

Oracle Financial Services Data Governance for US Regulatory Reporting

User Guide

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1 Introduction

1.1 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](#)

1.2 Scope of the Guide

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

1.3 Intended Audience

Welcome to release 8.0.7.0.0 of the Oracle Financial Services Data Governance for US Regulatory Reporting User Guide. This manual is intended for the following audience:

- Business Analysts and supervisors in financial institutions

1.4 Documentation Accessibility

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1.5 Access to Oracle Support

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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 8.0.7.0.0 ([OHC](#))
- Oracle Financial Services Analytical Applications Reconciliation Framework User Guide, Release 8.0.7.0.0 ([OHC](#))

- Oracle Financial Services Data Foundation Installation Guide 8.0.7.0.0 ([OHC](#))
- Oracle Financial Services Analytical Applications Infrastructure User Guide, Release 8.0.7.0.0 ([OHC](#))

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

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

This chapter includes the following topics:

[Basel Committee on Banking Supervision \(BCBS\) 239](#)

[Oracle Financial Services Analytical Applications Solution for BCBS 239 Regulations](#)

[Overview of Data Governance for US Regulatory Reporting](#)

[Important Features of Data Governance for US Regulatory Reporting](#)

2.1 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.

2.2 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

Following table describes the 14 principles of BCBS 239:

| BCBS 239 Principles Answered by Respective OFSAA Components | | |
|--|-------------|---|
| BCBS 239 Principle | Description | OFSAA Application Catering to the Principle |
| BCBS Principle Category: Overarching Governance and Infrastructure | | |

| | | |
|---|--|--|
| <p>Principle 1: Governance</p> | <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> | <p>This principle is addressed by Data Quality Framework and OFS Model Risk Management.</p> |
| <p>Principle 2: Data Architecture and IT Infrastructure</p> | <p>Integrated data taxonomies and architecture across the group.</p> <p>Establish roles and responsibilities to ensure adequate controls.</p> | <p>This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure and OFS Enterprise Modeling Framework.</p> |
| <p>BCBS Principle Category: Risk Data Aggregation Capabilities</p> | | |

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| <p>Principle 3: Accuracy and Integrity</p> | <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> | <p>This principle is addressed by OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, OFS Reconciliation Framework, OFS Data Foundation and OFS Operational Risk.</p> |
| <p>Principle 4: Completeness</p> | <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> | <p>This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, and all OFS Applications.</p> |
| <p>Principle 5: Timeliness</p> | <p>Generate aggregated data as per the desired frequency.</p> | <p>This principle is addressed by OFS Analytical Applications Infrastructure, OFS Applications and Exadata Benchmarks.</p> |
| <p>BCBS 239 Principle</p> | <p>Description</p> | <p>OFS Application Catering to the Principle</p> |

| | | |
|---|---|---|
| <p>Principle 6: Adaptability</p> | <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> |
| <p>BCBS Principle Category: Risk Reporting Practices</p> | | |
| <p>Principle 7: Accuracy</p> | <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> |
| <p>Principle 8: Comprehensiveness</p> | <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 | OFS Application Catering to the Principle |

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

2.3 Overview of Data Governance for US Regulatory Reporting

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

Additionally, DGUSRR you enables to:

- Identify all critical data elements.

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

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

2.4 Important Features of Data Governance for US Regulatory Reporting

The following are the key features of DGRR:

- 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.

3 Components of Data Governance for US Regulatory Reporting

The components of DGUSRR are listed as follows:

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

4 DGUSRR Application and Common Functionalities

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

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

This chapter has the following sections:

[Logging in to OFS DGUSRR Application](#)

[Common Functionalities](#)

[Data Governance for US Regulatory Reporting Common Screen Elements](#)

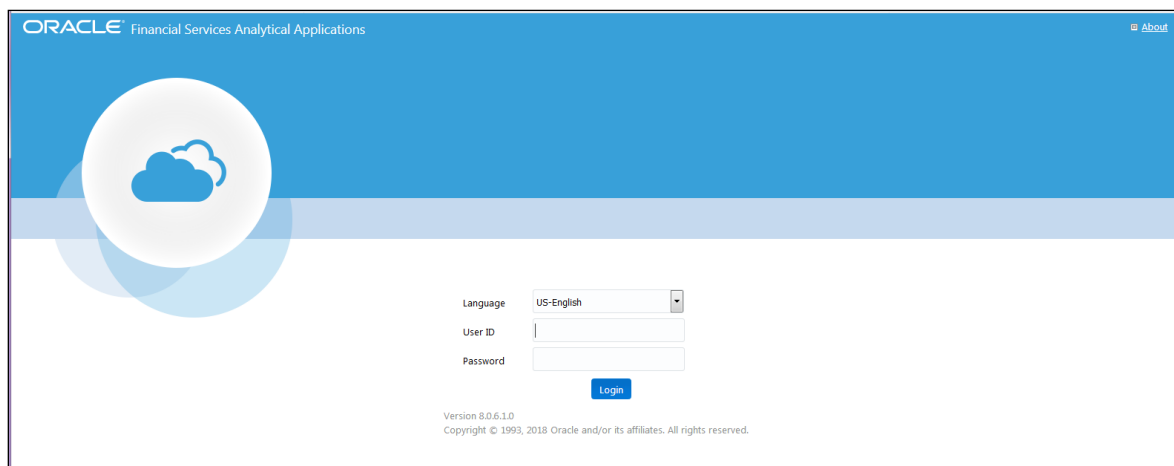
[Managing Data Governance for US Regulatory Reporting](#)

4.1 Logging in to the DGUSRR Application

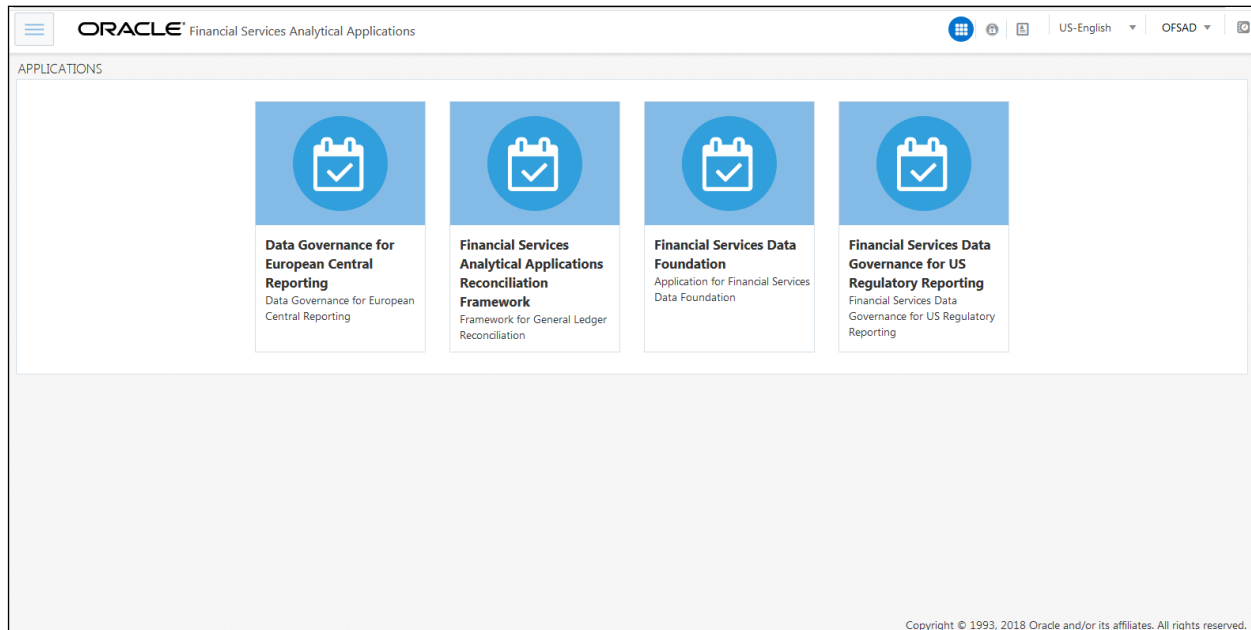
Once the application is installed and configured, you can access DGUSRR through the web browser.

