

Oracle Financial Services Data Governance for European Central Reporting

User Guide

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Primary Author: Faye D'souza

Contributor: Anjireddy Gade, Chaitali Dutta, Karthik Rao, Sumanta Biswal, Vaibhav Bajaj

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ABOUT THE GUIDE

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

- [Scope of the guide](#)
- [Intended Audience](#)
- [Documentation Accessibility](#)
- [Access to Oracle Support](#)
- [Related Information Sources](#)

SCOPE OF THE GUIDE

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

INTENDED AUDIENCE

Welcome to release 8.0.6.0.0 of the Oracle Financial Services Data Governance for European Central Reporting User Guide. This manual is intended for the following audience:

- Business Analysts and supervisors in financial institutions

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RELATED INFORMATION SOURCES

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

- Oracle Financial Services Data Management Installation Manual Release 8.0.6.0.0 ([OHC](#))
- Oracle Financial Services Analytical Applications Reconciliation Framework User Guide, Release 8.0.6.0.0 ([OHC](#))
- Oracle Financial Services Data Foundation Installation Guide 8.0.6.0.0 ([OHC](#))
- Oracle Financial Services Analytical Applications Infrastructure User Guide, Release 8.0.6.0.0 ([OHC](#))

1 Introduction to Oracle Financial Services Data Governance for European Central Reporting

This chapter provides a brief overview of the BCBS 239 Principles and Oracle Financial Services Data Governance for European Central Reporting (DGEGR).

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 European Central Reporting](#)
- [Important Features of Data Governance for European Central Reporting](#)

1.1 Overview of the 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

The 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

The following table describes the 14 principles of BCBS 239:

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

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

BCBS Principle Category: Supervisory Review, Tools and Cooperation		
BCBS 239 Principle	Description	OFSA Application Catering to the Principle
Principle 12: Review	Supervisors should: <ul style="list-style-type: none"> Review banks compliance with principles 1 to 11. Examine the results of internal and external audits. Test bank's data aggregation and reporting capabilities under normal and stress conditions. 	This principle is addressed by OFS Data Governance for European Central Reporting.
Principle 13: Remedial Actions and Supervisory Measures	Use of multiple tools for: <ul style="list-style-type: none"> Required remedial action Increased scrutiny Independent review Capital add-ons 	This principle is addressed by OFS Data Governance for European Central 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 European Central Reporting

Data Governance for European Central Reporting (DGEGR) operationalizes the data governance process. The OFSAA DGEGR enables financial institutions to map multiple data sources to a standard common business glossary.

Additionally, DGEGR enables you 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 DGEGR helps the customer to have access to over 20,000 business terms and definitions that form a part of the Metadata Glossary.

1.4 Important Features of Data Governance for European Central Reporting

The following are the key features of DGEER:

- Provides a business glossary for standardization.
- Defines operational and quality controls on every data element and monitors the 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 European Central Reporting

The following are the components of DGEGR:

- **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.
- **Adjustment Framework:** It defines the process of an automated application configuration in cases where a Data Quality failure occurred at the staging level.

3 DGECR Application and Common Functionalities

This chapter details how to log into the DGECR application and explains the common features that are found across the modules of the DGECR 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 DGECR are explained under the [Common Functionalities](#) section, by taking the Glossary as an example.

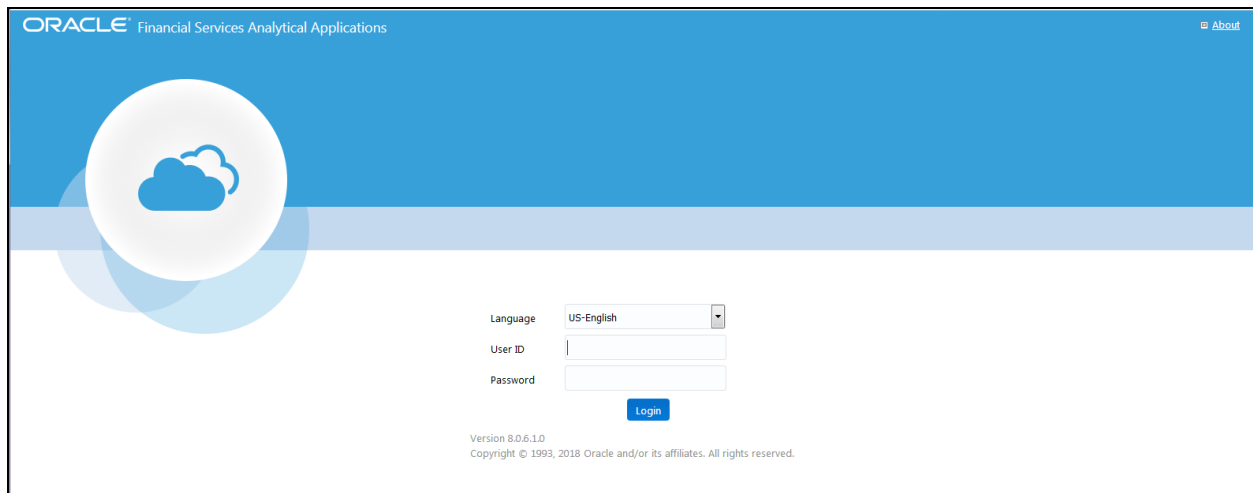
This chapter has the following sections:

- [Logging in to OFS DGECR Application](#)
- [Common Functionalities](#)
- [Data Governance for European Central Reporting Common Screen Elements](#)
- [Managing Data Governance for European Central Reporting](#)

3.1 Logging in to the DGECR Application

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

Access the DGECR application by 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.



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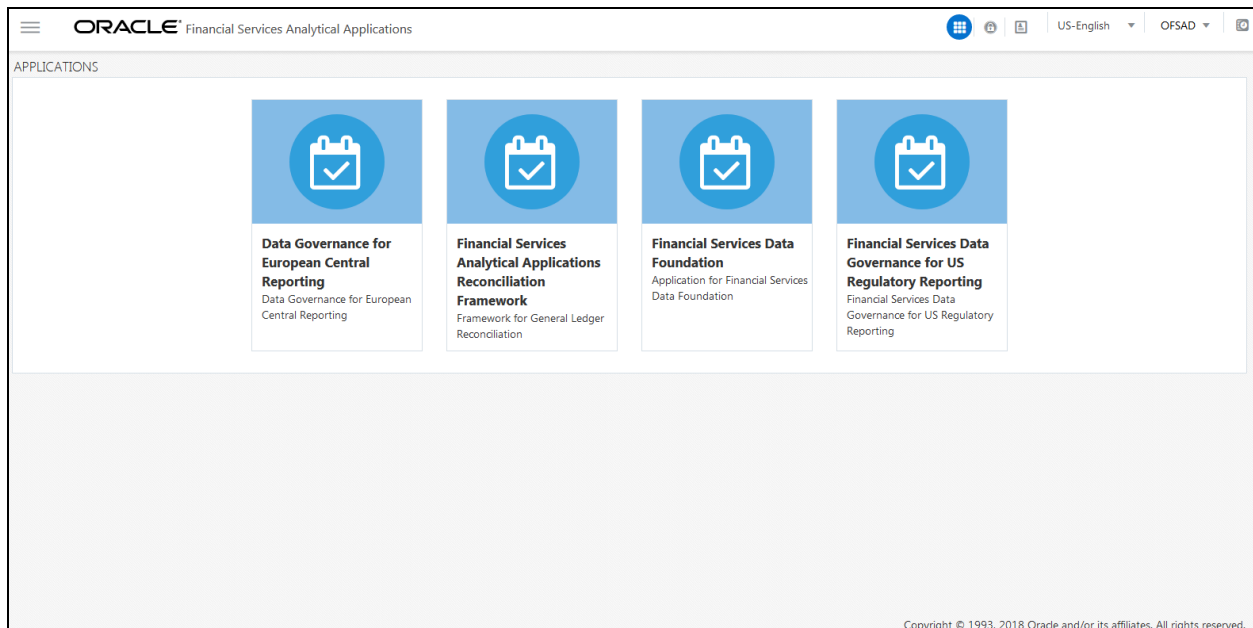
Language: US-English

User ID:

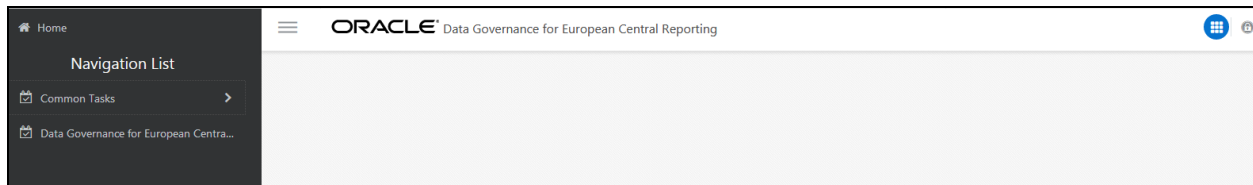
Password:

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After logging into the application, the following window appears:



Click the **Data Governance for European Central Reporting** option. The **DGECR** window appears.



3.2 Common Functionalities

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

Note: To access the Glossary:

1. On the **DGECR** window, select **Data Governance for European Central Reporting**.
The **Data Governance for European Central Reporting** page appears.
2. In the upper-left corner of the page, select **Standards & Policies**, and then select **Glossary**.
The **Glossary** workspace appears.

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. In the **ID** column, click the ID of the Glossary whose details you want to view.

The **Glossary Details** section appears, displaying the details of the selected Glossary.

3.2.2 Deleting a Glossary

To delete an existing Glossary, perform the following steps:

1. Select the check box next to the Glossary name that you want to delete.
2. In the tool bar, click the  **Delete** icon.

A dialogue message appears, asking you to confirm deleting the record.

3. Click **OK**.

The Glossary record is deleted.

3.2.3 Exporting a Glossary

Refer to the section on [Exporting Records](#) for details.






3.2.4 Searching and Filtering




















The **Search and Filter** section in the user interface helps you to find the required information. You can enter the closest matching keywords to search and filter the results by ID and name in the **ID** and **Name** fields. Refer to section [Managing Search and List page](#) for details.

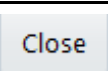

3.3 Data Governance for European Central Reporting Common Screen Elements

This section describes the common screen elements of DGEGR.

The following tables lists the various icons and buttons in the DGEGR 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	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	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.
	Expand	This button is present in some sections of the Details page. Click this button to expand a section and display the fields.
	Collapse	Click this button to collapse a section, which is already expanded. All fields in the section are hidden.
	Calendar	Click this button to display the calendar. You can select a date from the calendar.
 Clear	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	Add	Click this button to add a new record.
 Delete	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	Export	Click this button to export a record.
 Submit	Submit	Click this button to submit a record.
 Cancel	Cancel	Click this button to cancel an action.
	Approve	Click this button to approve a record.
	Reject	Click this button to reject a record.
 Link	Link	Click this button to link records

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

3.4 Managing OFSDGECR

This section describes how to manage the Oracle Financial Services Data Governance for European Central 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:

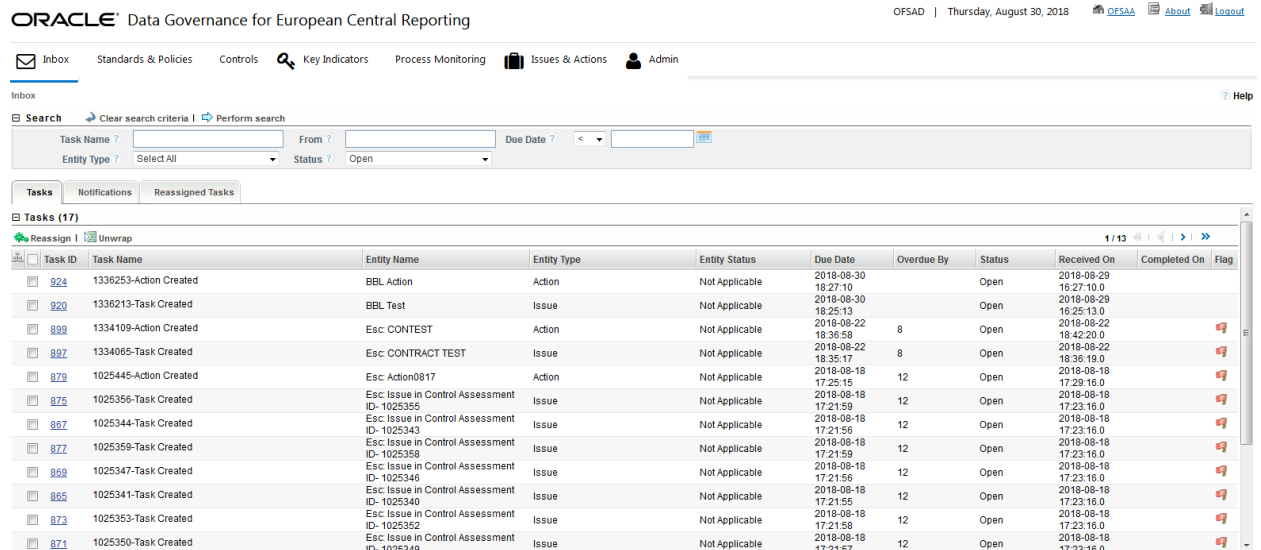
- [Managing an Inbox](#)
- [Managing the Issues & Actions Page](#)
- [Managing the Details Page](#)

3.4.1 Managing an Inbox

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

This section covers following topics:

- [Searching for a Task in the Inbox](#)
- [Reassigning Tasks](#)



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OFSDAD | Thursday, August 30, 2018

[Inbox](#) | [Standards & Policies](#) | [Controls](#) | [Key Indicators](#) | [Process Monitoring](#) | [Issues & Actions](#) | [Admin](#)

Inbox

Search: Clear search criteria | Perform search

Task Name: From: Due Date:

Entity Type: Status:

[Tasks](#) | [Notifications](#) | [Reassigned Tasks](#)

Tasks (17)

Task ID	Task Name	Entity Name	Entity Type	Entity Status	Due Date	Overdue By	Status	Received On	Completed On	Flag
924	1336253-Action Created	BBL Action	Action	Not Applicable	2018-08-30 18:27:10		Open	2018-08-29 16:27:10.0		
920	1336213-Task Created	BBL Test	Issue	Not Applicable	2018-08-30 18:25:13		Open	2018-08-29 16:25:13.0		
929	1334109-Action Created	Esc: CONTEST	Action	Not Applicable	2018-08-22 18:36:58	8	Open	2018-08-22 18:42:20.0		
927	1334065-Task Created	Esc: CONTRACT TEST	Issue	Not Applicable	2018-08-22 18:35:17	8	Open	2018-08-22 18:36:19.0		
929	1025445-Action Created	Esc: Action0817	Action	Not Applicable	2018-08-18 17:25:15	12	Open	2018-08-18 17:29:16.0		
925	1025356-Task Created	Esc: Issue in Control Assessment ID: 1025355	Issue	Not Applicable	2018-08-18 17:21:59	12	Open	2018-08-18 17:23:16.0		
927	1025344-Task Created	Esc: Issue in Control Assessment ID: 1025343	Issue	Not Applicable	2018-08-18 17:21:56	12	Open	2018-08-18 17:23:16.0		
927	1025359-Task Created	Esc: Issue in Control Assessment ID: 1025358	Issue	Not Applicable	2018-08-18 17:21:59	12	Open	2018-08-18 17:23:16.0		
929	1025347-Task Created	Esc: Issue in Control Assessment ID: 1025346	Issue	Not Applicable	2018-08-18 17:21:56	12	Open	2018-08-18 17:23:16.0		
925	1025341-Task Created	Esc: Issue in Control Assessment ID: 1025340	Issue	Not Applicable	2018-08-18 17:21:55	12	Open	2018-08-18 17:23:16.0		
923	1025353-Task Created	Esc: Issue in Control Assessment ID: 1025352	Issue	Not Applicable	2018-08-18 17:21:58	12	Open	2018-08-18 17:23:16.0		
921	1025350-Task Created	Esc: Issue in Control Assessment ID: 1025349	Issue	Not Applicable	2018-08-18 17:21:57	12	Open	2018-08-18 17:23:16.0		

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 for a Task in the 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. Log in to OFSDGECR by using your credentials.
2. In the upper-left corner of the page, click **Inbox**.


The **Inbox** workspace appears with the **Task** tab displayed by default.

3. In the **Search** sub-section, click the (+) icon.
4. Enter a value in any of the fields.

The following table provides the list of the search criteria in the **Search** sub-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	<p>Select a condition from the drop-down list with the following options:</p> <ul style="list-style-type: none"> • < • <= • = • > • >= <p>Select a date from the calendar.</p>
Entity Type	Refers to a specific module in Data Governance

Status	Select a status from the drop-down list: <ul style="list-style-type: none"> • Open • Completed
--------	--


- Click the  **Perform search** icon. The records meeting the criteria are displayed in the respective tabs.

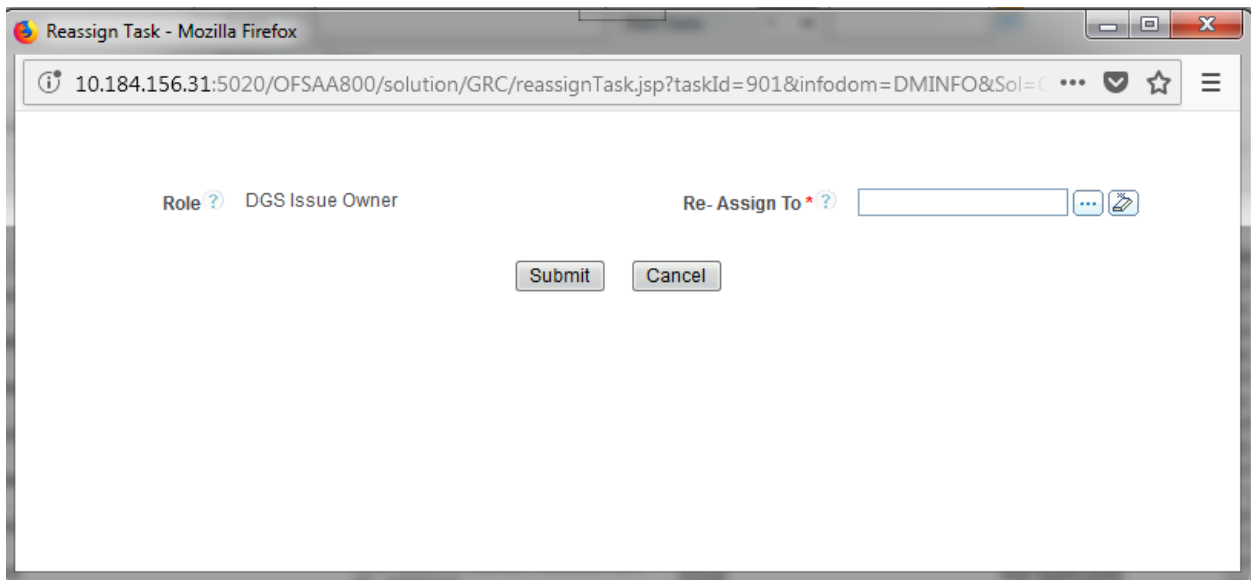
NOTE: If no records match the search criteria, the following message appears: *No records found for the selected search criteria.*


3.4.1.2 Reassigning Tasks

By using this feature you can reassign certain tasks to a different user that is mapped to the same role as the logged in user.

To reassign a task, perform the following steps:

- Login to OFSDGECR.
The OFSDGECR home page appears.
- In the upper-left corner of the page, click **Inbox**.
The **Inbox** workspace appears with the **Task** tab displayed by default.
- Select the check box next to the task that you want to reassign and in the upper-left corner of the **Tasks** sub-section, click the  **Reassign** icon.
The **Reassign Task** window appears.



- Click the  icon.
The **Hierarchy Browser** window appears.

5. Select the appropriate user and click **OK**.
The **Re-assign Task** window appears.
6. Click **Submit**.
A confirmation message appears notifying you that the operation was successful.
7. Click **OK**, and then click **Back** to return to the **Inbox** workspace.
The task has been moved to the **Reassigned Tasks** tab.

3.4.2 Managing the Issues & Actions Page

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

This section includes the following topics:

- [Components of the Issues & Actions](#)
- [Managing Pagination](#)
- [Exporting Records](#)

3.4.2.1 Components of the Issues & Actions Page

The **Issues & Actions** 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 **Issues & Actions** page contains the following components:

The screenshot displays the Oracle Data Governance for European Central Reporting interface. At the top, there is a navigation bar with the Oracle logo and the text 'Data Governance for European Central Reporting'. On the right side of the navigation bar, it shows 'OFSAD | Friday, August 24, 2018' and links for 'OFSAD', 'About', and 'Logout'. Below the navigation bar, there is a breadcrumb trail: 'Inbox | Standards & Policies | Controls | Key Indicators | Process Monitoring | Issues & Actions | Admin'. The main content area is titled 'Issues' and features a search bar with a 'Search' button, a 'Clear' button, and a 'Go' button. Below the search bar, there are several filter fields: 'ID', 'Name', 'Issue Category', 'Component', 'Creator', 'Owner', 'Target Date', 'Last Modified From', 'Last Modified To', and 'Status'. Each filter field has a search icon and a clear icon. Below the filters, there is a section for 'Issues (464)' with a dropdown arrow. Underneath, there are several action buttons: 'Create Issue', 'Delete Issue', 'Close Issue', 'Reopen Issue', 'Transfer Ownership', and 'Export'. The main part of the page is a table with the following columns: ID, Name, Component, Issue Category, Actions, Creator, Owner, Target Date, Status, and Last Modified. The table contains five rows of data:

ID	Name	Component	Issue Category	Actions	Creator	Owner	Target Date	Status	Last Modified
13324311	TEST	Control	Data Accuracv	1	OFSAD	OFSAD	31-Aug-2018	Open	21-Aug-2018
13324065	CONTRACT TEST	Control	Data Availabilitv	1	OFSAD	OFSAD	30-Sep-2018	Open	21-Aug-2018
1333583	Issue in KI Assessment ID- 1333582	Key Indicators	Data Authoriza...	0	OFSAD	OFSAD	27-Aug-2018	New	20-Aug-2018
1333590	Issue in KI Assessment ID- 1333589	Key Indicators	Data Authoriza...	0	OFSAD	OFSAD	27-Aug-2018	New	20-Aug-2018
1333593	Issue in KI Assessment ID- 1333592	Key Indicators	Data Authoriza...	0	OFSAD	OFSAD	27-Aug-2018	New	20-Aug-2018

Masthead

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

Navigation Path

The **Issues** section and the **Actions** section contain a 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**

Or

[Actions](#) >> **Action Details**

Search Bar

This section allows you to search and view the details of records.

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 **Issues & Actions** page. You can select one or more check boxes depending upon the action you take.

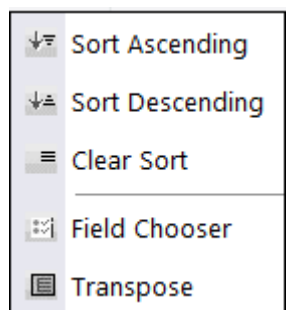
Column Headings

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 **Issues & Actions** page.
2. Right-click any column heading.

A list of sorting options are displayed.



3. Select the required sorting option.

The records are sorted as per the selected sorting option.

4. Right-click any column heading, and then select **Clear Sort** to clear the applied sorting option.

The following are the different sorting options:

Sort Ascending

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

Sort Descending

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

Clear Sort

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

Group by Tree

On 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.

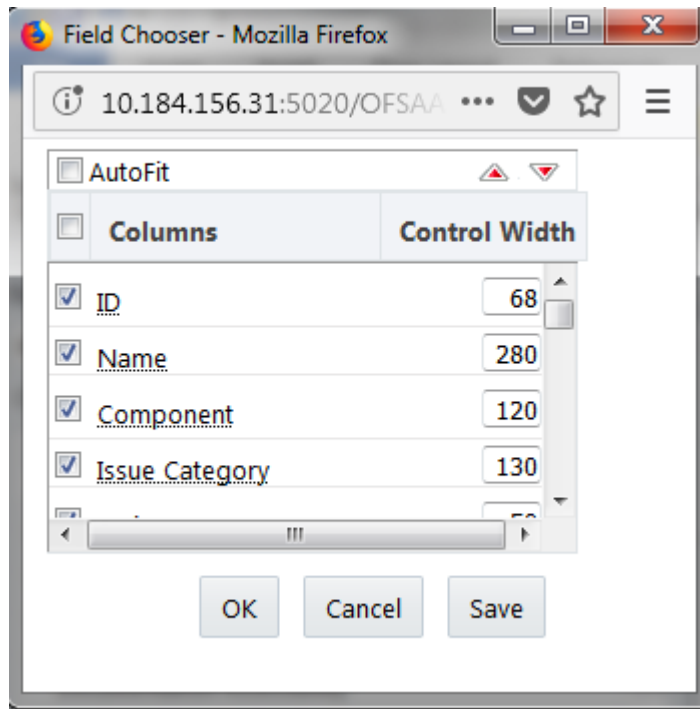
Field Chooser

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 any column heading.
A list of sorting options are displayed.
2. Click **Field Chooser**.

The **Field Chooser** window appears where the columns displayed are selected by default.



3. Select the fields that 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 is closed and the selected columns are displayed.

Or

Click **Save**.

The **Field Chooser** window is closed and the selected columns are displayed. The changes are saved for the logged in user.





Transpose

This option allows you to convert columns into rows. On 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.

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.


Page of 19 K < > X

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

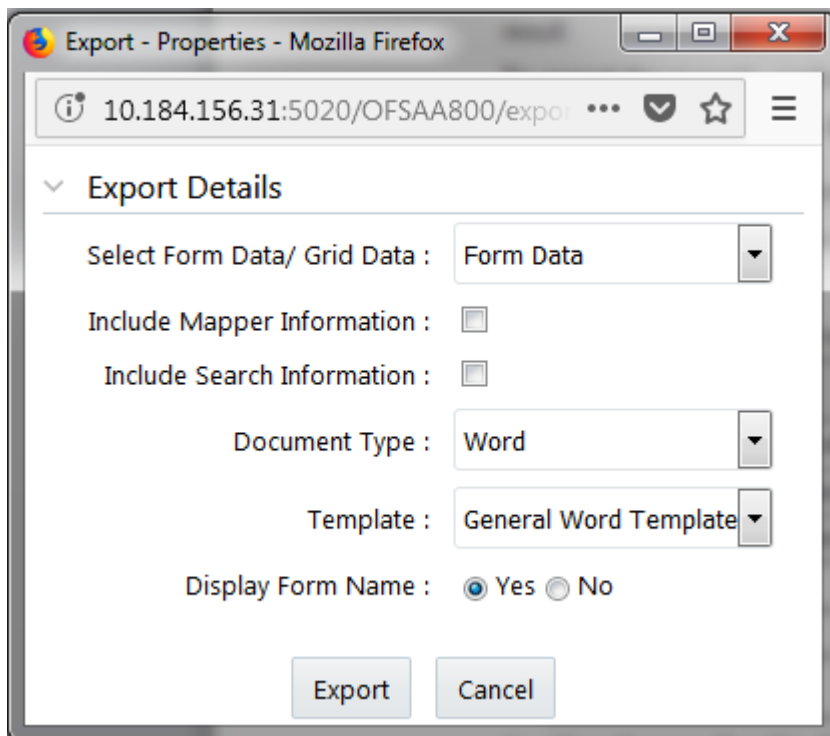
3.4.2.3 Exporting Records

The **Issues & Actions** 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 **Issues & Actions** page.
2. Click the  **Export** icon.

The **Export** window appears.



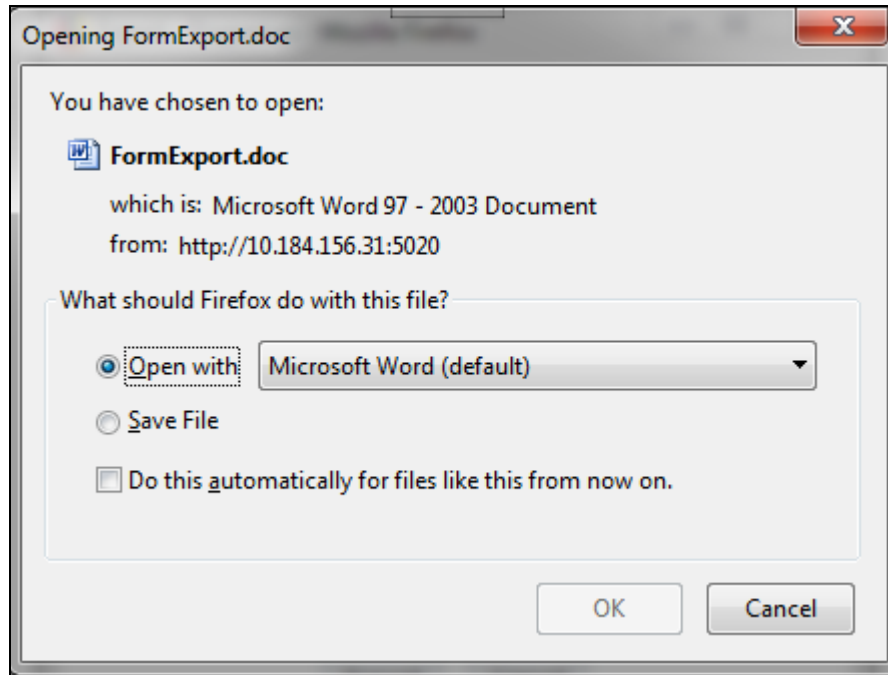
3. Select the required options from the **Export Details** section.

Fields	Description
Select Form Data/ Grid Data	Select Form Data or Grid Data from the drop-down list.
Include Mapper Information	Select this check box if you want to include mapper information in the report.
Include Search Information	Select this check box if you want to include search information in the

	report.
Document Type	Select Word , or Excel , or PDF from the drop-down list.
Template	Select General Word/Excel Template from the drop-down list.
Display Form Name	Select Yes if you want to display the form name or No if you do not want to display the form name.

4. Click **Export**.

The **Opening <FormExport.doc>** window appears.



5. Click **Open with** and then select **OK**.

A Word file/ Excel spreadsheet appears, which consists of a compiled list of all records.

3.4.3 Managing the 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 the Details Page](#)
- [Managing Linkages](#)
- [Managing Documents](#)

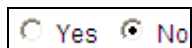
3.4.3.1 Components of the Details Page

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

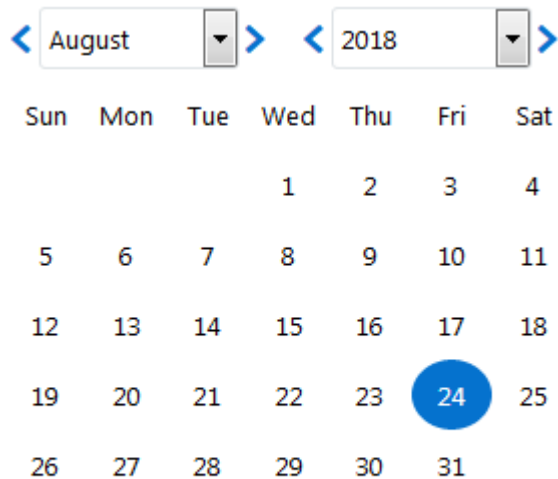
Field and Data Types

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 appears in a box that 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 a hierarchical format. You can select the relevant value from the list.
- **Drop-down List:** Some fields are provided with a drop-down button, which displays a list of values. You can select the relevant value from the list.
- **Radio Buttons:** Radio buttons are provided for fields where the user must select from two or more options.



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



[Close](#)

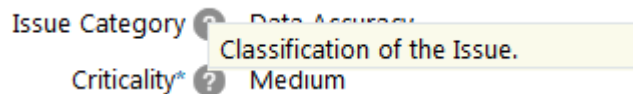
- **Mandatory Data Fields:** Mandatory fields are fields which capture data that must be entered by the user. All data fields that are marked with a blue asterisk (*) are mandatory data fields. Only when all of these fields have been completed, an entity can be submitted by the user for

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.

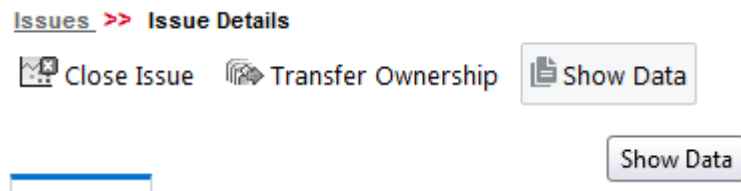
Contextual Help

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 appears in a box for a few seconds and closes automatically.



Tool Tip

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



3.4.3.2 Managing Linkages

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

The following is the process of linking a control to an Issue. The same process can be followed for linking any record to any entities applicable to a particular module of OFSDGECR.

Linking Records

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


1. Navigate to the **Issues & Actions** page of a module.
2. In the **Issues** section, in the **ID** column, select the required record.

The **Details** section appears.

3. Click the **View More** sub section.

The **Actions** sub section appears.

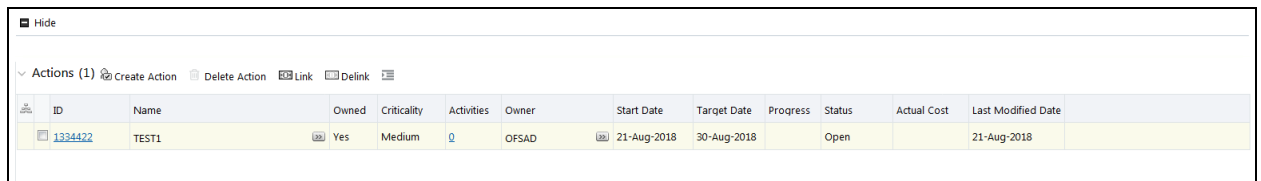
ID	Name	Owned	Criticality	Activities	Owner	Start Date	Target Date	Progress	Status	Actual Cost	Last Modified Date
1334472	TEST1	Yes	Medium		OFSAD	21-Aug-2018	30-Aug-2018		Open		21-Aug-2018

4. Select the check box next to the record that you want to link, and then select the  **Link** icon.
The **Search** page appears.
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 message appears confirming that the records have been successfully linked.
7. Click **OK**.
The linked record is removed from the list.
8. Click **Back** to return to the **Actions** sub-section.
The linked record appears in the **Actions** sub-section.


Delinking Records

To delink a record, perform the following steps:

1. Navigate to the **Issues & Actions** page of a module.
2. In the **Issues** section, in the **ID** column, select the required record.
The **Details** section appears.
3. Click the **View More** sub section.
The **Actions** sub section appears.



ID	Name	Owned	Criticality	Activities	Owner	Start Date	Target Date	Progress	Status	Actual Cost	Last Modified Date
1334422	TEST1	Yes	Medium	0	OFSAD	21-Aug-2018	30-Aug-2018		Open		21-Aug-2018

9. Select the check box next to the record that you want to link, and then select the  **Delink** icon.
A message appears, asking you to confirm if you are sure that you want to de-link the records.
4. Click **OK**.
A message appears, confirming that the delink operation was successful.
5. Click **OK**. The record is removed from the **Linkages** section.

3.4.3.3 Managing Documents

This section covers following topics:

- [Attaching a Document](#)
- [Deleting a Document](#)

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

- Microsoft Word
- Microsoft Excel
- PDF
- Text

Attaching a Document

To attach a document, perform the following steps:

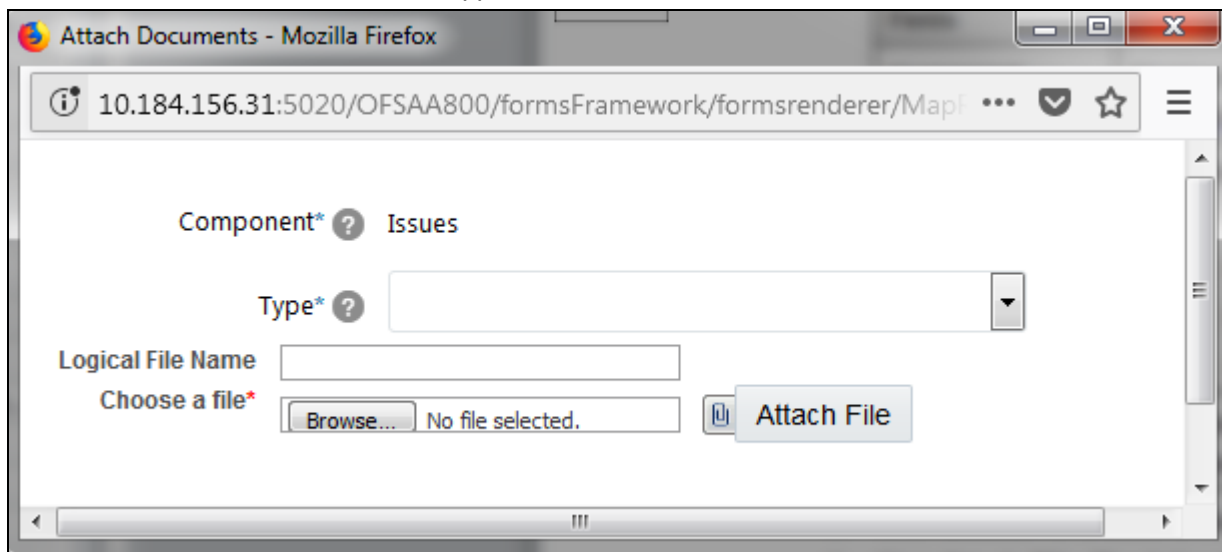
1. Navigate to the **Details** section.

2. Click **View More**.

The **Documents** sub-section appears.

3. Click **Attach Document(s)**.

The **Attach Documents** window appears.



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

Fields	Description
Component	Displays the component name for which the document is uploaded. This is a non-editable field.
Type	Select the type of file from the following options in the drop-down list: <ul style="list-style-type: none"> • Regulation • Policy • Documentation • Annexures

Logical File Name	Enter the Logical File Name. It is a text field which supports alpha-numeric characters.
-------------------	--


5. Click **Browse** to choose a file from your computer.
6. Click **Attach File**.
A message appears, confirming that the operation to attach a document was successful.
7. Click **OK**.
The document is attached and listed in the **Documents** sub-section.


Deleting a Document

The attached documents can be deleted. 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** section.
2. Click **View More**.
The **Documents** sub-section appears.
3. Select the check box next to the document that you want to delete.

The  **Delete Document** icon is enabled.

4. Click the  **Delete Document** icon.
A message appears, asking you to confirm that you want to delete the selected record.
5. Click **OK**.
A message appears, confirming that the delete operation was 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 the Business Glossary

The 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.

The BIRD glossary is an initiative for European Banks. The BIRD glossary is not a regulation and compliance to it is voluntary. The BIRD glossary enables banks to share granular data to regulators. The regulators can use this data for producing various regulatory and compliance reports. The BIRD glossary is mapped against OFSAA to enable OFSAA users of the FSDF data model to use business terminology.

ORACLE Data Governance for European Central Reporting OFSAD | Wednesday, December 12, 2018 [OFSAA](#) [About](#) [Lo](#)

Inbox **Standards & Policies** Controls Key Indicators Process Monitoring Issues & Actions Admin

Business Term ? Help
Status: **Activ**

Business Term Term Usage

Name* Mitigant Code ID* 994453

Definition The unique identifier of the mitigant. Mitigant is defined as an instrument that is used to negate the risk that arises due to an exposure with a counterparty. A mitigant can be collaterals like real estate property or other assets or personal or bank guarantees or credit derivatives that a borrower offers a lender to secure a loan. If the borrower stops making the promised loan payments, the lender can repossess or invoke the mitigant to recover its losses. Because mitigant offers some security to the lender in case the borrower fails to pay back the loan, loans that are secured by mitigant typically have lower interest rates than unsecured loans. A lender's claim to a borrower's mitigant is called a lien.

Glossary* OFSAA Glossary
Annotate
Keywords

Subject Area* Collateral
Source* Internal Critical Data Element Yes
Domain* Code_Alphanumeric_Long

Related Business Items Link | Delink

ID	Name	Glossary
No Data Found		

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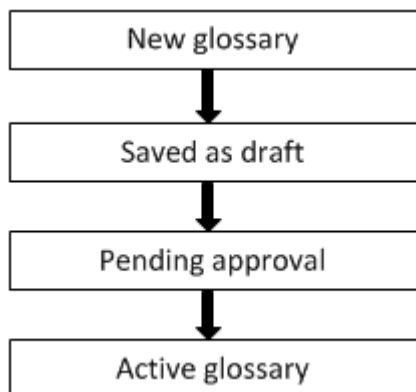
4.2 User Roles and Actions

All the users are required to be mapped to **DGS EBA AUTHORIZER GROUP**, **DGS EBA ADMINISTRATOR GROUP**, and **DGS EBA ANALYST GROUP**, along with their respective individual groups.

