Oracle Financial Services Data Governance for US Regulatory Reporting

User Guide

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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
- <u>Access to Oracle Support</u>
- 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 8.0.5.0.0 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

DOCUMENTATION ACCESSIBILITY

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RELATED INFORMATION SOURCES

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

- Oracle Financial Services Data Management Installation Manual Release 8.0.5.0.0 (OHC)
- Oracle Financial Services Analytical Applications Reconciliation Framework User Guide, Release 8.0.5.0.0 (<u>OHC</u>)
- Oracle Financial Services Data Foundation Installation Guide 8.0.5.0.0 (OHC)



 Oracle Financial Services Analytical Applications Infrastructure User Guide, Release 8.0.5.0.0 (<u>OHC</u>)



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

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

This chapter includes the following topics:

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

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

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

1.2 Oracle Financial Services Analytical Applications Solution for BCBS 239 Regulations

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

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



Following table describes the 14 principles of BCBS 239:

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



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



BCBS Principle Category: Supervisory Review, Tools and Cooperation				
BCBS 239 Principle	Description	OFSA Application Catering to the Principle		
Principle 12: Review	 Supervisors should: 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: 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 ever data element and monitors effectiveness of controls.
- Monitors all key metrics, trends, and variances on data elements.
- Defines, maintains, and tracks regulatory report submissions.
- Completes data quality dashboards.



2 Components of Data Governance for US Regulatory Reporting

The components of DGUSRR are listed as follows:

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



3 DGUSRR Application and Common Functionalities

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

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

This chapter has the following sections:

- Logging in to OFS DGUSRR Application
- <u>Common Functionalities</u>
- 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.

I Services Analytical Applications	
Language US-English User ID Password Login Versun 8.01.02 Cpyright © 1993, 2015 Oracle and/or is a filiables. All rights reserved.	

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.

	E Data Governance for US Reg	gulatory Reporting		glmcrea	tor Thursday, November	10, 2016 🔄 <u>About</u>	Logout
idards & Policie	IS .						
агу							🕐 He
Search and Filte	er 📫 Go 🛛 🌙 Clear						
	ID ?	Name ?					
Glossary (3)	🐼 Add 🔘 Delete 🔣 Export						
ID	Name		Created By	Created Date	Modified By	Modified Date	
<u>50988</u>	Glossary reject		DGSUSER	10-11-2016	GLMAPPROVER1	10-11-2016	
50803	Glossary test		DGSUSER	10-11-2016	GLMAPPROVER1	10-11-2016	
11593	OFSAA Glossary		DGSUSER	22-01-2016	DGSUSER	22-01-2016	

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 <u>Managing Search and List page</u> 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} Ħ	Section Expand	This button is present in some sections of the Details page. Click this button to expand a section and display the fields.
ο _{or} Ε	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.
2	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.
8	Delete	Click this button to delete record.
Delink	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.
≣ <mark>×</mark>	Reject	Click this button to reject a record.



Ð	Link	Click this button to link records
Close	Close	Click this button to close a page or window.
	Difference	Click this button to view the difference

3.4 Managing OFSDGUSRR

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

This section discusses the following topics:

- Managing Inbox
- Managing Search and List Page
- <u>Managing Details Page</u>

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:

- <u>Searching Inbox</u>
- Reassigning Tasks

box Controls	Key Indicators	Process Monitoring	Issues & Actions	Admin							
x											?
Search 🌙 Clea	ar 🛛 📫 Go										
Open Tasks	Completed Tasks	Notifications	Reassigned Tasks								
🗄 Inbox (1) 🧆	Reassign 💹		Entity Nan	lê	Status	Due Date	Overdue By	Received On	Flag	Entity Type	
12748	12729-Issue Ide	ntified - New issued a	ssig 💌 test1		Open			19/10/2015		Issues	

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.

ibox - Internet Explor	rer	- 0
RACLE	Data Governance for US Regulatory Reporting	dgissasr Thursday, November 10, 2016 🚰 OFSAA 📑 About 🛃 Logout
ox Issues & Act	tions	
		? Hell
Search 🍦 Clear	I 📫 Go	
Open Tasks	Completed Tasks Notifications Reassigned Tasks	
Inbox (1) 🐝 R	Reassign 1	
Task ID	Ø Re-assign Task - Internet Explorer	- X Received On Flag Entity Type
✓ <u>51373</u>	Role ? DGS Issue Owner Re- Assign	To* ?
	Submit Back	

- 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:

- <u>Components of Search and List Page</u>
- 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:

Inbox Controls Key Indic	ators Process Monitoring Is	sues & Actions Admi	n								
Issues											🕐 Help
🖃 Search 🛛 🌙 Clear 🛛 🖨 G	0										
ID ?			N	lame ?							
Issue Category ?		~	Compo	nent ?			🎽		Criticality ?	•	 Image: A set of the set of the
Priority ?		~	Cre	eator ?			🎽		Owner ?		2
Target Date ?	×	1	Last Modified F	rom ?			2	Last N	lodified To ?		2
Status ?		*									
Issues (6)											
	ssue 🖓 Close Issue 🖨 Reop	pen Issue 🍙 Transfer	Ownership 🔀 Exp	ort 🛛 🔯							
🖧 ID Name		Component	Issue Category	Actions	Creator	Owner	Target Date	Status	Last Modified		
□ <u>12759</u> test2		Key Indicators		Q	dgissapr	dgsuser	30-Oct-2015	Draft	19-Oct-2015		
12729 test1		Key Indicators		<u>0</u>	dgissapr	dgsuser	30-Oct-2015	Open	19-Oct-2015		

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.

🧟 Field Chooser - Internet Explor	er 🗖 🗖 🗶
AutoFit	<u> </u>
Columns	Control Width
Task ID	90
✓ Task Name	280
Entity Name	300
✓ Status	130
✓ Due Date	100
✓ Overdue By	90
OK Cancel	Save

- 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.

1/26 < | < | > | >>

- 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 **K** 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.

Export Details		_
Select Form Data/ Grid Data :	Form Data	Y
Include Mapper Information :		
Include Search Information :		
Document Type :	Word	Y
Template :	General Word Template	Y
Display Form Name :	● Yes ◯ No	

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.



File Dow	mload 🔀
Do you	want to open or save this file?
	Name: AJAXServlet.xls Type: Microsoft Office Excel 97-2003 Worksheet From: 10.184.135.227
💌 Alwa	Open Save Cancel
0	While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. <u>What's the risk?</u>

 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.

O Yes 💿 No

- 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.

Image: 1 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24	 ♦ October ♦ ♦ 2015 ♦ 							
4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24	Sun	Mon	Tue	Wed	Thu	Fri	Sat	
11 12 13 14 15 16 17 18 19 20 21 22 23 24					1	2	3	
18 19 20 21 22 23 24	4	5	6	7	8	9	10	
	11	12	13	14	15	16	17	
25 26 27 28 29 30 31	18	19	20	21	22	23	24	
	25	26	27	28	29	30	31	
Clo							Close	

 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.

Issue Category	?		~
		sification of the Issue.	
Criticality*	0		✓

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.



Sea	rch using pre-defined views	
Issue Category	?	2
Priority	?	
Target Date	?	2

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.

🛨 Controls (0) | 🖸 Link | 🔟 Delink | 💹

🛨 Key Indicators (0) | ⊡ Link | 💷 Delink | 📜

- 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:

- <u>Attaching a Document</u>
- 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.

Attach Documents - Internet	xplorer	
Component* ?	Issues	^
Type* 🕐 Logical File Name	✓	
Choose a file*	Browse	
	Cancel	>

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.



Туре	Select the type of file from the following options in the drop-down list:				
	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.
- 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.



	nce for US Regulatory Reporting	
Glossary		
Glossary >> Glossary Details		
Glossary Details		 ID* 18016
Glossary Definition*		

- 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**.



遵 Glossary Master Details - Internet	Explorer			-	□ ×
	Governance for US Regulatory Reporting		gimapprover1 Thursday, November 10, 2016	About	Logout
Standards & Policies					
Glossary >> Glossary Details				Status:	Pending Approval
Glossary Details					
Glossary Name*	Glossary reject	ID* 50988	🖬 Approve 🔤 Reject		
Glossary Definition*	Glossary reject				
Reason for Approval/Rejection*					
javascript:					یر ۱۵۵% 💌 👷

- 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**.



🥔 Glossary Master Details - Internet	Explorer			– 🗆 ×
	Sovernance for US Regulatory Reporting		glmapprover1 Thursday, November 10, 2016	📄 About 🏾 🌆 Logout
Standards & Policies				
<u>Glossary</u> >> Glossary Details				Status: Pending Approval
Glossary Details				
Glossary Name*	Glossary reject	ID* 50988	📓 Approve 🛛 🖾 Reject	
Glossary Definition*	Glossary reject			
Reason for Approval/Rejection*				
avascript:				۹ 100% 💌

- 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.

	ata Governance for US Regulatory Received a classical controls Key Indicators Process		tions Admin			OFSAD Tuesday, August 8, 2017	🕋 OFSAA 🗟 About 🐔 Logout
Glossary	controla Rey Indicatora Procesa	inonitoring lastes & Ac					? Help
Search and Filter	io I 🕹 Clear						
ID			Name ?				
🗄 Glossary (1) 🗔 Add	Delete Export						
uffa ID	Name	Created By	Created Date 💌	Modified By	Modified Date	Status	
11593	OFSAA Glossary	OFSAD	22-01-2016	OFSAD	22-01-2016	New	
			184.155.225:2233/OFSAAI1 Export Details	/export_properties_std	Jahrung		
			Select Form Data/ Grid Data :		¥		
			nclude Mapper Information :				
			Include Search Information : Document Type :				
				General Word Template			
			Display Form Name :	Yes No			
			Export	Cancel			





- 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.

		Glos	ssary Master Sur	mmary		
lossary						
lossary ID	Name	Created By	Created Date	Modified By	Modified Date	Status



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 ast	erisk(*) are mandatory
D	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
Annotate	information on Business Term
Konwordo	Provide the keywords used to search the
Keywords	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
Childal Dala Element	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.

Glossary Details - Internet Explorer		- 🗆 ×
ORACLE [®] Data G	overnance for US Regulatory Reporting gitcreator Thursday, November 10, 2016	🔄 About
Standards & Policies		
Business Terms >> Business Term		? Help Status: New
		Status: New
Business Term Term Usa	ge	
📓 Save Draft 🕴 🎬 Cancel		^
Name*	ID* 51675	
Definition		
Glossary*	V	
Annotate		
Keywords		
Subject Area*	V	
Source*	✓ Critical Data Element ○Yes No	~
		€ 100% ▼

- 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.

🧯 Glossary Details - Internet Explorer	Act Le* Data Governance for US Regulatory Reporting ds & Policies Terms >> Business Term Terms thage Keywords Subject Area* Domain* Critical Data Element Yes< Image Image Image Image Subject Area* Critical Data Element Yes Image Image			
	overnance for US Regulatory Re	porting	gltcreator Thursday, November 10, 2016	🔄 About <u>About</u>
Standards & Policies				
Business Terms >> Business Terr	n			
Business Term Term Us	age		1	
Keywords				^
Subject Area			1	
	· · · · ·	Critical Data Element Yes No		
Domain*	✓			
	nk 丨 🔘 Delink			
	e	Glossary		
No Data Found				
🗆 List of Values ⊡ Add 🗏 🔘 De	elete			
🕺 🔲 List of Value				
No Data Found				
-				• •
				€ 100% ▼

- 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.



	Governance for US Regulato	ry Reporting	gitapprover Thursday, November 10, 2016	🔄 About 🛃 Logout
dards & Policies				
ess Terms >> Business Te	rm			? Status: Pending App
				Status. Fending App
Isiness Term Term U	sage			
Name	* business term reject	ID* 50996	Approve 🗮 Reject	
Definition	business term reject			
	Glossary test			
Annotate	business term reject			
Keywords	business term reject			
Subject Area*	Compliance			
Source*	External	Critical Data Element No		
Domain*	Date			
ason for Approval/Rejection*	reject			
Related Business Items ⊡ L	ink 🏐 Delink			
ID Nar	ne	Glossary		
22225 Otc	Indicator	OFSAA Glossary		
ist of Values ⊡ Add 🛛 🔘)elete 🔻			

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.

iness Terms	& Policies Controls Key Indicators Process M	onitoring Issu	es & Actions	Admin				21
								(1)
Search and Filter			~					
	ID ?		Term ?					
Subject		•	Status ?					
		•						
Business Terms (7057) Add Delete Export Export to PDF							1/283 《 < > >>
iD ID	Term	Critical Data	Element	Subject Area	Domain	Source	Status	Glossary
273832	Option Margin Requirement- Local Currency	Yes	Acco	unt	Amount	Internal	New	OFSAA Glossary
273833	Margin Balance- Local Currency	Yes	Acco	unt	Amount	Internal	New	OFSAA Glossary
273834	Cash Balance- Local Currency	Yes	Export -	Properties - Google C	hrome	- • • × • • •	New	OFSAA Glossary
273835	Margin Market Value Long- Local Currency	Yes					New	OFSAA Glossary
273836	Margin Market Value Short- Local Currency	Yes	0 10,184	.155.225:2233/OFS	AAI1/export_prope	rties_std.jsp?intc	New	OFSAA Glossary
273837	Total Cash And Security Value- Local Currency	Yes	E Expo	rt Details			New	OFSAA Glossary
273838	Money Market Fund Balance- Local Currency	Yes	Selec	t Form Data/ Grid D	ata : Form Data	•	New	OFSAA Glossary
273839	Margin Equity- Local Currency	Yes		de Mapper Informat			New	OFSAA Glossary
273840	Total Debt- Local Currency	Yes	Inclu	ide Search Informat			New	OFSAA Glossary
273841	Uncleared Balance Amount- Local Currency	Yes		Document Ty Templ		100	New	OFSAA Glossary
273842	Overdraft End Of Period Balance- Local Currency	Yes			me: Yes No	Template .	New	OFSAA Glossary
273843	Last Overdraft Negative Balance Amount- Loca	Yes					New	OFSAA Glossary
273844	Net Collateral Value- Local Currency	Yes					New	OFSAA Glossary
273845	Collateral Requirement- Local Currency	Yes					New	OFSAA Glossary
273846	Account Gross Assets- Local Currency	Yes					New	OFSAA Glossary
273847	Ledger Balance- Local Currency	Yes		Expor	Cancel		New	OFSAA Glossary
273848	Death Value Amount In Reporting Currency	Yes					New	OFSAA Glossary
273849	Initial Deposit Amount In Reporting Currency	Yes	Acco	unt	Amount	Internal	New	OFSAA Glossary
273850	Policy Fee Amount In Reporting Currency	Yes	Acco	unt	Amount	Internal	New	OFSAA Glossary
273851	Premium Amount In Reporting Currency	Yes	Acco	unt	Amount	Internal	New	OFSAA Glossary
273852	Outstanding Balance Of Loan Linked To The P	Yes	Acco	unt	Amount	Internal	New	OFSAA 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 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.

Fields	Description
Fields marked in red aste	erisk(*) 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

5.8.1.1 Fields and their Descriptions

Fields	Description
Fields marked in red aste	erisk(*) 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.

<i> (</i> Usage	Term - Internet Explorer									-		×
OR	ACLE Data	Governance for	US Regulatory R	eporting			dgsuser	Thursday, November 10, 2016	in the second se	About	🚮 Logou	t
Inbox	Standards & Policies	Controls Key In	dicators Process	Monitoring	Issues & Actions	Admin						
Business	Terms >> Business Te	rm										?) Help
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Busin	ess Term U	sage										
	Name*	business term re	ject		١D*	* 50996						
	Definition	business term rejec	I									
🖃 Usag	ge Term ⊡ Add 🗏 🥝 De	elete										_
	Context ID	Usage Term Name		Definition								
	<u>51023</u>	SSSSSSSSSS	ALM	SSSSSSSSS	\$\$\$\$\$\$\$\$\$\$\$\$\$\$\$\$\$\$	55555555555						
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4. A webpage dialog box is displayed. Enter the required information in the fields.



~ /	ACLE. d	Data G	Governanc	ce for US Reg	ulatory Reporting			dg	suser	Thursday, November 10, 2016	in <u>ofsaa</u>	About 🔄	🛃 Log	out
	Standards & Poli	icies	Controls	Key Indicators	Process Monitoring	Issues & Actions	Admin							
ss T	erms >> Busine	ess Terr	m										Stat	(?) tus:
ines	ss Term T	í 🥖 c	Contextual Def	inition - Internet Exp	plorer						-		×	_
	Na	a	Usage	e Term Name *				Business Tern	n ID 509	96			\sim	
	Defi	ii												
				Context Name*		~								
-	Term 🖸 Add 🛛	-	Co	ntext Definition										
	1023													
		E Lis	st of Values	+ Add 📓 Save	🙆 Delete 💹									
		F-	-				Save	llose						

- 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 consistentency in communication with external parties and regulators.

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

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



nbox	Standards & Policies Con	trols	Key Indicators	Process Monitoring	Issues & Actions	Admin				
siness	Terms >> Business Term									? H Status: D
		<i>ര്</i> R	elated Glossary Map -	Internet Explorer					_	
Busin	Term Usage	_	ID	2		Name ?				
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	Name* bus		Glossary		~					
					•					
	Definition busi Glossary* Glos		ossary Terms (740)						1/68 ≪ <	> »
	Annotate busi	20	ID	Name	Subject Area	Glossary Definition	Last Assessed	Status	Glossary	
	Keywords busi		22222	Customer Nu	Master Data	This term refers to a unique code to identi	ify cus	New	OFSAA Glossary	
			22223	Sale Price	Master Data	This term refers to the price at which the in	nstru	New	OFSAA Glossary	
	Subject Area* Com		22224	Source System	Master Data	This term refers to the source system from	n whe	New	OFSAA Glossary	
	Source* Exter		22226	Squared-Off P	Master Data	This terms refers to the flag which indicate	es wh	New	OFSAA Glossary	
	Domain* Date		22227	Trading Book I	Master Data	This term refers to the Flag which identifie	es wh	New	OFSAA Glossary	
			22228	Coupon Rate	Master Data	This term refers to the Coupon Rate of all	coup	New	OFSAA Glossary	
Rela	ted Business Items ⊡ Link 🕴		22229	Swap Rate	Master Data	This term refers to the interest rate application	able t	New	OFSAA Glossary	
20	ID Name		22230	Sovereign Rati	Master Data	This term refers to the rating of the sovere	ign of	New	OFSAA Glossary	
	22225 Otc Indica		22231	Underlying Ins	Master Data	This term refers to the instrument code of	the u	New	OFSAA Glossary	
			22232	Cds Recovery	Master Data	This term refers to the recovery rate of the	credit	New	OFSAA Glossary	
list	of Values ⊡ Add 🛛 🙆 Delete		22233	Repo Limit	Master Data	This term refers to the limit in terms of per	rcent t	New	OFSAA Glossary	
	List of Value									
	SSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSS					Link Close				

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

Stand	ID ? Status ? Glossary ?			Name ?	~			^ <u>Ab</u>	out 🚮 Logout
Terms	Glossary Terms (740)		•				1/68 《 < > >>		Status:
38.0	e ID	Name	Subject Area	Glossary Definition	Last Assessed	Status	Glossary		
ess Ter	22222	Customer Nu	Master Data	This 🕖 Information Webpage Dialog		×	OFSAA Glossary		
it 🍯	22223	Sale Price	Master Data	This t			OFSAA Glossary		
	22224	Source System	Master Data	Thist			OFSAA Glossary		
	22226	Squared-Off P	Master Data	This I [11899] Add Operation S	uccessful		OFSAA Glossary		
	22227	Trading Book I	Master Data	This I			OFSAA Glossary		
	22228	Coupon Rate	Master Data	This I		ж	OFSAA Glossary		
	✓ 22229	Swap Rate	Master Data	This I		, m	OFSAA Glossary		
	22230	Sovereign Rati	Master Data	This term refers to the rating of the sovereign of	I	lew	OFSAA Glossary		
	22231	Underlying Ins	Master Data	This term refers to the instrument code of the u	r i	lew	OFSAA Glossary		
	22232	Cds Recovery	Master Data	This term refers to the recovery rate of the credit	1	lew	OFSAA Glossary		
	22233	Repo Limit	Master Data	This term refers to the limit in terms of percent t	I	lew	OFSAA Glossary	- 11	
ed Bus				Link Close				~	
D	Name			Glossary				_	
2225	Otc Indicator			OFSAA Glossary					

5.10 List of Values

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



		OFSAD	Monday, March 27, 2017	CESAA	About di Logout
ORACLE' Data Governance	tor US Regulatory Reporting	0.010	i monadji maron zi ji zom		LICEN IN LICEN
Inbox Standards & Policies Controls	Key Indicators Process Monitoring Issues & Actions Admin				
Business Terms >> Business Term					? Help Status: Draft
Business Term Usage					
🛃 Edit 🎬 Cancel					
Name* Mate	riality Flag ID* 191016				
Definition					
Glossary* OFSA	Glossary				
Annotate					
Keywords					
Subject Area* Emplo	10.0				
Source* Interna					
Domain* Freque					
Contraction of Contraction					
🖃 Related Business Items 🖂 Link 🛛 🍘 Delin					
Related Business items C. Link 1 Delin Name	Glossary				
No Data Found	Giossary				
					>
	Add List of Values - Internet Explorer				,
E List of Values 🖸 Add 2 Delete					
	Glossary ID: 191016	~			
🖧 📋 List of Value	List Of Value.*				
No Data Found					>
<					,
	Save Close				



6 Identifying the Critical Data Elements

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

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

6.1 About Critical Data Elements

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

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

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

6.2 User Roles and Actions

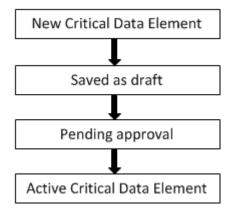
All the users are required to be mapped to DGSAUTHGRP, DGSADMINGRP, and DGSANALYSTGRP, along with their respective following groups.

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

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



6.3 Workflow of Critical Data Elements



6.4 Creating a Critical Data Element

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

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

6.4.1 Fields and their descriptions

Fields	Description
Fields marked in red ast	erisk(*) 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.

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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*.'



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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**.

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Critical Data Element >> Critical Data Element Det	alla				7 Hel Status: Pending Approva
Critical Data Element					
📾 Approve 🔯 Reject					
10* 7	23806	CDE Name* ?	000000		
Entity Name* ?	Action Group dimension	Attribute Name* ?	Action Group Code		
Table Name ?	DIM_ACTION_GROUP	Column Name ?	V_ACTION_GROUP_CODE		
Access Level* 7		Data Classification Level* 7	Financial		
Business Term* ?	000000				
Justification* ?	adsfadfadf				
Reason for Approval Rejection* ?					



- 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*.'

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Logical Entity	Information Webpage Dialog	
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		© Oracle. All rights reserved

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.