1. Access the DGUSRR 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.

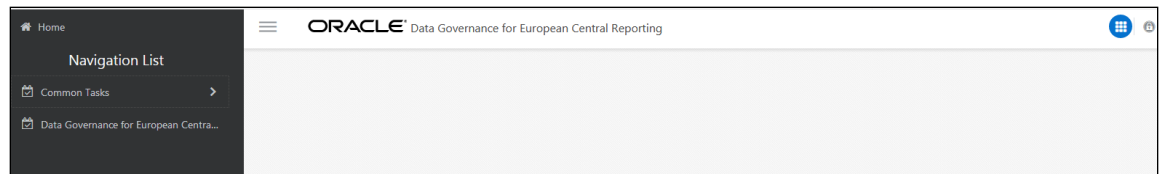


After logging into the application, the following window appears:



2. Click the Financial Services Data Governance for US Regulatory Reporting option.

The DGUSRR window appears.



4.2 Common Functionalities

It is possible to modify, view, delete, and find dependencies of a Glossary, Control, Key Indicator, Issue, and so on.

Note: The following sections explain how this is done by taking the example of a Glossary.

To access the Glossary:

1. On the DGRR window, select Data Governance for US Regulatory Reporting.

The Data Governance for US Regulatory Reporting page appears.

In the upper-left corner of the page, select **Standards & Policies**, and then select **Glossary**.

The **Glossary** workspace appears.

4.2.1 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.

4.2.2 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.

In the tool bar, click the  **Delete** icon.

2. A dialogue message appears, asking you to confirm deleting the record.
3. Click **OK**.
4. The Glossary record is deleted.

4.2.3 Exporting a Glossary

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



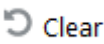
4.2.4 Searching and Filtering














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.









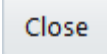
4.3 Data Governance for US Regulatory Reporting Common Screen Elements

This section describes the common screen elements of DGRR.

The following tables list the various icons and buttons in the DGRR 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. |

4.4 Managing OFSDGRR

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

This section discusses the following topics:

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

4.4.1 Managing Inbox

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

This section covers following topics:

- [Searching Inbox](#)
- [Reassigning Tasks](#)

The screenshot shows the Oracle Data Governance for US Regulatory Reporting interface. The top navigation bar includes 'ORACLE Data Governance for US Regulatory Reporting', 'OFSDAD | Thursday, August 30, 2018', and user options like 'Logout'. Below the navigation bar, there are tabs for 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Inbox' tab is active, showing a search bar with 'Clear search criteria' and 'Perform search' buttons. Below the search bar, there are filters for 'Task Name', 'From', 'Due Date', 'Entity Type', and 'Status'. The main content area displays a table of tasks with columns: Task ID, Task Name, Entity Name, Entity Type, Entity Status, Due Date, Overdue By, Status, Received On, Completed On, and Flag. The table contains 12 rows of tasks, all with a status of 'Open' and a due date of '2018-08-18'.

| Task ID | Task Name | Entity Name | Entity Type | Entity Status | Due Date | Overdue By | Status | Received On | Completed On | Flag |
|---------|----------------------|---|-------------|----------------|---------------------|------------|--------|-----------------------|--------------|------|
| 875 | 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 | | |
| 887 | 1025344-Task Created | Esc. Issue in Control Assessment ID-1025343 | Issue | Not Applicable | 2018-08-18 17:21:55 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 877 | 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 | | |
| 859 | 1025347-Task Created | Esc. Issue in Control Assessment ID-1025346 | Issue | Not Applicable | 2018-08-18 17:21:55 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 865 | 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 | | |
| 873 | 1025353-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 | | |
| 871 | 1025350-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 | | |
| 859 | 1025293-Task Created | Esc. Issue in Control Assessment ID-1025292 | Issue | Not Applicable | 2018-08-18 17:21:42 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 856 | 1025287-Task Created | Esc. Issue in Control Assessment ID-1025286 | Issue | Not Applicable | 2018-08-18 17:21:41 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 881 | 1025335-Task Created | Esc. Issue in Control Assessment ID-1025334 | Issue | Not Applicable | 2018-08-18 17:21:53 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 883 | 1025338-Task Created | Esc. Issue in Control Assessment ID-1025337 | Issue | Not Applicable | 2018-08-18 17:21:54 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 857 | 1025290-Task Created | Esc. Issue in Control Assessment ID-1024988 | Issue | Not Applicable | 2018-08-18 17:21:42 | 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.

4.4.1.1 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 OFSDGRR 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 | Select a condition from the drop-down list with the following options: < <= = > >= Select a date from the calendar. |
| Entity Type | Refers to a specific module in Data Governance |
| Status | Select a status from the drop-down list: Open Completed |

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

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

4.4.1.2 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:

1. Login to OFSDGRR.

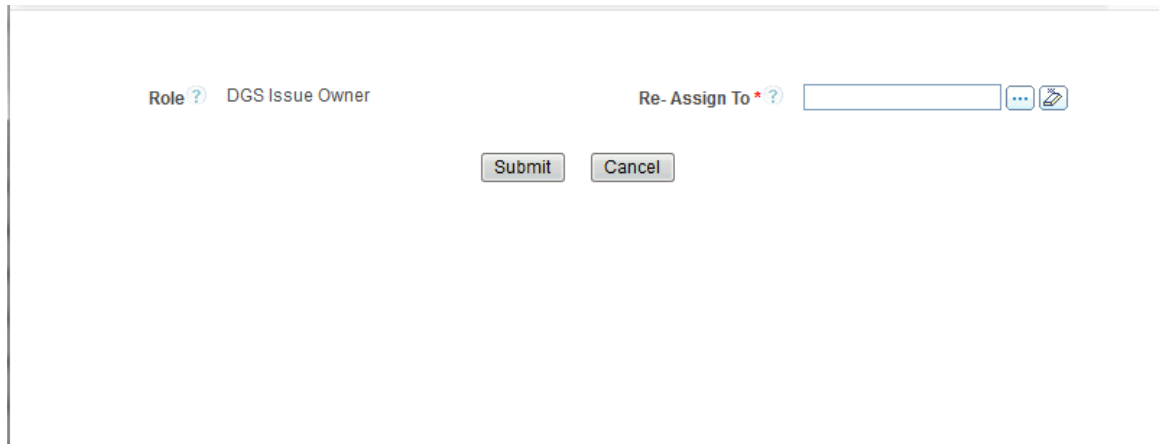
The OFSDGRR home page appears.


2. In the upper-left corner of the page, click **Inbox**.

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

3. 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.



4. 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.

4.4.2 Managing the Issues & Actions Page

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

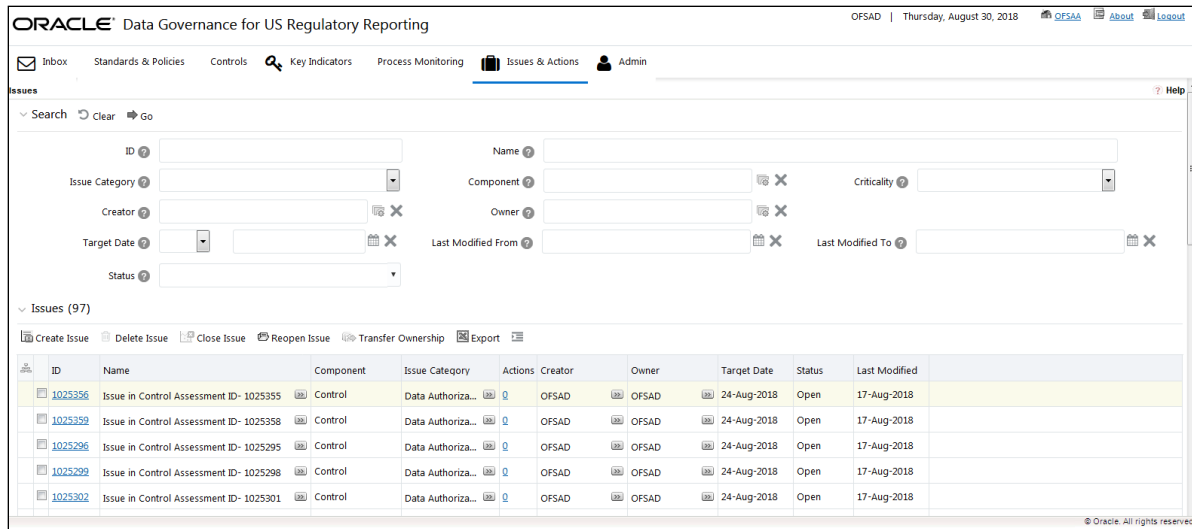
This section includes the following topics:

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

4.4.2.1 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:



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.

