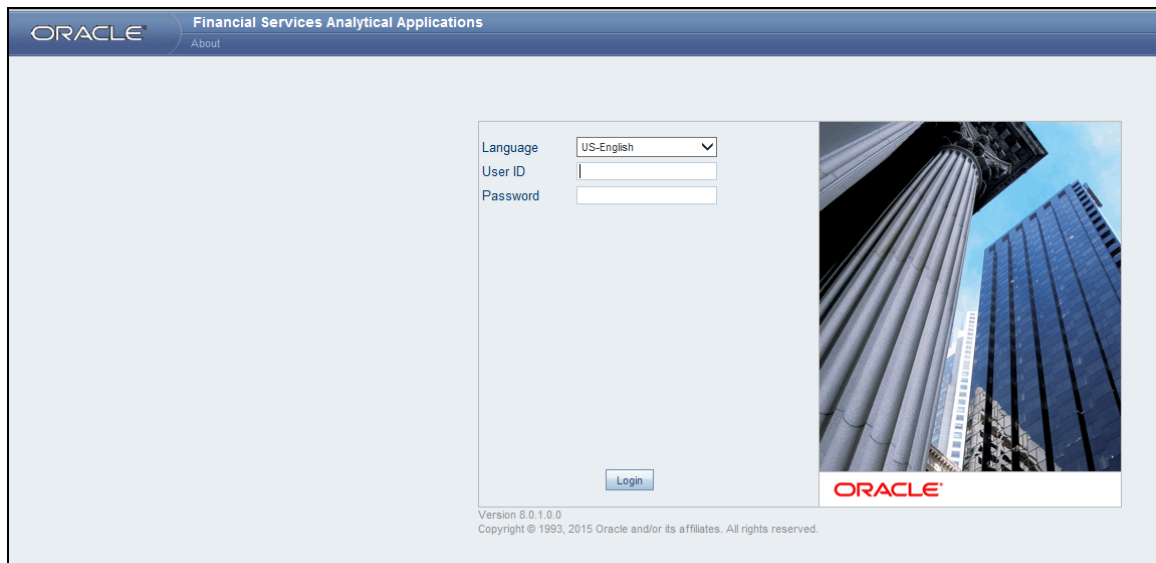
This chapter has the following sections:

- [Logging in to OFS DGUSRR Application](#)
- [Common Functionalities](#)
- [Data Governance for US Regulatory Reporting Common Screen Elements](#)
- [Managing Data Governance for US Regulatory Reporting](#)

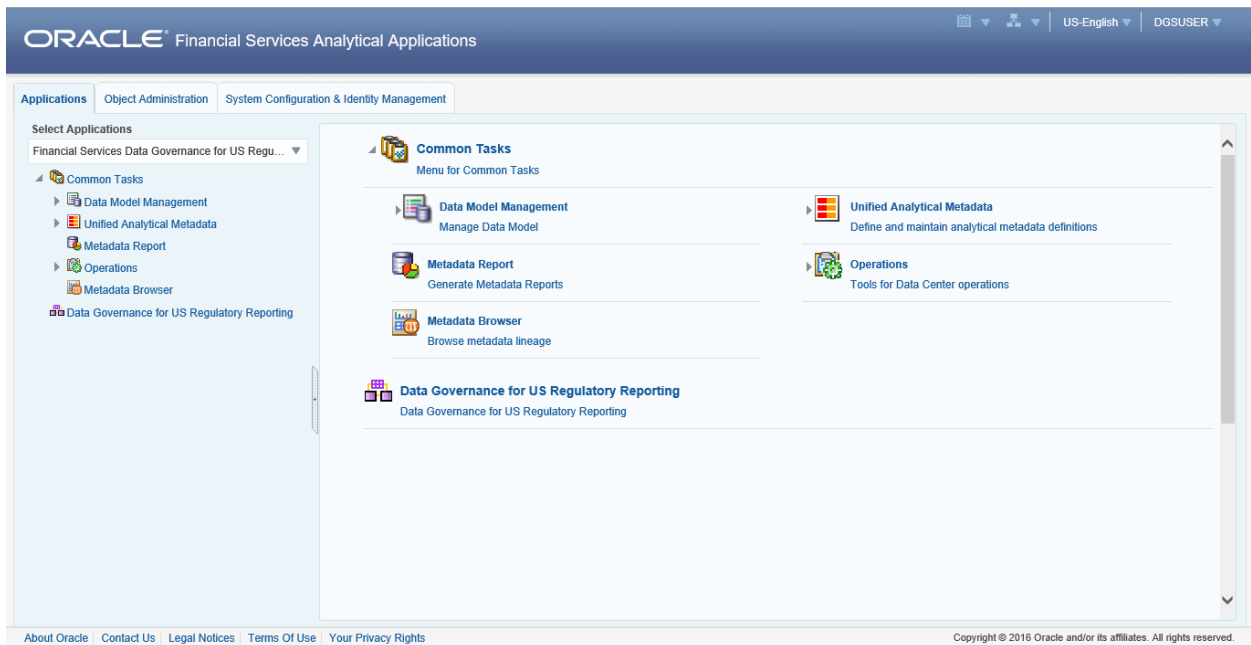
3.1 Logging in to the DGUSRR Application

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

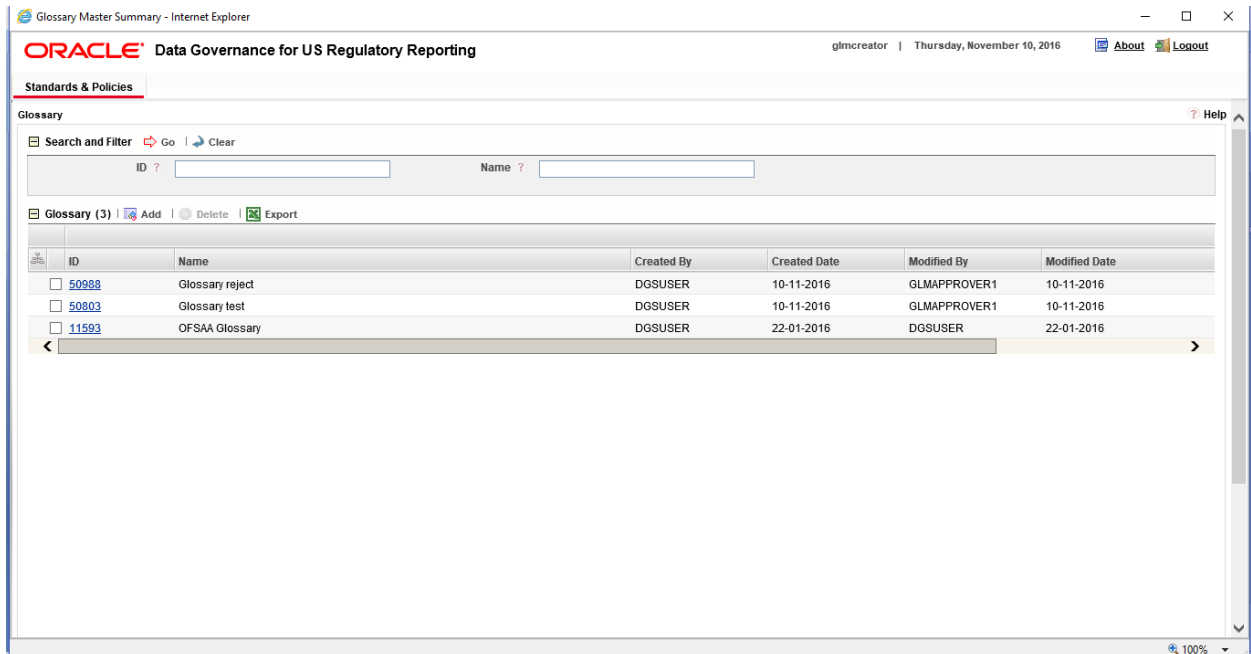
Access the DGUSRR application using the login credentials (User ID and password). The built-in security system ensures that you are permitted to access the window and actions based on the authorization only.



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.

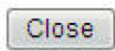

3.3 Data Governance for US Regulatory Reporting Common Screen Elements

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	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	Hide	Click this button to hide additional details of a record.
 or 	Section Expand	This button is present in some sections of the Details page. Click this button to expand a section and display the fields.
 or 	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	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.
 De link	Delink	Click this button to delink records.
 Edit	Edit	Click this button to edit the details of a record.
	Export	Click this button to export a record.
 Submit	Submit	Click this button to submit a record.
 Cancel	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	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:

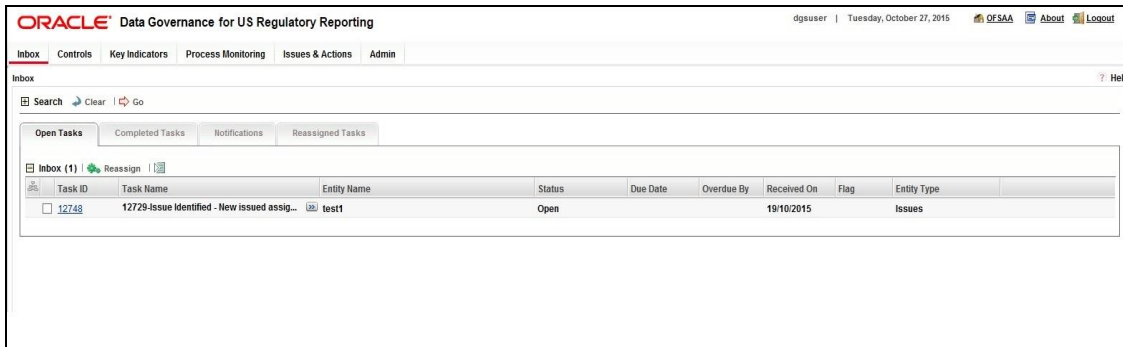
- [Managing Inbox](#)
- [Managing Search and List Page](#)
- [Managing Details Page](#)

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: <= <=> >= 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.

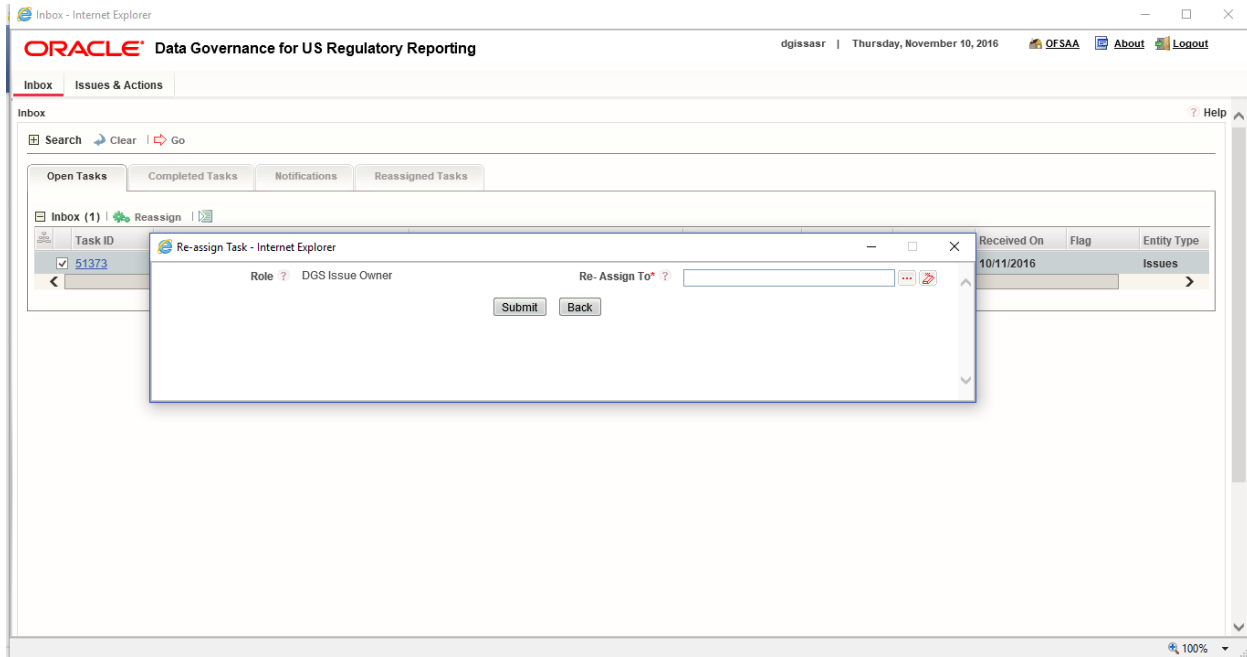
NOTE: If no records match the search criteria, the following message is displayed: *No records found for the selected search criteria.*

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.

[Issues](#) >> [Issue Details](#)

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

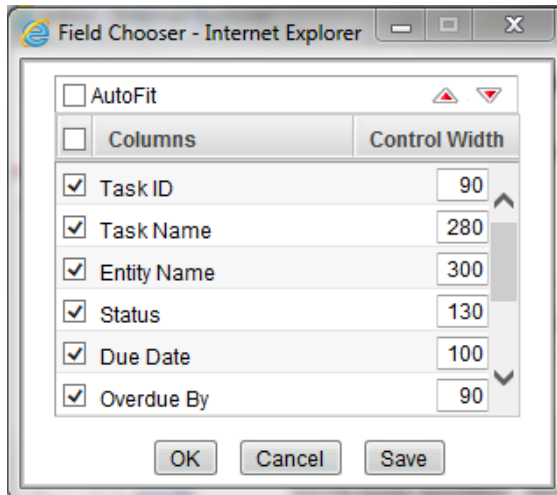
This option allows you to convert columns to rows. Upon clicking this option, the column headings are arranged vertically, the records are displayed horizontally and the record details are displayed vertically corresponding to each column. You can click Close to close the transposed view.

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.

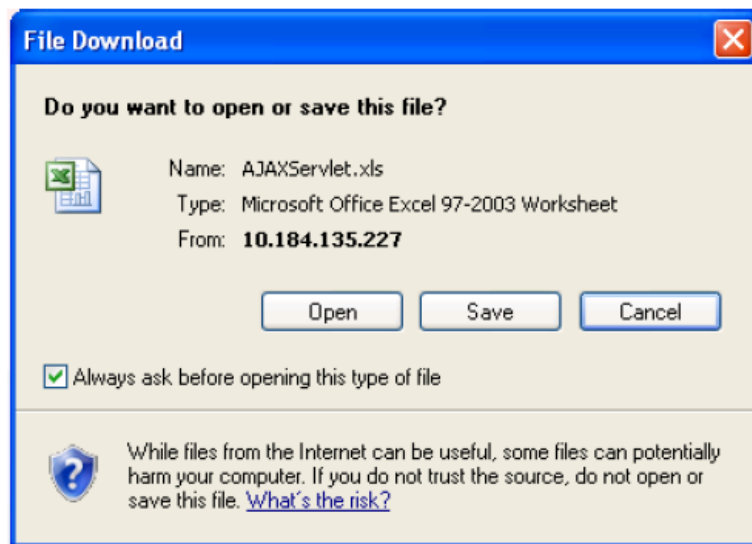
To export the records, perform the following steps:

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

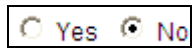
The following sections describe the components found in the Details page:

Field and Data Types

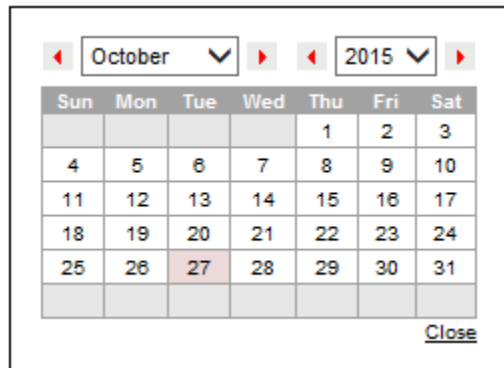
The Details page of all modules has the following types of fields:

- **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.

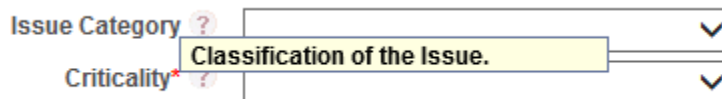


- Mandatory Data Fields: Mandatory fields are fields which capture data that must be entered by the user. All data fields that are marked with a red asterisk (*) are mandatory data fields. Only when all of these fields have been completed, an entity can be submitted by the user for further steps in the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

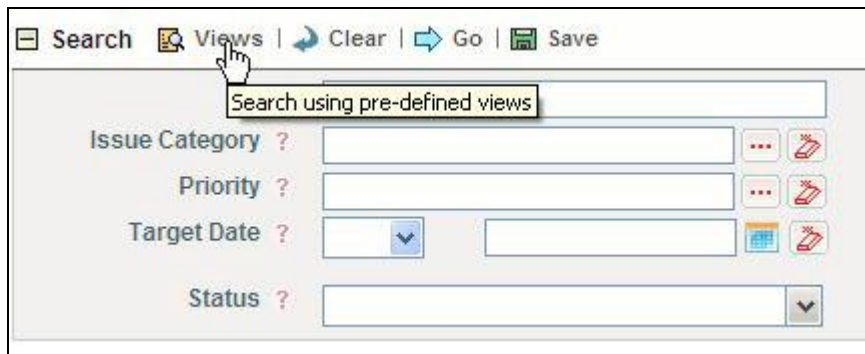
Contextual Help

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: <ul style="list-style-type: none">• Regulation• Policy• Documentation• 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.

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.

The screenshot displays the Oracle Data Governance for US Regulatory Reporting interface. At the top, the Oracle logo and the text 'Data Governance for US Regulatory Reporting' are visible. Below this, a breadcrumb trail shows 'Glossary >> Glossary Details'. The main content area is titled 'Glossary Details' and contains a 'Save Draft' button and a 'Cancel' button. There are two input fields: 'Glossary Name*' and 'Glossary Definition*'. The 'Glossary Name*' field is currently empty, and the 'Glossary Definition*' field is a large text area, also empty. To the right of the 'Glossary Name*' field, the text 'ID* 18016' is displayed.

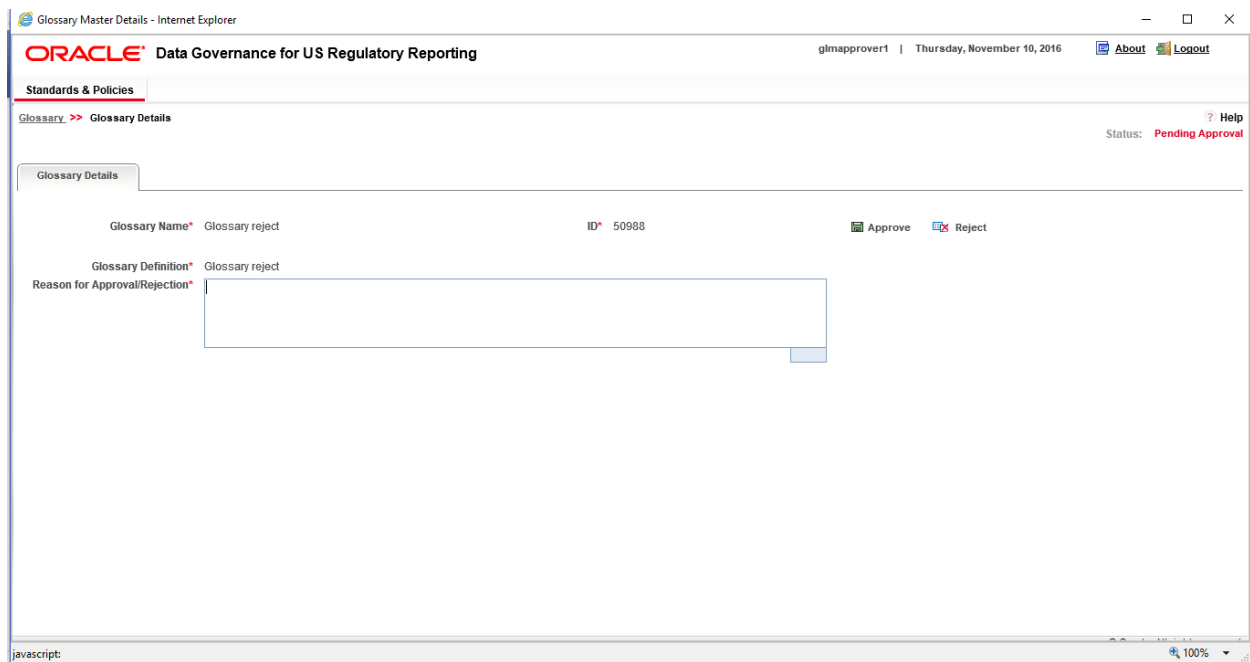
3. Enter the **Glossary Name** and **Glossary Definition** in the fields. The status of the Glossary is New.
4. Click **Save Draft**. The status of the Glossary changes to Draft. A Confirmation dialog box is displayed, with the message: *Add Operation Successful*.
5. Click **OK**.
6. Click **Edit** to 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**.



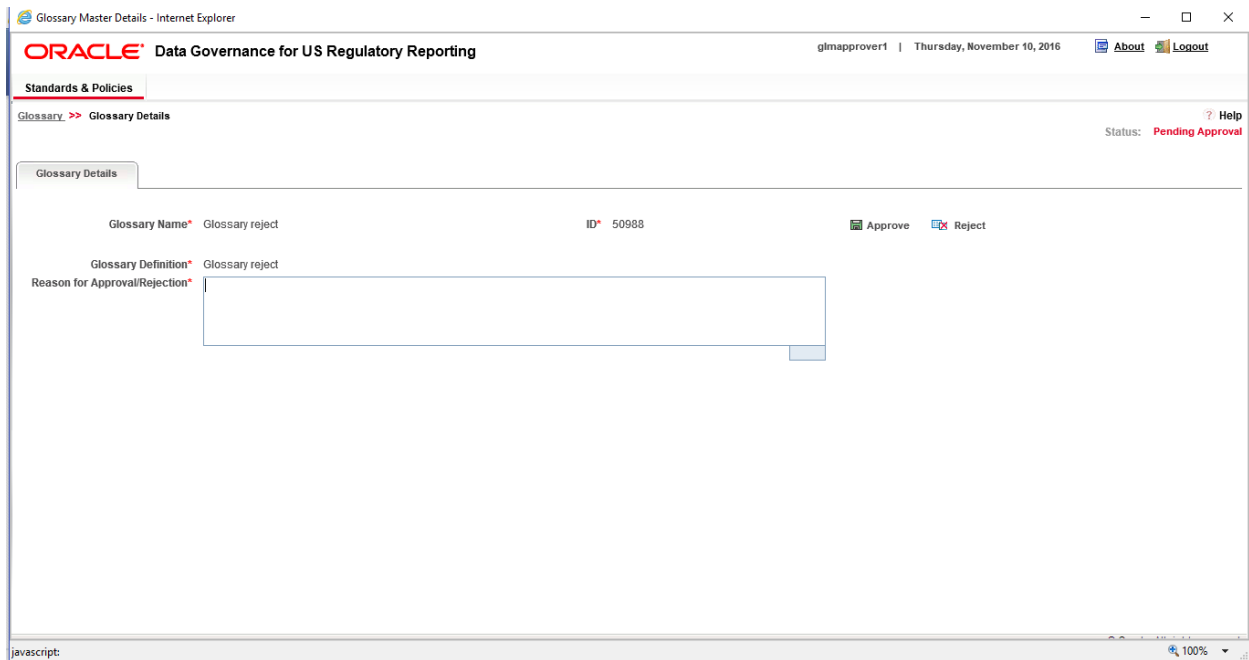
3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Approve**. A Confirmation dialog box is displayed, with the message: *'Update Operation Successful.'*
5. Click **OK**. The status of the Glossary changes to **Active**.

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**.

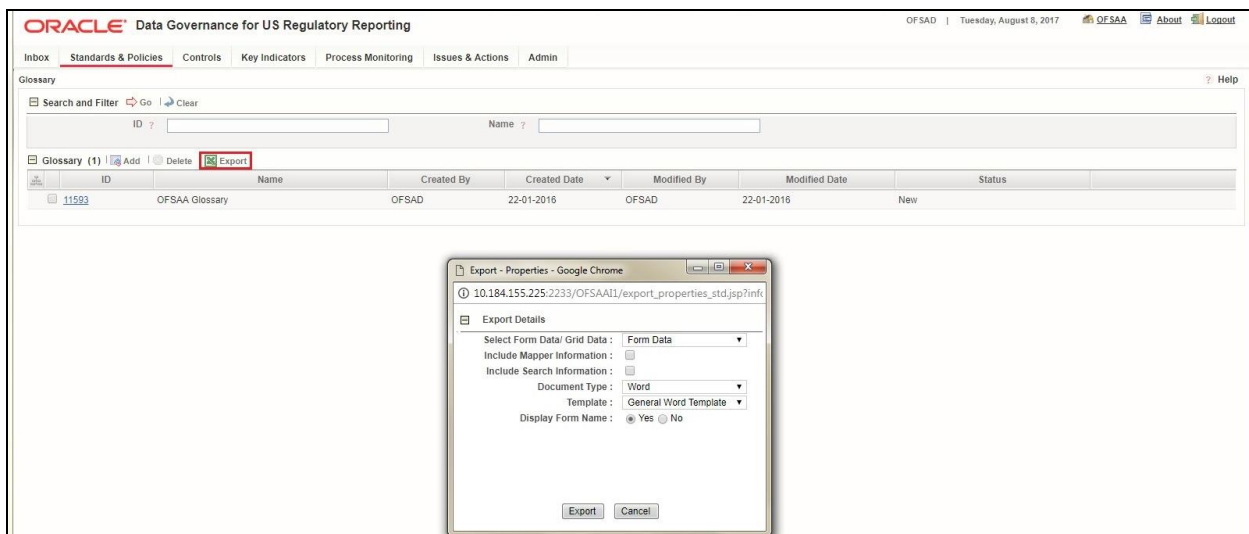


3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Reject**. A Confirmation dialog box is displayed, with the message: *Update Operation Successful*.
5. Click **OK**. The status of the Glossary changes to **Draft**.

4.7 Exporting a Glossary

To export a Glossary, perform the following steps:

1. Navigate to the **Glossary** menu, and select the glossary.
2. Click **Export** to export the glossary.



3. Select Form Data/Grid Data as Grid Data or Form Data.
4. Select **Include Mapper Information** if you want to include information about Mapper.
5. Select **Include Search Information** if you want to include search information.
6. Set Document Type as Word or Excel or PDF.
7. Select **Display Form Name** as 'Yes' if you want to display form name.
8. Click **Export** in the **Export Properties** dialog box to display the **Glossary Master Summary**.

Glossary Master Summary						
Glossary						
ID	Name	Created By	Created Date	Modified By	Modified Date	Status
11593	OFSAA Glossary	OFSAD	22-01-2016	OFSAD	22-01-2016	New

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

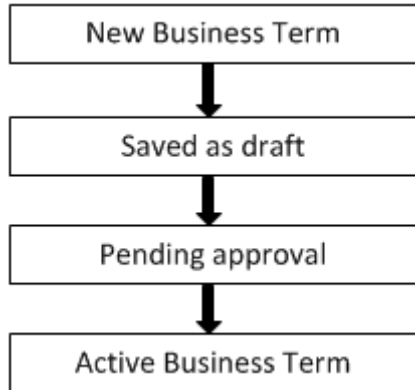
5.2 User Roles and Actions

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.

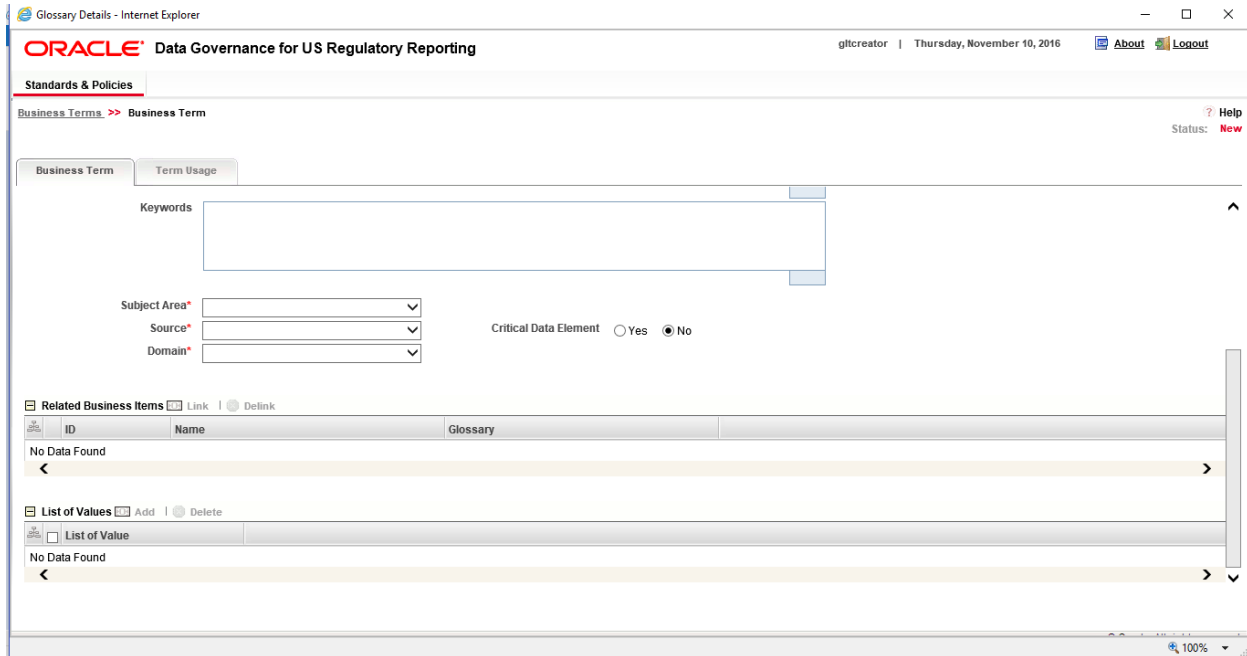
3. Enter the required information in the fields.
4. Select whether the Business Term is a **Critical Data Element**.
5. Click **Save Draft**. A Confirmation dialog box is displayed, with the message: 'Add Operation Successful.'
6. Click **OK**. The status of the Business Term changes to Draft.
7. You 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.