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Access Level* ? Business Term* ?	Confidential Account Internet Facility Flag	Data Classification Level* 🥐 Le	gal				
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- 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
- <u>Creating a Control</u>
- Assessing a Control
- Raising Issues on Control
- <u>Closing a Control</u>

7.1 About Controls

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

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

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

The two types of Controls are listed as follows:

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

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

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

7.2 DQ Checks and Controls

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

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

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



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

Controls are specific to reports. DQs are defined in the <code>DQ_CHECK_MASTER</code> and <code>DQ_GROUP_MAPPING</code> 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 aste	erisk(*) 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

Fields	Description
Fields marked in red aste	erisk(*) are mandatory
Owner	Select the user responsible for overseeing the control
Туре	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
۲	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.
- 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.

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.



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

Control Execution Summary - Internet Explorer						-	
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] Control Assessment Parameters (3) 🛨 Add Parameter 📓 Save 🎬 Score	e Specification 🛛 🧐 D	elete Parameter 🛛 💹					
Parameter Name	Weight	Score Methodology	Parameter Type				
Number of DQ checks that the data element goes through	1						
Percentage of error flags (from all DQs put together) Minimum Weight of Fact Parameter 25	2						
							100% 🔍

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".

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Parameter Name	Weight Score Meth	DGS Master Form	
Number of DQ checks that the data element goes through	25 Range Base	Fact	
Percentage of error flags (from all DQs put together)	25 Range Base	Fact	
Test param1	25 Value Base	Fact	
Test param2	25 Range Base	Fad	

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.

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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.

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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.

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52449	31-12-2015	100		Effective	Completed							

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.

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Controls >> Control Details										7 He Status: Op
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		Control180416				ID* ? 11658				
	Description ?	Control180416								
	Methodology* ?	OFSAA Method								
		dgsuser			Type ? Qual	lity Control				
	Assessment Start Date* ?	04/18/2016			Frequency* ? Mont	thly				
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2. Click **Create Issue** button to view the **Issue Creation** page.



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		I 🧱 Save Draft 🦉 Cancel	
Name* ?		I I 2026	
Description ?		10.1 1010	
Description 1			
Issue Category ?			
	~		
Criticality* ?	v		
Target Date* ?		Owner* ?	
Component* ? Control		Primary Source ? 000000000	
Comments ?			

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.

ID* 🕐 14085		
Reason for Closure 🕐		
	Submit	

- 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 Conditions
- <u>Key Indicator Assessments</u>
- Managing Measure and Formulas

8.1 About Key Indicators

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

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

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

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

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

8.2 Parameters of Key Indicators

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



- Periodic Comparison
- Edit Checks

8.2.1 Key Indicators based on Periodic Comparison

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

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

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

8.2.2 Key Indicators based on Edit Checks

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

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

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

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



Edit checks are classified into two types:

- Controls
- Key Indicators

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

The KI definitions are available in the FCT KRI DEF table.

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<u>319750</u>	Write-Off Amount In Reporting Currency In Regulatory Account Summary	OFSAD
319748	Write Off Adjustment Factor Amount Month To Date Reporting Currency In Cards Summary	OFSAD
319744	Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary	OFSAD
319743	Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Pool Summary	OFSAD
<u>319742</u>	Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Account Summary	OFSAD
319736	Unrealized Loss Or Gain Of Exposure In Reporting Currency In Regulatory Account Summary	OFSAD
319735	Unrealized Gain Or Loss Amount For The Period In Fact Ifrs Account Summary	OFSAD
<u>319731</u>	Unfunded Default Fund Contribution Amount In Fact Regulatory Counterparty Capital Summary	OFSAD
319729	Unearned Income In Reporting Currency In Regulatory Account Summary	OFSAD
319728	Unearned Income In Fact Common Account Summary	OFSAD
<u>319725</u>	Undrawn Amount In Reporting Currency In Fact Credit Facility	OFSAD
319724	Undrawn Amount In Reporting Cu In Regulatory Account Summary	OFSAD
<u>319720</u>	Typical Severity Value In Reporting Currency In Operational Risk Loss Scenario Details And Capital Summary	OFSAD
319719	Transfer Risk Reserve Amount In Fact Loan Summary	OFSAD
319718	Transfer Or Sale Value In Regulatory Transaction Summary	OFSAD

The Threshold values are available in the ${\tt FCT_KI_DEF_THRSLD}$ table



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8.3 User Roles and Actions

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

8.3.1 User Roles

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

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

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

8.3.2 Actions

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

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



- **Closing Key Indicator**: This action allows the user to close the Key Indicators in Open status.
- **Deleting Key Indicator**: This action allows the user to delete the Key Indicators in Draft Status.
- **Exporting Key Indicator**: This action allows the user to export the list of Key Indicator records. The Exported Key Indicator function allows the organization to have a compiled list of all applicable Key Indicator records.
- Importing Key Indicator: This action allows the user to import the list of Key Indicator records. The Imported Key Indicator function allows the organization to have a compiled list of all applicable Key Indicator records. This functionality enable the user to update the Owner and Lower and upper threshold for existing KI in a seamless way rather than doing it individually.

8.4 Creating Key Indicator Conditions

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

NOTE: You must have Key Indicator Creator rights to create a Key Indicator Condition.

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				
Owner	The KI owner				
Entity Name	Table for which KI Group is created.				
Attribute Name	Column for which KI Group is created.				
KI Conditions ID	Unique ID for the KI Condition (auto-generated)				
Report	KI Condition report				
Schedule	Schedule for the Report				
Cell Reference	Reference to MDRM code				
KI Condition	The KI Condition name				



Fields	Description				
Fields marked in red asterisk(*) are mandatory					
Туре	Value BasedVariance Based				

8.4.2 Procedure to Create Key Indicator Condition

For a Key Indicator, you can create a set of new Key Indicator Conditions in bulk, when you identify a warning signal which has potential impact in the organization. The Key Indicator Details page allows you to import a set of new Key Indicator Conditions in bulk.

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

To create one or more Key Indicator Conditions, perform these steps:

- 1. In the Select Applications dropdown box, select the option Financial Services Data Governance for US Regulatory Reporting.
- 2. Navigate to Common Tasks > Operations > Batch Execution.
- 3. In the Batch Execution pane, execute the DG_KI_GRP_BATCH_PROCESS batch. This Batch is mentioned in the file <u>OFS Data Governance Studio v 8 0 5 0 0 Runchart</u>.
- 4. Key Indicator group with Key Indicator Conditions are generated in these target tables:
 - FSI_KI_GRP_MAP_DETAILS
 - FSI_KI_GRP_QRY_MAP_DETAILS

8.4.3 Procedure to View and Edit Key Indicator Condition

To view or edit the existing KI Condition details:

 Navigate to the Key Indicators page. Search for required Key Indicator and click its ID. The Key Indicator Details page is displayed. Expand the KI Conditions section.



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- 2. To download the template to add KI Condition details, click **Export**. An excel file is downloaded to your system.
- Open the excel file and enter the required information in the fields: Report Name, Schedule Name, Reporting Element, Definition Key, Owner, Threshold Key, Definition Name, Description, Start Date, Frequency, Threshold Upper Limit, Threshold Lower Limit, Score Value, and Rag Key. Save the changes made to this excel file with the same file name KI.xIsx.

NOTE: Only the columns highlighted in Green can be edited.

- 4. To upload this excel file and import updated data into the application, in the KI Indicator Details page, click **Import**.
- 5. The **File Import** pop-up window opens. To search for the updated excel file, click **Browse**, locate the file and Open. To attach the file, click **Attach**. An acknowledgement is displayed: *Uploaded Filename: KI.xIsx.* Click **OK**.



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 To import the file data into the application, click Import. An acknowledgement appears which states "Import process has been triggered". Click OK. To view the status details, click Refresh. Then close the window. The updated data will be imported into the application. Close the pop-up window.

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7. You can view the uploaded KI Condition in the **KI Conditions** list.

8.5 Key Indicator Assessments

This section explains about creating and viewing Key Indicator Assessments.

8.5.1 Creating Key Indicator Assessment

To create Key Indicator Assessment at group level:

- 1. Prerequisites:
 - This table DIM_RUN must consist of the jurisdiction of USFED in it.
 - This table FCT_REG_RUN_LEGAL_ENTITY_MAP must consist of valid data values.
- 2. In the Select Applications dropdown box, select the option Financial Services Data Governance for US Regulatory Reporting.
- 3. Navigate to **Common Tasks > Operations > Batch Execution**.
- Resave the temporary DE Batches corresponding to the reports for which assessment is done. These Batches are mentioned in the <u>OFS Data Governance Studio v 8 0 5 0 0</u> <u>Runchart</u>.

NOTE: Every time a new data is loaded, you must resave these temporary DE Batches.

- 5. In the Batch Execution pane, run the BULK_KI_ASSESSMENT batch. This Batch is mentioned in the OFS Data Governance Studio v 8 0 5 0 0 Runchart.
- 6. For each Key Indicator group execution, one assessment is created in these target tables:
 - FSI_KI_GRP_ASSESSMENT_STATUS
 - FCT_KI_ASSESSMENT
 - FCT_KI_ASSMT_VARIANCE
 - FCT_ISSUES
 - FSI_DG_WF_ENTITIES

NOTE: The Frequency of Key Indicator Condition level assessment execution can be set at these intervals: Daily, Weekly, Fortnightly, Monthly, Quarterly, Half Yearly, or Yearly.

8.5.2 Viewing Key Indicator Assessment

To view Key Indicator Assessments, perform the following steps:

- 1. Navigate to the **Key Indicators** page. Search for required Key Indicator and click its **ID**. The **Key Indicator Details** page is displayed. Click the **KI Metrics** tab.
- 2. In the KI Metrics tab, expand the **Key Indicators Metrics** section which displays the assessment details. Select the required KI Metrics record to display its KI Condition Type details:
 - Expand **Variance** to display Variance-based check assessment details in the Variance section.
 - Expand Validation Checks to display Validation check assessment details in the Validation Checks section.



- Select the Variance record to edit its KI Condition.
- Select the Validation Checks record to edit its KI Condition.

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8.6 Issues and Actions for Key Indicator Assessment

For any Key Indicator Assessment that is in FAIL status, the associated Issues and Actions details are displayed in the Issues and Actions tab.

8.7 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.

8.7.1 Creating Measures

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

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

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.

Columns of DIM_KI_MEASURE Table



	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

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

Columns of DIM_KI_MEASURE_MLS table

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

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

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

8.7.2 Defining Limits

The seeded Limits from the FCT_KI_DEF_THRSLD table are populated in the list of Threshold section.

To view the Limits for a specific KI, perform these steps:

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



2. Click a Key Indicator ID. The Key Indicator Details page is displayed.

NOTE: When creating the KI, enter the Type as Quantitative, and Source as Internal.

- 3. Expand the View more section. In the Threshold section, you can see the list of Limits.
- 4. 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 (
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8.7.3 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.

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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.



8.7.4 Viewing Measures in Formula

To view a Formula, perform these steps:

- 1. Navigate to the **Key Indicator Search** and **List** page.
- 2. Click Key Indicator ID. The Key Indicator Details page is displayed.
- 3. Expand the **View more** section.
- 4. In the Measure and Formula section, you can see the Formula.



9 Issues and Actions

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

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

This chapter includes the following topics:

- About issues and Actions
- <u>Issues</u>
- Managing Issues
- <u>Actions</u>
- 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
- <u>Issue Workflow</u>



• 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

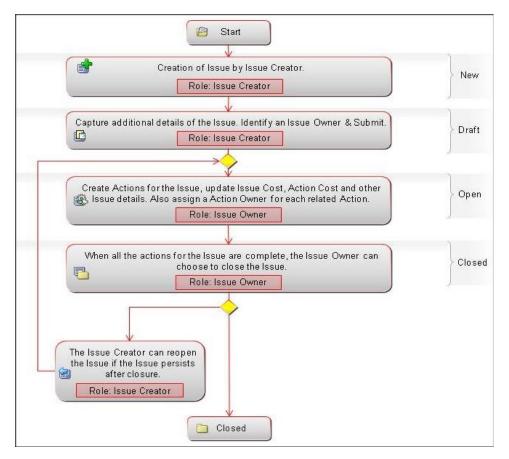
The User Roles described above can perform the following actions:

- **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 ast	erisk(*) 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
Issue Source	Select the source of the Issue from the hierarchy button for which the Issue must 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 aste	erisk(*) 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:

 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.

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Issue Source* ?			Primary Source ?					
Comments 7								
							cle. All right	

- 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.

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 Causes

In the **Issue Details** page, click the **Causes** tab. In this section, the details of the Key Indicator or the Data Quality that failed at the staging is displayed.

- 1. Click the Issues and Actions tab, click Issues. Select the required Issue ID.
- 2. The **Issue Details** page is displayed. Click the **Causes** tab.
- 3. In the **Causes** tab:
 - You can view Key Indicator ID details that failed at the staging. Therefore, this failed Key Indicator is the source of the Issue associated with it.

OR	ACLE Data	Governance	e for US Regu	latory Reporting						dgsuse	Thursday,	April 19, 2018		About	Logout
Inbox	Standards & Policies	Controls	Key Indicators	Process Monitoring	Issues & Actions	Admin									
Reoper	> Issue Details n Issue														? Help s: Closed
Detail															
+ Issue	e Issue in KI Assessment	ID- 323236													
	Indicators (1)														
	ID ¥			Name			Owner								
	502115 Curren	t Assets In Party	Financial Detail												
						_		_	 	 			00	racle. All righ	ts reserved

Or,

• You can view Data Quality ID details that failed at staging. Therefore, this failed Data Quality is the source of the Issue associated with it.



	ta Governance for US Regulatory Re	porting		dgsuser Friday, April 13, 2018	🚳 OFSAA 🔄 About 🚳 Logou
Inbox Standards & Polici	ies Controls Key Indicators Process N	Monitoring Issues & Actions	Admin		
Sues >> Issue Details	Ownership				? Help Status: Open
	failure on End Of Period Balance in Stage Casa Acco	augle 21 DEC 10			
Data Quality (4)	tailure on End Of Period Balance in Stage Casa Acco	ounts 31-DEC-10			
🔬 DQ ID	DQ Name	Total Row Count	Failed Rows *		
DQCUST1006	DQCUST1006	200	200		

- **NOTE:** In the Issue Details page, if the Issue Source is Control, then the Data Quality details are displayed in the Causes tab. Or, if the Issue Source is Key Indicator, then the Key Indicator details are displayed in the Causes tab.
- 4. The Control Details page is displayed.
- 5. To view the unique Assessment ID along with Score, Rating, and Status of the Assessment, click the **Assessments** tab.
- 6. To view the Assessment Parameter details and Assessment Data Quality Execution details, click the Control Assessment **ID**.

9.3.3 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

9.3.3.1 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. In 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**.

9.3.3.2 Managing Details

This section covers the following topics:

• <u>Attaching and Deleting Documents</u>

Attaching and Deleting Documents

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

9.3.3.3 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 a Record to an Issue
- Delinking a Record to an Issue

Linking a 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. Expand the **View More** section. The sub-sections Actions and Documents are displayed.



4. In the Actions sub-section, select the required Action item and click **Link**. 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:

Name	Status
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 a 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. Expand the View More section. The sub-sections Actions and Documents 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.*

9.3.4 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:

 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.

9.3.5 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.

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** window opens.

Or:

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

NOTE: You must close all Actions associated with the Issue and then close that Issue.

2. Enter the reason for the closure of the issue in the **Comments** field.



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.*'

E Issues (11)	Delete Issue 🎊 Close I	ssue 🛛 😰 Reopen Issue	🏟 Transfer Ownership	Export			
iD	Issue Details - Interne	et Explorer			-	-	
✓ <u>335499</u>			No. of Concession, Name		Concernment of the local division of the loc	Contract of the local division of the local	
328967	Comments ?	This issue is resolved.					
<u>328120</u>	Comments	1113 13300 13 10301400.					
320274							
320189					2977		
320139				Submit Back			
319942					_		
319914							
	1						

- 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.

9.3.6 Reopening Closed Issues

An Issue Creator user can reopen a closed issue if the user believes that if there is a need to reexamine 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 Issue**. The **Issue Details** window opens.

Or:

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

ID	Name	Component	Issue Category	Actions	Creator	Owner	Target Date	Status	Last Modified
335499	Successfully - Internet Explorer	Nan weington	Case Automation	1 10		Sec	The same strength	_ 🗆 🗙	B-Mar-2018
328967									5-Mar-2018
328120	ID ? 320274							í	2-Mar-2018
320274	Comments ?								1-Mar-2018
320189									1-Mar-2018
320139									1-Mar-2018
319942									8-Feb-2018
319914									3-Feb-2018
319900									3-Feb-2018
319826									B-Feb-2018
319794	Test Issues	Control	Data Authorization	<u>0</u> dgs	user	dgsuser	28-Feb-2018	New	28-Feb-2018

- 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.

9.3.7 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.

9.3.8 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.

9.3.9 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 an issue, perform the following steps:

- 1. Navigate to the Issues Search and List page and click the required Issue ID in Open status for which you want to create actions. The **Issues Details** page is displayed.
- 2. Expand the **View More** section. The Actions, and Document sub-sections are displayed.
- 3. In the Actions sub-section, click **Create Action**. The **Actions Details** page is displayed.



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Standards & Policies Co	entrols Key Indicators	Process Monitoring	Issues & Actions	Admin								
Issue Details >> Action Deta	lls											7 Hel
is .												
									📓 Save Dr	aft 🛛 📶 Submit	🚰 Cance	el
Action Name* ?					ID ? 51304	1						
Description ?												
Criticality* ?		~			Owner* ?		2					
Start Date" ?					Target Date* ?							
Reminder(days)* ?	[Progress ?							
Component* ?	Control				Primary Source ?	End Of Period Balance in Sta	age Casa					
Action Type" ?	[~	Accounts						
Comments ?												

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

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



Fields	Description					
Fields marked in red asterisk(*) are mandatory						
Action Type	 Data Adjustments - DQ errors: This value indicates that it is a Data Quality error, which requires Data Adjustments. Here, the table and column names, and location of the error are known to the User. Data Adjustments - Others: This value indicates that the error requires Data Adjustments. Here, the User does not know the location of error, or the table or column name. Others: This indicates the existence of error that is not a Data Adjustment error. 					
Comments	Provide additional information if any					

 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 <u>Link</u> option to link the various actions that are applicable to the current issue.

9.4 Actions

This section includes:

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

9.4.1 User Roles and Actions

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

User Roles



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

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

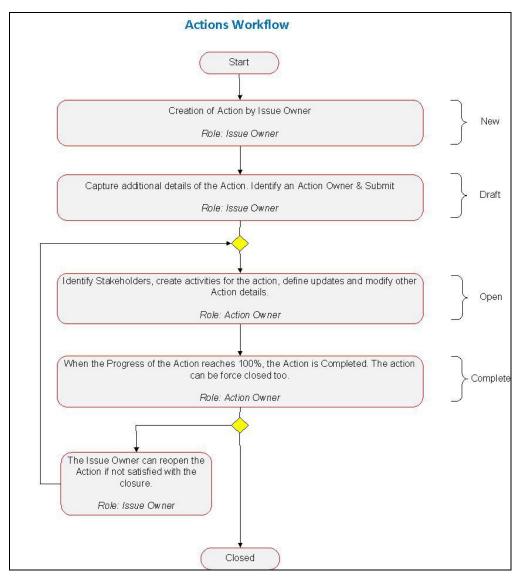
Actions

The user roles described above can perform the following actions:

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



9.4.2 Actions Workflow





The status flow of the Actions module is as follows:



9.4.3 Tasks and Notifications in Actions

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

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

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



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

9.5 Managing Actions

This section includes the following:

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

9.5.1 Managing Action Details

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

This section discuses the following topics:

- Editing Action Details
- Managing Details

9.5.1.1 Editing Action Details

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

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



- 1. In the **Issues & Actions** tab, click **Actions**. Click required Action **ID**, the **Action Details** page opens.
- 2. In the **Details** tab, click **Edit**. The page is toggled to edit mode.
- 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 <u>Managing Details</u>.

- 4. Click **Submit**. A Confirmation dialog box is displayed, with the message: *Update Operation Successful*.
- 5. Click **OK**. The updated Action Details page is displayed.

9.5.1.2 Managing Details

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

This section discuses the following topics:

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

Adding Activities to an Action

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

- 1. Navigate to the Action Details page of an action in Open status.
- 2. Expand **View More** to display the list of sections.
- 3. In the Activities sub-section, click **Add Activity**. An activity row is added.

🖃 Activit	ties (1) 🛨	Add Activity 🛛 🔚 Save 🗏 🙆 Delete Activities 🗏 🔯				
alla Ar	ctivity No.	Activity	Progress	Start Date	End Date	Comment
✓ 1				📃 📰 🐌	📰 🖉	

- 4. Select 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 Comment.
- 6. Click Save. The following message is displayed: Update Operation Successful.
- 7. Click **OK**. A new activity is added in the Activities sub-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.



] Action Updates (2) 🗄 Add Action Updates 📓 Save Action Updates 🥘 Delete Action Updates 💹							
لله Update Comments	Created By	Created Date					
	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 <u>Managing Documents</u> section.

9.5.2 Transferring Ownership of an Action

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

 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 ? Present Owner ? Comments ?	dgsuser	ID ? New Owner* ?	23595	
		Submit Back		

- 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 forceclose 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.

Actions >> Action Details		St	7 Help
Details Linkages Associated Issues			
		Edit As on :08/03/2018	
Action Details - Internet Explorer Action Dest Action Type* Comments Action rAdjust	nents - Others V	i - i - i - i - i - i - i - i - i - i -	
Crit Stai Reminder ⊞ Adjustments (3) i ∠ Edit i De	ete 📔 View i 🎝 Refresh 112	i ated 1	
Component - Control	Submit Back	Activities Q	

- 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:

 From the Action Search and List page, select an action in Complete status, and click Reopen Action. The Action Details window is displayed. In this illustration, this screenshot is for the Action Type Data Adjustments – Others.



ox Standards &	Policies Co	ntrols Key Ind	icators	Process Monitoring	Issues 8	Actions A	Imin				
ions											
Bearch 🛛 🌙 Clear	Go										
ID ?				Nan	me ?						
Criticality ?			~	Compone	ent ?		2	Owner ?		2	
Progress From ?				Progress 7				Target Date ?	~	2	
Status ?			*	Last Modified Date Fro	om ?		m 2	Last Modified Date		a	
	_	Mama		Transfer Ownership			Start Data Tarna	To ?	Cintur Last M	adified Data	
Delete Action I P F		on I 🕙 Reopen Act		Petiticality Activities			Start Data Tarna	1. 1.	Centur Last M		
Delete Action	Action Action	Mama		Pelticality Activition			Canad Data Tanga	1. 1.	Costup I and M		
Delete Action 1 2 F	Action ID	tion Details - Interr	net Explor	Pelticality Activition			Charle Data Tanua	1. 1.	Statur Last U		
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 ■ ID ■ 335913 □ 329159 □ 329599 	Action action asddsa	tion Details - Interr 335913 Action Type* ?	net Explor	Crisionility Antipition rer			Strat Data Tang	1. 1.	Statue Last U		
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- 2. Select the **Action Type** for Data Adjustment. Enter comments in the **Comments** field. Refer to <u>Data Adjustments</u> to work on the Adjustments section.
- 3. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**.
- 4. 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 <u>Exporting Records</u> for more details.