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.

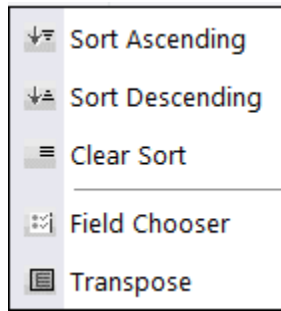
Column Headings

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.

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.

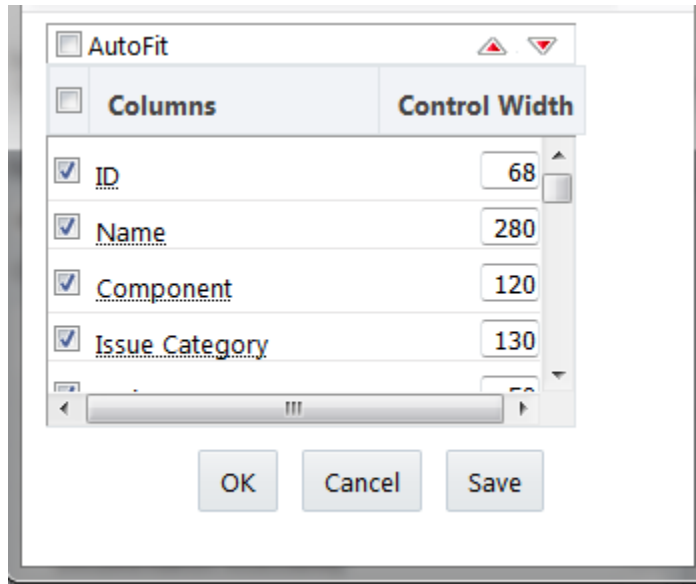
Field Chooser

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.

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 ▼ .

4. Click **OK**.

The **Field Chooser** window is closed and the selected columns are displayed.

Or

5. 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.

4.4.2.2 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 ⏪ ⏩ ⏴ ⏵

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.

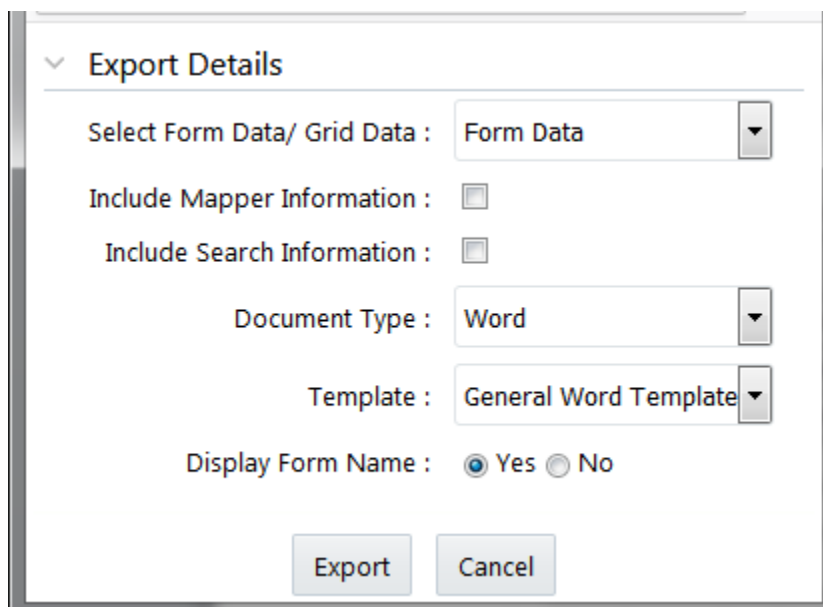
4.4.2.3 Exporting Records

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.



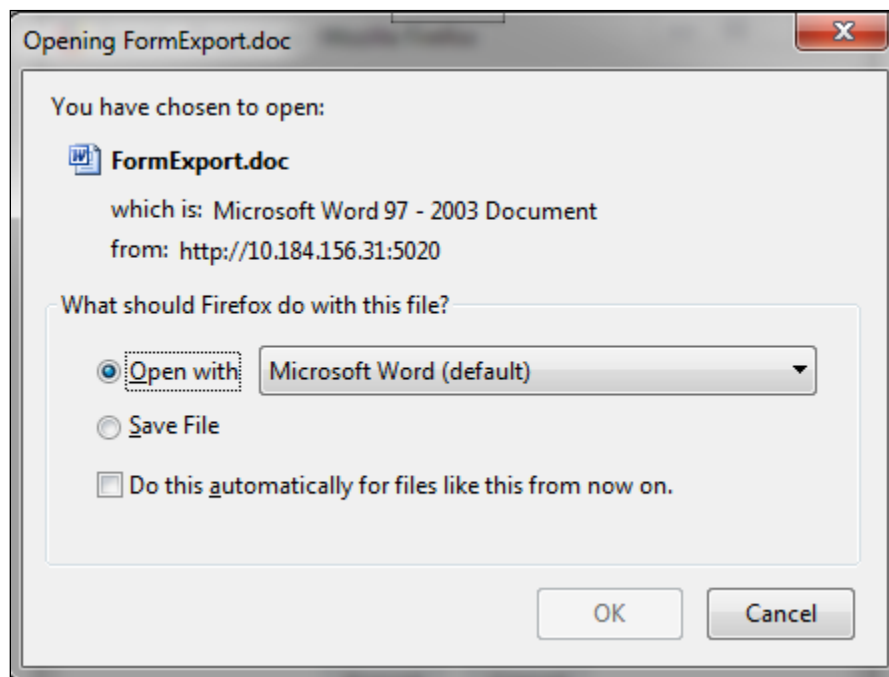
3. Select the required options from the **Export Details** section.

| 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.

4.4.3 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](#)

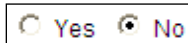
4.4.3.1 Components of Details Page

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

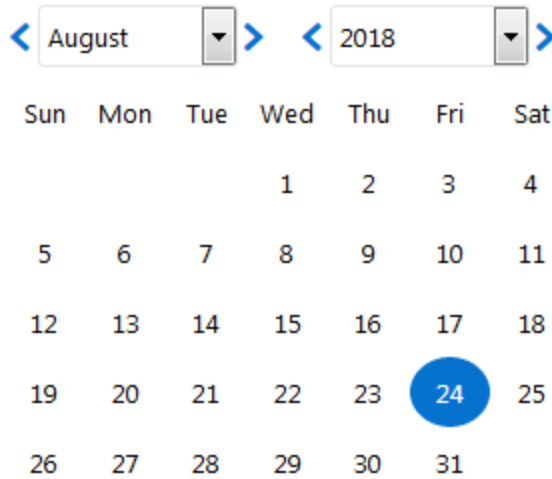
Field and Data Types

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

- **Text Box:** This is an alphanumeric free-text field with a restriction of 300 characters.
- **Text Area:** This is an alphanumeric free-text field with a restriction of 3000 characters. The number of characters allowed for these fields 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.

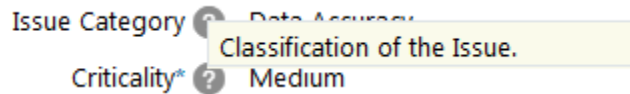


[Close](#)

- 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.

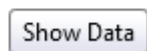
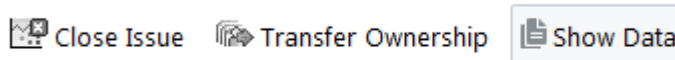
However, some fields are mandatory based on the data captured. If such fields are not captured, an alert message displays, asking to capture the relevant fields.

- 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.

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



4.4.3.2 Managing Linkages

OFSDGUSRR 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 OFSDGRR.