Following are the user roles and actions for the Glossary:

- **Glossary Viewer:** Permits the user to view the glossary. The user needs to be mapped to the **GLMVIEWERGRP** group.
- **Glossary Creator:** Permits the user to create and maintain glossary objects. The user needs to be mapped to the **GLMCREATEGRP** group.
- **Glossary Owner:** A user with this role has all the permissions/rights that a creator has to his specific glossary. The user is responsible for the glossary of the organization. Additionally, a user with this role receives all the important ongoing notifications, emails, and so on regarding that glossary. The user needs to be mapped to the **GLMOWNERGRP** group.
- **Glossary Approver:** Permits the user to approve/reject glossary objects. The user needs to be mapped to the **GLMAPPRGRP** group.

4.3 Business Glossary Workflow



4.4 Creating a Business Glossary

While defining a Glossary, the fields that are displayed are explained in the **Fields and their Descriptions** section.

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

4.4.1 Fields and their Descriptions

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

4.4.2 Procedure to Create a Glossary

To create a glossary, perform the following steps:

1. In the **Standards and Policies** tab, navigate to the **Glossary** menu.

The **Glossary** section appears.

2. Click the  **Add** icon.

The **Glossary Details** page appears.

The screenshot shows the Oracle Data Governance for European Central Reporting interface. The top navigation bar includes 'ORACLE Data Governance for European Central Reporting', 'OFSAD | Friday, August 24, 2018', and links for 'OFSAA', 'About', and 'Logout'. Below the navigation bar, there are tabs for 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The main content area is titled 'Glossary >> Glossary Details'. On the right, there is a 'Help' icon and a 'Status: New' indicator. The form contains two input fields: 'Glossary Name*' and 'Glossary Definition*'. The 'Glossary Name*' field has a value of 'ID: 1335102'. There are 'Save Draft' and 'Cancel' buttons at the top left of the form area.

3. Enter the glossary name and definition in the **Glossary Name** and **Glossary Definition** the fields.

The status of the glossary is New.

4. Click **Save Draft**.

The status of the Glossary changes to Draft and a confirmation messages appears, confirming that the operation was successful.

5. Click **OK**.

6. Click **Edit** to review and update the fields, and then click **Submit**.

A confirmation message appears, confirming that the update operation was successful.

7. Click **OK**.

The glossary is created and the Glossary status changes from Draft to Pending Approval.

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 Details** section.
2. The status of the Glossary appears as **Pending Approval**.
3. In the **Reason for Approval/Rejection** field, provide a reason.
4. Click **Approve**.

A confirmation message appears, confirming that the update operation was 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 Details** section.
2. The status of the Glossary appears as **Pending Approval**.
3. In the **Reason for Approval/Rejection** field, provide a reason.
4. Click **Reject**.


A confirmation message appears, confirming that the update operation was successful.

5. Click **OK**.

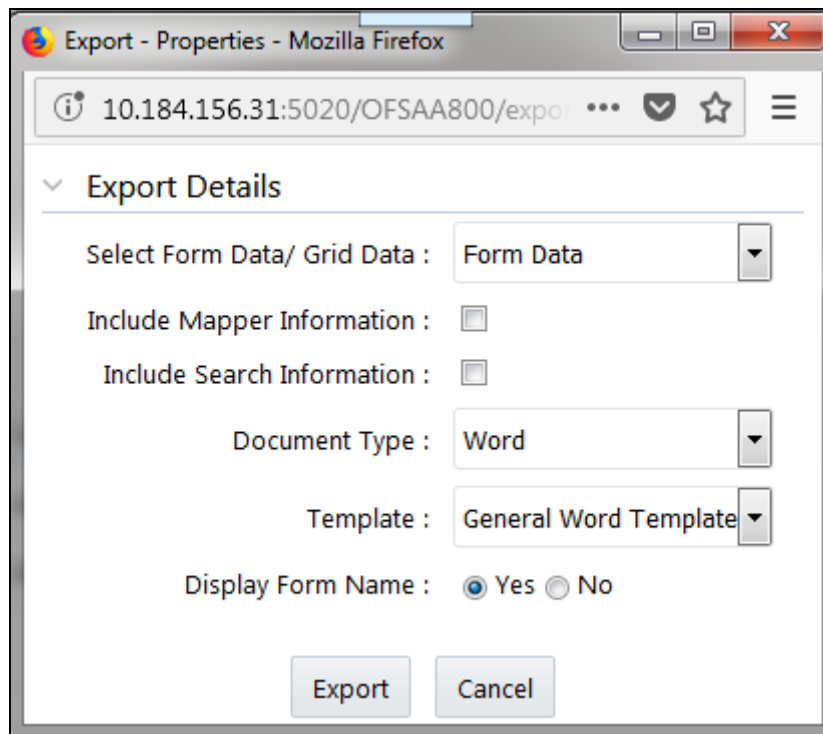
The status of the glossary changes to **Draft**.

4.7 Exporting a Glossary

To export a Glossary, perform the following steps:

1. Navigate to the **Glossary** menu.
2. Select the check box next to the glossary that you want to export.
3. Click the  **Export** icon to export the glossary.

The **Export** window appears.



The screenshot shows a web browser window titled "Export - Properties - Mozilla Firefox". The address bar displays "10.184.156.31:5020/OFSA800/expo". The main content area is titled "Export Details" and contains the following configuration options:

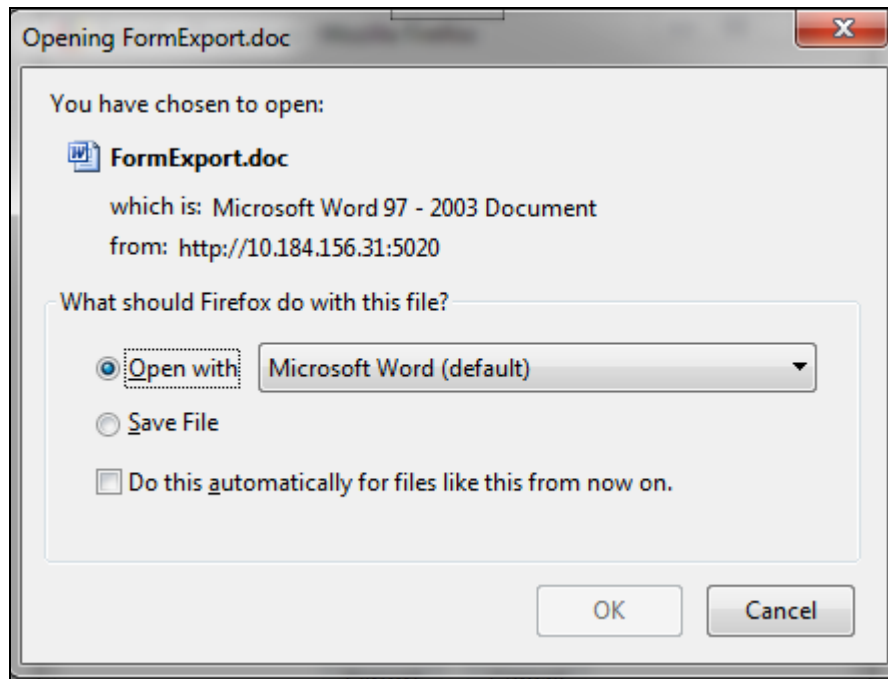
- Select Form Data/ Grid Data :** A dropdown menu currently set to "Form Data".
- Include Mapper Information :** An unchecked checkbox.
- Include Search Information :** An unchecked checkbox.
- Document Type :** A dropdown menu currently set to "Word".
- Template :** A dropdown menu currently set to "General Word Template".
- Display Form Name :** Radio buttons for "Yes" (selected) and "No".

At the bottom of the dialog, there are two buttons: "Export" and "Cancel".

4. In the **Select Form Data/Grid Data** drop-down list, select either **Grid Data** or **Form Data**.
5. Select the **Include Mapper Information** check box if you want to include information about the Mapper.

6. Select the **Include Search Information** check box if you want to include search information.
7. In the **Document Type** drop-down list, select the document type as **Word** or **Excel** or **PDF**.
8. In the **Template** drop-down list, select the template type.
9. In the **Display Form Name** field, select, 'Yes' if you want to display a form name.
10. Click **Export**.

The **Opening <FormExport.doc>** window appears.



11. Click **Open with** and then select **OK**.

5 Mapping the Business Terms

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

Inbox
Standards & Policies
Controls
Key Indicators
Process Monitoring
Issues & Actions
Admin

Business Term

Business Term
Term Usage

Name* Mitigant Code
ID* 994453

Definition The unique identifier of the mitigant. Mitigant is defined as an instrument that is used to negate the risk that arises due to an exposure with a counterparty. A mitigant can be collateral like real estate property or other assets or personal or bank guarantees or credit derivatives that a borrower offers a lender to secure a loan. If the borrower stops making the promised loan payments, the lender can repossess or invoke the mitigant to recover its losses. Because mitigant offers some security to the lender in case the borrower fails to pay back the loan, loans that are secured by mitigant typically have lower interest rates than unsecured loans. A lender's claim to a borrower's mitigant is called a lien.

Usage Term Add Delete
2 / 48 << < > >>

	Context ID	Usage Term Name	Scope	Definition
<input type="checkbox"/>	1010211	Loans and advanc... »	FI05	"Loans and advances" are debt instruments hel... »
<input type="checkbox"/>	1010213	Loans and advanc... »	FI05	"Loans and advances" are debt instruments hel... »
<input type="checkbox"/>	1010215	Loans and advanc... »	FI05	"Loans and advances" are debt instruments hel... »
<input type="checkbox"/>	1010217	Loans and advanc... »	FI05	"Loans and advances" are debt instruments hel... »
<input type="checkbox"/>	1010219	Loans and advanc... »	FI05	"Loans and advances" are debt instruments hel... »
<input type="checkbox"/>	1010221	Loans and advanc... »	FI05	"Loans and advances" are debt instruments hel... »
<input type="checkbox"/>	1010223	Loans and advanc... »	FI05	"Loans and advances" are debt instruments hel... »
<input type="checkbox"/>	1010225	Loans and advanc... »	FI05	"Loans and advances" are debt instruments hel... »

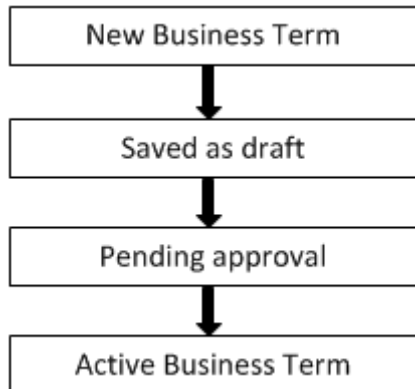
5.2 User Roles and Actions

All users are required to be mapped to the **DGS EBA AUTHORIZER GROUP**, **DGS EBA ADMINISTRATOR GROUP**, and **DGS EBA ANALYST GROUP** groups along with their respective groups.

The following are the user roles and actions for Business Terms:

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

5.3 Business Terms Workflow



5.4 Creating a Business Term

The fields that are displayed while defining a Business Term are explained in the following table.

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 blue asterisk(*) are mandatory	

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

5.4.2 Creating 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.

Click **Add**. The Business Term page is displayed. The status of the Business Term is New.

The screenshot shows the Oracle Data Governance for European Central Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Business Terms' section is active, showing a search and filter area with fields for ID, Subject Area, Glossary, Term, and Status. Below this is a table of existing Business Terms:

ID	Term	Critical Data Element	Subject Area	Domain	Source	Status	Glossary
472443	Zero Percent Risk Weight Flag	Yes	Account	Flag	Internal	Active	OFSAA Glossary
472444	Probability of Default	Yes	Account	Percent_Long	Internal	Active	OFSAA Glossary
472445	Loss Given Default	Yes	Account	Percent_Long	Internal	Active	OFSAA Glossary
472446	Risk Weighted Asset - Unexpected Loss	Yes	Account	Amount	Internal	Active	OFSAA Glossary

2. Click the **Add** icon.

The **Business Term** section appears with the **Business Term** tab open by default.

The screenshot displays the Oracle Data Governance for European Central Reporting web application. The top navigation bar includes 'ORACLE Data Governance for European Central Reporting', 'OFSAD | Monday, August 27, 2018', and user options like 'OFSAA', 'About', and 'Logout'. Below the navigation bar, there are tabs for 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The main content area is titled 'Business Terms >> Business Term' and features a 'Business Term' tab and a 'Term Usage' tab. In the 'Business Term' tab, there are buttons for 'Save Draft' and 'Cancel'. The form fields include: 'Name*' (with ID 1335115), 'Definition', 'Glossary*' (a dropdown menu), 'Annotate', and 'Keywords'. A 'Help' icon and 'Status: New' are visible in the top right corner.

3. Enter the required information in the [fields](#).

4. Click **Save Draft**.


A confirmation message appears confirming that the operation of adding a business term was successful.

5. Click **OK**.

The status of the Business Term changes to Draft and the **Related Business Items** and **List of Values** sub-sections appear.

6. In the **Related Business Items** sub-section, you can view the related Business Terms, and link or delink the terms.

7. In the **List of Values** sub-section, you can select the list of values, and add or delete the values.

8. Additionally, in the upper-left corner in the **Business Term** tab, click the  **Edit** icon to review and update the fields.

9. In the upper-left corner in the **Business Term** tab, click the  **Submit** icon.

A confirmation message appears, confirming that the operation of updating the fields was successful.

10. Click **OK**.

The Business Term is created and the state changes from Draft to Pending Approval.

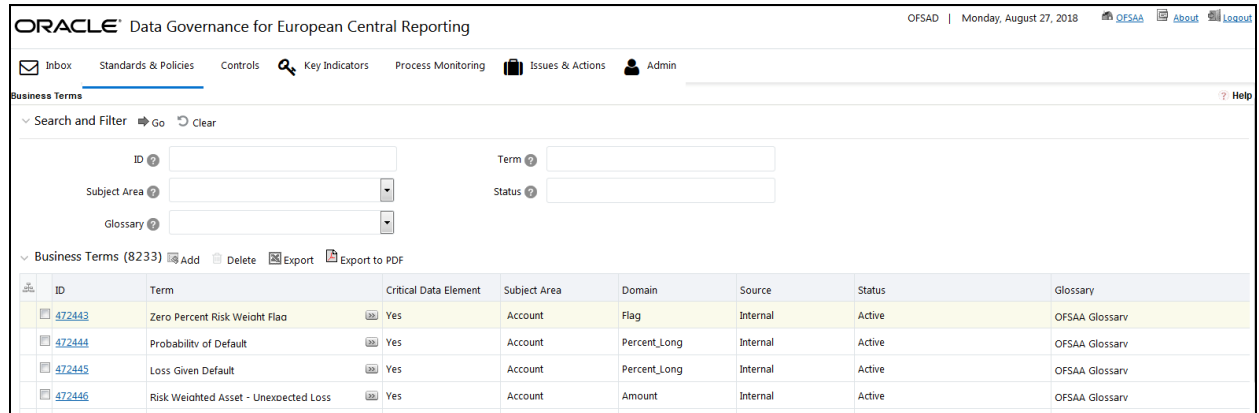
5.5 Approving or Rejecting a Business Term

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

To approve a Business term, perform the following steps:

1. Click the **Standards and Policies** menu and then click **Business Terms**.

The **Business Terms** workspace appears.



2. In the **Search and Filter** sub-section, search the required business term.
3. In the **ID** column, select the ID link of the business term.

The **Business Term** section appears with the **Business Term** tab open by default.

4. In the **Reason for Approval/Rejection** field, provide a reason.
5. Click either **Approve** or **Reject**.

A confirmation message appears, confirming that the update operation was successful.

6. Click **OK**.

If you have approved the Business Term, the state of the Business Term changes to **Active**.
If you have rejected the Business Term, the state of the Business Term changes to **Draft**.

5.6 Exporting a Business Term

To export a Business Term, perform the following steps:

1. Click the **Standards and Policies** menu and then click **Business Terms**.

The **Business Terms** workspace appears.

ORACLE Data Governance for European Central Reporting

OFSAD | Monday, August 27, 2018

Inbox Standards & Policies Controls Key Indicators Process Monitoring Issues & Actions Admin

Business Terms

Search and Filter Go Clear

ID Term
Subject Area Status
Glossary

Business Terms (8233) Add Delete Export Export to PDF

ID	Term	Critical Data Element	Subject Area	Domain	Source	Status	Glossary
472443	Zero Percent Risk Weight Flag	Yes	Account	Flag	Internal	Active	OFSAA Glossary
472444	Probability of Default	Yes	Account	Percent_Long	Internal	Active	OFSAA Glossary
472445	Loss Given Default	Yes	Account	Percent_Long	Internal	Active	OFSAA Glossary
472446	Risk Weighted Asset - Unexpected Loss	Yes	Account	Amount	Internal	Active	OFSAA Glossary

- Click the  **Export** icon.

The **Export** window appears.

Export - Properties - Mozilla Firefox

10.184.156.31:5020/OFSAA800/expor

Export Details

Select Form Data/ Grid Data : Form Data

Include Mapper Information :

Include Search Information :

Document Type : Word

Template : General Word Template

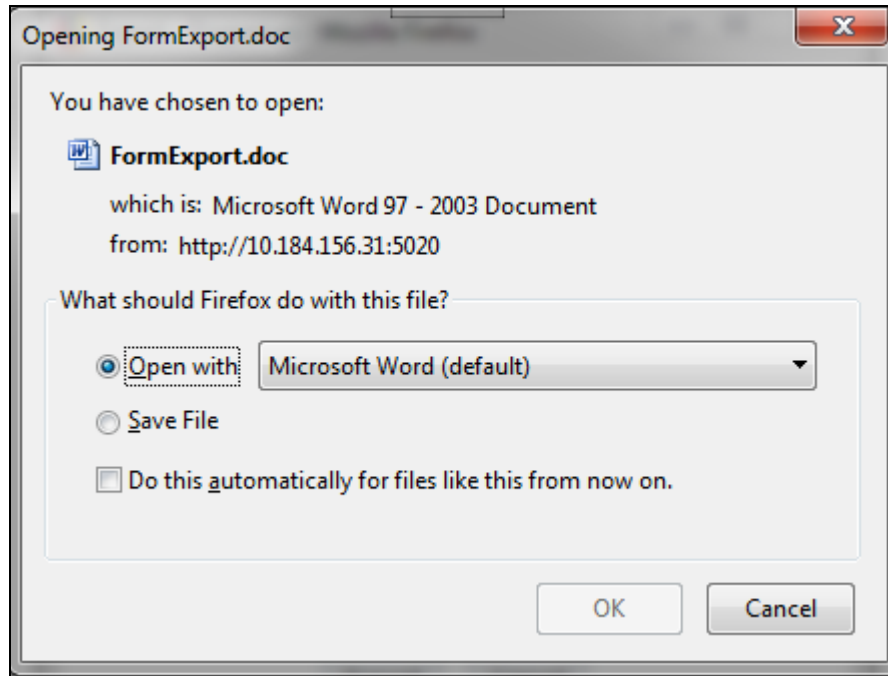
Display Form Name : Yes No

Export Cancel

- In the **Select Form Data/Grid Data** drop-down list, select either **Grid Data** or **Form Data**.
- Select the **Include Mapper Information** check box if you want to include information about the Mapper.
- Select the **Include Search Information** check box if you want to include search information.
- In the **Document Type** drop-down list, select the document type as **Word** or **Excel** or **PDF**.
- In the **Template** drop-down list, select the template type.
- In the **Display Form Name** field, select, 'Yes' if you want to display a form name.

9. Click **Export**.

The **Opening <FormExport.doc>** window appears.



10. Click **Open with** and then select **OK**.

5.7 Usage Term

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

The 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.

The BIRD and the OFSAA business glossary provides a standard and complete Usage Term for each Business Term.

5.7.1 Creating a Usage Term

NOTE: The user can only create a Usage Term for Business Terms that are in the **Draft** stage.

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

5.7.1.1 Fields and their Descriptions

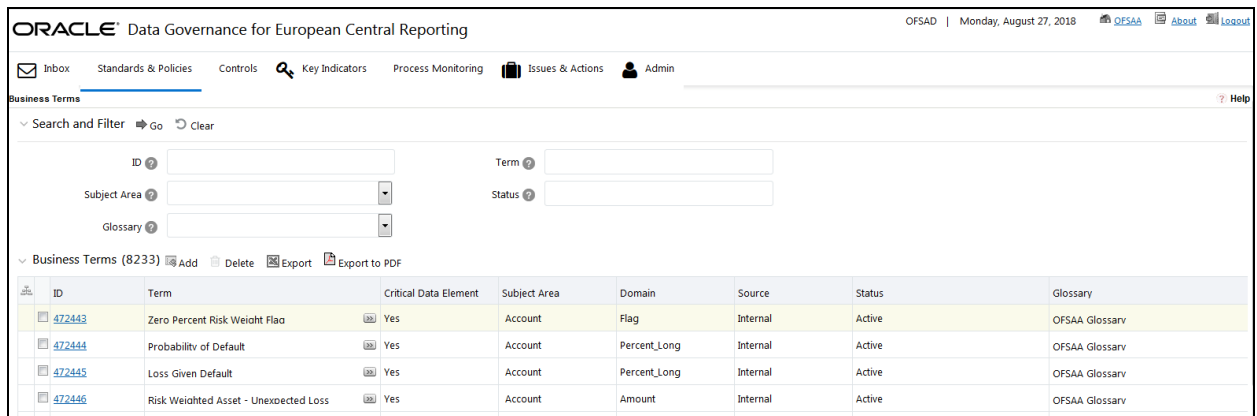
Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Context Name	Related to other glossary identifiers (multiple contextual definitions for the glossary term).
Context Definition	Contextual definition of the glossary term from perspective of source or application.
Usage Term Name	The name of the context in which the term is used.
Business Term ID	A system generated number.

5.7.1.2 Creating a Usage Term

Perform the following steps to add a Usage Term:

1. Click the **Standards and Policies** menu and then click **Business Terms**.

The **Business Terms** workspace appears.



2. In the **Search and Filter** sub-section, search the required business term.
3. In the **ID** column, select the ID link of the business term.

The **Business Term** section appears with the **Business Term** tab open by default.

4. Click the **Term Usage** tab.
5. In the **Usage Term** sub-section, click the **Add** icon.

The **Contextual Definition** window appears.

6. In the **Usage Term Name** field, enter the name of the usage term.

7. In the **Context Name** field, enter the name of the context name.
8. In the **Context Definition** field, enter a definition for the context.
9. Additionally, in the **List of Values** sub-section, you can also **Add**, **Save**, or **Delete**.
10. Click **Save**.

A confirmation appears, confirming that the operation to add a usage term was successful.


11. Click **OK**.

You can view the newly created Usage Term in the **Search and List** page.

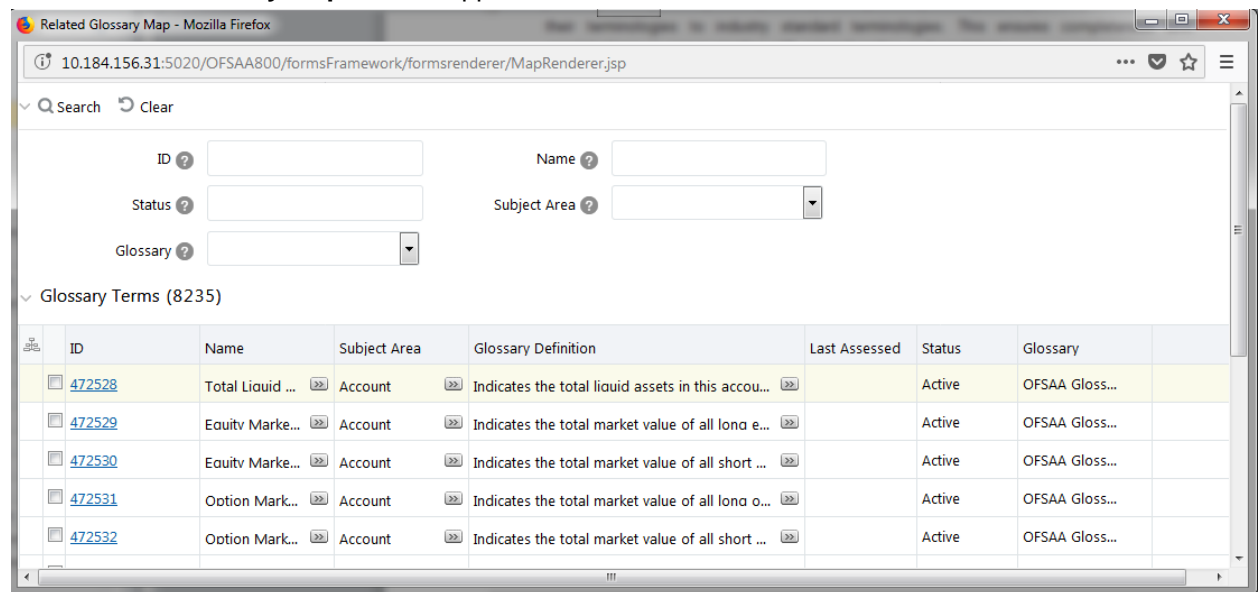
5.8 Mapping Business Terms

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

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

- Select a business term that is in draft status.
- In the **Related Business Term** sub-section, click the  **Link** icon.

The **Related Glossary Map** window appears.




- Select the checkbox next to the required glossary items and then click **Link**.
A confirmation message appears, confirming that the operation was successful.
- Click **OK** and then click **Close**.

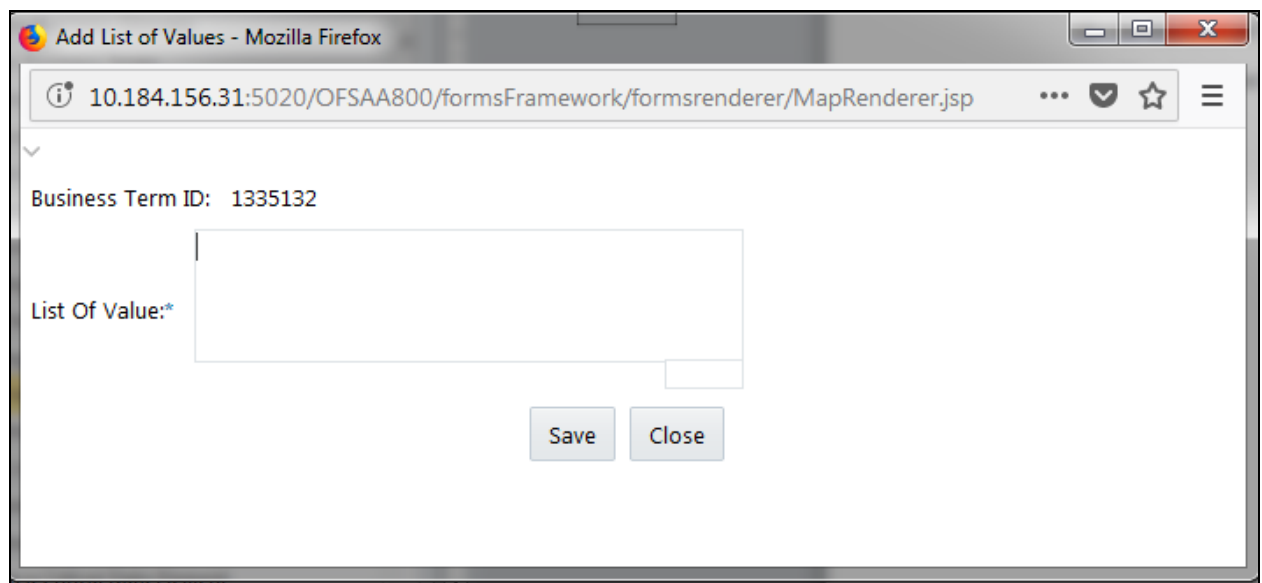
5.9 List of Values

The **List of Values** sub-section enables the user to add values to the corresponding Business Term.

Perform the following steps to add a value:

1. Select a business term that is in draft status.
2. In the **List of Values** sub-section, click the  **Add** icon.

The **Add List of Values** window appears.



3. In the **List of Value*** field, enter a value, and then click **Save**.
A confirmation message appears, confirming that the operation was successful.
4. Click **OK**, and then click **Close**.
The newly added value is now appears in the **List of Values** sub-section.

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 Critical Data Elements](#)

6.1 About Critical Data Elements

Critical Data Elements are Business Terms that 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 as per their context, justification, level of criticality, and approval for the classification. They are ensured to have additional rigor in their data quality checks, controls, and so on and have sufficient metrics around it to ensure timeliness and accuracy of the values.

Critical Data Elements (CDEs) are defined for each report in Regulatory Reporting. DGE CR will contain all CDEs for a particular report. The list of Critical Data Elements are identified for a particular report and the 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 the **Key Indicator and Control** section.

The screenshot displays the Oracle Data Governance for European Central Reporting interface. At the top, the Oracle logo and product name are visible, along with the user 'OFSAD' and the date 'Wednesday, December 12, 2018'. A navigation menu includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The current page is 'Critical Data Element Details', accessed via 'Critical Data Element >>'. The main content area shows the details for a Critical Data Element with ID 997236. Fields include CDE Name (Mitigant Code), Access Level (Confidential), Data Classification Level (Financial), Business Term, and Justification (Critical Data Elements Across Reports). Below this is a section for 'Entity Attribute Details' with 'Add' and 'Delete' buttons. A table lists the attributes:

Logical Entity	Logical Attribute	Physical Entity	Physical Attribute
<input type="checkbox"/> Stage Mitigants	Mitigant Code	STG_MITIGANTS	V_MITIGANT_CODE
<input type="checkbox"/> Stage Mitigant Master	Mitigant Code	STG_MITIGANT_MASTER	V_MITIGANT_CODE
<input type="checkbox"/> Mitigant Dimension	Mitigant Code	DIM_MITIGANT	V_MITIGANT_CODE
<input type="checkbox"/> Stage Account Mitigant Map	Mitigant Code	STG_ACCOUNT_MITIGANT_MAP	V_MITIGANT_CODE
<input type="checkbox"/> Stage Loans Serviced Mitigant Map	Mitigant Code	STG_LOAN_SERVICED_MITIGANT	V_MITIGANT_CODE

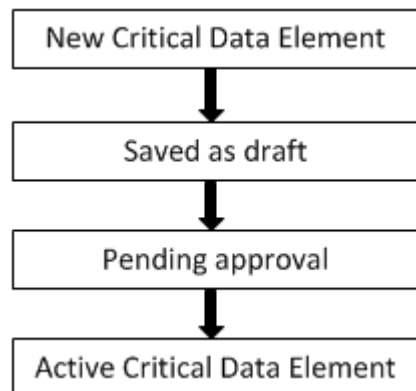
6.2 User Roles and Actions

All the users are required to be mapped to the **DGS EBA AUTHORIZER GROUP**, **DGS EBA ADMINISTRATOR GROUP**, and **DGS EBA ANALYST GROUP** groups, along with their respective following groups.

The following are the user roles and actions for critical data elements:

- **Critical Data Elements Viewer:** Permits the user to view the critical data elements. The user needs to be mapped to the **CDEVIEWERGRP** group.
- **Critical Data Elements Creator:** The user is responsible for the classification and maintenance of critical data elements. The user needs to be mapped to the **CDECREATEGRP** group.
- **Critical Data Elements Approver:** The user is responsible for the approval and rejection of critical data elements. The user needs to be mapped to the **CDEAPPRGRP** group.
- **Critical Data Elements Owner:** A user with this role has all the permissions/rights that a creator has to his specific critical data elements. The user is responsible 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. The user needs to be mapped to the **CDEOWNERGRP** group.

6.3 Workflow of Critical Data Elements



6.4 Creating a Critical Data Element (CDE)

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 blue asterisk(*) are mandatory	
ID*	The identification number automatically assigned to the CDE
CDE Name*	Provide a name for the CDE
Access Level*	Select the access level from the drop-down list: <ul style="list-style-type: none"> • Public • Confidential • Restricted
Data Classification Level*	Select the data classification level from the drop-down list: <ul style="list-style-type: none"> • Legal • Financial • PHI • PII
Business Term*	Select a Business Term from the Hierarchy Browser window.
Justification*	Provide a justification for classifying the Business Term as a CDE
Fields	Description
Fields marked in blue asterisk(*) are mandatory	

NOTE: The Entity Name and Attribute Name can only be added if a CDE is in a Draft state.

6.4.2 Creating a Critical Data Element

Perform the following steps to create a CDE:

1. Click the **Standards and Policies** menu and then click **Critical Data Element**.

The **Critical Data Element Details** page appears.

ORACLE Data Governance for European Central Reporting OFSAD | Monday, August 27, 2018 [OFSAD](#) [About](#) [Logout](#)

[Inbox](#) [Standards & Policies](#) [Controls](#) [Key Indicators](#) [Process Monitoring](#) [Issues & Actions](#) [Admin](#)

Critical Data Element [Help](#)

Search and Filter [Go](#) [Clear](#)

CDE ID CDE Name
 Business Term Status

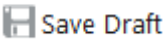
Critical Data Element (793) [Add](#) [Delete](#) [Export](#)

ID	CDE Name	Business Term	Access Level	Data Classification Level	Status	Created Date	Created By	Last Modified Date	Last Modified By
480683	CREDIT STATUS DATE		Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD
480684	EFFECTIVE MATURITY DATE	Effective Maturity Date	Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD
480685	EFFECTIVE FROM DATE		Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD
480686	EFFECTIVE TO DATE		Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD
480687	END OF INTEREST ONLY P...		Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD
480694	HEDGE INDICATOR		Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD
480695	INTRA BANK IDENTIFIER		Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD
480696	ISSUER TYPE FINANCIAL E...		Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD
480697	FORBEARANCE AND RENE...		Confidential	Financial	Active	05-05-2016	OFSAD	05-05-2016	OFSAD

2. Click the  **Add** icon.

The **Critical Data Element** section appears.

3. Enter the data in the available fields.

4. Click the  **Save Draft** icon.

A confirmation message appears, confirming that the operation was successful.

5. Click **OK**.

6. Additionally, click **Edit** to review and update the fields and then click **Submit**.

A confirmation message appears, confirming that the operation was successful.

7. Click **OK**.

The CDE is created, and the state changes from Draft to Pending Approval.

6.5 Approving or Rejecting a CDE

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

To approve a CDE perform the following steps:

1. Click the **Standards and Policies** menu and then click **Critical Data Element**.

The **Critical Data Element Details** page appears.

Oracle Data Governance for European Central Reporting

OFSDAD | Monday, August 27, 2018

Inbox Standards & Policies Controls Key Indicators Process Monitoring Issues & Actions Admin

Critical Data Element

Search and Filter Go Clear

CDE ID CDE Name
Business Term Status

Critical Data Element (793) Add Delete Export

ID	CDE Name	Business Term	Access Level	Data Classification Level	Status	Created Date	Created By	Last Modified Date	Last Modified By
480683	CREDIT STATUS DATE		Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD
480684	EFFECTIVE MATURITY DATE	Effective Maturity Date	Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD
480685	EFFECTIVE FROM DATE		Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD
480686	EFFECTIVE TO DATE		Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD
480687	END OF INTEREST ONLY P...		Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD
480694	HEDGE INDICATOR		Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD
480695	INTRA BANK IDENTIFIER		Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD
480696	ISSUER TYPE FINANCIAL E...		Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD
480697	FORBEARANCE AND RENE...		Confidential	Financial	Active	05-05-2016	OFSDAD	05-05-2016	OFSDAD

- In the **Critical Data Element** sub-section, in the **ID** column, click the link of the required CDE ID.

The **Critical Data Element** section appears.

- In the **Reason for Approval/Rejection** field, provide a reason for the approval or rejection.
- Click either **Approve** or **Reject**.

A confirmation message appears, confirming that the operation was successful.

- Click **OK**.

If you have approved the Business Term, the state of the Business Term changes to **Active**.
If you have rejected the Business Term, the state of the Business Term changes to **Draft**.

7 Identifying the Controls

This chapter explains the process of identifying the runs and includes the following topics:

- [About Controls](#)
- [DQ Check and Controls](#)
- [User Roles and Actions](#)
- [Creating a Control](#)
- [Assessing a Control](#)
- [Raising Issues on Control](#)
- [Closing a Control](#)

7.1 About Controls

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

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

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

The following are the two types of Controls:

- **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 defined DQ rules. The effectiveness of these controls can be automatically assessed based on the DQ execution facts.

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

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

The following are the types of Data Quality Checks and their definitions:

Data Quality Check	Definition
Blank Value Check	Identifies if the base column is empty considering the blank space.
Column Reference/Specific Value Check	Compares the base column data with another column of the base table or with a specified direct value by using a list of pre-defined operators.
Data Length Check	Checks for the length of the base column data by using a minimum and maximum value, and identifies if it falls outside the specified range
Duplicate Check	Is used when a combination of column is unique and identifies all duplicate data of a base table in terms of the columns selected for the duplicate check
List of Value 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 match with a value or specified code in a list of values.
NULL Value Check	Identifies if 'NULL' is specified in the base column.
Referential Integrity Check	Identifies all the base column data that has not been referenced by the selected column of the referenced table. Here, the user specifies the reference table and columns.
Range Check	Identifies if the base column data falls outside a specified range of a Minimum and Maximum value.

The controls are specific to reports. The DQs are defined in the `DQ_CHECK_MASTER` and `DQ_GROUP_MAPPING` tables.

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

7.3 Operational Control

Operational Controls are created for each unique task available for a Run.

The 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.

The `FSI_CONTROL` table stores the list of controls created. The 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 users are required to be mapped to **DGS EBA AUTHORIZER GROUP**, **DGS EBA ADMINISTRATOR GROUP**, and **DGS EBA ANALYST GROUP** groups, along with their respective individual group.

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

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

7.5 Creating a Control

The fields that are displayed while defining a Control 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 blue asterisk(*) are mandatory	
ID*	Displays the unique auto-generated ID for the control.
Name*	Provide a short description or name for the control.
Description	Provide a long description of the control to indicate the purpose and nature of the control.
Owner*	Select the user responsible for overseeing the control.
Type*	Select the control type from the drop –down box: <ul style="list-style-type: none"> • Quality Control • Operational Control

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Comments	Provide additional information about the Control.
Financial Accuracy Check*	Select the Yes or No.
Methodology*	Select the methodology from the drop-down box: OFSAA Methodology.
Weight	This field appears in the Data Quality Rules section. The weights of the Data Quality Rule should not be greater than 100.

7.5.2 Procedure to Create a Control

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

7.5.2.1 Control Creation via Batches

Perform the following steps to create a Control via Batches:

1. For control creation, the FSI_DGS_CONFIGURATION table has to be seeded first. In an Operational Control, you need to set the frequency.

Note: In the **N_LOOKUP_VALUE** column, you can modify the values in the CREATOR and the OWNER fields.

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

2. Check the FCT_CONTROL and FSI_CONTROL_DQ_MAP tables once the batch has been successfully executed.

Error Profiling

1. Execute the DQs and check the **Result Summary and Details**.
2. Run the Batch - ##INFODOM##_REFRESH_MAT_VIEWS. This will refresh all the required Materialized Views.
3. Execute the Batch - ##INFODOM##_LOAD_FSI_ERROR_DATA_PROFILE. This will load the data into the FSI_ERROR_DATA_PROFILE table.
4. Once the config table is seeded, then the following batch has to be executed that will create the Controls for the available DQs - Batch - ##INFODOM##_CREATE_CONTROL.

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

* *FSI_ERROR_DATA_PROFILE* table is used for Error Profiling.