NOTE: You cannot export individual actions to Excel.



10 Data Adjustments

This chapter explains the process of automated application configuration when Data Quality failure occurs at the staging. In this automated process, a system generated issue is assigned to the default Issue Owner.

The Issue Owner (Action Creator) may undergo the change of ownership when required. The Issue Owner creates Action of type Data Adjustment for this system generated Issue, and assigns it to the Action Owner. As a result, in Actions, the Data Adjustment grid is displayed. Then the Action Owner (Adjustment Creator) creates required Data Adjustment and makes data corrections for the failed Data Quality.

The Adjustment Creator submits Data Adjustment to the Adjustment Approver (Issue Owner). After the Issue Owner approves all the Data Adjustment definitions, the Data Adjustments are grouped in a Batch and executed at the level of that Issue. After the successful execution of these Data Adjustments, the Action Owners must mark the Action progress to 100% or mark the Action as completed.

This chapter includes the following topics:

- User Roles and Actions
- <u>Settings for Data Adjustments</u>
- Data Adjustment Creation
- Approve or Reject Data Adjustments
- Executing Data Quality after Data Adjustments

10.1 User Roles and Actions

10.1.1.1 User Roles

- Assign the ADJCREATGRP (Adjustment Creator) User Group to the Action Owner.
- Assign the **ADJAPPGRP** (Adjustment Approver) User Group to the Issue Owner.

NOTE: It is not recommended to map the **ADJCREATGRP** and **ADJAPPGRP** User Groups to a single User since data masking gets affected.

10.1.1.2 Actions Performed by the Users

Action Performed	User Role
In the automated process, an Issue is generated by the system	Assigned to the Issue Owner
Creating Action for the system generated Issue	By the Issue Owner
Creating Data Adjustment	By the Action Owner



Submitting Data Adjustment	By the Action Owner
Data Adjustment Approval	By the Issue Owner
Marking the progress of Data Adjustment execution action to 100%	By the Action Owner

NOTE: The following sections in this chapter are in a series order of a single procedure. Follow the sequence.

10.2 Settings for Data Adjustments

10.2.1 Controls for Data Quality

To assess the data accuracy of the failed Data Quality through Controls:

- 1. Log in as Issue Owner, who is also the Control Creator.
- Create a Control to perform Data Quality Check. Execute the Batches corresponding to Data Quality. A Control Assessment is also created. When this Control fails, an Issue is automatically generated by the system.
- **NOTE:** Refer to the <u>OFS Data Governance Studio v 8 0 5 0 0 Runchart</u> for Run Name/Batch ID. Refer to <u>Control Creation via Batches</u> to create a Control for the required Data Quality Rule.
- 3. In the application, click the **Select Applications** dropdown box, and select the option **Financial Services Data Governance for US Regulatory Reporting**.
- 4. Click the **Data Governance for US Regulatory Reporting** option on the left hand side of the menu. The **Data Governance for US Regulatory Reporting** window opens.
- 5. Click the **Controls** tab. The list of all existing Control records is displayed. Search for the required Control Name using **ID** or **Name**. In the list, click the required Control **ID**. For illustration, *End of Period Balance in Stage Casa Accounts* is used.

NOTE: To search for the failed Data Quality of this Control, follow the procedure in <u>Causes</u>.



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ontrols									? Help
Search	r I 📫 Go								
	ID ?		Name ?						
Controls (7511)	Delete Control	112					1/4	1 > 1 >> 0	> >>
ID.	Name	Owner	Last Modified	Status	•				
<u>496983</u>	End Of Period Balance in Stage Casa Accounts	dgsuser	09-Apr-2018	Open					
330921	Line Of Business Code in Stage Mudarbah Acc	💓 dgsuser	28-Mar-2018	Closed					
<u>1002</u>	End Of Period Balance in Stage Casa Accounts	dgsuser	28-Mar-2018	Closed					
397238	End Of Period Balance in Stage Casa Accounts	dgsuser	28-Mar-2018	Open					
389635	End Of Period Balance in Stage Casa Accounts	dgsuser	28-Mar-2018	Open					
382085	End Of Period Balance in Stage Casa Accounts	dgsuser	28-Mar-2018	Open					
<u>1001</u>	End Of Period Balance in Stage Casa Accounts	dgsuser	27-Mar-2018	Closed					
1000	End Of Period Balance in Stage Casa Accounts	dgsuser	27-Mar-2018	Open					
372547	End Of Period Balance in Stage Casa Accounts	dgsuser	27-Mar-2018	Open					
353818	Above Compensation Limit Indicator in Stage C	()) dgsuser	20-Mar-2018	Closed					
350427	End Of Period Balance in Stage Casa Accounts	dgsuser	20-Mar-2018	Closed					
330920	Unconditional Cancelled Exp Indicator in Stage	i dgsuser	20-Mar-2018	Open					
330919	Recalcitrant Flag in Stage Repo Contracts	dgsuser	20-Mar-2018	New					
343069	End Of Period Balance in Stage Casa Accounts	dgsuser	20-Mar-2018	Closed					
335015	End Of Period Balance in Stage Casa Accounts	dgsuser	16-Mar-2018	Open					
330922	Fatca Pool Report Code in Stage Trading Account	dgsuser	15-Mar-2018	Open					
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 The Control Details page is displayed. In the Details tab, you can see the field details of the selected Control: Name, ID, Description, Methodology, Owner, Assessment Start Date, Comments, Type, Frequency, and Data Quality Rules section.

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ntrols >> Control Deta	ils							? Help Status: Op
Details Assess	ments Issues	and Actions						
	Name [*] ? Description ?	End Of Period Balance Control for Stage Casa				ID* ? 496983		,
	Methodology* ? Owner* ?	OFSAA Method dgsuser			Type* ?	Quality Control		
Assessn	ent Start Date* ?			Fr	equency* ?			
	Comments ?	DECUST1005,DQCUST QCUSTACCT0630,DQU	11000,DQCUST1002,D4 JIRULE001	QCUST1004,DQCUST	1006,DQCUS	T1007,DQCUST1008,DQCUSTACCT0537,D)	
Data Quality Rules	10) 🖾							
Data Quality Rule		Data Quality Rule Des	scription					
DECUST1005	DECUST1005							
DQCUST1000	DQCUST1000							
	DQCUST1002							
DQCUST1002								
DQCUST1004	DQCUST1004							
	DQCUST1004 DQCUST1006 DQCUST1007							

7. Click the **Assessments** tab. To see the Control Assessment details for the Data Quality Rule, click the Control Assessment **ID**.



Status: Ope Control Control Status: D Control	ORA	CLE Data G	overnance for US Reg	ulatory Reporting		dgsuser Tuesday, April 10, 2018	🗥 OFSAA 🔤 About 🚮 Logout
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	5006	68 31-12-2010	42	Ineffective	Completed		
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8. The Control Assessment Summary and Control Execution Details for the selected Control ID is displayed. The Assessment ID, Assessment Date, and Control Execution Date field values corresponding to the selected Control ID are displayed. To change the Weight value of the Control ID Assessment Parameter, select the required **Parameter**. You can edit the **Weight** value and click **Save**.

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Assessment ID* 500668 A	ssessment Date* ? 31	-12-2010	Control Execution Date* ? 0	9-04-2018	^
🗄 Control Assessment Summary (2) 🛙 Save 🗆 🦣 Submit 🛛					
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Number of DQ checks that the data element goes through	10	20			
Percentage of error flags (from all DQs put together)	100	80			
Control Execution Details (19)			1/2 《 《 》 》		
2. Parameter		Parameter Value			
Duplicate Check					
Number of values defaulted -					
Data Length Check					
Null Value Check					
Number of values defaulted					
Blank Value Check					
Col Ref Spec Val Check					
Referential Integ Check					
Number of duplicate values					
Range Check					
Number of records which failed the column reference check or specific value check					
Number of records for which the data element value is outside the defined range					
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10.2.2 Issues and Actions for Data Adjustments

10.2.2.1 Issues for Data Adjustments

1. For the Control from the previous section, to view the Issue details, click the **Issues and Actions** tab. Click the Issue **ID**, which is system generated for this Control. This Issue Status is always Open.

Alternatively, you can access the Issues & Actions tab in the top horizontol menu bar.

NOTE: The system generated Issue is automatically assigned to the default Issue Owner.

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ntrols >> Contro	l Details												? Help s: Open
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E. ID		Name		Component	Issue Category	Actions	Creator	Owner	Target Date	Status	Last Modified		
<u>500669</u>	Data Quality ch	neck failure on Ei	nd Of Period	Control	Data Accuracy	1	dgsuser	dgsuser	16-Apr-2018	Open	09-Apr-2018		
Actions (0)	2												
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- The Issue Details page is displayed. The Details tab shows the Issue details: Issue Name, Issue ID, Issue Description, Issue Category, Criticality of the Issue, Target Date, Issue Source, Comments, and the Issue Owner. Expand View More. The Actions section and Document section are displayed.
- 3. To find the cause for the Issue, follow the steps in the <u>Causes</u> section for the DQ failure.

10.2.2.2 Actions for Data Adjustments

The Issue Owner creates required Actions for the system generated Issue and also, the Issue Owner is the Data Adjustment Approver. In this Actions section, when you select the Actions of type Data Adjustment, the Data Adjustment grid is displayed for this Action.

• Creating a new Action

To create a new Action for the system generated Issue:

1. In the Issue Details page, click **Create Action**.



Standards & Policies	Controls	Key Indicators	Process Mon	itoring	Issues & Actio	ans Admin							
Is >> Control Details >> Is													? Status:
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Issue Category ? Criticality* ?											Delay Number of Associal Components	ted	0
Target Date* ? Issue Source* ?						Owner*	dgsuser				Number of Actions		1
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tions (1) Create Action	Delete Ac	tion I 💽 Link I 🛄	Owned	Critical	ity Activities	Owne	r Start Date	Target Date	Progress	Status	Actual Cost	Last Mod	ified Date
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- 2. The **Action Details** page is displayed. In the Owner field, select the Action Owner name. Fill required details in all other fields. The Action Type dropdown box lists three values. They are:
 - Data Adjustments DQ errors: This value indicates that it is a Data Quality error, which requires Data Adjustments. Here, the table and column names, and location of the error are known to the User.
 - Data Adjustments Others: This value indicates that the error requires Data Adjustments. Here, the User does not know the location of error, or the table or column name.
 - **Others**: This indicates the existence of error that is not a Data Adjustment error.

This Action is related to the DQ error. Therefore, select the option **Data Adjustments - DQ** errors. To submit the newly created Action for approval (to the Action Owner), click **Submit**

NOTE: Based on the Action Type, the Data Adjustment details page will be displayed during the Data Adjustments process for DQ errors or any other errors.



Standards & Policies	Controls Key Indicators	Process Monitoring	Issues & Actions Admin				
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	Control		Primary Source ?	End Of Period Balance in Stage Casa Accounts		Number of Completed Activities	
Action Type* ? Comments ?	Data Adjustments - DQ erro	/\$	~			Number of Overdue Activities	
Comments 1						Humber of Overdae Activities	-

3. An acknowledgement is displayed: Add Operation Successful. Click OK.

10.3 Data Adjustment Creation by the Action Owner

The Action Owner is the Data Adjustment Creator. The Actions are of type Data Adjustment. Therefore, the Data Adjustment grid is displayed in this section.

- 1. Login to the application as Action Owner (Data Adjustment Creator).
- 2. Click Data Governance for US Regulatory Reporting.
- 3. In the Issues & Actions tab, click **Issues**. In the Issues list page, click the required system generated Issue **ID**.
- 4. The **Issue Details** page is displayed. Expand **View More**. In the **Actions** section, click the Action **ID** created in the previous section.



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	Criticality*	High									Components		1	
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	ID	Name	Owned	Criticality	Activities	Owner	Start Date	Target Date	Progress	Status	Actual Cos	t Last A	Modified Date	e
-		n on DQ Issue	Yes	High	<u>0</u>	dgactasr	09-Apr-2018	09-Apr-2018		Draft				
		n on Data Quality issue	Yes	High	Q	dgactasr	10-Apr-2018	12-Apr-2018		Open				
ocum	ents (0) 💷 Delete	Document 12												

5. The **Action Details** page is displayed. The Action is of Type Data Adjustment. Therefore, Adjustments section is displayed.

10.3.1 Create Data Adjustment

1. In the Action Details page, in the Adjustments section, click Add.

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					🛃 Edit	As on :10/04/2018			l
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	Action Name* ?	Action on Data Quality issue	ID ? 501275	9		Days to Completion	-		
	Description ?					Days Elapsed	0		l
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	Action Type* ?	Data Adjustments - DQ errors				Number of Overdue Activities	Q		
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🖸 View Mor	0								
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2. The **Adjustment Rule Details** window is displayed. In the Name tab, type values in the **Adjustment Name** and **Description** fields. Adjustment ID is system generated. To go to the next section, click **Next** or click **Dataset**.



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	Home > Adj	ustment Rule Details					-		
Issues >> Issue Details >> Action	< Back		0			Next >		? Status:	Help ^
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- 3. In the Dataset tab, click the **Select DQ** dropdown box and select the required DQ value. This is the failed DQ for which this Data Adjsutment is being created. To go to the next section, click **Next** or click **Attributes**.
- **NOTE:** For **Data Adjustments Others** Action type, the User can use Select Entity and Select DQ fields.
- **NOTE:** For **Data Adjustments DQ errors** Action type, the values in the Select Entity and Select DQ fields are pre-populated and frozen. Only one value is generated in the Select DQ field.

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Issues >> Issue Details >> Action	< Back	ame	Dataset	Attributes	Review & Save	Next >	? Help Status: Open
Details Linkages	Dataset Details						
Issue Name ? Action Name* ?	v Type						2
Description ?	Adjustment Type	DQ Based	Ŧ				0
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View More							
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4. In the Attributes tab, select the required Assignmet Type, either User Input Assignment Type or Rule Driven Assignment Type. In this illustration, **User Input Assignment Type** is selected.



10.3.1.1 User Input or Rule Driven Type

• User Input Assignment Type

User Input Assignment Type provides the provision for input by the User.

a. In the Attributes tab, select the **User Input** option. Click **Add Attribute**.

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b. The **Add Column** pop-up page is displayed. Click the**Target Attribute** dropdown box and select the required value. Click **OK**.

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Description ?	Assignment Type			 User Input Rule Driven 			0	
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• Rule Driven Assignment Type

Rule Driven Assignment Type provides the provision for rule based input.

a. In the Attributes tab, select the Rule Driven option. Click Add Expression.



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Inbox Standards & Policies sues >> Issue Details >> Action Proree Close Action	- Dark	tule Details	0		0	Next >		?) Status:	Help , Open
Details Linkages	Attributes ~ Assignment Type	ame	Dataset	Attributes	Review & Save		As on :26/04/2018		_
Action Name Description	Assignment Type			User Input Rule Driven			Days to Completion Days Elapsed Delay	• • •	
Criticality Start Date	Add Expression Delete	e Expression			Search		Number of Associated Components Number of Activities	1	
Reminder(days) Component Action Type	Target Attribute No Records Found	Target Ex	pression				Number of Completed Activities	Q	
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b. The **Add Expression** pop-up page is displayed. Select required data in all the fields. Click **OK**.

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c. Selected value is populated in the Target Attribute section in the Attributes tab. Select the **Target Attribute**. To go to the next tab, click **Next** or click **Review & Save**.

10.3.1.2 Export and Import Data Updates

In the Review & Save tab:

- For User Input Type Data Adjustment
 - a. Exporting User Input Type Data Adjustment



i. To export (download from the application) record from the User Input type Data Adjustment, click Export. The Export pop-up page is displayed. Select the MIS Date for which you are downloading the record to make the data corrections. Click Export. Close the Export pop-up page. An excel file is downloaded to your system.

ORACLE Data	Oracle Financial	Services Analytical App	ications - Internet Explorer			antes / Passing		SAA 📧	About di Logout	1
Inbox Issues & Actions	Adjustment Ru Home > Adjus						^			
Issues >> Issue Details >> Action	< Back	O Name	Dataset	O Attributes		Review & Save			? Help , Status: Open	~
Details Linkages	Review and Sav	/e						18		
Issue Name ?			Id 208340						2	1
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ii. In the downloaded (exported) excel file, you can make required data corrections in the final column. Save the changes made to the file.

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b. Importing User Input Type Data Adjustment

- i. To import (upload to the application) the updated excel file for the User Input type Data Adjustment, select the Manual Data **Id** of the required record and click **Import**.
- ii. The **Import** pop-up page is displayed. To search for the updated excel file, open and attach it, click **Attach**. To upload this excel file, click **Upload**. After the successful



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upload, an acknowledgement message is displayed: *File Upload Successful*. Then, to import the uploaded excel file into the application, click **Import**.

10.3.1.3 Save and Submit Data Adjustment

- To save this Data Adjustment record, select the checkbox against the imported record. Then click Save. An acknowledgement is displayed: *Adjustment Details Saved Successfully*. Click OK. To submit this Data Adjustment for approval to the Adjustment Approver, click Submit. An acknowledgement is displayed: *Adjustment Details Saved Successfully*. Click OK. The Adjustment Rules Details page automatically closes.
- **NOTE:** To send the imported file for approval to the Approver, you must select the checkbox against the record and then click Save.

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2. In Action Details page, click **Refresh**. Newly created Data Adjustment is in the Pending Approval status.

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Vetails Lin	kages Associated Issues									
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NOTE: After you click Save, and do not Submit the Data Adjustment for approval, then the Status of the Data Adjustment is Draft. To move the Status from Draft to Pending Approval, open the Data Adjustment, and click Submit.

10.4 Approve or Reject Data Adjustments

To view, and approve or reject the Data Adjustment:

- 1. Login as Data Adjustment Approver.
- 2. In the application, click the **Select Applications** dropdown box, and select the option **Financial Services Data Governance for US Regulatory Reporting**.
- 3. Click the **Data Governance for US Regulatory Reporting** option on the left hand side of the menu. The **Data Governance for US Regulatory Reporting** window opens.
- 4. Click the Issues and Actions tab. Click Issues. Click the required Issue ID.
- 5. The **Issue Details** page is displayed. Expand **View More**. In the Actions section, click the required Action **ID**.
- The Action Details page is displayed. In the Adjustments section, select the required Data Adjustment which is in Pending Approval Status. To open this Data Adjustment details, click View.



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ID *	Adjustment Name			Adjustment Table		Status	Effective From	Effect	ive To			
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7. The Adjustment Rule Details window is displayed.

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Inbox Standards & Policies Controls >> Control Details >> [s Details Linkages	Adjustment Rule Details Home > Adjustment Rule Details < Back Name	Dataset	Attributes	Review & Save	Next >		? Help Status: Open	^
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Component [*] ? Action Type [*] ? Comments ?					Cancel	Activities	Q Q	
Adjustments (1) I Edit I ▲ ID ▼ Adjustment ✓ 208340 Data Adjust ☑ View More						© Oracle. A	All rights reserved	~

8. Click the **Review & Save** tab. Select the Manual Data **Id**, and click **Download**. The data correction records file uploaded to the system, by the Data Adjustment Creator, is downloaded to your system. Verify the data records. Type the required comments in the **Comments** field.



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9. To approve the Data Adjustment, click Approve. The Adjustment Rule Details window automatically closes. In the Action Details page, in the Adjustments section, click Refresh. The Status of the Data Adjustment is changed to Approved. In the account of Data Adjustment Creator, the Status of this Data Adjustment is updated to Approved.

Or

To reject the Data Adjustment, click **Reject**. The Adjustment Rule Details window automatically closes. In the Action Details page, in the Adjustments section, click **Refresh**.

- a. For a rejected Data Adjustment, the Status is changed to Draft.
- b. Login as Data Adjustment Creator. The Data Adjustment Status is Draft. Select the Data Adjustment ID and click View. In the Adjustment Rule Details page, in the Review & Save tab, make the required correct changes.
- c. To save this Data Adjustment record, click Save. An acknowledgement is displayed: Adjustment Details Saved Successfully. Click OK. To re-submit this Data Adjustment for approval to the Adjustment Approver, click Submit. An acknowledgement is displayed: Adjustment Details Saved Successfully. Click OK. The Adjustment Rules Details page automatically closes.
- d. Login as Data Adjustment Approver and Approve this Data Adjustment.

10.4.1 Summary of the Data Adjustment Approval Process

- 1. In the Approval process:
 - For the User Input Assignment Type:
 - a. The Data Adjustment definition with data correction record is created and submitted for approval by the Data Adjustment Creator (Action Owner) as an actionable task to the Data Adjustment Approver (Issue Owner). Additionally, each Action of the manual



user input, which is the excel sheet import action, is submitted for approval individually.

- b. A workflow task is created for each FIC_MIS_DATE.
 - If the Data Adjustment record is *approved* by the Issue Owner (Data Adjustment Approver) then no further actions are required.
 - If the Data Adjustment record is *rejected* by the Issue Owner (Data Adjustment Approver) then an actionable task is generated for the Data Adjustment Creator (Action Owner) to resolve the problems and re-submit.

NOTE: Data Adjustment workflow for the User Input Assignment Type is: New Data Adjustment > Draft > Pending Approval > Approved or Rejected

- For the Rule Driven Assignmet Type:
 - a. The Data Adjustment definition with data correction is submitted for approval by the Data Adjustment Creator (Action Owner).
 - b. A task is created for the Data Adjustment Approver (Issue Owner).
 - If the Data Adjustment record is *approved* by the Issue Owner (Data Adjustment Approver) then no further actions are required.
 - If the Data Adjustment record is *rejected* by the Issue Owner (Data Adjustment Approver) then an actionable task is generated for the Data Adjustment Creator (Action Owner) to resolve the problems and re-submit. The Status of the Data Adjustment is in Draft state till resubmission and approval.
 - **NOTE:** Data Adjustment workflow for the Rule Driven Assignment Type is: New Data Adjustment > Draft > Pending Approval (If Data Adjustment is Approved, then it is moved to the Approved state. Or, if Data Adjustment is Rejected, then it is moved to the Draft state) > Approved
- 2. After the approval of all the Data Adjustment definitions, you must group and execute, at the level of an Issue, the Data Quality rule associated with the required Data Adjustments.

10.5 Executing Data Quality after Data Adjustments

After creating Data Adjustments, perform these step-by-step procedures to check the Data Quality of the data corrections made during the Data Adjustment process.

10.5.1 Batch Execution Rights

- 1. In the Select Applications dropdown box, select the option Financial Services Data Governance for US Regulatory Reporting.
- 2. Navigate to **Common Tasks > Operations > Batch Execution Rights**.



3. The **User Group – Batch Execution Map** pane is displayed on the right hand side. To select the required batch for mapping, in the **Batch Map** column, select the checkboxes associated with the required Batch Names. Click **Save**.