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 |
|---------|-------|-------|-------------|------------|-------|-------------|-------------|----------|--------|-------------|--------------------|
| 1334422 | TEST1 | Yes | Medium | 0 | OFSAD | 21-Aug-2018 | 30-Aug-2018 | | Open | | 21-Aug-2018 |

Select the check box next to the record that you want to link, and then select the  **Link** icon.

The **Search** page appears.

4. Select one or more records from the list. You can also search the records by entering search criteria in the search fields.
5. Click **Link**.

The message appears confirming that the records have been successfully linked.

6. Click **OK**.

The linked record is removed from the list.

7. 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 |

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.

4.4.3.3 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

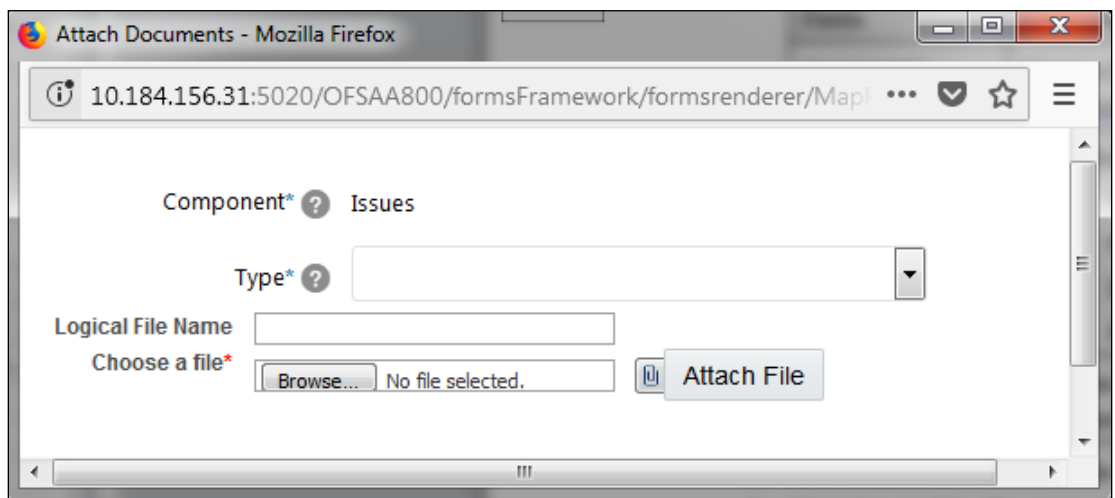
To attach a document, perform the following steps:

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: 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.

Click the  **Delete Document** icon.

A message appears, asking you to confirm that you want to delete the selected record.

4. Click **OK**.

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

5. Click **OK**.

The document is removed from the **Documents** section.

5 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](#)

5.1 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.

5.2 User Roles and Actions

All the users are required to be mapped to **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP**, 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. 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.

5.3 Business Glossary Workflow



5.4 Creating a Business Glossary

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

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

5.4.1 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. |

5.4.2 Procedure to Create a Glossary

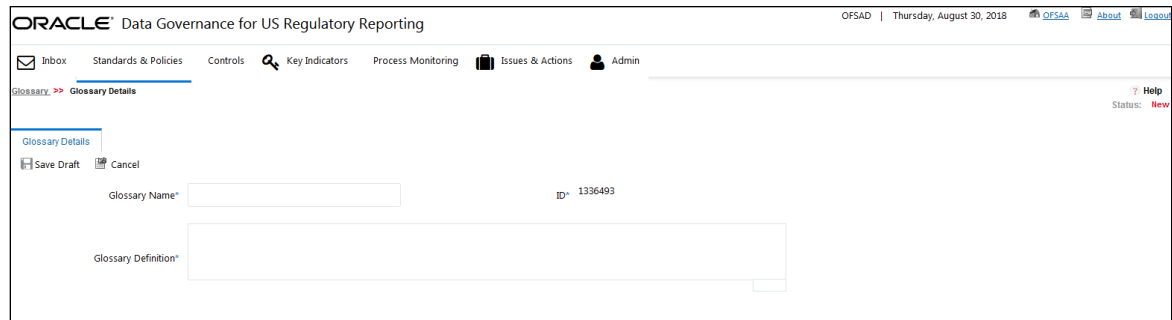
To create a glossary, perform the following steps:

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.



ORACLE Data Governance for US Regulatory Reporting

OFSD | Thursday, August 30, 2018

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

Glossary >> Glossary Details

Glossary Details

Save Draft Cancel

Glossary Name* ID: 1336493

Glossary Definition*

Help Status: New

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**.

5.5 Approving a Glossary

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

1. To approve a Glossary, perform the following steps:
2. Navigate to the **Glossary Details** section.

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**.

5.6 Rejecting a Glossary

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

1. To reject a Glossary, perform the following steps:
2. Navigate to the **Glossary Details** section.

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.

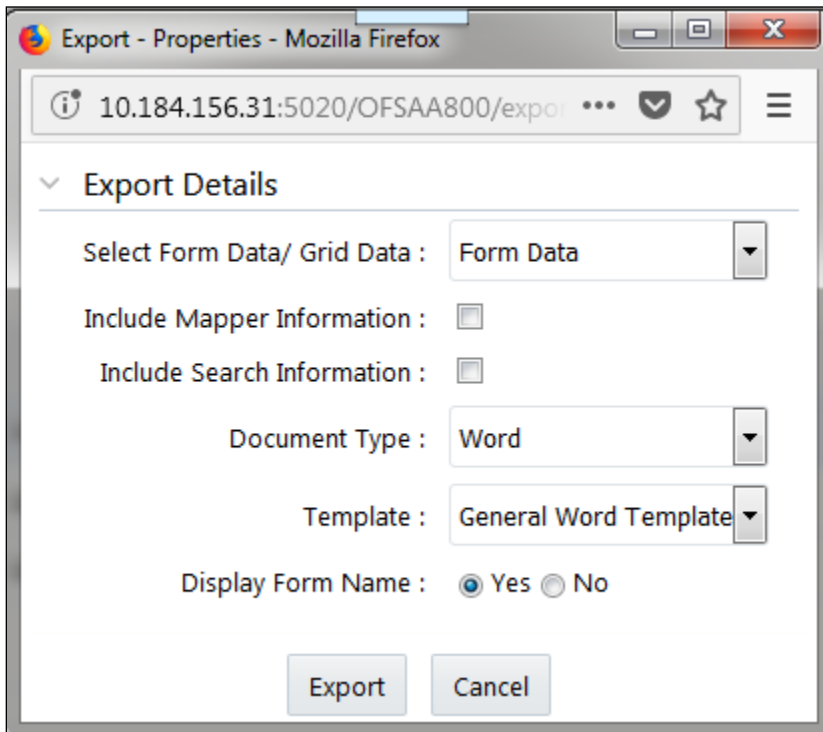
5. Click **OK**.

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

5.7 Exporting a Glossary

1. To export a Glossary, perform the following steps:
2. Navigate to the **Glossary** menu.
3. Select the check box next to the glossary that you want to export.
4. Click the  **Export** icon to export the glossary.

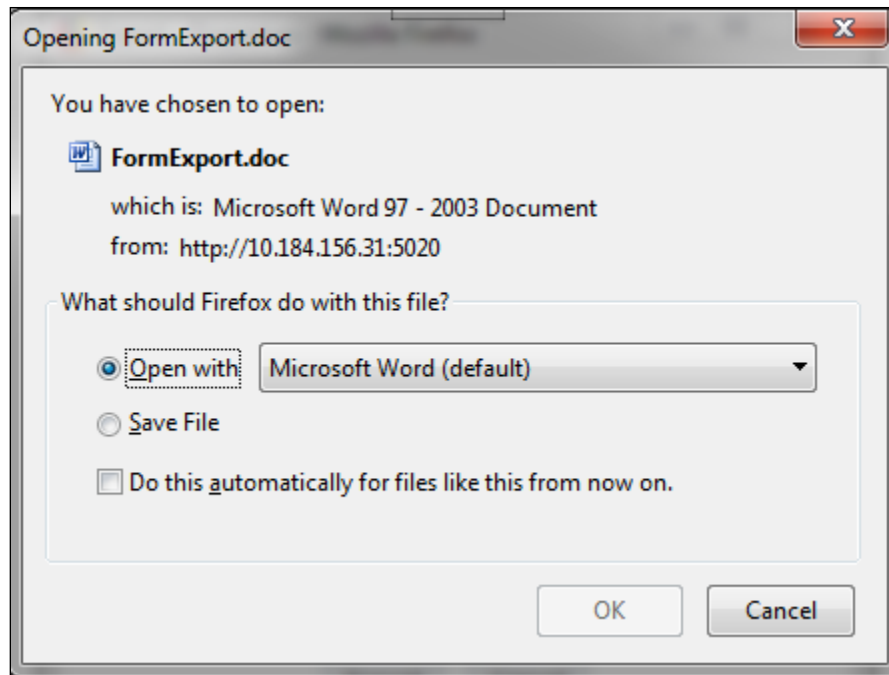
The **Export** window appears.