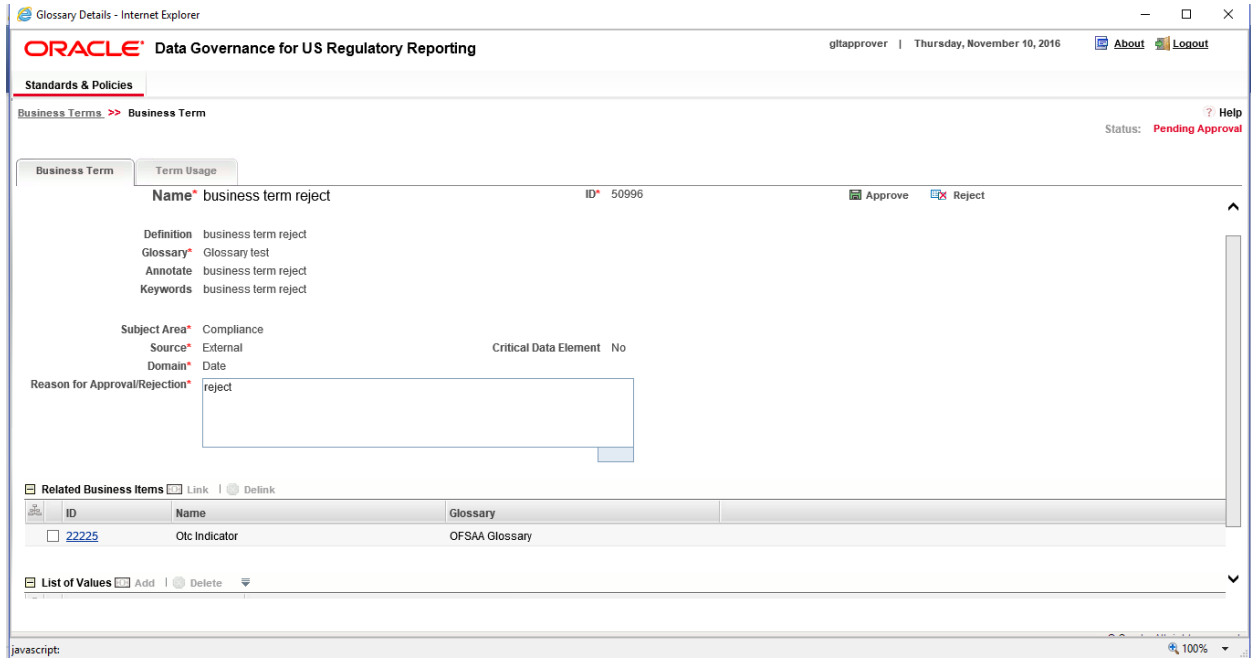
3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Approve**. A Confirmation dialog box is displayed, with the message: 'Update Operation Successful.'
5. Click **OK**. The status of the Business Term changes to **Active**.

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:

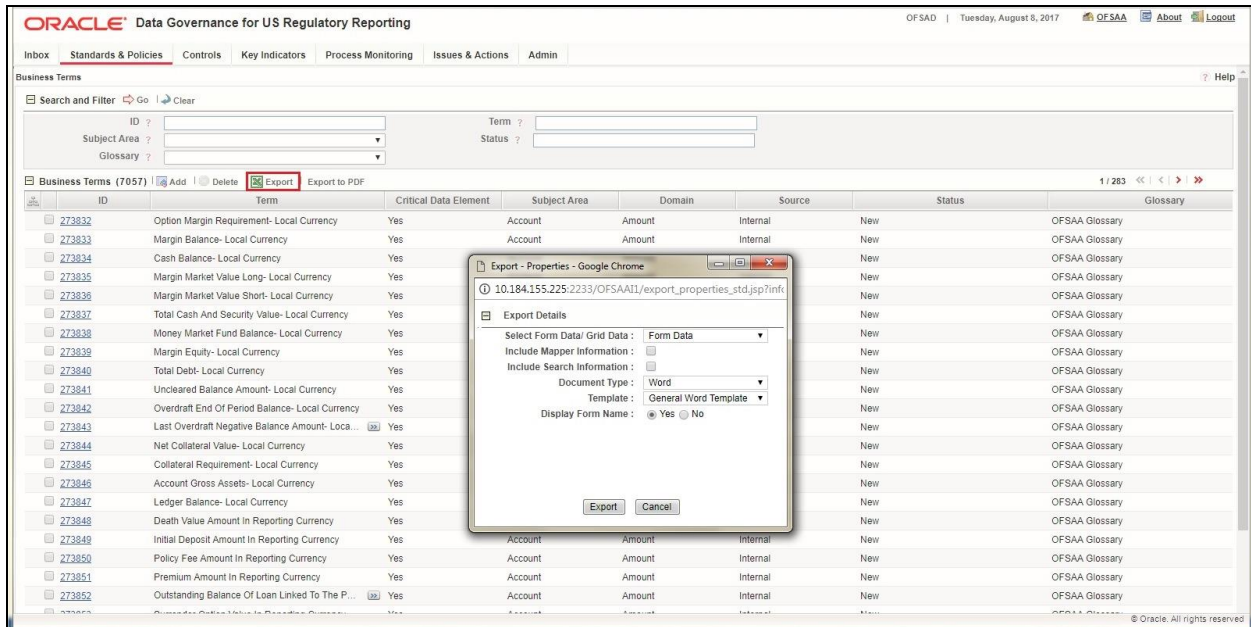
1. Navigate to the **Business Term** menu under **Standards and Policies** tab, and select the Business Term.
2. The status of the Business Term is displayed as Pending Approval.
3. Provide a reason, in the **Reason for Approval/Rejection** field.
4. Click **Reject**. A Confirmation dialog box is displayed,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



5.7 Exporting a Business Term

To export 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. Click **Export** to export the Business Term.



3. Select **Form Data/Grid Data** as Grid Data or Form Data.

4. Select **Include Mapper Information** if you want to include information about Mapper.
5. Select **Include Search Information** if you want to include search information.
6. Set **Document Type** as Word or Excel or PDF.
7. Select **Display Form Name** as 'Yes' if you want to display form name.
8. Click **Export** in the **Export Properties** dialog box to display the **Glossary Summary**.
9. Click **Export to PDF** to export the glossary in PDF format with the following details:
 - Definition
 - Domain
 - Usage

5.8 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.

5.8.1 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.

5.8.1.1 Fields and their Descriptions

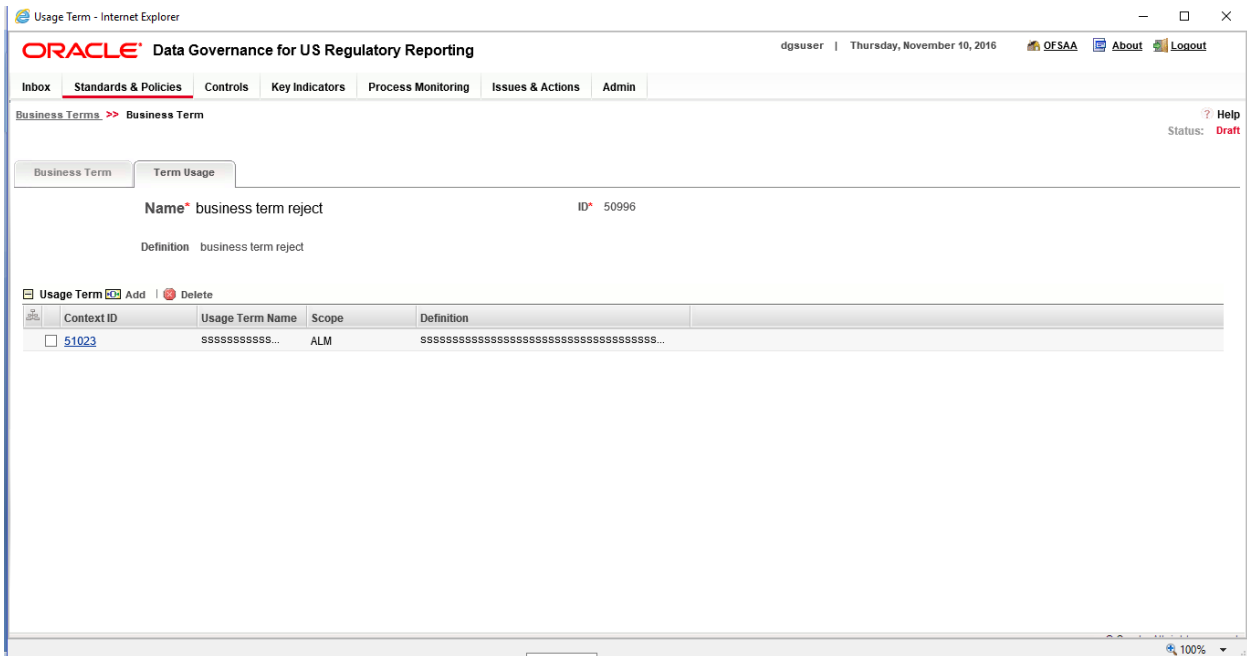
Fields	Description
Fields marked in red asterisk(*) are mandatory	
Name	Related to other glossary identifiers (multiple contextual definitions for the glossary term)
Content Definition	Contextual definition of the glossary term from perspective of source or application
Usage Term Name	Provides the name of the usage term

Fields	Description
Fields marked in red asterisk(*) are mandatory	
Scope	It is the name of the context in which the term is used
Context ID	It is a system generated number

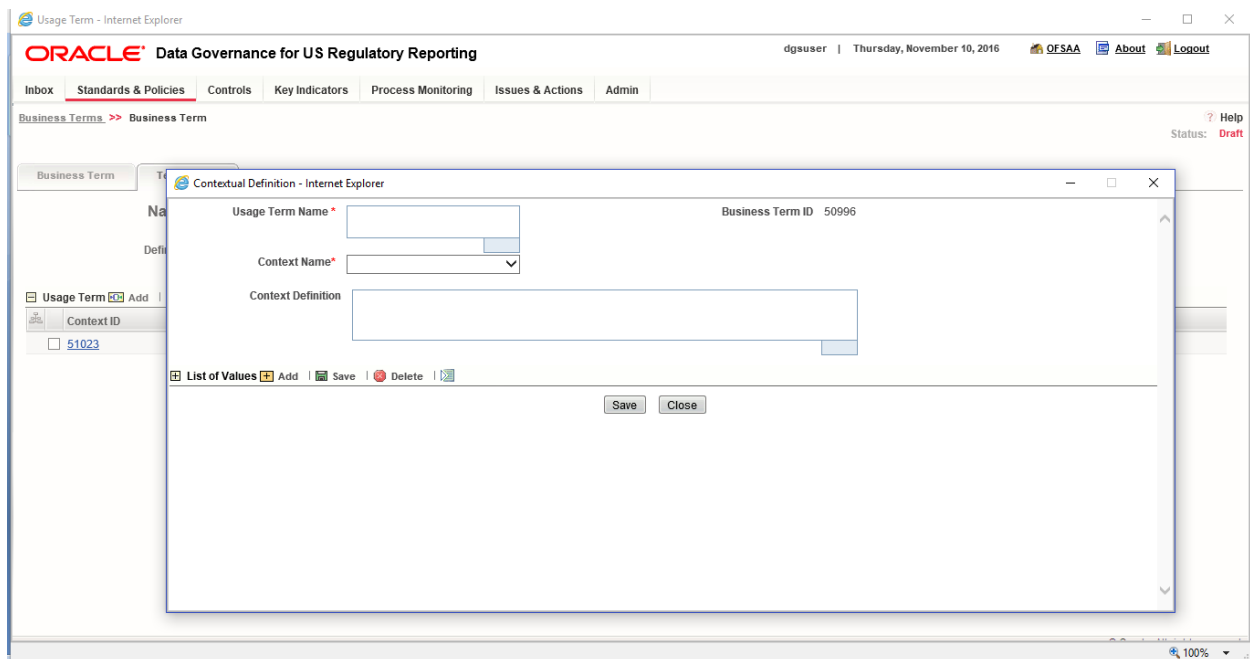
5.8.1.2 Procedure to Create a Usage Term

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.



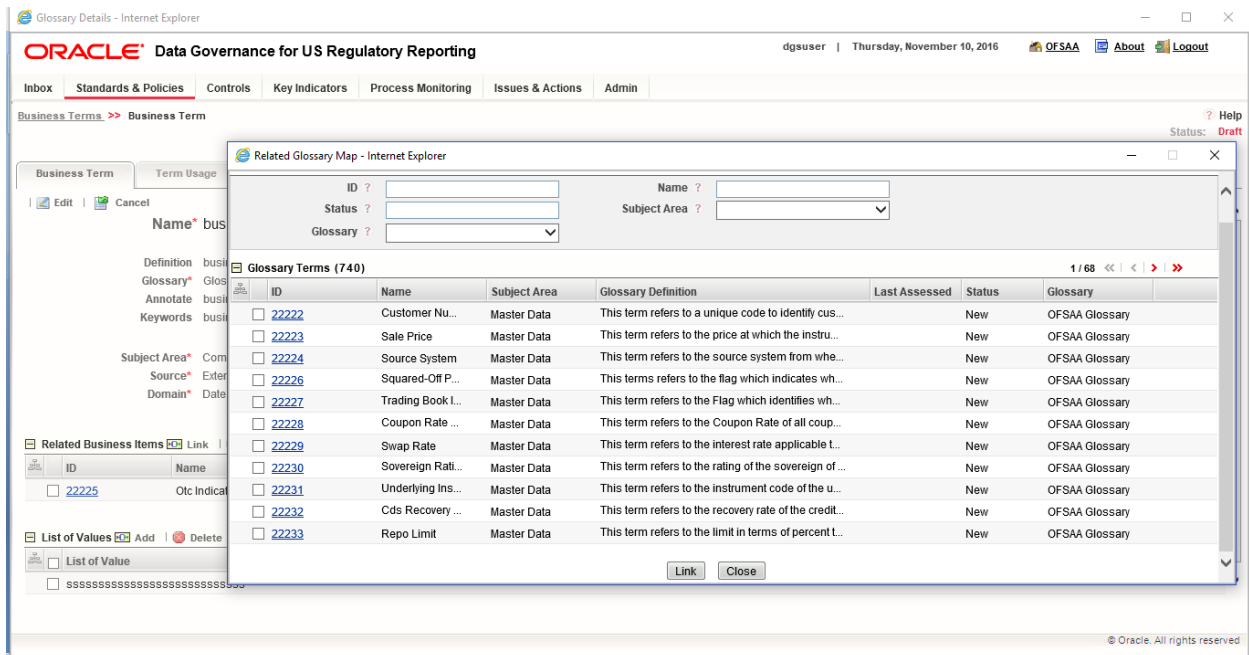
5. Select the Context Name, and provide the Contextual Definition.
6. Click **Save**. A Confirmation dialog box is displayed, with the message: *Add Operation Successful*.
7. Click **OK**. You can view the Usage Term in the **Search and List** page.

5.9 Mapping Business Terms

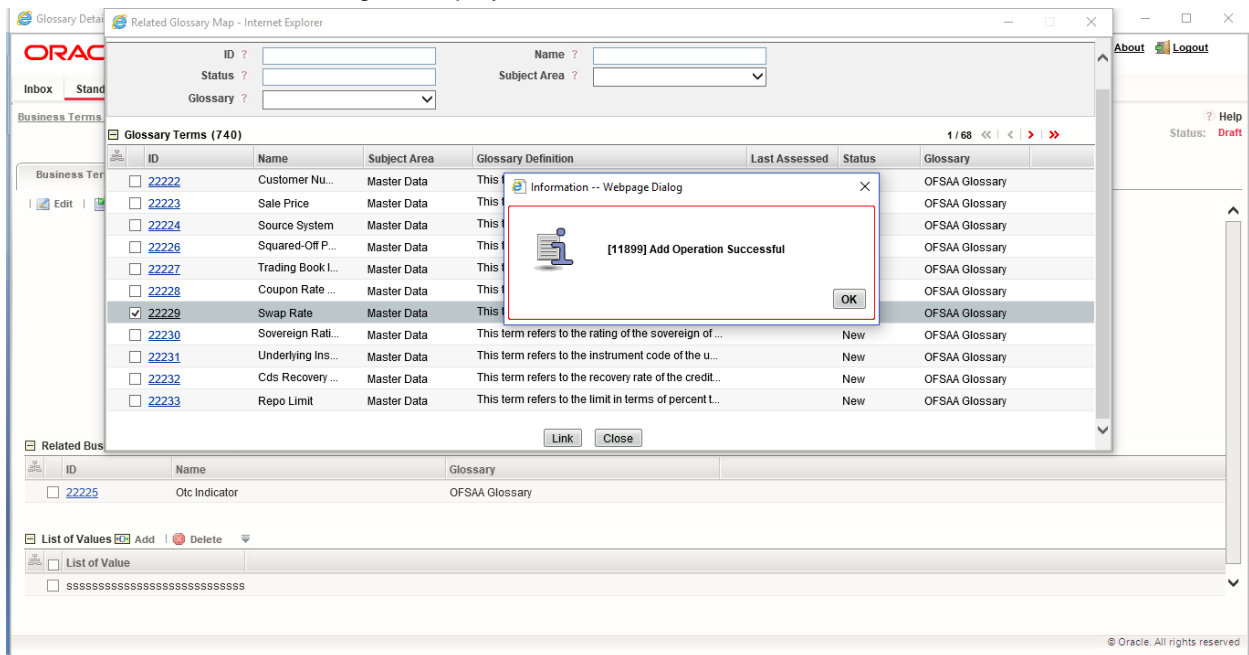
This process involves mapping a term in a glossary to another term in a different glossary. Terms in one glossary are mapped to similar, or related terms in another glossary to achieve consistency and standardization. While organizations use their own terminology, it is essential for them to map their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



5.10 List of Values

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

The screenshot displays the Oracle Data Governance for US Regulatory Reporting application. The top navigation bar includes the Oracle logo, the application name, and the date 'Monday, March 27, 2017'. Below the navigation bar, there are tabs for 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The main content area shows the 'Business Term' details for 'Materiality Flag' (ID: 191016). The details include fields for Name, ID, Definition, Glossary (OFSAA Glossary), Annotate, Keywords, Subject Area (Employee), Source (Internal), Domain (Frequency), and Critical Data Element (No). A 'Related Business Items' table is shown below, but it is empty. A 'List of Values' section is also present, but it is empty. An 'Add List of Values' dialog box is open in the foreground, showing the 'Glossary ID' as 191016 and a text input field for the 'List Of Value:'. The dialog box has 'Save' and 'Close' buttons.

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 Reporting. 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.

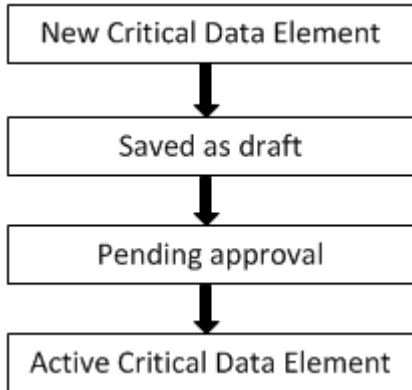
6.2 User Roles and Actions

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:

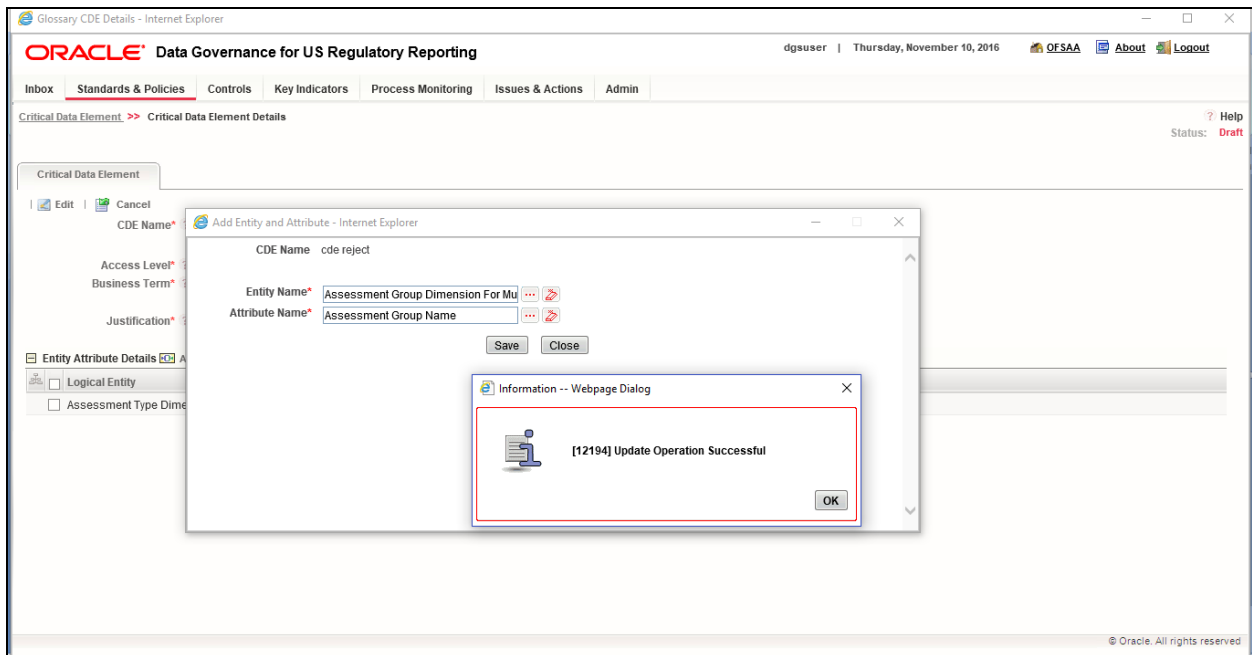
1. Navigate to the **Critical Data Element** menu in the **Standards and Policies** tab.
2. Click **Add**. The **Critical Data Element Details** page is displayed.

The screenshot displays the 'Critical Data Element Details' page in the Oracle Data Governance for US Regulatory Reporting application. The page title is 'Glossary CDE Details - Internet Explorer'. The user is logged in as 'dgsuser' on Thursday, November 10, 2016. The page has a navigation menu with 'Standards & Policies' selected. The main content area shows a form for creating a CDE. The form includes the following fields and controls:

- Critical Data Element** (tab)
- Save Draft** and **Cancel** buttons
- CDE Name*** (text input field)
- ID*** (text input field, value: 51685)
- Access Level*** (dropdown menu)
- Data Classification Level*** (dropdown menu)
- Business Term*** (text input field with a red 'X' icon)
- Justification*** (text area)
- Entity Attribute Details** (checkbox) with **Add** and **Delete** buttons
- Logical Entity** (checkbox)
- Logical Attribute**, **Physical Entity**, and **Physical Attribute** (checkboxes)
- No Data Found** message with left and right navigation arrows

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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.'



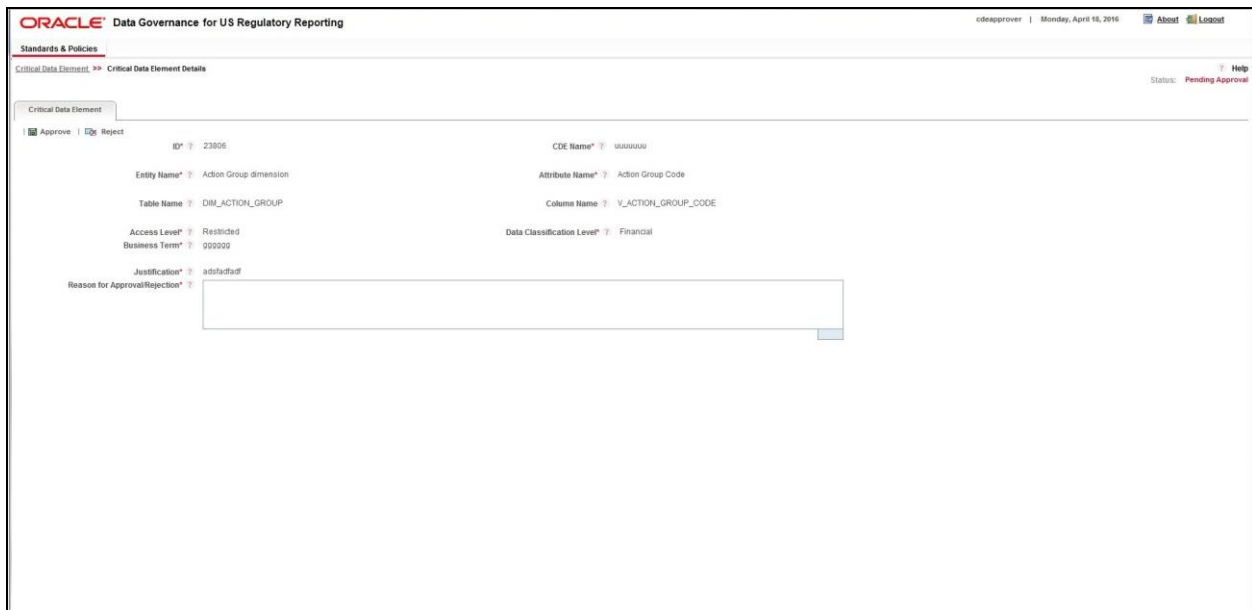
8. Click **OK**. The CDE is created, and the status changes from Draft to Pending Approval state.

6.5 Approving a CDE

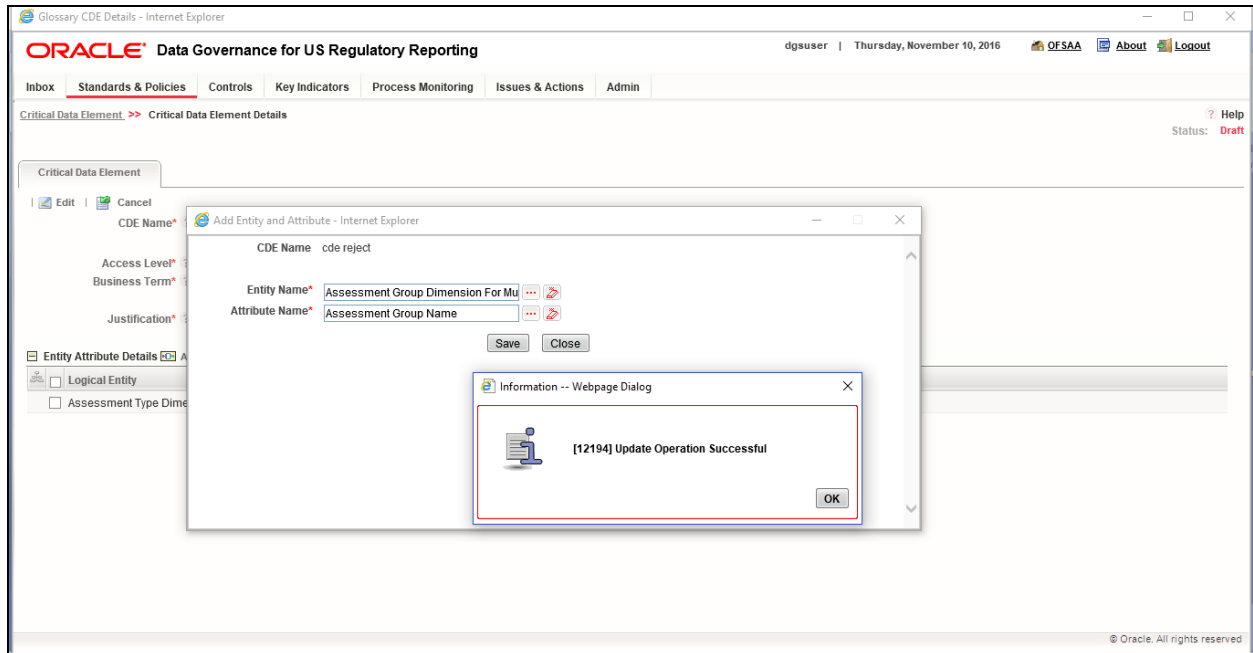
NOTE: You should have CDE Approver rights to approve/reject a CDE.