Object Administration System C	onfiguration & Identity Man	agement					
Select Applications	Common Tasks > Operation	ns > Batch Execution Rig	hts				
Financial Services Data Governance for US 🔻							
Common Tasks			User Group - B	atch Execution Map		۲	
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E Unified Analytical Metadata	» User Group - Batch	Execution Map					
Betadata Report	Information Domain	DGSINFO	-	User Groups	Business Administrator	•	
Operations	Batch Maintenance	Enterprise Modeling	Run Rules Framework	ALL			
Batch Maintenance							
Batch Execution	» User Group - Batch	Execution Map	1			1	
Batch Scheduler	Batch Name		Batch Description Data Quality batch for ALI	U tablas		Batch Map	
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Batch Execution Rights		DGSINFO_CAMPAIGN		MPAIGN tables	~.	V	
Metadata Browser	DGSINFO_COLLATERAL		Data Quality batch for Co			V	
	DGSINFO_COLLECTION	AND RECOVERY	Data Quality batch for Collection and Recovery tables				
Data Governance for US Regulatory Repc	DGSINFO_CREATE_CON		Create Controls				
	DGSINFO_CREATE_CON		This Batch is used to cre	ate Assessments for the Contro	9		
	DGSINFO CREATE ISSU			ation of Issues for a given MIS		v	
	DGSINFO CREATE OP	CONTROLS	Batch to create Operation	al Controls			
	DGSINFO_CRM		Data Quality batch for CR	M tables			
	DGSINFO_TRANSACTION	IS	Data Quality batch for Tra	insactions tables		V	
	DGSINFO_TRANSACTION	LSUMMARY	Data Quality batch for Tra	insaction Summary tables			
	DGSINFO_USER_ROLES		This transformation is us	ed to execute USER_ROLE_SE	L and USER_ROLE_CONCAT scripts	V	
	DGSINFO_WF_GLOSSAR	Y_BT	This batch is used to do	the workflow for glossary and bu	siness terms.		

 Batches corresponding to Data Quality must be executed. Refer to the <u>OFS Data</u> <u>Governance Studio v 8 0 5 0 0 Runchart</u> for Run Name/Batch ID and their order of execution. From the Runchart, perform the tasks from Task 1 to Task 12, and then Task 79.

10.5.2 Batch Maintenance

To create a new Batch:

- 1. Navigate to **Common Tasks > Operations > Batch Maintenance**.
- 2. The Batch Maintenance pane is displayed on the right hand side. To create a Batch, in the Batch Name section, click the Add icon.



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Metadata Browser	DGSCINFO_CAM		Data Quality batch for CAMPAIGN tables E Data Quality batch for Collateral tables E				
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Data Governance for US Regulatory Reporting		LECTION_AND_RECOVERY	Create Controls	Collection and Recovery tables	E		
		ATE_CONTROL ASSESSMENT	This Batch is used to create Assessments for the Controls E				
	DGSCINFO_CRE		This batch is used to create Assessments for the Controls E This batch is used for creation of Issues for a given MIS_DATE E				
	DOSCINFO_CRE	ATE_ISSUES	This batch is used for i	creation of issues for a given w	IS_DATE E		
	> Task Details						
	Task ID	Task Description	Metadata \	/alue	Component ID	Precedence	

3. The **Add Batch Definition** window opens. Enter required details in all the fields, and then click **Save**. A new Batch is created.

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Batch Maintenance Batch Maintenance Batch Monitor Batch Monitor Batch Monitor Batch Cancellation Batch Cancellation Batch Execution Rights Data Governance for US Regulatory Reporting			Save Conc		Ŷ	
	Task ID	Task Description	Metadata Value	Component ID	Precedence	

4. In the Batch Maintenance pane, in the Batch Name section, select the Batch Name checkbox associated with the newly created Batch. For illustration, the DGSINFO_REFRESH_MAT_VIEWS Batch ID is the newly created Batch record. The Task Details section is displayed, which lists the tasks corresponding to the selected Batch Name. To add a new Task to the newly created Batch, click the Add icon.



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	DGSCINFO	_STG_TO_FCT_ASSETS_SOLD	Deprecated. Use	RUN - Data Foundation Ex	ecution Run E			
	» Task Detai	18					- # / # 3[3)[3]	
	Task ID 🔺	Task Description	Metada	ita Value	Component ID	Precedence		
	Task1	Refresh VW_DQ_0	CHECK_MASTER FN_R	EFRESH_MATVIEWS	TRANSFORM DATA	4		
	Task2	Refresh VW_BATC	CH_MASTER FN_R	EFRESH_MATVIEWS	TRANSFORM DATA	1		
	Task3	Refresh VW_DQ_0	BROUP_MASTER FN_R	EFRESH_MATVIEWS	TRANSFORM DATA	1		
	Task4	Refresh	IL MASTER FN_R	EFRESH_MATVIEWS	TRANSFORM DATA			

- 5. The **Task Definition** window is displayed.
 - In the **Components** dropdown box, select the **RUN EXECUTABLE** value.
 - The values are automatically generated for the Datastore Type, Datastore Name, and IP Address fields.
 - In the Executable field, enter the value DataAdjustment.sh,<ISSUE NAME>.
 - For the **Wait** field, select either **Y** or **N** as required.
 - For the **Batch Parameter** field, select **Y**.
 - Enter required details in all the other fields.

	AddTask Definition - In	nternet Explorer			DGSUSER 🔻
Applications Object Administration System Configuration & Identit		Ti	ask Definition	9	
Select Applications Comm Financial Services Data Governance for US Regulatory V Common Tasks B Data Model Management H Unified Analytical Metadata Base	» Task Definition Task ID Components	Task9 RUN EXECUTABLE	Description		• • •
Beth Maintenance ■ Batch Maintenance	» Dynamic Parameter Property Datastore Type	e List	Value		
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Batch Execution Rights Batch Execution Rights Ateladata Browser Data Governance for US Regulatory Reporting	» Audit Panel	Save	Reset Close		
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About Oracle Contact Us Legal Notices Terms Of Use Your Priva	-				tes. All rights reserved.

6. Click **Save**. A new Task for the new Batch is created. You can run this Batch in the Batch Execution section.

NOTE: To check the success and failure status of the Adjustment Task, login to *FSI_MESSAGE_LOG* and *\$FIC_DB_HOME/log/DGS/*.

10.5.3 Batch Execution

- 1. Navigate to **Common Tasks > Operations > Batch Execution**.
- 2. The Batch Execution pane is displayed on the right hand side. Select the Run Batch Mode option. To select the required batch for execution, search for required Batch ID. In Batch Details section, select the checkbox associated with that Batch ID. The Task Details section lists the tasks corresponding to the selected Batch ID. In the illustration, DGSINFO_REFRESH_MAT_VIEWS Batch ID is selected. In the Information Date section, click the calendar and select the date on which the Data Quality had failed and for which the data corrections are made. To run the selected batch, click Execute Batch.

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Select Applie											
	rices Data Governance for		Common Tasks	> Operations >	Batch Execution						
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Metadata Browser		DGSIN	O_BULK_KI_AS	SESSMENT		This bat	ch is to do asse:	ssment for Bulk Ki	I for a given date	9.	
Data G	overnance for US Regula	atory Repc	DGSIN	O_CAMPAIGN			Data Qu	ality batch for CA	MPAIGN tables		
0 7 1	DGSINF	O_COLLATERA	-		Data Qu	ality batch for Co	llateral tables				
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			DGSINF	O_CREATE_CO	NTROL		Create (Controls			
			DGSINF	O_CREATE_CO	NTROL_ASSESSM	IENT	This Bat	tch is used to cre	ate Assessments	for the Controls	5
			DGSIN	O_REFRESH_M	IAT_VIEWS		Refresh	ing MAT Views			
			» Task Det	ails					0, 0,	Ψ	1 - 8 / 8 () ()
			Task ID 🔺	Task Descriptio	n	Metadata Value	Comp	onent ID	Precedence		Task Status
			Task1	Refresh VW_DQ_CHE	OK MASTER	FN_REFRESH_MATVIEW	S TRAN	ISFORM DATA			N
			Task2		BATCH_MASTER	FN_REFRESH_MATVIEWS	S TRAN	ISFORM DATA			N
			Task3	Refresh VW_DQ_GRO	UP_MASTER	FN_REFRESH_MATVIEW	S TRAN	ISFORM DATA			Ν
			Task4	Refresh VW RESULT	DETL MASTER	FN_REFRESH_MATVIEWS	S TRAN	SFORM DATA			N
			Task5	Refresh VW RESULT	SUMM MASTER	FN_REFRESH_MATVIEWS	S TRAN	SFORM DATA			N
			Task6		CT_CONTROL	FN_REFRESH_MATVIEW	S TRAN	SFORM DATA			N
			Task7		UP_CHECK_INFO	FN_REFRESH_MATVIEW	S TRAN	ISFORM DATA			Ν
			Task8	Refresh VW_BATCH_I	IDB_TASK_INFO	FN_REFRESH_MATVIEW	S TRAN	ISFORM DATA			Ν
			» Informat	ion Date							
			Date		12/31/2010	0					

 A pop-up message is displayed: Do you want to execute the batch for MIS Date <MIS_Date>. To continue to execute the batch, click OK. An acknowledgment message is displayed: Batch triggered successfully. The Batch Run Identification is: with the Batch Run Identification number. Click OK.

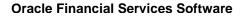


10.5.4 Batch Monitor

- 1. Navigate to Common Tasks > Operations > Batch Monitor.
- 2. The **Batch Monitor** pane is displayed on the right hand side. In the Batch Details section, select the **Batch ID** which was executed during the Batch Execution Settings step. In the illustration, DGSINFO_REFRESH_MAT_VIEWS Batch ID is selected.
- In the Batch Run Details section, click the Information Date dropdown, and select the MIS Date. This is the date on which the Data Quality had failed at the staging. Then click the Batch Run ID dropdown box and select the required value. Click the Start Monitoring icon.

Object Administration System Con	figuration & Identity Manag	gement				
Select Applications	Common Tasks > Operatio	ons > Batch Monitor				
Financial Services Data Governance for US 🔻						
Common Tasks		В	atch Monitor			
Data Model Management	» Search					
Unified Analytical Metadata	Batch ID Like	DGSINFO_	Batch Description Like			
4 Metadata Report	Module		Status	~		
Operations Batch Maintenance	Start Date		End Date			
Batch Execution	» Batch Details			₩ 1 - 7 / 7 (3)(0) ()		
Batch Scheduler	Batch ID 🔺		Batch Description			
Batch Monitor	DGSINFO_CREATE		Create Controls			
Batch Cancellation		_CONTROL_ASSESSMENT	This Batch is used to create Asse			
Batch Execution Rights	DGSINFO_DGPMFW		This is required to handle the Workflow calls for the backend flows of Issue of			
Ketadata Browser		SI_CONTROL_EXEC_DETAIL	Loading data into FSI_CONTROL			
Data Governance for US Regulatory Repor	DGSINFO_LOAD_FS	SI_ERROR_DATA_PROFILE	LOAD_FSI_ERROR_DATA_PRO Refreshing MAT Views	FILE		
	DGSINFO STG CAS		DGSINFO STG CASA GRP DE	OM		
	» Batch Run Details	I and a second s				
	Information Date	20101231	Monitor Refresh Rate (seconds)	5		
	Batch Run ID	DGSINFO REFRESH MAT VIEWS 2010123		5		

4. The Batch Status, Task Details, and Event Log sections are displayed in addition to the existing details in the Batch Monitor pane. Select any task in the Task Details to view its Event Log details. To generate an excel file for these Event Log details, click the Export icon.





pplications Object Administration System Cor	nfigura	ation & Identity I	Aanagement			
Select Applications	Comn	non Tasks 🔰 Ope	rations > Batch Monitor			
Financial Services Data Governance for US V	30	Batch Status				
4 🕲 Common Tasks		Batch Run ID	RESH MAT VIEWS 20101231 1	Batch Status Successful		
Data Model Management	-	Doolini O_nen		Ouccession		
Unified Analytical Metadata	30	Task Details			Ų	1 - 8 / 8 (())
G Metadata Report		Task ID 🔺	Task Description	Metadata Value	Component ID	Task Status
A B Operations	1	Task1	Refresh VW_DQ_CHECK_MASTER	FN_REFRESH_MATVIEWS	TRANSFORM DATA	[13314] Successful
Batch Maintenance		Task2	Refresh VW_BATCH_MASTER	FN_REFRESH_MATVIEWS	TRANSFORM DATA	[13314] Successful
Batch Execution	Task3		Refresh VW DQ GROUP MASTER	FN_REFRESH_MATVIEWS	TRANSFORM DATA	[13314] Successful
Batch Scheduler		Task4	Refresh VW_RESULT_DETL_MASTER	FN_REFRESH_MATVIEWS	TRANSFORM DATA	[13314] Successful
Batch Cancellation		Task5	Refresh VW_RESULT_SUMM_MASTER FN_REFRESH_MATVIEWS TR		TRANSFORM DATA	[13314] Successful
Batch Execution Rights	100	Task6	Refresh VW_FCT_CONTROL	FN_REFRESH_MATVIEWS	TRANSFORM DATA	[13314] Successful
Hetadata Browser		Task7	Refresh VW_DQ_GROUP_CHECK_INFO	FN_REFRESH_MATVIEWS	TRANSFORM DATA	[13314] Successful
Data Governance for US Regulatory Repo	12	Task8	Refresh VW_BATCH_MDB_TASK_INFO	FN_REFRESH_MATVIEWS	TRANSFORM DATA	[13314] Successful
	>>	Event Log				1-2/2000
		sage ID 🔺	Description		Severity	Time
	17		[1707] Batch started by DGSUSER		INFORM	2018-03-02 16:01:27
	42		[1708] Batch Complete		INFORM	2018-03-02 16:01:32

5. After the successful execution of these Data Quality rules for Data Adjustments, the Action Owners must mark the action progress to 100% or mark the Action as completed.



11 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
- <u>Viewing a Reporting Plan</u>

11.1 User Roles and Actions

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

Following is the user role and action for Glossary:

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

11.2 Process Monitoring Workflow

Following flowchart describes the Process Monitoring Workflow:





11.3 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.

11.3.1 Fields and their descriptions

Fields	Description						
Fields marked in red aste	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						
Туре	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					

11.3.2 Procedure to Create a Reporting Plan

Perform the following steps to create a Reporting Plan:

- 1. Navigate to the Process Monitoring Search and List page.
- 2. Click Create Plan. The Plan Details page is displayed.

3. Enter the required information in the fileds.

l <u>ans</u> ≫ Plan Details				? Help Status: New
Details				
				Save Draft
Name* 🕐		D ?	150445	
Objective* ?	×	Owner* ?	OFSAD 🗾 🥭	
Type* ?	×	Frequency*	~	
Description ?				

- 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.*

11.4 Linking Reports to a Plan

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



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Image: Reports Hierarchy Image: FFIEC-009 Image: FFIEC-031 Image: FFIEC-041 Image: FFIEC-0444 Image: F		Selected Mem bers	
Node	OK Cancel	i 🅅 Find	d

11.5 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.



<i>ể</i> Plan Details - Internet Explorer		- 🗆 X
	overnance for US Regulatory Reporting dgsuser Thursday, November 10, 2016 💣 OFSA	🗛 📴 About 🚮 Logout
Inbox Standards & Policies	Controls Key Indicators Process Monitoring Issues & Actions Admin	
Plans >> Plan Details		? Help
		Status: Draft
Details	S Runs - Internet Explorer	- 🗆 🗙
Plan Details	🗄 Runs (3) 💹	
Na Object	🖧 ID KUN NAME KUN CODE KUN DESCRIPTION	
T	1443686743571 PMSegBasel3Std_Scr PMSegBasel3Std_Scr	
Descrip		
	□ 1443686743540 USA - US III - Minimum Tier 1 Levera RNBL0025 USA - US III - Minimum Tier 1 Levera	
	Link Close	
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		-
Reports (1) CLink Delir		_
😤 🔲 Report ID		
22		
🕀 Runs (0) 💽 Add Run 🚺 F		
Tasks (0) Dependent Task		
		© Oracle. All rights reserved
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11.6 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.

	Object Name	Object Type	Modified Date	Modified By	Executable
MS	egBasel3Std_Scr	Run			
E	PM Basel III Risk Weighted Asset Calculation - Credit Risk - BIS Standardised Approach	Process	23-Dec-2014	SYSADMN	
	Non Sec Basel Product Type Assignment - STD	Computation Rule			2
-	Mitigant Standard Issuer Type Assignment - STD	Computation Rule		SYSADMN	2
	Non Sec Basel Methodology Assignment - STD	Computation Rule	25-Jun-2012	SYSADMN	2
-	Non Sec Off-Balance Sheet Drawn CCF Assignment - STD	Computation Rule	25-Jun-2012	SYSADMN	2
	Non Sec CCF Assignment - STD	Computation Rule	25-Jun-2012	SYSADMN	2
	Non Sec Pre-Mitigation EAD Amount - STD	Computation Rule	25-Jun-2012	SYSADMN	2
-	Non Sec Pre-Mitigation EAD Drawn Amount - STD	Computation Rule	25-Jun-2012	SYSADMN	2
	Non Sec Pre-Mitigation EAD Undrawn Amount - STD	Computation Rule	25-Jun-2012	SYSADMN	2
	Basel Methodology Assignment - Standardised Method	Computation Rule	25-Jun-2012	SYSADMN	2
	NON_SEC_RISK_WEIGHT_MAPPING_POPULATION	Data Mapping	29-Sep-2015	SYSADMN	
	NON_SEC_RISK_WEIGHT_MAPPING_POPULATION	Data Mapping	29-Sep-2015	SYSADMN	T2T
-	Basel Methodology Assignment - Non-Sec Standardized Approach - Option 1 - Banks	Computation Rule	25-Jun-2012	SYSADMN	2
	Non Sec Pre-Mitigation RW UL for Banks - Option I - STD	Computation Rule		SYSADMN	2
-	Basel Methodology Assignment - Non-Sec Standardized Approach - Option 1 - PSEs	Computation Rule	25-Jun-2012	SYSADMN	2
	Non Sec Pre-Mitigation RW UL for PSEs - Option I - STD	Computation Rule		SYSADMN	2



Details			
Scope			
🗄 Runs (2) 🖸 Add Run 🕼 Remove Run 🛃 Tasks 💹			
د ID Run Name	Run Code	Run Description	
✓ 1443686743571 PMSegBasel3Std_Scr	PMSegBasel3Std_Scr	PMSegBasel3Std_Scr	
🗌 1443686743540 USA - US III - Minimum Tier 1 Leverage Rati 🛽	RNBL0025	USA - US III - Minimum Tier 1 Leverag 🔊	
<			>
🗄 Tasks (54) Dependent Task 🔯			1/11 《 《 》 》
zask Name	Run Name		Dependent Tasks
Non Sec Pre-Mitigation RW UL for Commercial Entity - STD	PMSegBasel3Std_Sc	я	Collateral Eligibility - STD, Mitigant Eligibility - STD, Non Sec Basel
NON_SEC_RISK_WEIGHT_MAPPING_POPULATION	PMSegBasel3Std_Sc	я	
PARTY_TYPE_RECLASSIFICATION_POPULATION_STD	PMSegBasel3Std_Sc	я	
PROD_TYPE_RECLASSIFICATION_POP_STD	PMSegBasel3Std_Sc	я	
	PMSegBasel3Std_Sc	r	CRM Mitigant Volatility Haircut - Supervisory Haircut, Mitigant Eligit
SUB_EXPOSURES_NON_SEC	r moogbdoord_ord_or		

11.7 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.

	🖻 Dependent Tasks (57) 💹		1/6 ≪ < > >>
	Task Name	Run Name	
Hide.	NON_SEC_RISK_WEIGHT_MAPPING_POPULATION	PMSegBasel3Std_Scr	
The set	PARTY_TYPE_RECLASSIFICATION_POPULATION_IRB	USA - US III - Minimum Tier 1 Leverage Ratio Calcula	ation
Scope	PARTY_TYPE_RECLASSIFICATION_POPULATION_STD	PMSegBasel3Std_Scr	
🖃 Runs (2) 🖭 Add Run 🕼 Remov	PROD_TYPE_RECLASSIFICATION_POP_IRB	USA - US III - Minimum Tier 1 Leverage Ratio Calcula	ation
ID Run Name	PROD_TYPE_RECLASSIFICATION_POP_STD	PMSegBasel3Std_Scr	
1443686743571 PMSegBasel3S	SUB_EXPOSURES_NON_SEC	PMSegBasel3Std_Scr	
1443686743540 USA - US III - Mit	CRM Mitigant Volatility Haircut - Supervisory Haircut	PMSegBasel3Std_Scr	
<	Mitigant Eligibility - STD	PMSegBasel3Std_Scr	
- Tasks (54) 🗹 Dependent Task	Non Sec Basel Methodology Assignment - STD	PMSegBasel3Std_Scr	
Kame Task Name	Collateral Eligibility - STD	PMSegBasel3Std_Scr	
Non Sec Pre-Mitigation RW UL for		Link Close	
NON_SEC_RISK_WEIGHT_MAPP			
PARTY_TYPE_RECLASSIFICATIO			
PROD_TYPE_RECLASSIFICATION	L_POP_STD PMSegBasel3Std_Scr		
SUB_EXPOSURES_NON_SEC	PMSegBasel3Std_Scr	CRM Mitigant Volatility	Haircut - Supervisory Haircut, Mitigant Eligibilit

11.8 Monitoring a Reporting Plan

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

11.9 Viewing a Reporting Plan

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

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



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



12 Dashboards

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

12.1 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 <u>Runchart</u> for further details.