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

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

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



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

6 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](#)

6.1 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.

6.2 User Roles and Actions

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

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

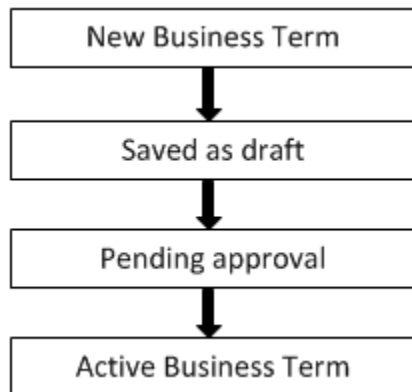
Business Term Viewer: Permits the user to view the Business Terms. The user needs to be mapped to the **GLTVIEWERGRP** group.

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.

6.3 Business Terms Workflow



6.4 Creating a Business Term

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

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

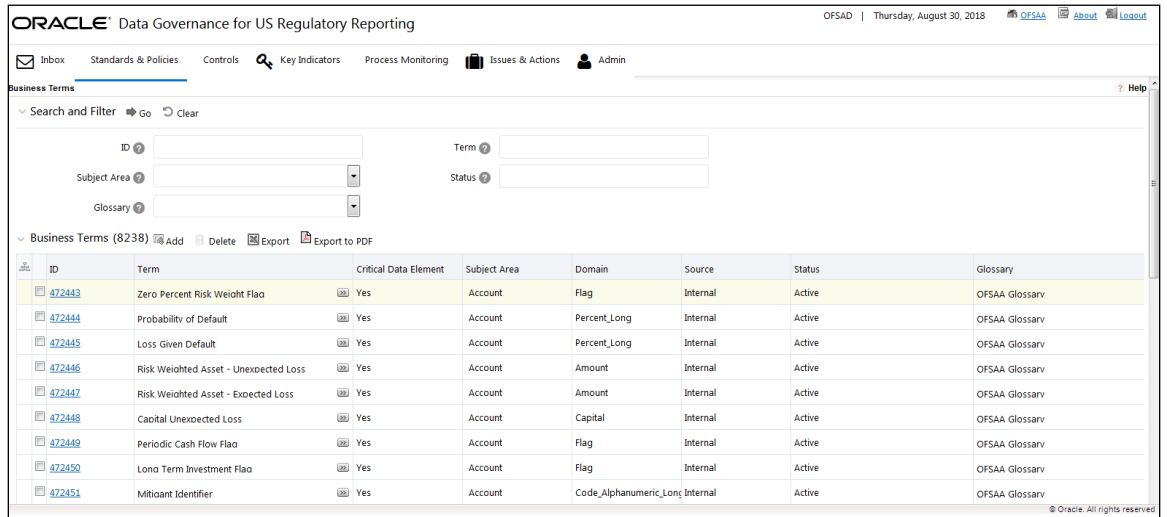
6.4.1 Fields and their descriptions

| 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. |

6.4.2 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.
2. Click **Add**. The Business Term page is displayed. The status of the Business Term is New.

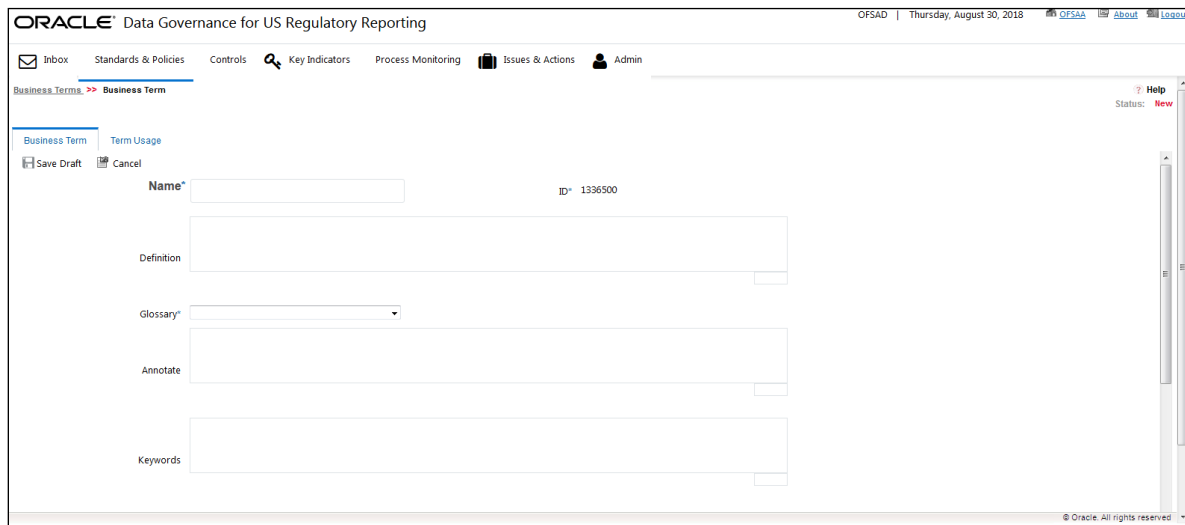


The screenshot shows the Oracle Data Governance for US Regulatory Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Standards & Policies' tab is active. Below the navigation bar, there is a search and filter section with fields for ID, Subject Area, Glossary, Term, and Status. The main content area displays a table of Business Terms with 8238 items. The table columns are: ID, Term, Critical Data Element, Subject Area, Domain, Source, Status, and Glossary. The first few rows of the table are:

| 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 |
| 472447 | Risk Weighted Asset - Expected Loss | Yes | Account | Amount | Internal | Active | OFSAA Glossary |
| 472448 | Capital Unexpected Loss | Yes | Account | Capital | Internal | Active | OFSAA Glossary |
| 472449 | Periodic Cash Flow Flag | Yes | Account | Flag | Internal | Active | OFSAA Glossary |
| 472450 | Long Term Investment Flag | Yes | Account | Flag | Internal | Active | OFSAA Glossary |
| 472451 | Mitigant Identifier | Yes | Account | Code_Alphanumeric_Long | Internal | Active | OFSAA Glossary |

3. Click the  **Add** icon.

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



The screenshot shows the Oracle Data Governance for US Regulatory Reporting interface with the 'Business Term' tab open. The form contains the following fields:

- Name***: A text input field.
- ID***: 1336500
- Definition**: A large text area.
- Glossary***: A dropdown menu.
- Annotate**: A text area.
- Keywords**: A text area.


Buttons for 'Save Draft' and 'Cancel' are visible at the top left of the form.

4. Enter the required information in the [fields](#).
5. Click **Save Draft**.

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

6. Click **OK**.

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

- In the **Related Business Items** sub-section, you can view the related Business Terms, and link or delink the terms.
- In the **List of Values** sub-section, you can select the list of values, and add or delete the values.
- Additionally, in the upper-left corner in the **Business Term** tab, click the  **Edit** icon to review and update the fields.