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.'*

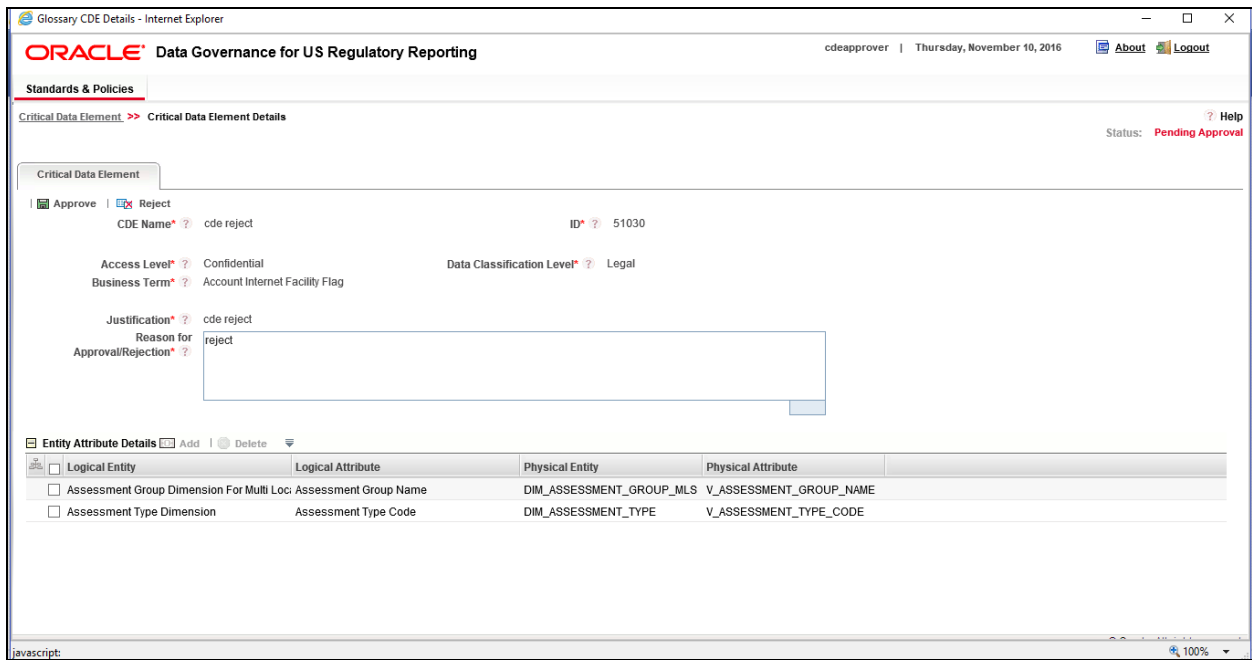


5. Click **OK**. The CDE is approved and the status changes to **Active**.

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 inconsistency 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:

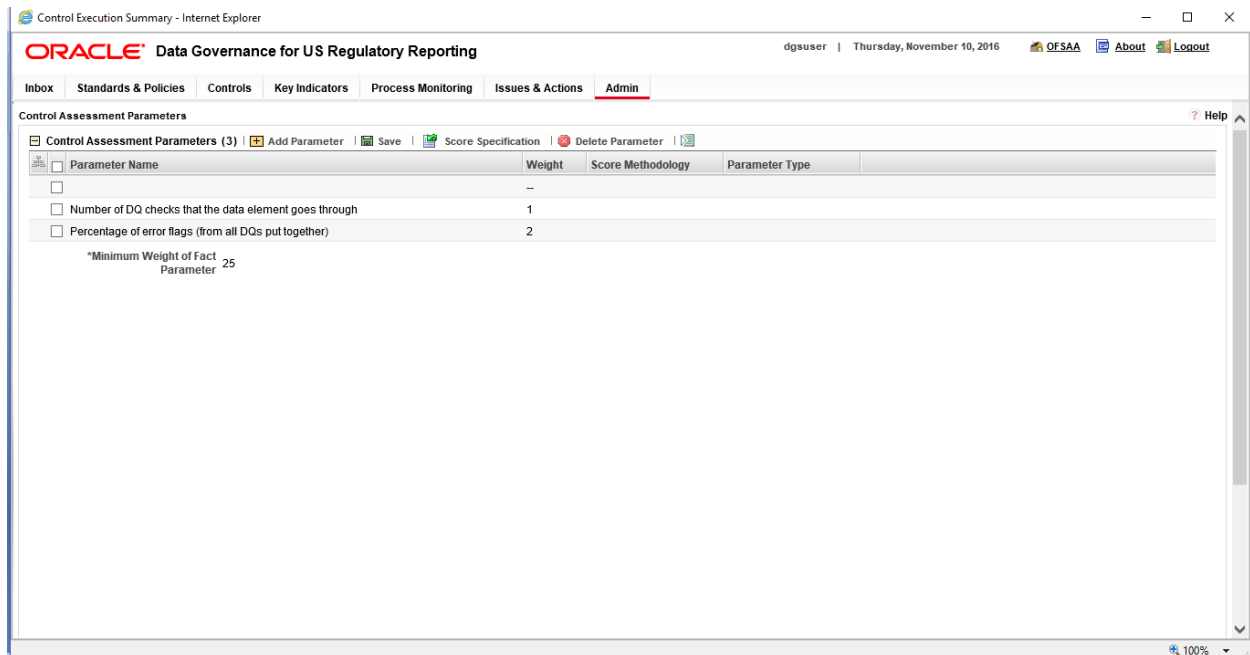
1. Once `FSI_ERROR_DATA_PROFILE` and `FSI_ERROR_DATA` tables are populated, execute the Batch `##INFODOM##_LOAD_FSI_CONTROL_EXEC_DETAIL`.
2. This will load data into `FSI_CONTROL_EXECUTION_DETAILS` tables, which will be used by DGUSRR UI to display the required execution details for a control.

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.

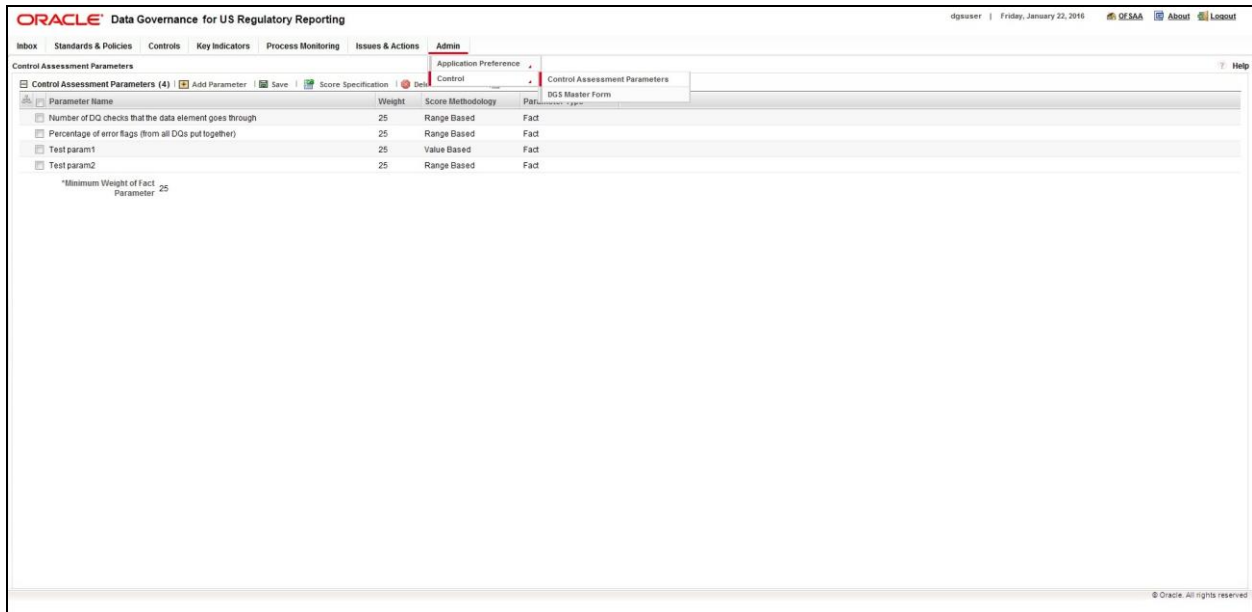
Basically, we use Inference/Fact parameter type to provide weights to the parameters.

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

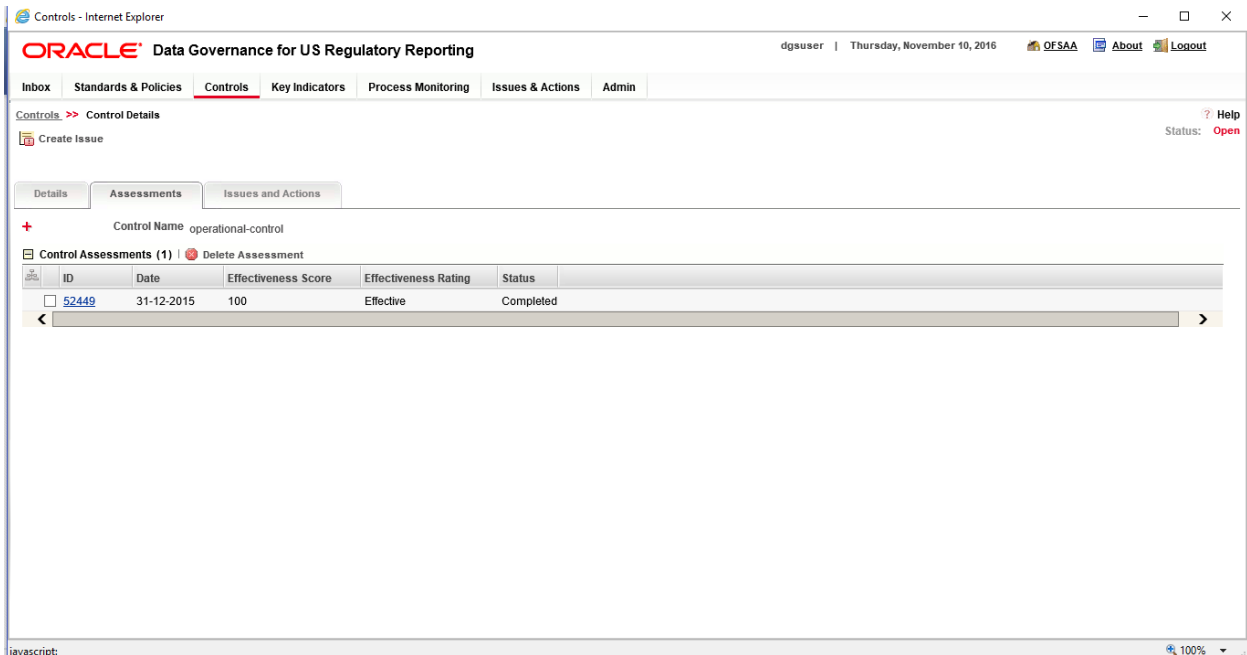
Once all the pre-requisites are met, execute the batch – **Create_Control_Assessment** for a given FIC_MIS_DATE.

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`

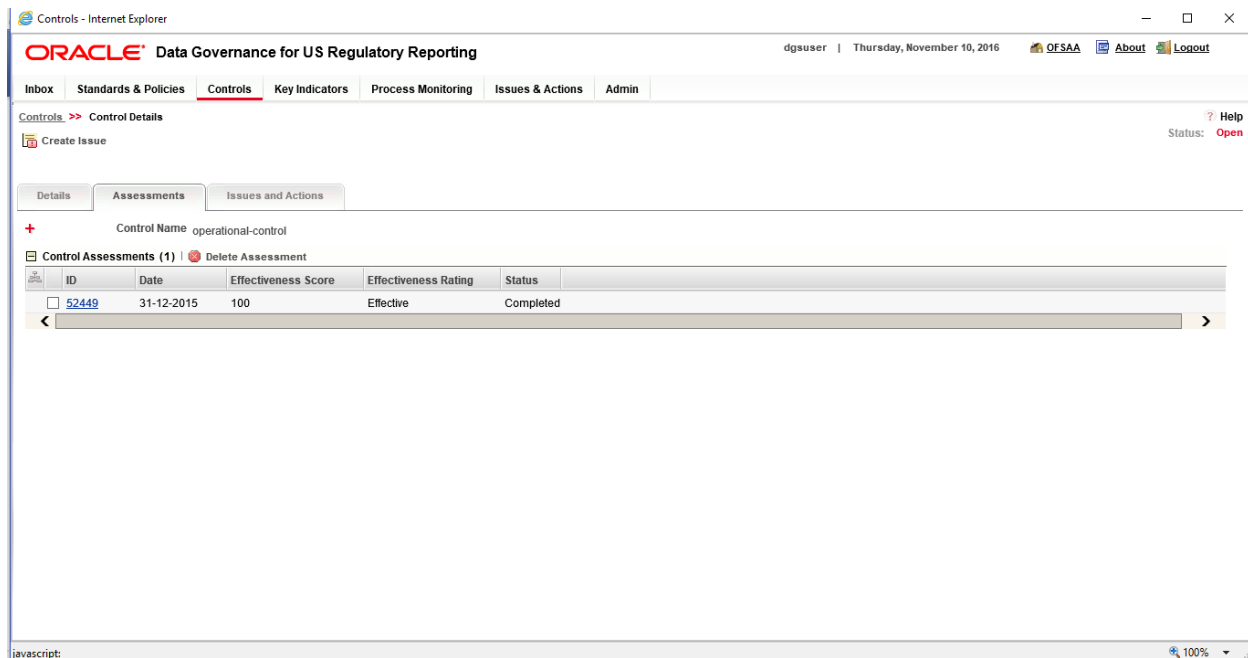
1. Navigate to **Controls** module in DGUSRR.
2. Click the **Control** against which Assessment is expected. The **Assessment** tab will show a unique Assessment Id along with Score, Rating and Status of the Assessment.
3. Click the **Assessment ID** to view the Assessment Parameter details and Assessment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

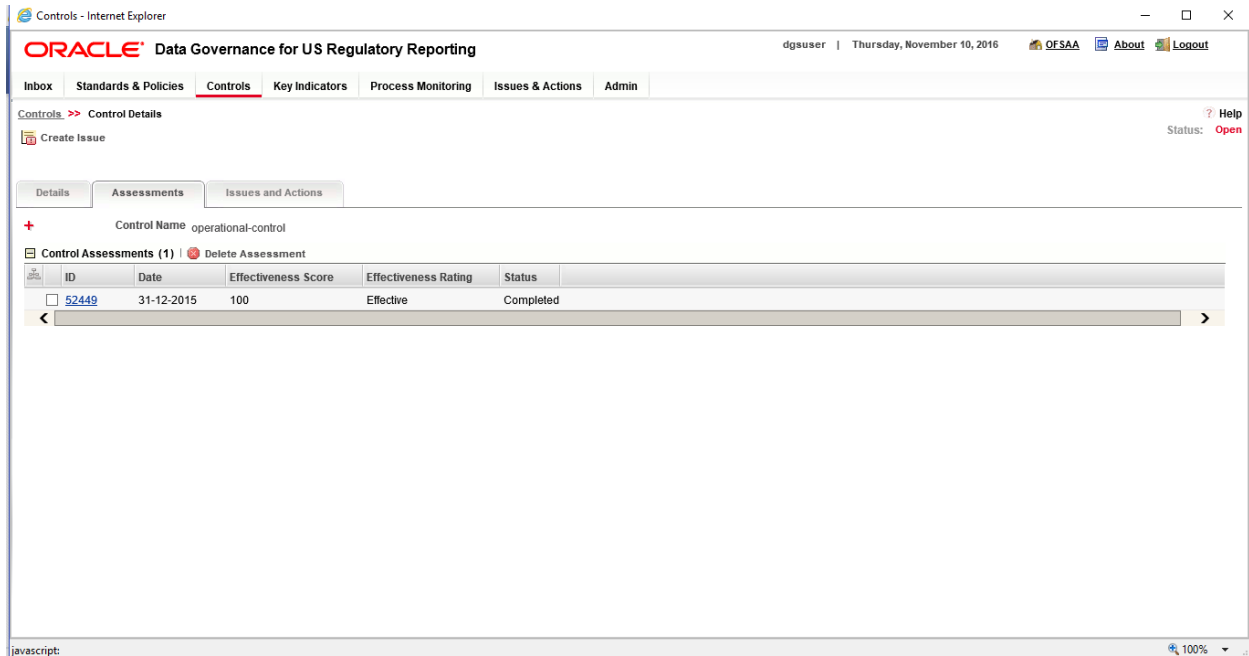
1. Complete Process Monitoring of the RUN for a given date.
2. Execute T2T to move Process Monitoring statistics to FACT table for the same date.
3. Data should be available in the following tables:
 - FSI_PM_BATCH_SCHEDULED_TIME
 - FSI_PM_BATCH_TASK_DEPENDENCY
 - FSI_PM_BATCH_TASK_AVG_TIME
 - FSI_PM_BATCH_TASK_SCH_TIME

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.

The screenshot shows the 'Issue Details' form. At the top, there are navigation links: 'Controls >> Control Details >> Issue Details'. In the top right corner, there is a 'Help' icon and 'Status: New'. The form has a 'Details' tab. Below the tab, there are several fields: 'Name' (text input), 'Description' (text area), 'Issue Category' (dropdown), 'Criticality' (dropdown), 'Target Date' (calendar icon), 'Component' (dropdown with 'Control' selected), 'Comments' (text area), 'Owner' (text input), and 'Primary Source' (text input). There are also 'Save Draft' and 'Cancel' buttons at the top right of the form area. The ID '12025' is displayed next to the Name field.

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.

The screenshot shows the 'Close Control' form. It displays 'ID 14085' at the top left. Below it is a 'Reason for Closure' label followed by a large text area for entering the justification. At the bottom center, there is a 'Submit' button.

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 Settlements (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, Intraserie and Interserie check.

- **Validity Check:** Validity check is basically Quantitative 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.
- **Interserie Check:** Interserie Check involves comparison of two schedules within a single report.
- **Intraserie Check:** Intraserie 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 from 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 screenshot shows the Oracle Data Governance for US Regulatory Reporting interface. The 'Key Indicators' section is active, displaying a list of 15283 indicators. The table below represents the data shown in the screenshot.

ID	Name	Type	Frequency	Rating	Measure Scale	Latest Value	Last Modified	Status
26284	Quality indicator for FNBKA100 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26283	Quality indicator for FNBK5468 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26282	Quality indicator for FNBK2309 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26281	Quality indicator for FNBK2309 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26280	Quality indicator for FNBK0010 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26259	Quality indicator for FNBK1407 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26258	Quality indicator for FNBK3384 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26257	Quality indicator for FNBK3376 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26256	Quality indicator for FNBK2122 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26255	Quality indicator for FNBK3383 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26254	Quality indicator for FNBK5556 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26253	Quality indicator for FNBK497 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26252	Quality indicator for FNBKA031 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26251	Quality indicator for FNBK3023 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26250	Quality indicator for FNBK3230 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26249	Quality indicator for FNBK4598 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26248	Quality indicator for FNBK3124 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26247	Quality indicator for FNBK0079 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26246	Quality indicator for FNBK0079 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open
26245	Quality indicator for FNBKA034 - Edit chec...	Value-Based	Daily		Number		16-Feb-2016	Open

The Threshold values are available in the `FCT_KI_DEF_THRSLD` table

Score Date	Score	Variance	Variance Percentage	KI Rating	Comments	Threshold	Assessment Status
<input checked="" type="checkbox"/> 04-Apr-2011	580000	-200000	-25.64	Red		Threshold	Success
<input type="checkbox"/> 04-Jan-2011	780000					Threshold	Success

Value Description	Value	Computation Status
<input type="checkbox"/> Accounts payable	580000	Success

8.3 User Roles and Actions

This section explains the different user roles and actions that can be performed 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	<ul style="list-style-type: none"> • Value Based • 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.

The screenshot shows the 'Key Indicator Details' page. At the top, there is a breadcrumb 'Key Indicators >> Key Indicator Details' and a 'Help' icon. The status is 'New'. The form contains the following fields: Name* (text input), ID (13419), Description* (text area), Type* (dropdown), Source* (dropdown), Frequency* (dropdown), Measure Scale* (dropdown), Currency* (dropdown), Owner* (text input with a hierarchy browser icon), Caution User* (text input with a hierarchy browser icon), Critical User* (text input with a hierarchy browser icon), and Comments* (text area). At the top right of the form, there are buttons for 'Save Draft', 'Submit', and 'Cancel'.

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 1 - Internal Source - (Automated) 2 - External Source - (Automated) 3 - Internal Source - (Manual) 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: 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 customers, 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.

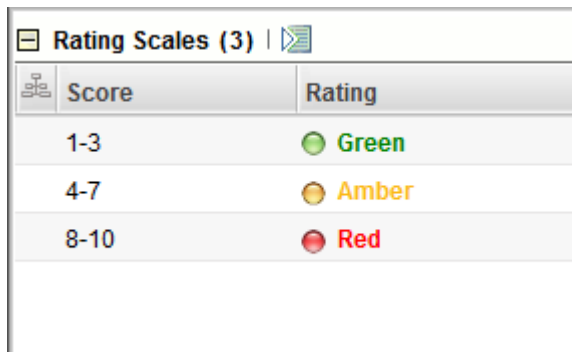
8.5.2 Defining Limits

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, Upper 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.



Rating Scales (3) [icon]	
Score	Rating
1-3	● Green
4-7	● Amber
8-10	● Red

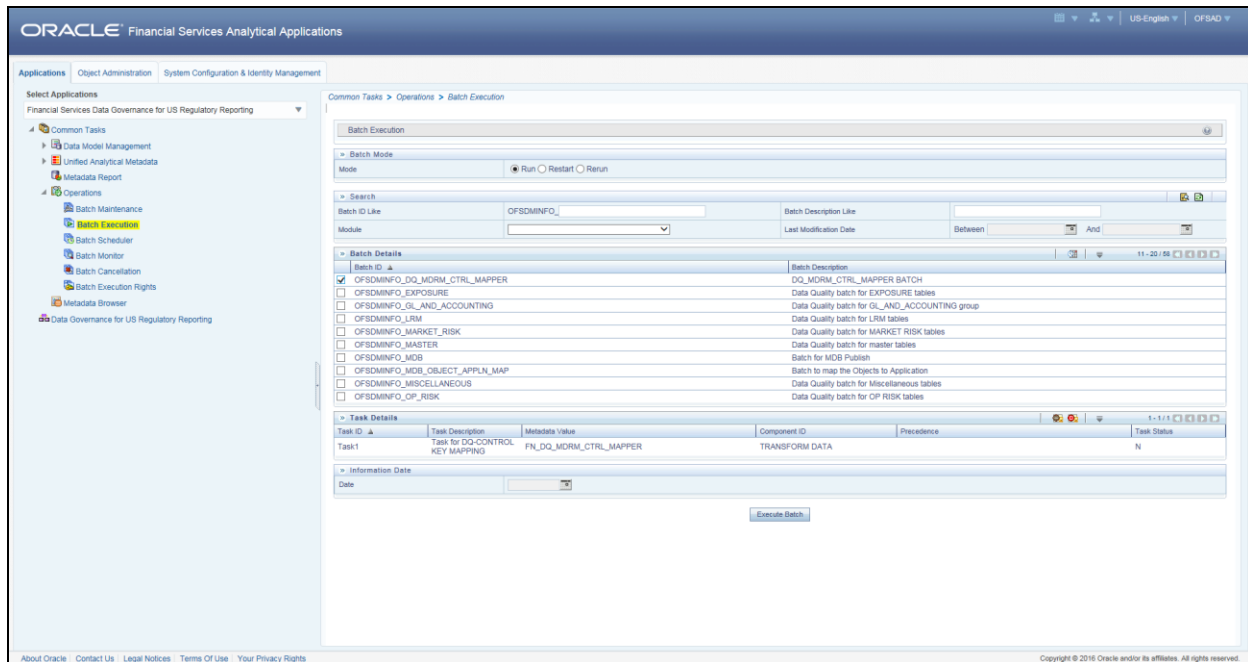
8.5.3 Bulk KI Assessment

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 a 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.

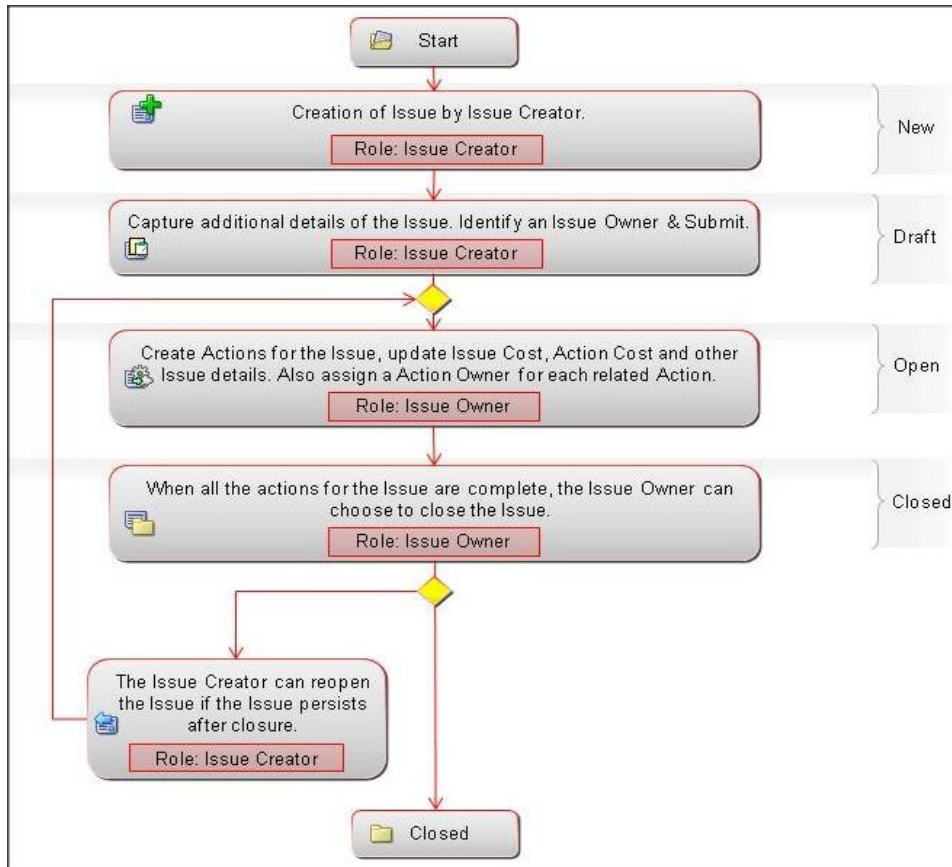
Actions

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.

The screenshot shows the 'Issues Details' page. At the top left, it says 'Issues >> Issue Details'. At the top right, there is a 'Help' icon and 'Status: New'. Below the title bar, there are buttons for 'Save Draft', 'Submit', and 'Cancel'. The form contains the following fields: 'Name*' (text input), 'Description*' (text area), 'Issue Category*' (dropdown menu), 'Criticality*' (dropdown menu), 'Target Date*' (date picker), 'Component*' (text input), 'Comments*' (text area), 'Owner*' (text input with value 'dguser'), and 'Primary Source*' (text input). The ID '23261' is displayed next to the 'Name' field.

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** page 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.

The screenshot displays the 'Issue Details' form. On the left, there are several input fields: 'Name' (test1), 'ID' (23261), 'Description' (empty), 'Issue Category' (dropdown), 'Criticality' (Low), 'Target Date' (31-Oct-2015), and 'Component' (Key Indicators). On the right, there is a summary panel titled 'As on:' with the following metrics: Days to Completion, Days Elapsed, Delay, Number of Associated Components (-), and Number of Actions (-). The 'Owner' field is set to 'dgsuser'.

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.