The screenshot displays the Oracle Data Governance for European Central Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Controls' section is active, showing 'Control Details' for a control with ID 495733. The control details include:

- Name: Interest Payment Date in Stage Borrowings
- Description: Control for Stage Borrowings.Interest Payment Date
- Methodology: OFSAA Method
- Owner: OFSAD
- Type: Quality Control
- Financial Accuracy Check: No
- Comments: (empty)

Below the details, there is a section for 'Data Quality Rules (1)' with a table:

Data Quality Rule	Data Quality Rule Description	Weight
DQFSDWDT0007	To Check Interest Date Should Be Less Than Or Equal To Closed Date	100

Control Execution Details

The following are the steps to perform control execution:

1. Once the `FSI_ERROR_DATA_PROFILE` table is populated, execute the Batch `##INFODOM##_LOAD_FSI_CONTROL_EXEC_DETAIL`.

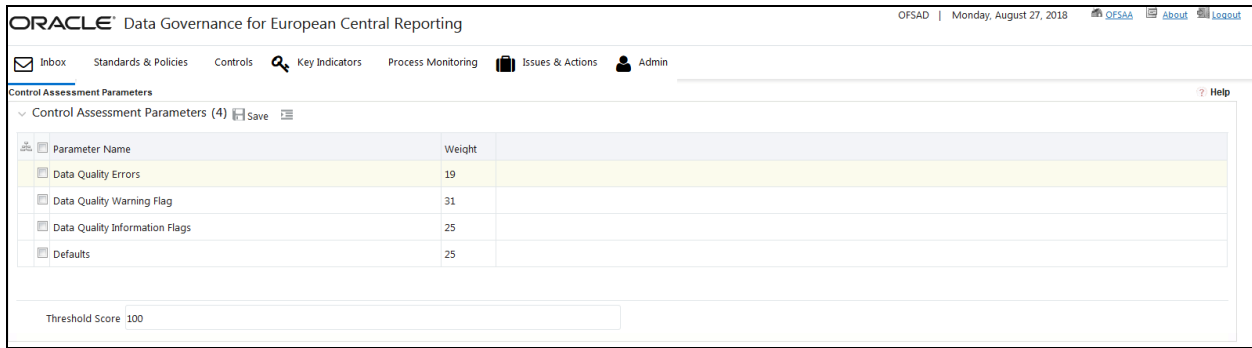
This will load data into the `FSI_CONTROL_EXECUTION_DETAILS` tables, which will be used by the DGEGR UI to display the required execution details for a control.

NOTE: All the batches require `FIC_MIS_DATE` while executing. The wrong `FIC_MIS_DATE` might result in data corruption.

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

7.5.3 Assessment Parameter Maintenance

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



Validations

- The sum of the weights of all parameters should not be greater than 100.
- The value in the **Threshold** field should not exceed 100.

Once the parameters are created and the ranges are specified, add values for the same parameter in the table - **FSI_CONTROL_USER_PARAM_VALUES**. This table captures the Assessment parameter values at the control level. The user is supposed to enter values in this table. The 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

For Operational control, the Assessment can be done for Controls (data elements) using an ICC batch. This provides the 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 the FSI_DGS_CONFIGURATION table. The parameter information (definition/Values) present above are utilized during the batch execution of Control Assessments.

7.5.4.1 Quality Control Assessment

Pre-Requisites


- For doing Control Assessment, the Control Execution Details should be present.
- Execution Details can be DQ or User Defined Parameters related.
- The DQ related parameters are 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, the user can see the assessment IDs that are generated in the User Interface of Data Governance for European Central Reporting. The backend engine generates the Assessment Start Date as the date on which batch is triggered.

User Defined Assessments

1. In DGEGR, click **Controls**.
The **Controls** workspace appears.
2. In the **ID** column, click the required control.
The **Control Profile** section appears, with the **Details** tab displayed by default.
3. Click the **Assessment** tab.
4. Click the  **Delete Assessment** icon to delete an assessment.

7.5.4.2 Operational Control Assessment

Before doing an assessment on an operational control, the following steps need to be completed:

1. Complete the Process Monitoring of the RUN for a given date.
2. Execute the T2T to move the Process Monitoring statistics to the FACT table for the same date.
3. The 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 the batch `##INFODOM##_ OP_CONTROL_ASSESSMENT` needs to be executed for the given date to do the assessment on operational controls. Once the assessment is done, it will start appearing in the UI under the **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.

The default frequency that is used is configurable and can be adjusted in the table `fsi_dgs_configuration`.

1. In DGEGR, click **Controls**.
The **Controls** workspace appears.
2. In the **ID** column, click the required control.
The **Control Profile** section appears, with the **Details** tab displayed by default.
3. Click the **Assessment** tab.
The details of the Assessment appear.

The screenshot shows the Oracle Data Governance for European Central Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Controls' tab is active, and the 'Control Details' page is displayed. The control name is 'Recalcitrant Flag in Stage Loan Contracts'. Below the control name, there are tabs for 'Details', 'Assessments', and 'Issues and Actions'. The 'Assessments' tab is selected, showing a table with columns: ID, Date, Effectiveness Score, Effectiveness Rating, and Status. The table is currently empty, displaying 'No Data Found'. Below this, there is a section for 'GL Recon Adjustment (782)' with a table containing columns: Adjustment ID, Adjusted Amount, GL Code, Currency, GAPP Code, and Legal Entity. The table lists several rows of adjustments, including GL_81_342 and GL_81_341.

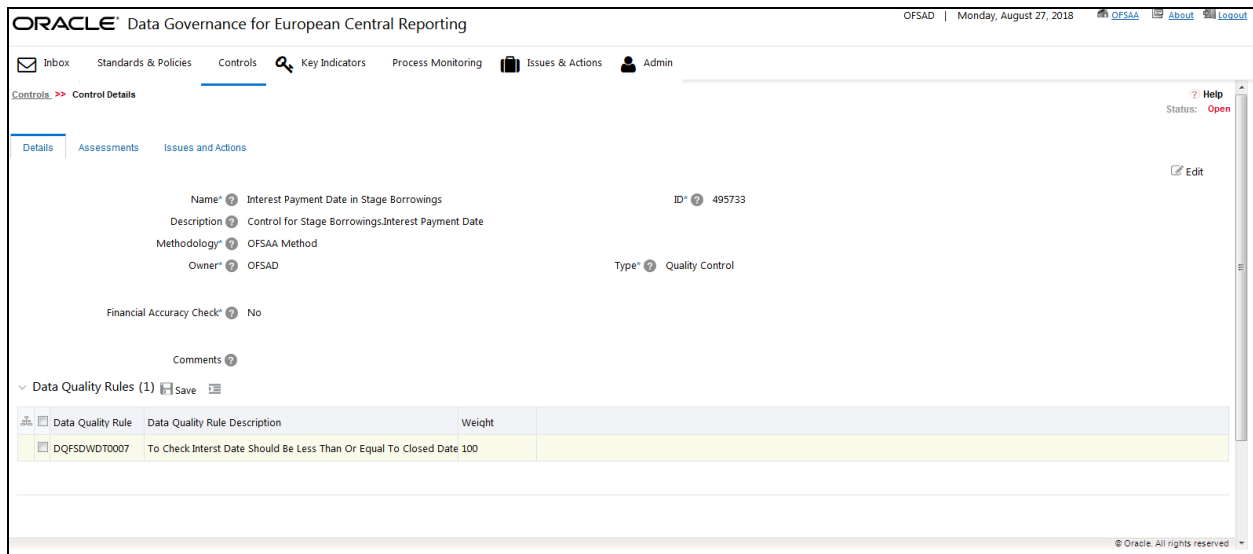
ID	Date	Effectiveness Score	Effectiveness Rating	Status
No Data Found				

Adjustment ID	Adjusted Amount	GL Code	Currency	GAPP Code	Legal Entity
GL_81_342	-4000	DEFAULT	USD	AUGAAP	LE1
GL_81_342	-4000	DEFAULT	USD	AUGAAP	LE1
GL_81_342	-4000	DEFAULT	USD	AUGAAP	LE1
GL_81_342	-4000	DEFAULT	USD	AUGAAP	LE1
GL_81_341	-537.521	DEFAULT	AUD	AUGAAP	LE1
GL_81_341	-537.521	DEFAULT	AUD	AUGAAP	LE1

7.6 Raising Issues on Controls

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


1. In DGEGR, click **Controls**.
The **Controls** workspace appears.
2. In the **ID** column, click the required control.
The **Control Profile** section appears, with the **Details** tab displayed by default.




7.7 Closing a Control

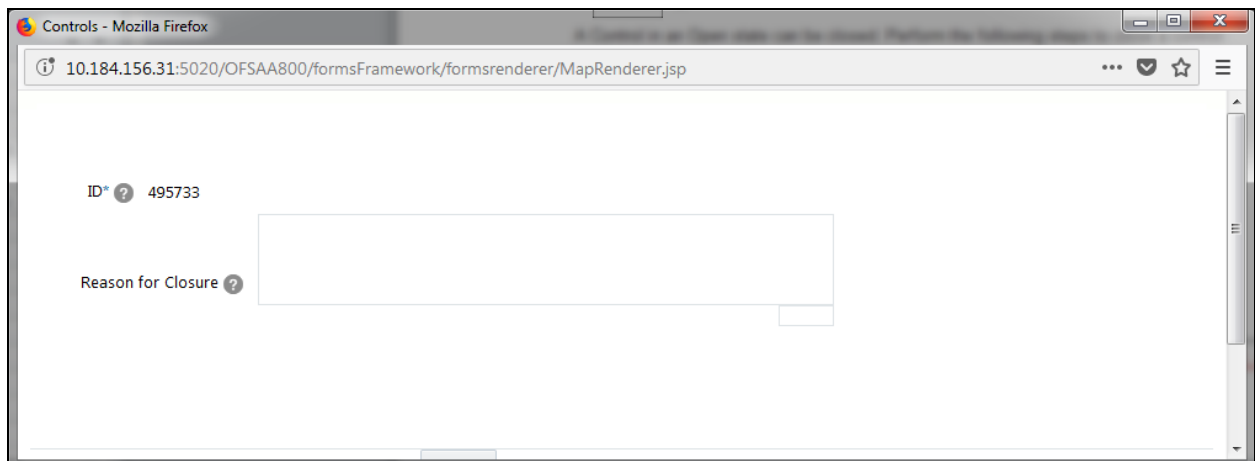
A Control in an Open state can be closed. Perform the following steps to close a control:

1. In DGEGR, click **Controls**.
The **Controls** workspace appears.
2. Select the check box next to the control that you want to close.

The  **Close Control** icon is now enabled.

3. Click the  **Close Control** icon.

The **Control** window appears.



4. In the **Reason for Closure** field, enter a reason and then click **Submit**.
A confirmation message appears, confirming that the operation was successful.
5. Click **Back**.

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 European Central Reporting application and step-by-step instructions on how to use this module.

This chapter includes the following topics:

- [About Key Indicators](#)
- [Parameters of Key Indicators](#)
- [User Roles and Actions](#)
- [Creating Key Indicator Conditions](#)
- [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 that provide an insight into the 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.

The OFS DGEGR 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 the Bank of International Settlements (BIS) for sound Operational Risk management. Therefore, it is an essential component of Basel II and Sarbanes-Oxley laws.

The type of values are quantitative and qualitative. For the quantitative type of KI, the user should load the measures. The KIs then are used as quantitative measures to monitor individual Critical Data elements and to determine the effectiveness of the controls. The KI values are monitored for specific business processes such as regulatory reporting, determining 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. The KI values are compared against defined threshold ranges. This determines the Red Amber Green (RAG) status of the KI. Various notifications and tasks can be sent to the 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

The DGEGR for Key Indicators for Regulatory Reporting is based on two parameters:

- Periodic Comparison
- Edit Checks

8.2.1 Key Indicators based on Periodic Comparison

The 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 we are handling yearly reports, then 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 a few reports, the 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, comparison with the previous year's data is invalid. By default, the reports are filtered by the latest values on the basis of the Run Skey and MIS Date Skey Filter for period comparison.

The Data is analyzed for each cell ID present in the Regulatory Reports to identify the possible indicators. We have defined the Key Indicator based on Period Comparison for each cell ID present in a report. The 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 the RAG (Red, Amber and Green) status against each Key Indicator. According to the RAG value, the user can take necessary actions for Red and Amber KIs.

8.2.2 Key Indicators based on Edit Checks

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

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

NOTE: The 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 which values in one column should match the values of another column. This ensures the quality of the reports.
- **Interserie Check:** Interserie Check involves the comparison of two schedules within a single report.
- **Intraserie Check:** Intraserie Check involves the comparison of two schedules from two different reports.

The edit checks are classified into two types:

- Controls
- Key Indicators

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

The KI definitions are available in the `FCT_KRI_DEF` table.

The screenshot shows the Oracle Data Governance for European Central Reporting interface. The 'Key Indicators' section is active, displaying a list of 167 indicators. The table below shows the first few entries:

ID	Name	Owner
488206	Voting Share Percent In Fact Entity Parent Information	OFSAD
488204	Value Of Mitigant In Reporting Currency In Fact Mitigants	OFSAD
488203	Value Adjustment And Provisions In Regulatory Account Summary	OFSAD
488201	Unrealized Gain And Loss Amount In Reporting Currency In Regulatory Account Summary	OFSAD
488190	Undrawn Amount In Reporting Currency In Regulatory Account Summary	OFSAD
488185	Underlying Exposure Amount In Fact Regulatory Counterparty Capital Summary	OFSAD
488178	Total Regulatory Capital Of Entity In Reporting Currency In Fact Legal Entity Details	OFSAD
488175	Total Gain And Loss Amount In Reporting Currency In Regulatory Account Summary	OFSAD
488170	Total Assets Of Entity In Reporting Currency In Fact Legal Entity Details	OFSAD

The Threshold values are available in the `FCT_KI_DEF_THRSLD` table

The screenshot shows the 'Key Indicator Metrics' view for the indicator 'Voting Share Percent In Fact Entity Parent Information'. The table below shows the assessment metrics:

Assessment Key	Assessment Date	Legal Entity	Assessment Status
1333615	30-Jun-2016	Wells Fargo Bank, Nation	PASS
1230913	30-Jun-2016		PASS
1230595	30-Mar-2016	Wells Fargo Bank, Nation	PASS
1128599	30-Mar-2016		PASS
702375	01-Jan-2016	Wells Fargo Bank, Nation	PASS
600088	31-Dec-2015	Wells Fargo Bank, Nation	PASS

8.3 User Roles and Actions

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

8.3.1 User Roles

All the users are required to be mapped to the **DGS EBA AUTHORIZER GROUP**, **DGS EBA ADMINISTRATOR GROUP**, and **DGS EBA ANALYST GROUP** groups along with their following respective groups.

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

- **Key Indicator Creator:** Permits the user to create, view, and maintain Key Indicators. The user needs to be mapped to the **DGSKRCODGRP** group.
- **Key Indicator Value Capturer:** Helps the user to generate metrics. The user needs to be mapped to the **KIVCAP** group.
- **Key Indicator Viewer:** Helps the user to view the key indicators. The user needs to be mapped to the **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 state.
- **Closing Key Indicator:** This action allows the user to close the Key Indicators in Open state.
- **Deleting Key Indicator:** This action allows the user to delete the Key Indicators in Draft State.
- **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. This functionality enables the user to update the Owner and Lower and upper threshold for an existing KI in a seamless way rather than doing it individually.
- **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 enables 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

When defining a Key Indicator Condition, the displayed fields 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 blue asterisk(*) are mandatory	
Name*	Provide a short description for the KI.
ID	A unique ID for the KI (auto-generated).
Description	Provide a description for the KI.
Type	<ul style="list-style-type: none"> Value Based Variance Based
Owner	The KI owner.
Entity Name	The table for which the KI Group is created.
Attribute Name	The column for which the KI Group is created.
KI Conditions ID	A unique ID for the KI Condition (auto-generated).
Report	The KI Condition report for EBA.
Schedule	A schedule for the report.
Cell Reference	A reference to the cell ID
KI Condition	The name of the KI Condition.

8.4.2 Creating a Key Indicator Condition

You can create a set of new Key Indicator Conditions in bulk when you identify a warning signal that has a potential impact in the organization. The **Key Indicator Details** workspace allows you to import a set of new Key Indicator Conditions in bulk.

NOTE: Only users that are mapped to the role of a Key Indicator Creator can create a Key Indicator Condition.

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

1. In DGEGR navigate to **Common Tasks > Operations > Batch Execution**.

2. In the Batch Execution pane, execute the DG_KI_GRP_BATCH_PROCESS batch. This Batch is mentioned in the file [OFS Data Governance Studio v 8 0 6 0 0 Runchart](#).
3. 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 Viewing and Editing a Key Indicator Condition

To view or edit the existing KI Condition details, perform the following steps:

1. In DGEGR, click **Key Indicators**

The **Key Indicators** workspace appears.

ORACLE Data Governance for European Central Reporting

Monday, August 27, 2018

Key Indicators

Search [] Clear [] Go []

ID [] Name [] Owner []

Key Indicators (167)

ID	Name	Owner
488206	Voting Share Percent In Fact Entity Parent Information	OFSAD
488204	Value Of Mitioant In Reoportino Currencv In Fact Mitioants	OFSAD
488203	Value Adjustment And Provisions In Reoportino Account Summarv	OFSAD
488201	Unrealized Gain And Loss Amount In Reoportino Currencv In Reoportino Account Summarv	OFSAD
488190	Undrawn Amount In Reoportino Currencv In Reoportino Account Summarv	OFSAD
488185	Underlino Exposure Amount In Fact Reoportino Counteroartv Caoital Summarv	OFSAD
488178	Total Reoportino Caoital Of Entiv In Reoportino Currencv In Fact Leaal Entiv Details	OFSAD
488175	Total Gain And Loss Amount In Reoportino Currencv In Reoportino Account Summarv	OFSAD
488170	Total Assets Of Entiv In Reoportino Currencv In Fact Leaal Entiv Details	OFSAD

2. In the **Key Indicators** section, in the **ID** column, select the link of the required KI.

The **Key Indicators Details** section appears with the **Details** tab open by default.

ORACLE Data Governance for European Central Reporting

Tuesday, August 28, 2018

Key Indicator Details

Details | KI Metrics | Issues and Actions

Name: Voting Share Percent In Fact Entity Parent Information

Description: This Column Stores The Voting Percentage

Owner: OFSAD


Entity Name: FACT ENTITY PARENT INFORMATION

ID: 488206


Attribute Name: VOTING SHARE PERCENT

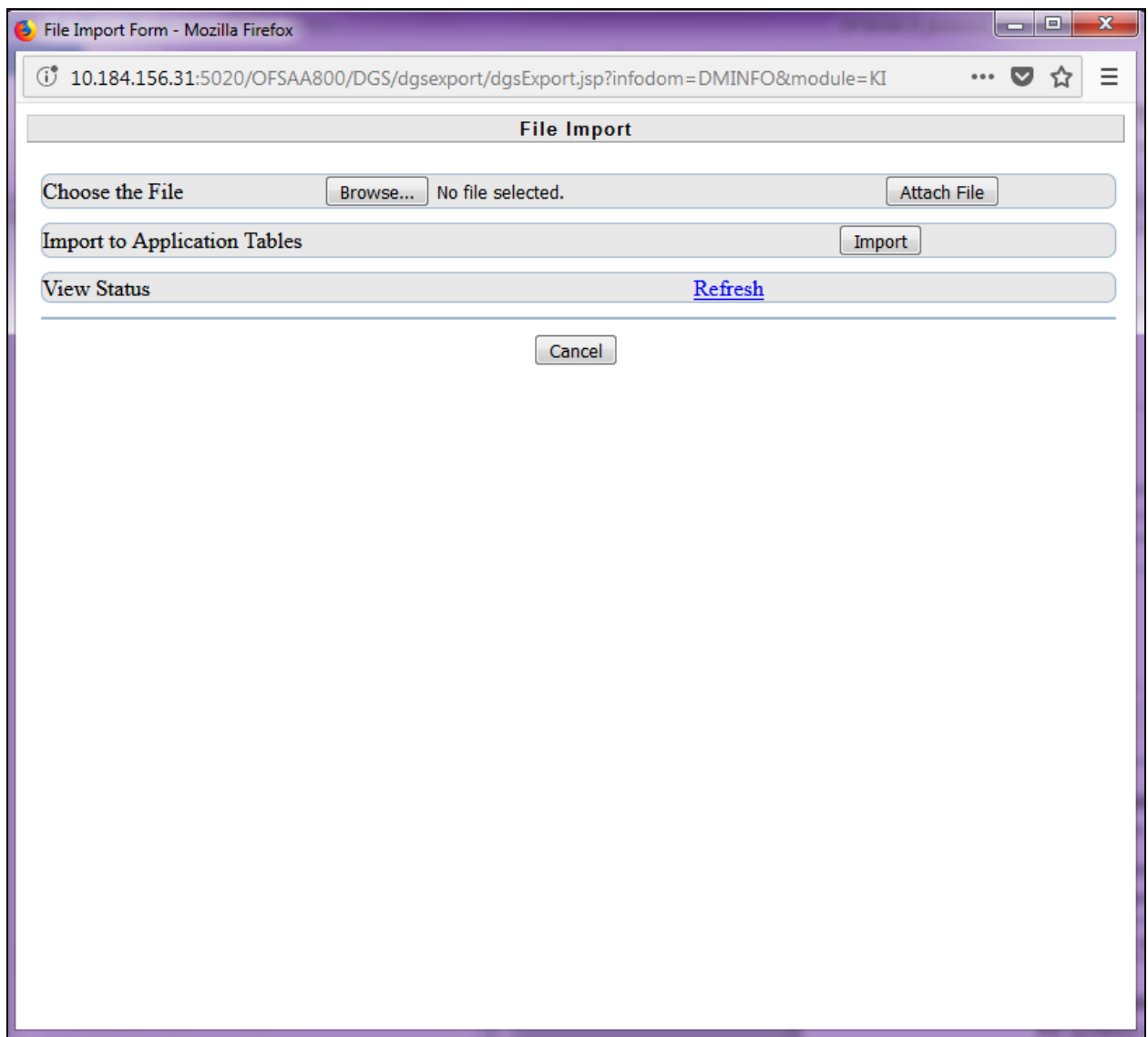
Key Indicator Conditions (1)

ID	Report	Schedule	Cell Reference	KI Condition	Type
69769	F140	F14001	F14001.C120	VOTING RIGHTS (%)	Variance-Based

3. In the **Conditions** section, click the  **Export** icon, and then save the Excel file to your local system.
4. In the downloaded Excel file, enter the required information and then save the Excel with the same file name, **KI.xlsx**.

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

5. In the **KI Indicator Details** page, click the  **Import** icon to upload this excel file and import the updated data into the application,.
6. The **File Import Form** window appears.



7. Click **Browse**, locate the **KI.xlsx** file, and then click **Open**.

8. Click **Attach**. A confirmation message appears, confirming that the file has been uploaded.
9. Click **OK**.
10. To import the data into the application tables, click **Import**. A confirmation message appears, indicating that the import process has been triggered.
11. Click **OK**.
12. To view the status details, click **Refresh**, and then close the window.
The updated data will be imported into the application.
13. The uploaded KI Condition now appears in the **KI Conditions** list.

8.4.3.1 Editing the Alert Threshold Field

To view or edit the existing KI Condition details, perform the following steps:

1. In DGEGR, click **Key Indicators**

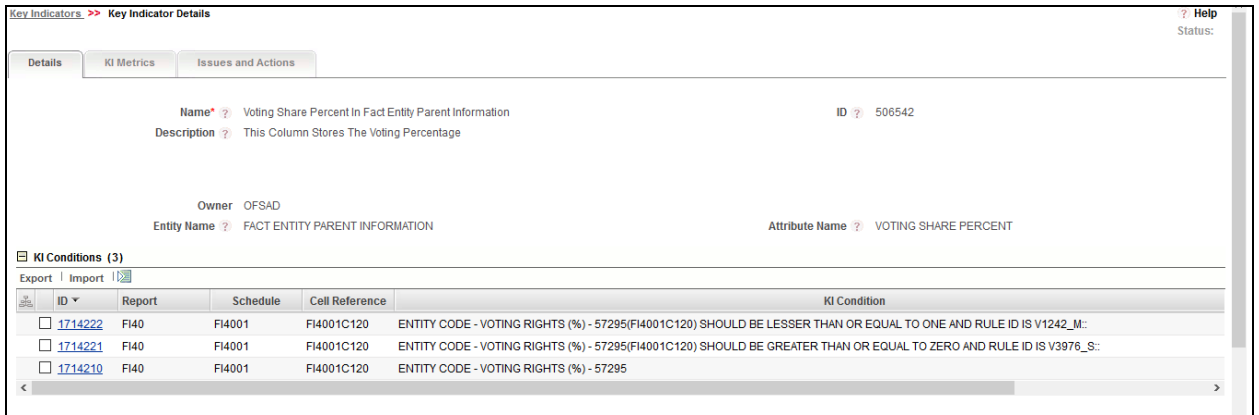
The **Key Indicators** workspace appears.

The screenshot shows the Oracle Data Governance for European Central Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators' (selected), 'Process Monitoring', 'Issues & Actions', and 'Admin'. Below the navigation is a search bar with 'Search', 'Clear', and 'Go' buttons. There are also input fields for 'ID' and 'Name' with search icons. A dropdown menu shows 'Key Indicators (167)'. The main area contains a table with columns for 'ID', 'Name', and 'Owner'. The first row is highlighted in yellow.

ID	Name	Owner
488206	Voting Share Percent In Fact Entity Parent Information	OFSAD
488204	Value Of Mitigant In Reporting Currency In Fact Mitigants	OFSAD
488203	Value Adjustment And Provisions In Regulatory Account Summary	OFSAD
488201	Unrealized Gain And Loss Amount In Reporting Currency In Regulatory Account Summary	OFSAD
488190	Undrawn Amount In Reporting Currency In Regulatory Account Summary	OFSAD
488185	Underlying Exposure Amount In Fact Regulatory Counterparty Capital Summary	OFSAD
488178	Total Regulatory Capital Of Entity In Reporting Currency In Fact Legal Entity Details	OFSAD
488175	Total Gain And Loss Amount In Reporting Currency In Regulatory Account Summary	OFSAD
488170	Total Assets Of Entity In Reporting Currency In Fact Legal Entity Details	OFSAD

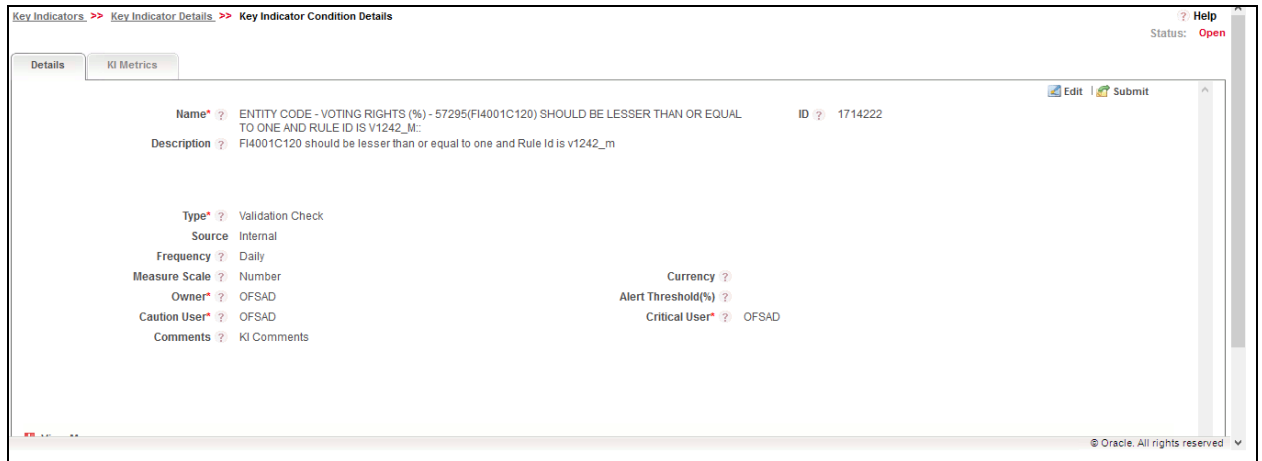
2. In the **Key Indicators** section, in the **ID** column, select the link of the required KI.


The **Key Indicators Details** section appears with the **Details** tab open by default.

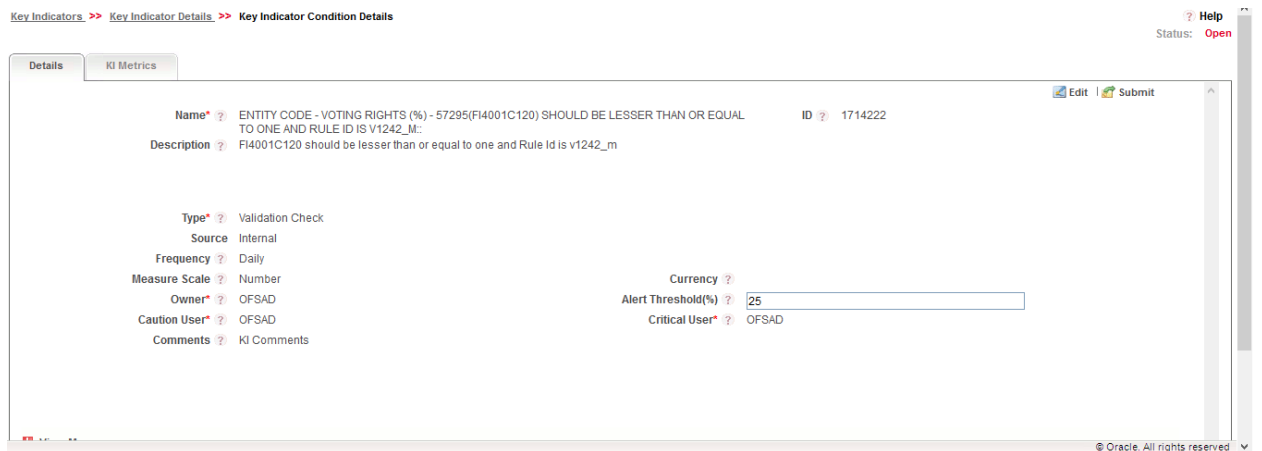


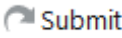
- In the **KI Conditions** sub-section, in the **ID** column, select the link of the required KI Condition.

The **Key Indicator Condition Details** section appears.



- In the upper-right corner of the section, click the  **Edit** icon.
- In the **Alert Threshold(%)** field, enter a value for the threshold.



6. In the upper-right corner of the section, click the  icon.

A confirmation message appears, indicating that the operation was successful.

8.5 Key Indicator Assessments

This section explains about how to create and view Key Indicator Assessments.

8.5.1 Creating a Key Indicator Assessment

To create Key Indicator Assessment at the group level:

1. Prerequisites:
 - This table DIM_RUN must consist the of jurisdiction of EBA in it.
 - This table FCT_REG_RUN_LEGAL_ENTITY_MAP must consist of valid data values.
2. In the **DGECR**, navigate to **Common Tasks > Operations > Batch Execution**.
3. Resave the temporary DE Batches corresponding to the reports for which assessment is done. These Batches are mentioned in the [OFS Data Governance Studio v 8 0 6 0 0 Runchart](#).

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

4. In the **Batch Execution** pane, run the BULK_KI_ASSESSMENT batch. This Batch is mentioned in the [OFS Data Governance Studio v 8 0 6 0 0 Runchart](#).
5. 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 a Key Indicator Assessment

To view Key Indicator Assessments, perform the following steps:

1. In DGECR, click **Key Indicators**
 - The **Key Indicators** workspace appears.

The screenshot shows the Oracle Data Governance for European Central Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators' (selected), 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Key Indicators' section is active, displaying a search bar and a table of 167 key indicators. The table has columns for ID, Name, and Owner. The first row is highlighted in yellow.

ID	Name	Owner
488206	Voting Share Percent In Fact Entity Parent Information	OFSAD
488204	Value Of Mitioant In Reortino Currency In Fact Mitioants	OFSAD
488203	Value Adjustment And Provisions In Reolatory Account Summarv	OFSAD
488201	Unrealized Gain And Loss Amount In Reortino Currency In Reolatory Account Summarv	OFSAD
488190	Undrawn Amount In Reortino Currency In Reolatory Account Summarv	OFSAD
488185	Underlino Exposure Amount In Fact Reolatory Counteroarty Capotal Summarv	OFSAD
488178	Total Reolatory Capotal Of Entity In Reortino Currency In Fact Leaal Entity Details	OFSAD
488175	Total Gain And Loss Amount In Reortino Currency In Reolatory Account Summarv	OFSAD
488170	Total Assets Of Entity In Reortino Currency In Fact Leaal Entity Details	OFSAD

2. In the **Key Indicators** section, in the **ID** column, select the link of the required KI.

The **Key Indicators Details** section appears with the **Details** tab open by default.

The screenshot shows the 'Key Indicator Details' page for the selected key indicator. The 'Details' tab is active. The page displays the following information:

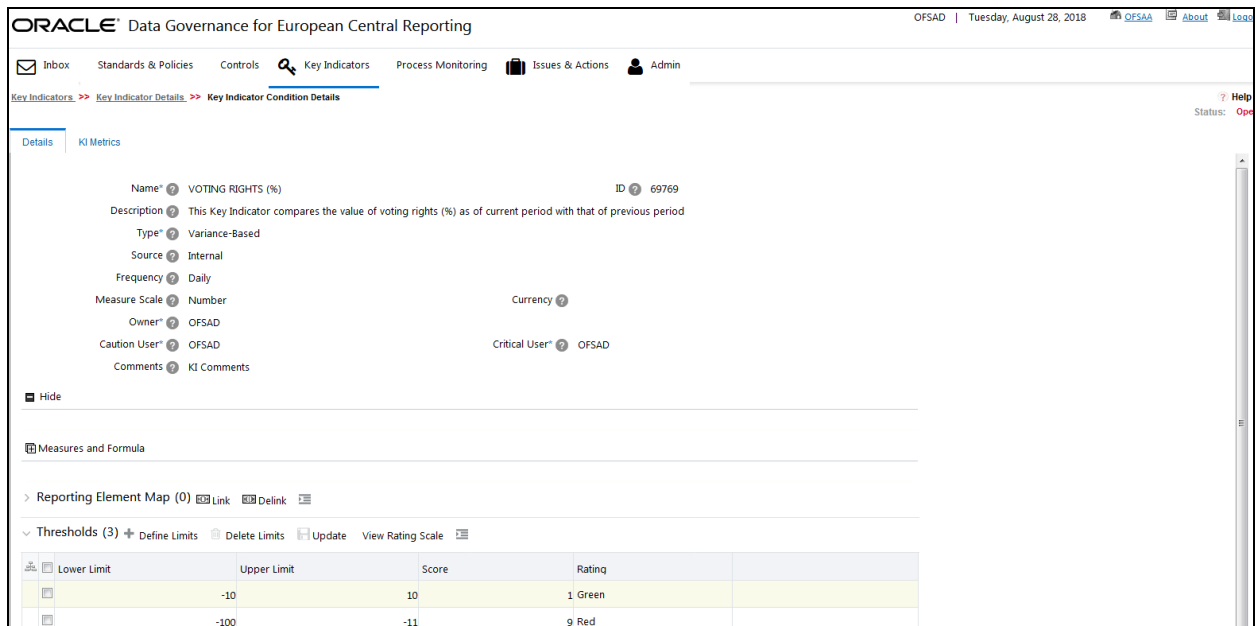
- Name:** Voting Share Percent In Fact Entity Parent Information
- Description:** This Column Stores The Voting Percentage
- Owner:** OFSAD
- Entity Name:** FACT ENTITY PARENT INFORMATION
- Attribute Name:** VOTING SHARE PERCENT
- ID:** 488206

Below this information, there is a section for 'KI Conditions (1)' with an 'Export' button. A table lists the condition details:

ID	Report	Schedule	Cell Reference	KI Condition	Type
69769	F140	F14001	F14001C120	VOTING RIGHTS (%)	Variance-Based

3. In the **ID** column, click the link of the required KI.

The **Key Indicator Condition Details** section appears, with the **Details** tab open by default.



4. Click the **KI Metrics** tab.
5. Select check box next to the 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**.

8.6 Issues and Actions for Key Indicator Assessment

For any Key Indicator Assessment that is in a FAIL status, the associated Issues and Actions details are displayed in the **Issues & 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 and then installed in the same Information Domain. Users mapped to the role of a Key Indicator Creator can update these details that are 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):

Columns of DIM_KI_MEASURE Table

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

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

Columns of DIM_KI_MEASURE_MLS table

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

- 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 the **Threshold** section.

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

- In DGEGR, click **Key Indicators**
The **Key Indicators** workspace appears.

ORACLE Data Governance for European Central Reporting

OFSAD | Monday, August 27, 2018

Key Indicators (167)

ID	Name	Owner
488206	Voting Share Percent In Fact Entity Parent Information	OFSAD
488204	Value Of Mitioant In Reortino Currency In Fact Mitioants	OFSAD
488203	Value Adjustment And Provisions In Reolatory Account Summarv	OFSAD
488201	Unrealized Gain And Loss Amount In Reortino Currency In Reolatory Account Summarv	OFSAD
488190	Undrawn Amount In Reortino Currency In Reolatory Account Summarv	OFSAD
488185	Underlino Exposure Amount In Fact Reolatory Counteroarty Capital Summarv	OFSAD
488178	Total Reolatory Capital Of Entiv In Reortino Currency In Fact Legal Entiv Details	OFSAD
488175	Total Gain And Loss Amount In Reortino Currency In Reolatory Account Summarv	OFSAD
488170	Total Assets Of Entiv In Reortino Currency In Fact Legal Entiv Details	OFSAD

- In the **Key Indicators** section, in the **ID** column, select the link of the required KI.

The **Key Indicators Details** section appears with the **Details** tab open by default.

ORACLE Data Governance for European Central Reporting

OFSAD | Tuesday, August 28, 2018

Key Indicator Details

Details | KI Metrics | Issues and Actions

Name: Voting Share Percent In Fact Entity Parent Information
 Description: This Column Stores The Voting Percentage
 Owner: OFSAD
 Entity Name: FACT ENTITY PARENT INFORMATION
 ID: 488206
 Attribute Name: VOTING SHARE PERCENT

KI Conditions (1)

ID	Report	Schedule	Cell Reference	KI Condition	Type
69769	F140	F14001	F14001C120	VOTING RIGHTS (%)	Variance-Based

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

- In the **ID** column, click the link of the required KI.

The **Key Indicator Condition Details** section appears, with the **Details** tab open by default.

The screenshot displays the Oracle Data Governance for European Central Reporting interface. The main content area shows the details for a Key Indicator (KI) named 'VOTING RIGHTS (%)' with ID 69769. The details are organized into several sections:

- Name:** VOTING RIGHTS (%)
- Description:** This Key Indicator compares the value of voting rights (%) as of current period with that of previous period
- Type:** Variance-Based
- Source:** Internal
- Frequency:** Daily
- Measure Scale:** Number
- Owner:** OFSAD
- Currency:** (blank)
- Caution User:** OFSAD
- Critical User:** OFSAD
- Comments:** KI Comments

Below the details, there are sections for 'Measures and Formula', 'Reporting Element Map (0)', and 'Thresholds (3)'. The 'Thresholds' section is expanded, showing a table with the following data:

Lower Limit	Upper Limit	Score	Rating
-10	10	10	1 Green
-100	-11	-11	9 Red

- In the **Threshold** section, you can view the list of Limits.
- Click View Rating Scale to view the rating assigned to each score. Based on the score the rating scale is classified as Green, Amber or Red.

8.7.3 DQ-Control Mapping Utility

Perform the following steps to access DQ_Control Mapping Utility:

- In DGEGR, navigate to **Common Tasks-> Operations-> Batch Execution**.
- Select `DQ_MDRM_CTRL_MAPPER` batch from the **Batch Details** grid to execute the batch.

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

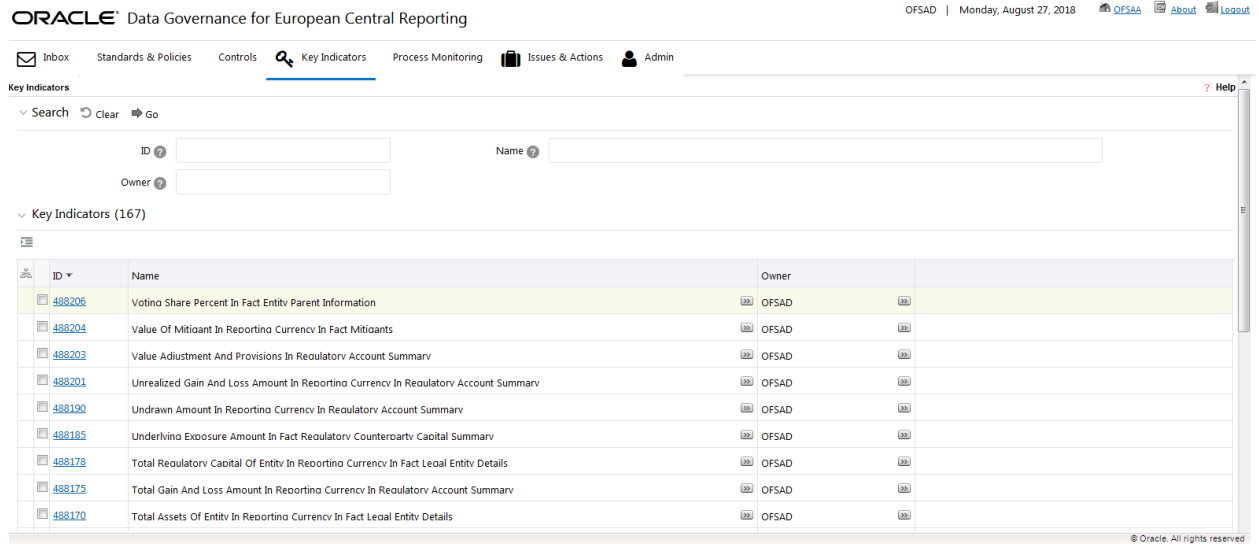
This will map `N_CONTROL_KEY` from the DQs present in the `fsi_control_dq_map` table to the pre-seeded entries in the `fsi_rr_ctl_map`.