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

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

12. Click **OK**.

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

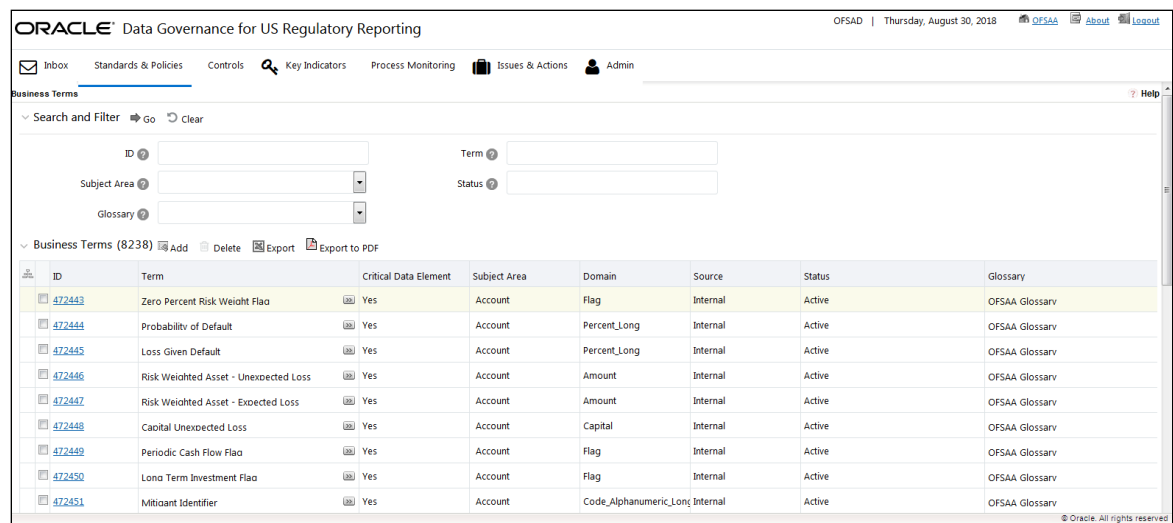
6.5 Approving or Rejecting a Business Term

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

To approve a Business term, perform the following steps:

- Click the Standards and Policies menu and then click Business Terms.

The **Business Terms** workspace appears.



| ID | Term | Critical Data Element | Subject Area | Domain | Source | Status | Glossary |
|------------------------|---------------------------------------|-----------------------|--------------|------------------------|----------|--------|----------------|
| 472443 | Zero Percent Risk Weight Flag | Yes | Account | Flag | Internal | Active | OFSAA Glossarv |
| 472444 | Probability of Default | Yes | Account | Percent_Long | Internal | Active | OFSAA Glossarv |
| 472445 | Loss Given Default | Yes | Account | Percent_Long | Internal | Active | OFSAA Glossarv |
| 472446 | Risk Weighted Asset - Unexpected Loss | Yes | Account | Amount | Internal | Active | OFSAA Glossarv |
| 472447 | Risk Weighted Asset - Expected Loss | Yes | Account | Amount | Internal | Active | OFSAA Glossarv |
| 472448 | Capital Unexpected Loss | Yes | Account | Capital | Internal | Active | OFSAA Glossarv |
| 472449 | Periodic Cash Flow Flag | Yes | Account | Flag | Internal | Active | OFSAA Glossarv |
| 472450 | Long Term Investment Flag | Yes | Account | Flag | Internal | Active | OFSAA Glossarv |
| 472451 | Mitigant Identifier | Yes | Account | Code_Alphanumeric_Long | Internal | Active | OFSAA Glossarv |

- In the **Search and Filter** sub-section, search the required business term.
- 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.

- In the **Reason for Approval/Rejection** field, provide a reason.
- 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**.

6.6 Exporting a Business Term

To export a Business Term, perform the following steps:

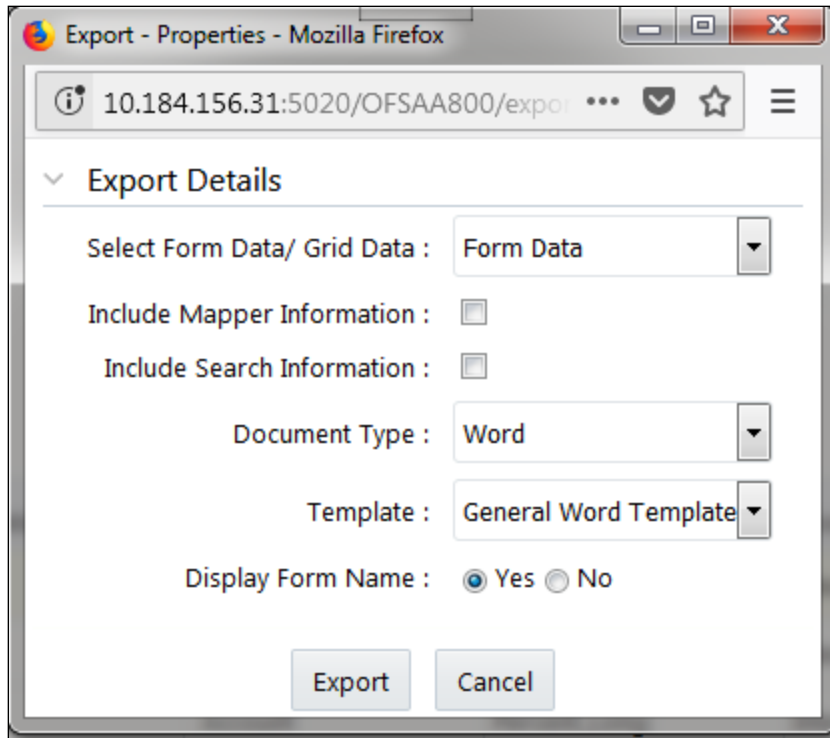
1. Click the Standards and Policies menu and then click Business Terms.

The **Business Terms** workspace appears.

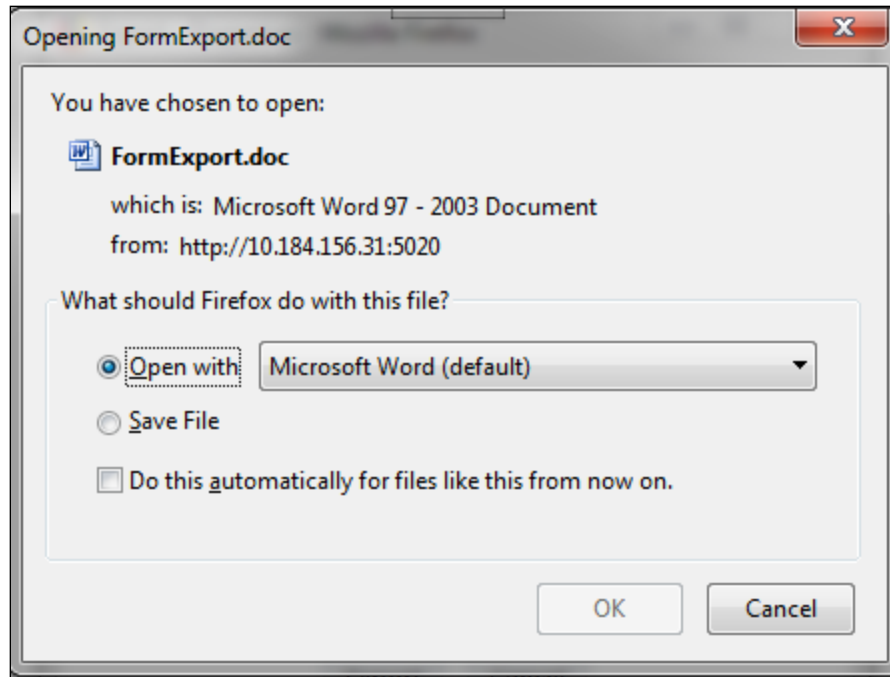
| ID | Term | Critical Data Element | Subject Area | Domain | Source | Status | Glossary |
|--------|---------------------------------------|-----------------------|--------------|------------------------|----------|--------|----------------|
| 472443 | Zero Percent Risk Weight Flao | Yes | Account | Flag | Internal | Active | OFSAA Glossarv |
| 472444 | Probability of Default | Yes | Account | Percent_Long | Internal | Active | OFSAA Glossarv |
| 472445 | Loss Given Default | Yes | Account | Percent_Long | Internal | Active | OFSAA Glossarv |
| 472446 | Risk Weighted Asset - Unexpected Loss | Yes | Account | Amount | Internal | Active | OFSAA Glossarv |
| 472447 | Risk Weighted Asset - Exoected Loss | Yes | Account | Amount | Internal | Active | OFSAA Glossarv |
| 472448 | Capital Unexpected Loss | Yes | Account | Capital | Internal | Active | OFSAA Glossarv |
| 472449 | Periodic Cash Flow Flao | Yes | Account | Flag | Internal | Active | OFSAA Glossarv |
| 472450 | Lona Term Investment Flao | Yes | Account | Flag | Internal | Active | OFSAA Glossarv |
| 472451 | Mitioant Identifier | Yes | Account | Code_Alphanumeric_Long | Internal | Active | OFSAA Glossarv |

2. Click the  **Export** icon.

The **Export** window appears.