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

- 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. 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:

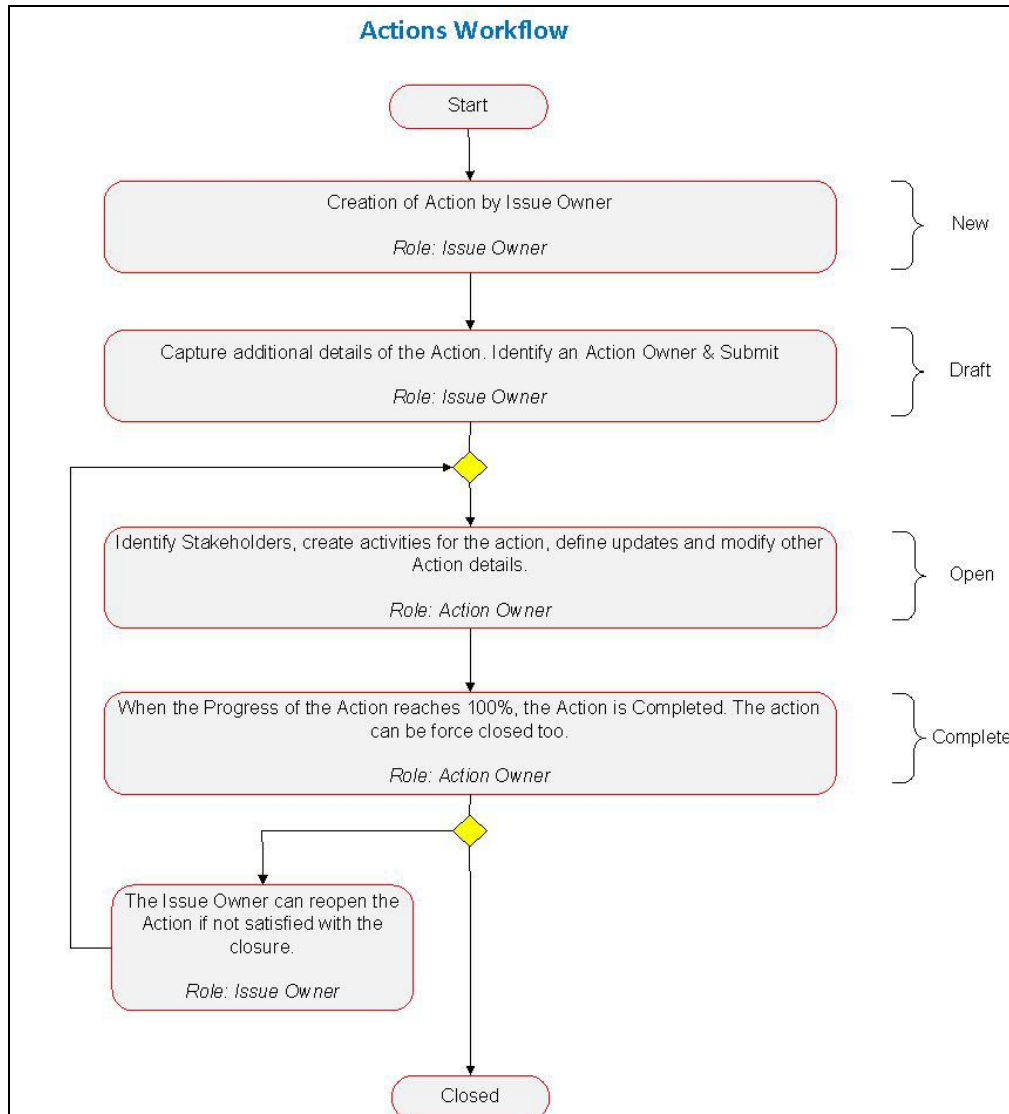
- **Issue Owner or Action Creator:** This user is responsible for assessing the issue created by the Issue Creator, adding issue details, and creating adequate action plans to resolve the issue. This user can assign a created action to an Action Owner and can also reopen the completed actions. The user 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

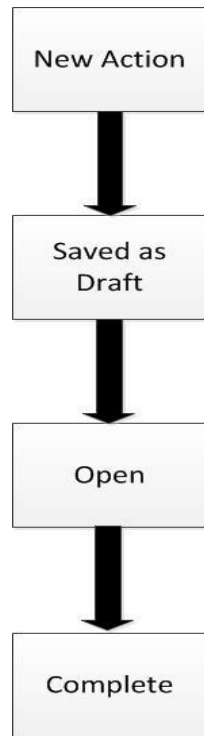
The user roles described above can perform the following actions:

- **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 owner selected in the Transfer Ownership window.	Action Owner	Open

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

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 discusses 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.

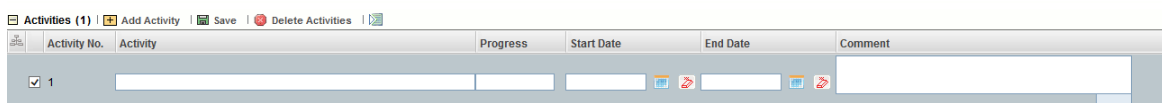
This section discusses the following topics:

- [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.



Activity No.	Activity	Progress	Start Date	End Date	Comment
<input checked="" type="checkbox"/> 1					

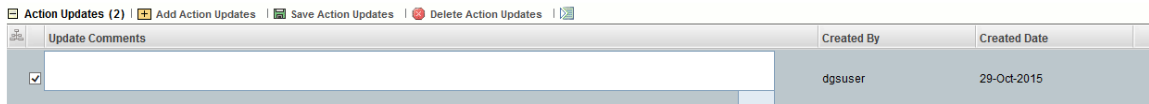
4. Check the check box for the row to make the Activity editable.
5. Enter the Activity Name, Progress, Start date, End date of the activity. and any comments.
6. Click **Save**. The following message is displayed: *Update Operation Successful*.
7. Click **OK**. A new activity is added in the activities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



Update Comments	Created By	Created Date
<input checked="" type="checkbox"/>	dgsuser	29-Oct-2015

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**.

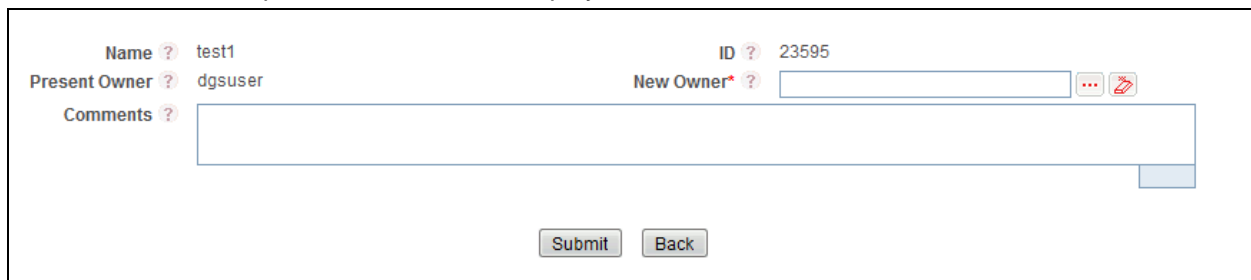
Attaching and Deleting Documents


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.



Name ? test1 ID ? 23595
Present Owner ? dgsuser New Owner* ? ... 
Comments ?

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.



The screenshot shows a web form for entering comments. On the left, the label "Comments" is followed by a question mark icon. To the right is a large, empty text input field. Below the input field, there are two buttons: "Submit" and "Back".

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:

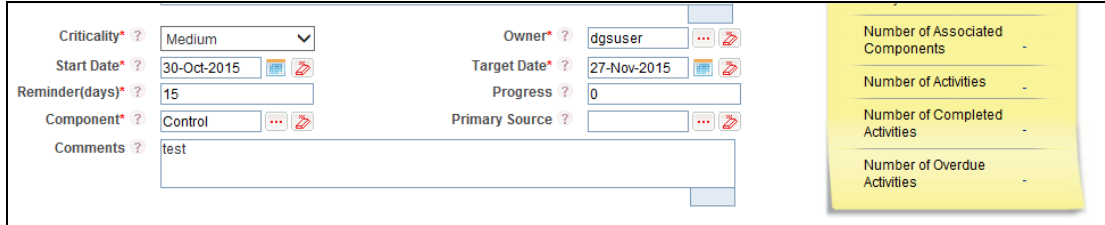
1. From the **Issues Search and List** page, select an issue in **Open** status. Expand **View More** and click the required Action ID in Completed status. The Action Details page is displayed. Click **Reopen Action**. An Action Details window is displayed.

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.



The screenshot shows the 'Action Details' window. On the left, there are several input fields: 'Criticality' (Medium), 'Start Date' (30-Oct-2015), 'Reminder(days)' (15), 'Component' (Control), and 'Comments' (test). On the right, there are fields for 'Owner' (dgsuser), 'Target Date' (27-Nov-2015), 'Progress' (0), and 'Primary Source'. A yellow summary panel on the right side displays the following statistics: Number of Associated Components, Number of Activities, Number of Completed Activities, and Number of Overdue Activities.

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

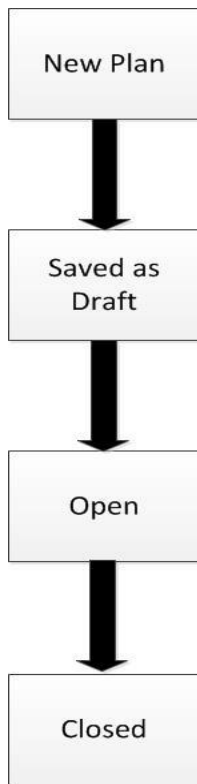
All the users need to be mapped to **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP**, along with **DGSPSI** and **PROCUSER**.

Following is the user role and action for Glossary:

- **PROCUSER** : Permits the user to access the process monitoring 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 fields.

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.

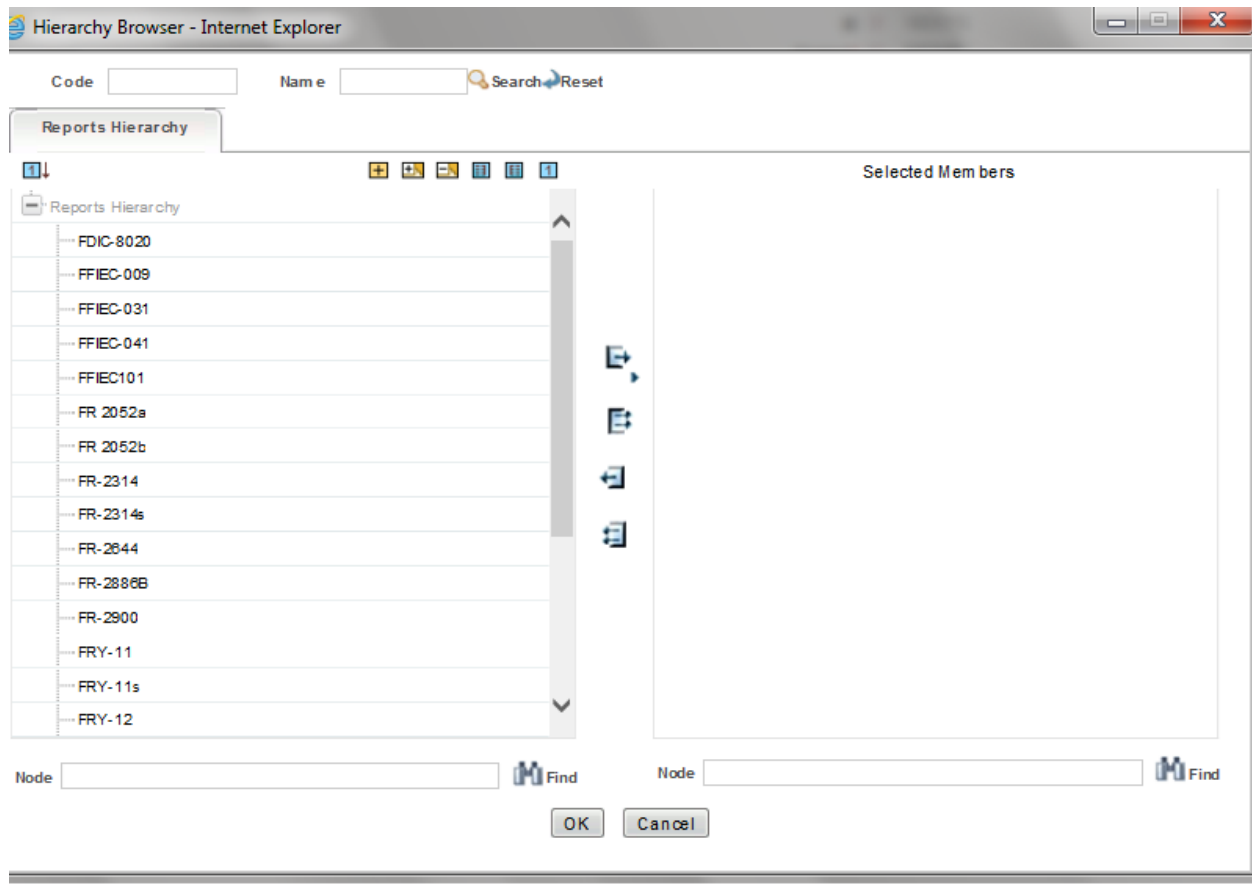
NOTE: You should schedule the plan before submitting.

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

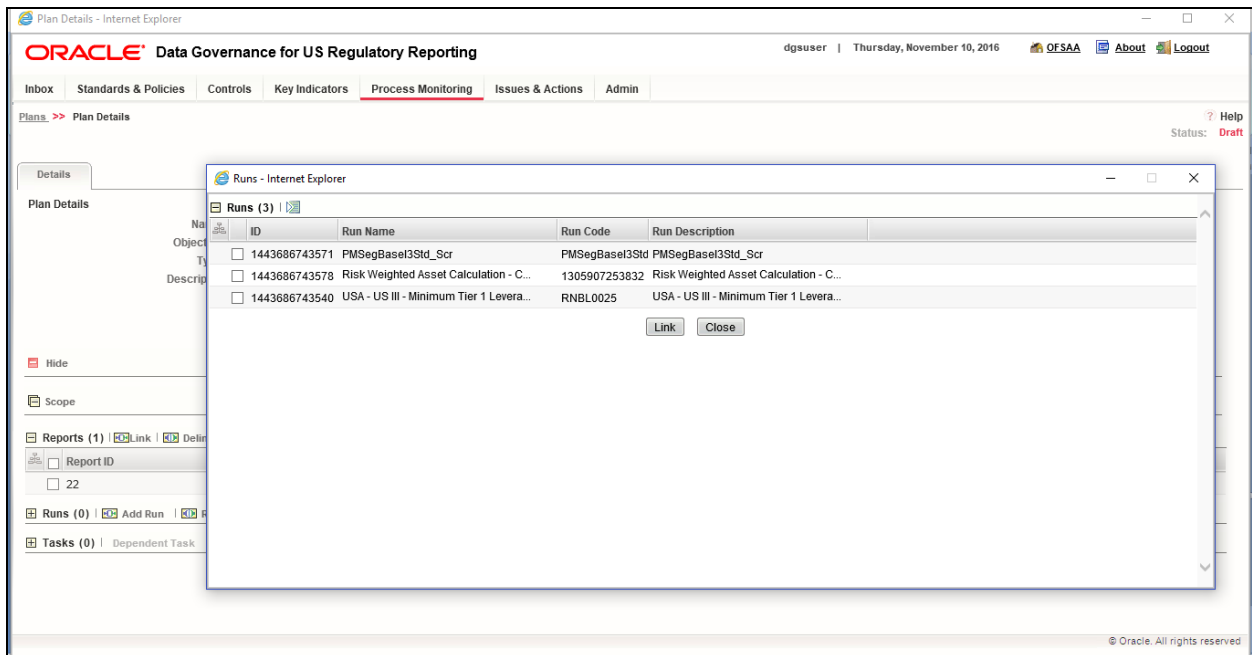


10.5 Linking the OFSAA Runs to a Plan

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.

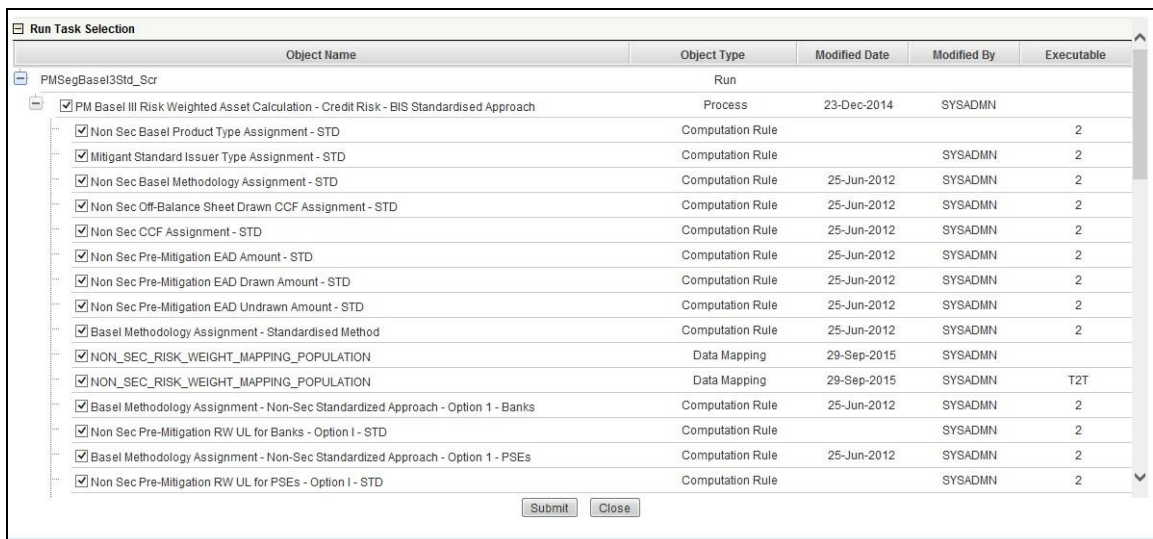
NOTE: Install another media pack to obtain the Run information. The runs available as a part of the applications in the media pack can be made visible in Data Governance for US Regulatory Reporting.

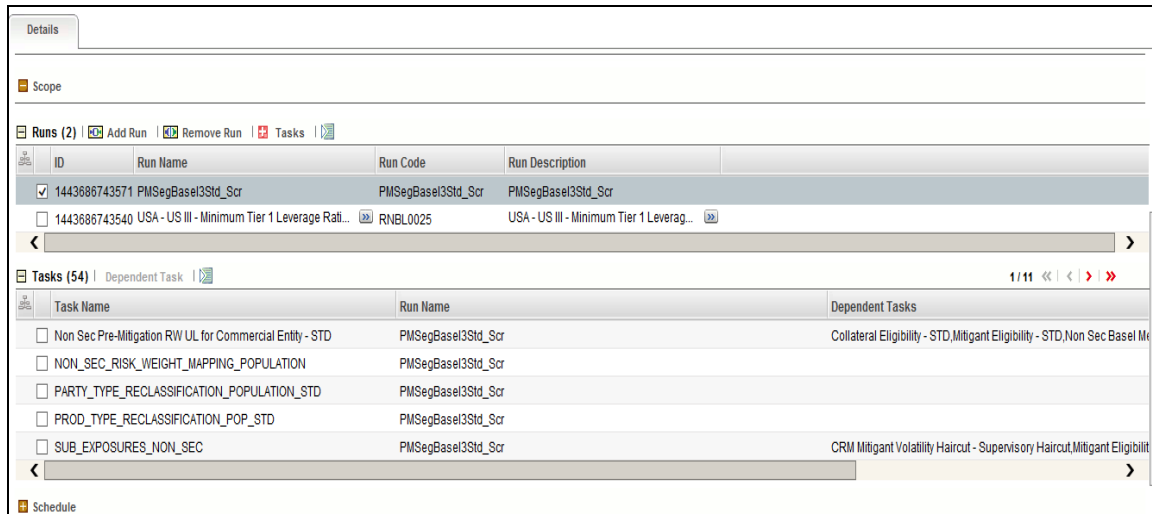
Metadata Publish is required to publish the Run related information.



10.6 Linking the Tasks to Runs

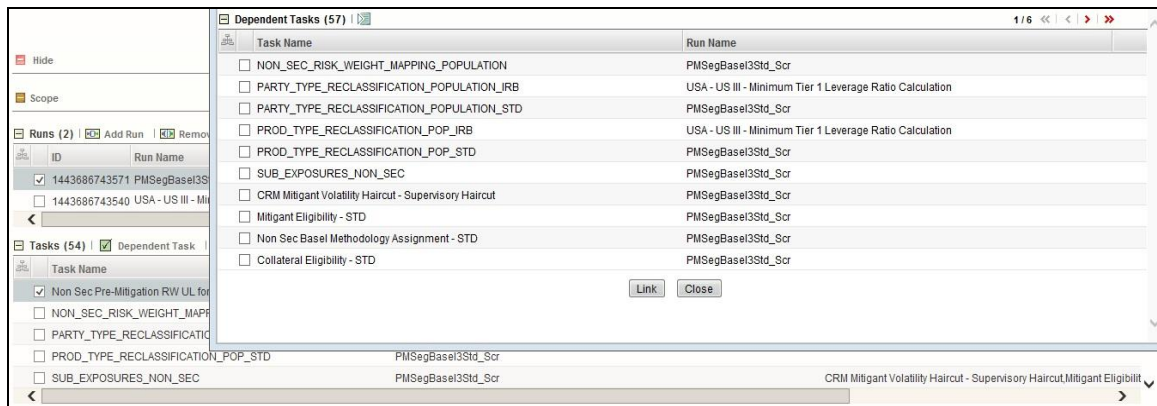
Data Governance for US Regulatory Reporting facilitates mapping of Tasks to Runs in Process Monitoring module. The **Task** button in the Runs grid give the user the option to select the tasks. On clicking **Task** button, a pop-up window displays all the tasks under the selected Run. The selected tasks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

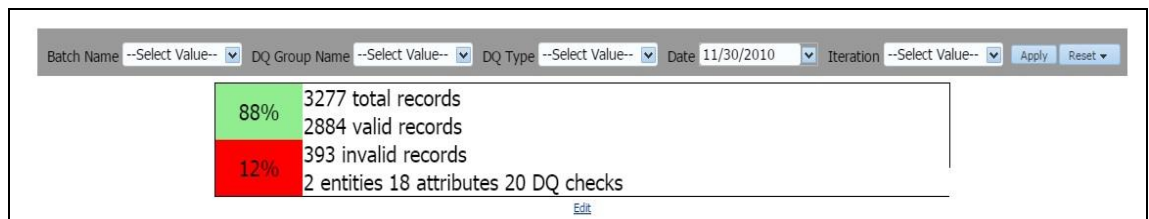
Data Quality Dashboard provides the data based on following list of drop-downs and selecting the desired Date:

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

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

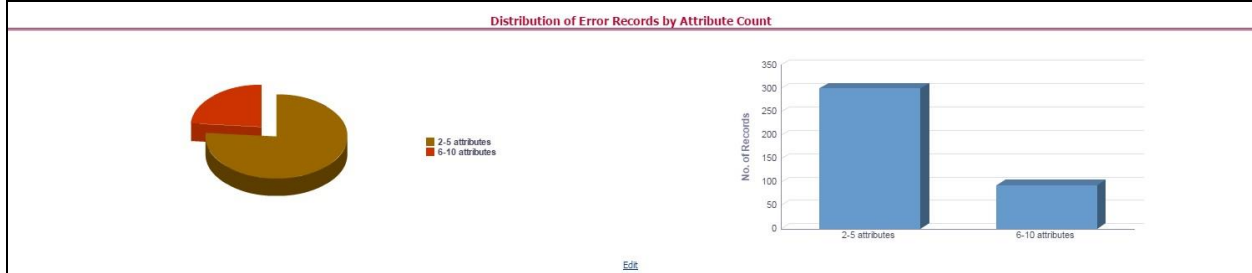
The first grid displays the following data:

- 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.

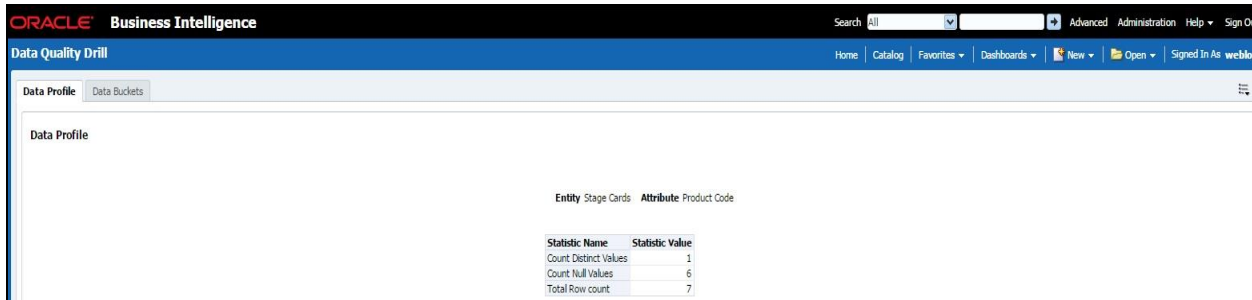


1. Click either on pie chart or bar graph to get drill down which displays the following details:

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

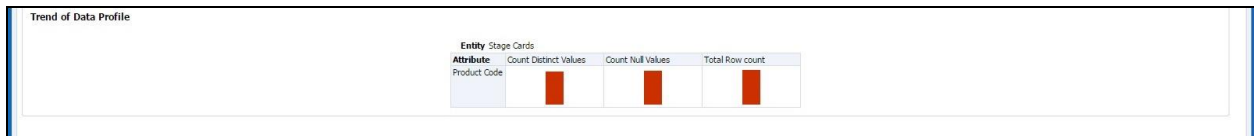
2. Click **Attributes** to display the following:

- 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

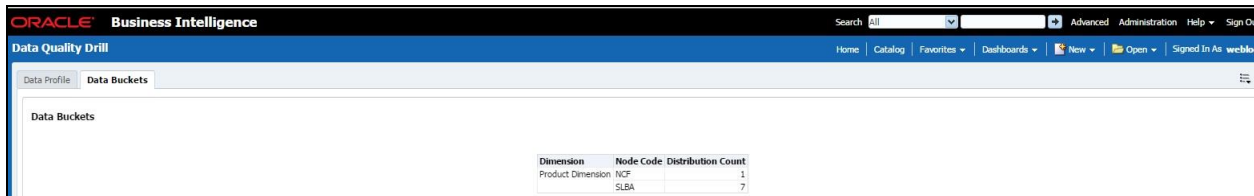


- Trend of Data Profile: This report shows the trend of data profiling in a 6 month interval from the selected date. It is a Graphical representation of the following data based on Entity-Attribute Name:

- 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



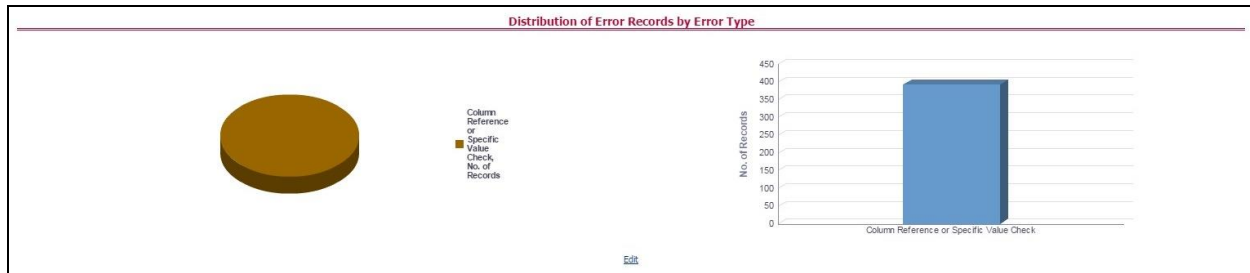
- Trend of Data Bucket: This report shows the trend of data profiling in a 6 month interval from the selected date. It is a graphical representation of Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:

- 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.