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

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

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

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

The first grid displays the following data:

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

atch NameSelect Value 🔽 [DQ Group NameSelect Value 💌 DQ TypeSelect Value 💌 Date 11/30/2010 💌 IterationSelect Value 💌 Apply Reset
88	3277 total records 2884 valid records
12	393 invalid records 2 entities 18 attributes 20 DQ checks
	Edit



12.1.1 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



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Data Profile Data Buckets								III
Data Profile								
	Entity Stage Cards Attribute Product Code							
	Statistic Name Statistic Value							
	Count Distinct Values 1							
	Count Null Values 6							
	Total Row count 7							

- 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

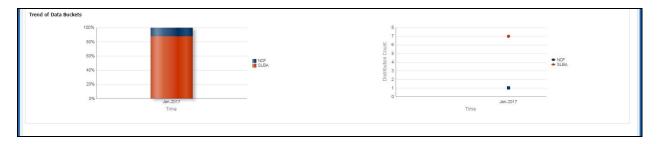
Entity Stage Cards APProduct Code Product Code Count Null Values Total Row count	Trend of Data Profile				
Product Code			Count Null Values	Total Row count	
		Product Code			

- 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

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		SLBA		7								

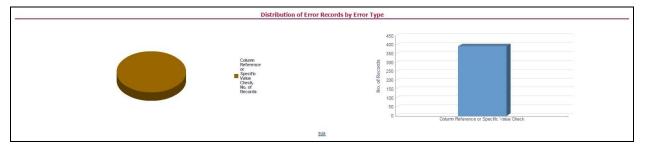
- Trend of Data Bucket: This report shows the trend of data profiling in a 6 month interval from the selected date. It is a graphical representation of Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
 - Bar Graph
 - Line Graph





12.1.2 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



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	andy suge and radiante			
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	Count Distinct Values 1. Count Null Values 6.			
	Total Row count 7.			
Trend of Data Profile				
Trend of Data Profile				
	Entity Stage Cards			
	Attribute Count Distinct Values Count Null Value	Total Row count		
	Product Code			

 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

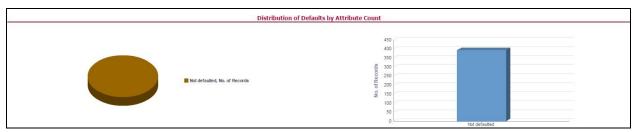
Distribution Count

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Data Buckets											
			Distribution Count								
	Product Dimension	NCF SLBA	1.00 7.00								
Trend of Data Buckets											
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80%				7 E 6				•			
60%				n Count 2						NCE	
40%				4 3 2						 NCF SLBA 	
20%				Dist 2							
0%				1							
Jan-2017 Time							Time	Jan-2017			

- 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

12.1.3 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



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		Statistic Value							
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	Total Row count	7.00							
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Entity Stage Ca									
Attribute	Count Distinct Values	Count Null Values	Total Row count						
Next Payment Dat	°								
				-					

- 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

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Data Profile	Data Buckets											:
Data Buck	ets											
				Dimension		Distribution Count						
				Attrition Dimension	VLU	1.00						
				Country Dimension	VAN	1.00						
				Credit Status Dimension	PERF	1.00						
				Generally Accepted Accounting Principles Dimensio		7.00						
				Geography Dimension	BRA	1.00						
				Organization Structure Dimension	US	1.00						
				Product Dimension	NCF	1.00						
					SLBA	7.00						
					US	1.00						
Irend of E	Data Buckets 1009 809 609 409 209	% % %		BRA NCF FRA US USGAAP VAN VU		8 7 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0			•	+	BRA NCF PERF SLBA JS JSGAAP VAN V/LU	
	01	76	Jan-2017 Time					Time	Jan-2017			

- 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

12.2 Controls Dashboard

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

This section displays two dashboard pages:

- Summary
- Controls by Regulatory Reports

12.2.1 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.

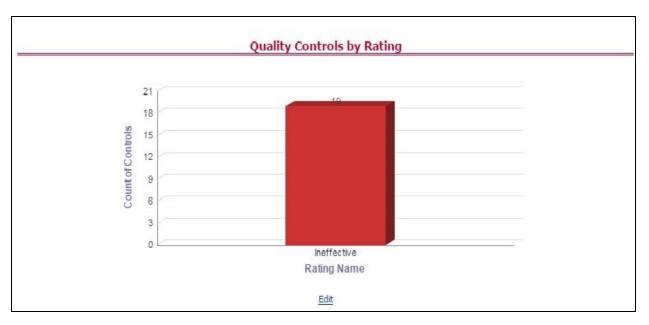
ORACI	Business Intelligence					Search All	*		Advanced	Administrat	ion Help -	Sign Out C
Controls						Home Catalog	Favorites 🕶 🕴 (Dashboards 👻	💁 New 👻	눧 Open 👻	Signed In A	s weblogic •
Summary	Controls by Regulatory Reports											II. 🧿
		871 Quality Control Edit	Date 11/30/2010	Apply Reset	•	o	113 Derational Contro Edit	a				*

12.2.1.1 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 Assessme					
Control ID	Control Name	Number of DQ checks	Assessment ID	Assessment Date	Effective Score	Rating Nam
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

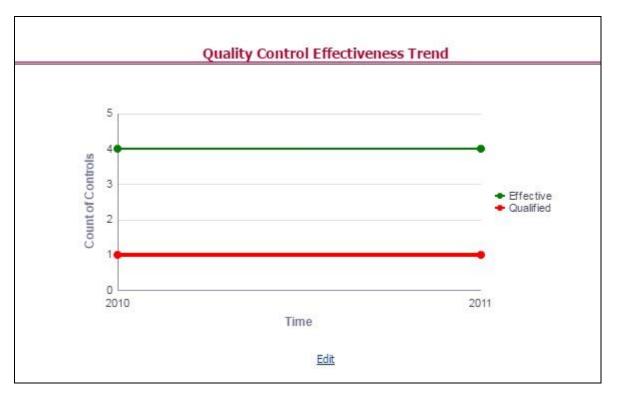
2. Click Assessment ID to view the drill-down Control Parameter Score.

				Control Parameter Score			
Control ID	Assessment ID	Assessment Date	Parameter ID	Parameter Name	Parameter Weight	Parameter Value	Parameter Score
51010	52782	2 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

12.2.1.2 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.





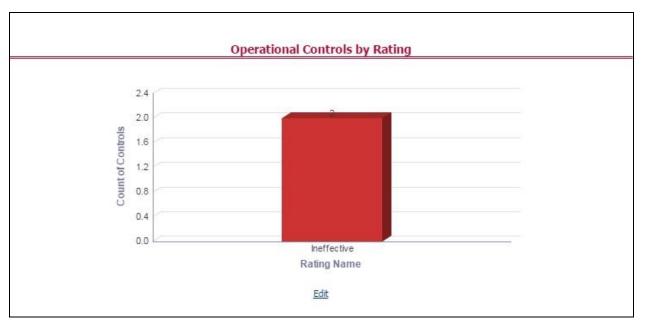
- 3. Click the graphs to view the drill-down **Control Assessment** reports. The following data is displayed under Control Assessment dashboard:
 - Control ID
 - Control Name
 - Number of DQ checks
 - Assessment ID
 - Assessment Date
 - Effective Score
 - Rating Name
- 4. Click Assessment ID to view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

12.2.1.3 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



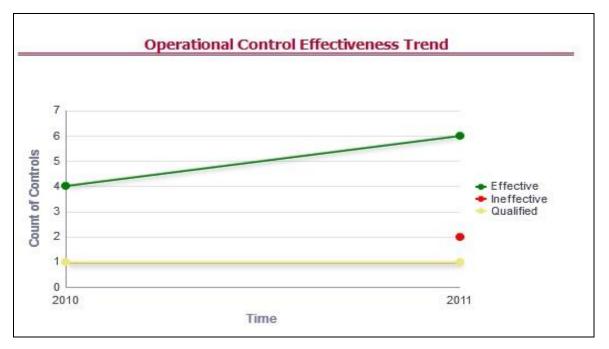


- 5. Click the graphs to view the drill-down **Control Assessment** reports. The following data is displayed under Control Assessment dashboard:
 - Control ID
 - Control Name
 - Number of DQ checks
 - Assessment ID
 - Assessment Date
 - Effective Score
 - Rating Name
- 6. Click Assessment ID to view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

12.2.1.4 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.

12.2.2 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



ORACLE Business Intelligence				Se	aarch All	
Controls				Hom	e Catalog Favorites -	- Dashbo
Summary Controls by Regulatory Reports						
	Report FFIEC-009 💌 Date 11/30/2 Control Assessment Rating Name Effec	Analysis	y Reset 🕶			
	Reporting Line Item	ave quante				
	DATASET_JOINS					
	FEDFIEC009AP002M875	1				
	LA1150C02	1				
	LA1305C02	1				
	LA3170C02	1				
	LA3271C02	1				
	LA3730C02	1				
	LA5510C02	1				
	Edit					

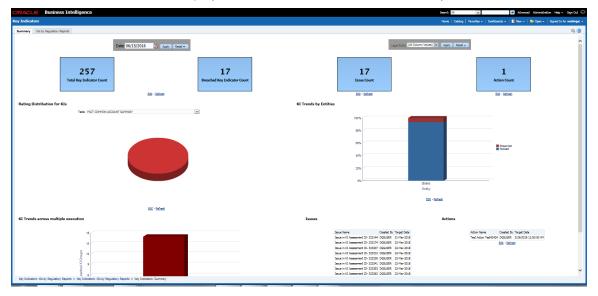
12.3 Key Indicators Dashboards

Key Indicators dashboard displays various types of reports based on the analysis of Key Indicators in the system.

12.3.1 Key Indicators - Summary

The **Summary** tab consists of these performance tiles:

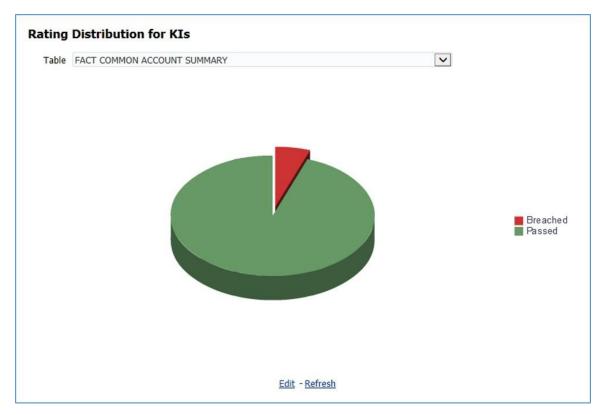
- Total Key Indicator Count: This tile displays the total number of Key Indicators.
- Breached Key Indicator Count: This tile displays the total number of Breached Key Indicators.
- **Issue Count:** This tile displays the total number of Issue based Key Indicators.
- Action Count: This tile displays the total number of Action based Key Indicators.



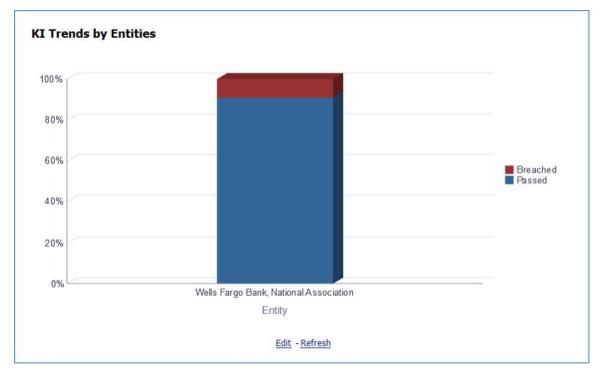
These are the KI Summary dashboard sections:

• Rating Distribution for KIs: This report displays the latest rating distribution for the assessed Key Indicators.

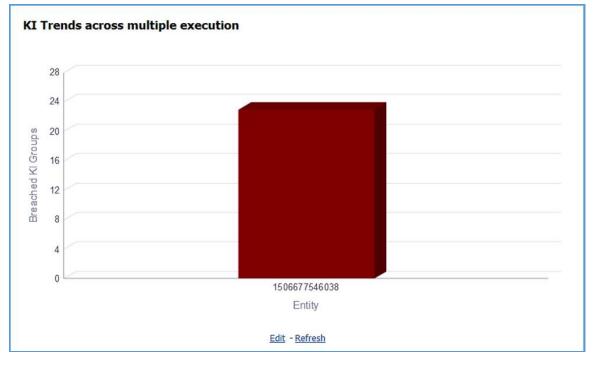




• **KI Trends by Entities:** This report displays the trend of latest entities for the assessed Key Indicators.







• **KI Trends across multiple execution:** This report displays the latest trend across multiple executions for the assessed Key Indicators.

Issues Actions Created Target Created Issue Name Action Name Target Date Date By By Data Quality check failure End Of Period Balance in DGSUSER 04-Apr-DGSUSER 3/19/2018 Action ADj errors Stage Casa Accounts 31-DEC-10 2018 test 12:00:00 AM 04-Apr-Action for Data DGSUSER 3/15/2018 2018 ADJ others 12:00:00 AM Issue in Control Assessment ID- 338735 DGSUSER 23-Maraction DQ errors DGSUSER 3/15/2018 2018 12:00:00 AM Issue in Control Assessment ID- 338738 DGSUSER 23-Maraction for others DGSUSER 3/15/2018 2018 12:00:00 AM test Issue in Control Assessment ID- 376251 DGSUSER 03-Apr-Edit - Refresh 2018 Issue in Control Assessment ID- 376254 DGSUSER 03-Apr-2018 Issue in Control Assessment ID- 376257 DGSUSER 03-Apr-2018 Issue in KI Assessment ID- 323144 DGSUSER 22-Mar-2018 Issue in KI Assessment ID- 323174 DGSUSER 22-Mar-2018 Issue in KI Assessment ID- 323207 DGSUSER 22-Mar-2018 💮 🔐 🕹 🚯 Rows 1 - 10 Edit - Refresh

• Issues and Actions:

Oracle Financial Services Software



12.3.1.1 Viewing Key Indicator Details

To view the Key Indicator details:

1. In the Key Indicators Summary tab, to display the records for a specific date, select the required **Date**, and click **Apply**. In the performance tiles, Key Indicator counts are displayed for the selected date.

ORACLE Business Intelligence	ce	Search All	Advanced Administration Help
Key Indicators		Home Catalog Favorites 🕶 Dashboards 🕶	🖺 New 👻 📴 Open 👻 Signed In As weblogic 👻
Summary KIs by Regulatory Reports			E. 🕐
Date 12/31/20	15 Do Apply Reset -	Legal EntrySelect Value	Apply Reset -
257 Total Key Indicator Count	23 Breached Key Indicator Count	0 Issue Count	0 Action Count
	Edit - Refresh	Edit - Refresh	Edit - Refresh

- 2. To view the Key Indicator details for a performance tile, click that performance tile. These Key Indicator details are displayed:
 - Key Indicator ID
 - Key Indicator Name
 - Key Indicator Description
 - Entity
 - Attribute

For illustration, we are using Breached Key Indicator Count.

Indica	tors	Home Catalog Favorites 🕶 Dashboard	is 👻 🤷 New 👻 🛅 Oj	ipen 👻 Signed In As weblo
reache	d Key Indicator Details			
(ey ndicator d	Key Indicator Name	Key Indicator Description	Entity	Attribute
	Book Value In Reporting Currency In Fact Fixed Assets	This Column Stores The Book Value Of The Exposure In Reporting Currency. Book Value Is Similar To The Cost Basis And Doesn' chr(39) 'T Reflect The Market Value.	FACT FIXED ASSETS	BOOK VALUE IN REPORTING CURRENCY
	Accrued Interest In Reporting Currency In Regulatory Account Summary	This Stores The Accrued Interest Of The Exposure In The Reporting Currency. This Is The Interest Accrued As Of Date, And Which Is Not Yet Paid To The Exposure Holder	REGULATORY ACCOUNT SUMMARY	ACCRUED INTEREST IN REPORTING CURRENCY
	Effective Maturity In Fact Regulatory Capital Account Summary	This Stores The Effective Maturity Of The Exposure.	FACT REGULATORY CAPITAL ACCOUNT SUMMARY	EFFECTIVE MATURITY
	Effective Maturity In Fact Regulatory Capital Pool Summary	This Stores The Effective Maturity Of The Exposure	FACT REGULATORY CAPITAL POOL SUMMARY	EFFECTIVE MATURITY
	Exposure At Default Post Mitigation For The Exposure In Fact Regulatory Capital Pool Summary	This Stores The Exposure At Default Amount Post Mitigation By All Eligible Mitigants	FACT REGULATORY CAPITAL POOL SUMMARY	EXPOSURE AT DEFAULT POST MITIGATION FOR THE EXPOSURE
	Exposure At Default Pre Mitigation In Fact Regulatory Capital Pool Summary	This Stores The Exposure At Default Pre Mitigation	FACT REGULATORY CAPITAL POOL SUMMARY	EXPOSURE AT DEFAULT PRE MITIGATION
	Interest Expense In Reporting Currency In Regulatory Account Summary	This Column Stores The Interest Expenses Incurred By The Account By The Financial Institution For The Period In Reporting Currency.	REGULATORY ACCOUNT SUMMARY	INTEREST EXPENSE IN REPORTING CURRENCY
269	Fair Value In Reporting Currency In Fact Fixed Assets	This Column Stores Fair Value Of An Asset In Reporting Currency. Fair Value Is A Rational And Unbiased Estimate Of The Potential Market Price Of And Asset.	FACT FIXED ASSETS	FAIR VALUE IN REPORTING CURRENCY
	Funded Default Fund Contribution Amount In Fact Regulatory Counterparty Capital Summary	Reporting Entity' chr(39) 'S Default Fund Contribution Backed By Funded Commitments	FACT REGULATORY COUNTERPARTY CAPITAL SUMMARY	FUNDED DEFAULT FUND CONTRIBUTION AMOUNT
	Hisotrical Acquisition Cost In Reporting Currency In Regulatory	This Stores The Historical Acquisition Cost In Reporting Currency	REGULATORY ACCOUNT SUMMARY	HISOTRICAL ACQUISITION COST IN REPORTING

3. To view the **Key Indicator Conditions** details for a Key Indicator, click the required **Key Indicator ID**. The **Key Indicator Conditions** page with dashboards is displayed.



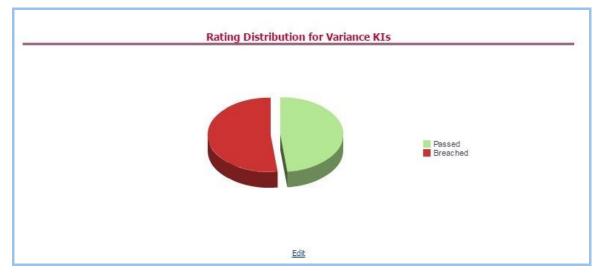
ORACLE Business Intelligence		Search	All	Advanced Administratio	on Help 🕶 Sign Out 🔘
Key Indicators		Home	Catalog Favorites 🛩 Da	ishboards 👻 📔 🎴 New 👻 📔 🗁 Open 👻 🏻	Signed In As weblogic +
					E. 🧿
Key Indicator Conditions					^
	Date 12/31/2	2015 🖄 Apply Reset 🕶			
		_			
0	0	(D	76	
Total Key Indicators	Value Based Key Indicators	Variance Based	Key Indicators	Breached Key Indicator	5
	Edit - Refresh			Edit - Refresh	

12.3.1.2 Viewing Key Indicator Conditions Details

The **Key Indicator Conditions** page displays different Conditions based on which the Key Indicators are assessed.

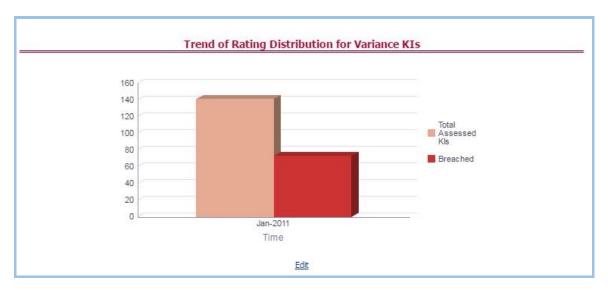
These are the sections of the Key Indicator Conditions dashboards:

• **Rating Distribution for Variance KIs:** This report displays the latest rating distribution for the assessed Variance Key Indicators.

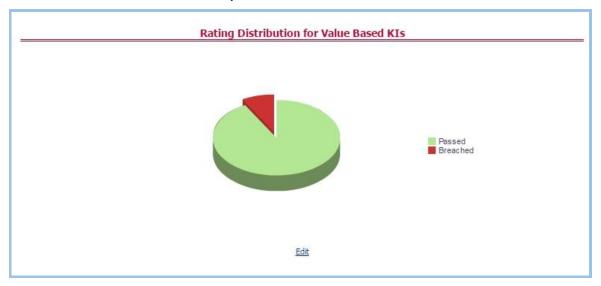


• **Trend of Rating Distribution for Variance KIs:** For the assessed Variance Key Indicators, this report displays the trend of the latest rating distribution.



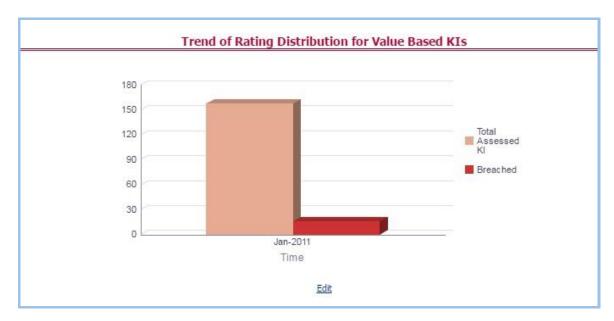


• **Rating Distribution for Value Based KIs:** This report displays the latest rating distribution for the assessed Value Based Key Indicators.



• **Trend of Rating Distribution for Value Based KIs:** This report displays the trend of the latest rating distribution for the assessed Value Based Key Indicators.