3. In the Select Form Data/Grid Data drop-down list, select either Grid Data or Form Data.
 4. Select the **Include Mapper Information** check box if you want to include information about the Mapper.
 5. 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.
 6. Click **Export**.
- The **Opening <FormExport.doc>** window appears.



7. Click **Open with**, and then select **OK**.

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

6.7.1 Creating a Usage Term

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.

6.7.1.1 Fields and their Descriptions

| Fields | Description |
|---|-------------|
| Fields marked in blue asterisk(*) are mandatory | |

| 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. |

6.7.1.2 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.

The screenshot shows the Oracle Data Governance for US Regulatory Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Business Terms' workspace is active, displaying a search and filter section with fields for ID, Subject Area, Glossary, Term, and Status. Below the search section is a table of Business Terms with columns for ID, Term, Critical Data Element, Subject Area, Domain, Source, Status, and Glossary. The table lists several terms such as 'Zero Percent Risk Weight Flag', 'Probability of Default', and 'Loss Given Default'.

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**.

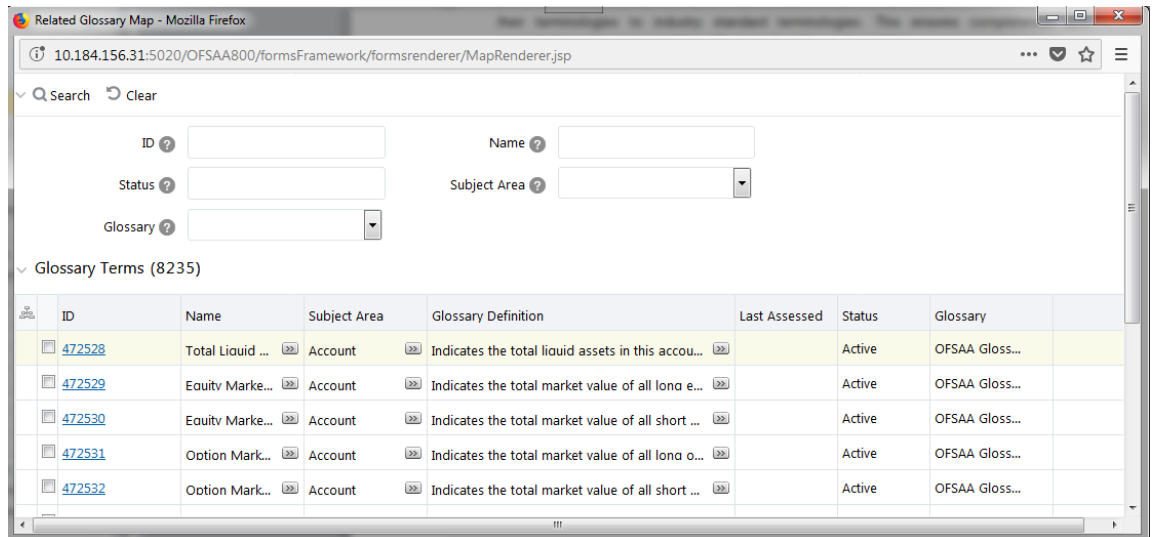
You can view the newly created Usage Term in the **Search and List** page.

6.8 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:

1. Select a business term that is in draft status.
2. In the **Related Business Term** sub-section, click the  **Link** icon.
3. The **Related Glossary Map** window appears.



4. Select the checkbox next to the required glossary items and then click **Link**.


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

5. Click **OK** and then click **Close**.

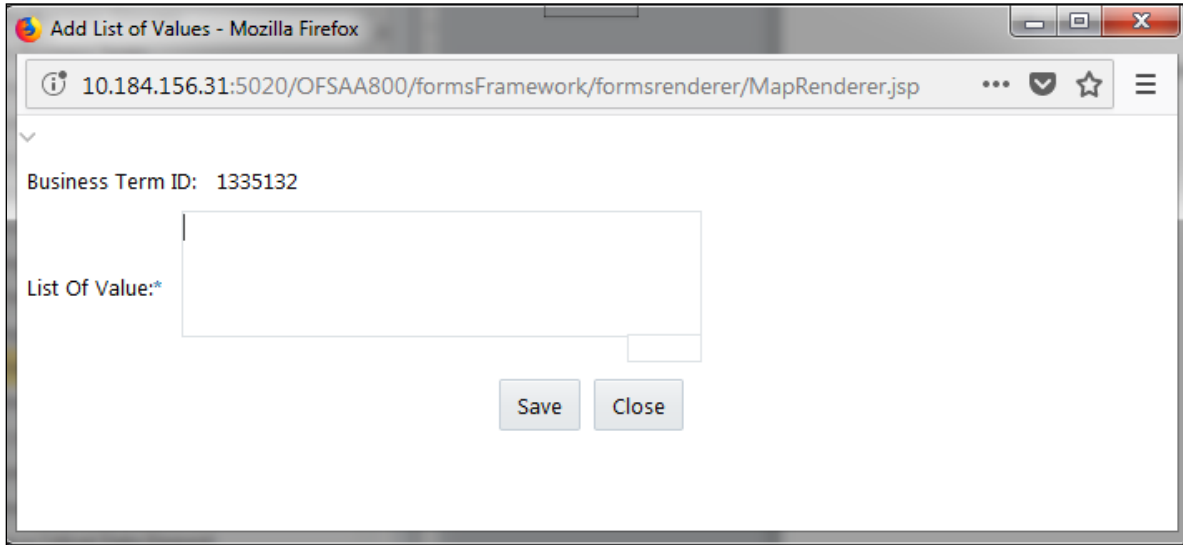
6.9 List of Values

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.



The screenshot shows a web browser window titled "Add List of Values - Mozilla Firefox". The address bar displays the URL "10.184.156.31:5020/OFSAA800/formsFramework/formsrenderer/MapRenderer.jsp". The main content area of the window contains a form with the following elements:

- A label "Business Term ID: 1335132" above a text input field.
- A label "List Of Value:*" to the left of a larger, empty text input field.
- Two buttons, "Save" and "Close", positioned below the input fields.

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.

7 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](#)

7.1 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. DGUSRR 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.

7.2 User Roles and Actions

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

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

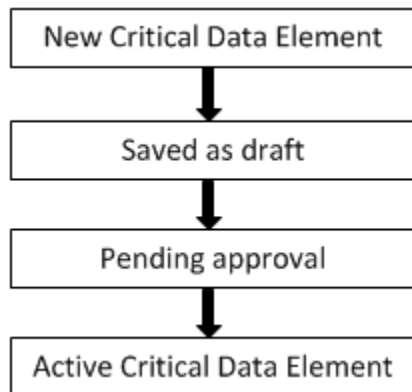
Critical Data Elements Viewer: Permits the user to view the critical data elements. The user needs to be mapped to the **CDEVIEWERGRP** group.

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. User needs to be mapped to **CDEAPPRGRP** group.

Critical Data Elements Owner: A user with this role has all the permissions/rights, which a creator has to his specific critical data elements. The user is responsible 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.

7.3 Workflow of Critical Data Elements



7.4 Creating a Critical Data Element (CDE)

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

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

7.4.1 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: Public Confidential Restricted |
| Data Classification Level* | Select the data classification level from the drop-down list: 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 |

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

7.4.2 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.

| ID | CDE Name | Business Term | Access Level | Data Classification Level | Status | Created Date | Created By | Last Modified Date | Last Modified By |
|--------|----------------------------|-------------------------------|--------------|---------------------------|--------|--------------|------------|--------------------|------------------|
| 480676 | PROTECTION BUY SELL IN... | Protection Buy Sell Indicator | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480677 | RISK SECTOR CODE | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480678 | SECURITIZED PRODUCT TY... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480679 | SELLER RETAINED INTERES... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480680 | SELLER RETAINED INTERES... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480681 | UNIQUE ID | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480682 | WRITE OFF AMOUNT | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480688 | STANDARD ACCOUNT HE... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480689 | STANDARD ACCOUNT HE... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480690 | STANDARD CREDIT LINE P... | | 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.