8.7.4 Viewing Measures in Formula

To view a Formula, perform these steps:

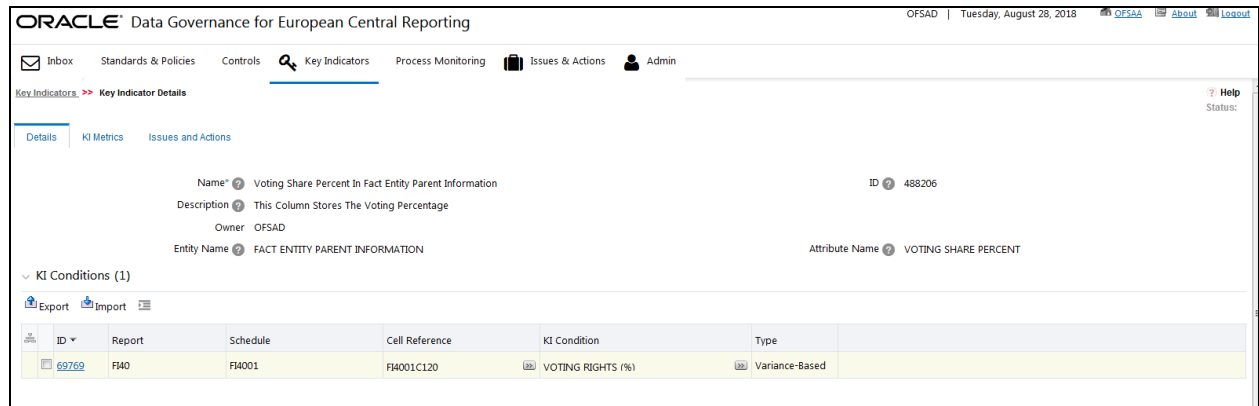
- In DGEGR, click **Key Indicators**

The **Key Indicators** workspace appears.



- In the **Key Indicators** section, in the **ID** column, select the link of the required KI.

The **Key Indicators Details** section appears with the **Details** tab open by default.



- In the **ID** column, click the link of the required KI.

The **Key Indicator Condition Details** section appears, with the **Details** tab open by default.

The screenshot displays the Oracle Data Governance for European Central Reporting interface. The main content area shows the details for a Key Indicator named 'VOTING RIGHTS (%)' with ID 69769. The details include a description, type (Variance-Based), source (Internal), frequency (Daily), measure scale (Number), currency, owner (OFSAD), caution user (OFSAD), and critical user (OFSAD). Below the details, there is a 'Measures and Formula' section and a 'Thresholds (3)' section. The 'Thresholds' section contains a table with columns for Lower Limit, Upper Limit, Score, and Rating.

Lower Limit	Upper Limit	Score	Rating
-10	10	1	Green
-100	-11	9	Red

6. In the **Threshold** section, you can view the list of Limits.
7. In the **Measure and Formula** section, view the formula.

9 Issues and Actions

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

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

This chapter includes the following topics:

- [About issues and Actions](#)
- [Issues](#)
- [Managing Issues](#)
- [Actions](#)
- [Managing Actions](#)

9.1 About Issues and Actions

An issue is a problem statement or a 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, a 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 the completion of tasks process monitoring. It can also be created to track change management, for example, the change of a metadata and its impact on all the related metadata objects.

Issues can be created either from the **Issues & Actions** menu or from other the **Controls** menu, whenever the parameters are alarming and require issue creation.

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

9.2 Issues

This section includes:

- [User Roles and Actions](#)
- [Issue Workflow](#)

- [Tasks and Notifications in Issues](#)

9.2.1 User Roles and Actions

All users are required to be mapped to **DGS EBA AUTHORIZER GROUP**, **DGS EBA ADMINISTRATOR GROUP**, and **DGS EBA ANALYST GROUP** groups along with their respective groups.

This section provides information on the user roles and actions in the 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 to track 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.

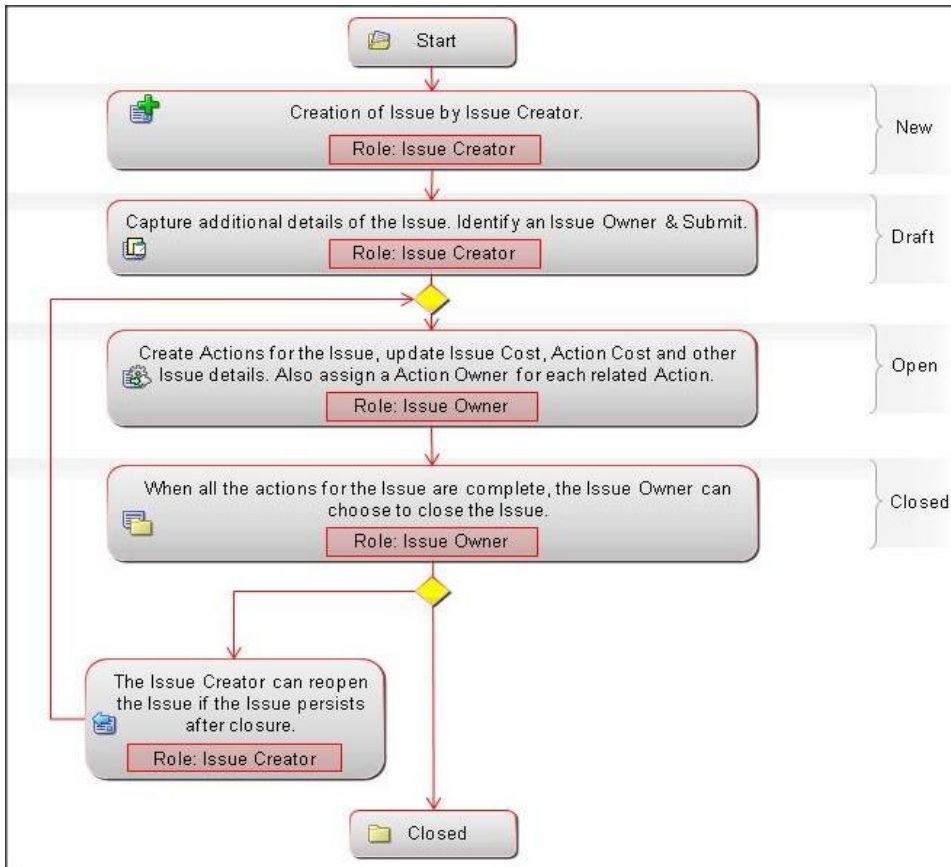
Actions

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 to resolve an issue.
- **Deleting Issue:** This action allows an Issue Creator to delete an issue in the Draft state 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 into 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 that was selected in the Owner field.	Issue Owner	Open
Transferring the Ownership of an Issue	Task	A Task is sent to the new Issue Owner that was 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 that was 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 that was 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 appear are explained as tabulated.

9.3.1.1 Fields and their descriptions

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Name*	A short description for the issue.
ID	A unique id for the issue (auto generated).
Description	A long description for the issue.
Issue Category	Select the classification type of the issue from the drop-down box: <ul style="list-style-type: none"> • Data Authorization • Data Security • Data Privacy • Data Accuracy • Data Availability • Timeliness
Criticality*	Select the level of criticality of the issue from the drop-down box: <ul style="list-style-type: none"> • High • Medium • Low

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Target Date*	Select a target date from the calendar.
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 which the Issue must be created.
Primary Source	Select the required entity in the source function for which the Issue is to be created. This is only active if input is provided for a Component.
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 the **Controls** menu in the application, and subsequently create the 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 & Actions** menu, perform the following steps:

1. When creating issues from the **Issues & Actions** module, select **Issues**, in the **Issues** section click **Create Issue**. The **Issues Details** page appears.

Or

When creating issues from other modules in the DGECR application, navigate to the respective module details page and click **Create Issue**. The **Issues Details** page appears.

The screenshot shows the 'Issue Details' page in the Oracle Data Governance for European Central Reporting application. The page title is 'ORACLE Data Governance for European Central Reporting'. The navigation menu includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Issues & Actions' tab is selected. The page shows the 'Issue Profile' section with a 'Details' tab. The form contains the following fields and controls:

- Name***: Text input field.
- ID**: 1335851 (read-only).
- Description***: Text area.
- Issue Category***: Dropdown menu.
- Criticality***: Dropdown menu.
- Target Date***: Text input field with a calendar icon and a close button (X).
- Issue Source***: Text input field with a calendar icon and a close button (X).
- Owner***: Text input field with a close button (X), containing the value 'OFSAD'.
- Primary Source***: Text input field with a close button (X).
- Comments***: Text area.

Buttons for 'Save Draft', 'Submit', and 'Cancel' are located in the top right corner of the form area. A 'Help' link and 'Status: New' are also visible in the top right corner.

2. Enter the required information in the available fields.

3. Click **Save Draft** to save the information.

A confirmation message appears, confirming that the operation was successful.

4. Click **OK**.

The **Issues Details** page appears and the state of the issue changes to **Draft**. You can edit, update, or submit the issue to the Issue Owner.

Or,

Click **Submit** to save issue and submit it to the issue to the Issue Owner. A confirmation dialog box appears confirming that the operation was successful.

5. Click **OK**.

The **Issues Details** page appears and the state of the issue changes to Open. A new issue is created.

9.3.2 Causes

In the **Causes** section, you can view the details of the Key Indicator or the Data Quality that failed the staging.

1. In DGEGR, click the **Issues & Actions** tab, and then click **Issues**.

The **Issues** workspace appears.

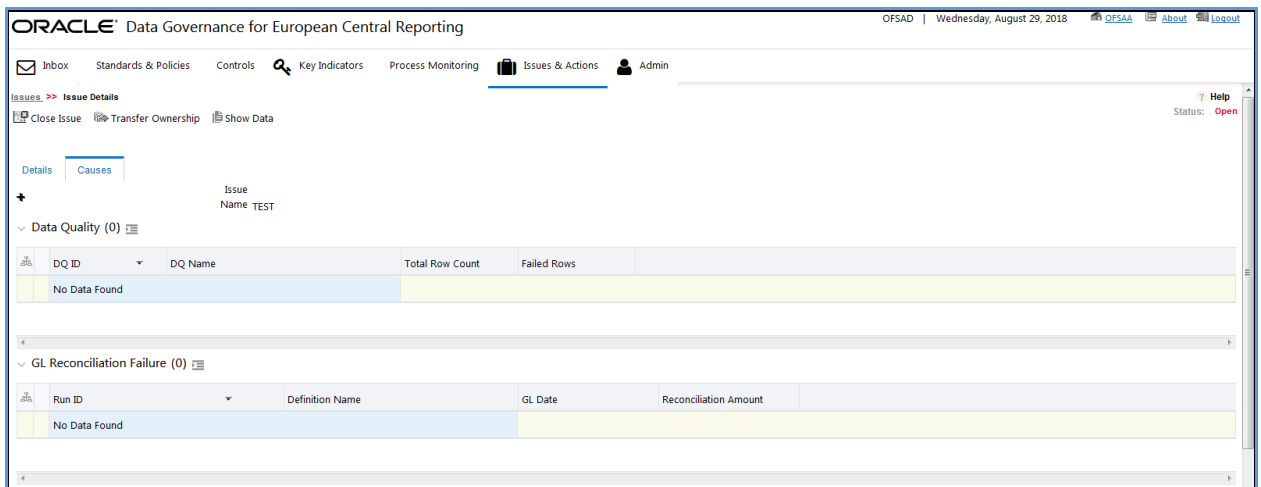
2. In the **Issues** section, in the **ID** column, select the link of the required issue.

3. The **Issue Details** section appears.

4. Click the **Causes** tab.

You can view the Data Quality ID details which failed at the staging. In the **Causes** tab:

- You can view the Key Indicator ID details that failed at staging. Therefore, this failed Key Indicator is the source of the Issue associated with it.



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.

Or,

You can view the GL Reconciliation Failure details that failed at staging. Therefore, this failed GL Reconciliation Failure is the source of the Issue associated with it.

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.

5. The **Control Details** page appears.
6. To view the unique Assessment ID along with the Score, Rating, and Status of the Assessment, click the **Assessments** tab.
7. 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

In the **Issue Details** page, you can update or modify the issue details as well as edit an issue.

Users mapped to the role of Issue Creator can view the details of all the issues in the **Issues** page, but can edit only the issues that they created. An Issue Owner can edit an issue in an Open state whereas an Issue Creator can only edit an issue that is in a Draft or Open state.

Editing an Issue

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

1. In DGEGR, click the **Issues & Actions** tab, and then click **Issues**.

The **Issues** workspace appears.

2. In the **Issues** section, in the **ID** column, select the link of the required issue.

The **Issue Details** section appears.

3. From the **Details** tab, click **Edit**. Modify the required issue details.

4. Click **Update** to save the information.

A confirmation message appears, confirming that the operation was successful.

5. Click **OK**.

The **Issue Details** page appears 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 further action. A confirmation message appears, confirming that the operation was successful.

6. Click **OK**.

The state of the issue changes to Open.

9.3.3.2 Managing Details

This section covers the following topics:

- [Attaching and Deleting Documents](#)

Attaching and Deleting Documents

The **Issue Details** page allows you to attach or delete documents related to an issue. Refer to [Managing Documents](#) section for more details.

9.3.3.3 Managing Linkages

When an issue is in the Open state, the Issue Owner can link and delink the records of entities to the respective sections such as Controls and 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 an Record to an Issue

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

1. Login to the application as an Issue Owner.
2. Navigate to the **Issue Details** page of an issue that is in an Open state.
3. Expand the **View More** section.

The **Actions** and **Documents** sub-sections appear.

4. In the **Actions** sub-section, select the required action item and then click the  **Link** icon.

A window with a search bar and a list of pre-filtered records appears 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 window appears, confirming that the records have been successfully linked.

7. Click **OK**, and then click **Back**.

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 from 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 that is in an Open state.
3. Expand the **View More** section.

The **Actions** and **Documents** sub-sections appear.

4. Expand the required section where you want to delink a record.

5. Select check box next to the required record(s) and then click the  **Delink** icon.

A confirmation message appears, asking you to confirm that you want to delink the records.

6. Click **OK**.

A message appears, confirming that the de-link operation was successful.

7. Click **OK**.

The record is delinked from the selected entities.

NOTE: You cannot delink a primary source record from the entities section. If you try to delete a primary source record, the following message appears: *'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** page

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


1. Navigate to the **Issues** page. Select an issue in Open status, and click **Transfer Ownership**. The **Ownership Transfer** window appears.
Or:
From the **Issues Details** page of an issue in Open status, click **Transfer Ownership**. The **Ownership Transfer** window appears.
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 appears, 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 Viewing the Data of an Issue

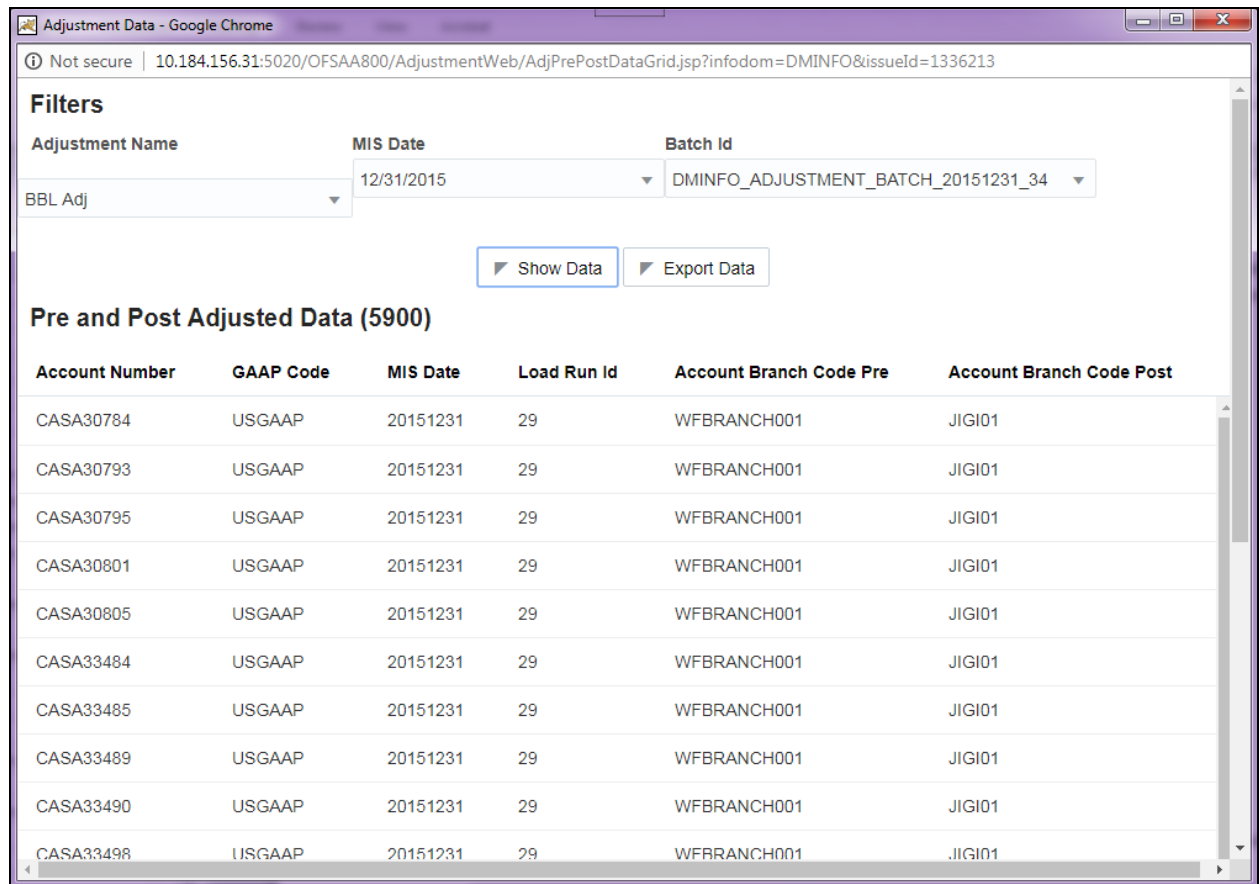
In the Issue Details page, you can view the pre and post adjusted data of a selected issue by the adjustment name, MIS date, and Batch ID. Additionally, you can also download this data in an Excel format.

To view the data of an issue:

1. Navigate to the **Issues** page.
2. In the **ID** column, select the link of the required issue.
The **Issue Details** section appears.

3. In the upper-left corner of the section, select the  **Show Data** icon.
The **Adjustment Data** window appears.
4. In the **Adjustment Name** drop-down box, select the adjustment name.
5. In the **MIS Date** drop-down box, select an MIS date.
6. In the **Batch Id** drop-down box, select a batch ID.
7. Click the **Show Data** button.

The pre and post adjusted data list is populated.



Account Number	GAAP Code	MIS Date	Load Run Id	Account Branch Code Pre	Account Branch Code Post
CASA30784	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA30793	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA30795	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA30801	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA30805	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA33484	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA33485	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA33489	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA33490	USGAAP	20151231	29	WFBRANCH001	JIGI01
CASA33498	USGAAP	20151231	29	WFBRANCH001	JIGI01

8. Additionally, click the **Export Data** button to download the adjustment data.

9.3.6 Closing an Issue

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


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

To close an Issue, perform the following steps:

1. Navigate to the **Issues** page.
2. Select an issue that is in an Open state, and then click **Close Issue**.

The **Issue Details** page appears.

Or

From **Issues Details** page of an issue that is in an Open state, click the  **Close Issue** icon.

3. In the **Comments** field, enter a reason for the closure of the issue.
4. Click **Submit**.

A confirmation message appears, confirming that the update operation was successful.

Click **OK**, and then click **Back**.

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

9.3.7 Reopening Closed Issues

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

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

To reopen a closed issue, perform the following steps:

1. Navigate to the **Issues** page.
2. In the **Issues** section, in the **ID** column, select an issue that is in a Closed state.
3. Click **Reopen Issue**.

The **Issue Details** section appears.

Or,

From the **Issues Details** section of an issue in a Closed state, click **Reopen Issue**.

The **Issue Details** section appears.

4. In the **Comments** field, enter comments.
5. Click **Submit**.

A confirmation message appears, confirming that the update operation was successful.

6. Click **OK**.

The **Issue Details** section appears.

7. Click **Back**.

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

9.3.8 Deleting an Issue

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

NOTE: You can delete an issue only when it is in a Draft state.

To delete an issue, perform the following steps:

1. Navigate to the **Issues** page.
2. Select an issue that is in Draft status.
3. Click **Delete Issue**.

A confirmation message appears, asking you to confirm that you want to delete the issue.

4. Click **OK**.

A confirmation message appears, confirming that the deletion was successful.

5. Click **OK**.

The selected issue is deleted. You are navigated to the updated **Issues** page.

9.3.9 Exporting a List of Issues to Excel

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

NOTE: You cannot export individual issues to Excel.


Refer to section [Exporting Records](#) for more details.

9.3.10 Creating Actions from Issues

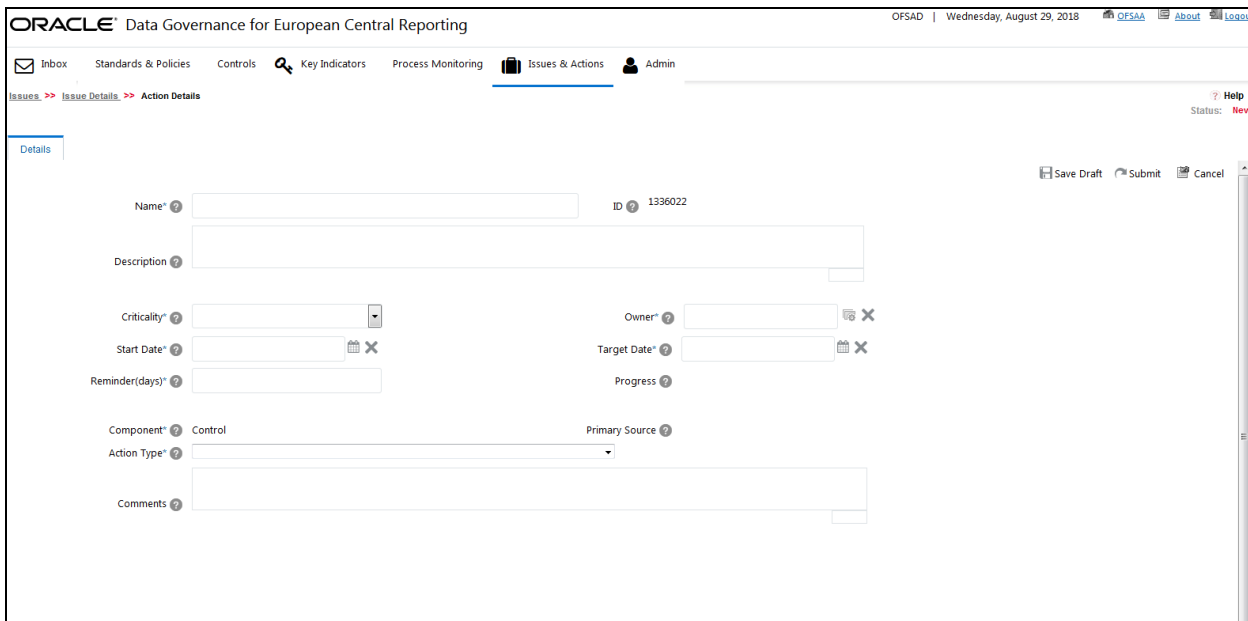
An organization can create action plans when they want to record a recommended action plan to address a particular issue that have occurred. Users mapped to the role of Issue Owner or Action Creator can create action plans or new actions for an issue.

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

1. Navigate to the **Issues** page.
2. In the **Issues** section, in the **ID** column, click the link of the required Issue.
The **Issues Details** section appears.
3. Expand the **View More** sub-section. The **Actions**, **Document**, and **Workflow History** sub-sections are displayed.

4. In the **Actions** sub-section, click the  **Create Action** icon.

The **Actions Details** section appears.



5. Enter the required information in the following fields:

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Action Name	A short description of the action.
ID	A 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 start date of the action plan.
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

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Action Type	<ul style="list-style-type: none"> ○ 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


6. Click **Save Draft** to save the information entered in the details page.
A confirmation dialog box appears, confirming that the operation was successful.
7. Click **OK**.
You are navigated to the **Actions Details** page and the state 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 message appears, confirming that the add operation was successful.

8. Click **OK**.
You are navigated to the **Actions Details** page and the state of the action changes to Open.
A new action is created and a task is sent to the owner of the action for taking further actions.

NOTE: You can also use the  **Link** icon 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:

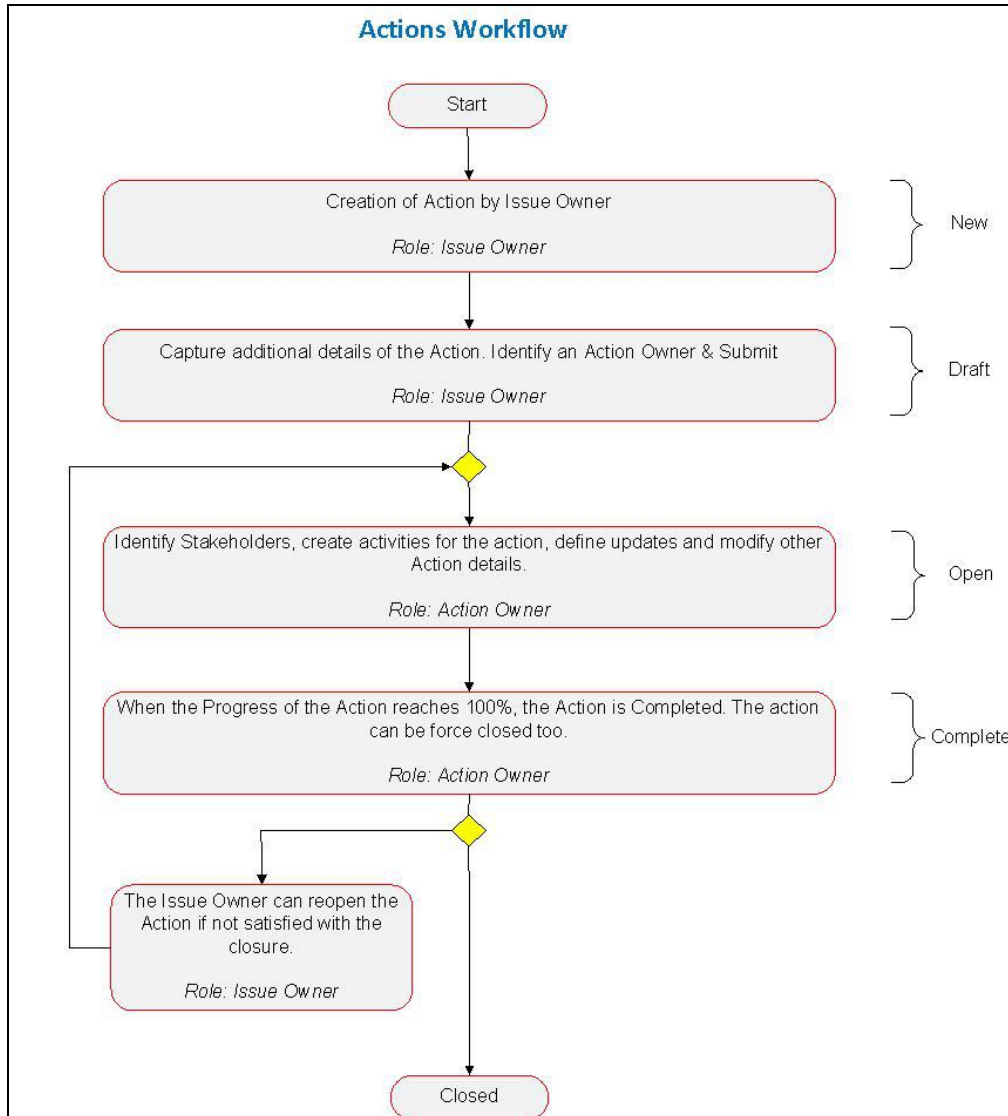
- **Issue Owner or Action Creator:** This user is responsible for assessing the issue created by the Issue Creator, adding issue details, and creating adequate action plans to resolve the issue. This user can assign a created action to an Action Owner and can also reopen the completed actions. The user needs to be mapped to the **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 **DGS EBA AUTHORIZER GROUP**, **DGS EBA ADMINISTRATOR GROUP**, and **DGS EBA ANALYST GROUP** along with the **DGAAGRP** group.

Actions

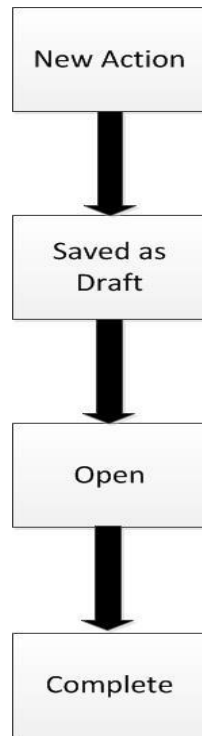
The user roles described above can perform the following actions:

- **Deleting Action:** This action allows an Issue Owner or Action Creator user to delete an action in the Draft state 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** workspace on performing a particular action.

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

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

9.5 Managing Actions

This section includes the following:

- [Managing Action Details](#)
- [Transferring the Ownership of an Action](#)
- [Closing an Action](#)
- [Reopening Completed Actions](#)
- [Deleting an Action](#)
- [Exporting a List of Actions to Excel](#)

9.5.1 Managing Action Details

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


This section discusses the following topics:

- [Viewing the Action Details](#)
- [Editing Action Details](#)
- [Managing Details](#)







9.5.1.1 Viewing the Action Details




You can view the action details of an issue from the **Issue Details** section.





To view an action:

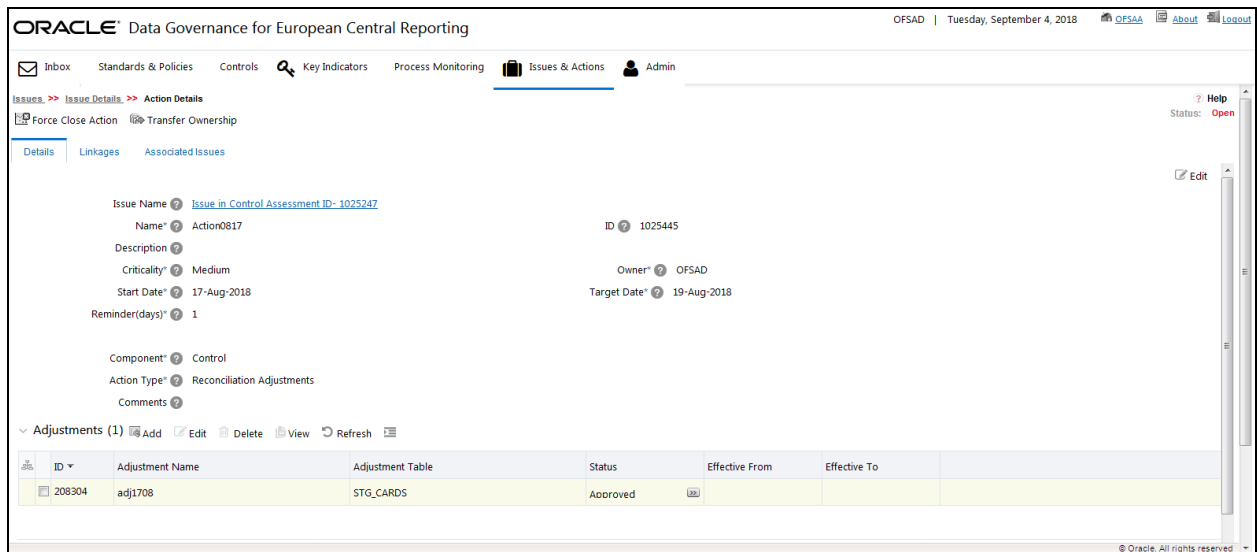
1. In DGEGR, click the **Issues & Actions** tab, and then click **Issues**.
The **Issues** workspace appears.
2. In the **Issues** section, in the **ID** column, select the link of the required issue.
The **Issue Details** section appears.
3. Click the  **View More** icon.
The **Actions** section appears.
4. In the **ID** column, select the link of the required action.
The **Action Details** workspace appears.




NOTE: When creating an issue, in the **Action Type** drop-down box, if you selected the Action Type as **Reconciliation Adjustments**, then you will be able to view the adjustment details in the **Reconciliation Adjustments** section.

Adjustments (1)      						
ID	Adjustment Name	Adjustment Table	Status	Effective From	Effective To	
208304	adj1708	STG_CARDS	Approved			

Reconciliation Adjustments (20)   					
Run Execution ID	Definition Name	GL Date	Reconciliation Amount		
OFSDMINFO_1524647055610_20101231_2	hive_exp_lookup	2015-12-31 00:00:00.0	8600		
OFSDMINFO_1519296753691_20101231_1	glpp map	2015-12-31 00:00:00.0	1207.389		
OFSDMINFO_1519294309109_20101231_1	glpp map	2015-12-31 00:00:00.0	1207.389		
OFSDMINFO_1495549967428_20101231_1	glpp consolidated 1	2015-12-31 00:00:00.0	1521.795		
OFSDMINFO_1495549893642_20101231_1	glpp aggregated 1	2015-12-31 00:00:00.0	4133.344		



Page 1 of 4    




ORACLE Data Governance for European Central Reporting OFSAD | Tuesday, September 4, 2018   



Issues & Actions | Admin


Issues >> Issue Details >> Action Details



 Force Close Action  Transfer Ownership



Details | Linkages | Associated Issues


Issue Name  [Issue in Control Assessment ID- 1025247](#)


Name  Action0817 ID  1025445


Description 


Criticality  Medium Owner  OFSAD








Start Date  17-Aug-2018 Target Date  19-Aug-2018

Reminder(days)  1

Component  Control

Action Type  Reconciliation Adjustments

Comments 

Adjustments (1)      						
ID	Adjustment Name	Adjustment Table	Status	Effective From	Effective To	
208304	adj1708	STG_CARDS	Approved 			

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9.5.1.2 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 the Open state, whereas an Action Creator user can only edit actions that are in a Draft state.

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

1. Navigate to the **Action Details** page.

The **Action Details** section appears, with the **Details** tab open by default.

2. Click the  **Edit** icon.

3. Modify the necessary action details.

You can also perform actions such as adding an activity, adding stakeholders, adding action updates, and viewing the workflow. For more information, refer to [Managing Details](#).

4. Click **Submit**.

A confirmation message appears, confirming that the update operation was successful.

5. Click **OK**.

The updated **Action Details** page appears.

9.5.1.3 Managing Details

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

This section discusses the following topics:

- [Adding Activities to an Action](#)
- [Adding Action Updates](#)
- [Attaching and Deleting Documents](#)

Adding Activities to an Action

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

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

An activity row is added.

4. Select the check box to make the Activity editable.
5. Enter the Activity Name, Progress, Start date, End date of the activity, and any comments.
6. Click **Save**.

A confirmation message appears, confirming that the update operation was successful.

7. Click **OK**.

A new activity is added in the activities section.

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

Adding Action Updates

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

1. Navigate to the **Action Details** page of an action in the Open state.
2. Expand **View More** to display the list of sections.
3. Click **Add Action Updates** from **Action Updates** section.

An Action Update row is added.

4. Click the check box for the row to make the action update editable.
5. In the field **Update Comments**, add a comment.
6. Click **Save Action Updates**.

A confirmation message appears, confirming that the update operation was successful.

7. Click **OK**.

A new update action is added in the **Action Updates** section.

NOTE: To delete an action update, select check box next to each row and click **Delete Action Updates**.

Attaching and Deleting Documents

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

9.5.2 Transferring Ownership of an Action

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

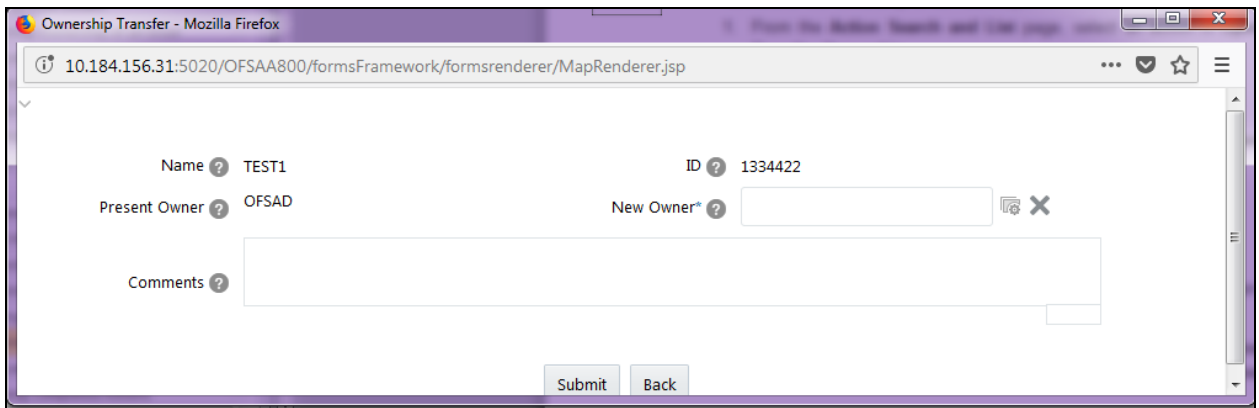
1. From the **Action** page, select an action in **Open** status, and then click **Transfer Ownership**.


The **Ownership Transfer** window appears.

Or:

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

The **Ownership Transfer** window appears.



2. In the **New Owner** field, click the  icon select a new owner from the **Hierarchy Browser** window.
3. In the **Comments** fields, enter a comment.
4. Click **Submit**.

A confirmation message appears, confirming that the update operation was successful.

5. Click **OK**, and then click **Back**.
6. 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 are addressed, then Issues can be closed. If an Action is abandoned mid-way, it can be force closed. Once all actions are closed, the Issue can be closed.

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

9.5.3.1 Force-Closing an Action

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

To close an action, perform the following steps:

1. From the **Action** page, select an action that is in an **Open** state, and then click **Force Close Action**.

The **Action Details** window appears.

Or,

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

The **Action Details** window appears.

2. In the **Comments** field, enter the reason for the closure of the issue.
3. Click **Submit**.
A confirmation message appears, confirming that the update operation was successful
4. Click **OK**, and then 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 state of the issue changes to Complete.

9.5.4 Reopening Completed Actions

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

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

1. From the **Action** page, select an action that is in a **Complete** state, and then click **Reopen Action**.
The **Action Details** page appears.
Or,
In the **Action Details** page of an action in the **Complete** state, click **Reopen Action**.
The **Action Details** window appears.

2. In the **Comments** field, enter a comment.
3. Click **Submit**.
A confirmation message appears, confirming that the update operation was successful.
4. Click **OK**, and then click **Back**.

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

9.5.5 Deleting an Action

The **Controls** section allows you to delete Action Plans that are in a Draft state.

Users mapped to the role of Issue Owner can delete Actions that are in a Draft state, if the Issue Creation is turned on. If the 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 a Draft state if they are not applicable to the business or an organization.

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

1. From the **Action** page, select an action that is in a **Draft** state.
2. Click **Delete Action**.

A confirmation message appears, asking you to confirm that you want to delete this record.

3. Click **OK**.

A confirmation message appears, confirming that the delete operation was successful.

4. Click **OK**.

The selected action is deleted. You are navigated to the updated **Action** page.

9.5.6 Exporting List of Actions to Excel

You can export the list of actions displayed in the **Action** page to an Excel spreadsheet. Refer to section [Exporting Records](#) for more details.

NOTE: You cannot export individual actions to Excel.

10 Data Adjustments

This chapter explains the process of an automated application configuration when a 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 appears. 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](#)
- [Settings for Data Adjustments](#)
- [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: You must follow the sequence of order in the procedures in the following sections

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. Login as an Issue Owner, who is also a Control Creator.
2. Create a Control to perform the Data Quality Check.
3. Execute the Batches corresponding to the Data Quality.

A Control Assessment is also created. When this Control fails, an Issue is automatically generated by the system.