To view the Key Indicator Conditions details:

- 1. To view the Key Indicator Conditions details for a performance tile, click that performance tile. These Key Indicator Conditions details are displayed:
 - Key Indicator Condition ID
 - Name
 - Description
 - Comment
 - Type

RACLE		usiness Intelligence Search	All	~	Advanced Administ	гасон нер	 → Sign 	00
Indicators	3	Hom	e Catalog	Favorites 🗸 Dashboards 🗸	📔 🤷 New 👻 📔 🔤 Open ·	 Signed In 	n As webl	lo
		Key Indicator Conditions						_
Cey Indicator Condition ID		Name		Description		Comment	Туре	
		Edit No.9170: Assets Held In Trading Accounts - Revaluation Gains On Interest Rate, Foreign Exchange Rate, And Other Commodity An (Bhcsa210) Should Not Be Negative	Equity Contr	acts BHCSA210 should not be n	egative	KI Comments	Value Based	
		Edit No.9480: Notional Amounts By Regulatory Capital Treatment: All Other Positions: Purchased Protection That Is Recognized As A Gu Regulatory Capital Purposes(Bhckg404) Should Not Be Null And Should Not Be Negative	arantee For	BHCKG404 should not be n	ull and should not be negative	KI Comments	Value Based	
	33201	Edit No.9480: Notional Amounts By Regulatory Capital Treatment: All Other Positions: Purchased Protection That Is Not Recognized As J Regulatory Capital Purposes(Bhckg405) Should Not Be Null And Should Not Be Negative	Guarantee F	or BHCKG405 should not be n	ull and should not be negative	KI Comments	Value Based	
	33298	Edit No.9030: Bhck6761 Should Not Be Null And Should Not Be Negative		BHCK6761 should not be n	ull and should not be negative	KI Comments	Value Based	
	33299	Edit No.9040: Bhck4172 Should Not Be Negative		bhck4172 should not be ne	gative	KI Comments	Value Based	
	33518	Edit No.9480: Bhck3164 Should Not Be Null And Should Not Be Negative		BHCK3164 should not be n	ull and should not be negative	KI Comments	Value Based	
	33519	Edit No.9480: Bhck6438 Should Not Be Null And Should Not Be Negative		BHCK6438 should not be n	ull and should not be negative	KI Comments	Value Based	
	33847	Edit No.9480: Interest Rate Contracts - Notional Value Of All Outstanding Interest Rate Swaps(Bhck3450) Should Not Be Null And Shoul	l Not Be Nega	ative BHCK3450 should not be n	ull and should not be negative	KI Comments	Value Based	
	33848	Edit No.9480: Foreign Exchange Swaps(Bhck3826) Should Not Be Null And Should Not Be Negative		BHCK3826 should not be n	ull and should not be negative	KI Comments	Value Based	
	33849	Edit No.9480: Equity Swaps(Bhck8719) Should Not Be Null And Should Not Be Negative		BHCK8719 should not be n	ull and should not be negative	KI Comments	Value Based	
	33850	Edit No.9480: Commodity And Other Swaps(Bhck8720) Should Not Be Null And Should Not Be Negative		BHCK8720 should not be n	ull and should not be negative	KI Comments	Value Based	
	33987	Edit No.6545: Bhck3164 Less Than Or Equal To Sum Of Bhck6438 + 25		bhck3164 less than or equ	al to sum of bhck6438 + 25	KI Comments	Value Based	



- 2. To view the **Assessment Details** page for a required Key Indicator Condition, click the corresponding **Key Indicator Condition ID**. The **Assessment Details** page is displayed with these details:
 - Assessment ID: This is the Assessment ID corresponding to the selected Key Indicator ID.
 - Key Indicator ID: This is the selected Key Indicator ID.
 - Current Period Value: This is the current period value for the selected Key Indicator ID.
 - **Previous Period Value**: This is the previous period value for the selected Key Indicator ID.
 - Variance: This is the difference in Current and Previous Period Value for the selected Key Indicator ID.
 - Variance %: This is the percentage of Variance based on Previous Period value.
 - RAG Score: This is the RAG value of the selected Key Indicator depending on the various values.
 - Status: This is the status of the selected Key Indicators depending on the various values.

y Indicators					Home Catalog	Favorites 👻	Dashboards 🔫	🤷 New 👻	🔁 Open 👻	Signed In As	weblogic
Assessment Deta	ails										
Assessment ID Key	Indicator ID Curren	t Period Value Previous Peri	iod Value Variance Variance % Rag Score	Status							
322935	33201	1.00	10	0							
326712	33201	1.00	10	•							

12.3.2 Kls by Regulatory Reports

The **KIs by Regulatory Reporting** page displays the Key Indicator Group Details with these columns:

- Key Indicator
- Name
- Owner
- Status

To view the above-mentioned column values for a particular report, select the required report name in the **Plan** dropdown box, and column name in the **Legal Entity** dropdown box. Click **Apply**. A list of KI Group Details is displayed.



ORACLE Business Intelligence	Search All	~	I	Advanced	d Administrat	ion Help v Sig	jn Out 🔘
Key Indicators	Home Catalog	Favorites	🗕 Dashboards	👻 🎴 New 👻	눧 Open 👻	Signed In As we	eblogic 👻
Summary KIs by Regulatory Reports							≣ ?
Plan (All Colum	n Va 💌 Legal Entity (All Column Va 💌 Date 06/15/2016 🔽	Apply	Reset 💌				^
	KI Group Details						
Key Indicator	Name	Owner S	tatus				- 11
9	Asset Market Value In Reporting Currency In Fact Fiduciary Services Investmnet Summary	OFSAD	•				
10	Asset Market Value In Reporting Currency In Fact Fund Cis Composition	OFSAD	•				
11	Balance Amortization Amount In Fact Common Account Summary	OFSAD	2				
12	Balance Amortization Amount In Reporting Currency In Regulatory Account Summary	OFSAD	•				
16	Book Value In Fact Ifrs Account Summary	OFSAD	•				
17	Book Value In Reporting Currency In Fact Fixed Assets	OFSAD	•				
18	Book Value In Reporting Currency In Regulatory Account Summary	OFSAD	•				
19	Book Value Of Mitigant Rcy In Fact Mitigants	OFSAD	•				
20	Book Yield In Fact Ifrs Account Summary	OFSAD	•				
21	Carrying Amount - Reporting Currency In Fact Reg Fixed Assets	OFSAD	3				~

For the required Key Indicator, to view Variance Analysis, Validation Check Analysis, and Trend Analysis, click any Key Indicator number. These details are displayed at the bottom of the page:

- Variance Analysis: Variance Analysis provides these data for the selected report:
 - **Report**: This displays the reporting line item for the selected report.
 - **Schedule**: This displays the schedule code for the respective reporting line item.
 - **Cell Reference**: This displays the MDRM code for the respective reporting line item.
 - KI Condition: This displays the KI condition name.
 - **Current Value**: This provides the current period value for the respective Reporting line item.
 - **Previous Value**: This provides the previous period value for the respective Reporting line item.
 - Variance %: This displays the percentage of Variance based on Previous Value.
 - Status: This is the status of the selected Key Indicators depending on the various values.
 - Dependent KIs: This displays the other Key Indicators on which this MDRM is dependent.

			Variance An	aiysis						
Report	Schedule	Cell Reference	KI Condition	Current Value	Previous Value	Variance %	Status	Dependent KIs		
FFIEC-041	RC-C	RCONF231WORK	ffiec 041 - rc-c	0.00				11		
FFIEC-041	RC-C	RCONF231WORK	ffiec 041 - rc-c	0.00				378		
FI07	FI0700	FI0700R110C110	debt securities-non-financial corporations- accumulated write-offs-112542	0.00						
Edit - Refresh										

a. To view the Assessment details of the selected Key Indicators, click **Dependent KIs**. The Assessment Details page is displayed.

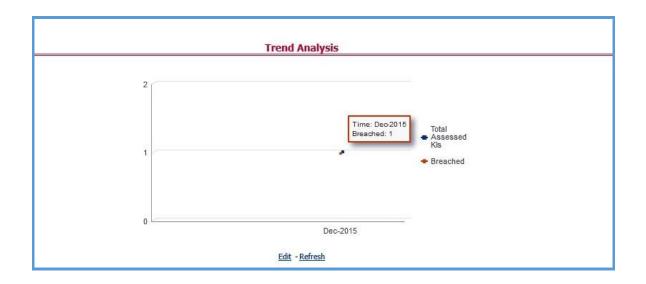
320751 RCONF231WORK	0.00	evious Period Value	Variance Varia	ice % Rag Score	Status					
turn - Edit - Refresh - Create Bookma	irk Link									

- Validation Checks: This displays all the Value-based Key Indicators associated with that Key Indicator Group key. For the selected report, these details are displayed:
 - **Report:** This displays the reporting line item for the selected report.
 - Schedule: This displays the schedule code for the respective reporting line item.
 - **Cell Reference**: This displays the MDRM code for the respective reporting line item.
 - KI Condition: This displays the KI condition name.
 - Status: This is the status of the selected Key Indicators depending on the various values.
 - Dependent KIs: This displays the other Key Indicators on which this MDRM is dependent.

			Validation Checks		
Report	Schedule	Cell Reference	KI Condition	Status	Dependent KIs
FFIEC101	SchH		Edit No.0226: If Probability Of Default (Pct) 0.03 To < 0.10(Aahaj003) Is Equal To Null, Then Probability Of Default (Pct) 0.03 To < 0.10(Aahbj003) Through Aahfj003should Be Equal To Null	9	
			Edit - Refresh		

• **Trend Analysis:** This displays the trend of total assessed Key Indicators and breached Key Indicators for a particular time interval.





a. To view the Key Indicator Details drill down report, click the graph points.

RACLE.	Business Intelligence	Search All 🗸	Advanced Administr	ation Help	Sign Out
Indicators		Home Catalog Favorites	👻 📔 Dashboards 👻 📔 🎦 New 👻 📔 🗁 Open 🛩	Signed In	s weblog
	Key Indicator Details				
ey Indicator	ane	Description		Comment	Туре
35458.00	dt No.8400: Rcfdb868 Equal To Rcfdb868	rcfdb868 equal to rcfdb	.868	KI Comments	Value Based
36650.00	dit No.0226: If Probability Of Default (Pct) 0.03 To < 0.10(Aahaj003) Is Equal To Null, Then Probability Of Default (Pct) 0.03 To < 0.10(Aahbj003) Through Aahfj003should Be Equal To	Null If AAHA3003 is equal to equal to null	o null, then aahbj003 through aahfj003should be	KI Comments	Value Based
37212.00	dit No.203: How Many Loss Caps Are Used In Calculating The Risk-Based Capital Requirement For Operational Risk?(Aasaj121) Must Not Be Negative	AASAJ121 must not be	negative	KI Comments	Value Based
48058.00	dt No.V3906_5: Debt Securities-General Governments-Collective Allowances For Incurred But Not Reported Losses-10064(Fi0404r030c050) Should Be Lesser Than Or Equal To 0	FI0404R030C050 shoul	ld be lesser than or equal to 0 and Edit no. is v3906_1	s KI Comments	Value Based
48544.00	at No.V3928_5: Other Commitments Received-Central Banks-Nominal Amount-39665(FI0902r160c020) Should Be Greater Than Or Equal To 0	FI0902R160C020 shoul v3928_s	ld be greater than or equal to 0 and Edit no. is	KI Comments	Value Based
	alt No.V3956_5: Impairment Or (-) Reversal OF Impairment OF Investment In Subsidiaries, Joint Ventures And Associates-Subsidiaries- Accumulated Impairment-11794(FI1607r070c040) asser Than Or Equal To 0	Should Be FI1607R070C040 shoul	ld be lesser than or equal to 0 and Edit no. is v3956_1	s KI Comments	Value Based
<u>um</u> - <u>car</u> - <u>kere</u>	- Crate Bookmark Link				
tory Reports >	ey Indicators: KIs by Regulatory Reports > Key Indicators: KIs by Regulatory Reports > Key Indicators: KIs by Regulatory Reports > Key Indicators: KIs by Regulatory Reports	> Key Indicators: KIs by Regulatory R	eports > Key Indicators: KIs by Regulatory Report	s > KI Details	Trend An

b. Click the Key Indicator ID to view the Assessment Details report.



ORACLE'	Business Intel	ligence				Search All	~		Advanc	ed Administra	ion Help -	Sign Out 🗢
Key Indicators						Home Catalog	Favorites 👻	Dashboards 👻	隆 New 👻	📄 Open 👻	Signed In A	s weblogic +
Assessment D	etails											
Assessment ID K 320749	Sey Indicator ID Current 35458	Period Value 0.00	Variance Variance %	Rag Score Stal	15							
Return - Edit - Refre	sh - Create Bookmark Link			-								
Indicators: KIs by H	Regulatory Reports > Key	Indicators: KIs by Regulatory Reports	> Key Indicators: KIs by	Regulatory Reports	> Key Indicators: KIs by Regulatory Reports > Key Indicators: KIs by R	egulatory Reports > F	(ey Indicators: I	(Is by Regulatory I	Reports > KI D	etails Trend An	alysis > Asse	sment Details

12.4 Process Monitoring

This dashboard provides the following two pages:

- Process Monitoring
- Process Analysis

12.4.1 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

12.4.1.1 Plan Scope

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



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* p		y report submission plan V Apply Reset V Jser Name 1 Plan Status : Complete Ear Plan Scope						
	Report Name FR 2052a	Report Description Complex Institution Liquidity Monitoring Report						
	FR 2052b	Liquidity Monitoring Report Edit						

12.4.1.2 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.

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Process Monitorin	Process Analysis								E, 🕖
			* Pla		report submission plan 💌 Apply Reset 🕶 ser Name 1 Plan Status : Complete				•
					Plan Scope				
				Report Name	Report Description				
				FR 2052a	Complex Institution Liquidity Monitoring Report				
				FR 2052b	Liquidity Monitoring Report				
					Edit				
	1 Total Runs		55 Total Tasks		100% Tasks Complete		Tim	01:15 e Elapsed t:MM:SS	
		Edit			Edit			Edit	

12.4.1.3 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.

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	Task	Fracking						
		1		L				
	4 US FED Run	Start Time 13-Dec-16 07:57:01	End Time	Time Taken (HH:MM:SS)	Failed			
	Reg Collateral Stock - Mitigant		13-Dec-16 07:58:16 13-Dec-16 07:58:10					
	Reg Collateral Stock - Placed		13-Dec-16 07:58:10 13-Dec-16 07:57:46		Success			
	Reg Covered Transaction Type - Credit Line		13-Dec-16 07:57:46 13-Dec-16 07:57:11		Success Failed			
	Reg Covered Transaction Type - Creat Line		13-Dec-16 07:57:53		Failed			
	Reg Covered Transaction Type - Loans Reg Covered Transaction Type - Securities Borrowings and Lending				Failed			
	Reg Liq Cashflow - Inflow Assets - Forward Asset Purchases							
	Reg Liq Cashflow - Inflow Assets - Porward Asset Purchases		13-Dec-16 07:57:08		Success			
	Reg Liq Cashflow - Inflow Assets - Onsetueu Asset Purchases Reg Liq Cashflow - Inflow Others - Derivatives		13-Dec-16 07:57:14		Success			
	Reg Liq Cashflow - Inflow Outers - Derivatives Reg Liq Cashflow - Inflow Secured - Collateral Swaps		13-Dec-16 07:57:09		Success			
	Reg Liq Cashflow - Inflow Secured - Collateral Swaps	13-Dec-16 07:57:53			Success			
	Reg Liq Cashflow - Inflow Secured - Donar Rois		13-Dec-16 07:57:54		Failed			
	Reg Liq Cashflow - Inflow Secured - Reverse Repo	13-Dec-16 07:57:11			Success			
	Reg Liq Cashflow - Inflow Unsecured - Securities borrowings Reg Liq Cashflow - Inflow Unsecured - Nostro Account	13-Dec-16 07:57:22			Success			
			13-Dec-16 07:57:06		Failed			
	Reg Liq Cashflow - Inflow Unsecured - Offshore Placement		13-Dec-16 07:57:09		Success			
	Reg Liq Cashflow - Inflow Unsecured - Onshore Placement		13-Dec-16 07:58:03		Success			
	Reg Liq Cashflow - Loan Book - Committed Draws	13-Dec-16 07:57:46	13-Dec-16 07:57:50	00:00:04	Success			

12.4.2 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.

ORACLE	Business Int	elligence				Search All	~		Advanced	Administrat	ion Help -	Sign Out C
Process Monitori	ing					Home Catalog	Favorites 👻	Dashboards 👻	🗳 New 👻	🔁 Open 👻	Signed In A	s weblogic ·
Process Monitoring	Process Analysis											H, 🕐
			* Plan Daily regulatory report subn	mission plan V Date 00:01:15 Average Total Time HH::MM:SS Edit	12/13/2016 💟 Apply 1	leset 🕶						4

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

12.4.2.1 Plan Performance

This report displays the time taken by the Run.



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Process Monitoring Process Analysis								E, (
		Plan Performance						
	12 (iiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiii	US FED Plun Edd	13-Dec-16, Teak usen Duration					

Click X axis to view the Task level details.

12.4.2.2 Longest Running Tasks

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

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Process Monitoring			Home Catalog Favorites +	Dashboards 🗸	- 🔮 New 🛩	🗁 Open 👻	Signed In As weblo
Process Monitoring Process Analysis							E,
	Longest Running Tasks						
	Task Name	Time Taken (HH:MM:SS)					
	Reg Liq Cashflow - Outflow Wholesale - Group 3	00:00:29					
	Reg Collateral Stock - Mitigant	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 Suppl⊨X	00:00:08					
	Reg Liq Cashflow - Inflow Others - Derivatives	00:00:07					
	Reg Liq Cashflow - Inflow Unsecured - Offshore Placement	00:00:07					

12.4.2.3 Trend of Rating Distribution for Variance KIs

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

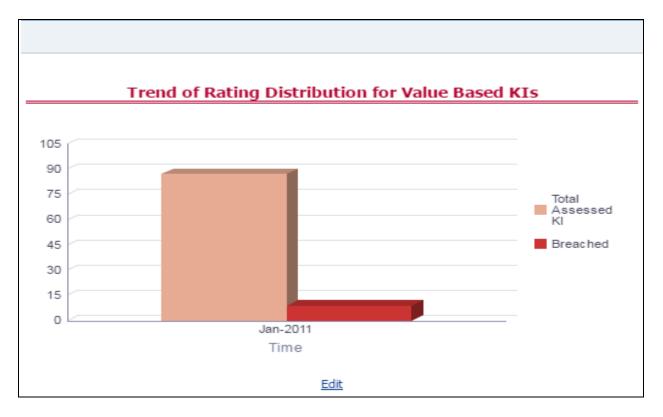


Process Monitoring	Process Analysis	
	Trend of Rating Distribution f	or Variance KIs
4500		
3500		
3000		Total Assessed
2500		Kis
2000		Breached
1500		
1000		
500		

12.4.2.4 Trend of Rating Distribution for Value Based KIs

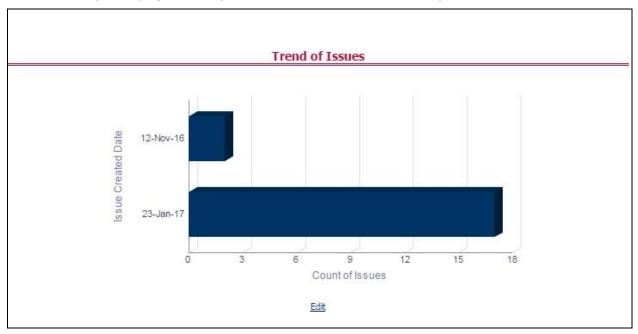
This report displays the rating distribution of Value Based KIs in the form of bar-graph.





12.4.2.5 Trend of Issues

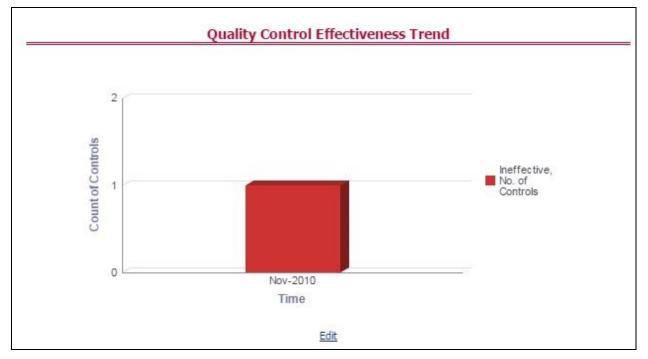
This report displays issue reported for KIs based on the selected plan.





12.4.2.6 Quality Control Effectiveness Trend

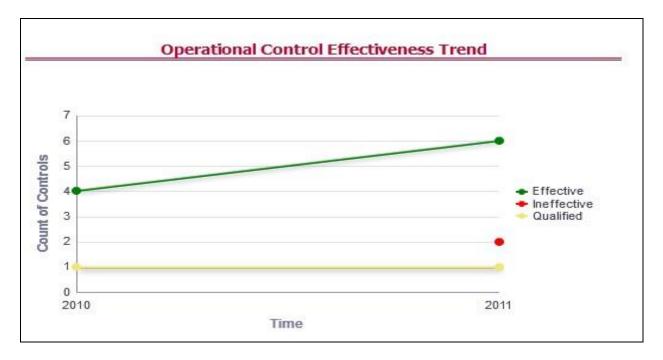
This report displays the Quality Control Effectiveness, based on the selected Plan, in the form of bar-graph.



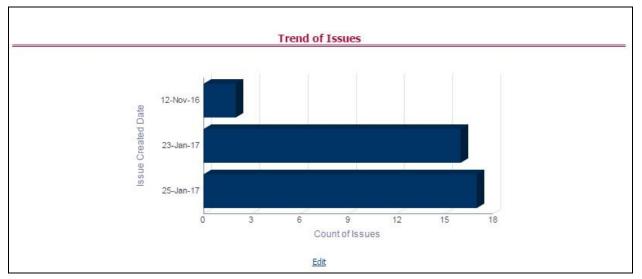
12.4.2.7 Operational Control Effectiveness Trend

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





12.4.2.8 Trend of Issues



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

12.5 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

12.5.1 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.

		Report Na	lame FR 2052a 🔻		
					·
			Reporting Elements		
Schedule Name	Total	Without Errors	Variance Indicator breach	KI Breach	Control Failure
FR-20252A-S.FX	0	0	0	0	0
FR-2052A-IA	0	0	0	0	0
FR-2052A-IO	0	0	0	0	0
FR-2052A-IS	0	0	0	0	0
FR-2052A-IU	0	0	0	0	4
FR-2052A-OD	0	0	0	0	0
FR-2052A-OS	0	0	0	0	0
FR-2052A-OW	0	0	0	0	0
FR-2052A-SI	0	0	0	0	2

- 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

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

- 3. Click **No Errors** associated with each schedule to display Reporting Element drill-down Report. Following details are displayed:
 - Schedule: It displays the name of the schedule.
 - Cell Reference: It displays the reporting elements associated with the schedule.
 - Breached Variance KI: It displays if there are any Breached Variance KIs.
 - Breached Value Based KI: It displays if there are any Breached Value Based KIs.
 - Ineffective Control: It displays if there are any Ineffective Controls.