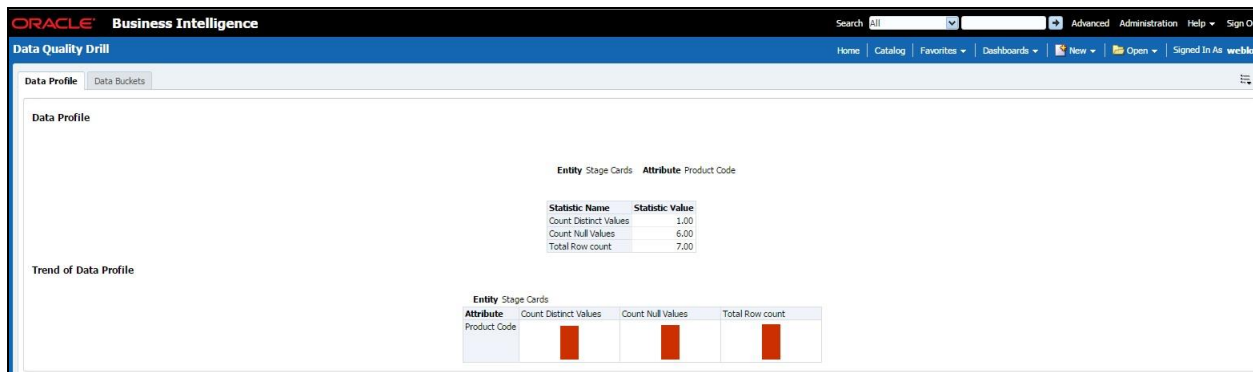


1. Click either on pie chart or bar graph to get drill down which displays the following details:

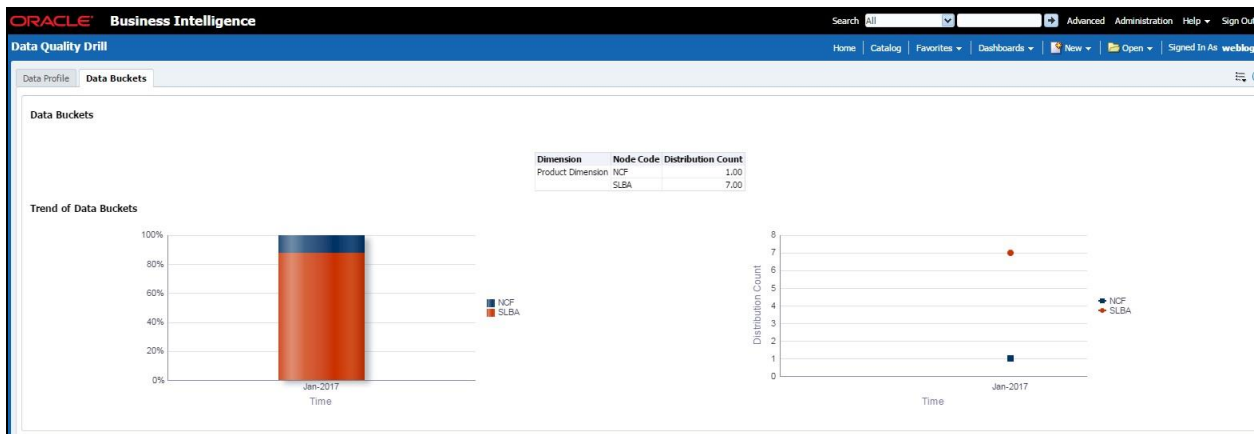
- Entity
- Attributes
- DQ Check Type Name
- Percentage of Rejected Records Count
- Date

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



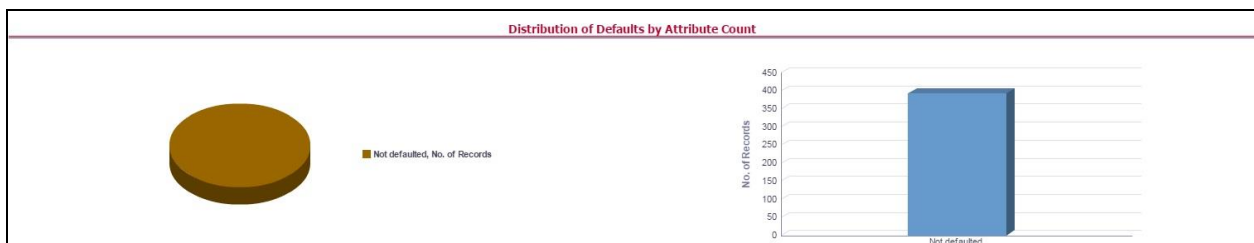
- Trend of Data Profile: Graphical representation of the following data based on Entity-Attribute Name:
 - Count Distinct values
 - Count Null Values
 - Total Row Count
- Data Bucket: It displays two analysis:
 - Data Bucket: Data Bucket is the tabular representation of the following data based on Dimension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

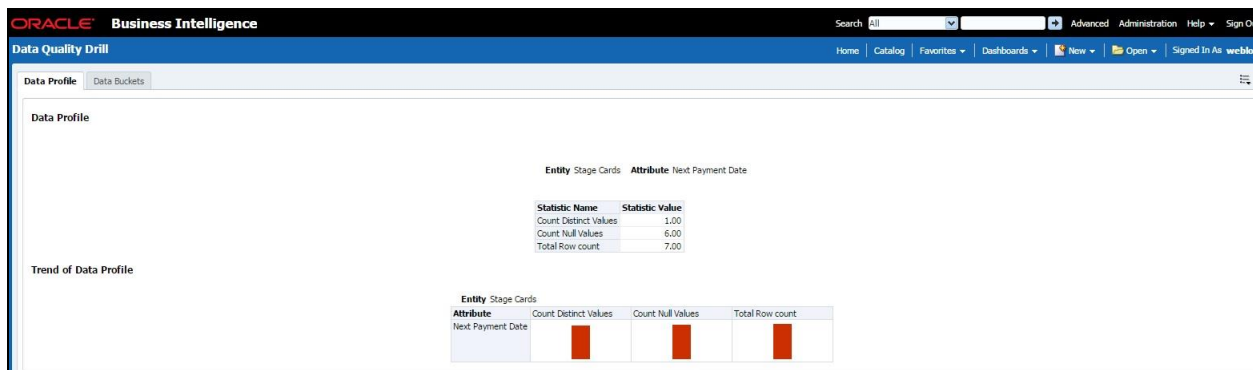
11.1.3 Distribution of Defaults by Attribute Count

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



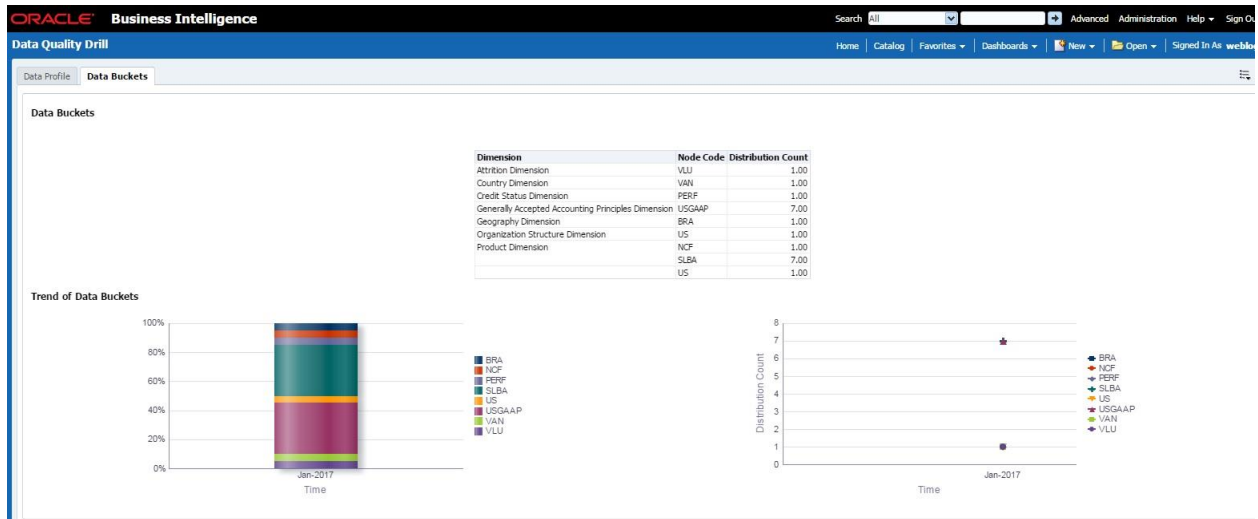
1. Click either on pie chart or bar graph to get drill down which displays the following details:

- 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:

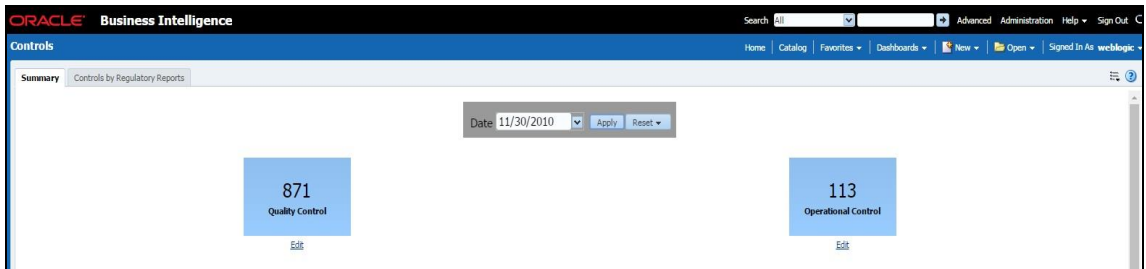
- Summary
- Controls by Regulatory Reports

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:

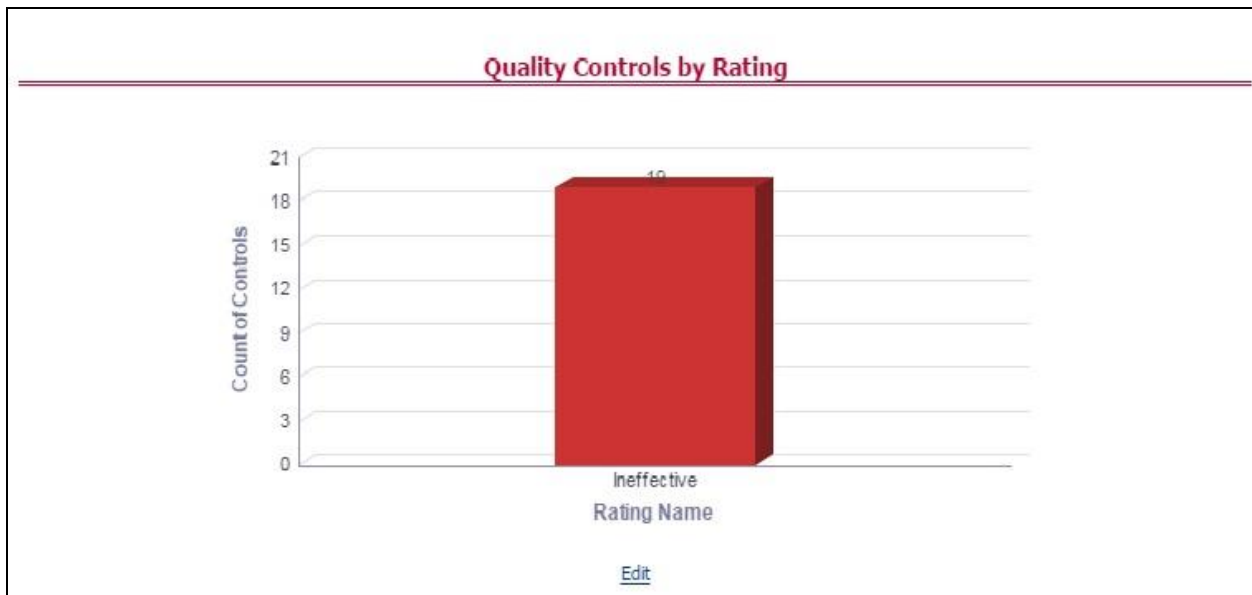
- **Quality Control:** Provides the number of Quality controls present in the system.
- **Operational Control:** Provides the number of operational controls present in the system.



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:

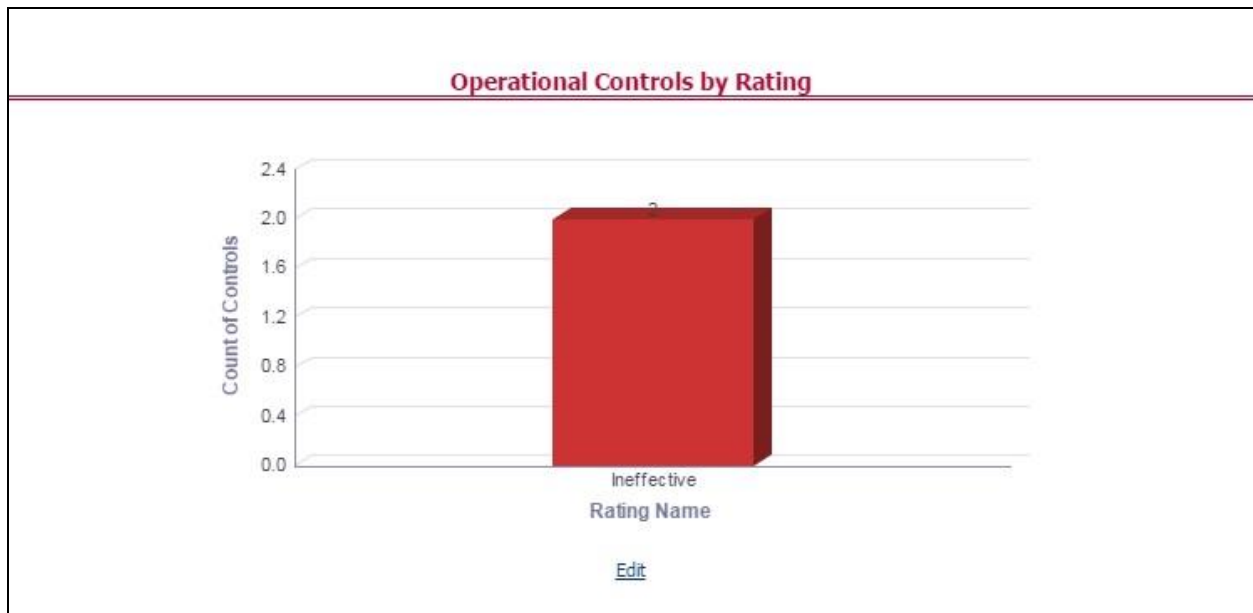
- Control ID
- Control Name
- Number of DQ checks
- Assessment ID
- Assessment Date
- Effective Score
- Rating Name

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



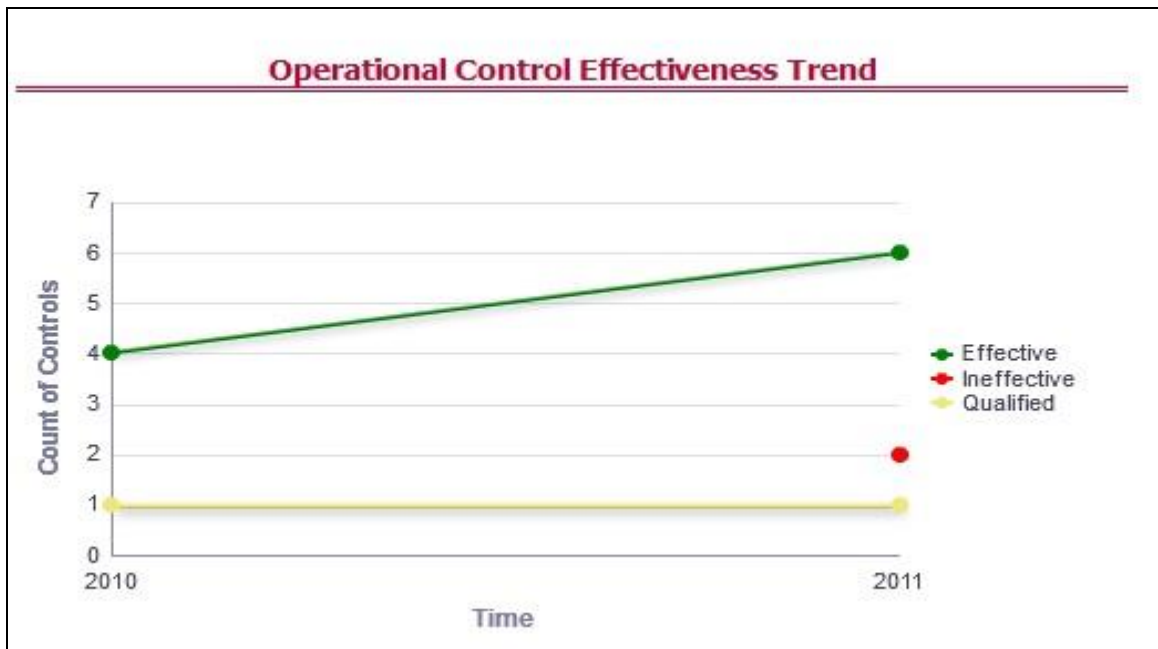
5. Click the graphs to view the drill-down **Control Assessment** reports. The following data is displayed under Control Assessment dashboard:

- 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

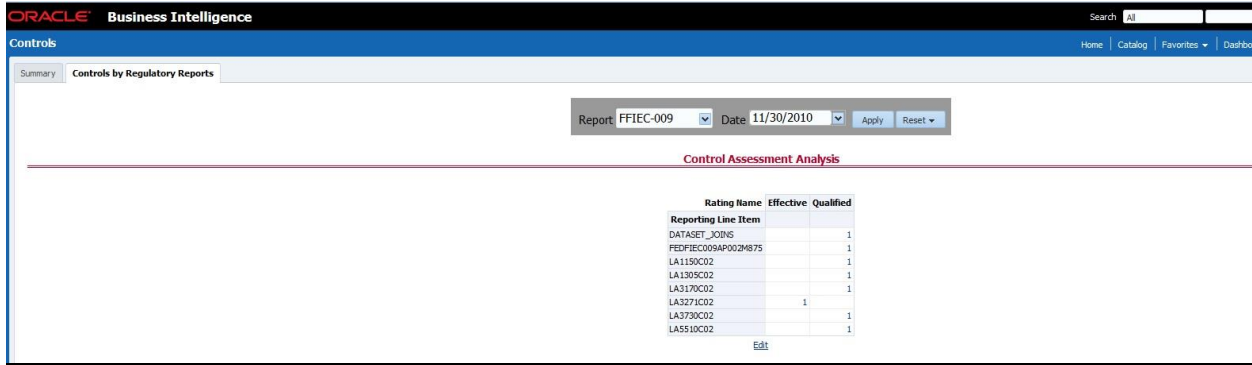
8. Click **Assessment ID** to view the drill-down **Control Parameter Score**.

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



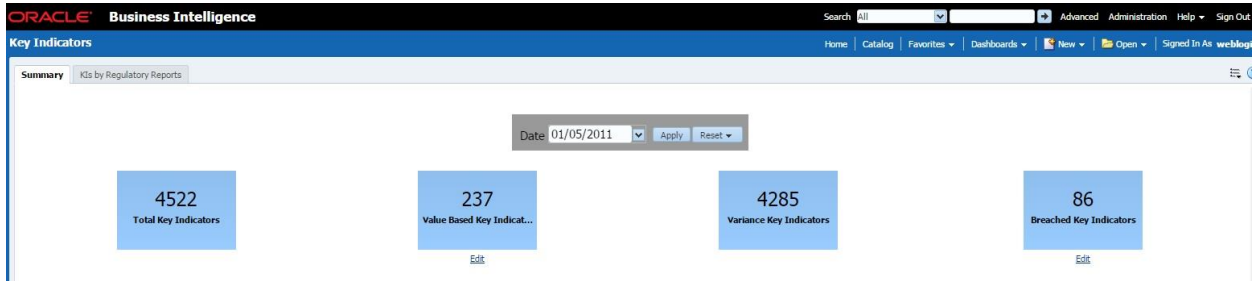
11.3 Key Indicators Dashboards

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 Performance Tile to display the Key Indicator details. The following details are displayed:
 - Key Indicator ID
 - Name
 - Description
 - Comment
 - Type

Key Indicator ID	Name	Description	Comment	Type
11002	Variance of number of loans in servicing portfolio	This Key Indicator compares the value of number of loans in servicing portfolio as of current period with that of previous period	KI Comments	Variance
11003	Variance of fry11 s	This Key Indicator compares the value of fry11 s as of current period with that of previous period	KI Comments	Variance
11004	Variance of total loans and lease financing receivables: past due 30-89 days and still accruing	This Key Indicator compares the value of total loans and lease financing receivables: past due 30-89 days and still accruing as of current period with that of previous period	KI Comments	Variance
11005	Variance of balances due from bank holding company (parent companies only), gross	This Key Indicator compares the value of balances due from bank holding company (parent companies only), gross as of current period with that of previous period	KI Comments	Variance
11006	Variance of allowance for loan and lease losses - balance end of previous calendar year	This Key Indicator compares the value of allowance for loan and lease losses - balance end of previous calendar year as of current period with that of previous period	KI Comments	Variance
11007	Variance of other identifiable intangible assets	This Key Indicator compares the value of other identifiable intangible assets as of current period with that of previous period	KI Comments	Variance
11008	Variance of commercial and similar letters of credit	This Key Indicator compares the value of commercial and similar letters of credit as of current period with that of previous period	KI Comments	Variance
11009	Variance of foreign exchange rate contracts - commitments to purchase foreign currencies and u.s. do	This Key Indicator compares the value of foreign exchange rate contracts - commitments to purchase foreign currencies and u.s. dollar exchange (futures, forward, and spot) as of current period with that of previous period	KI Comments	Variance
11010	Variance of assets held in trading accounts - securities of all foreign governments and official ins	This Key Indicator compares the value of assets held in trading accounts - securities of all foreign governments and official institutions as of current period with that of previous period	KI Comments	Variance
11011	Variance of net deferred tax liability	This Key Indicator compares the value of net deferred tax liability as of current period with that of previous period	KI Comments	Variance

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

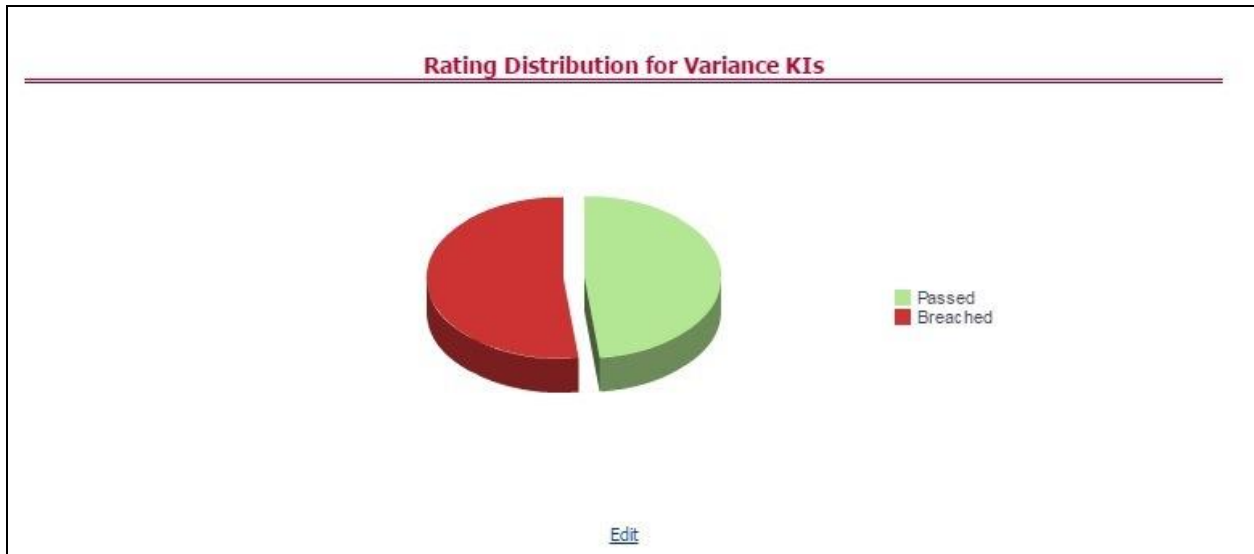
- Assessment ID
- Key Indicator ID
- Current Period Value
- Previous Period Value
- Variance
- Variance Percentage
- RAG Score
- Status

Assessment ID	Key Indicator ID	Current Period Value	Previous Period Value	Variance	Variance %	Rag Score	Status
58828	11002						
80049	11002						

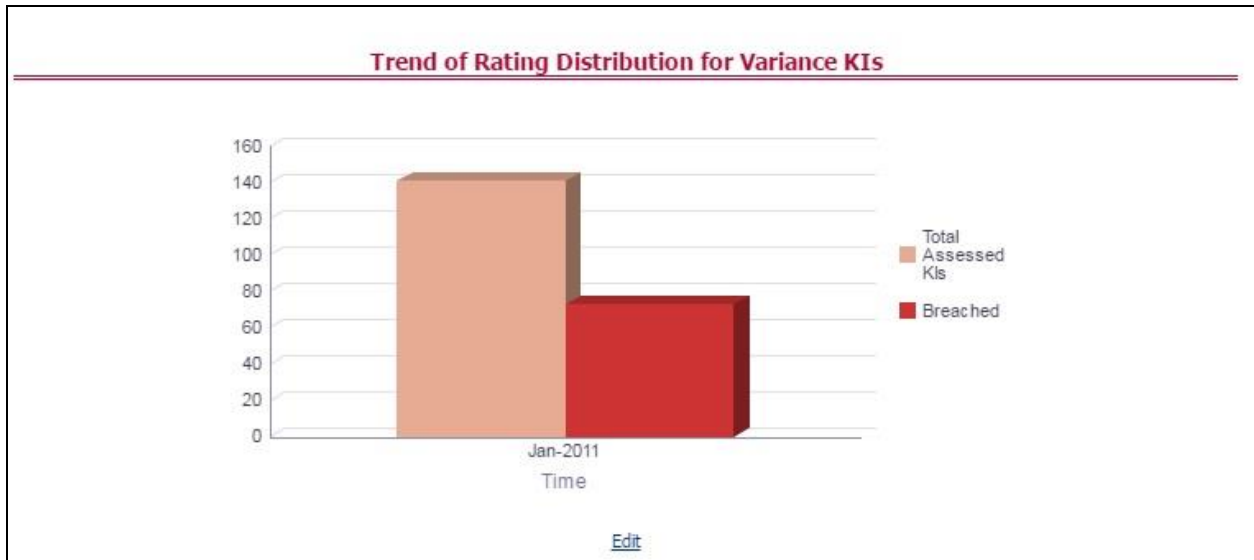
[Return](#) - [Edit](#) - [Create Bookmark Link](#)

Following are the various sections of dashboards:

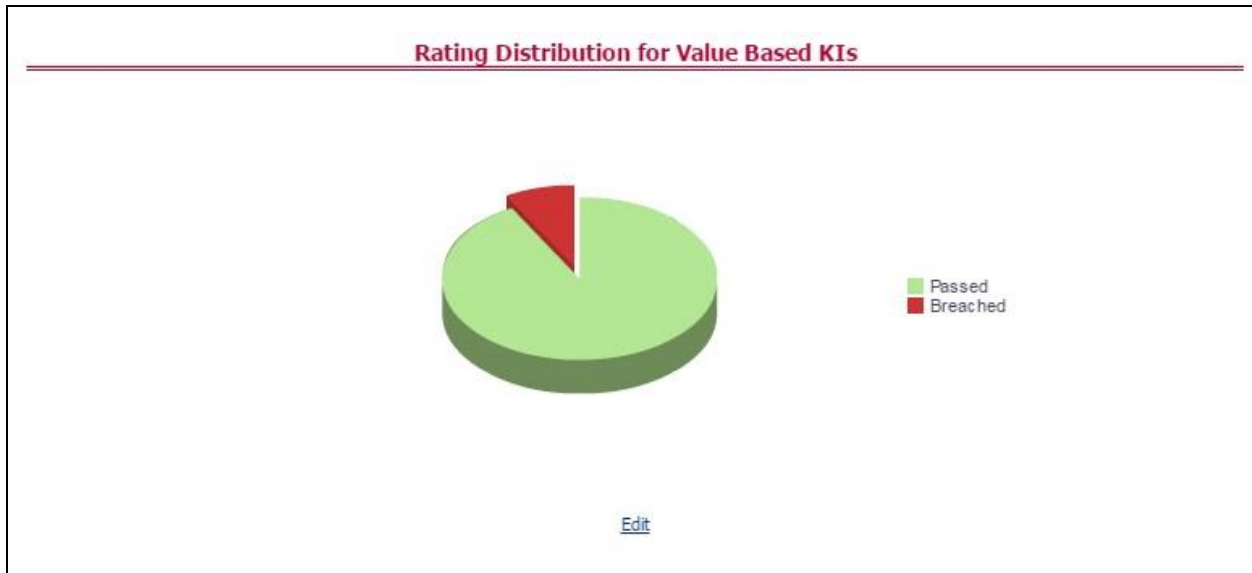
- **Rating Distribution for Variance KIs:** This report displays the latest rating distribution for the assessed variance KIs.



- **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**.

The screenshot shows the Oracle Business Intelligence interface for Key Indicators. At the top, there's a search bar and navigation links. Below that, the 'Key Indicators' section is active, showing a filter for Report 'FR2314' and Date '01/05/2011'. Four blue tiles display the following values: Total Key Indicators (73), Value Based Key Indicators (73), Variance Key Indicators (0), and Breached Key Indicators (4). Below these tiles, a 'Variance Analysis' section states 'No data for the report.' with 'Edit' and 'Refresh' links.

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

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

The screenshot shows the 'Key Indicator Details' page in Oracle Business Intelligence. It features a table with the following columns: Key Indicator ID, Name, Description, Comment, and Type. The table lists 11 key indicators with their respective descriptions and types.