NOTE: Refer to the [OFS Data Governance Studio v 8 0 6 0 0 Runchart](#) for Run Name/Batch ID. Refer to [Control Creation via Batches](#) to create a Control for the required Data Quality Rule.

4. In the application, click **Financial Services Data Governance for European Central Reporting**.
5. Click the **Data Governance for European Central Reporting** option on the left side of the menu.

The **Data Governance for European Central Reporting** window opens, with the **Inbox** workspace open by default.

Task ID	Task Name	Entity Name	Entity Type	Entity Status	Due Date	Overdue By	Status	Received On	Completed On	Flag
924	1336253-Action Created	BBL Action	Action	Not Applicable	2018-08-30		Open	2018-08-29 16:27:10.0		
920	1336213-Task Created	BBL Test	Issue	Not Applicable	2018-08-30		Open	2018-08-29 16:25:13.0		
898	1334109-Action Created	Esc: CONTEST	Action	Not Applicable	2018-08-22	7	Open	2018-08-22 18:36:58	2018-08-22 18:42:20.0	
897	1334085-Task Created	Esc: CONTRACT TEST	Issue	Not Applicable	2018-08-22	7	Open	2018-08-22 18:35:17	2018-08-22 18:36:19.0	
879	1025445-Action Created	Esc: Action0817	Action	Not Applicable	2018-08-18	11	Open	2018-08-18 17:25:15	2018-08-18 17:29:16.0	
875	1025356-Task Created	Esc: Issue in Control Assessment ID- 1025355	Issue	Not Applicable	2018-08-18	11	Open	2018-08-18 17:21:59	2018-08-18 17:23:16.0	
867	1025344-Task Created	Esc: Issue in Control Assessment ID- 1025343	Issue	Not Applicable	2018-08-18	11	Open	2018-08-18 17:21:55	2018-08-18 17:23:16.0	
877	1025359-Task Created	Esc: Issue in Control Assessment ID- 1025358	Issue	Not Applicable	2018-08-18	11	Open	2018-08-18 17:21:59	2018-08-18 17:23:16.0	
869	1025347-Task Created	Esc: Issue in Control Assessment ID- 1025346	Issue	Not Applicable	2018-08-18	11	Open	2018-08-18 17:21:55	2018-08-18 17:23:16.0	
865	1025341-Task Created	Esc: Issue in Control Assessment ID- 1025340	Issue	Not Applicable	2018-08-18	11	Open	2018-08-18 17:21:55	2018-08-18 17:23:16.0	
873	1025353-Task Created	Esc: Issue in Control Assessment ID- 1025352	Issue	Not Applicable	2018-08-18	11	Open	2018-08-18 17:21:58	2018-08-18 17:23:16.0	
871	1025350-Task Created	Esc: Issue in Control Assessment ID- 1025349	Issue	Not Applicable	2018-08-18	11	Open	2018-08-18 17:21:47	2018-08-18 17:23:16.0	

6. Click **Controls**.

The list of all existing Control records appears. Search for the required Control Name by name or ID.

7. In the **ID** column, click the link of the required Control ID.

The **Control Details** page appears.

NOTE: To search for the failed Data Quality of this Control, follow the procedure in [Causes](#).

Data Quality Rule	Data Quality Rule Description	Weight
DQFSDWDT0007	To Check Interest Date Should Be Less Than Or Equal To Closed Date	100

8. In the **Details** tab, you can view the field details of the selected Control: **Name, ID, Description, Methodology, Owner, Assessment Start Date, Comments, Type, Frequency**, and the **Data Quality Rules** section.

9. Click the **Assessments** tab.

The screenshot shows the Oracle Data Governance for European Central Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Controls' tab is active, and the 'Assessments' sub-tab is selected. The control name is 'Interest Payment Date in Stage Borrowings'. Below the control name, there are 'Control Assessments (0)' and a 'Delete Assessment' button. A table titled 'GL Recon Adjustment (782)' is displayed with the following columns: Adjustment ID, Adjusted Amount, GL Code, Currency, GAPP Code, and Legal Entity. The table contains 12 rows of data.

Adjustment ID	Adjusted Amount	GL Code	Currency	GAPP Code	Legal Entity
GL_81_342	-4000	DEFAULT	USD	AUGAAP	LE1
GL_81_342	-4000	DEFAULT	USD	AUGAAP	LE1
GL_81_342	-4000	DEFAULT	USD	AUGAAP	LE1
GL_81_342	-4000	DEFAULT	USD	AUGAAP	LE1
GL_81_341	-537.521	DEFAULT	AUD	AUGAAP	LE1
GL_81_341	-537.521	DEFAULT	AUD	AUGAAP	LE1
GL_81_341	-537.521	DEFAULT	AUD	AUGAAP	LE1
GL_81_341	-537.521	DEFAULT	AUD	AUGAAP	LE1
GL_62_91	741.164	DEFAULT	AUD	AUGAAP	ShivaLE7
GL_62_91	741.164	DEFAULT	AUD	AUGAAP	ShivaLE7

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10. In the ID column, click the link of the assesment whose details you want to view.

The Control Assessment Summary and Control Execution Details for the selected Control ID appear. The Assessment ID, Assessment Date, and Control Execution Date field values corresponding to the selected Control ID appear too.

11. To change the Weight value of the Control ID Assessment Parameter, select the required **Parameter**. You can also edit the value in the the **Weight** field.12. Click **Save**.

10.2.2 Issues and Actions for Data Adjustments

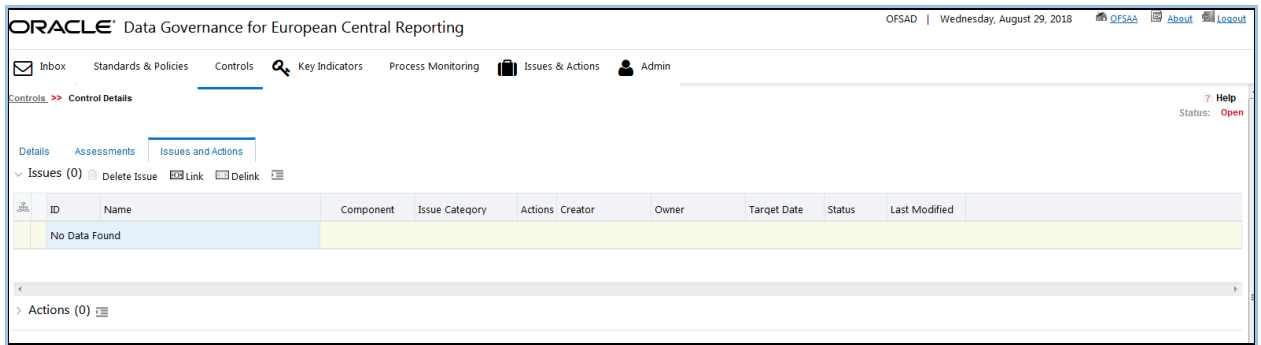
10.2.2.1 Issues for Data Adjustments

1. For the Control from the previous section, to view the Issue details, click the **Issues and Actions** tab.2. Click the Issue **ID**, which is system generated for this Control.

The state of the Issue is always Open.

Alternatively, you can access the **Issues & Actions** tab from the menu.

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



3. The **Issue** section appears.
4. To find the cause for the Issue, follow the steps in the [Causes](#) section for the DQ failure.

10.2.2.2 Actions for Data Adjustments

The Issue Owner creates the required Actions for the system generated Issue and also, the Issue Owner is the Data Adjustment Approver. In the **Actions** section, when you select the Actions of type Data Adjustment, the Data Adjustment grid appears 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**.
The **Action Details** page appears.
2. In the **Owner** field, select the Action Owner name, and then fill required details in all the 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**.

3. 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.

4. A confirmation message appears, confirming that the add operation was successful.
5. 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 appears in this section.

1. Login to the application as the Action Owner (Data Adjustment Creator).
2. Click **Data Governance for European Central Reporting**.
3. In the **Issues & Actions** tab, click **Issues**.
4. In the **Issues** workspace, click the required system generated Issue **ID**.
5. The **Issue Details** page appears. Expand **View More**. In the **Actions** section, click the Action ID created in the previous section.
The **Action Details** page appears.
6. The Action is of Type Data Adjustment. Therefore, the **Adjustments** section appears.

10.3.1 Create Data Adjustment

1. In the **Action Details** page, in the **Adjustments** section, click **Add**.
The **Adjustment Rule Details** window appears.
2. In the **Name** section, type values in the **Adjustment Name** and **Description** fields. The Adjustment ID is system generated.
3. To go to the next section, click **Next** or click **Dataset**.
4. 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 Adjustment is being created.
5. 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.

6. In the **Attributes** tab, select the required Assignmet Type, either User Input Assignment Type or Rule Driven Assignment Type.

10.3.1.1 User Input or Rule Driven Type

- **User Input Assignment Type**

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

1. In the **Attributes** tab, select the **User Input** option, and then click **Add Attribute**.

2. The **Add Column** window appears.
3. Click the **Target Attribute** dropdown box and select the required value.
4. Click **OK**.

- **Rule Driven Assignment Type**

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

1. In the **Attributes** tab, select the **Rule Driven** option.
2. Click **Add Expression**.
The **Add Expression** window appears.
3. Select the required data for all the fields, and then click **OK**.
4. The selected value is populated in the **Target Attribute** section in the **Attributes** tab.
5. Select the **Target Attribute**.
6. 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**

1. **Exporting User Input Type Data Adjustment**

- i. To export (download from the application) a record from the User Input type Data Adjustment, click **Export**.
The **Export** window appears.
- ii. Select the **MIS Date** for which you are downloading the record to make the data corrections.
- iii. Click **Export**, and then close the **Export** window.
An excel file is downloaded to your system.
- iv. In the downloaded (exported) excel file, you can make the required data corrections in the final column.
- v. Save the changes made to the file.

2. **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 then click **Import**.
The **Import** window appears.
- ii. To search for the updated excel file, open and attach it, click **Attach**.
- iii. To upload this excel file, click **Upload**. After the successful upload, an acknowledgement message appears.

- iv. Then, to import the uploaded excel file into the application, click **Import**.

10.3.1.3 Save and Submit Data Adjustment

1. To save this Data Adjustment record, select the checkbox against the imported record, and then click **Save**.

A confirmation message appears, confirming that the adjustment details were successfully saved.

2. Click **OK**.
3. To submit this Data Adjustment for approval to the Adjustment Approver, click **Submit**.

A confirmation message appears, confirming that the adjustment details were saved successfully.

4. 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.

5. In the **Action Details** page, click **Refresh**.

The newly created Data Adjustment is in the Pending Approval state.

NOTE: After you click **Save**, and do not submit the Data Adjustment for approval, then the Status of the Data Adjustment is in the Draft state. 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, perform the following steps:

1. Log in as a Data Adjustment Approver.
2. In the application, select **Financial Services Data Governance for European Central Reporting**.
3. Click the **Data Governance for European Central Reporting** option on the left hand side of the menu.

The **Data Governance for European Central Reporting** window opens with the **Inbox** workspace displayed by default.

4. Click the **Issues and Actions** tab and then click **Issues**.
5. In the **ID** column, click the ID of of the required issue.
The **Issue Details** page appears.
6. Expand **View More**.

7. In the **Actions** section, in the **ID** column, click the required Action ID.
The **Action Details** page appears.
8. In the **Adjustments** section, select the required **Data Adjustment** which is in the Pending Approval state.
9. To open this Data Adjustment details, click **View**.
The **Adjustment Rule Details** window appears.
10. Click the **Review & Save** tab.
11. Select the Manual Data Id, and then click **Download**.
The data correction records file uploaded to the system, by the Data Adjustment Creator, is downloaded to your system.
12. Verify the data records and then in the **Comments** field, type the required comments.
13. To approve the Data Adjustment, click **Approve**.
The **Adjustment Rule Details** window automatically closes.
14. In the **Action Details** page, in the **Adjustments** section, click **Refresh**. The status of the Data Adjustment is changed to the Approved state. In the account of Data Adjustment Creator, the state of this Data Adjustment is updated to the Approved state.
Or
To reject the Data Adjustment, click **Reject**. The **Adjustment Rule Details** window automatically closes.
15. In the **Action Details** page, in the **Adjustments** section, click **Refresh**.
 - a. For a rejected Data Adjustment, the state is changed to Draft.
 - b. Log in as a Data Adjustment Creator. The Data Adjustment State is in Draft.
 - c. Select the Data Adjustment **ID** and click **View**.
 - d. In the **Adjustment Rule Details** page, in the **Review & Save** tab, make the required correct changes.
 - e. To save this Data Adjustment record, click **Save**.
A confirmation message appears, confirming that the adjustment details have been save succesfully.
 - f. Click **OK**.
 - g. To re-submit this Data Adjustment for approval to the Adjustment Approver, click **Submit**.
A confirmation message appears, confirming that the adjustment details have been succesfully updated.
 - h. Click **OK**.
The **Adjustment Rules Details** page automatically closes.
 - i. Log in as a 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 problem 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 State of the Data Adjustment is in Draft state till resubmission and approval.

NOTE: The Data Adjustment workflow for the Rule Driven Assignment Type is: New Data Adjustment > Draft > Pending Approval (If Data Adjustment is Approved, and then it is moved to the Approved state. Or, if Data Adjustment is Rejected, then it is moved to the Draft state) > Approved

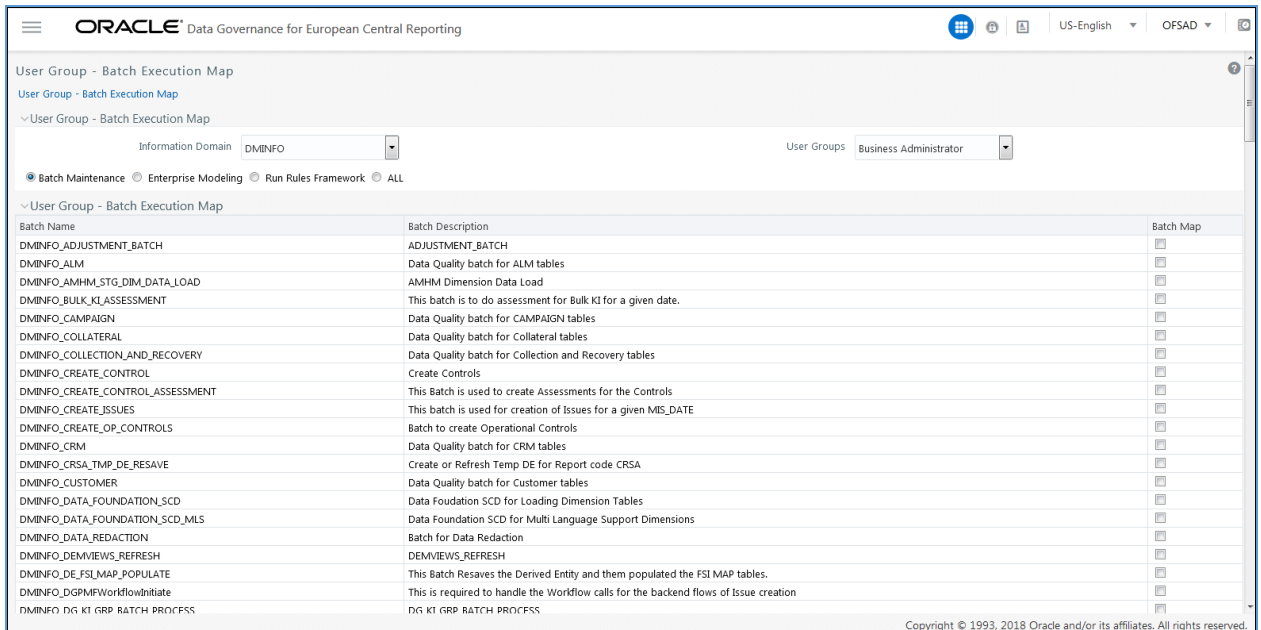
2. After the approval of all the Data Adjustment definitions, you must group and execute, at the level of an Issue, the Data Quality rule associated with the required Data Adjustments.

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. Select the option **Financial Services Data Governance for European Central Reporting**.
2. Navigate to **Common Tasks > Operations > Batch Execution Rights**.
3. The **User Group – Batch Execution Map** pane appears.
4. To select the required batch for mapping, in the **Batch Map** column, select the checkboxes associated with the required Batch Names.
5. Click **Save**.



6. The batches corresponding to Data Quality must be executed. Refer to the [OFS Data Governance Studio v 8 0 6 0 0 Runchart](#) 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 appears on the right hand side.
3. To create a Batch, in the Batch Name section, click the  **Add** icon. The **AddBatch Definition** window appears.

4. Enter the required details in all the fields, and then click **Save**.
A new Batch is created.
5. In the **Batch Maintenance** pane, in the **Batch Name** section, select the Batch Name checkbox associated with the the newly created Batch. The **Task Details** section appears, which lists the tasks corresponding to the selected Batch Name.
6. To add a new Task to the newly created Batch, click the **Add** icon.
7. The **Task Definition** window appears.
 - 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 the required details in all the other fields.
8. Click **Save**.
A new Task for the new Batch is created. You can run this Batch in the **Batch Execution** section.

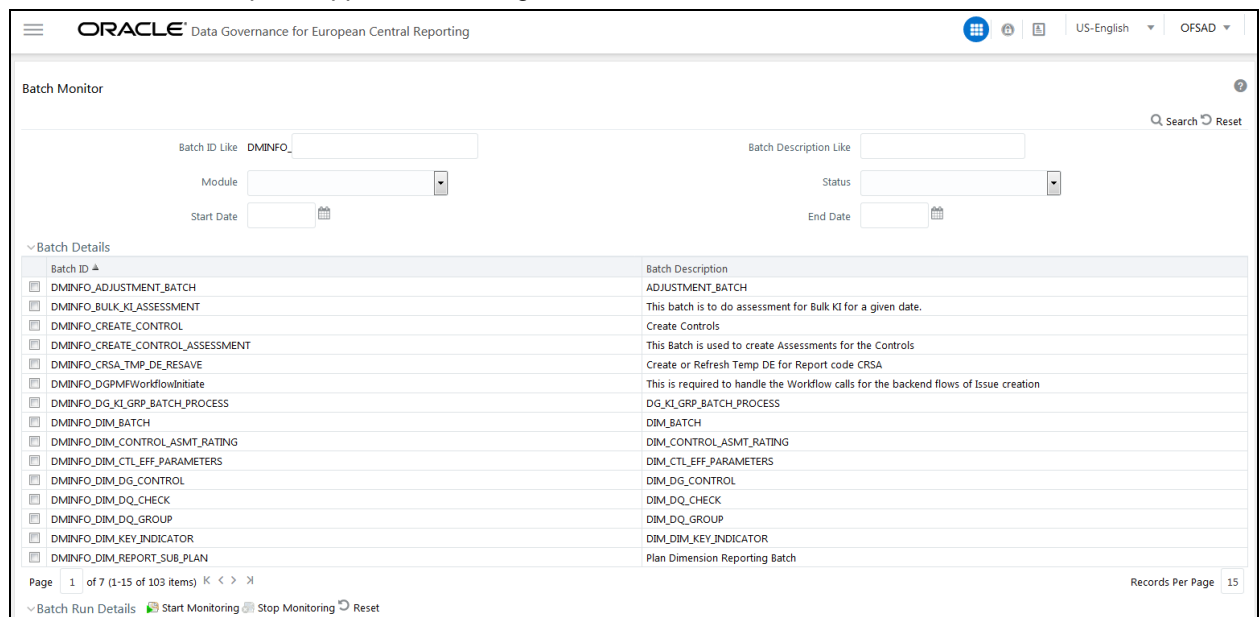
NOTE: To check the success and failure status of the Adjustment Task, login to *FSI_MESSAGE_LOG* and *\$FIC_DB_HOME/log/DGS/*.

10.5.3 Batch Execution

1. Navigate to **Common Tasks > Operations > Batch Execution**.
2. The **Batch Execution** pane appears on the right hand side.
3. In the **Batch Mode** section, select the **Run** mode.
4. To select the required batch for execution, search for required Batch ID.
5. In the **Batch Details** section, select the checkbox associated with that Batch ID.
The **Task Details** section lists the tasks corresponding to the selected Batch ID.
6. In the **Information Date** section, click the calendar and then select the date on which the Data Quality had failed and for which the data corrections are made.
7. To run the selected batch, click **Execute Batch**.
8. A message appears, asking you to confirm that you want to execute the batch for the selected date.
9. Click **OK**.
A confirmation message appears, confirming that the batch was triggered successfully.
10. Click **OK**.

10.5.4 Batch Monitor

1. Navigate to **Common Tasks > Operations > Batch Monitor**.
The **Batch Monitor** pane appears on the right hand side.



2. In the **Batch Details** section, select the Batch ID which was executed during the [Batch Execution](#) steps.

3. In the Batch Run Details section, click the **Information Date** dropdown, and then select the MIS Date. This is the date on which the Data Quality had failed at the staging.
4. Click the **Batch Run ID** dropdown box and select the required value.
5. Click the **Start Monitoring** icon.
6. The **Batch Status**, **Task Details**, and **Event Log** sections are displayed in addition to the existing details in the **Batch Monitor** pane.
7. Select any task in the **Task Details** section to view its Event Log details.
8. To generate an excel file for these Event Log details, click the **Export** icon.

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](#)
- [Viewing a Reporting Plan](#)

11.1 User Roles and Actions

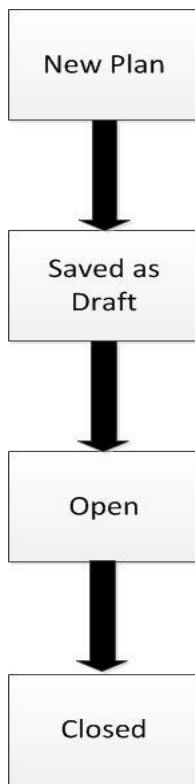
All users need to be mapped to **DGS EBA AUTHORIZER GROUP**, **DGS EBA ADMINISTRATOR GROUP**, and **DGS EBA ANALYST GROUP**, along with **DGSPSI** and **PROCUSER**.

Following is the user role and action for Glossary:

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

11.2 Process Monitoring Workflow

The 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 the regulatory report submission of one activity is different from 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 blue asterisk(*) are mandatory	
Name*	Provide a short description of the plan.
ID	Displays a unique ID for the plan (auto-generated).
Objective*	Select an objective from the drop-down box: <ul style="list-style-type: none"> • Business • Management • Regulatory

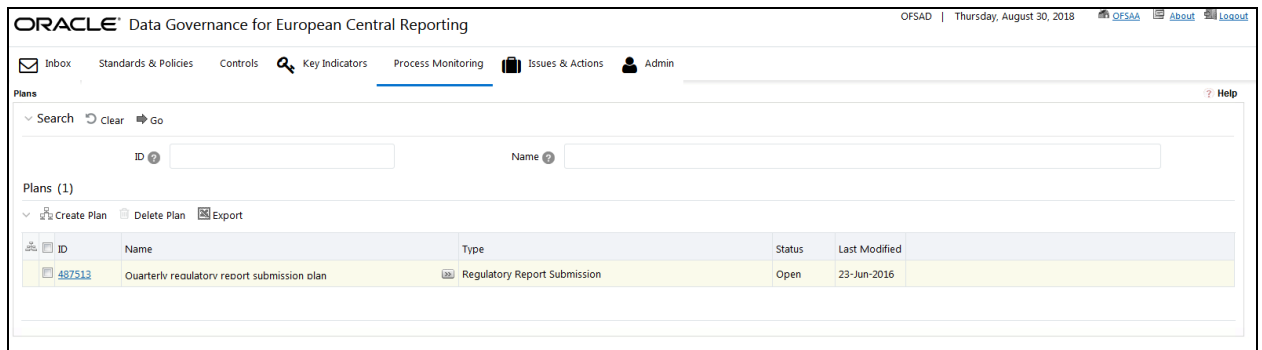
Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Owner*	Select the owner of the plan such who is the user that is responsible for tracking the plan to closure.
Type*	Select the plan type from the drop-down box: <ul style="list-style-type: none"> • Regulatory Report Submission • Management Report Submission
Description	Provide a description of the plan.
Frequency*	Select a frequency for the plan from the drop-down box: <ul style="list-style-type: none"> • Yearly • Half Yearly • Quarterly • Monthly

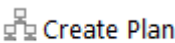
11.3.2 Procedure to Create a Reporting Plan

To create a Reporting Plan, perform the following steps:

1. In DGEGR, click **Process Monitoring**.

The **Plans** workspace appears.



2. Click the  **Create Plan** icon.

The **Plan Details** page appears.

The screenshot shows the Oracle Data Governance for European Central Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Process Monitoring' tab is active. Below the navigation bar, there is a breadcrumb trail: 'Plans >> Plan Details'. The main content area is titled 'Details' and contains a form with the following fields:

- Name* (text input)
- Objective* (dropdown menu)
- Type* (dropdown menu)
- Description* (text area)
- ID (1336342)
- Owner* (OFSAD) (text input with a clear button)
- Frequency* (dropdown menu)

A 'Save Draft' button is located in the top right corner of the form area. The status is shown as 'New'.

3. Enter the required information in the available fields.
4. Click **Save Draft**.

A confirmation message appears, asking you to click either **OK** or **Cancel**.

5. Click **OK**.

The status of the plan changes to Draft.

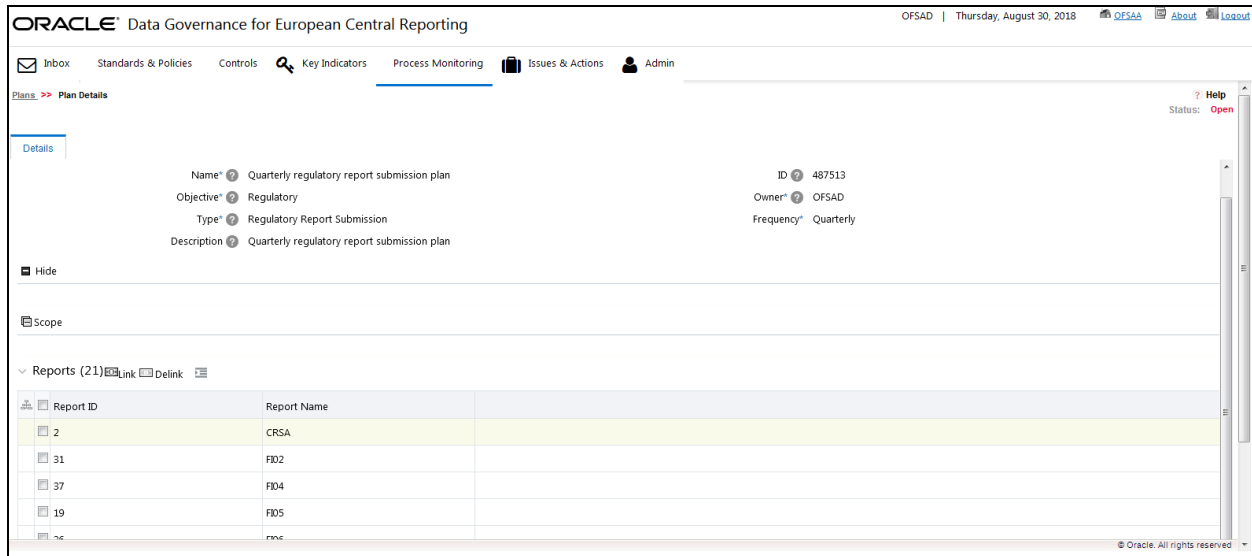
NOTE: You should schedule the plan before submitting.

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.

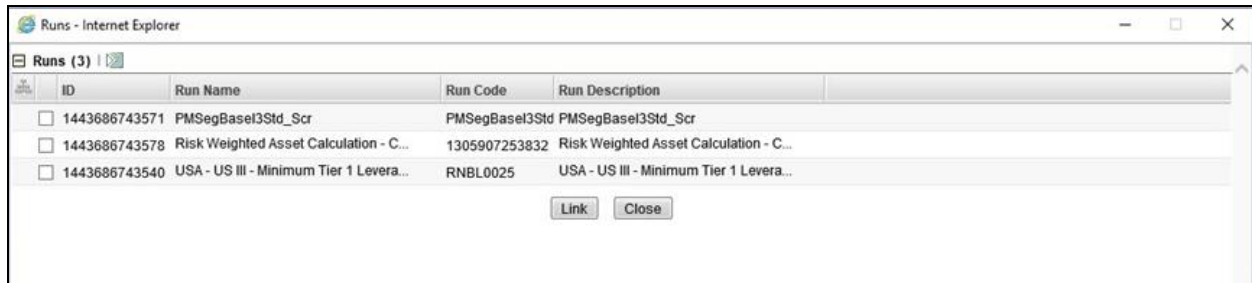


11.5 Linking the OFSAA Runs to a Plan

Data Governance for European Central Reporting facilitates mapping of OFSAA Runs to the plans created in the **Plan Details** section. For the created plan, the 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 European Central Reporting.

Metadata Publish is required to publish the Run related information.



11.6 Linking the Tasks to Runs

Data Governance for European Central Reporting facilitates the mapping of Tasks to Runs in the **Plan Details** section. The **Task** button in the Runs grid allows the user to select the tasks. On clicking the **Task** button, a window appears displays all the tasks under the selected Run. The selected tasks can be seen in the Task grid under the Run grid.

Run Task Selection				
Object Name	Object Type	Modified Date	Modified By	Executable
PMSegBasel3Std_Scr				
Run				
<input checked="" type="checkbox"/> PM Basel III Risk Weighted Asset Calculation - Credit Risk - BIS Standardised Approach	Process	23-Dec-2014	SYSADMIN	
<input checked="" type="checkbox"/> Non Sec Basel Product Type Assignment - STD	Computation Rule			2
<input checked="" type="checkbox"/> Mitigant Standard Issuer Type Assignment - STD	Computation Rule		SYSADMIN	2
<input checked="" type="checkbox"/> Non Sec Basel Methodology Assignment - STD	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> Non Sec Off-Balance Sheet Drawn CCF Assignment - STD	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> Non Sec CCF Assignment - STD	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> Non Sec Pre-Mitigation EAD Amount - STD	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> Non Sec Pre-Mitigation EAD Drawn Amount - STD	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> Non Sec Pre-Mitigation EAD Undrawn Amount - STD	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> Basel Methodology Assignment - Standardised Method	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> NON_SEC_RISK_WEIGHT_MAPPING_POPULATION	Data Mapping	29-Sep-2015	SYSADMIN	
<input checked="" type="checkbox"/> NON_SEC_RISK_WEIGHT_MAPPING_POPULATION	Data Mapping	29-Sep-2015	SYSADMIN	T2T
<input checked="" type="checkbox"/> Basel Methodology Assignment - Non-Sec Standardized Approach - Option 1 - Banks	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> Non Sec Pre-Mitigation RW UL for Banks - Option 1 - STD	Computation Rule		SYSADMIN	2
<input checked="" type="checkbox"/> Basel Methodology Assignment - Non-Sec Standardized Approach - Option 1 - PSEs	Computation Rule	25-Jun-2012	SYSADMIN	2
<input checked="" type="checkbox"/> Non Sec Pre-Mitigation RW UL for PSEs - Option 1 - STD	Computation Rule		SYSADMIN	2

11.7 Linking the Dependent Tasks to Tasks

Data Governance for European Central Reporting facilitates mapping of Dependent Tasks to Tasks in the **Plan Details** section. The **Dependent Task** button in the **Tasks** grid allows the user to select the dependent tasks. On selecting each task, the **Dependent Task** button is enabled and a window appears in which the user has the provision to select the dependent task for the selected task. The selected dependent task also appears in the **Task Grid**.

Dependent Tasks (57)	
Task Name	Run Name
<input type="checkbox"/> NON_SEC_RISK_WEIGHT_MAPPING_POPULATION	PMSegBasel3Std_Scr
<input type="checkbox"/> PARTY_TYPE_RECLASSIFICATION_POPULATION_IRB	USA - US III - Minimum Tier 1 Leverage Ratio Calculation
<input type="checkbox"/> PARTY_TYPE_RECLASSIFICATION_POPULATION_STD	PMSegBasel3Std_Scr
<input type="checkbox"/> PROD_TYPE_RECLASSIFICATION_POP_IRB	USA - US III - Minimum Tier 1 Leverage Ratio Calculation
<input type="checkbox"/> PROD_TYPE_RECLASSIFICATION_POP_STD	PMSegBasel3Std_Scr
<input type="checkbox"/> SUB_EXPOSURES_NON_SEC	PMSegBasel3Std_Scr
<input type="checkbox"/> CRM Mitigant Volatility Haircut - Supervisory Haircut	PMSegBasel3Std_Scr
<input type="checkbox"/> Mitigant Eligibility - STD	PMSegBasel3Std_Scr
<input type="checkbox"/> Non Sec Basel Methodology Assignment - STD	PMSegBasel3Std_Scr
<input type="checkbox"/> Collateral Eligibility - STD	PMSegBasel3Std_Scr

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

To get the Process Monitoring Plan and task details in T2T_FCT_PLAN_TASK_EXEC every time the new plan and tasks are added, perform the following steps:

1. Create the batch from the **FSDF Rule Run Framework** screen.
2. Execute the created batch with the selected tasks.
3. Execute the fct_plan_task_exec by 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 by only including the T2T_FCT_PLAN_TASK_EXEC task.

12 Dashboards

The dashboards provide reports for various sections in the DGEGR Application.

12.1 Data Quality Dashboards

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

To view the dashboards, batches corresponding to Data Quality and Data Profile have to be executed. Refer to the [Runchart](#) for further details.

Based on the Data Quality check defined in the DQ framework of AAAI, the dashboard generates the reports. These are predefined values. The dashboard also generates the reports based on the check type the user wants to analyze the data with.

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

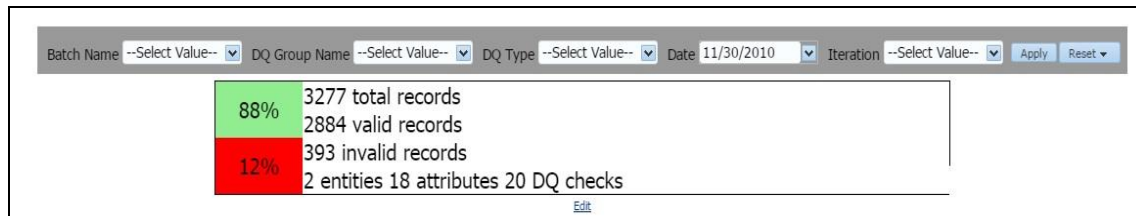
- Batch Name
- DQ Group Name
- DQ Type
- Iteration

Click **Apply** to generate the reports.

Click **Reset** to reset the values.