Schedule	Cell Reference	Breached Variance KI	Breached Value Based KI	Ineffective Contro
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

- 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

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														11
Variance Indicators														
		Plan N	ame :QA Te	est 1 Report : I	FIEC101 Schedule	: SchG Date : 04-Jan-1	1							
	Variance Indicator	Owner	Report	Cell Reference	e Current Value	Previous Value Varia	nce Variance %	Variance % (La	st period)	Status Status(L	ast Period)			
	Variance of 100 default	OFSAD	FFIEC101	AAGB0034	1.00					0	0			
				AAGF3034	1.00					٩	٩			
				AAJKJ034	1.00					•	•			
				AAJLJ034	1.00					•	•			
	Variance of eligible margin loans where a 300% risk-weight has been applied	OFSAD	FFIEC101	AAJCJ037	1.00					•	٢			
	Variance of probability of default (pct) 0.00 to < 0.15	OFSAD	FFIEC101	AAFD3005	1.00					•	0			
	Variance of probability of default (pct) $0.15 \text{ to} < 0.25$	OFSAD	FFIEC101	AAFFJ008	1.00					0	0			

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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ssue E	Details - Variance Indicators												
issue D	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 exper	ises under other	Assets Null & M	Vegative indicator
				User Name 1	12-Nov-2016	Open							
	Issue in Task - DG5CONFINFO_1479376218501_Task86	Reg Liq Cashflow - Outflow Deposits - Prepaid Cards		Issue Owner	30-Jan-2017	Open				Reg Liq Cashfi	ow - Outflow De	posits - Prepaid	Cards
	Issue in Task - DGSCONFINFO_1479376218501_Task84	Reg Liq Cashflow - Inflow Unsecured - Nostro Account		Issue Owner	30-Jan-2017	Open				Reg Liq Cashfl	ow - Inflow Unse	cured - Nostro	Account
	Issue in Task - DGSCONFINFO_1479376218501_Task79	Reg Liq Cashflow - Inflow Secured - Dollar Rolls		Issue Owner	30-Jan-2017	Open				Reg Liq Cashfi	ow - Inflow Secu	red - Dollar Ro	ls
	Issue in Task - DGSCONFINFO_1479376218501_Task123	Reg Covered Transaction Type - Securities Borrowings and Lending		Issue Owner	30-Jan-2017	Open				Reg Covered Lending	Transaction Type	- Securities Bo	rrowings and
	Issue in Task - DGSCONFINFO_1479376218501_Task122	Reg Covered Transaction Type - Loans		Issue Owner	30-Jan-2017	Open				Reg Covered	Transaction Type	e - Loans	
	Issue in Task - DGSCONFINFO_1479376218501_Task120	Reg Covered Transaction Type - Credit Line		Issue Owner	30-Jan-2017	Open				Reg Covered	Transaction Type	- Credit Line	
	Issue in Task - DGSCONFINFO_1479376218501_Task115	Reg Trading Position Class - External Cash Transaction		Issue Owner	30-Jan-2017	Open				Reg Trading P	osition Class - E	dernal Cash Tri	Insaction
	Issue in Task - DGSCONFINFO_1479376218501_Task114	Reg Trading Position Class - Customer Longs		Issue Owner	30-Jan-2017	Open				Reg Trading P	osition Class - Ci	ustomer Longs	
	Issue in Task - DGSCONFINFO_1479376218501_Task110	Reg Liq Cashflow - Suppl Info - Structured Debt		Issue Owner	30-Jan-2017	Open					ow - Suppl Info -		
99909	Issue in Task - DGSCONFINFO_1479376218501_Task109	Reg Liq Cashflow - Suppl Info - Client Position		Issue Owner	30-Jan-2017	Open				Reg Liq Cashfi	ow - Suppl Info -	Client Position	
	Issue in Task - DGSCONFINFO_1479376218501_Task108	Reg Liq Cashflow - Suppl Info - Other Collateral Sub Risk and Capacity		Issue Owner	30-Jan-2017	Open				Reg Liq Cashfl Capacity	ow - Suppl Info -	Other Collater	al Sub Risk and
	Issue in Task - DGSCONFINFO_1479376218501_Task107	Reg Liq Cashflow - Suppl Info - Sub Risk and Capacity		Issue Owner	30-Jan-2017	Open				Reg Liq Cashfi	ow - Suppl Info -	Sub Risk and (apacity
99913	Issue in Task -	Reg Liq Cashflow - Outflow Others - TBA Purchases		Issue Owner	30-Jan-2017	Open				Reg Liq Cashfl	ow - Outflow Ot	hers - TBA Purc	hases

- 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)



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alue Based Indicators	Plan Name :Quarterly regulatory report submission pl	an Report :FR	Y•11 Sch	edule :BS-M D	ate :05-Ja	⊳11					
	Name	Owner	Report	Cell Reference	e Value	Status Value	(Last Period) Stat	tus(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	•		٩			
	Cash dividends declared indicator with Stock under equity capital	User Name 1	FRY-11	BHCS4598	0.00	0					
	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	0		۹			
	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	9		0			
	Net change in fair values of financial instruments accounted for under a fair value option indicator	User Name 1	FRY-11	BHCSJ980	0.00	0		٩			
	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	•		0			
	Realized gains (losses) on securities indicator with Held to maturities or Available for Sale securi	User Name 1	FRY-11	BHCS4091	0.00	0					
	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	•		٩			
	Trading assets indicator with Assets held in trading accounts	User Name 1	FRY-11	BHCS5478	1.00	0					
	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	•		0			

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

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 Cod
Issue Testing 1			User Name 1	12-Nov-2016	Open					FFIEC-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						

- 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

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Regulatory Repo	ort Analysis					Home	Catalog	Favorites 🕶	Dashboards -	📑 New 🗸	╞ Open 👻 📔	Signed In As webb
1												E,
Control Details - S	ils - Schedule Report	Plan Name : Quarterly regulatory report sul	omission plan l	Report : FFIEC-	031 Schedule : I	RC Date: 30-Nov-10						
		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						
						Failed						
					RCFD1763	Failed						
					RCFD1764	Failed						
					RCFD1797	Failed						
					RCFD2081	Failed						
					RCFD2107	Failed						
					RCFD2746	Failed						
					RCFD3381	Failed						
					RCFD3484	Failed						
					RCFD5367	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

CLE Business Intelligence					Se	arch All	*		Advanced	Administration	n He
ory Report Analysis					Ha	me Catalog	Favorites -	Dashboards	🕶 📑 New 🛩	🛅 Open 👻 🏻 !	Signex
e Details - Controls											
Issue Name	Control Name	Cell Reference	Issue Owner	Target Completion Date	Issue Status	Action Name	Action Owner	Action Status	Control Report Cod	e Control Schedu	ule Co
Issue Testing 1	ATM Expenses in ATM Expenses		User Name 1	12-Nov-2016	Open						
			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						
			User Name 1	12-Nov-2016	Open						
Issue in Task - DGSCONFINFO_1479376218501_Task105	Reg Liq Cashflow - Outflow Others - TBA Purchases		Issue Owner	30-Jan-2017	Closed						
				30-Jan-2017	Open						
Issue in Task - DGSCONFINFO_1479376218501_Task107	Reg Liq Cashflow - Suppl Info - Sub Risk and Capacity		Issue Owner	30-Jan-2017	Open						
				30-Jan-2017	Open						
Issue in Task - DGSCONFINFO_1479376218501_Task108	Reg Liq Cashflow - Suppl Info - Other Collateral Sub Risk and Capacity	(i	Issue Owner	30-Jan-2017	Open						
				30-Jan-2017	Open						
Issue in Task - DGSCONFINFO_1479376218501_Task109	Reg Liq Cashflow - Suppl Info - Client Position		Issue Owner	30-Jan-2017	Open						
				30-Jan-2017	Open						
Issue in Task - DGSCONFINFO_1479376218501_Task110	Reg Liq Cashflow - Suppl Info - Structured Debt		Issue Owner	30-Jan-2017	Open						
				30-Jan-2017	Open						
Issue in Task - DGSCONFINFO_1479376218501_Task114	Reg Trading Position Class - Customer Longs		Issue Owner	30-Jan-2017	Open						
				30-Jan-2017	Open						
Issue in Task - DGSCONFINEO_1479376218501_Task115	Reg Trading Position Class - External Cash Transaction		Issue Owner	30-Jan-2017	Open						
				30-Jan-2017	Open						

- 7. Click **Data Quality Checks** associated with each Control to display the following Data Quality Details:
 - ID
 - DQ Check
 - Type
 - Result Entity
 - Attribute

RACLE Business Intelligence			Search All 🔿 Advanced Administration Help • Se
gulatory Report Analysis			Home Catalog Pavorites + Dashboards + 💁 New + 🏷 Open + Signed In As w
Data Quality Details			
ID DQ Check	Туре	Result Entity Attribute	
QFSDWNU00 The account outstanding balance at the end of the month should	d be greater than Cash balance Column Reference or Spe	ecific Value Check Failed Stage Cards End Of Period Balance	
eturn - Analyze - Edit - Refresh - Greate Bookmark Link			

12.5.2 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.



type prot Analysis type prot Analysis type prot (all planes) type prot (all planes) <thtype (all="" planes)<="" prot="" th=""> <thtype prot<="" th=""><th></th><th>ness Intellige</th><th>nce</th><th></th><th></th><th></th><th></th><th></th><th></th><th>Sei</th><th>arch All</th><th>×.</th><th></th><th>Advance</th><th>ed Administr</th><th>ation Help -</th></thtype></thtype>		ness Intellige	nce							Sei	arch All	×.		Advance	ed Administr	ation Help -
Reporting Elements View Reporting Schedule Herarchy Report Schedule Reporting Element View Report Schedule Report Code PEOCe020 15 0 0 0 0 PEOCe020	y Report Anal	ysis								Но	me Catalog	Favorites 🕶	Dashboards 🗸	New 🗸	📴 Open 🚽	Signed In As
Report / Schedule Total No Errors Variance Indicator breach KI Breach Control Faiture KI Schedule Code Vew Reporting Schedule Reporting Element View Reports Schedule Herarchy Report Schedule Reporting Element PERCEND2 15 0 0 0 0 Control Faiture KI Schedule Code Control Faiture KI Schedule Code Control Report Code PERCEND2 PERCEND2 9718 9278 440 0 0 0 FRV:144 FRV:144 <td></td>																
Report Odd Total No Errors Variance Indicator breach KI Breach. Control Failure: IK Schedule Code KI Breach. Code Control Report Code Control Schedule Code Control Report Code > FRV-144 9716 927.0 0 0 0 FRV-144 FRV-144 FRV-144 > FRV-144 9716 927.0 440 0 0 FRV-144 FRV-144 FRV-144 JESUE MILIE JESUE MILIE Section Tracking							Plan Anal	ysis by Report								
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Issue ID Issue Name Issue Owner Target Completion Date Issue Status Action Name Action Owner Action Status 154940 Issue in Task - DSSCONFINFO_1497248181328_Tsk105 23-Feb-2017 New Action Name Action Owner Action Status 155174 Issue in Task - DSSCONFINFO_149724818328_Tsk162 23-Feb-2017 New 155174 Testing 0FSA0 16-Feb-2018 New							Analyze	- EOR - Kerresn								
Issue ID Issue Name Issue Owner Target Completion Date Issue Status Action Name Action Owner Action Status 154940 Issue in Task - DOSCONFTINFO_1497248181328_Task105 23-Feb-2017 New Action Name Action Owner Action Status 1559174 Issue in Task - DOSCONFTINFO_1497248181328_Task52 24-Feb-2017 New							Tssue and	Action Tracking								
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156964 Texthig OFSAD 28-Feb-2018 Open CPSAD OPSAD Complete 160755 textinu1 OFSAD 28-Feb-2018 Open Complete 181692 7492677 OFSAD 28-Feb-2018 Open OFSAD Complete 181692 7492677 OFSAD 28-Feb-2018 Open OFSAD Open 191694 OFSAD 28-Feb-2018 Open OFSAD Open 191694 OFSAD 28-Feb-2018 Open OFSAD Open 191694 OFSAD OFSAD 28-Feb-2018 Open OFSAD Open 191694 OFSAD OFSAD OFSAD OFSAD OFSAD Open 191694 OFSAD OFSAD OFSAD OFSAD Open																
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181570 79000 OFSAD 28-Feb-2018 Open OFSAD Complete 181572 7492677 OFSAD 28-Feb-2018 Open 109550 OFSAD Complete 240357 OFSAD Open 240357 OFSAD Open 200969 OFSAD OPEN 075AD Open 7492677 OFSAD Open 240357 OFSAD Open 7492677 OFSAD Open 740726 OFSAD Open				156174 156742	Issue in Task - DGSCONFI Testing		sk62 OFSAD	28-Feb-2017 16-Feb-2018	New New							
181692 7492677 OF5AD 28-Feb-2018 Open 1099500 OF5AD Complete 2403557 OF5AD Open 3909669 OF5AD Open 7460126 OF5AD Open				156174 156742 156964	Issue in Task - DGSCONFI Testing Testing		sk62 OFSAD OFSAD	28-Feb-2017 16-Feb-2018 28-Feb-2017	New New New							
2483657 OFSAD Open 3309669 OFSAD Open 7267442 OFSAD Open 7460126 OFSAD Complete				156174 156742 156964 160755	Issue in Task - DGSCONFI Testing Testing testing1		sk62 OFSAD OFSAD OFSAD	28-Feb-2017 16-Feb-2018 28-Feb-2017 28-Feb-2017	New New Open	testing1	OFSAD	Complete				
3909659 07540 Open 7287472 07540 Open 7460226 07540 Open				156174 156742 156964 160755 181570	Issue in Task - DGSCONFI Testing Testing testing1 79000		sk62 OFSAD OFSAD OFSAD OFSAD	28-Feb-2017 16-Feb-2018 28-Feb-2017 28-Feb-2017 28-Feb-2018	New New Open Open	-						
7287442 OF54D Open 7460126 OF54D Complete				156174 156742 156964 160755 181570	Issue in Task - DGSCONFI Testing Testing testing1 79000		sk62 OFSAD OFSAD OFSAD OFSAD	28-Feb-2017 16-Feb-2018 28-Feb-2017 28-Feb-2017 28-Feb-2018	New New Open Open	1059580	OFSAD	Complete				
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				156174 156742 156964 160755 181570	Issue in Task - DGSCONFI Testing Testing testing1 79000		sk62 OFSAD OFSAD OFSAD OFSAD	28-Feb-2017 16-Feb-2018 28-Feb-2017 28-Feb-2017 28-Feb-2018	New New Open Open	1059580 2483657 3909869	OFSAD OFSAD OFSAD	Complete Open Open				
				156174 156742 156964 160755 181570	Issue in Task - DGSCONFI Testing Testing testing1 79000		sk62 OFSAD OFSAD OFSAD OFSAD	28-Feb-2017 16-Feb-2018 28-Feb-2017 28-Feb-2017 28-Feb-2018	New New Open Open	1059580 2483657 3909869 7287442	OFSAD OFSAD OFSAD OFSAD	Complete Open Open Open				
9201654 OP54D Open				156174 156742 156964 160755 181570	Issue in Task - DGSCONFI Testing Testing testing1 79000		sk62 OFSAD OFSAD OFSAD OFSAD	28-Feb-2017 16-Feb-2018 28-Feb-2017 28-Feb-2017 28-Feb-2018	New New Open Open	1059580 2483657 3909869 7287442 7460126	OFSAD OFSAD OFSAD OFSAD OFSAD	Complete Open Open Open Complete				
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				156174 156742 156964 160755 181570	Issue in Task - DGSCONFI Testing Testing testing1 79000		sk62 OFSAD OFSAD OFSAD OFSAD OFSAD	28-Feb-2017 16-Feb-2018 28-Feb-2017 28-Feb-2017 28-Feb-2018 28-Feb-2018	New New Open Open Open	1059580 2463657 3909869 7287442 7460126 78900	OFSAD OFSAD OFSAD OFSAD OFSAD OFSAD	Complete Open Open Open Complete Open				

12.5.3 Create Action

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

			📓 Save Draft 丨 🐸 Cancel
Action Name* ?		ID ? 301066	
Description ?			
Criticality* ?		Owner* ?	
Start Date* ?		Target Date* ?	
Reminder(days)* ?			
Component* ?	Control 2	Primary Source ? Instrument Code in Stage Investments	
Comments ?			



13 Metadata Browser

This section includes the following sections:

- Exporting Metadata Browser Objects to XML
- <u>Registering a Metadata Browser Object</u>
- Publishing a Metadata Browser Business Term

13.1 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.

 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:

```
<0bject>
<infodom>{infodom}</infodom>
<objectType>{0bject_Type_Id}</objectType>
</0bject>
Below is the format of the corresponding response XML:
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<0bjects>
<object>
<Id>{object_def_id}</Id>
</row:>
<Name>{object_name}</Name>
<MasterId>{master_id}</MasterId>
<Folder>{folder_name}</Folder>
<Type>{object type id}</Type>
```



```
</object>
<object>
<Id>{object def id}</Id>
<Name>{object name}</Name>
<MasterId>{master id}</MasterId>
<Folder>{folder name}</Folder>
<Type>{object_type_id}</Type>
</object>
<object>
<Id>{object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{master id}</MasterId>
<Folder>{folder name}</Folder>
<Type>{object_type_id}</Type>
</object>
.
<object>
<Id>{object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{master id}</MasterId>
<Folder>{folder name}</Folder>
<Type>{object_type_id}</Type>
</object>
</Objects>
```

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

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

```
<object>
<infodom>{infodom}</infodom>
<Id>{Object_def_id}</Id>
<Name>{object_name}</Name>
<MasterId>{Master_Id} </MasterId>
<Folder>{Folder name}</Folder>
```



```
<Type>{Object Type Id}</Type>
</object>
Following is the format of the corresponding response XML:
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<Object>
<Id>{Object def id}</Id>
<Name>{object name}</Name>
<MasterId>{Master id}</MasterId>
<Folder>{folder name}</Folder>
<Type>{object type id}</Type>
<Properties>
  <Property desc="property description">
         <AttributeName>{attribute name}</AttributeName>
         <AttributeValue>{attribute value}</AttributeValue>
   </Property>
   <Property desc="property description">
         <AttributeName>{attribute name}</AttributeName>
         <AttributeValue>{attribute value}</AttributeValue>
         <AttributeValue>{attribute name}</AttributeName>
         <AttributeValue>{attribute value}</AttributeValue>
   </Property>
   <Property desc="property description">
         <AttributeName>{attribute name}</AttributeName>
         <AttributeValue>{attribute value}</AttributeValue>
         </Property>
   <Property desc="property description">
         <AttributeName>{attribute name}</AttributeName>
         <AttributeValue>{attribute value}</AttributeValue>
   </Property>
```