Key Indicator ID	Name	Description	Comment	Type
11002	Variance of number of loans in servicing portfolio	This Key Indicator compares the value of number of loans in servicing portfolio as of current period with that of previous period	KI Comments	Variance
11003	Variance of fvy11 s	This Key Indicator compares the value of fvy11 s as of current period with that of previous period	KI Comments	Variance
11004	Variance of total loans and lease financing receivables: past due 30-89 days and still accruing	This Key Indicator compares the value of total loans and lease financing receivables: past due 30-89 days and still accruing as of current period with that of previous period	KI Comments	Variance
11005	Variance of balances due from bank holding company (parent companies only), gross	This Key Indicator compares the value of balances due from bank holding company (parent companies only), gross as of current period with that of previous period	KI Comments	Variance
11006	Variance of allowance for loan and lease losses - balance end of previous calendar year	This Key Indicator compares the value of allowance for loan and lease losses - balance end of previous calendar year as of current period with that of previous period	KI Comments	Variance
11007	Variance of other identifiable intangible assets	This Key Indicator compares the value of other identifiable intangible assets as of current period with that of previous period	KI Comments	Variance
11008	Variance of commercial and similar letters of credit	This Key Indicator compares the value of commercial and similar letters of credit as of current period with that of previous period	KI Comments	Variance
11009	Variance of foreign exchange rate contracts - commitments to purchase foreign currencies and u.s. do	This Key Indicator compares the value of foreign exchange rate contracts - commitments to purchase foreign currencies and u.s. dollar exchange (futures, forward, and spot) as of current period with that of previous period	KI Comments	Variance
11010	Variance of assets held in trading accounts - securities of all foreign governments and official ins	This Key Indicator compares the value of assets held in trading accounts - securities of all foreign governments and official institutions as of current period with that of previous period	KI Comments	Variance
11011	Variance of net deferred tax liability	This Key Indicator compares the value of net deferred tax liability as of current period with that of previous period	KI Comments	Variance

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.

The screenshot shows the Oracle Business Intelligence interface with a table titled 'Variance Analysis'. The table has columns for Reporting Line Item, Key Indicator, Current Period Value, Previous Period Value, Variance, Variance %, and Status. The data includes various financial metrics such as 'Variance of general loan and lease valuation allowances' and 'Variance of total risk-based capital ratio'.

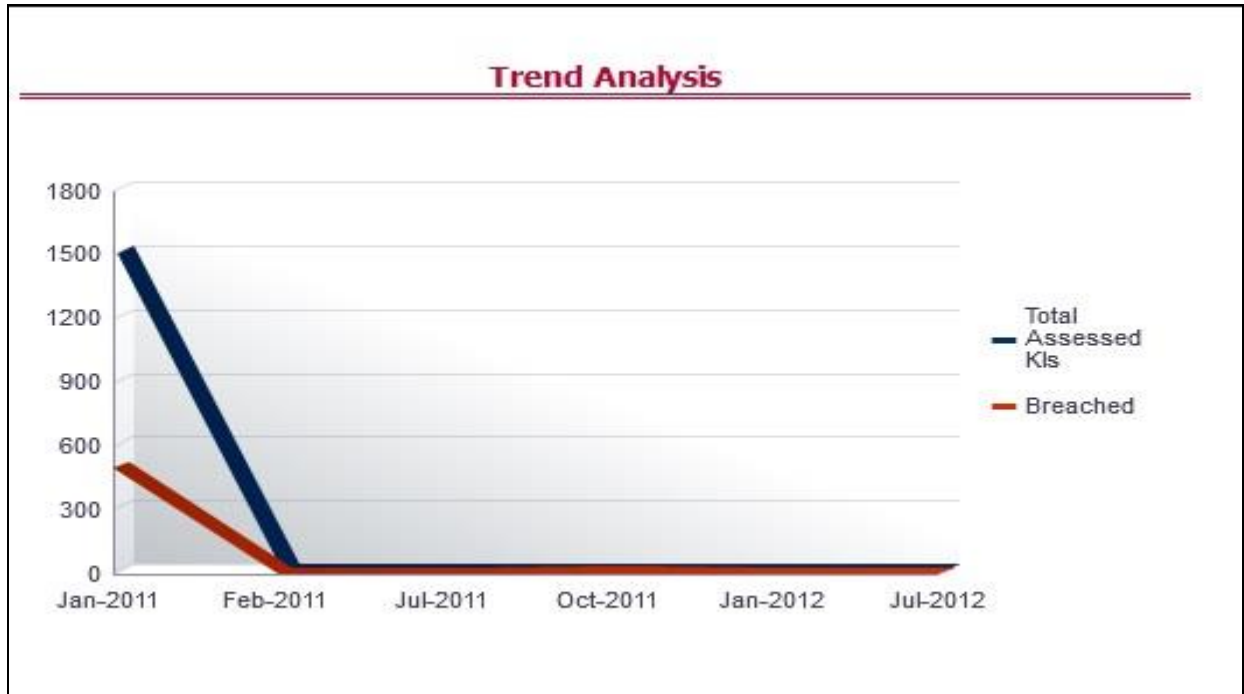
Reporting Line Item	Key Indicator	Current Period Value	Previous Period Value	Variance	Variance %	Status
AAAA5310	Variance of general loan and lease valuation allowances					
AAAA7205	Variance of total risk-based capital ratio		93,371,520.00			
AAAA7206	Variance of tier 1 risk-based capital ratio		51,580,586.00			
AAAA1173	Variance of tier 2 capital - excess of eligible credit reserves over total expected credit losses (u		80,703,405.00			
AAAA1183	Variance of eligible credit reserves.					
AAAA793	Variance of common equity tier 1 capital ratio		72,373,452.00			
AAAA686	Variance of expected credit loss that exceeds eligible credit reserves					
AAAA911	Variance of total allowance for loan and lease losses (all) under the standardized approach					
AAAB3247	Variance of undivided profits and capital reserves (retained earnings)		75,614,929.00			
AAAB5310	Variance of general loan and lease valuation allowances		80,703,405.00			
AAAB7205	Variance of total risk-based capital ratio		93,371,520.00			
AAAB7206	Variance of tier 1 risk-based capital ratio		51,580,586.00			
AAAB8274	Variance of tier 1 capital allowable under the risk-based capital guidelines		7,357,920.00			
AAAB223	Variance of risk-weighted assets (net of allowances and other deductions)		10,785,073.00			
AAAB161	Variance of less: gain-on-sale associated with securitization exposures		97,775,146.00			
AAAB742	Variance of common equity tier 1 capital: common stock plus related surplus, net of treasury stock a		44,615,716.00			
AAAB793	Variance of common equity tier 1 capital ratio		72,373,452.00			
AAAB639	Variance of common equity tier 1 minority interest includable in common equity tier 1 capital		38,597,807.00			
AAAB641	Variance of goodwill net of associated deferred tax liabilities (dtls)		8,704,269.00			
AAAB642	Variance of intangible assets (other than goodwill and mortgage servicing assets (msas)), net of ass		93,406,052.00			
AAAB643	Variance of deferred tax assets (dtas) that arise from net operating loss and tax credit carryforw		26,372,379.00			
AAAB649	Variance of accumulated net gain (loss) on cash flow hedges included in acci, net of applicable tax		76,384,393.00			
AAAB651	Variance of non-significant investments in the capital of unconsolidated financial institutions in t		18,366,371.00			
AAAB653	Variance of significant investments in the capital of unconsolidated financial institutions in the f		4,570,875.00			
AAAB654	Variance of msas, net of associated dtls, that exceed the 10 percent common equity tier 1 capital de		3,061,591.00			

- **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.

The screenshot shows the Oracle Business Intelligence interface with a table titled 'Performance Indicators'. The table has columns for Reporting Line Item, Key Indicator, Current Period Value, and Status. The data includes various financial metrics such as 'Equity interest in nonrelated organizations Null & Negative indicator' and 'Other borrowed money with a remaining maturity of more than one year Null & Negative indicator'. Each row has a status indicator (a green circle).

Reporting Line Item	Key Indicator	Current Period Value	Status
SUBC0399	Equity interest in nonrelated organizations Null & Negative indicator	1.00	●
SUBC1729	Other borrowed money with a remaining maturity of more than one year Null & Negative indicator	1.00	●
SUBC1754	Held-to-maturity securities Null & Negative indicator	1.00	●
SUBC1773	Available-for-sale securities Null & Negative indicator	1.00	●
SUBC2013	Total off-balance-sheet items range indicator	0.00	●
SUBC2143	Intangible assets Null & Negative indicator	1.00	●
SUBC2145	Premises and fixed assets (including capitalized leases) Null & Negative indicator	1.00	●
SUBC3240	Surplus (exclude all surplus related to preferred stock) under equity capital Null & Negative indica	1.00	●
SUBC3415	Commitments to purchase foreign currencies and U.S. dollar exchanges (spot, forward, and futures) Nu	1.00	●
SUBC3450	Notional value of interest rate swaps Null & Negative indicator	1.00	●

- **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.

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Key Indicator Details

Key Indicator ID	Name	Description	Comment	Type
11003	Variance of fry11 s	This Key Indicator compares the value of fry11 s as of current period with that of previous period	KI Comments	Variance
11007	Variance of other identifiable intangible assets	This Key Indicator compares the value of other identifiable intangible assets as of current period with that of previous period	KI Comments	Variance
11012	Variance of provision for loan and lease losses	This Key Indicator compares the value of provision for loan and lease losses as of current period with that of previous period	KI Comments	Variance
11015	Variance of provision for loan and lease losses	This Key Indicator compares the value of provision for loan and lease losses as of current period with that of previous period	KI Comments	Variance
11019	Variance of net change in fair values of financial instruments accounted for under a fair value opti	This Key Indicator compares the value of net change in fair values of financial instruments accounted for under a fair value option as of current period with that of previous period	KI Comments	Variance
11022	Variance of gains (losses) on securities not held in trading accounts	This Key Indicator compares the value of gains (losses) on securities not held in trading accounts as of current period with that of previous period	KI Comments	Variance
11031	Variance of net deferred tax assets	This Key Indicator compares the value of net deferred tax assets as of current period with that of previous period	KI Comments	Variance
11032	Variance of noninterest expense pertaining to related organizations	This Key Indicator compares the value of noninterest expense pertaining to related organizations as of current period with that of previous period	KI Comments	Variance
11053	Variance of applicable income taxes	This Key Indicator compares the value of applicable income taxes as of current period with that of previous period	KI Comments	Variance
11054	Variance of noninterest income from related organizations	This Key Indicator compares the value of noninterest income from related organizations as of current period with that of previous period	KI Comments	Variance
11057	Variance of accounts payable	This Key Indicator compares the value of accounts payable as of current period with that of previous period	KI Comments	Variance
11064	Variance of noncash income from negative amortization on closed-end loans secured by 1-4 family resi	This Key Indicator compares the value of noncash income from negative amortization on closed-end loans secured by 1-4 family residential properties as of current period with that of previous period	KI Comments	Variance
11066	Variance of perpetual preferred stock (including related surplus)	This Key Indicator compares the value of perpetual preferred stock (including related surplus) as of current period with that of previous period	KI Comments	Variance
11078	Variance of insurance commissions and fees	This Key Indicator compares the value of insurance commissions and fees as of current period with that of previous period	KI Comments	Variance
11080	Variance of accumulated other comprehensive income	This Key Indicator compares the value of accumulated other comprehensive income as of current period with that of previous period	KI Comments	Variance

Key Indicators: KIs by Regulatory Reports > KI Details Breached Trend Analysis

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.

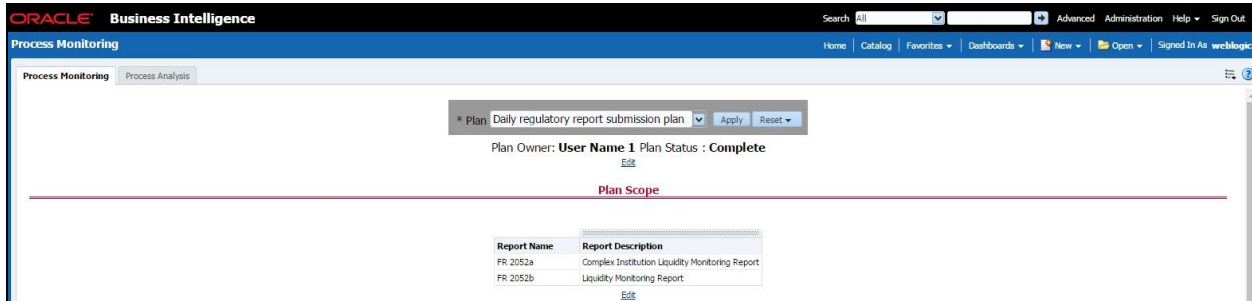
Select a **Plan** from the drop-down and click **Apply** to view the Process Monitoring dashboard. It also displays the Plan Owner and Plan Status based on the Plan selection.

This section describes the following analysis:

- Plan Scope
- Task Tracking

11.4.1.1 Plan Scope

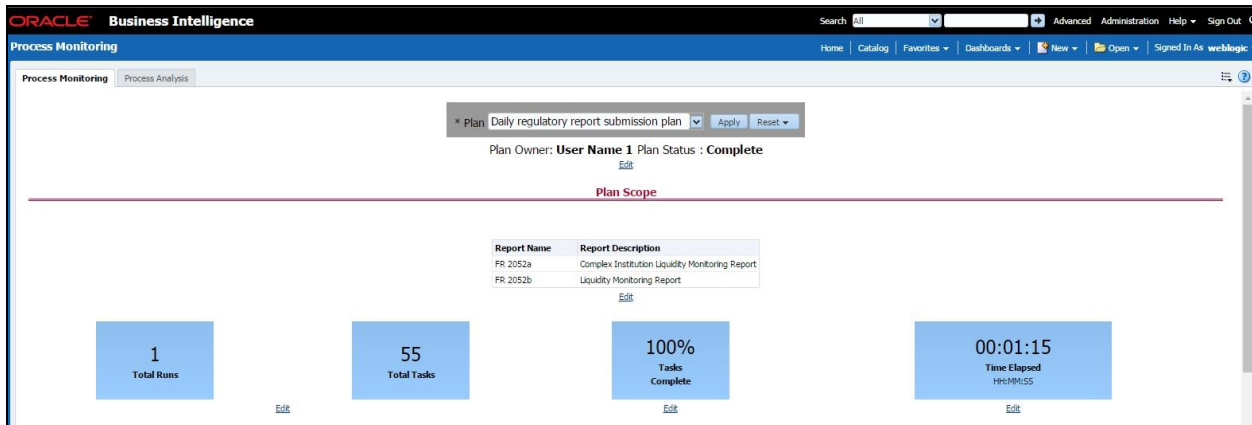
This grid displays the **Report Name** and **Report Description** associated with the selected Plan from the drop-down.



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.

	Start Time	End Time	Time Taken (HH:MM:SS)	Status
US FED Run	13-Dec-16 07:57:01	13-Dec-16 07:58:16	00:01:15	Failed
Reg Collateral Stock - Mitigant	13-Dec-16 07:57:55	13-Dec-16 07:58:10	00:00:15	Success
Reg Collateral Stock - Placed	13-Dec-16 07:57:34	13-Dec-16 07:57:46	00:00:12	Success
Reg Covered Transaction Type - Credit Line	13-Dec-16 07:57:09	13-Dec-16 07:57:11	00:00:02	Failed
Reg Covered Transaction Type - Loans	13-Dec-16 07:57:48	13-Dec-16 07:57:53	00:00:05	Failed
Reg Covered Transaction Type - Securities Borrowings and Lending	13-Dec-16 07:57:51	13-Dec-16 07:57:57	00:00:06	Failed
Reg Liq Cashflow - Inflow Assets - Forward Asset Purchases	13-Dec-16 07:57:02	13-Dec-16 07:57:08	00:00:06	Success
Reg Liq Cashflow - Inflow Assets - Unsettled Asset Purchases	13-Dec-16 07:57:06	13-Dec-16 07:57:14	00:00:08	Success
Reg Liq Cashflow - Inflow Others - Derivatives	13-Dec-16 07:57:02	13-Dec-16 07:57:09	00:00:07	Success
Reg Liq Cashflow - Inflow Secured - Collateral Swaps	13-Dec-16 07:57:53	13-Dec-16 07:57:58	00:00:05	Success
Reg Liq Cashflow - Inflow Secured - Dollar Rolls	13-Dec-16 07:57:51	13-Dec-16 07:57:54	00:00:03	Failed
Reg Liq Cashflow - Inflow Secured - Reverse Repo	13-Dec-16 07:57:11	13-Dec-16 07:57:14	00:00:03	Success
Reg Liq Cashflow - Inflow Secured - Securities Borrowings	13-Dec-16 07:57:22	13-Dec-16 07:57:25	00:00:03	Success
Reg Liq Cashflow - Inflow Unsecured - Nostro Account	13-Dec-16 07:57:02	13-Dec-16 07:57:06	00:00:04	Failed
Reg Liq Cashflow - Inflow Unsecured - Offshore Placement	13-Dec-16 07:57:02	13-Dec-16 07:57:09	00:00:07	Success
Reg Liq Cashflow - Inflow Unsecured - Onshore Placement	13-Dec-16 07:57:54	13-Dec-16 07:58:03	00:00:09	Success
Reg Liq Cashflow - Loan Book - Committed Draws	13-Dec-16 07:57:46	13-Dec-16 07:57:50	00:00:04	Success

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.

* Plan: Daily regulatory report submission plan Date: 12/13/2016 Apply Reset

00:01:15
Average Total Time
HH:MM:SS
Edit

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.

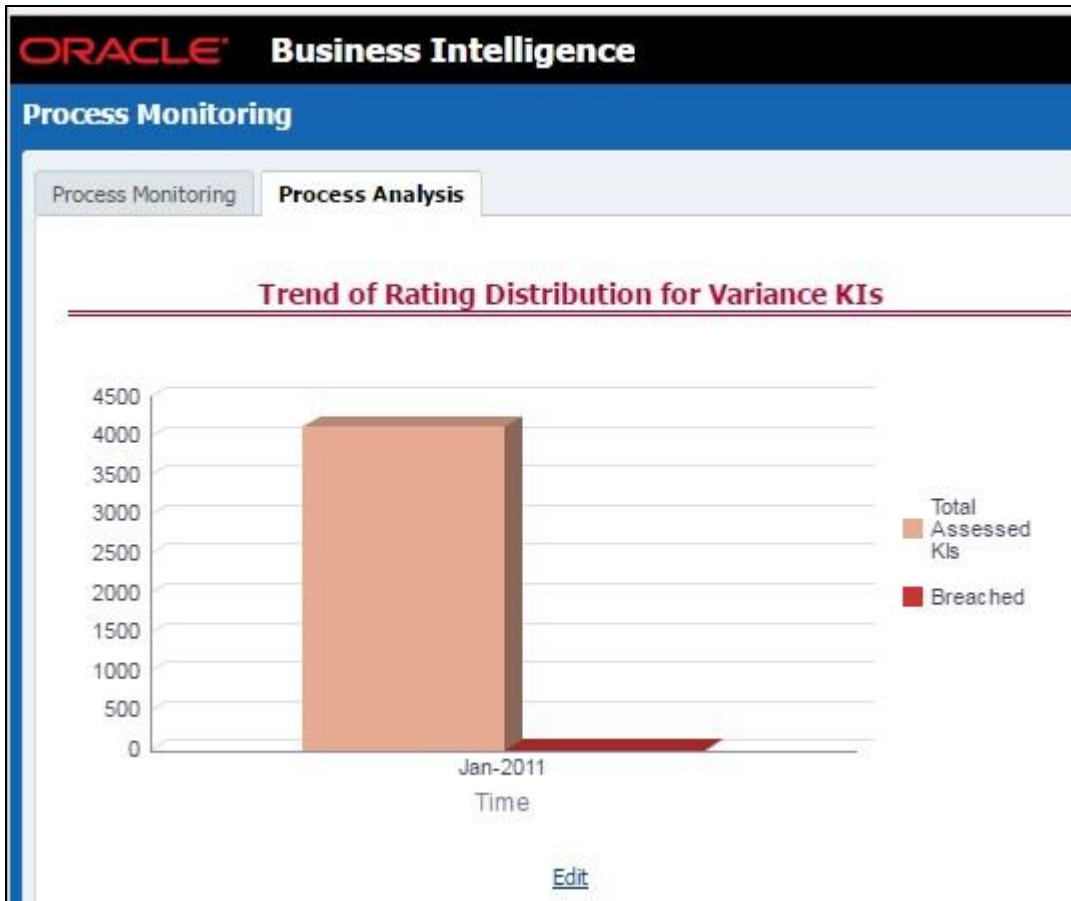
11.4.2.2 Longest Running Tasks

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

Task Name	Time Taken (HH:MM:SS)
Reg Liq Cashflow - Outflow Wholesale - Group 3	00:00:29
Reg Collateral Stock - Migrant	00:00:15
Reg Liq Cashflow - Outflow Wholesale - Group 1	00:00:15
Reg Liq Cashflow - Outflow Secured	00:00:14
Reg Liq Cashflow - Outflow Deposits - Affiliated and Sweep Accounts	00:00:13
Reg Collateral Stock - Placed	00:00:12
Reg Liq Cashflow - Outflow Wholesale - Group 2	00:00:12
Standard Central Bank	00:00:10
Reg Liq Cashflow - Inflow Unsecured - Onshore Placement	00:00:09
Reg Liq Cashflow - Inflow Assets - Unsettled Asset Purchases	00:00:08
Reg Liq Cashflow - Outflow Others - Loss of Rights - Placed	00:00:08
Reg Liq Cashflow - Outflow Others - MTV Impact	00:00:08
Reg Liq Cashflow - Suppl Info - Structured Debt	00:00:08
Reg Liq Cashflow SupplFX	00:00:08
Reg Liq Cashflow - Inflow Others - Derivatives	00:00:07
Reg Liq Cashflow - Inflow Unsecured - Offshore Placement	00:00:07

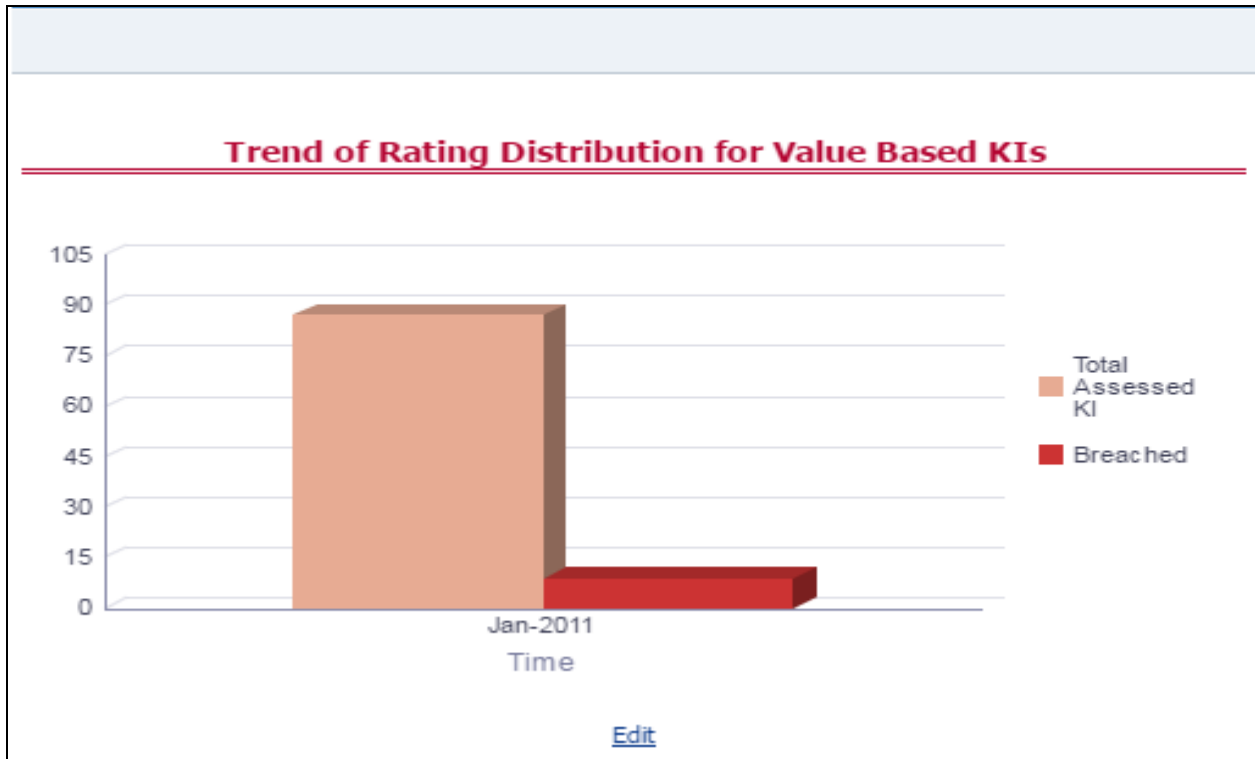
11.4.2.3 Trend of Rating Distribution for Variance KIs

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



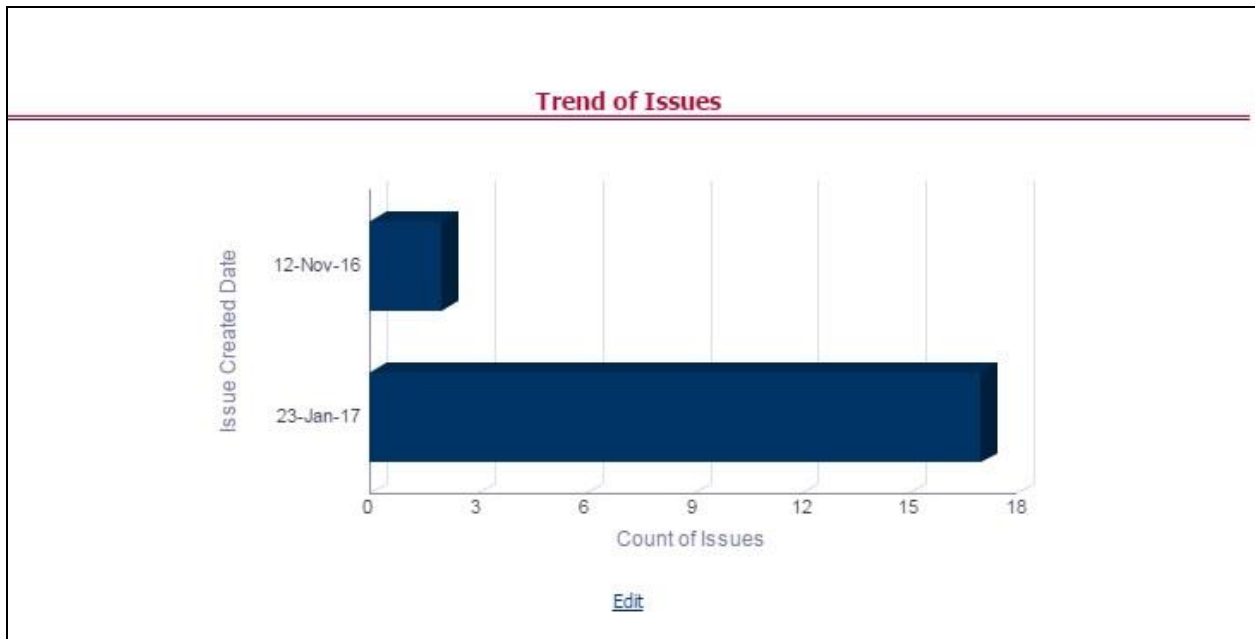
11.4.2.4 Trend of Rating Distribution for Value Based KIs