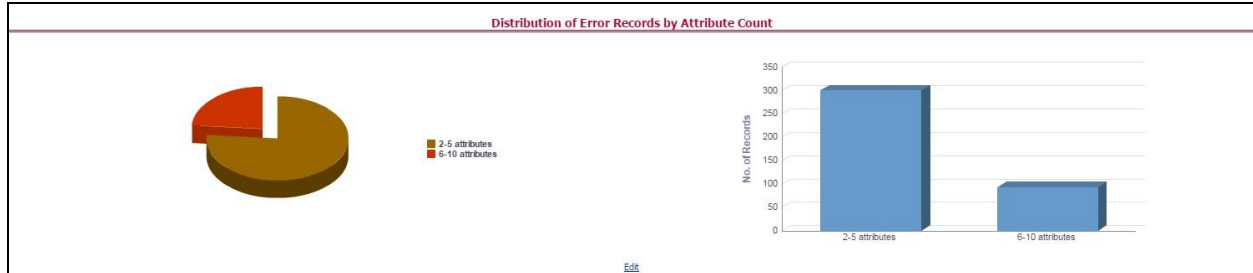
The first grid displays the following data:

- 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

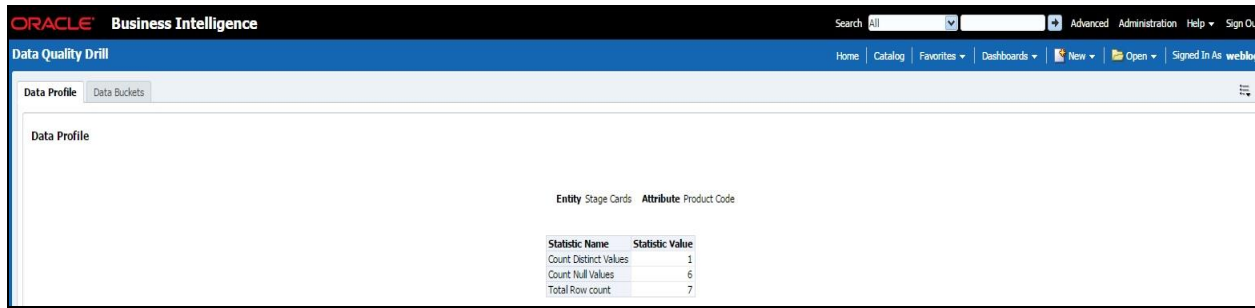


12.1.1 Distribution of Error Records by the Attribute Count

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



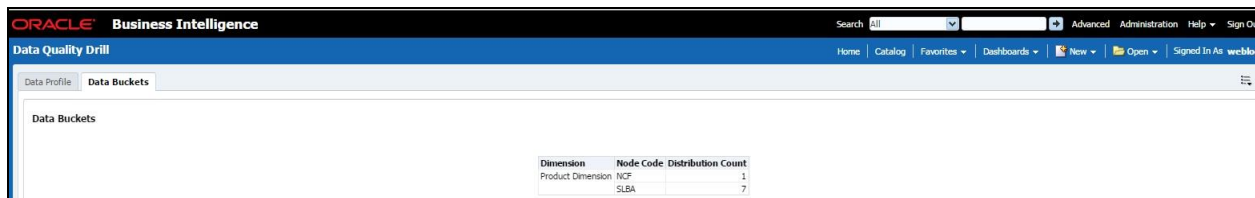
1. Click either on pie chart or bar graph to drill down to view the following details:
 - Entity
 - Attributes
 - DQ Check Type Name
 - Percentage of Rejected Records Count
2. Click **Attributes** to display the following:
 - Data Profile: It displays 2 analyses:
 - Data Profile: A tabular representation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



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



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

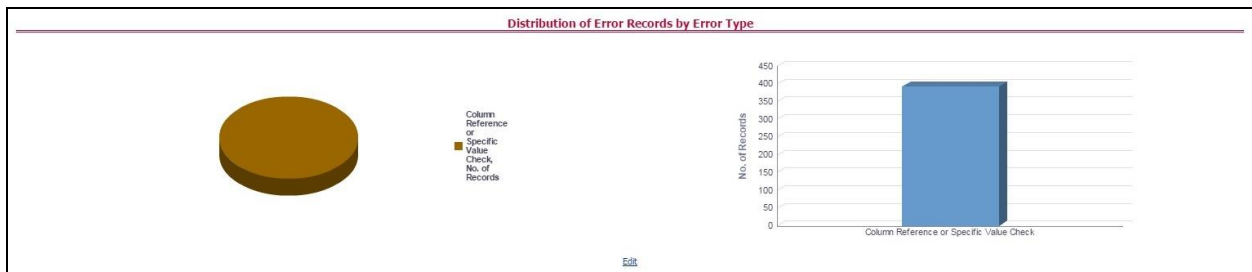


- Trend of Data Bucket: This report shows the trend of the data profiling in a 6 month interval from the selected date. It is a graphical representation of the Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
 - Bar Graph
 - Line Graph

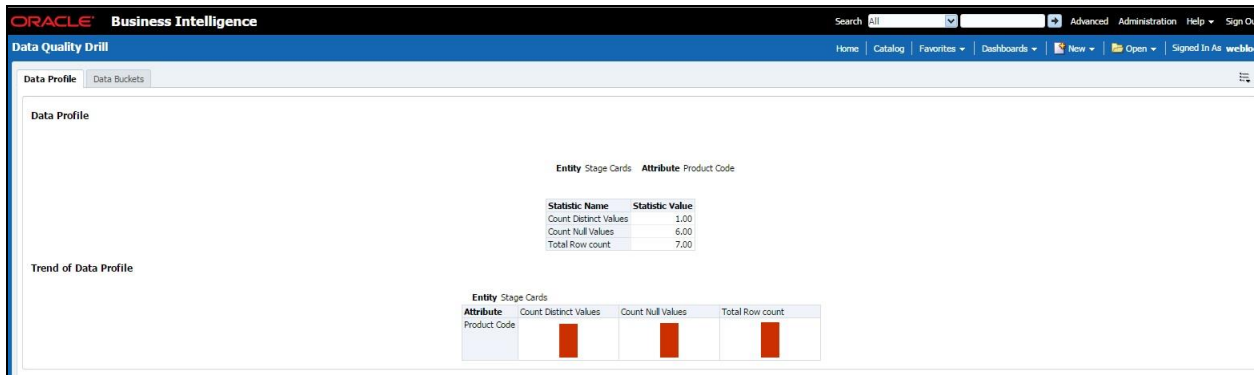


12.1.2 Distribution of Error Records by Error Type

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

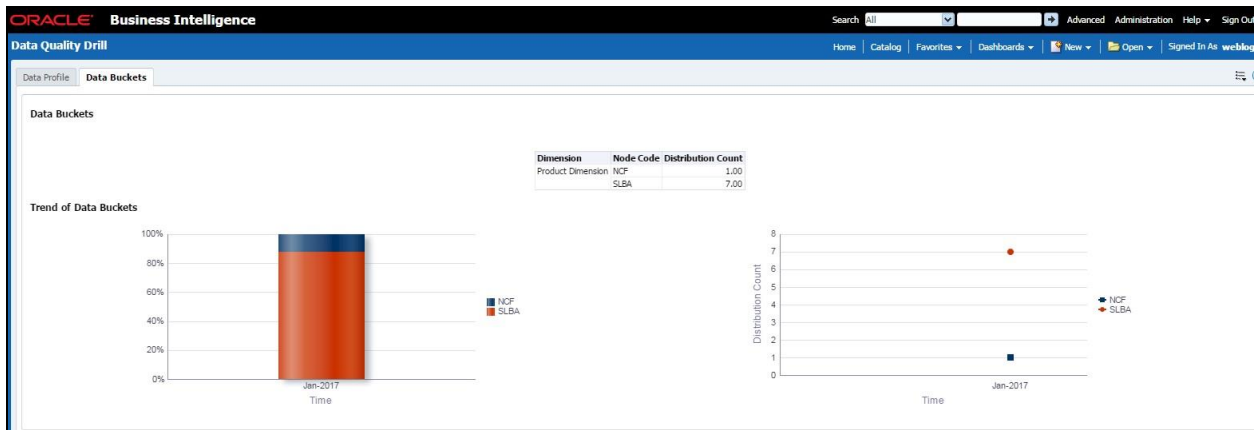


1. Click either the pie chart or the bar graph to get a drill down to view the following details:
 - Entity
 - Attributes
 - DQ Check Type Name
 - Percentage of Rejected Records Count
 - Date
2. Click **Attributes** to view the following:
 - Data Profile: It displays two analyses:
 - Data Profile: A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



▪ Trend of Data Profile: A graphical representation of the following data based on the Entity-Attribute Name:

- Count Distinct values
 - Count Null Values
 - Total Row Count
- Data Bucket: It displays two analysis:
 - Data Bucket: The tabular representation of the following data based on the Dimension Table:
 - Node Code
 - Distribution Count

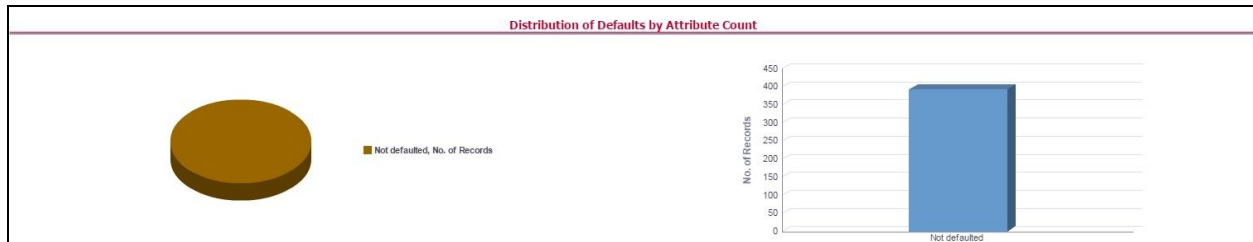


▪ Trend of Data Bucket: Graphical representation of the Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:

- Bar Graph
- Line Graph

12.1.3 Distribution of Defaults by Attribute Count

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

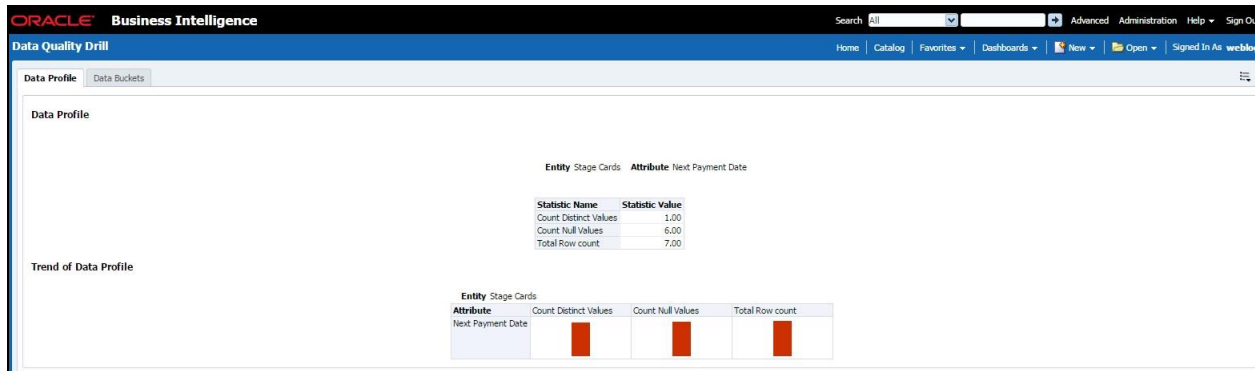


1. Click either the pie chart or bar graph to get drill down which displays the following details:

- 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: A tabular representation of the following data based on Entity-Attribute Name:
 - Count Distinct values
 - Count Null Values
 - Max Value
 - Mean Value
 - Minimum Value
 - Outliers – Greater than 2x mean
 - Outliers – Less than 2x mean
 - Total Row Count

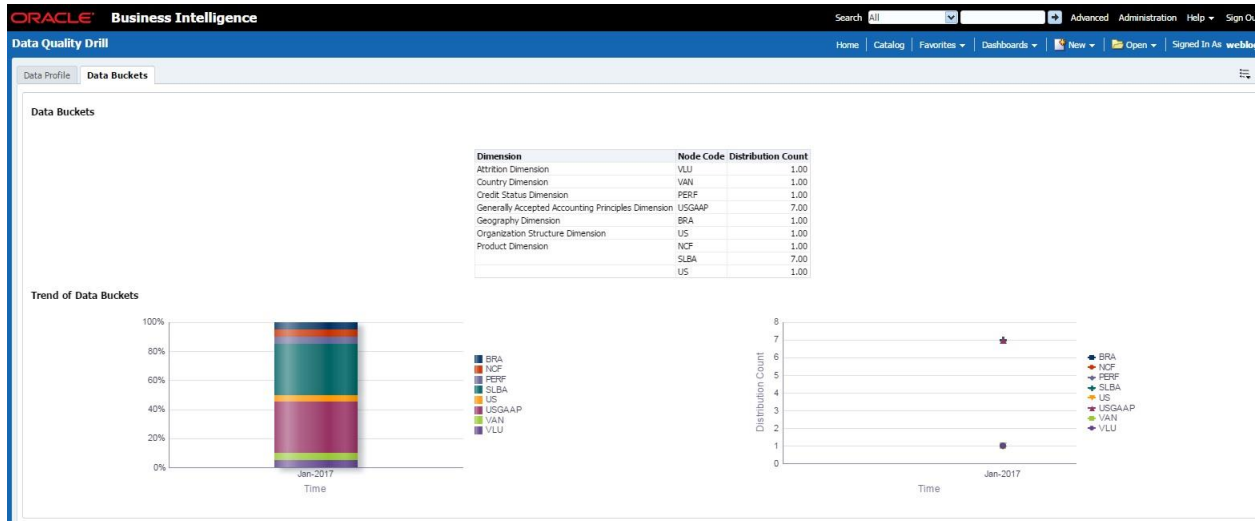


▪ Trend of Data Profile: Graphical representation of the following data based on the Entity-Attribute Name:

- Count Distinct values
 - Count Null Values
 - Total Row Count
- Data Bucket: It displays two analysis:

▪ Data Bucket: The tabular representation of the following data based on the Dimension Table:

- Node Code
- Distribution Count



▪ Trend of Data Bucket: A graphical representation of the 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:

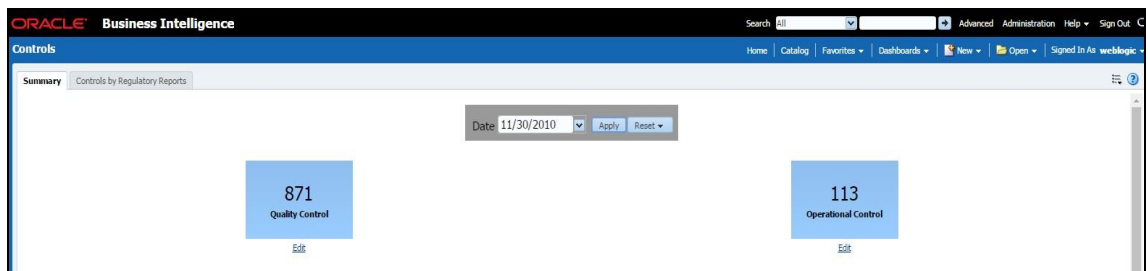
- Summary
- Controls by Regulatory Reports

12.2.1 Summary

Select the date to generate the dashboard reports.

The 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.



12.2.1.1 Quality Controls by Rating

This section provides the graphical representation of Number of Controls against Quality Controls. The following are the types of Rating Names:

- Effective
- Ineffective



1. Click the graphs to view the drill-down **Control Assessment** reports. The following data appears under the Control Assessment dashboard:

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

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

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

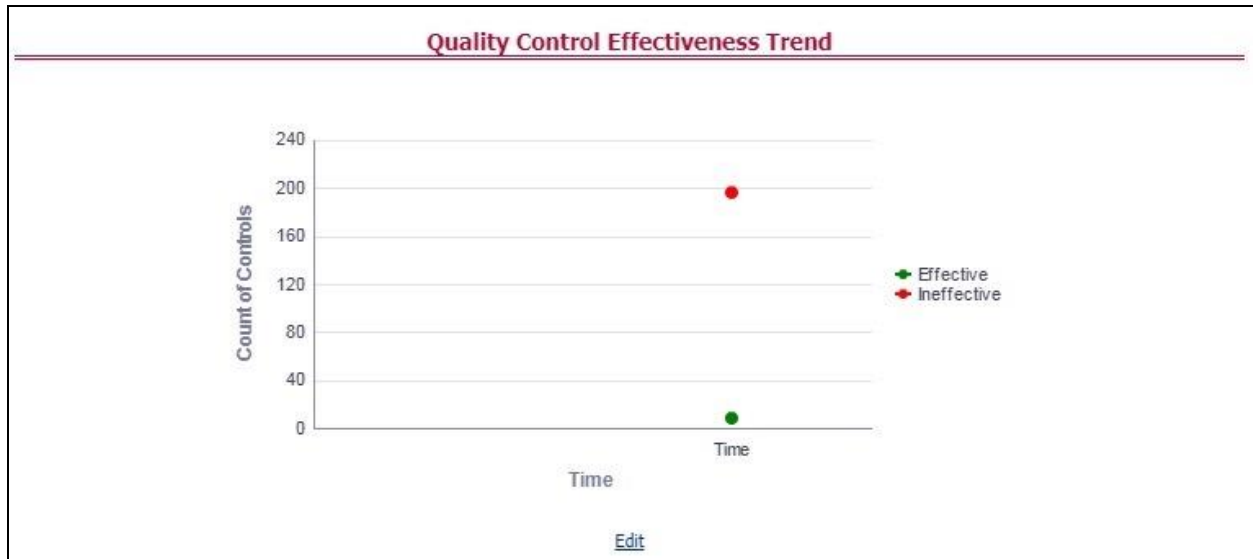
- In the **Assessment ID** column, click the required link to view the drill-down **Control Parameter Score**.

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

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

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.



- Click the graphs to view the drill-down **Control Assessment** reports.

The following data appears under the Control Assessment dashboard:

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

- 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 the Number of Controls against Operational Controls. The following are the types of Rating Names:

- Effective
- Ineffective



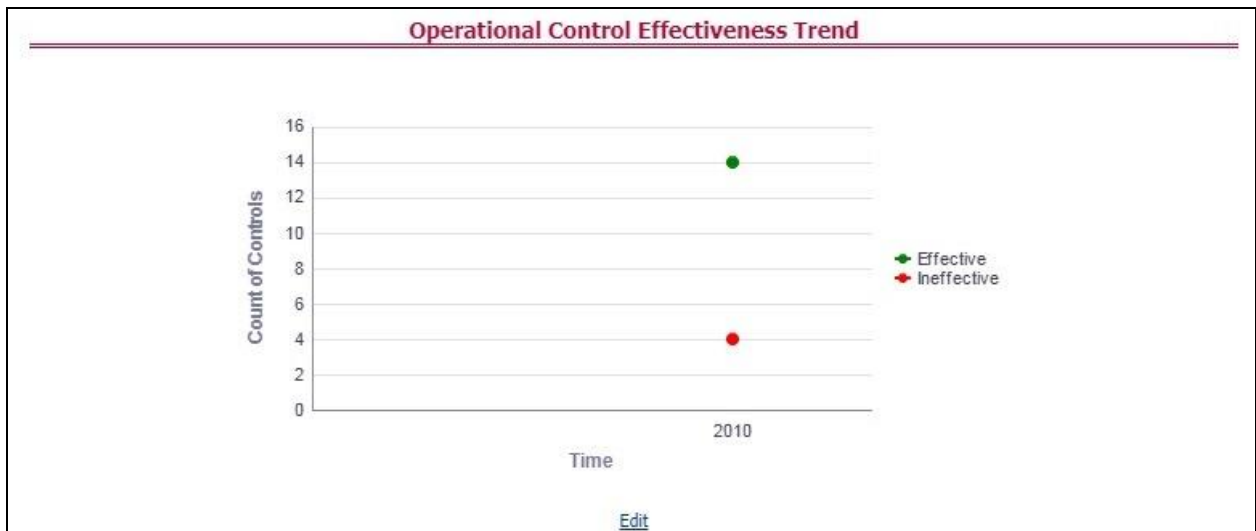
5. Click the graphs to view the drill-down **Control Assessment** reports. The following data appears under the Control Assessment dashboard:

- 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 appears under the 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 and Date and then click **Apply** to view the **Control Assessment Analysis** dashboard.

The following details are listed in the Control Assessment Analysis report:

- Rating Name
- Reporting Line Item

The screenshot shows the Oracle Business Intelligence interface for 'Controls by Regulatory Reports'. It includes a search bar, navigation links (Home, Catalog, Favorites, Dashboard), and a filter section with 'Report: FFIEC-009' and 'Date: 11/30/2010'. Below this is a table titled 'Control Assessment Analysis' with columns for 'Reporting Line Item', 'Rating Name', 'Effective', and 'Qualified'.

Reporting Line Item	Rating Name	Effective	Qualified
DATASET_JOINS			1
FEDFIEC09AP002M875			1
LA1150C02			1
LA1305C02			1
LA3170C02			1
LA3271C02		1	
LA3730C02			1
LA5510C02			1

12.3 Key Indicators Dashboards

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

To view the dashboards, batches corresponding to key indicator have to be executed. Refer to the [Runchart](#) for further details.

Note :In case of environment having DM 8061 and post running the Dim_key_indicator batch if data is not getting populated to target table DIM_KI_GROUP, then drop the index XAK1KEY_INDICATOR_GROUP_DIMENS defined on this table..

Steps to drop the index

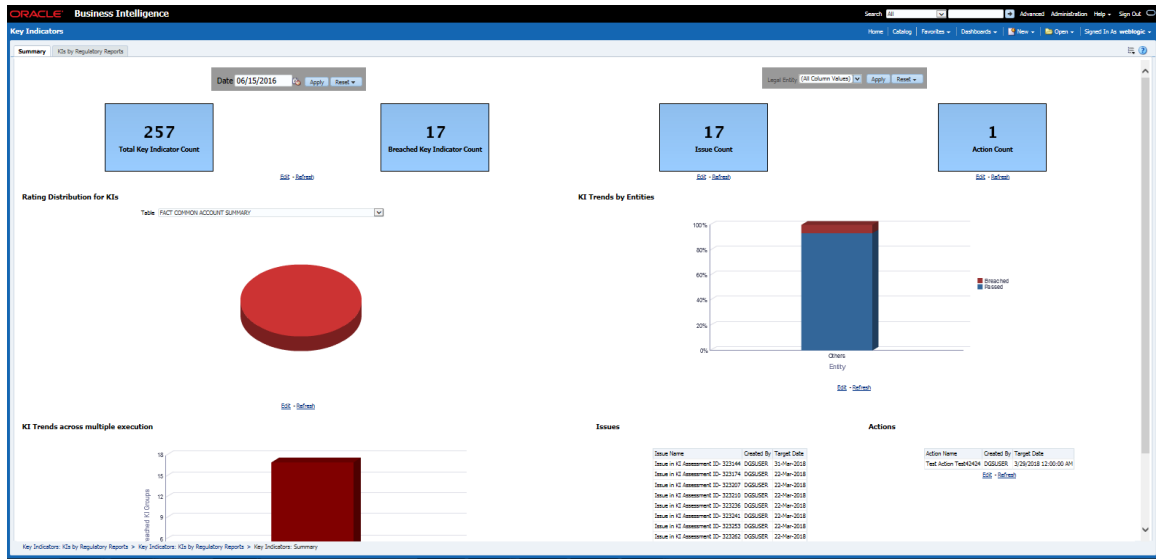
1. Log into atomic schema
2. Then execute the following command

```
drop index XAK1KEY_INDICATOR_GROUP_DIMENS;
```

12.3.1 Key Indicators - Summary

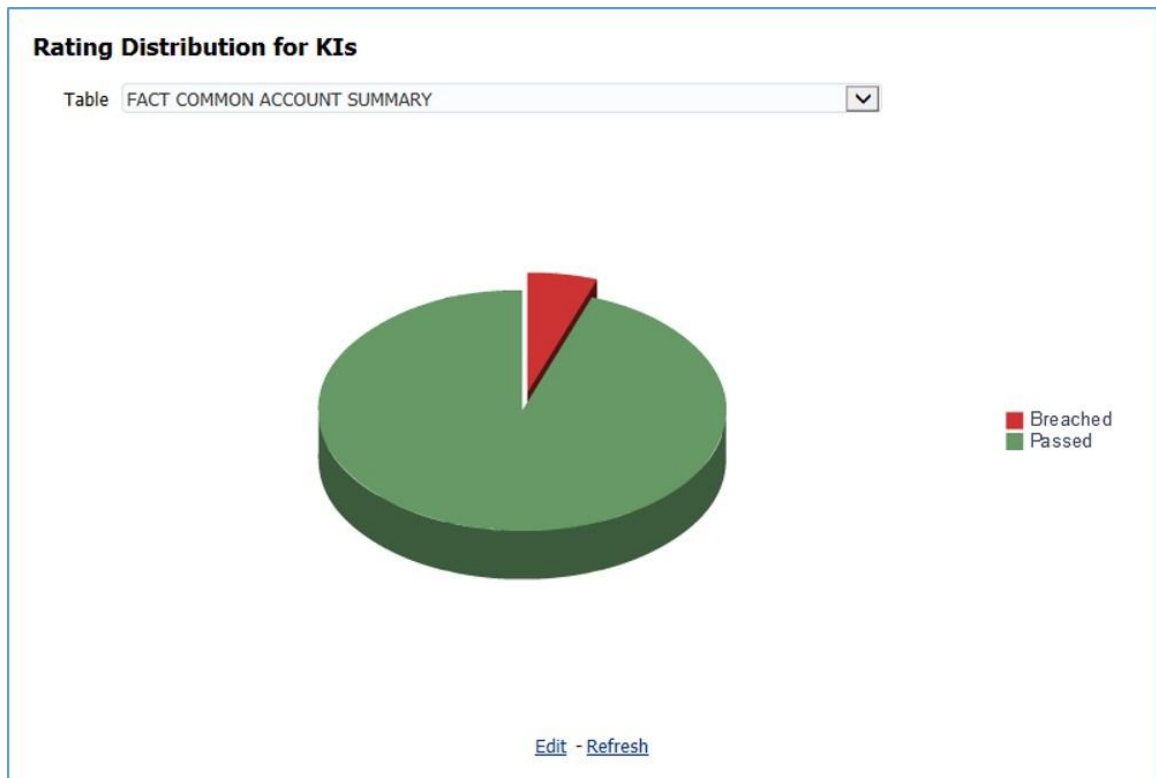
The **Summary** tab consists of these performance tiles:

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

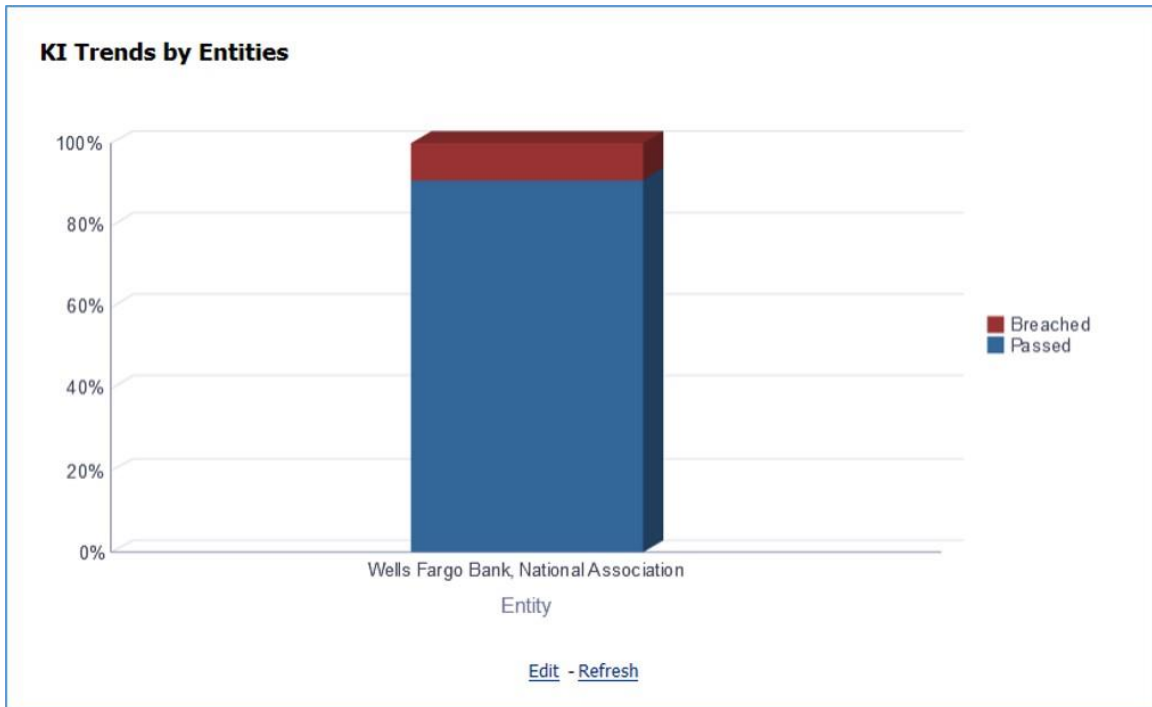


These are the KI Summary dashboard sections:

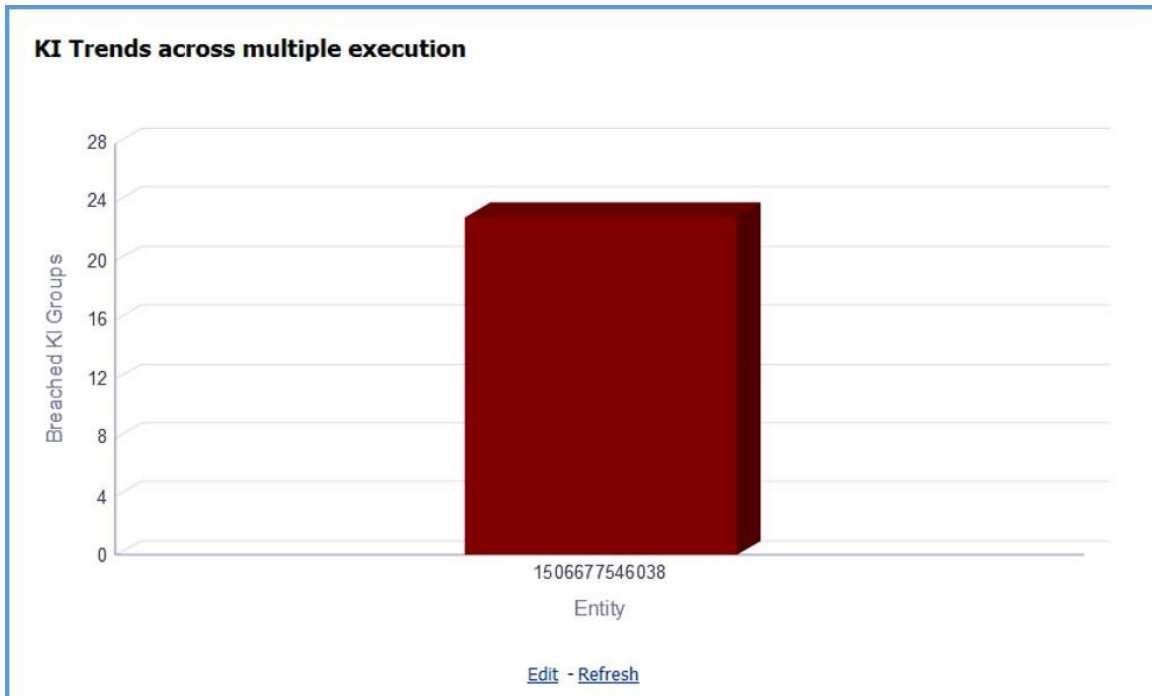
- **Rating Distribution for KIs:** Displays the latest rating distribution for the assessed Key Indicators.



- **KI Trends by Entities:** Displays the trend of latest entities for the assessed Key Indicators.



- KI Trends across multiple execution:** Displays the latest trend across multiple executions for the assessed Key Indicators.



- Issues and Actions:**

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

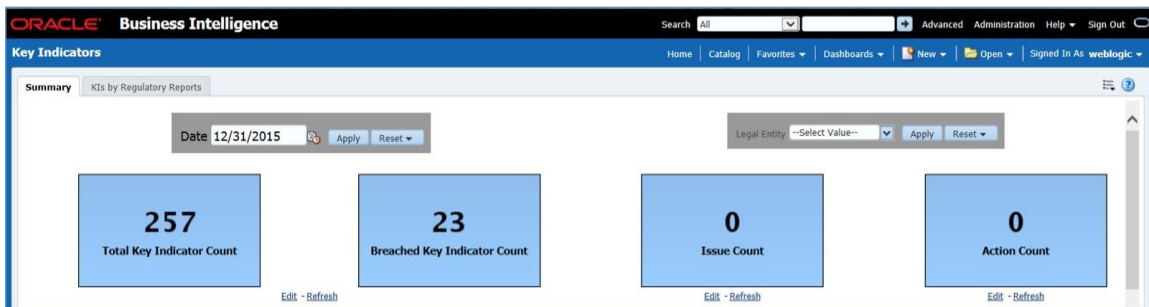
[Edit - Refresh](#)

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 then click **Apply**.

In the performance tiles, Key Indicator counts appear for the selected date.



2. To view the Key Indicator details for a performance tile, click that performance tile.

The following Key Indicator details appear:

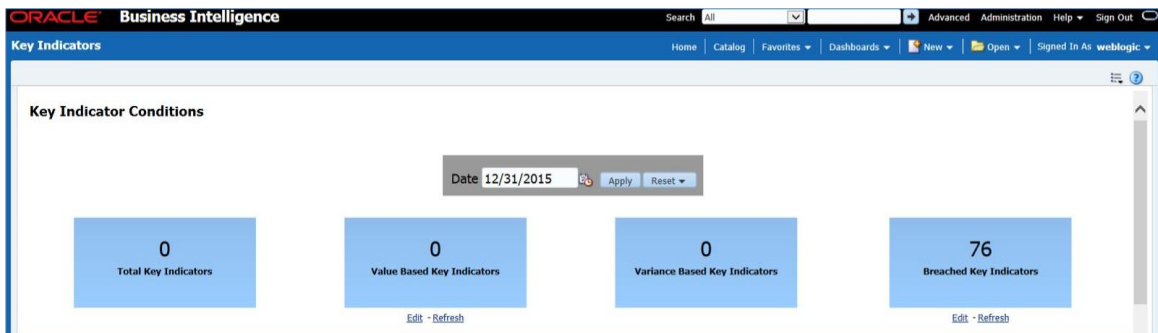
- Key Indicator ID
- Key Indicator Name

- Key Indicator Description
- Entity
- Attribute

Key Indicator Id	Key Indicator Name	Key Indicator Description	Entity	Attribute
17	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't Reflect The Market Value.	FACT FIXED ASSETS	BOOK VALUE IN REPORTING CURRENCY
44	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	ACCURED INTEREST IN REPORTING CURRENCY
118	Effective Maturity In Fact Regulatory Capital Account Summary	This Stores The Effective Maturity Of The Exposure.	FACT REGULATORY CAPITAL ACCOUNT SUMMARY	EFFECTIVE MATURITY
119	Effective Maturity In Fact Regulatory Capital Pool Summary	This Stores The Effective Maturity Of The Exposure	FACT REGULATORY CAPITAL POOL SUMMARY	EFFECTIVE MATURITY
216	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
221	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
237	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
278	Funded Default Fund Contribution Amount In Fact Regulatory Counterparty Capital Summary	Reporting Entity's Default Fund Contribution Backed By Funded Commitments	FACT REGULATORY COUNTERPARTY CAPITAL SUMMARY	FUNDED DEFAULT FUND CONTRIBUTION AMOUNT
290	Historical Acquisition Cost In Reporting Currency In Regulatory Account Summary	This Stores The Historical Acquisition Cost In Reporting Currency	REGULATORY ACCOUNT SUMMARY	HISTORICAL ACQUISITION COST IN REPORTING CURRENCY

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 appears.

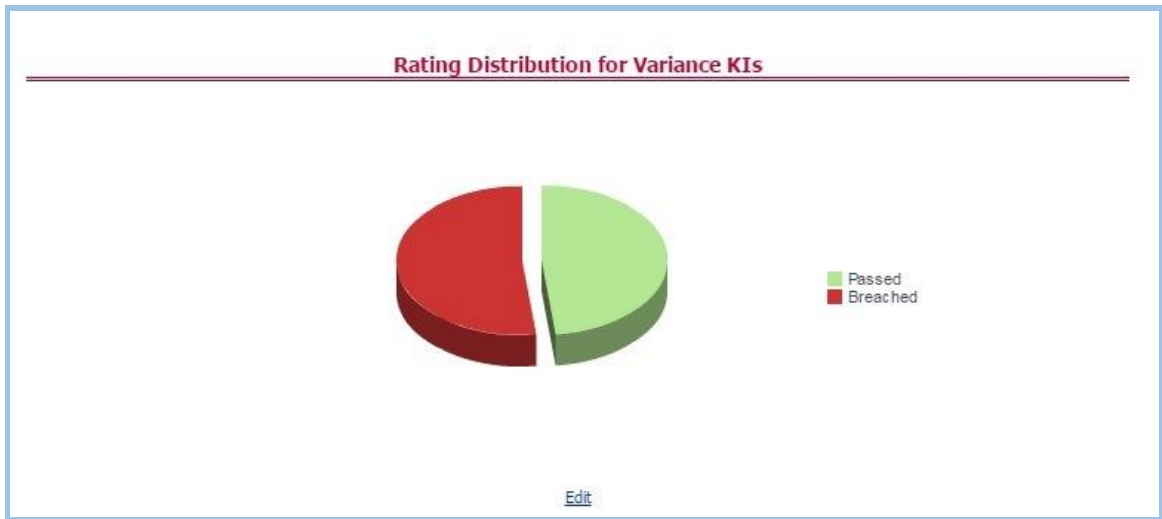


12.3.1.2 Viewing Key Indicator Conditions Details

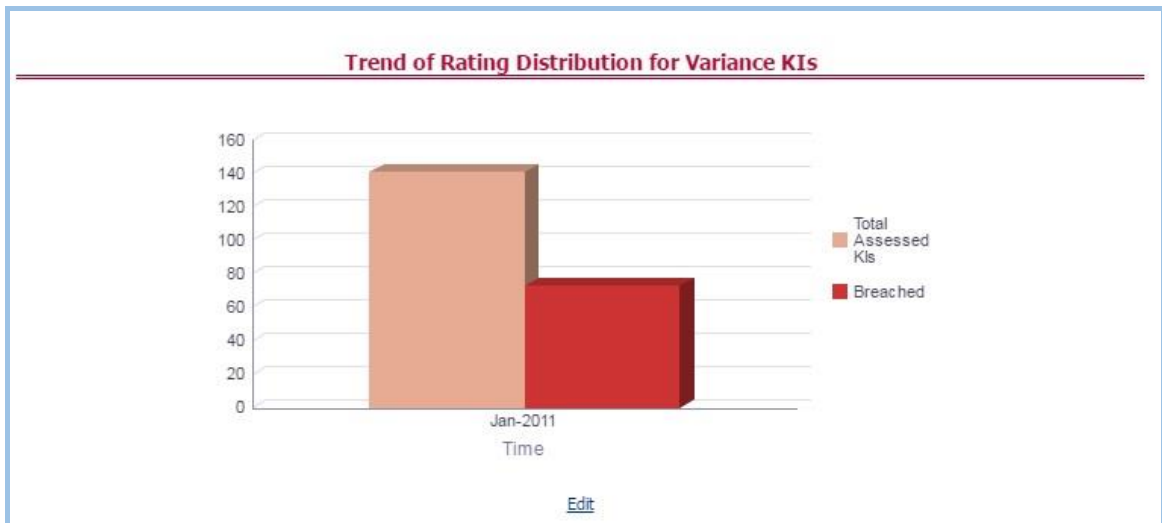
The **Key Indicator Conditions** page displays different Conditions based on which Key Indicators are assessed.

These are the sections of the Key Indicator Conditions dashboards:

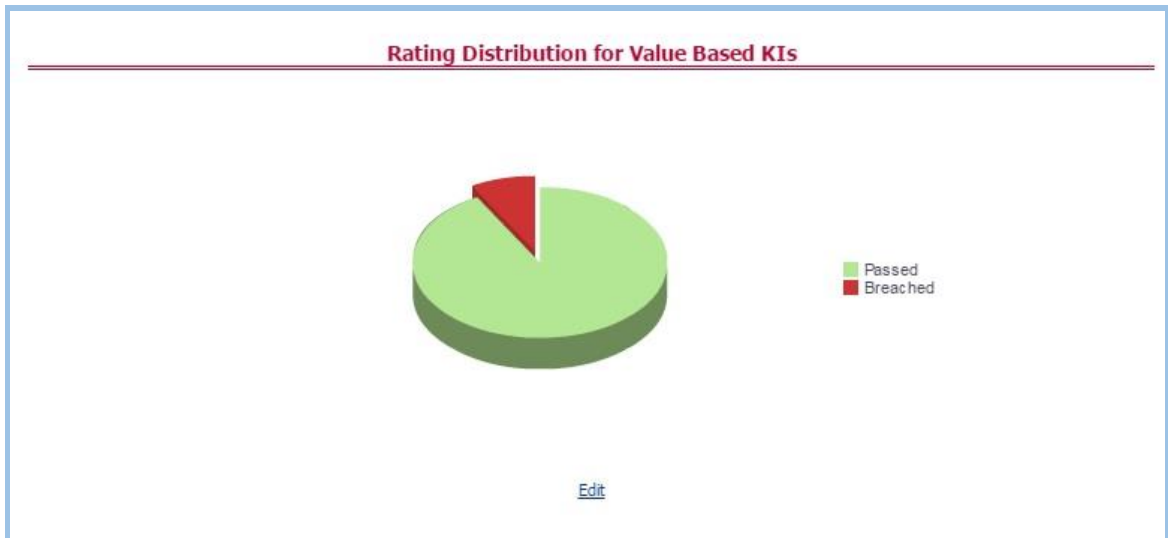
- **Rating Distribution for Variance KIs:** This report displays the latest rating distribution for the assessed Variance Key Indicators.



- 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. The following Key Indicator Conditions details appear:

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

The screenshot shows a table titled "Key Indicator Conditions" with the following columns: Key Indicator Condition ID, Name, Description, Comment, and Type. The table lists various conditions with their respective IDs and descriptions.

Key Indicator Condition ID	Name	Description	Comment	Type
33005	Edit No.9170: Assets Held In Trading Accounts - Revaluation Gains On Interest Rate, Foreign Exchange Rate, And Other Commodity And Equity Contracts (Bhcsa210) Should Not Be Negative	BHCSA210 should not be negative	KI Comments	Value Based
33200	Edit No.9480: Notional Amounts By Regulatory Capital Treatment: All Other Positions: Purchased Protection That Is Recognized As A Guarantee For Regulatory Capital Purposes(Bhckg404) Should Not Be Null And Should Not Be Negative	BHCKG404 should not be null 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 A Guarantee For Regulatory Capital Purposes(Bhckg405) Should Not Be Null And Should Not Be Negative	BHCKG405 should not be null 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 null and should not be negative	KI Comments	Value Based
33299	Edit No.9040: Bhck4172 Should Not Be Negative	bhck4172 should not be negative	KI Comments	Value Based
33518	Edit No.9480: Bhck3164 Should Not Be Null And Should Not Be Negative	BHCK3164 should not be null 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 null 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 Should Not Be Negative	BHCK3450 should not be null 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 null 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 null 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 null 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 equal 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 appears with the following 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:** The current period value for the selected Key Indicator ID.
- **Previous Period Value:** The previous period value for the selected Key Indicator ID.
- **Variance:** The difference in Current and Previous Period Value for the selected Key Indicator ID.
- **Variance %:** The percentage of Variance based on the Previous Period value.
- **RAG Score:** The RAG value of the selected Key Indicator depending on the various values.
- **Status:** The status of the selected Key Indicators depending on the various values.

The screenshot shows the "Assessment Details" page with a table containing the following data:

Assessment ID	Key Indicator ID	Current Period Value	Previous Period Value	Variance	Variance %	Rag Score	Status
322935	33201	1.00				10	●
326712	33201	1.00				10	●

Return - Edit - Refresh - Create Bookmark Link

12.3.2 KIs by Regulatory Reports

The **KIs by Regulatory Reporting** page displays the Key Indicator Group Details with the following 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 appears.

The screenshot shows the Oracle Business Intelligence interface. The main content area is titled 'Key Indicators' and 'KIs by Regulatory Reports'. It features a filter bar with 'Plan' set to '(All Column Va', 'Legal Entity' set to '(All Column Va', and 'Date' set to '06/15/2016'. Below the filter bar, a table titled 'KI Group Details' is displayed. The table has columns for 'Key Indicator', 'Name', 'Owner', and 'Status'.

Key Indicator	Name	Owner	Status
9	Asset Market Value In Reporting Currency In Fact Fiduciary Services Investmet 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	●
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	●

For the required Key Indicator, to view the 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:** Displays the reporting line item for the selected report.
 - **Schedule:** Displays the schedule code for the respective reporting line item.
 - **Cell Reference:** Displays the cell ID for the respective reporting line item.
 - **KI Condition:** Displays the KI condition name.
 - **Current Value:** Provides the current period value for the respective Reporting line item.
 - **Previous Value:** Provides the previous period value for the respective Reporting line item.

- **Variance %:** Displays the percentage of Variance based on Previous Value.
 - **Status:** The status of the selected Key Indicators depending on the various values.
 - **Dependent KIs:** Displays the other Key Indicators on which this cell ID is dependent.
- a. To view the Assessment details of the selected Key Indicator, click **Dependent KIs**. The Assessment Details page appears.

The screenshot shows the Oracle Business Intelligence interface. The main content area displays a table with the following data:

Assessment ID	Cell Reference	Current Period Value	Previous Period Value	Variance	Variance %	Rag Score	Status
320751	RCCMP231WORK		0.00				

Below the table, there are links: [Return](#), [Edit](#), [Refresh](#), and [Create Bookmark Link](#).