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

13.2 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>
           </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>
           </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>
            </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>
```



13.3 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.



14 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.

14.1 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

 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.

14.2 Creating and Exporting Metadata Report Templates

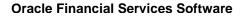
Perform the following steps to create and export Metadata Report Templates:

1. Navigate to Object Administration \rightarrow Utilities \rightarrow Metadata Report.

DR/		cial Services Analyti	ical Applications					
oplications	Object Administration	System Configuration & Ide	ntity Management					
Select Infor	mation Domain		Financial Services Analyt	ical Applications Infrastructure > Object Adr	ninistration > Utilities > Metadata Report			
DGSCONFI	NFO	Ψ.	* Search and Filter	🗘 Go 🌙 Clear 🌯 Refresh				
	ncial Services Analytical Ap Object Administration	produces mindou doure	ID ? * Template List (3) 1.0	Add Delete View CEdit Export to exc	el Export to XML 3000wnload			
			💑 Template ID	Template Name	Template Description	Created Date	Created By	Stat
			223623	report_2314		17-02-2017	OFSAD	Corr
			223604	usage		17-02-2017	OFSAD	Corr
			223603	lineage		17-02-2017	OFSAD	Com
								>

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

Applications Object Administration	System Configurat	ion & Identity Man	agement								
Select Applications Financial Services Data Governance f	Select Applications Common Tasks > Metadata Report Financial Services Data Governance for US Reg v v Search and Filter C Go I Clear Search										
Common Tasks	-	Template ID ?									
 Data Model Management Unified Analytical Metadata 		* Template Lis	▼ Template List (3) 🐻 Add Delete ⊡View ZEdit Export to excel Export to XML NDownload								
G Metadata Report		🔏 Templa	ate ID 🔹	Template Name	Template Description	Created Date C					





		Tem	plate Definition		
< Back	Definition	Choose Obje	ct type Filter Objects	Review	Next >
			Definition		
	Basic Details				
		Name	NDTest	×	
		Description	Tester		
		0	Save 🔽 Return		

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

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

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

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

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

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



Financial Services Analytical Applications Infrastr	ucture > Object Administration > Utilities > Metadata Report	
	Template Definition	
< Bac	Choose Object ty Filter Objects Next >	
	Choose Object type	
	Object Types	
	Choose Dashboard ×	
	Export Options	
	Dependencies	
	Data Lineage	
	Save Feturn	

The exported sample report for Individual is as follows:

	А	В	С	D	E	F	-
1			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							-
14 4	🕩 🏽 Classification Rule 🦯 💱					•	I .::

For Relational: In the Export Options, select Dependencies.

Financial Services Analytical Applications Infrastructure > Object Administration > Utilities > Metadata Report	
Template Definition	
< Back O Next > Definition Choose Object ty Filter Objects Review Next >	
Choose Object type	
Object Types	
Choose Dashboard ×	
Export Options	
Dependencies	
Data Lineage	
Save 🖉 Return	



	А	В	С	D	E	F	G	Н		J	K	=
1	Path Name	Dependency										-
2	Path1	Dashboard > Report > View > Hi	erarchy > E	Entities >								
3	Path2	Dashboard > Report > View > De	erived Entity	y > Measur	e > Entities	s >						
4	Path3	Dashboard > Report > View > De	erived Entity	y > Hierarcl	ny > Entitie	s >						
5	Path4	Dashboard > Report > View > De	erived Entity	y > Dataset	> Alias > I	Entities >						
6	Path5	Dashboard > Report > View > De	erived Entity	y > Dataset	> Entities	>						
7	Path6	Dashboard > Report > View > De	erived Entity	y > Busines	s Process	or > Measu	re > Entitie	s >				
8	Path7	Dashboard > Report > View > De	erived Entity	y > Busines	s Process	or > Datase	et > Alias >	Entities >				
9	Path8	Dashboard > Report > View > De	erived Entity	y > Busines	s Process	or > Datase	et > Entities	>				
10	Path9	Dashboard > Report > View > Re	porting Ele	ement > Me	asure > En	itities >						
11	Path10	Dashboard > Report > View > Re	porting Ele	ement > Hie	rarchy > E	ntities >						П
12	Path11	Dashboard > Report > View > Re	porting Ele	ement > De	rived Entity	> Measure	> Entities	>				
13	Path12	Dashboard > Report > View > Re	porting Ele	ement > De	rived Entity	> Hierarch	y > Entities	; >				
14	Path13	Dashboard > Report > View > Re	porting Ele	ement > De	rived Entity	> Dataset	> Alias > E	ntities >				
15	Path14	Dashboard > Report > View > Re	porting Ele	ement > De	rived Entity	> Dataset	> Entities >	>				
16	Path15	Dashboard > Report > View > Re	porting Ele	ement > De	rived Entity	> Busines	s Processo	r > Measur	e > Entities	s >		
17	Path16	Dashboard > Report > View > Re	porting Ele	ement > De	rived Entity	> Busines	s Processo	r > Dataset	t > Alias >	Entities >		
18	Path17	Dashboard > Report > View > Re	porting Ele	ement > De	rived Entity	> Busines	s Processo	r > Dataset	t > Entities	>		
19	Path18	Dashboard > Report > View > Re	porting Ele	ement > Bu	siness Proc	cessor > M	easure > E	ntities >				
20	Path19	Dashboard > Report > View > Re	porting Ele	ement > Bu	siness Proc	cessor > D	ataset > Ali	as > Entitie	es >			f
21	Path20	Dashboard > Report > View > Re	porting Ele	ement > Bu	siness Proc	cessor > D	ataset > En	tities >				
22												Ļ
ii .	Paths Path1 Path2	/ Path3 / Path4 / Path5 / Pat	h6 / Pathi	7 / Path8	/ Path 🛙 🖣						► II	

The exported sample report for Relational is as follows:

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.



A	В	C	D	E	F	G	Н	L	J
1 DASHBOARD_NAME	DASHBOARD_DESC	DASHBOARD_COUNTRY	DASHBOARD_REGULATOR	REPORT_NAME	REPORT_DESC	VIEWS_NAME	VIEWS_DESC	VIEW_DISPLAY_FORMAT	HIERARCHY_NAME
2 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS	Schedule BS?Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	IFRS - Reported at fair Value Flag H
3 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 delinguency band 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	Sale type code Hierarchy
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	IFRS - Fair Value RCY Hierarchy
6 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	IS	Schedule IS?Income Stateme	FRY-11-IS	FRY-11-IS	Tabular	Consolidation Code
7 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	IS-B	Schedule IS-B?Changes in A	FRY-11-IS-B	FRY-11-IS-B	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	Bands hierarchy
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	Derivative Type Code Hierarchy
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	Standard Party Type Hierarchy
11 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS	Schedule BS?Balance Sheet		FRY-11-BS	Tabular	Balance Sheet Category Hierarchy
12 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS	Schedule BS?Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Trading Account Book Type Code H
13 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	IS-A	Schedule IS-A?Changes in E	FRY-11-IS-A	FRY-11-IS-A	Tabular	Capital Instrument Transaction Type
14 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS	Schedule BS?Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Non Interest bearing deposit Hieran
15 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS-M	Schedule BS-M?Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Accrual Status Code Hierarchy
16 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
17 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	IS-A	Schedule IS-A?Changes in E	FRY-11-IS-A	FRY-11-IS-A	Tabular	Instrument type Hierarchy
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	Regulatory Product Classification I
19 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS-A	Schedule BS-A?Loans and L	FRY-11-BS-A	FRY-11-8S-A	Tabular	Reg delinguency band Hierarchy
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	Balance Sheet Category Hierarchy
21 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS-M	Schedule BS-M?Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Consolidation Code
22 FRY-11	Financial Statements of U.S.		Board of Governors of the Federal Reserve		Schedule BS-M?Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Holding Type Code Hierarchy
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	Bands hierarchy
24 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS	Schedule BS?Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Instrument type Hierarchy
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	Buy or Sell Indicator Hierarchy
26 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS-A	Schedule BS-A?Loans and L	FRY-11-BS-A	FRY-11-BS-A	Tabular	Troubled Debt Restructure Flag Hie
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	Other Real Estate Owned Flag Hie
8 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	IS-B	Schedule IS-B?Changes in A	FRY-11-IS-B	FRY-11-IS-8	Tabular	Consolidation Code
29 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS-M	Schedule BS-M?Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Reg Instrument Classification Hiera
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	Instrument type Hierarchy
31 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS-M	Schedule BS-M?Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Risk Factor type code Hierarchy
2 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	IS-A	Schedule IS-A?Changes in E	FRY-11-IS-A	FRY-11-IS-A	Tabular	Consolidation for Aggregation
3 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS-A	Schedule BS-A?Loans and L	FRY-11-BS-A	FRY-11-BS-A	Tabular	Negative Amortization Flag Hierarc
4 FRY-11	Financial Statements of U.S.		Board of Governors of the Federal Reserve		Schedule BS-M?Memoranda	FRY-11-BS-M	FRY-11-8S-M	Tabular	Customer Country Hierarchy
5 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	BS-A	Schedule BS-A?Loans and L	FRY-11-BS-A	FRY-11-BS-A	Tabular	Accrual Status Code Flag Hierarch
6 FRY-11	Financial Statements of U.S.	USA	Board of Governors of the Federal Reserve	IS	Schedule IS?Income Stateme	FRY-11-IS	FRY-11-IS	Tabular	Reporting Line Code
37 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
Env 44	Einsenial Clotemante of 11 C	Path5 Path6 Path7	Path8 Path9 Path10 Path11 P	ath12 Path13	Path14 Path15 4	ENV 11 DC	ERV 44 DC	Tahulas	Demulatory Draduat Classification b

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

	A	В	С	D	E	F	G	Н		J	K 🚍
1	Path Name	Usage									-
2	Path1	Columns > Hierarchy > View >	Report >	Dashboard	>						
3	Path2	Columns > Measure > Derived	Entity > V	iew > Repo	ort >Dashb	oard >					
4	Path3	Columns > Hierarchy > Derived	Entity > \	/iew > Rep	ort >Dash	board >					
5	Path4	Columns > Measure > Busines	s Processo	or > Derive	d Entity >	View > Re	port >Dash	board >			
6	Path5	Columns > Measure > Reportir	ng Element	> View >	Report >D	ashboard 3	>				
7	Path6	Columns > Hierarchy > Report	ing Elemen	t > View >	Report >I	Dashboard	>				
8	Path7	Columns > Measure > Derived	Entity > R	eporting Ele	ement > V	iew > Repo	ort >Dashb	oard >			
9	Path8	Columns > Hierarchy > Derived	I Entity > F	Reporting E	lement > \	/iew > Rep	ort >Dashl	ooard >			
10	Path9	Columns > Measure > Busines	s Processo	or > Derive	d Entity >	Reporting E	Element > \	/iew > Rep	oort >Dash	board >	
11	Path10	Columns > Measure > Busines	s Processo	or > Report	ing Elemer	nt > View 🛛	> Report >	Dashboard	>		
12											
13											
14											
15		L,,									•
14 -	Paths / Path1 / Path2	Path3 Path4 Path5 Path	th6 🔏 Path	7 / Path8	/ Path 🛛 🖣						🗆 🕨 🖌 👘

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

A	В	C	D	E	F	G	Н	and the second
COLUMNS NAME	COLUMNS_DESC	COLUMNS_PHYSICAL_COL_ID	HIERARCHY_NAME	HIERARCHY_DESC	HIER_TYPE	HIER_MULTI_DIM_PROPERTY	HIER_TOTAL_REQD	VIEWS_NAME
2 Transaction Account Flag	Indicates if said account is conside	FCT_DEPOSITS_BORROWINGS.F	Trans Account Flag Hierarchy	Hierarchy for Trans Account Flag	BI	REGULAR	Yes	FFIEC-031-RC-E
Repurchased Or Indemnified Flag	Indicates if the said account is Rep	FCT LOAN ACCOUNT SUMMARY	Repurchased or Indemnified Flag	Repurchased or Indemnified Flag	BI	REGULAR	Yes	FFIEC-031-RC-P
Impairment Amount Under Asc 3	This column stores the impairment	FCT LOAN ACCOUNT SUMMARY	Impair asc31030 Amount Check	Impair asc31030 Amount Check	81	REGULAR	Yes	FRY-9C-HC-C
Troubled Debt Restructure Flag	This column indicates if said loan is	FCT LOAN ACCOUNT SUMMARY	Troubled Debt Restructure Flag I	Troubled Debt Restructure Flag H	BI	REGULAR	Yes	FFIEC-041-RC-O
5 Negative Amortization Flag	This column stores if loan has nega	FCT LOAN ACCOUNT SUMMARY	Negative Amortization Flag Hiera	Negative Amortization Flag Hiera	81	REGULAR	Yes	FFIEC-031-RC-C
Mortgage Broker Surrogate Key	This stores unique identifier for the	FCT LOAN ACCOUNT SUMMARY	Broker Skey Hierarchy	Broker Skey Hierarchy	BI	REGULAR	Yes	FFIEC-031-RC-P
Cleared Transaction Flag	This columns stores if particular tra	FCT REG ACCOUNT SUMMARY F	Cleared Transaction Flag Hierard	Cleared Transaction Flag Hierarc	BI	REGULAR	Yes	FFIEC-031-RC-R Part II
Cleared Transaction Flag	This columns stores if particular tra	FCT REG ACCOUNT SUMMARY F	Cleared Transaction Flag Hierard	Cleared Transaction Flag Hierarc	BI	REGULAR	Yes	FRY-15-D
Mark To Market Value In Reporti	This stores the mark to market valu	FCT REG ACCOUNT SUMMARY M	Mtm Value-FRAS Hierarchy	Hierarchy Mtm Value-FRAS	81	REGULAR	Yes	FRY-15-8
1 Broker Surrogate key	This stores unique identifier for the	FCT DEPOSITS BORROWINGS N	Broker Hierarchy Deposit Borow	Broker Hierarchy Deposit Borowi	BI	REGULAR	Yes	FFIEC-031-RC-E
2 Callable Deposit Indicator	Indicates if said deposit can be call	FCT DEPOSITS BORROWINGS F	Deposit Option Indicator Hierarch	Deposit Option Indicator Hierarch	BI	REGULAR	Yes	FFIEC-031-RC-E
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	FFIEC-031-RC-C
4 Troubled Debt Restructure Flag	This column indicates if said loan is	FCT LOAN ACCOUNT SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag h	BI	REGULAR	Yes	FRY-9C-HC-N
		FCT LOAN ACCOUNT SUMMARY				REGULAR	Yes	FFIEC-041-RC-C
Troubled Debt Restructure Flag	This column indicates if said loan is	FCT LOAN ACCOUNT SUMMARY	Troubled Debt Restructure Flag	Troubled Debt Restructure Flag H	BI	REGULAR	Yes	FFIEC-031-RC-O
		FCT LOAN ACCOUNT SUMMARY				REGULAR	Yes	FFIEC-041-RC-C
		FCT REG ACCOUNT SUMMARY F				REGULAR	Yes	FFIEC-041-RC-R Part II
Mark To Market Value In Reporti	This stores the mark to market valu	FCT REG ACCOUNT SUMMARY N	Mtm Value-FRAS Hierarchy	Hierarchy Mtm Value-FRAS	BI	REGULAR	Yes	FRY-15-F
0 Broker Surrogate key	This stores unique identifier for the	FCT DEPOSITS BORROWINGS N	Broker Hierarchy Deposit Borow	Broker Hierarchy Deposit Borowi	BI	REGULAR	Yes	FFIEC-041-RC-E
		FCT LOAN ACCOUNT SUMMARY				REGULAR	Yes	FRY-9C-HC-C
		FCT LOAN ACCOUNT SUMMARY		Broker Skey Hierarchy		REGULAR	Yes	FFIEC-041-RC-P
Mortgage Broker Surrogate Key	This stores unique identifier for the	FCT LOAN ACCOUNT SUMMARY	Broker Skey Hierarchy	Broker Skey Hierarchy	BI	REGULAR	Yes	FRY-9C-HC-P
Claim Local Currency Code	Refers to the Local currency code f	FCT REG ACCOUNT SUMMARY V	Currency Code Comparison Hier	Currency Code Comparison Hier	BI	REGULAR	Yes	FFIEC-009-C. Part II
		FCT REG ACCOUNT SUMMARY F		Cross Border Claim Hierarchy		REGULAR	Yes	FFIEC-009-C Part II
Transaction Account Flag	Indicates if said account is conside	FCT DEPOSITS BORROWINGS F	Trans Account Flag Hierarchy	Hierarchy for Trans Account Flac	BI	REGULAR	Yes	FRY-9C-HC-E
7 Deposit Call Exercised Indicator	This Column Stores the Deposit Ca	FCT DEPOSITS BORROWINGS F	Next Option Flag Deposit Borrow	Next Option Flag Deposit Borrow	BI	REGULAR	Yes	FFIEC-031-RC-E
		FCT LOAN ACCOUNT SUMMARY				REGULAR	Yes	FRY7N-BS-A
		FCT LOAN ACCOUNT SUMMARY				REGULAR	Yes	FR-2314-BS-A
Negative Amortization Flag	This column stores if loan has nega	FCT LOAN ACCOUNT SUMMARY	Negative Amortization Flag Hiera	Negative Amortization Flag Hiera	BI	REGULAR	Yes	FRY-11-BS-A
Recourse to General Credit	This stores the recourse to general	FCT REG ACCOUNT SUMMARY F	Recourse To General Credit India	Recourse To General Credit India	BI	REGULAR	Yes	FFIEC-041-RC-V
Contractual Maturity in Days	This column stores the original mate	FCT REG ACCOUNT SUMMARY M	Contractual Maturity Term Hierar	Contractual Maturity Term Hierar	8	REGULAR	Yes	FFIEC-041-RC-R Part II
		FCT REG ACCOUNT SUMMARY N				REGULAR	Yes	FRY-9C-HC-M
		FCT DEPOSITS BORROWINGS N				REGULAR	Yes	FRY-9C-HC-E
		FCT DEPOSITS BORROWINGS N				REGULAR	Yes	FFIEC-031-RC-O
		FCT DEPOSITS BORROWINGS F				REGULAR	Yes	FFIEC-041-RC-E
		FCT DEPOSITS BORROWINGS N					Yes	FFIEC-041-RC-E
	This assume stores the data as whi	Path7 Path8 Path9 Path1	Appuiation Data	Missesshu fas Association Data		DECULAD	Yan	EDV OC NC C

Select **Data Lineage** in **Template Definition** \rightarrow **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.



Financial Services Analytical Applications Infrastru	ucture > Object Administration > Utilities > Metadata Report
	Template Definition
< Bac	k Definition Choose Object ty Filter Objects Review
	Choose Object type
	Object Types
	Choose Dashboard ×
	Export Options
	Dependencies
	Data Lineage
	Save FReturn

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).

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Past	∦ Cut La Copy Ø Format Painter		E E E E E Marge & Cent	General • ter • \$ • % • • • • • • • • • • • • • • • •	Conditional Format Cell Formatting + as Table + Styles +		Find & Select *
	Clipboard 5	Font 5	Alignment	🕞 Number 🖻	Styles	Cells Editing	
	A1 -	fx SCHEDULE					*
	A	В	С	D	E	F	G
1 S	CHEDULE	VIEW	CELL ID	DERIVED ENTITY CODE	METADATA CODE	RESULT AREA TABLE RE	SULT AREA COLUMN
2 H		FRY-9C-HC-E	BHOD6648	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMAEN	REG DEPOSIT TYPE SK
3 H		FRY-9C-HC-E	BHCB6648	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMARN	
4 H	C-E	FRY-9C-HC-E	BHOD6648	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMARN	REG DEPOSIT TYPE SK
5 H	C-E	FRY-9C-HC-E	BHOD2389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	
6 H	C-E	FRY-9C-HC-E	BHOD2604	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMAFN	REG DEPOSIT TYPE SK
7 H	C-E	FRY-9C-HC-E	BHOD2389	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMARN	REG DEPOSIT TYPE SK
8 H	C-E	FRY-9C-HC-E	BHOD6648	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMARN	REG DEPOSIT TYPE SK
9 H	C-E	FRY-9C-HC-E	BHCB2389	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMAFN	REG DEPOSIT TYPE SK
10 H		FRY-9C-HC-E	BHCB2210	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
11 H		FRY-9C-HC-E	BHDMA164	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
12 H	C-E	FRY-9C-HC-E	BHCB2389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG DEPOSIT TYPE SK
13 H	C-E	FRY-9C-HC-E	BHOD2389	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMAFN	REG DEPOSIT TYPE SK
14 H	C-E	FRY-9C-HC-E	BHFNA245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
15 H		FRY-9C-HC-E	BHCB6648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN_	REG_DEPOSIT_TYPE_SK
16 H		FRY-9C-HC-E	BHDMA242	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN_	REG_DEPOSIT_TYPE_SK
17 H	C-E	FRY-9C-HC-E	BHFNA245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
18 H	C-E	FRY-9C-HC-E	BHOD2604	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG DEPOSIT TYPE SK
19 H	C-E	FRY-9C-HC-E	BHDMA242	DERHCE03	DSRHCE03	FCT REG ACCOUNT SUMMAFN	REG DEPOSIT TYPE SK
20 H		FRY-9C-HC-E	BHFNA245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
21 H		FRY-9C-HC-E	BHCB6648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
22 H	C-E	FRY-9C-HC-E	BHFNA245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
23 H	C-E	FRY-9C-HC-E	BHDMA242	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
24 H	C-E	FRY-9C-HC-E	BHCB2210	DERHCE03	DSRHCE03	FCT LEGAL ENTITY DETAILS N	ENTITY TYPE SKEY
25 H		FRY-9C-HC-E	BHCB6648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
26 H		FRY-9C-HC-E	BHFNA245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
27 H		FRY-9C-HC-E	BHOD2389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
28 H		FRY-9C-HC-E	BHOD2389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
29 H		FRY-9C-HC-E	BHOD6648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
30 H		FRY-9C-HC-F	BHCB2389	DERHCE03	DSRHCE03	ECT REG ACCOUNT SUMMARN	REG DEPOSIT TYPE SK
H 4		l 🖉 Path2 🖉 Path3 🖉 Path4 🖉 Path5	/ Path6 / Path7 Lineage / 知				• • • • •
Ready						🗰 💷 🛄	100% 😑 🔍 🕀

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





Financial Services Analytical Applications Infrastructure > Object Administration > Utilities > Metadata Report
Template Definition
<
Filter Objects
Dashboard
Save FReturn

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.

	Template Def	inition	
Dashboard			
Available Objects		Selected Objects	
FR-2314	^	FRY-9C	
FR-2314s			
FR 2052b	<		
FRY-14Q			
FRY-14A			
EEIEC-031			
► FR-2886B			
FFIEC-041			
FRY7N FRY-9LP			
FFIEC101	~		
Search	٩,		ок
	Save 💌 I	Return	

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.



Dashboard			
Available Objects		Selected Objects	
 FRY7N FRY-9LP FRY-14M FRY-15 FRY-20 FRY-12 FRY-11 FRY-118 FRY-14Q FRY-14A 	>	FRY-9C	
FRY ×	Q.		OK

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

Template Definition				
	Review			
Object Identifier	Object Name	Object Type		
0 1482689198163	FRY-9C	Dashboard		
<		>		
Page 1 of 1 (1 of 1 items)	К < 1 > Э			
	Save 🔽 Return			



- 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.

DRACLE Financial Services Analytic	ral Applications					
	cai Applications					
ications Object Administration System Configuration & Iden	tity Management					
lect Applications	Common Tasks > Metadata Report					
ancial Services Data Governance for US Regulatory Rep 🔻	Search and Filter Search and Searc	ar 🎒 Refresh				
Common Tasks	Template D ?	Template Name ?				
B Data Model Management						
El Unified Analytical Metadata	🛛 🛛 🛪 Template List (3) 🗔 Add 🥥 Dele	ite 🗟 View 🛃 Edit 🔀 Export to ex	cel 🚕 Export to XML 🌯 Download			
Metadata Report				10.000	1	
BOperations		plate Name rt_2314	Template Description	Created Date 17-02-2017	Created By OFSAD	Sta
Metadata Browser	✓ 223604 usag			17-02-2017	OFSAD	Co
	223603 linea	ge		17-02-2017	OFSAD	Cor
Data Governance for US Regulatory Reporting	<)

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.

Search and Filte	r 📫 Go 🌙 Clear 🐘 Refre	esh					
Template ID ?							
I emplate List (2)) 🕼 Add 💿 Delete 💽 View ≤	Edit Generate 🖹 Download					
Femplate List (2)). Log Add 🕓 Delete 💽 View 💰	Edit Generate					
			Created Date	Created By		Status	
	Т	Cemplate Description	Created Date	Created By		Status	
ate Name			Created Date 05-01-2017	Created By OFSAD	Not Started	Status	

- 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.

	cal Applications				
Nications Object Administration System Configuration & Iden	thy Management				
elect Applications	Common Tasks > Metadata Report				
inancial Services Data Governance for US Regulatory Rep 🔻	× Search and Filter 🖒 Go 🌙 Clear 🂫 Refresh				
Common Tasks	Template Template				
B Data Model Management	ID ? Name ?				
Ga Data Model Management EU Unified Analytical Metadata	🛛 Template List (3) 🐼 Add 🧶 Delete 🔂 View 🗳 Edit 🔣 Expor	t to excel 😹 Export to XML 🌯 Download			
El United Analytical Metadata Metadata Report					
Metadata Report Model and the second secon	Z23623 report_2314	Template Description	Created Date 17-02-2017	Created By OFSAD	Status
	223623 report_2314 223604 usage		17-02-2017	OFSAD	Comple
Metadata Browser	223603 lineage		17-02-2017	OFSAD	Comple
Data Governance for US Regulatory Reporting	<]	>

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.



14.3 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).

	cal Applications				
plications Object Administration System Configuration & Iden	tity Management				
elect Applications	Common Tasks > Metadata Report				
inancial Services Data Governance for US Regulatory Rep 🔻	Search and Filter ⇔ Go → Clear № Refresh				
Common Tasks	Template Template Name ?				
 Buta Model Management Unified Analytical Metadata 	> Template List (3) 🗟 Add 🧶 Delete 🔂 View 🗹 Edit 📓 Export	t to excel 📙 Export to XML 🌯 Download			
Metadata Report	Template ID Template Name	Template Description	Created Date	Created By	Statu
Operations	223623 report_2314		17-02-2017	OFSAD	Com
Metadata Browser	✓ 223604 usage		17-02-2017	OFSAD	Com
Data Governance for US Regulatory Reporting	223603 lineage		17-02-2017	OFSAD	Com

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

14.4 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).



Ø DGS Master Summary - Internet Explorer					
	cal Applications				OFSAD 🔻
Applications Object Administration System Configuration & Iden	tity Management				
Applications Orget-Aminimization System Comparation & teen Select Applications Financial services Data Governance for US Regulatory Rep V Common Tasks In Big Data Model Management Image: Image of the Common Comparation of the Common Metadata Brooker Image Data Governance for US Regulatory Reporting	xy daralgement Common Tasks > Metadala Report	to excel 🙀 Export to XML 🐿 Download Template Description	Created Date 17.42:2017 17.42:2017 17.42:2017	Created By OFSAD OFSAD OFSAD	Status Comple Comple >
About Oracle Contact Us Legal Notices Terms Of Use Your Pr	ivacy Rights		Copyright @	2016 Oracle and/or its affiliates	. All rights reserved.

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

14.5 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.

	alytical Applications				OFSAD
pplications Object Administration System Configuration	& Identity Management				
Select Applications	Common Tasks > Metadata Report				
Financial Services Data Governance for US Regulatory Rep	▼ Search and Filter 🖒 Go 🌙 Clear 🖳 Refresh				
Common Tasks Data Model Management	Template Template Name ?				
Unified Analytical Metadata	🛛 🛛 🖉 Template List (3) 🐼 Add 🧶 Delete 🖾 View 🖾 Edit	Export to excel 🚕 Export to XML 🖏 Download			
B Metadata Report	Template ID 🔻 Template Name	Template Description	Created Date	Created By	Stat
Operations	223623 report_2314	The state of the s	17-02-2017	OFSAD	Con
Metadata Browser	223604 usage		17-02-2017	OFSAD	Cor
	223603 lineage		17-02-2017	OFSAD	Cor
Data Governance for US Regulatory Reporting	(>

Pre-defined Seeded Metadata Report Templates cannot be deleted.



15 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
- <u>Step 3: Application Component Mapping</u>
- <u>Step 4: Workflow Function Status Mapping</u>
- <u>Step 5: Create Workflow Action</u>
- <u>Step 6: Associate Workflows to Workflow Functions</u>
- 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_STAR T_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	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_DA TE	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	Atomic			
DESCRIPTION	This table stores the locale spec	ific entries for th	e 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	NUMBER	200	Yes
	Workflow Function. This key			
	is a specified in the			
	SETUP_COMPONENTS			
	table.			

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	Atomic			
DESCRIPTION	This table stores the mapping be	This table stores the mapping between workflow functions and their respective statuses.			
FIELD NAME	DESCRIPTION DATA SAMPLE MANDATORY TYPE VALUE				
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	DESCRIPTION DATA SAMPLE MANDATORY TYPE VALUE					
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 Dimension 2 required? 1 - Yes/ 0 – No	NUMBER	1	Yes
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.





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