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



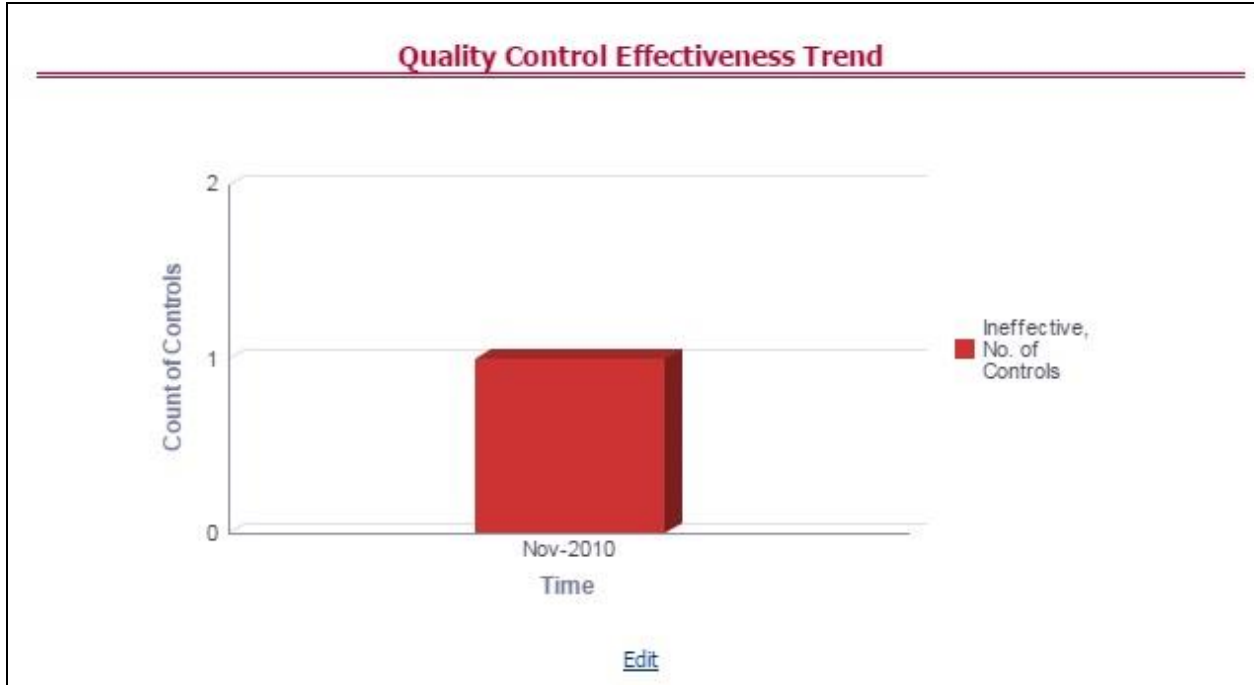
11.4.2.5 Trend of Issues

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



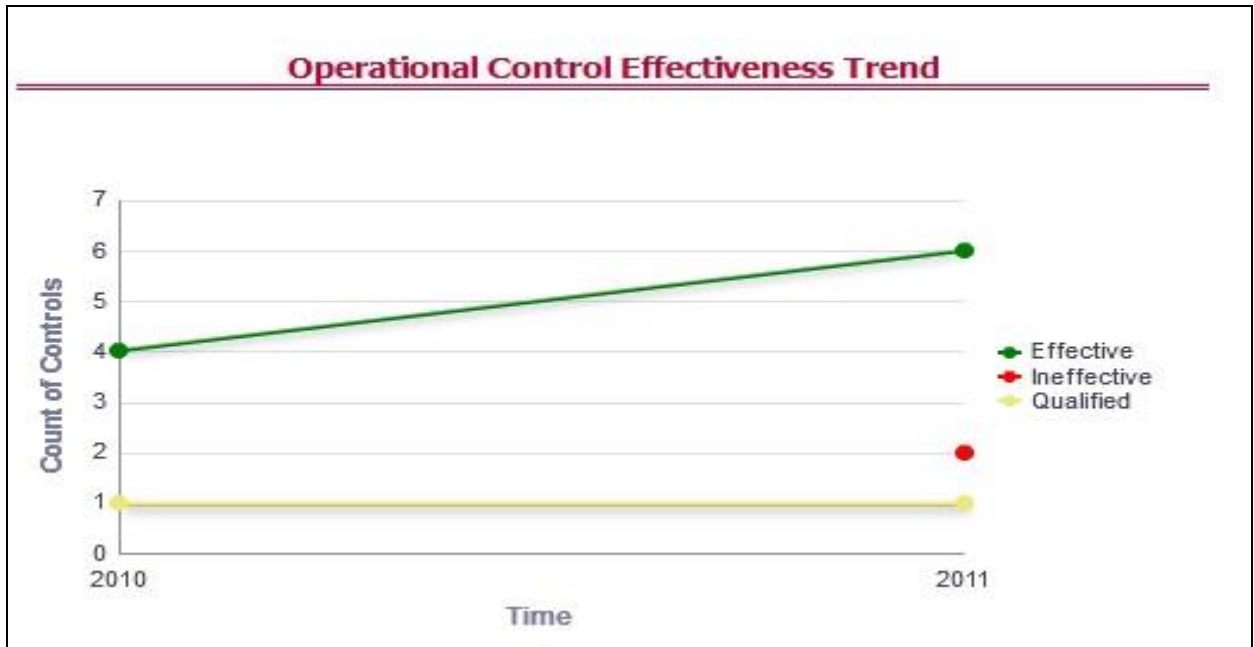
11.4.2.6 Quality Control Effectiveness Trend

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



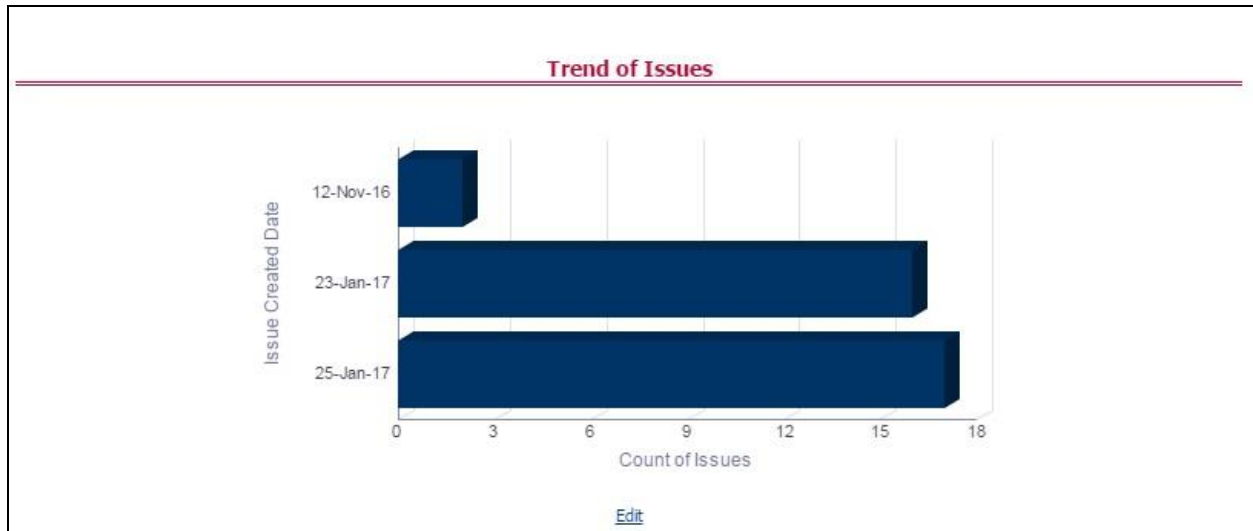
11.4.2.7 Operational Control Effectiveness Trend

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 Monitoring

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.

Plan Analysis by Report						
Report Name: FR 2052a ▾						
Schedule Name	Reporting Elements					
	Total	Without Errors	Variance Indicator breach	KI Breach	Control Failure	
FR-2052A-S.FX	0	0	0	0	0	
FR-2052A-1A	0	0	0	0	0	
FR-2052A-1O	0	0	0	0	0	
FR-2052A-1S	0	0	0	0	0	
FR-2052A-1U	0	0	0	0	4	
FR-2052A-OD	0	0	0	0	0	
FR-2052A-O5	0	0	0	0	0	
FR-2052A-OW	0	0	0	0	0	
FR-2052A-SI	0	0	0	0	2	

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

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	

- 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.

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Regulatory Report Analysis

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

Rows 1 - 25

[Return](#) - [Analyze](#) - [Edit](#) - [Refresh](#) - [Create Bookmark Link](#)

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

The screenshot shows the Oracle Business Intelligence interface for Regulatory Report Analysis. The main content area displays a table titled 'Variance Indicators' with the following data:

Variance Indicator	Owner	Report	Cell Reference	Current Value	Previous Value	Variance	Variance %	Variance % (Last period)	Status	Status (Last Period)	
Variance of 100 default	OFSAD	FFIEC101	AAG00034	1.00					●	●	
			AAGF0034	1.00					●	●	
			AAJ00034	1.00						●	●
			AAJL0034	1.00						●	●
Variance of eligible margin loans where a 300% risk-weight has been applied	OFSAD	FFIEC101	AAJ00037	1.00					●	●	
Variance of probability of default (pct) 0.00 to < 0.15	OFSAD	FFIEC101	AAF00005	1.00					●	●	
Variance of probability of default (pct) 0.15 to < 0.25	OFSAD	FFIEC101	AAF00008	1.00					●	●	

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

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Regulatory Report Analysis

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Issue Details - Variance 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
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
99899	Issue in Task - DGGCONFINFO_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 - DGGCONFINFO_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 - DGGCONFINFO_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 - DGGCONFINFO_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 - DGGCONFINFO_1479376218501_Task122	Reg Covered Transaction Type - Loans		Issue Owner	30-Jan-2017	Open				Reg Covered Transaction Type - Loans
99905	Issue in Task - DGGCONFINFO_1479376218501_Task120	Reg Covered Transaction Type - Credit Line		Issue Owner	30-Jan-2017	Open				Reg Covered Transaction Type - Credit Line
99906	Issue in Task - DGGCONFINFO_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 - DGGCONFINFO_1479376218501_Task114	Reg Trading Position Class - Customer Longs		Issue Owner	30-Jan-2017	Open				Reg Trading Position Class - Customer Longs
99908	Issue in Task - DGGCONFINFO_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 - DGGCONFINFO_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 - DGGCONFINFO_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 - DGGCONFINFO_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 - DGGCONFINFO_1479376218501_Task106	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)

The screenshot shows the Oracle Business Intelligence Regulatory Report Analysis interface. The main content area displays a table titled "Value Based Indicators" with the following data:

Name	Owner	Report	Cell Reference	Value	Status	Value(Last Period)	Status(Last Period)
Balances due from related institutions, gross in BS indicator with Balances due from related institu	User Name 1	FRY-11	BHCS1793	0.00	●		●
Cash dividends declared indicator with Stock under equity capital	User Name 1	FRY-11	BHCS4598	0.00	●		●
Dollar amount of loans and other assets in servicing portfolio indicator with Number of loans and ot	User Name 1	FRY-11	BHCSA020	0.00	●		●
Fair value under Loans that are past due 90 days or more indicator with Loans under Assets held in	User Name 1	FRY-11	BHCSF639	0.00	●		●
Net change in fair values of financial instruments accounted for under a fair value option indicator	User Name 1	FRY-11	BHCS3980	0.00	●		●
Number of loans and other assets in servicing portfolio indicator with Dollar amount of loans and ot	User Name 1	FRY-11	BHCSA019	0.00	●		●
Realized gains (losses) on securities indicator with Held to maturities or Available for Sale securi	User Name 1	FRY-11	BHCS4091	0.00	●		●
Sale, conversion, acquisition, or retirement of common stock and perpetual preferred stock indicator	User Name 1	FRY-11	BHCSA035	1.00	●		●
Trading Revenue indicator from trading assets or trading liabilities	User Name 1	FRY-11	BHCSA220	0.00	●		●
Trading assets indicator with Assets held in trading accounts	User Name 1	FRY-11	BHCSF478	1.00	●		●
Unpaid principal balance under Loans that are past due 90 days or more indicator with Loans under As	User Name 1	FRY-11	BHCSF640	0.00	●		●

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

The screenshot shows the Oracle Business Intelligence Issue Details - Value Based Indicators interface. The main content area displays a table with the following data:

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
Issue Testing 1			User Name 1	12-Nov-2016	Open					FFJEC-041	RC,RC-A
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	FRY-11	BS-M
			User Name 1	12-Nov-2016	Open						

Below the table, there are links: [Analyze](#) - [Edit](#) - [Refresh](#)

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

The screenshot shows the Oracle Business Intelligence interface for Regulatory Report Analysis. The main content area displays 'Control Details - Schedule Report' for a plan named 'Quarterly regulatory report submission plan Report : FFEEC-031' with a schedule of '30-Nov-10'. Below this, a table lists various controls with their effectiveness and data quality check results.

Control Name	Owner	Effectiveness	Cell Reference	Data Quality Checks
End Of Period Balance in End Of Period Balance	User Name 1	Ineffective	RCFD0071	Failed
			RCFD0081	Failed
			RCFD1410	Failed
			RCFD1420	Failed
			RCFD1460	Failed
			RCFD1563	Failed
			RCFD1590	Failed
			RCFD1763	Failed
			RCFD1764	Failed
			RCFD1797	Failed
			RCFD2081	Failed
			RCFD2107	Failed
			RCFD2746	Failed
			RCFD3381	Failed
			RCFD3484	Failed
			RCFD3367	Failed

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

Issue Name	Control Name	Cell Reference	Issue Owner	Target Completion Date	Issue Status	Action Name	Action Owner	Action Status	Control Report Code	Control Schedule Code
Issue Testing 1	ATM Expenses in ATM Expenses		User Name 1	12-Nov-2016	Open					
Issue Testing 2	Prepaid expenses under other Assets Null & Negative indicator		User Name 1	12-Nov-2016	Open					
Issue in Task - DGSCONFINFO_1479376218501_Task105	Reg Liq Cashflow - Outflow Others - TBA Purchases		User Name 1	12-Nov-2016	Open					
Issue in Task - DGSCONFINFO_1479376218501_Task107	Reg Liq Cashflow - Suppl Info - Sub Risk and Capacity		User Name 1	12-Nov-2016	Open					
Issue in Task - DGSCONFINFO_1479376218501_Task108	Reg Liq Cashflow - Suppl Info - Other Collateral Sub Risk and Capacity		User Name 1	12-Nov-2016	Open					
Issue in Task - DGSCONFINFO_1479376218501_Task109	Reg Liq Cashflow - Suppl Info - Client Position		User Name 1	12-Nov-2016	Open					
Issue in Task - DGSCONFINFO_1479376218501_Task110	Reg Liq Cashflow - Suppl Info - Structured Debt		User Name 1	12-Nov-2016	Open					
Issue in Task - DGSCONFINFO_1479376218501_Task114	Reg Trading Position Class - Customer Longs		User Name 1	12-Nov-2016	Open					
Issue in Task - DGSCONFINFO_1479376218501_Task115	Reg Trading Position Class - External Cash Transaction		User Name 1	12-Nov-2016	Open					

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

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

ID	DQ Check	Type	Result	Entity	Attribute
DQ95DWNJ00	The account outstanding balance at the end of the month should be greater than Cash balance	Column Reference or Specific Value Check	Failed	Stage Cards	End Of Period Balance

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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.

Plan Analysis by Report

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		FDIC-8020		FDIC-8020
> FRY-14A	9718	9278			440	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
181570	79000	OFSAD	28-Feb-2018	Open			
181692	7492677	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](#)

11.5.3 Create Action

Click **Create Action** hyperlink to navigate to the **OFSAA Create Action** page where the user can create an action.

Save Draft | Cancel

Action Name* ? ID ? 301066

Description ?

Criticality* ?

Start Date* ?

Reminder(days)* ?

Component* ? Control

Comments ?

Owner* ?

Target Date* ?

Primary Source ? Instrument Code in Stage Investments

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>
      .
      .
      .
      <AttributeName>{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>
<GROUP_FORM_CTL_ID></GROUP_FORM_CTL_ID>
<GROUP_FORM_CTL_NAME></GROUP_FORM_CTL_NAME>
<LAYOUT_TYPE>1</LAYOUT_TYPE>
<DISPLAY_ORDER>1</DISPLAY_ORDER>
<ATTRIBUTE ID="1">
  <TYPE>1</TYPE>
  <FORM_CODE></FORM_CODE>
  <CONTROL_ID></CONTROL_ID>
  <CONTROL_NAME></CONTROL_NAME>
  <OBJECT_LINK>1</OBJECT_LINK>
  <DISPLAY_ORDER>1</DISPLAY_ORDER>

<ATTRIBUTE_LOCALE_PACKAGE></ATTRIBUTE_LOCALE_PACKAGE>
  <MEMBER_CODE></MEMBER_CODE>
  <PARAM_VALUE></PARAM_VALUE>
</ATTRIBUTE>
<ATTRIBUTE ID="2">
  <TYPE>1</TYPE>
  <FORM_CODE></FORM_CODE>
  <CONTROL_ID></CONTROL_ID>
  <CONTROL_NAME></CONTROL_NAME>
  <OBJECT_LINK>1</OBJECT_LINK>
  <DISPLAY_ORDER>2</DISPLAY_ORDER>

<ATTRIBUTE_LOCALE_PACKAGE></ATTRIBUTE_LOCALE_PACKAGE>
  <MEMBER_CODE></MEMBER_CODE>
  <PARAM_VALUE></PARAM_VALUE>
</ATTRIBUTE>
<ATTRIBUTE ID="3">
  <TYPE>1</TYPE>
  <FORM_CODE></FORM_CODE>
  <CONTROL_ID></CONTROL_ID>
  <CONTROL_NAME></CONTROL_NAME>
  <OBJECT_LINK>1</OBJECT_LINK>
  <DISPLAY_ORDER>3</DISPLAY_ORDER>

<ATTRIBUTE_LOCALE_PACKAGE></ATTRIBUTE_LOCALE_PACKAGE>
  <MEMBER_CODE></MEMBER_CODE>
  <PARAM_VALUE></PARAM_VALUE>
</ATTRIBUTE>
</ATTR_GROUP>
```

```
<ATTR_GROUP ID="2">
  <FORM_CODE></FORM_CODE>
  <GROUP_FORM_CTL_ID></GROUP_FORM_CTL_ID>
  <GROUP_FORM_CTL_NAME>C</GROUP_FORM_CTL_NAME>
  <LAYOUT_TYPE>3</LAYOUT_TYPE>
  <DISPLAY_ORDER>2</DISPLAY_ORDER>
  <ATTRIBUTE ID="1">
    <TYPE>1</TYPE>
    <FORM_CODE></FORM_CODE>
    <CONTROL_ID></CONTROL_ID>
    <CONTROL_NAME>C</CONTROL_NAME>
    <OBJECT_LINK></OBJECT_LINK>
    <DISPLAY_ORDER>1</DISPLAY_ORDER>

<ATTRIBUTE_LOCALE_PACKAGE></ATTRIBUTE_LOCALE_PACKAGE>
  <MEMBER_CODE></MEMBER_CODE>
  <PARAM_VALUE></PARAM_VALUE>
</ATTRIBUTE>
<ATTRIBUTE ID="2">
  <TYPE>1</TYPE>
  <FORM_CODE></FORM_CODE>
  <CONTROL_ID></CONTROL_ID>
  <CONTROL_NAME></CONTROL_NAME>
  <OBJECT_LINK></OBJECT_LINK>
  <DISPLAY_ORDER>2</DISPLAY_ORDER>