The breadcrumb trail at the bottom of the page reads: [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 Reports](#) > [Key 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 Reports](#) > [Assessment Details_KIs](#)

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

ORACLE Business Intelligence

Search All | Advanced Administration Help | Sign Out

Key Indicators | Home | Catalog | Favorites | Dashboards | New | Open | Signed In As weblogic

Key Indicator Details

Key Indicator ID	Name	Description	Comment	Type
35458.00	Edit No.0400: Rcfdb868 Equal To Rcfdb868	rcfdb868 equal to rcfdb868	KI Comments	Value Based
36650.00	Edit No.0226: If Probability Of Default (Pct) 0.03 To < 0.10(Aaha003) Is Equal To Null, Then Probability Of Default (Pct) 0.03 To < 0.10(Aahj003) Through Aah003 Should Be Equal To Null	If AAHA003 is equal to null, then aahj003 through aah003 should be equal to null	KI Comments	Value Based
37212.00	Edit No.203: How Many Loss Caps Are Used In Calculating The Risk-Based Capital Requirement For Operational Risk?(Aasg121) Must Not Be Negative	AASG121 must not be negative	KI Comments	Value Based
48058.00	Edit No.V3906_S: Debt Securities-General Governments-Collective Allowances For Incurred But Not Reported Losses-1006(FI0404r030c050) Should Be Lesser Than Or Equal To 0	FI0404R030C050 should be lesser than or equal to 0 and Edit no. is v3906_s	KI Comments	Value Based
48644.00	Edit No.V3928_S: Other Commitments Received-Central Bank-Nominal Amount-3965(FI902r160c020) Should Be Greater Than Or Equal To 0	FI902R160C020 should be greater than or equal to 0 and Edit no. is v3928_s	KI Comments	Value Based
49090.00	Edit No.V3956_S: Impairment Or (-) Reversal Of Impairment Of Investment In Subsidiaries, Joint Ventures And Associates-Subsidiaries- Accumulated Impairment-11794(FI1607070c040) Should Be Lesser Than Or Equal To 0	FI1607070C040 should be lesser than or equal to 0 and Edit no. is v3956_s	KI Comments	Value Based

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

b. In the **Key Indicator ID** column, click the link of the required KI ID to view the **Assessment Details** report.

ORACLE Business Intelligence

Search All | Advanced Administration Help | Sign Out

Key Indicators | Home | Catalog | Favorites | Dashboards | New | Open | Signed In As weblogic

Assessment Details

Assessment ID	Key Indicator ID	Current Period Value	Previous Period Value	Variance	Variance %	Rag Score	Status
320749	35458	0.00				1	🟢

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

... 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 Reports > Key Indicators: KIs by Regulatory Reports > Key Indicators: KIs by Regulatory Reports > Key Indicators: KIs by Regulatory Reports > Key Indicators: KIs by Regulatory Reports > KI Details Trend Analysis > Assessment 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 then 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

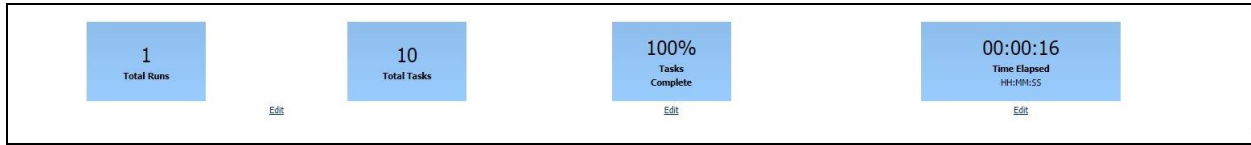
This grid displays the **Report Name** and **Report Description** associated with the selected Plan from the drop-down.

Report Name	Report Description
CR5A	CREDIT AND COUNTERPARTY CREDIT RISKS AND FREE DELIVERIES: STANDARDISED APPROACH TO CAPITAL REQUIREMENTS (CR SA)
FI01	Balance Sheet Statement [Statement of Financial Position]
FI02	Statement of profit or loss
FI04	Breakdown of financial assets by instrument and by counterparty sector
FI05	Breakdown of Loan and advances by product

12.4.1.2 Performance Tiles

The following Performance Tiles are displayed based on the selected Plan:

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



12.4.1.3 Task Tracking

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

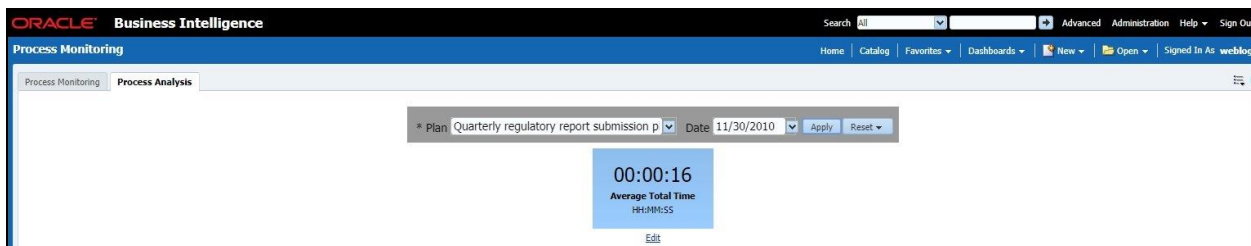
- **Run Task Hierarchy:** Displays the Runs associated with the Plan and tasks associated with the Runs.
- **Start Time:** Displays the start time of each Run on the Run level and the start time of each task associated with the Run.
- **End Time:** Displays the end time of each Run on the Run level and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

Task Tracking				
	Start Time	End Time	Time Taken (HH:MM:SS)	Status
EBA Regulatory Reporting Run	11-Jul-17 12:43:41	11-Jul-17 12:43:57	00:00:16	Success

12.4.2 Process Analysis

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

The **Average Total Time (HH:MM:SS) Performance** tile appears.



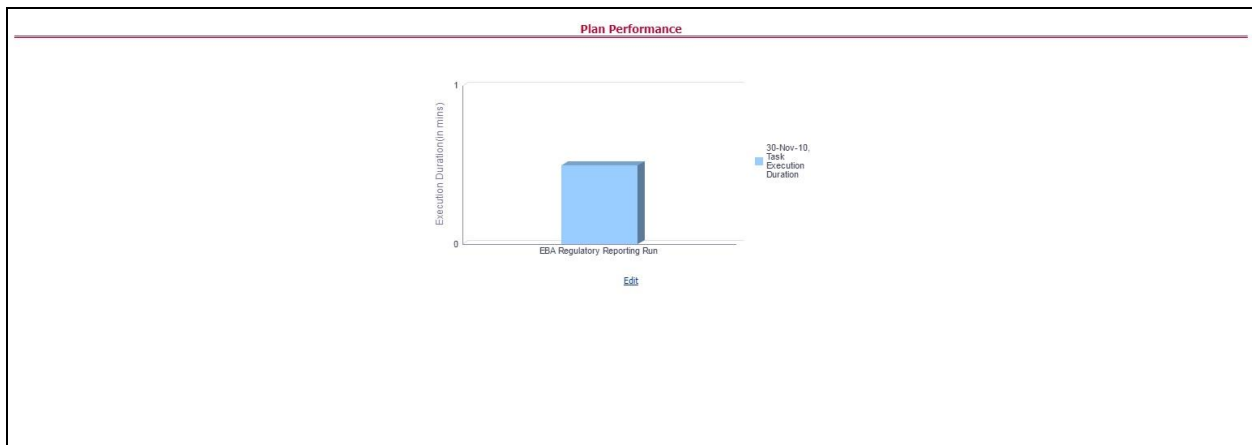
The following sections appear in this dashboard:

- 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.



Click the X axis to view the Task level details.

12.4.2.2 Longest Running Tasks

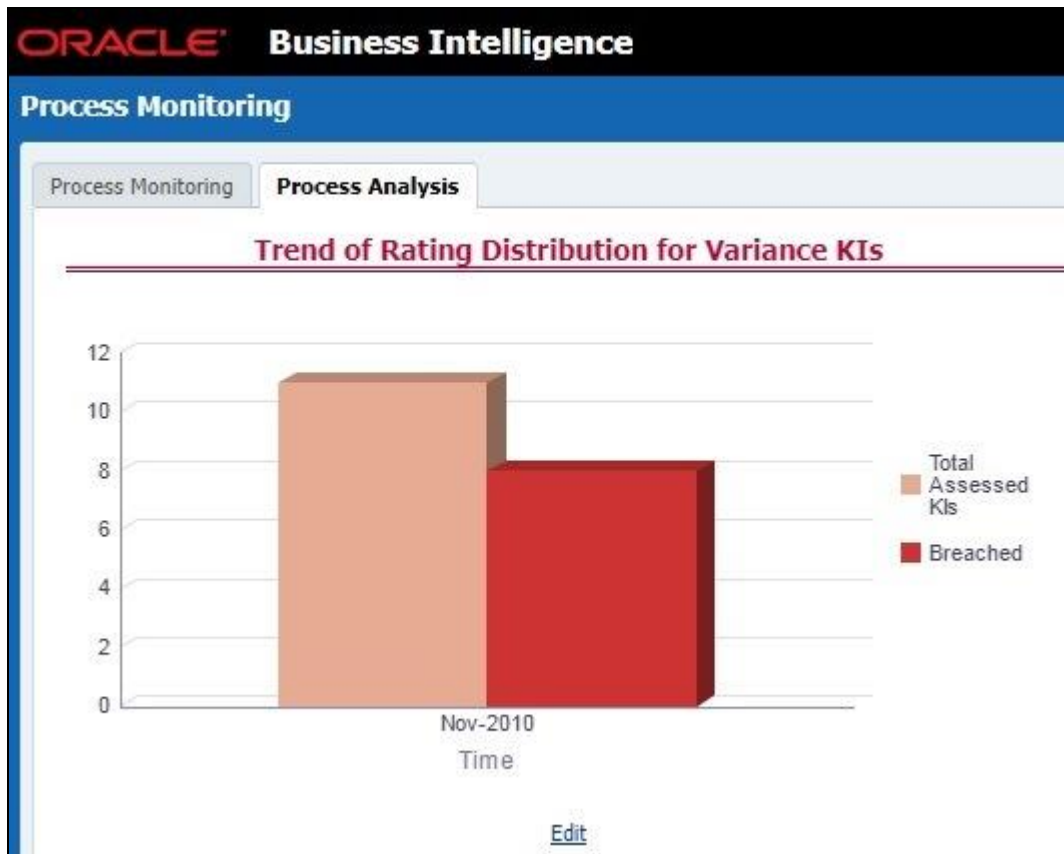
This report displays the time taken by each task in descending order.

Longest Running Tasks	
Task Name	Time Taken (HH:MM:SS)
Standard Reg Product Type ReClass - 3	00:00:14
Standard Reg Deposit Type Re-Class	00:00:12
Standard Reg Product Type ReClass - 4	00:00:12
RL - Reg Trading Acct Book Type	00:00:11
Standard Reg Product Type ReClass - 2	00:00:10
Standard Reg Product Type ReClass - 1	00:00:09
Standard Reg Product Type ReClass - 5	00:00:09
DPD Band - Reg Account Summary	00:00:00
Residual Maturity Band - Reg Account Summary	00:00:00

[Edit](#)

12.4.2.3 Trend of Rating Distribution for Variance KIs

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



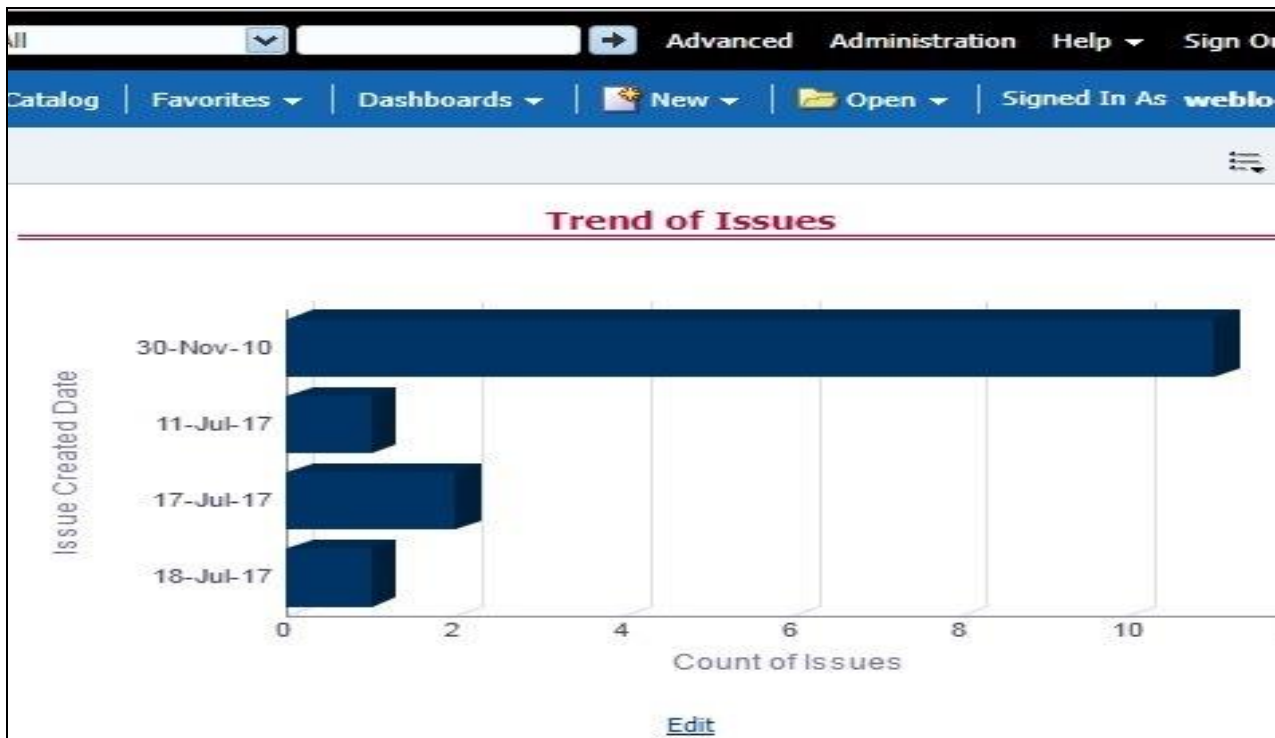
12.4.2.4 Trend of Rating Distribution for Value Based KIs

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



12.4.2.5 Trend of Issues

This report displays the issue reported for the 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 a bar-graph.



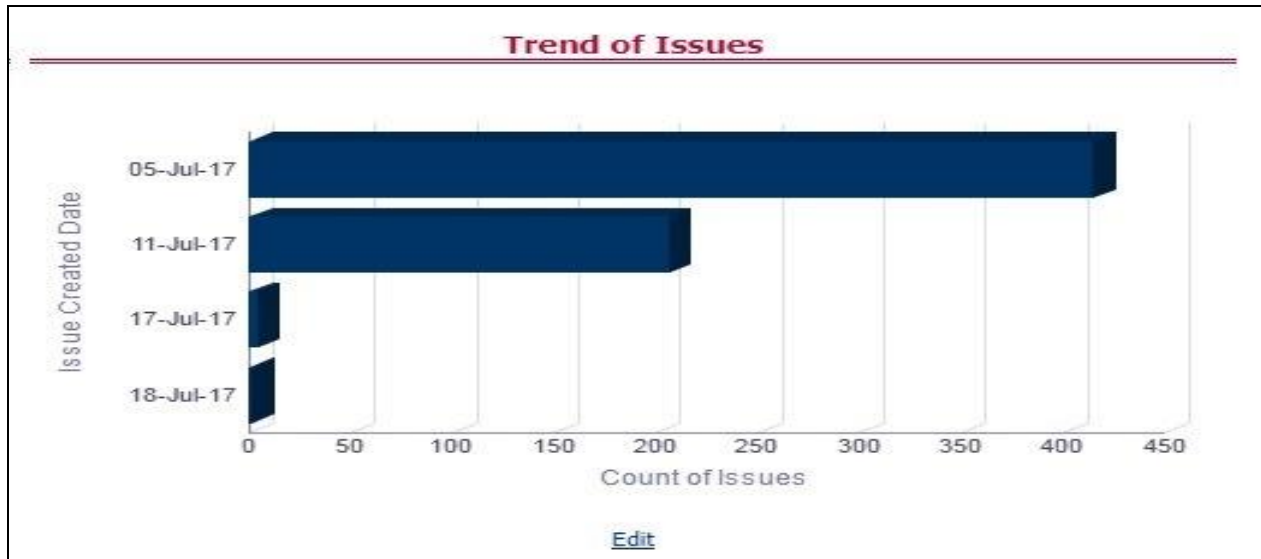
12.4.2.7 Operational Control Effectiveness Trend

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



12.4.2.8 Trend of Issues

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

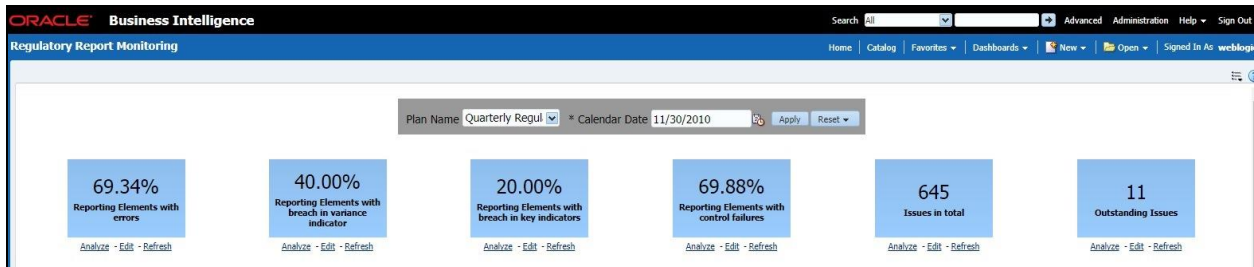


12.5 Regulatory Report Monitoring

Select a Plan Name from the dropdown, and then select a date from the calendar and click **Apply** to view the Regulatory Report Monitoring.

The following values are displayed in terms of Performance Tiles:

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



Regulatory Report Monitoring 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:

- **Report/Schedule Name:** Displays the name of report/schedule.
- **Total:** Displays the number of reporting elements linked to schedule.
- **No Errors:** Displays the number of reporting elements without errors.
- **Variance Indicator Breach:** Displays the number of reporting elements linked to the breached Variance Indicators.
- **KI Breach:** Displays the number of reporting elements linked to the breached Value Based Key Indicators.
- **Control Failure:** Displays the number of reporting elements linked to failed controls.

Plan Analysis by Report						
Reporting Elements						
Report / Schedule	Total	No Errors	Variance Indicator breach	KI Breach	Control Failure	
> CRSA	26	0	0	0	0	26
> FI02	5	1	0	0	0	0
> FI14	32	0	0	0	0	32
> FI16	4	0	0	0	0	4
> FI18	126	0	0	0	0	126
> FI20	48	8	8	4	4	28
> LEXP	18	0	0	0	0	18
> LR	103	102	0	0	0	1

2. Click **Total** associated with each schedule to display Reporting Element drill-down Report. The following details appear:

- **Schedule:** Displays the name of the schedule.
- **Cell Reference:** Displays the reporting elements associated with the schedule.
- **Breached Variance KI:** Displays if there are any Breached Variance KIs.

- **Breached Value Based KI:** Displays if there are any Breached Value Based KIs.
- **Ineffective Control:** Displays if there are any Ineffective Controls.

Schedule	Cell Reference	Breached Variance KI	Breached Value Based KI	Ineffective Control
F120 F12001	FI2001R020C010	No	No	No
	FI2001R020C020	No	No	No
	FI2001R030C010	No	No	No
	FI2001R030C020	No	No	No
	FI2001R040C010	No	No	Yes
	FI2001R040C020	No	No	Yes
	FI2001R060C010	No	No	No
	FI2001R060C020	No	No	No
	FI2001R070C010	No	No	Yes
	FI2001R070C020	No	No	Yes
	FI2001R080C010	No	No	Yes
	FI2001R080C020	No	No	Yes
	FI2001R090C010	No	No	No
	FI2001R090C020	No	No	No
	FI2001R110C010	No	No	Yes
	FI2001R110C020	No	No	Yes
	FI2001R120C010	No	No	Yes
	FI2001R120C020	No	No	Yes
	FI2001R130C010	No	No	No
	FI2001R130C020	No	No	No
	FI2001R150C010	No	No	Yes
	FI2001R150C020	No	No	Yes
	FI2001R160C010	No	No	Yes

3. Click **No Errors** associated with each schedule to display Reporting Element drill-down Report. The following details appear:

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

Schedule	Cell Reference	Breached Variance KI	Breached Value Based KI	Ineffective Control
F120 F12001	FI2001R020C010	No	No	No
	FI2001R020C020	No	No	No
	FI2001R030C010	No	No	No
	FI2001R030C020	No	No	No
	FI2001R060C010	No	No	No
	FI2001R060C020	No	No	No
	FI2001R090C010	No	No	No
	FI2001R090C020	No	No	No
	FI2001R130C010	No	No	No
	FI2001R130C020	No	No	No
	FI2001R170C010	No	No	No
	FI2001R170C020	No	No	No
	FI2001R200C010	No	No	No
	FI2001R200C020	No	No	No
	FI2001R230C010	No	No	No
	FI2001R230C020	No	No	No
	FI2001R240C010	No	No	No
	FI2001R240C020	No	No	No
	FI2001R250C010	No	No	No
	FI2001R250C020	No	No	No

4. Click **Variance Indicator Breach** associated with each schedule to display the Variance Indicators and Issue Details – Variance Based Indicators drill-down Report. The following details appear 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)

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

Variance Indicator	Owner	Report	Cell Reference	Current Value	Previous Value	Variance	Variance %	Variance % (Last Period)	Status	Status (Last Period)
Deposits-domestic activities-11319	OF5AD	FI20	FI2002R040C010	530022	330022	200000	61	61	Red	Red
Derivatives-domestic activities-11320	OF5AD	FI20	FI2002R020C010	1000000	660044	339956	52	52	Red	Red
Derivatives-non-domestic activities-11326	OF5AD	FI20	FI2002R020C020	832924	632924	200000	32	32	Red	Red
Non-current assets and disposal groups classified as held for sale-domestic activities-10901	OF5AD	FI20	FI2001R310C010	620154	820154	-200000	-24	-24	Red	Red
Non-current assets and disposal groups classified as held for sale-non-domestic activities-10902	OF5AD	FI20	FI2001R310C020	580000	780000	-200000	-26	-26	Red	Red
Other assets-domestic activities-113133	OF5AD	FI20	FI2001R300C010	1060044	1000000	6044	6	6	Red	Red
Other assets-non-domestic activities-113138	OF5AD	FI20	FI2001R300C020	1040022	840022	200000	24	24	Red	Red
Short positions-non-domestic activities-11329	OF5AD	FI20	FI2002R030C020	832924	632924	200000	32	32	Red	Red

Below the table, there are links for 'Analyze', 'Edit', and 'Refresh'.

The following details appear in Issue Details-Variance Based Indicators:

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

- Action Status
- Action Owner
- Create Action

Issue Key	Issue Name	Variance Indicator	Cell Reference	Issue Owner	Target Completion Date	Issue Status	Action Name	Action Status	Action Owner	Create Action
298347	Threshold value breached for Variance of deposits-domestic activities	Variance of deposits-domestic activities-11319	FI2002R040C010	OFSDAD	31-Jul-2017	Open				Create Action
298390	Threshold value breached for Variance of derivatives-domestic activities-11320	Variance of derivatives-domestic activities-11320	FI2002R020C010	OFSDAD	31-Jul-2017	Open				Create Action
298433	Threshold value breached for Variance of derivatives-non-domestic activities-11326-	Variance of derivatives-non-domestic activities-11326	FI2002R020C020	OFSDAD	31-Jul-2017	Open				Create Action
298466	Threshold value breached for Variance of non-current assets and disposal groups classified as held for sale-domestic activities-10901	Variance of non-current assets and disposal groups classified as held for sale-domestic activities-10901	FI2001R310C010	OFSDAD	31-Jul-2017	Open				Create Action
298509	Threshold value breached for Variance of non-current assets and disposal groups classified as held for sale-non-domestic activities-10902	Variance of non-current assets and disposal groups classified as held for sale-non-domestic activities-10902	FI2001R310C020	OFSDAD	31-Jul-2017	Open				Create Action
298552	Threshold value breached for Variance of other assets-domestic activities-113133	Variance of other assets-domestic activities-113133	FI2001R300C010	OFSDAD	31-Jul-2017	Open				Create Action
298588	Threshold value breached for Variance of other assets-non-domestic activities-113138	Variance of other assets-non-domestic activities-113138	FI2001R300C020	OFSDAD	31-Jul-2017	Open				Create Action

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

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

The screenshot shows the Oracle Business Intelligence interface for 'Regulatory Report Monitoring'. The main content area displays 'Value Based Indicators' with a sub-header: 'Plan Name :Quarterly Regulatory Report Report :FI20 Schedule :FI2001 Date :30-Nov-10'. Below this is a table with the following data:

Name	Owner	Report	Cell Reference	Status	Status(Last Period)
Quality Indicator for 11226 and Edit no. is v3961_s	OFSDAD	FI20	FI2002R080C010	●	●
Quality Indicator for 112788 and Edit no. is v3136_m	OFSDAD	FI20	FI2004R190C022	●	●
Quality Indicator for 112788 and Edit no. is v4434_s	OFSDAD	FI20	FI2004R190C022	●	●
Quality Indicator for 11322 and Edit no. is v3961_s	OFSDAD	FI20	FI2002R060C010	●	●
Quality Indicator for 11325 and Edit no. is v3961_s	OFSDAD	FI20	FI2002R040C020	●	●

At the bottom of the table, there are links for 'Analyze', 'Edit', and 'Refresh'.

The following details appear in Issue Details - Value Based Indicators:

- Issue Name
- Key Indicator
- Cell Reference

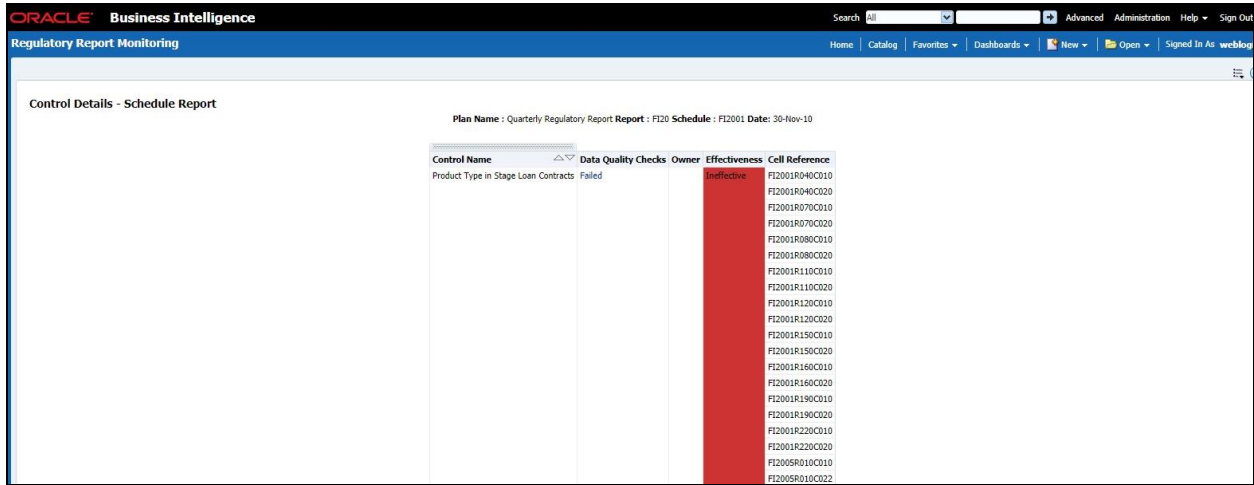
- Issue Owner
- Target Completion Date
- Issue Status
- Action Name
- Action Status
- Action Owner
- Create Action

Issue Name	Key Indicator	Cell Reference	Issue Owner	Target Completion Date	Issue Status	Action Name	Action Status	Action Owner	Create Action
Threshold value breached for Quality Indicator for 11226 and Edit no. is v3961_s	Quality Indicator for 11226 and Edit no. is v3961_s	F12002R080C010	OF5AD	31-Jul-2017	Open				Create Action
Threshold value breached for Quality Indicator for 112788 and Edit no. is v3136_m	Quality Indicator for 112788 and Edit no. is v3136_m	F12004R190C022	OF5AD	31-Jul-2017	Open				Create Action
Threshold value breached for Quality Indicator for 112788 and Edit no. is v4434_s	Quality Indicator for 112788 and Edit no. is v4434_s	F12004R190C022	OF5AD	31-Jul-2017	Open				Create Action
Threshold value breached for Quality Indicator for 11322 and Edit no. is v3961_s	Quality Indicator for 11322 and Edit no. is v3961_s	F12002R060C010	OF5AD	31-Jul-2017	Open				Create Action
Threshold value breached for Quality Indicator for 11325 and Edit no. is v3961_s	Quality Indicator for 11325 and Edit no. is v3961_s	F12002R040C020	OF5AD	31-Jul-2017	Open				Create Action
issue100	Quality Indicator for 11226 and Edit no. is v3961_s	F12002R080C010	OF5AD	31-Jul-2017	Open				Create Action

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

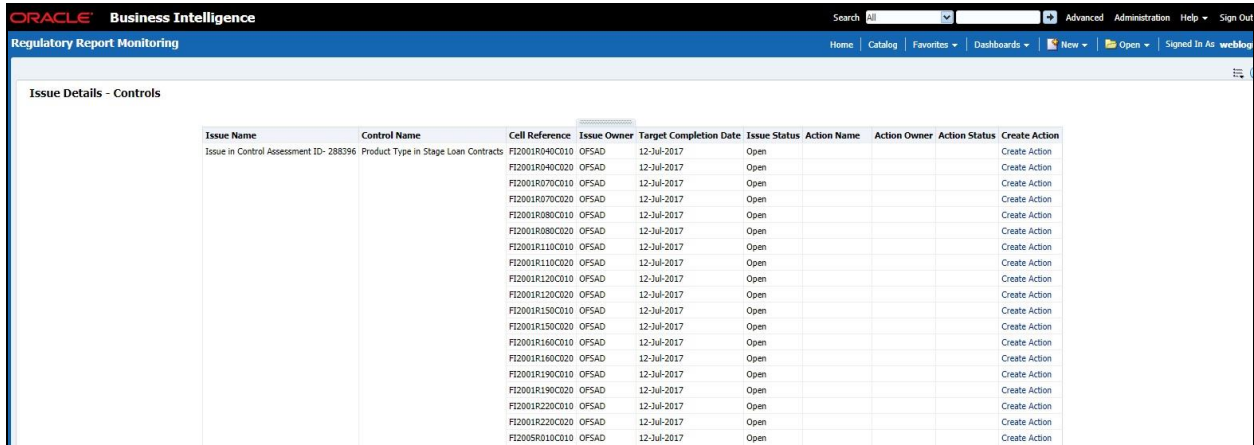
6. Click **Control Failure** associated with each schedule to display Control details and Issue Details – Value Based Indicators drill-down Report. The following details appear in Control Details:

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



The following details appear in Issue Details - Controls:

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



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

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

Oracle Business Intelligence Regulatory Report Monitoring

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Data Quality Details

ID	DQ Check	Type	Result	Entity	Attribute
DQUSTACCT	Product type Reference associated with loans should be present in product type Structure Dimension. Referential Integrity Check	Failed	Stage Loan Contracts	Product Type	

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

12.5.2 Create a New Issue

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

Issue and Action Tracking

Issue ID	Issue Name	Issue Owner	Target Completion Date	Issue Status	Action Name	Action Owner	Action Status
298347	Threshold value breached for Variance of deposits-domestic activities	OFSAD	31-Jul-2017	Open			
298390	Threshold value breached for Variance of derivatives-domestic activities-11320	OFSAD	31-Jul-2017	Open			
298433	Threshold value breached for Variance of derivatives-non-domestic activities-11326-	OFSAD	31-Jul-2017	Open			
298466	Threshold value breached for Variance of non-current assets and disposal groups classified as held for sale-domestic activities-10901	OFSAD	31-Jul-2017	Open			
298509	Threshold value breached for Variance of non-current assets and disposal groups classified as held for sale-non-domestic activities-10902	OFSAD	31-Jul-2017	Open			
298588	Threshold value breached for Variance of other assets-non-domestic activities-113138	OFSAD	31-Jul-2017	Open			
298645	Threshold value breached for Quality Indicator for 112788 and Edit no. is v3961_s	OFSAD	31-Jul-2017	Open			
298707	Threshold value breached for Quality Indicator for 112788 and Edit no. is v3136_m	OFSAD	31-Jul-2017	Open			
298743	Threshold value breached for Quality Indicator for 112788 and Edit no. is v4434_s	OFSAD	31-Jul-2017	Open			
298810	Threshold value breached for Quality Indicator for 11322 and Edit no. is v3961_s	OFSAD	31-Jul-2017	Open			
298840	Threshold value breached for Quality Indicator for 11325 and Edit no. is v3961_s	OFSAD	31-Jul-2017	Open			

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

[Create a new issue](#)

12.5.3 Create Action

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

The screenshot shows a web form with the following fields and controls:

- Action Name***: Text input field.
- ID**: 301066 (displayed text).
- Description**: Large text area.
- Criticality***: Dropdown menu.
- Start Date***: Date picker.
- Reminder(days)***: Text input field.
- Component***: Dropdown menu with "Control" selected.
- Owner***: Text input field with a search icon.
- Target Date***: Date picker.
- Primary Source**: Instrument Code in Stage Investments (displayed text).
- Comments**: Large text area.
- Buttons**: Save Draft (with a document icon) and Cancel (with a close icon).

12.6 Scenario Analysis Dashboard

This section contains two dashboard pages:

- Scenario Analysis Dashboard
- Details

12.6.1 Scenario Analysis Dashboard

The Scenario Analysis Dashboard provides data based on the following list of drop-downs:

- Legal Entity
- Date

Click **Apply** to generate the reports.

Click **Reset** to reset the values.

12.6.1.1 Scenario Analysis

In the **Choose a Line Item** drop-down box, select a line item, and then click **Apply** to generate the report.

Click **Reset** to reset the values.

This grid displays the following data:

- **Scenario**
- **Actual**

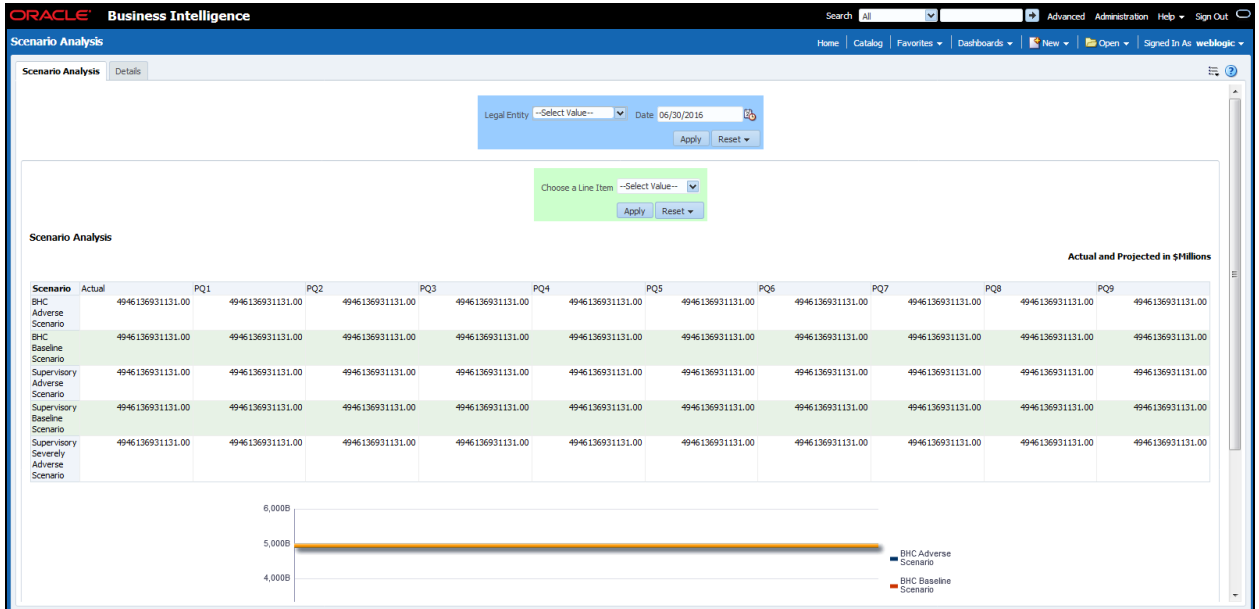
This report displays the actual and projected amount in millions (dollars) for each scenario in a tabular format for a selected line item.

The second grid displays the following data:

- **BHC Adverse Scenario**

- **BHC Baseline Scenario**

This report displays the same data in a line graph format.



12.6.2 Details Dashboard

In the **Choose a Line Item** drop-down box, select a line item, and then click **Apply** to generate the report.

Click **Reset** to reset the values.

This grid displays the following data:

- **Scenario**
- **Actual**

This report shows the actual and projected amount in millions (dollars) for a scenario in a tabular format for a selected line item.

The screenshot shows the Oracle Business Intelligence Scenario Analysis interface. At the top, there are navigation tabs for 'Scenario Analysis' and 'Details'. Below the tabs, there are two filter sections: one for 'Legal Entity' (set to '--Select Value--') and 'Date' (set to '06/30/2016'), and another for 'Choose a Scenario' (set to '--Select Value--'). Both filter sections have 'Apply' and 'Reset' buttons. The main area contains a table with the following structure:

Line Item	Actual	PQ1	PQ2	PQ3	PQ4	PQ5	PQ6	PQ7	PQ8	PQ9
(DEPRECIATION) -NON-DOMESTIC ACTIVITIES - 57013(P12003R170C020) SHOULD BE GREATER THAN OR EQUAL TO ZERO AND RULE ID IS V3962_S:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
EDIT NO. IS 510:: IF THE QUARTER MONTH IS JUNE, SEPTEMBER OR DECEMBER, THEN RIAD4251-Q2 GREATER THAN 0 THEN RIAD4251-Q1 GREATER THAN 0										
EDIT NO. IS 7126:: IF SUM OF RCONB804 AND RCONB805 GREATER THAN 0 THEN RIAD6492 GREATER THAN 0										
EDIT NO. IS 7126:: IF SUM OF RCONB804 THROUGH RCONA591 GREATER THAN \$10000K THEN RIAD6492 NOT EQUAL TO 0										
EDIT NO. IS 7583:: IN MARCH, IF RIAD6909 GREATER THAN 10 THEN RCONB898 GREATER THAN 0										
EDIT NO. IS 1025: PROVISION FOR LOAN AND LEASE LOSSES(RIAD4230) EQUAL TO PROVISION FOR LOAN AND LEASE LOSSES(RIAD4230):	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00
EDIT NO. IS 1025: RIAD4230 EQUAL TO RIAD4230:	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00
EDIT NO. IS 1250: BHCK4507 SHOULD BE LESS THAN OR EQUAL TO BHCK4060:	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00
EDIT NO. IS 1300: BHCKF228 SHOULD BE LESS THAN OR EQUAL TO BHCK4435:	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00
EDIT NO. IS 215: IF BHCKF552 NOT EQUAL 0 THEN BHCKF551 NOT EQUAL 0:	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00
EDIT NO. IS 216: IF BHCKF554 NOT EQUAL 0 THEN BHCKF553 NOT EQUAL 0:	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00	255.00
EDIT NO. IS 218: FOR JUNE, SEPTEMBER, AND DECEMBER, IF BHCKF551 (PREVIOUS) IS NOT EQUAL TO ZERO, THEN THE BHCKF551 (CURRENT) SHOULD NOT BE EQUAL TO ZERO:										
EDIT NO. IS 226: FOR JUNE , SEPTEMBER , AND DECEMBER , IF BHCKF553 (PREVIOUS) IS NOT EQUAL TO ZERO , THEN THE BHCKF553 (CURRENT) SHOULD NOT BE EQUAL TO ZERO:										
EDIT NO. IS 322: RIAD4135 GREATER THAN 0:	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00
EDIT NO. IS 322: SALARIES AND EMPLOYEE BENEFITS(RIAD4135) GREATER THAN 0:	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00
EDIT NO. IS 330: RIAD4313 LESS THAN OR EQUAL TO SUM OF RIAD6487 AND RIAD4065:	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00	510.00
EDIT NO. IS 350: RIAD4507 LESS THAN OR EQUAL TO RIAD4060:	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00	1020.00

12.7 Validation Checks Dashboard

This section contains two dashboard pages:

- Validation Checks Dashboard
- Cross Report Validation Dashboard

12.7.1 Validation Checks Dashboard

The Validation Checks Dashboard provides data based on selecting the values from the following list of drop-downs:



- Legal Entity
- Date
- Report
- Schedule

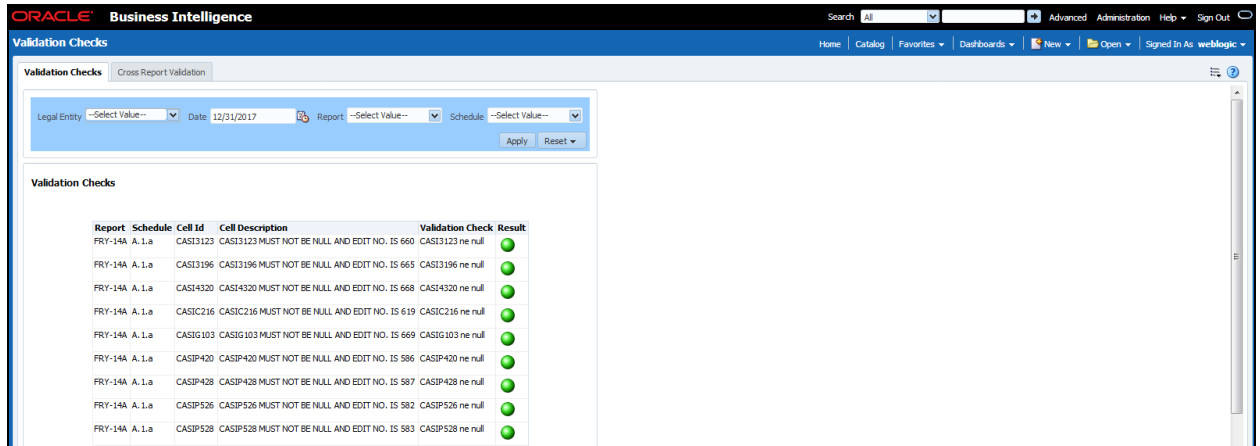
Click **Apply** to generate the reports.