<ATTRIBUTE_LOCALE_PACKAGE></ATTRIBUTE_LOCALE_PACKAGE>
  <MEMBER_CODE></MEMBER_CODE>
  <PARAM_VALUE></PARAM_VALUE>
</ATTRIBUTE>
</ATTR_GROUP>
<MENU ID="">
  <MENU_TYPE>MDB_OBJECT_VIEW</MENU_TYPE>
  <PARENT_MENU_ID></PARENT_MENU_ID>
  <DEFAULT_LABEL></DEFAULT_LABEL>
  <USER_PRIVILEGES></USER_PRIVILEGES>
  <GROUPING_REQUIRED>N</GROUPING_REQUIRED>
</MENU>
</OBJECT>
```

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:

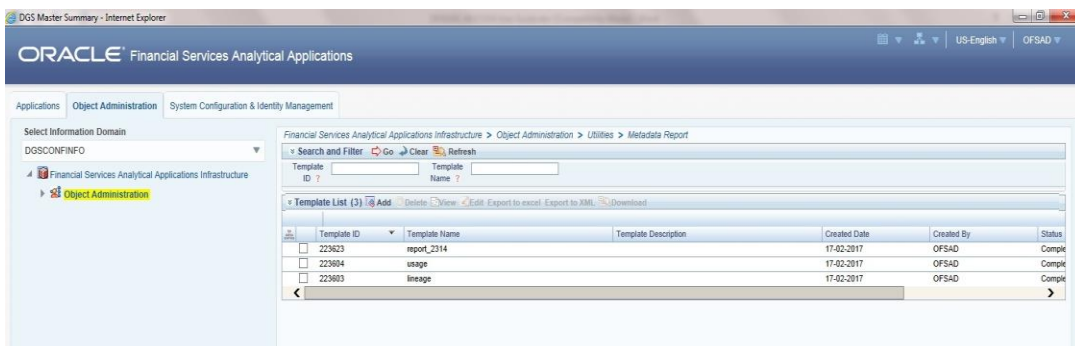
1. **MDB Publish:** Execute the batch, **INFODOM_MDB**
Logs: MDB logs are generated under deployed area
/Context_Name/logs/MDB_XXXX.log
2. **Data Elements Wrapper:** Execute the batch, **INFODOM_POP_DATA_ELEMENTS_USFED**
Logs: Data Elements logs are generated in atomic schema under
FSI_MESSAGE_LOGS table.

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

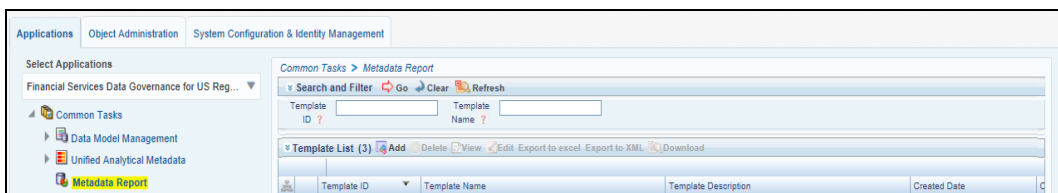
13.2 Creating and Exporting Metadata Report Templates

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

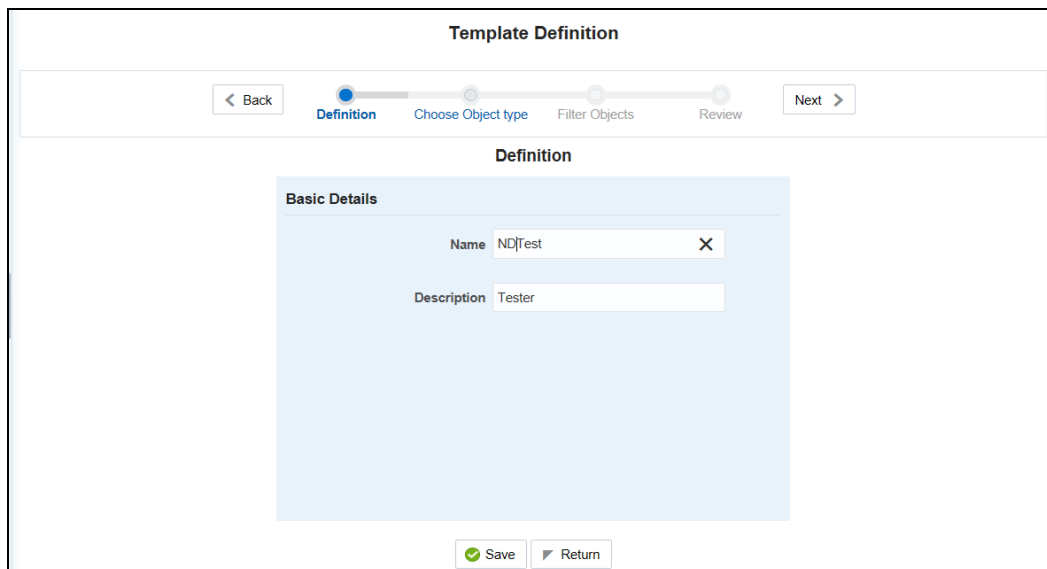
1. Navigate to **Object Administration** → **Utilities** → **Metadata Report**.



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**.



The screenshot displays the 'Template Definition' interface. At the top, a progress bar shows four steps: 'Definition' (active), 'Choose Object type', 'Filter Objects', and 'Review'. Below the progress bar, the 'Definition' section is highlighted. It contains a 'Basic Details' panel with two input fields: 'Name' (containing 'NDTest') and 'Description' (containing 'Tester'). At the bottom of the panel, there are 'Save' and 'Return' buttons.

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**.

Financial Services Analytical Applications Infrastructure > Object Administration > Utilities > Metadata Report

Template Definition

< Back Definition **Choose Object ty...** Filter Objects Review Next >

Choose Object type

Object Types

Choose

Export Options

Dependencies

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						

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

Financial Services Analytical Applications Infrastructure > Object Administration > Utilities > Metadata Report

Template Definition

< Back Definition **Choose Object ty...** Filter Objects Review Next >

Choose Object type

Object Types

Choose

Export Options

Dependencies

Data Lineage

The exported sample report for Relational is as follows:

	A	B	C	D	E	F	G	H	I	J	K
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											

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.

User Guide: Oracle Financial Services Data Governance for US Regulatory Reporting Release 8.0.4.0.0

A	B	C	D	E	F	G	H	I	J
DASHBOARD_NAME	DASHBOARD_DESC	DASHBOARD_COUNTRY	DASHBOARD_REGULATOR	REPORT_NAME	REPORT_DESC	VIEWS_NAME	VIEWS_DESC	VIEW_DISPLAY_FORMAT	HIERARCHY_NAME
1	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	FRS - Reported at Fair Value Flag
2	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
3	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	FRS - Fair Value RCT ¹ Hierarchy
4	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
5	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
6	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
7	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
8	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
9	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
10	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
11	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
12	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
13	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
14	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
15	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
16	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
17	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
18	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
19	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
20	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
21	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
22	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
23	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
24	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
25	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
26	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
27	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
28	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
29	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
30	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
31	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
32	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
33	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
34	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
35	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
36	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
37	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
38	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:

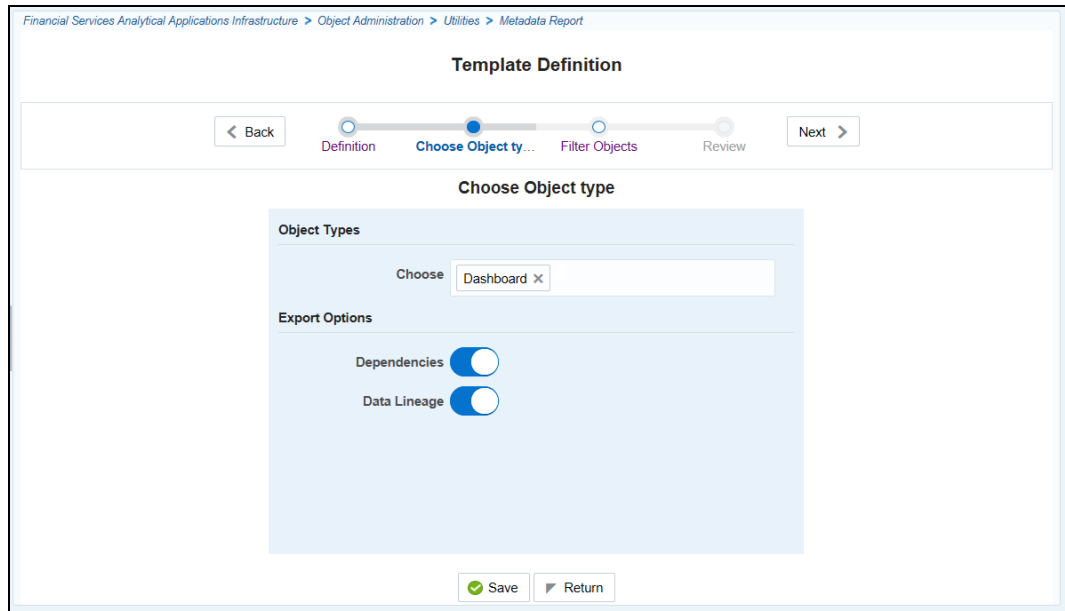
Path Name	Usage
1 Path1	Columns > Hierarchy > View > Report >Dashboard >
2 Path2	Columns > Measure > Derived Entity > View > Report >Dashboard >
3 Path3	Columns > Hierarchy > Derived Entity > View > Report >Dashboard >
4 Path4	Columns > Measure > Business Processor > Derived Entity > View > Report >Dashboard >
5 Path5	Columns > Measure > Reporting Element > View > Report >Dashboard >
6 Path6	Columns > Hierarchy > Reporting Element > View > Report >Dashboard >
7 Path7	Columns > Measure > Derived Entity > Reporting Element > View > Report >Dashboard >
8 Path8	Columns > Hierarchy > Reporting Element > View > Report >Dashboard >
9 Path9	Columns > Measure > Business Processor > Reporting Element > View > Report >Dashboard >
10 Path10	Columns > Measure > Business Processor > Reporting Element > View > Report >Dashboard >

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

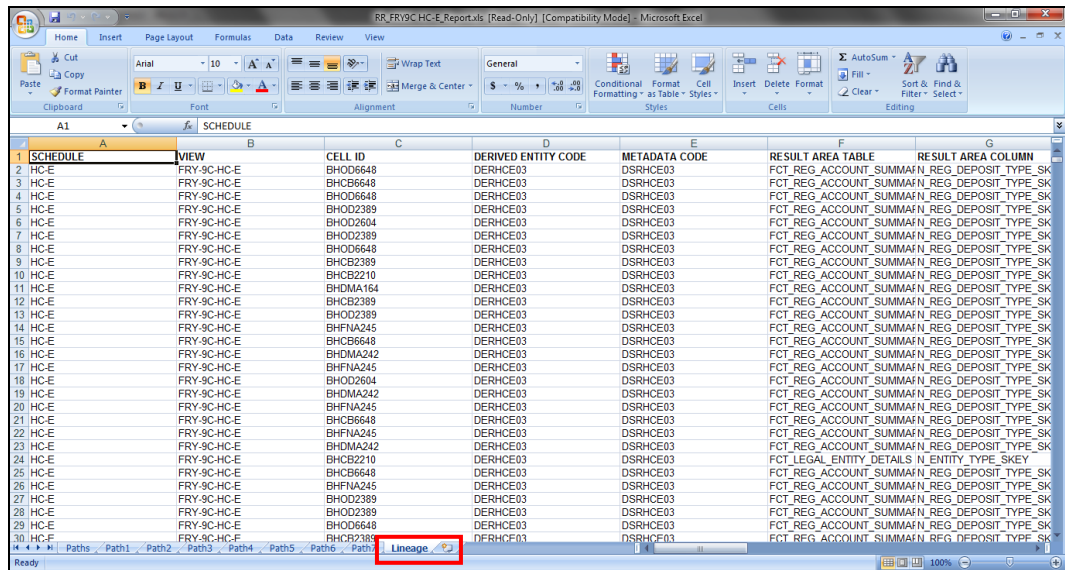
COLUMNS_NAME	COLUMNS_DESC	COLUMNS_PHYSICAL_COL_ID	HIERARCHY_NAME	HIERARCHY_DESC	HIER_TYPE	HIER_MULTI_DIM	PROPERTY	HIER_TOTAL	REG	VIEWS_NAME
1 Transaction Account Flag	Indicates if said account is consiste	FCT_DEPOSITS_BORROWINGS F	Trans Account Flag Hierarchy	Hierarchy for Trans Account Flag	BI	REGULAR	Yes	FFEC-031-RC-E	Yes	FFEC-031-RC-E
2 Repurchased or Indemified Flag	Indicates if the said account is Rep	FCT_LOAN_ACCOUNT_SUMMARY	Repurchased or Indemified Flag	Repurchased or Indemified Flag	BI	REGULAR	Yes	FFEC-041-RC-P	Yes	FFEC-041-RC-P
3 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	Yes	FRY-9C-HC-C
4 Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag	BI	REGULAR	Yes	FFEC-041-RC-O	Yes	FFEC-041-RC-O
5 Negative Amortization Flag	This column stores if loan has nega	FCT_LOAN_ACCOUNT_SUMMARY	Negative Amortization Flag	Negative Amortization Flag	BI	REGULAR	Yes	FFEC-031-RC-C	Yes	FFEC-031-RC-C
6 Mortgage Broker Surrogate Key	This stores unique identifier for th	FCT_LOAN_ACCOUNT_SUMMARY	Broker Skel Hierarchy	Broker Skel Hierarchy	BI	REGULAR	Yes	FFEC-031-RC-P	Yes	FFEC-031-RC-P
7 Cleared Transaction Flag	This column stores if particular tra	FCT_REG_ACCOUNT_SUMMARY	Cleared Transaction Flag	Cleared Transaction Flag	BI	REGULAR	Yes	FFEC-031-RC-Part II	Yes	FFEC-031-RC-Part II
8 Cleared Transaction Flag	This column stores if particular tra	FCT_REG_ACCOUNT_SUMMARY	Cleared Transaction Flag	Cleared Transaction Flag	BI	REGULAR	Yes	FRY-15-D	Yes	FRY-15-D
9 Mark To Market Value In Report	This stores the mark to market val	FCT_REG_ACCOUNT_SUMMARY	Mtm Value-FRAS Hierarchy	Hierarchy Mtm Value-FRAS	BI	REGULAR	Yes	FRY-15-B	Yes	FRY-15-B
10 Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borrow	Broker Hierarchy Deposit Borrow	BI	REGULAR	Yes	FFEC-031-RC-E	Yes	FFEC-031-RC-E
11 Callable Deposit Indicator	Indicates if said deposit can be call	FCT_DEPOSITS_BORROWINGS F	Deposit Option Indicator	Deposit Option Indicator	BI	REGULAR	Yes	FFEC-031-RC-E	Yes	FFEC-031-RC-E
12 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	FFEC-031-RC-O	Yes	FFEC-031-RC-O
13 Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag	BI	REGULAR	Yes	FRY-9C-HC-C	Yes	FRY-9C-HC-C
14 Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag	BI	REGULAR	Yes	FFEC-041-RC-C	Yes	FFEC-041-RC-C
15 Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag	BI	REGULAR	Yes	FFEC-031-RC-O	Yes	FFEC-031-RC-O
16 Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag	BI	REGULAR	Yes	FFEC-041-RC-O	Yes	FFEC-041-RC-O
17 Negative Amortization Flag	This column stores if loan has nega	FCT_LOAN_ACCOUNT_SUMMARY	Negative Amortization Flag	Negative Amortization Flag	BI	REGULAR	Yes	FFEC-041-RC-Part II	Yes	FFEC-041-RC-Part II
18 Cleared Transaction Flag	This column stores if particular tra	FCT_REG_ACCOUNT_SUMMARY	Cleared Transaction Flag	Cleared Transaction Flag	BI	REGULAR	Yes	FRY-15-D	Yes	FRY-15-D
19 Mark To Market Value In Report	This stores the mark to market val	FCT_REG_ACCOUNT_SUMMARY	Mtm Value-FRAS Hierarchy	Hierarchy Mtm Value-FRAS	BI	REGULAR	Yes	FRY-15-B	Yes	FRY-15-B
20 Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borrow	Broker Hierarchy Deposit Borrow	BI	REGULAR	Yes	FFEC-041-RC-E	Yes	FFEC-041-RC-E
21 Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag	BI	REGULAR	Yes	FRY-9C-HC-C	Yes	FRY-9C-HC-C
22 Mortgage Broker Surrogate Key	This stores unique identifier for the	FCT_LOAN_ACCOUNT_SUMMARY	Broker Skel Hierarchy	Broker Skel Hierarchy	BI	REGULAR	Yes	FRY-9C-HC-P	Yes	FRY-9C-HC-P
23 Mortgage Broker Surrogate Key	This stores unique identifier for the	FCT_LOAN_ACCOUNT_SUMMARY	Broker Skel Hierarchy	Broker Skel Hierarchy	BI	REGULAR	Yes	FFEC-099-C Part II	Yes	FFEC-099-C Part II
24 Claim Local Currency code	Refers to the Local currency code	FFCT_REG_ACCOUNT_SUMMARY	Currency Code Comparison	Currency Code Comparison	BI	REGULAR	Yes	FFEC-099-C Part II	Yes	FFEC-099-C Part II
25 Cross Border Claim indicator	Indicates if said claim is cross bor	FCT_REG_ACCOUNT_SUMMARY	Cross Border Claim Hierarchy	Cross Border Claim Hierarchy	BI	REGULAR	Yes	FFEC-099-C Part II	Yes	FFEC-099-C Part II
26 Transaction Account Flag	Indicates if said account is consist	FCT_DEPOSITS_BORROWINGS F	Trans Account Flag Hierarchy	Hierarchy for Trans Account Flag	BI	REGULAR	Yes	FRY-9C-HC-E	Yes	FRY-9C-HC-E
27 Deposit Call Exercised Indicator	This Column Stores the Deposit Ca	FCT_DEPOSITS_BORROWINGS F	Next Open Flag Deposit Borrow	Next Open Flag Deposit Borrow	BI	REGULAR	Yes	FFEC-031-RC-E	Yes	FFEC-031-RC-E
28 Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag	BI	REGULAR	Yes	FRY7N-BS-A	Yes	FRY7N-BS-A
29 Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag	BI	REGULAR	Yes	FRY-11-BS-A	Yes	FRY-11-BS-A
30 Recourse to General Credit	This stores the recourse to general	FCT_REG_ACCOUNT_SUMMARY	Recourse to General Credit	Recourse to General Credit	BI	REGULAR	Yes	FFEC-041-RC-V	Yes	FFEC-041-RC-V
31 Contractual Maturity in Days	This column stores the original mat	FCT_REG_ACCOUNT_SUMMARY	Contractual Maturity Term	Contractual Maturity Term	BI	REGULAR	Yes	FFEC-041-RC-Part II	Yes	FFEC-041-RC-Part II
32 Nettable Pool Surrogate Key	This column stores the reference to	FCT_REG_ACCOUNT_SUMMARY	Nettable Pool Surrogate Key	Nettable Pool Surrogate Key	BI	REGULAR	Yes	FRY-9C-HC-M	Yes	FRY-9C-HC-M
33 Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borrow	Broker Hierarchy Deposit Borrow	BI	REGULAR	Yes	FRY-9C-HC-P	Yes	FRY-9C-HC-P
34 Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borrow	Broker Hierarchy Deposit Borrow	BI	REGULAR	Yes	FFEC-031-RC-O	Yes	FFEC-031-RC-O
35 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	FFEC-041-RC-E	Yes	FFEC-041-RC-E
36 Deposit Listing Service Provider	This Column Stores the unique id	FCT_DEPOSITS_BORROWINGS N	Deposit List Skel Hierarchy	Deposit List Skel Hierarchy	BI	REGULAR	Yes	FFEC-041-RC-E	Yes	FFEC-041-RC-E
37 Dependent on Data Provider	This column stores the data provi	FCT_DEPOSITS_BORROWINGS N	Dependent on Data Provider	Dependent on Data Provider	BI	REGULAR	Yes	FFEC-041-RC-E	Yes	FFEC-041-RC-E

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

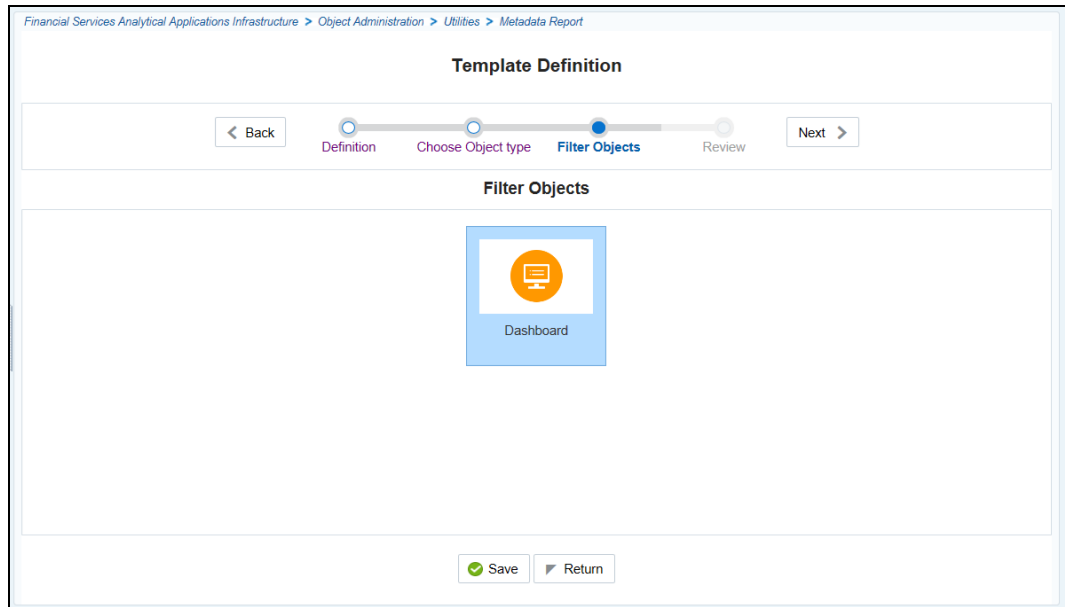
NOTE: Data Lineage can be selected only if Dependencies is opted.





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.

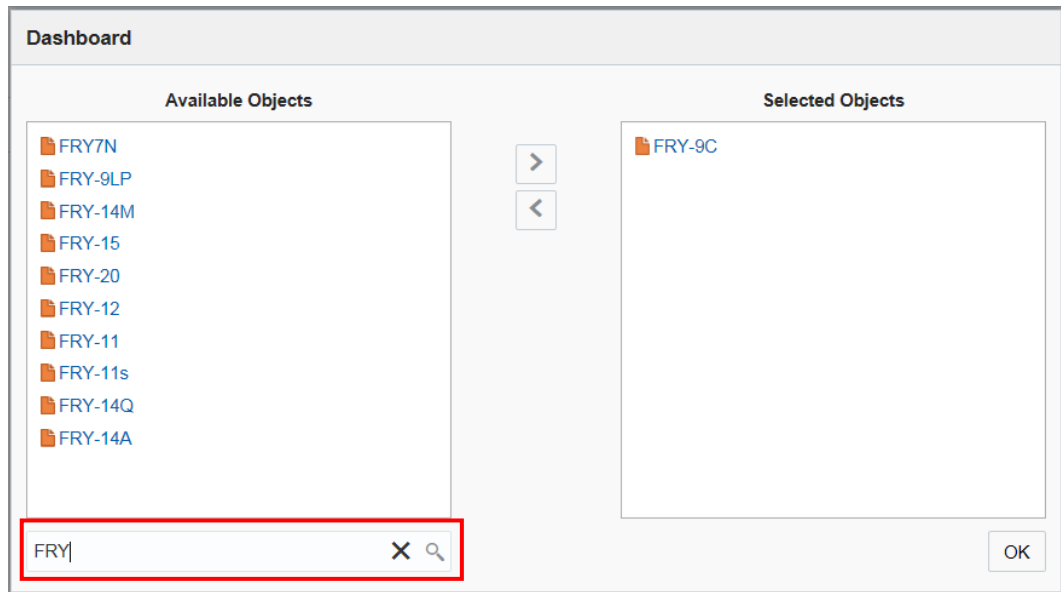


6. Select one **Filter Object** from the **Available Objects** and click  to add a **Selected Object**. Select one **Selected Object** from the **Available Objects** and click  to remove a **Filter Object**.

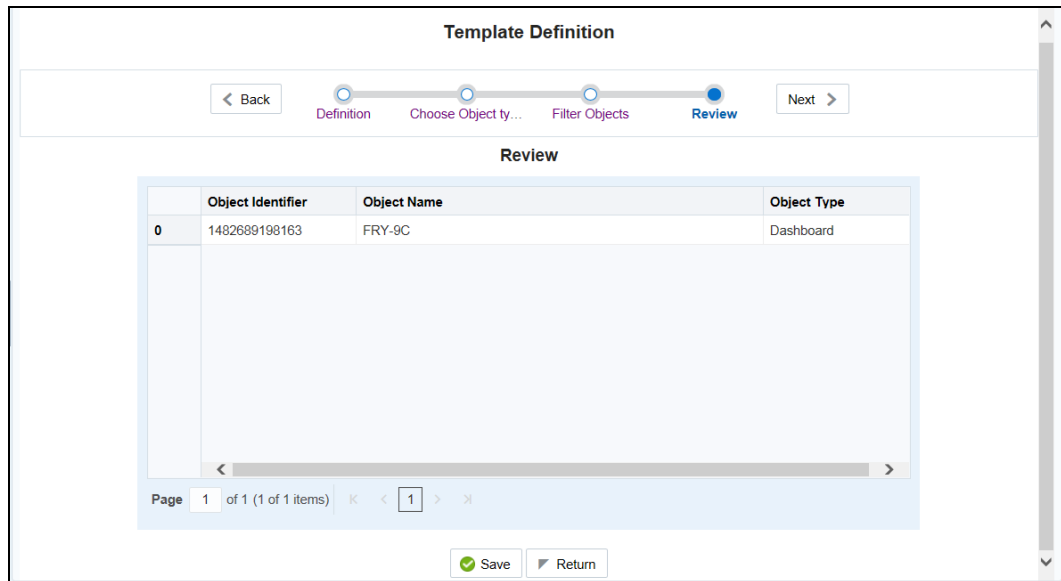


When the object list is huge, use the Search option as shown above. Type first three letters of the Filter Object name and the relevant Filter Objects will be displayed.

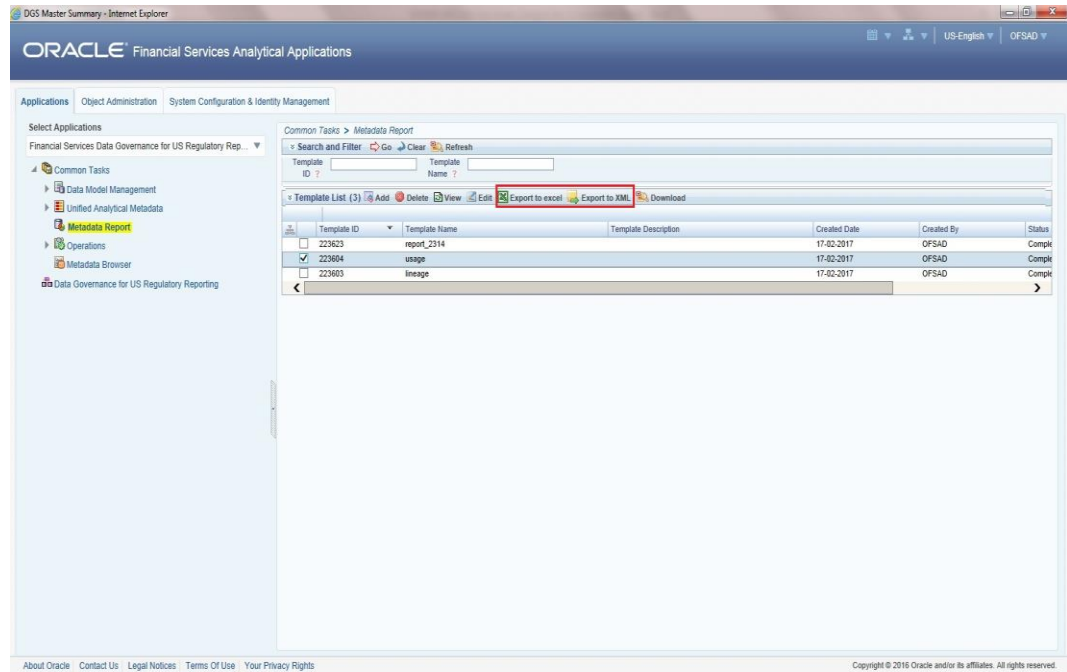
NOTE: You can type the complete Filter Object name to select and add to the Selected Objects.



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



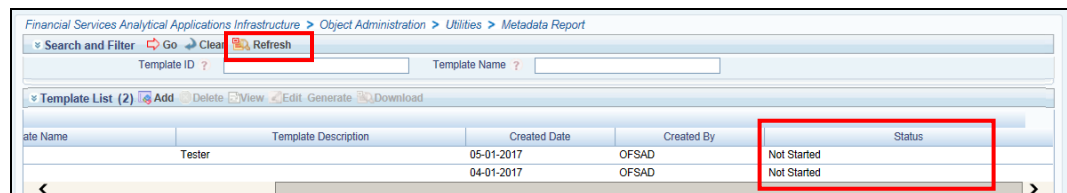
8. Click **Return** to go to the **Summary** page.
9. Select a **Template** in the **Template List** in **Summary** screen and click **Export to excel** or **Export to XML** to export the desired objects in Excel Sheet and XML format.



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.

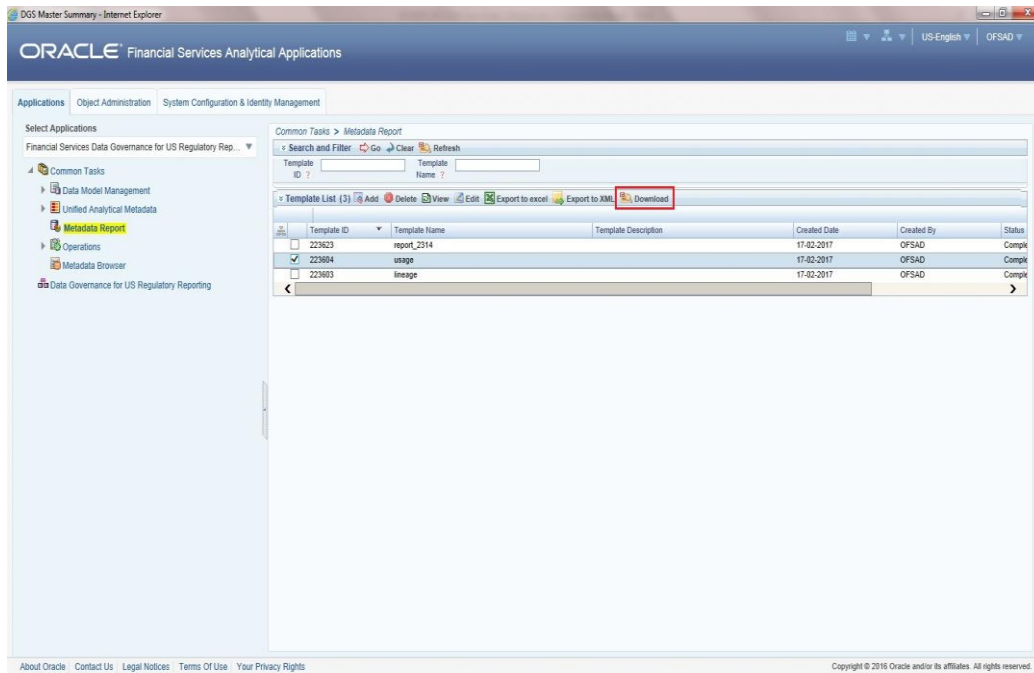
NOTE: The export logs are generated and placed in the path
/Context_Name/logs/MDB_XXXX.log.

- 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:

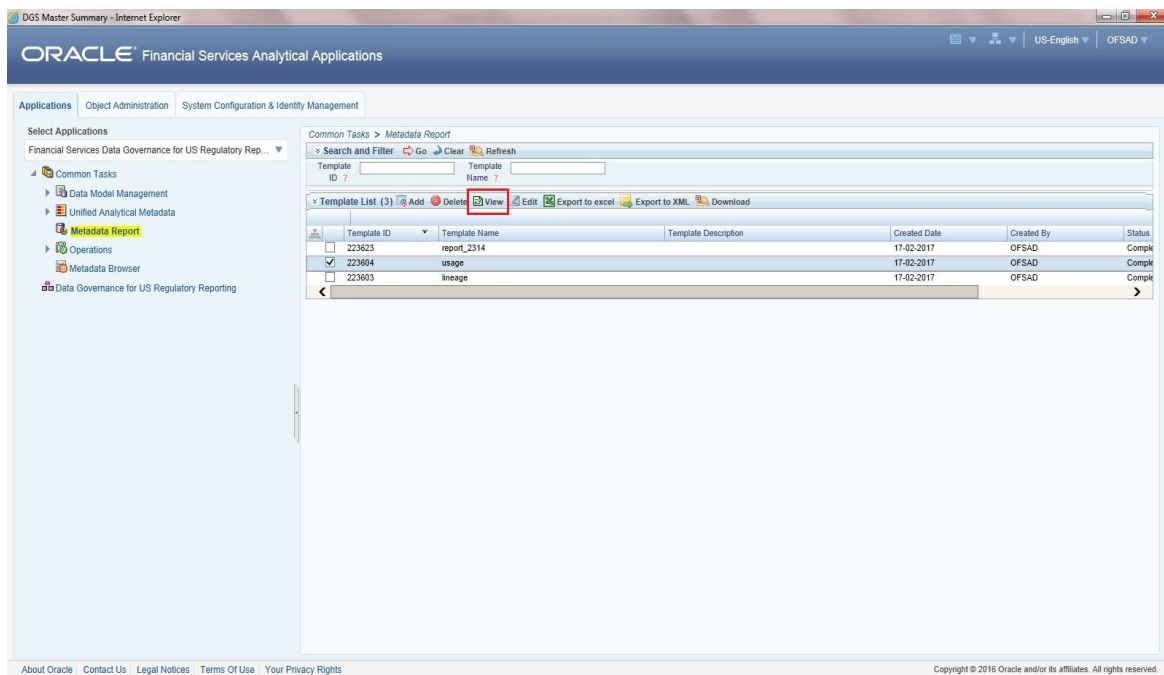
The following user groups are pre-seeded in the component that helps user to get access to the Metadata Report Extract screen.

- 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).

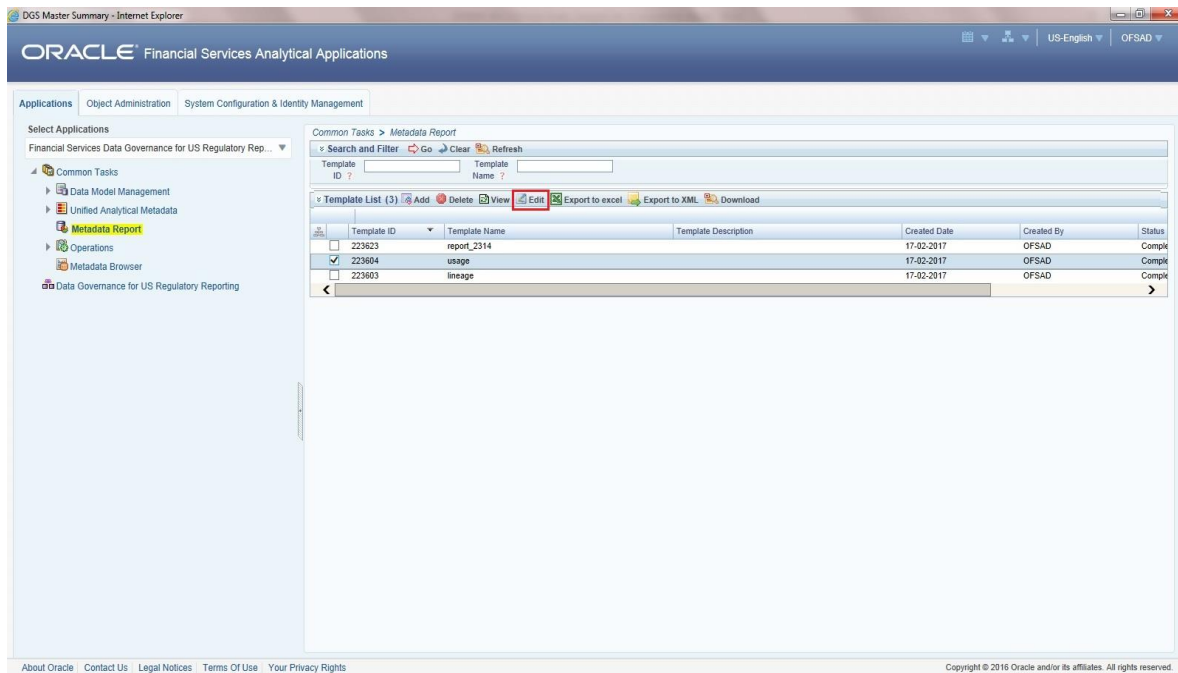


NOTE: The Metadata Report Templates excel report is opened in view-only mode.

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).

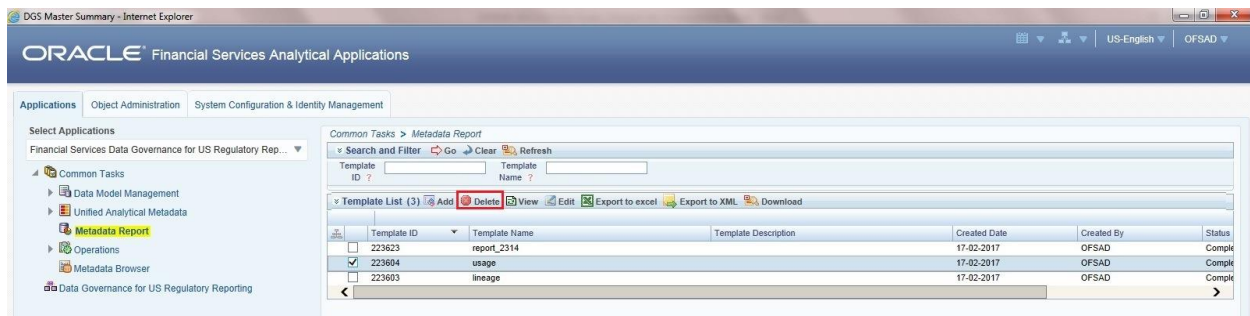


NOTE: Pre-defined Seeded Metadata Report Templates cannot be edited.

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.

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
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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 ( Create Workflow) 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? 1 - Yes/ 0 – No	NUMBER	1	Yes
N_KBD_2_REQD	Is Key Business	NUMBER	1	Yes

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