Click **Reset** to reset the values.

The generated report contains the following details:

- **Report:** Provides the value that you selected in the **Report** drop-down box.
- **Schedule:** Provides the value that you selected in the **Schedule** drop-down box.
- **Cell Id:** Provides the ID of the cell.
- **Cell Description:** Provides a description of the cell.

- **Validation Check:** Provides a validation check on the cell.
- **Result:** Provides the result of the validation, which can be either  Pass or  Failed.



Report	Schedule	Cell Id	Cell Description	Validation Check	Result
FRY-14A	A. 1.a	CAS13123	CAS13123 MUST NOT BE NULL AND EDIT NO. IS 660	CAS13123 ne null	
FRY-14A	A. 1.a	CAS13196	CAS13196 MUST NOT BE NULL AND EDIT NO. IS 665	CAS13196 ne null	
FRY-14A	A. 1.a	CAS14320	CAS14320 MUST NOT BE NULL AND EDIT NO. IS 668	CAS14320 ne null	
FRY-14A	A. 1.a	CAS1C216	CAS1C216 MUST NOT BE NULL AND EDIT NO. IS 619	CAS1C216 ne null	
FRY-14A	A. 1.a	CAS1G103	CAS1G103 MUST NOT BE NULL AND EDIT NO. IS 669	CAS1G103 ne null	
FRY-14A	A. 1.a	CAS1P420	CAS1P420 MUST NOT BE NULL AND EDIT NO. IS 586	CAS1P420 ne null	
FRY-14A	A. 1.a	CAS1P428	CAS1P428 MUST NOT BE NULL AND EDIT NO. IS 587	CAS1P428 ne null	
FRY-14A	A. 1.a	CAS1P526	CAS1P526 MUST NOT BE NULL AND EDIT NO. IS 582	CAS1P526 ne null	
FRY-14A	A. 1.a	CAS1P528	CAS1P528 MUST NOT BE NULL AND EDIT NO. IS 583	CAS1P528 ne null	

12.7.2 Cross Report Validation Dashboard

The Validation Checks Dashboard provides data based on selecting the values from the following list of drop-downs:

- Legal Entity
- Date
- Report 1
- Report 2

Click **Apply** to generate the reports.

Click **Reset** to reset the values.

The generated report contains the following details:

- **Report 1:** Provides the value that you selected in the **Report 1** drop-down box.
- **Report 1 Cell Identifier:** Provides the ID of the Report 1 cell.
- **Report 2:** Provides the value that you selected in the **Report 2** drop-down box.
- **Report 2 Cell Identifier:** Provides the ID of the Report 1 cell.
- **Report 1 Cell Identifier Value:** Provides the identifier value of the Report 1 cell.
- **Report 2 Cell Identifier Value:** Provides the identifier value of the Report 2 cell.
- **Description:** Provides a description of the report
- **Variance:** Provides the value of the variance between the reports.

- **Variance %:** Provides the percentage value of the variance between the reports.

Report 1	Report 1 Cell Identifier	Report 2	Report 2 Cell Identifier	Report 1 Cell Identifier Value	Report 2 Cell Identifier Value	Description	Variance	Variance %
FRY-14A	CASD5310	FFIEC-041	RCOA5310	69,230.00	163,635,000.00	If provided, CASD5310 must equal RCOA5310 divided by 1000 within a tolerance and Edit no. is 1305	163,565,770.00	99.96
FRY-14A	CASD8530	FFIEC-041	RCOA8530	25,000.00	0.00	If provided, CASD8530 must equal RCOA8530 divided by 1000 within a tolerance and Edit no. is 1279	25,000.00	
FRY-14A	CASDP742	FFIEC-041	RCOAP742	102,554,696.35	40,806,705.00	If provided, CASDP742 must equal RCOAP742 divided by 1000 within a tolerance and Edit no. is 1277	61,747,991.35	151.32
FRY-14A	CASDP839	FFIEC-041	RCOAP839	25,000.00	0.00	If provided, CASDP839 must equal RCOAP839 divided by 1000 within a tolerance and Edit no. is 1280	25,000.00	
FRY-14A	CASDP841	FFIEC-041	RCOAP841	25,000.00	0.00	If provided, CASDP841 must equal RCOAP841 divided by 1000 within a tolerance and Edit no. is 1281	25,000.00	
FRY-14A	CASDP842	FFIEC-041	RCOAP842	25,000.00	0.00	If provided, CASDP842 must equal RCOAP842 divided by 1000 within a tolerance and Edit no. is 1282	25,000.00	
FRY-14A	CASDP843	FFIEC-041	RCOAP843	25,000.00	-77,182,275.00	If provided, CASDP843 must equal RCOAP843 divided by 1000 within a tolerance and Edit no. is 1283	77,207,275.00	-100.03
FRY-14A	CASDP844	FFIEC-041	RCOAP844	36,738,395.00	0.00	If provided, CASDP844 must equal RCOAP844 divided by 1000 within a tolerance and Edit no. is 1284	36,738,395.00	
FRY-14A	CASDP845	FFIEC-041	RCOAP845	59,923,380.00	0.00	If provided, CASDP845 must equal RCOAP845 divided by 1000 within a tolerance and Edit no. is 1285	59,923,380.00	
FRY-14A	CASDP846	FFIEC-041	RCOAP846	47,807,755.00	-77,182,275.00	If provided, CASDP846 must equal RCOAP846 divided by 1000 within a tolerance and Edit no. is 1286	124,990,030.00	-161.94
FRY-14A	CASDP847	FFIEC-041	RCOAP847	6,546,500.00	652,079,150.00	If provided, CASDP847 must equal RCOAP847 divided by 1000 within a tolerance and Edit no. is 1287	645,534,650.00	99.00
FRY-14A	CASDP848	FFIEC-041	RCOAP848	0.00	0.00	If provided, CASDP848 must equal RCOAP848 divided by 1000 within a tolerance and Edit no. is 1288	0.00	100.00
FRY-14A	CASDP849	FFIEC-041	RCOAP849	0.00	-77,182,275.00	If provided, CASDP849 must equal RCOAP849 divided by 1000 within a tolerance and Edit no. is 1289	77,182,275.00	0.00
FRY-14A	CASDP851	FFIEC-041	RCOAP851	64,483,858.75	0.00	If provided, CASDP851 must equal RCOAP851 divided by 1000 within a tolerance and Edit no. is 1291	64,483,858.75	
FRY-14A	CASDP857	FFIEC-041	RCOAP857	10,000.00	-1,334,193,295.00	If provided, CASDP857 must equal RCOAP857 divided by 1000 within a tolerance and Edit no. is 1296	1,334,203,295.00	-100.00

12.8 Variance Analysis Dashboard

The Variance Analysis Dashboard provides data based on selecting the values from the following list of drop-downs:

- Report
- Schedule
- Measure
- Entity Name
- Reporting Date

Click **Apply** to generate the reports.

Click **Reset** to reset the values.

The generated report contains the following details:

- **Cell Identifier:** Provides the MDRM code of the cell.
- **Cell Description:** Provides the description of the code.
- **Current Value:** Provides the current value of the report.
- **Previous Value:** Provides the previous value of the report
- **Variance:** Provides the value of the variance.
- **Variance %:** Provides the percentage value of the variance.

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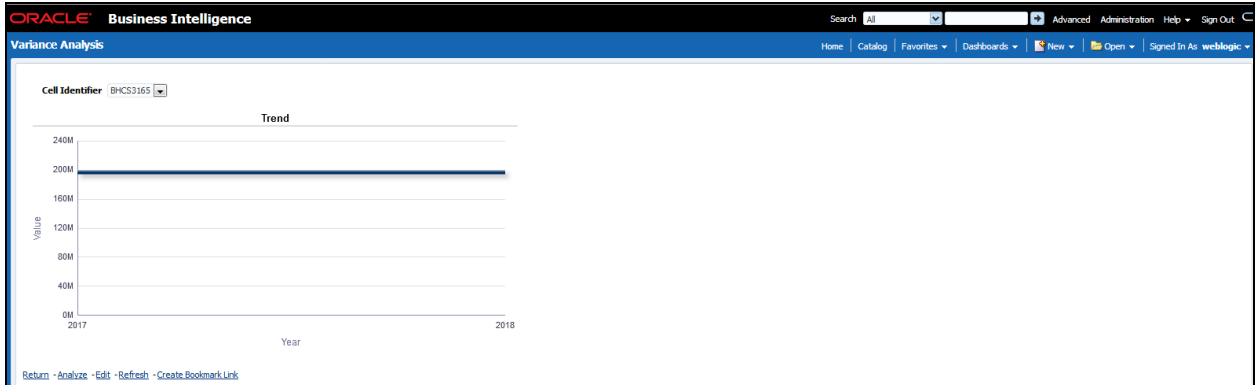
Variance Analysis

Report: FRY-11;FRY-15;FRY Schedule: --Select Value-- Measure: --Select Value-- Entity Name: --Select Value-- Reporting Date: 03/31/2018

Cell Identifier	Cell Description	Current Value	Previous Value	Variance	Variance %	Trend
BHOG18WORK	Fry 9c - hc1	1,262,520.00	1,047,060.00	215,460.00	17.07	View Trend
BHCS20010	Other interest income	21,928,440.00	16,313,080.00	5,615,360.00	25.61	View Trend
BHCS1406	Realized gains (losses) on available-for-sale securities	0.00	0.00	0.00	0.00	View Trend
BHCS1410	Other (includes revolving credit plans other than credit cards, automobile loans, and other consumer loans)	-780,002,841,960.00	-780,002,841,960.00	0.00	0.00	View Trend
BHCS1722	Interest on trading liabilities and other borrowed money	8,200.00	8,200.00	0.00	0.00	View Trend
BHCS1754	Interest income on federal funds sold and securities purchased under agreements to resell	0.00	0.00	0.00	0.00	View Trend
BHCS1773	Surplus (exclude all surplus related to preferred stock)	-777,079,630,520.00	-738,225,649,240.00	-38,853,981,280.00	-5.00	View Trend
BHCS2145	Expense of federal funds purchased and securities sold under agreements to repurchase	0.00	0.00	0.00	0.00	View Trend
BHCS3123	Other (than-temporary impairment losses on held-to-maturity and available-for-sale debt securities)	0.00	0.00	0.00	0.00	View Trend
BHCS3124	Income from other insurance activities	-870,749,800.00	-870,749,800.00	0.00	0.00	View Trend
BHCS3147	Net gains (losses) on sales of loans and leases	-19,789,373,568.00	-19,789,373,568.00	0.00	0.00	View Trend
BHCS3164	Net securitization income	0.00	0.00	0.00	0.00	View Trend
BHCS3165	Transaction accounts (interest-bearing demand deposits, now accounts, ats accounts, and telephone and preauthorized transfer accounts)	196,733,580.00	196,733,580.00	0.00	0.00	View Trend
BHCS3230	Noninterest-bearing balances and currency and coin	0.00	0.00	0.00	0.00	View Trend
BHCS3240	Savings deposits (includes mmdas)	5,671,451,280.00	5,671,451,280.00	0.00	0.00	View Trend
BHCS3247	Other noninterest income	-136,462,271,280.00	-136,462,271,280.00	0.00	0.00	View Trend
BHCS3283	Trading revenue	0.00	0.00	0.00	0.00	View Trend

Click the **View Trend** link. The **Variance Analysis** page appears.

This report shows the trend for each MDRM code for the available time duration (ex : 1 year) in a line graph format.



13 Metadata Browser

This section includes the following sections:

- [Exporting Metadata Browser Objects to XML](#)
- [Registering a Metadata Browser Object](#)
- [Publishing a Metadata Browser Business Term](#)

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 used directly 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 the request XMLs, with all the fields required to generate the desired output XML.

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

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

Use the following format of a request xml with the fields holding non-null values:

```
<Object>
<infodom>{infodom}</infodom>
<objectType>{Object_Type_Id}</objectType>
</Object>
```

Below is the format of the corresponding response XML:

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

```

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

```

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

Use the following format of a request xml with the fields holding non-null values:

```

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

```

Following is the format of the corresponding response XML:

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

```

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

```

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

The 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 the `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.

The following is the Input XML template:

```

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

```



```

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

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

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

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

```

```

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

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

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

```

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.

The 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; first the subject area should be executed, followed by the glossary.
- You should create a menu for the Business Term in MDB by using the `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

The Metadata Report Extract functionality helps the user to export OFSAA metadata into an Excel sheet and XMLs. This feature helps to get a view of the OFSAA metadata and its dependencies. It is a template based approach where the 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, the 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
2. **Data Elements Wrapper:** Execute the batch, **INFODOM_POP_DATA_ELEMENTS_USFED**
Logs: Data Elements logs are generated in atomic schema under
FSI_MESSAGE_LOGS table.

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

14.2 Creating and Exporting Metadata Report Templates

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

1. Navigate to **Object Administration** → **Utilities** → **Metadata Report**.
2. In the **Summary** screen, click the **Add** icon to create a new Metadata Report template.
3. In **Template Definition** page, provide the **Name** and **Description** for the new template.
4. Click **Save**, and then **Next**.
5. From the **Object Type** drop-down box, select the desired object to be exported.
6. Select **Export Options** type as **Individual/Relational**.

The **Individual** report generates only the basic properties of the object selected, that is, name and description. The **Relational** report generates the 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 the Dependencies.

Dependencies: Metadata object is dependent on several other metadata objects. The Metadata object is also used (that is, consumed) in several other metadata objects. The 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 the different layers of OFSAA: staging, processing, and reporting. Metadata Export Utility exports the lineage of each of the reporting area data element that is identified by dependencies.

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

The exported sample report for **Individual** is as follows:

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

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

The exported sample report for **Relational** is as follows:

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

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

Each path tells how the dependency/usage is derived from the dashboard to the 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 the MDB dependency tables as part of the OFSAA MDB object publish.

1. For every dependent object type displayed in each path sheet, the following columns appear:
 - 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. The Dashboard properties are 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	B	C	D	E	F	G	H	I	J	K
DASHBOARD_NAME	DASHBOARD_DESC	DASHBOARD_COUNTRY	DASHBOARD_REGULATOR	REPORT_NAME	REPORT_DESC	VIEWS_NAME	VIEWS_DESC	VIEW_DISPLAY_FORMAT	HIERARCHY_NAME	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	IFRS - Reported at fair Value Flag H	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Reg delinquency band Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Suite type code Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	IFRS - Fair Value RCT, Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	IS	Schedule IS/Income Stateme	FRY-11-IS	FRY-11-IS	Tabular	Consolidation Code	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	IS-B	Schedule IS-B/Changes in AI	FRY-11-IS-B	FRY-11-IS-B	Tabular	Reporting Line Code	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Bands hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Derivative Type Code Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Standard Party Type Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Balance Sheet Category Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Trading Account Book Type Code H	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	IS-A	Schedule IS-A/Changes in E	FRY-11-IS-A	FRY-11-IS-A	Tabular	Capital Instrument Transaction Type	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Non Interest bearing deposit Hierarc	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Accrual Status Code Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Reporting Line Code	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	IS-A	Schedule IS-A/Changes in E	FRY-11-IS-A	FRY-11-IS-A	Tabular	Instrument type Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Regulatory Product Classification H	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-A	Schedule BS-A/Loans and L	FRY-11-BS-A	FRY-11-BS-A	Tabular	Reg delinquency band Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Balance Sheet Category Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Consolidation Code	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Holding Type Code Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Bands hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Instrument type Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Day or Sell Indicator Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-A	Schedule BS-A/Loans and L	FRY-11-BS-A	FRY-11-BS-A	Tabular	Troubled Debt Restructure Flag Hier	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS	Schedule BS7Balance Sheet	FRY-11-BS	FRY-11-BS	Tabular	Other Real Estate Owned Flag Hier	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Consolidation Code	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Reg Instrument Classification Hiera	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Instrument type Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Risk Factor type code Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-A	Schedule IS-A/Changes in E	FRY-11-IS-A	FRY-11-IS-A	Tabular	Consolidation for Aggregation	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-A	Schedule BS-A/Loans and L	FRY-11-BS-A	FRY-11-BS-A	Tabular	Negative Amortization Flag Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Customer Country Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-A	Schedule BS-A/Loans and L	FRY-11-BS-A	FRY-11-BS-A	Tabular	Accrual Status Code Flag Hierarchy	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	IS	Schedule IS/Income Stateme	FRY-11-IS	FRY-11-IS	Tabular	Reporting Line Code	
FRY-11	Financial Statements of U.S. USA		Board of Governors of the Federal Reserve	BS-M	Schedule BS-M/Memoranda	FRY-11-BS-M	FRY-11-BS-M	Tabular	Reporting Line Code	

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

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

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

1	COLUMNS_A	COLUMNS_DESC	COLUMNS_PHYSICAL_COL_ID	HIERARCHY_NAME	HIERARCHY_DESC	HIER_TYPE	HIER_MULT	DIM_PROPERTY	HIER_TOTAL	REGD	VIEWS_NAME
2	Transaction Account Flag	Indicates if said account is consid	FCT_DEPOSITS_BORROWINGS F	Trans Account Flag Hierarchy	Hierarchy for Trans Account Flag	BI	REGULAR		Yes		FFEC-031-RC-E
3	Repurchased Or Indemfied Flag	Indicates if the said account is Rep	FCT_LOAN_ACCOUNT_SUMMARY	Repurchased or Indemfied Flag	Repurchased or Indemfied Flag	BI	REGULAR		Yes		FFEC-031-RC-C
4	Impairment Amount Under Asc	This column stores the impairment	FCT_LOAN_ACCOUNT_SUMMARY	Inpar asc31030 Amount Check	Inpar asc31030 Amount Check	BI	REGULAR		Yes		FRY-9C-H-C
5	Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag I	Troubled Debt Restructure Flag I	BI	REGULAR		Yes		FFEC-041-RC-O
6	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		FFEC-031-RC-C
7	Mortgage Broker Surrogate Key	This stores unique identifier for the	FCT_LOAN_ACCOUNT_SUMMARY	Broker Skety Hierarchy	Broker Skety Hierarchy	BI	REGULAR		Yes		FFEC-031-RC-P
8	Cleared Transaction Flag	This column stores if particular tra	FCT_REG_ACCOUNT_SUMMARY F	Cleared Transaction Flag Hiera	Cleared Transaction Flag Hiera	BI	REGULAR		Yes		FFEC-041-RC-RC-Part II
9	Cleared Transaction Flag	This column stores if particular tra	FCT_REG_ACCOUNT_SUMMARY F	Cleared Transaction Flag Hiera	Cleared Transaction Flag Hiera	BI	REGULAR		Yes		FRY-15-F
10	Mark To Market Value In Reporti	This stores the mark to market valu	FCT_REG_ACCOUNT_SUMMARY I	Mtm Value-FRAS Hierarchy	Hierarchy Mtm Value-FRAS	BI	REGULAR		Yes		FRY-B
11	Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borow	Broker Hierarchy Deposit Borow	BI	REGULAR		Yes		FFEC-031-RC-E
12	Callable Deposit Indicator	Indicates if said deposit can be call	FCT_DEPOSITS_BORROWINGS F	Deposit Option Indicator Hiera	Deposit Option Indicator Hiera	BI	REGULAR		Yes		FFEC-031-RC-E
13	Impairment Amount Under Asc	This column stores the impairment	FCT_LOAN_ACCOUNT_SUMMARY	Inpar asc31030 Amount Check	Inpar asc31030 Amount Check	BI	REGULAR		Yes		FRY-9C-H-C
14	Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag I	Troubled Debt Restructure Flag I	BI	REGULAR		Yes		FRY-9C-H-C
15	Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag I	Troubled Debt Restructure Flag I	BI	REGULAR		Yes		FFEC-041-RC-C
16	Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag I	Troubled Debt Restructure Flag I	BI	REGULAR		Yes		FFEC-031-RC-C
17	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		FFEC-041-RC-C
18	Cleared Transaction Flag	This column stores if particular tra	FCT_REG_ACCOUNT_SUMMARY F	Cleared Transaction Flag Hiera	Cleared Transaction Flag Hiera	BI	REGULAR		Yes		FFEC-041-RC-RC-Part II
19	Mark To Market Value In Reporti	This stores the mark to market valu	FCT_REG_ACCOUNT_SUMMARY I	Mtm Value-FRAS Hierarchy	Hierarchy Mtm Value-FRAS	BI	REGULAR		Yes		FRY-15-F
20	Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borow	Broker Hierarchy Deposit Borow	BI	REGULAR		Yes		FFEC-041-RC-E
21	Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag I	Troubled Debt Restructure Flag I	BI	REGULAR		Yes		FRY-9C-H-C
22	Mortgage Broker Surrogate Key	This stores unique identifier for the	FCT_LOAN_ACCOUNT_SUMMARY	Broker Skety Hierarchy	Broker Skety Hierarchy	BI	REGULAR		Yes		FFEC-041-RC-P
23	Mortgage Broker Surrogate Key	This stores unique identifier for the	FCT_LOAN_ACCOUNT_SUMMARY	Broker Skety Hierarchy	Broker Skety Hierarchy	BI	REGULAR		Yes		FRY-9C-H-C
24	Claim Local Currency Code	Refers to the Local currency code F	FCT_REG_ACCOUNT_SUMMARY V	Currency Code Comparison Hiera	Currency Code Comparison Hiera	BI	REGULAR		Yes		FFEC-039-C-Part II
25	Cross Border Claim Indicator	Indicates if said claim is cross bro	FCT_REG_ACCOUNT_SUMMARY F	Cross Border Claim Hierarchy	Cross Border Claim Hierarchy	BI	REGULAR		Yes		FFEC-039-C-Part II
26	Transaction Account Flag	Indicates if said account is consid	FCT_DEPOSITS_BORROWINGS F	Trans Account Flag Hierarchy	Hierarchy for Trans Account Flag	BI	REGULAR		Yes		FRY-9C-H-C
27	Deposit Call Exercised Indicator	This Column Stores the Deposit Ca	FCT_DEPOSITS_BORROWINGS F	Next Option Flag Deposit Borow	Next Option Flag Deposit Borow	BI	REGULAR		Yes		FFEC-031-RC-E
28	Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag I	Troubled Debt Restructure Flag I	BI	REGULAR		Yes		FRY7N-BS-A
29	Troubled Debt Restructure Flag	This column indicates if said loan i	FCT_LOAN_ACCOUNT_SUMMARY	Troubled Debt Restructure Flag I	Troubled Debt Restructure Flag I	BI	REGULAR		Yes		FRY214-BS-A
30	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-9C-H-C
31	Recourse to General Credit	This stores the recourse to general	FCT_REG_ACCOUNT_SUMMARY F	Recourse to General Credit Ind	Recourse to General Credit Ind	BI	REGULAR		Yes		FFEC-041-RC-V
32	Contractual Maturity in Days	This column stores the original mat	FCT_REG_ACCOUNT_SUMMARY I	Contractual Maturity Term Hiera	Contractual Maturity Term Hiera	BI	REGULAR		Yes		FFEC-041-RC-RC-Part II
33	Nettable Pool Surrogate Key	This column stores the reference to	FCT_REG_ACCOUNT_SUMMARY N	Nettable Pool Surrogate Key Hie	Nettable Pool Surrogate Key Hie	BI	REGULAR		Yes		FRY-9C-H-C
34	Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borow	Broker Hierarchy Deposit Borow	BI	REGULAR		Yes		FRY-9C-H-C
35	Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borow	Broker Hierarchy Deposit Borow	BI	REGULAR		Yes		FFEC-031-RC-O
36	Deposit Call Exercised Indicator	This Column Stores the Deposit Ca	FCT_DEPOSITS_BORROWINGS F	Next Option Flag Deposit Borow	Next Option Flag Deposit Borow	BI	REGULAR		Yes		FFEC-041-RC-E
37	Deposit Lining Service Provider	This Column Stores the unique ide	FCT_DEPOSITS_BORROWINGS N	Deposit Lining Skety Hierarchy	Deposit Lining Skety Hierarchy	BI	REGULAR		Yes		FRY-9C-H-C
38	Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borow	Broker Hierarchy Deposit Borow	BI	REGULAR		Yes		FRY-9C-H-C
39	Deposit Call Exercised Indicator	This Column Stores the Deposit Ca	FCT_DEPOSITS_BORROWINGS F	Next Option Flag Deposit Borow	Next Option Flag Deposit Borow	BI	REGULAR		Yes		FFEC-041-RC-E
40	Deposit Lining Service Provider	This Column Stores the unique ide	FCT_DEPOSITS_BORROWINGS N	Deposit Lining Skety Hierarchy	Deposit Lining Skety Hierarchy	BI	REGULAR		Yes		FRY-9C-H-C
41	Broker Surrogate key	This stores unique identifier for the	FCT_DEPOSITS_BORROWINGS N	Broker Hierarchy Deposit Borow	Broker Hierarchy Deposit Borow	BI	REGULAR		Yes		FRY-9C-H-C



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

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

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

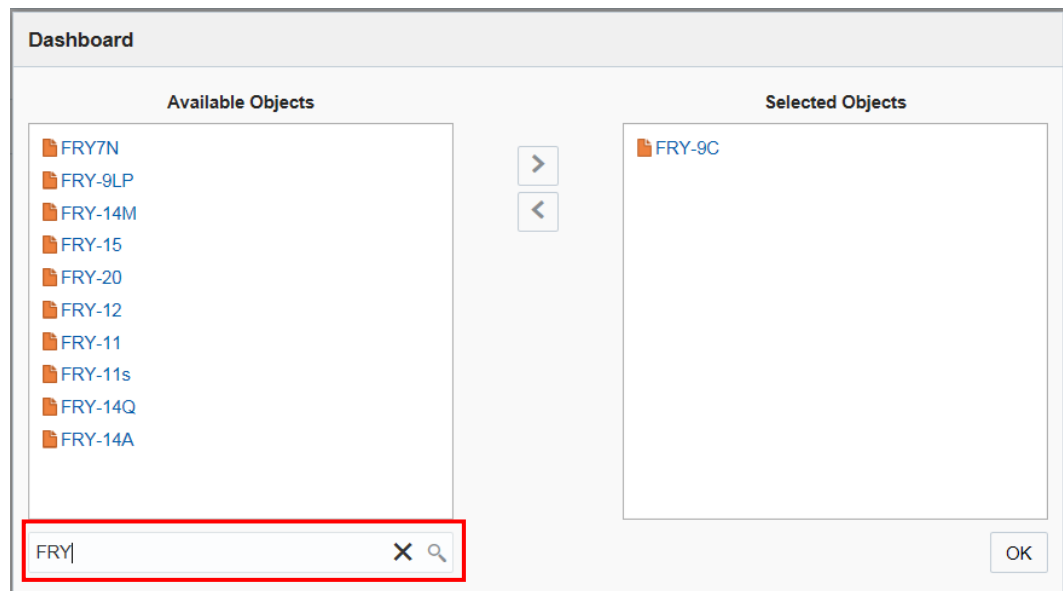
1	SCHEDULE	VIEW	CELL ID	DERIVED ENTITY CODE	METADATA CODE	RESULT AREA TABLE	RESULT AREA COLUMN
2	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
3	HC-E	FRY-9C-H-C-E	BHC6648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
4	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
5	HC-E	FRY-9C-H-C-E	BH002389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
6	HC-E	FRY-9C-H-C-E	BH002604	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
7	HC-E	FRY-9C-H-C-E	BH002389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
8	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
9	HC-E	FRY-9C-H-C-E	BHC2389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
10	HC-E	FRY-9C-H-C-E	BHC2210	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
11	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
12	HC-E	FRY-9C-H-C-E	BHC2389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
13	HC-E	FRY-9C-H-C-E	BH002389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
14	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
15	HC-E	FRY-9C-H-C-E	BHC6648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
16	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
17	HC-E	FRY-9C-H-C-E	BHFN245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
18	HC-E	FRY-9C-H-C-E	BH002604	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
19	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
20	HC-E	FRY-9C-H-C-E	BHFN245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
21	HC-E	FRY-9C-H-C-E	BHC6648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
22	HC-E	FRY-9C-H-C-E	BHFN245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
23	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
24	HC-E	FRY-9C-H-C-E	BHC2210	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
25	HC-E	FRY-9C-H-C-E	BHC6648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
26	HC-E	FRY-9C-H-C-E	BHFN245	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
27	HC-E	FRY-9C-H-C-E	BH002389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
28	HC-E	FRY-9C-H-C-E	BH002389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
29	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
30	HC-E	FRY-9C-H-C-E	BH002389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
31	HC-E	FRY-9C-H-C-E	BH002648	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK
32	HC-E	FRY-9C-H-C-E	BHC2389	DERHCE03	DSRHCE03	FCT_REG_ACCOUNT_SUMMAFN	REG_DEPOSIT_TYPE_SK

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

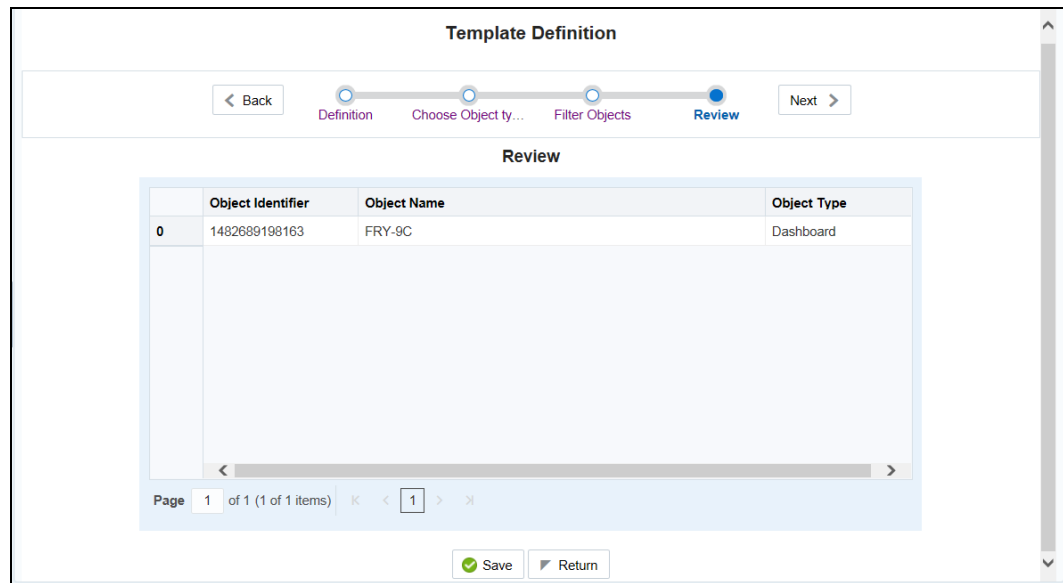
Select one **Filter Object** from the **Available Objects** and click  to add a **Selected Object**. Select one **Selected Object** from the **Available Objects** and click  to remove a **Filter Object**.

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

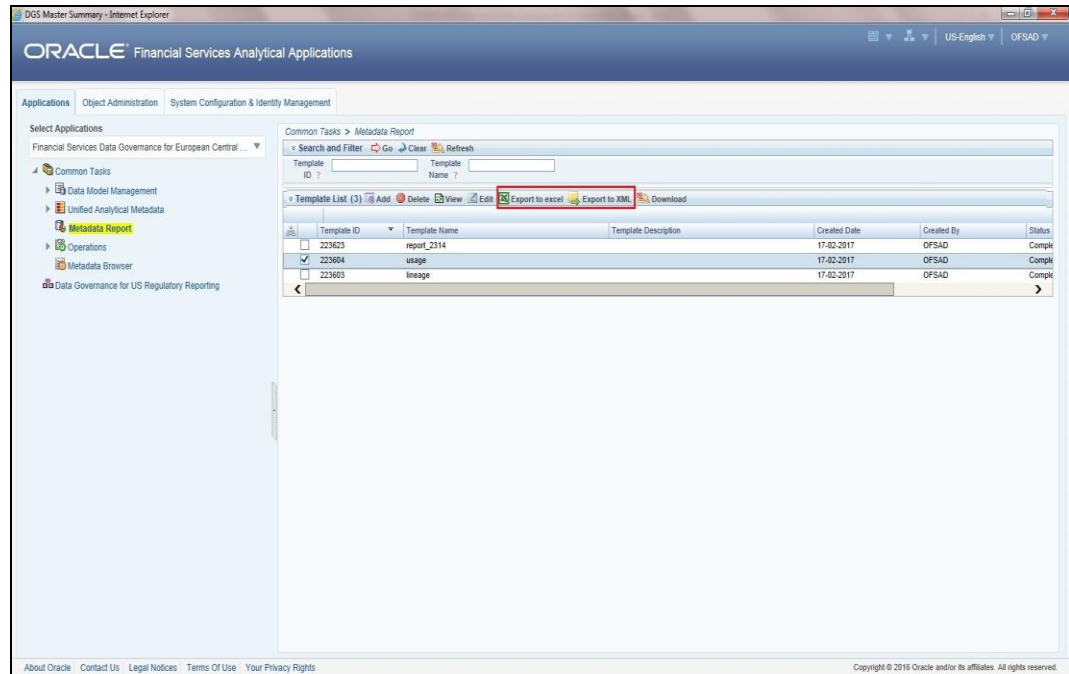
NOTE: You can type the complete Filter Object name to select and add to the Selected Objects.



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



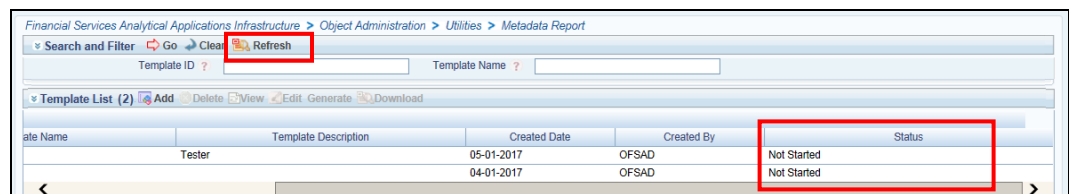
9. Click **Return** to go to the **Summary** page.
10. Select a **Template** in the **Template List** in **Summary** screen, and then click **Export to excel** or **Export to XML** to export the desired objects in an Excel and XML format.



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

NOTE: XMLs will be exported as individual type only

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



- **For Excel Export**, the following are the Status values:
 - **Not Started:** The Report Generation is yet to start, but the function has triggered the action in the background.
 - **Ongoing:** The Report Generation has begun and is in process.
 - **Completed:** The Report Generation is completed and ready to be viewed or downloaded.
 - **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 the Metadata Export folder in the server

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

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

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

User Access:

The following user groups are pre-seeded in the component that helps the 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 the **Summary** screen.
2. Click the **View** icon to view the generated Metadata Report Templates excel report (after the export status shows as completed).

The screenshot shows the Oracle Financial Services Analytical Applications interface. The breadcrumb path is 'Common Tasks > Metadata Report'. Below the breadcrumb, there is a search and filter section with 'Template ID ?' and 'Template Name ?' input fields. A toolbar contains icons for 'Add', 'Delete', 'View', 'Edit', 'Export to excel', 'Export to XML', and 'Download'. The 'View' icon is highlighted with a red box. Below the toolbar is a table with the following data:

Template ID	Template Name	Template Description	Created Date	Created By	Status
223623	report_2314		17-02-2017	OFSAD	Comple
223604	usage		17-02-2017	OFSAD	Comple

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

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

14.5 Deleting Metadata Report Templates

Perform the following steps to delete the Metadata Report Templates:

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



Pre-defined Seeded Metadata Report Templates cannot be deleted.

15 Appendix A: Setting up the Application and Workflow Function

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

This chapter lists the following steps:

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

Step 1: Application

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

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

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

Step 2: Workflow Function

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

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

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

TABLE NAME	SETUP_COMPONENTS_MLS			
SCHEMA NAME	Atomic			
DESCRIPTION	This table stores the locale specific entries for the workflow function(s) name.			
FIELD NAME	DESCRIPTION	DATA TYPE	SAMPLE VALUE	MANDATORY
N_ENTITY_KEY	A unique number to identify the Workflow Function. This key is as specified in the SETUP_COMPONENTS table.	NUMBER	200	Yes
V_ENTITY_NAME	The 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 the application and workflow function(s).			
FIELD NAME	DESCRIPTION	DATA TYPE	SAMPLE VALUE	MANDATORY
N_APP_COMP_KEY	A unique number to identify the mapping between Workflow Function and Application.	NUMBER	1000	Yes
N_APP_KEY	Unique key that identifies the Application. This key is as specified in the DIM_APP_INFO table.	NUMBER	5	Yes


N_ENTITY_KEY	Unique key that identifies the Workflow Function. This key is a specified in the SETUP_COMPONENTS table.	NUMBER	200	Yes
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Step 4: Workflow Function Status Mapping

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

TABLE NAME	SETUP_COMPONENT_STATUS_MAP			
SCHEMA NAME	Atomic			
DESCRIPTION	This table stores the mapping between workflow functions and their respective statuses.			
FIELD NAME	DESCRIPTION	DATA TYPE	SAMPLE VALUE	MANDATORY
N_OR_STATUS_CD	The status of the component. This key is as defined in the DIM_OR_STATUS table.	NUMBER	13	Yes
N_ENTITY_KEY	A unique key that identifies the Workflow Function. This key is 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 the creation of a workflow functionality ( **Create Workflow**) for the new Application and workflow function, the 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	The 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 that is a product of the Workflow Function Status and render mode.	NUMBER	Yes
CONTAINER	This flag identifies if the above mentioned CONTROL_ID, identifies a specific control or a specific container (0 – control, 1 – container)	NUMBER	Yes
CONTROL_STATUS	The visibility mode that needs to be applied to the control/container. (1 – Enabled, 2 – Disabled, 3 – Hidden).	NUMBER	Yes

The following values must be seeded mandatorily.

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

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

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

Step 6: Associate Workflows to Workflow Functions

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

TABLE NAME	WFM_LIST			
SCHEMA NAME	Atomic			
DESCRIPTION	This table associates the workflows created through workflow manager to its respective workflow function.			
FIELD NAME	DESCRIPTION	DATA TYPE	SAMPLE VALUE	MANDATORY
N_WFM_LIST_ID	Unique Identification number to identify the workflow function within the Workflow Manager.	NUMBER	2000	Yes
V_DSN_ID	The Information Domain name.	VARCHAR	OFSINFODOM	Yes
V_SEGMENT_ID	The segment in which the solution is installed.	VARCHAR	OFSSEGMENT	Yes
N_WFM_FN_ID	The Workflow Function ID as specified in the SETUP_COMPONENTS table.	NUMBER	200	Yes
V_WFM_FN_NAME	The 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 is required, then give the KBD label name. (Business Line, Location, others).	VARCHAR	Business Line	No
V_KBD_2_LABEL	If KBD 2 is required, then give the KBD label name. (Business Line, Location, others).	VARCHAR	Location	No
V_KBD_3_LABEL	If KBD 3 is required, then give the KBD label name. (Business Line, Location, others).	VARCHAR		No
V_KBD_4_LABEL	If KBD 4 is 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 by using the workflow manager.

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



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