7.5 Approving or Rejecting a CDE

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.
2. The Critical Data Element Details page appears.

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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 (1100) Add Delete Export

| ID | CDE Name | Business Term | Access Level | Data Classification Level | Status | Created Date | Created By | Last Modified Date | Last Modified By |
|------------------------|----------------------------|-------------------------------|--------------|---------------------------|--------|--------------|------------|--------------------|------------------|
| 480676 | PROTECTION BUY SELL IN... | Protection Buy Sell Indicator | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480677 | RISK SECTOR CODE | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480678 | SECURITIZED PRODUCT TY... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480679 | SELLER RETAINED INTERES... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480680 | SELLER RETAINED INTERES... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480681 | UNIQUE ID | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480682 | WRITE OFF AMOUNT | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480688 | STANDARD ACCOUNT HE... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480689 | STANDARD ACCOUNT HE... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |
| 480690 | STANDARD CREDIT INF P... | | Confidential | Financial | Active | 05-05-2016 | OFSAD | 05-05-2016 | OFSAD |

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3. 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.

4. In the **Reason for Approval/Rejection** field, provide a reason for the approval or rejection.

5. Click either **Approve** or **Reject**.

A confirmation message appears, confirming that the 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**.

8 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](#)

8.1 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.

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

8.2 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.

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.

8.3 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.

8.4 User Roles and Actions

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

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

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

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

8.5 Creating a Control

The fields that are displayed while defining a Control are explained as tabulated.

You should have Control Owner rights to create a Control.

8.5.1 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: Quality Control Operational Control |
| 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. |

| Fields | Description |
|--|---|
| Fields marked in blue asterisk(*) are mandatory | |
| Weight | This field appears in the Data Quality Rules section. The weights of the Data Quality Rule should not be greater than 100. |

8.5.2 Procedure to Create a Control

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

8.5.2.1 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.

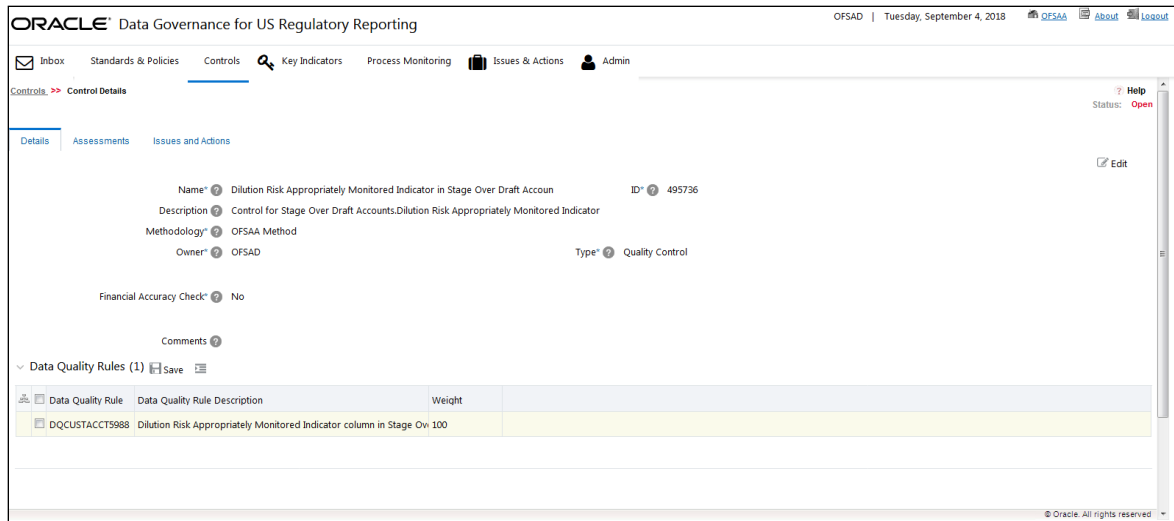
Error Profiling

Execute the DQs and check the **Result Summary and Details**.

1. Run the Batch - ##INFODOM##_REFRESH_MAT_VIEWS that will refresh all the required Materialized Views.
2. Execute the Batch - ##INFODOM##_LOAD_FSI_ERROR_DATA_PROFILE. This will load the data into FSI_ERROR_DATA_PROFILE table.
3. 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.
4. Execute the Batch - ##INFODOM##_LOAD_FSI_ERROR_DATA. This will load data into the FSI_ERROR_DATA table.

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

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



Control Execution Details

The following are the steps to perform control execution:

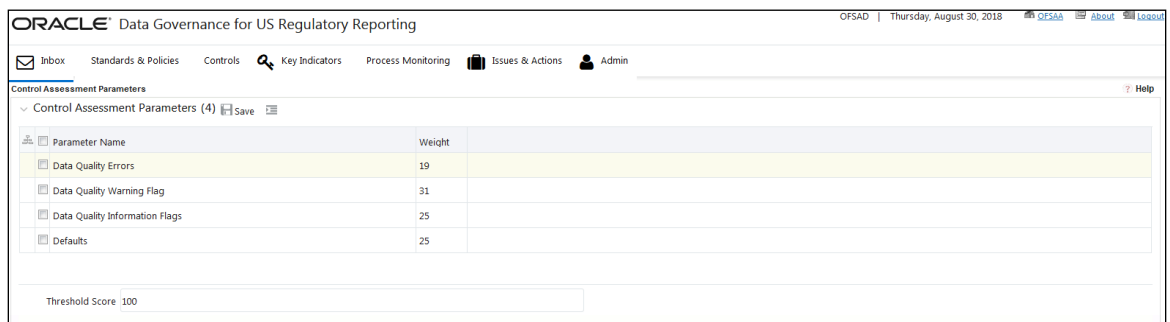
1. Once the FSI_ERROR_DATA_PROFILE table is populated, execute the Batch ##INFODOM##_LOAD_FSI_CONTROL_EXEC_DETAIL.
2. This will load data into the FSI_CONTROL_EXECUTION_DETAILS tables, which will be used by the DGUSRR UI to display the required execution details for a control.

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.

8.5.3 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 US Regulatory 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.

8.5.4 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.

8.5.4.1 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 US Regulatory Reporting. The backend engine generates the Assessment Start Date as the date on which batch is triggered. The Frequency of Assessment is defaulted to Monthly. Assessment Frequency and Assessment Start date together decide whether the assessment has to be done for a control or not.

User Defined Assessments

3. In DGRR, click **Controls**.
The **Controls** workspace appears.
4. In the **ID** column, click the required control.

The **Control Profile** section appears, with the **Details** tab displayed by default.

5. Click the **Assessment** tab.

6. Click the  **Delete Assessment** icon to delete an assessment.

8.5.4.2 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.

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**.

3. In DGEGR, click **Controls**.

The **Controls** workspace appears.

4. In the **ID** column, click the required control.

The **Control Profile** section appears, with the **Details** tab displayed by default.

5. Click the **Assessment** tab.

The details of the Assessment appear.

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

Controls >> Control Details

Details Assessments Issues and Actions

Control Name: Recalcitrant Flag in Stage Loan Contracts

Control Assessments (0) Delete Assessment

| ID | Date | Effectiveness Score | Effectiveness Rating | Status |
|---------------|------|---------------------|----------------------|--------|
| No Data Found | | | | |

GL Recon Adjustment (782)

| 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 |

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8.6 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 DGRR, 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.

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OFSAD | Thursday, August 30, 2018

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

Controls >> Control Details

Details Assessments Issues and Actions

Name* Interest Payment Date in Stage Borrowings ID* 495733

Description Control for Stage Borrowings:Interest Payment Date

Methodology* OFSAA Method

Owner* OFSAD Type* Quality Control

Financial Accuracy Check* No

Comments

Data Quality Rules (1) Save

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

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8.7 Closing a Control


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

1. In DGRR, click **Controls**.

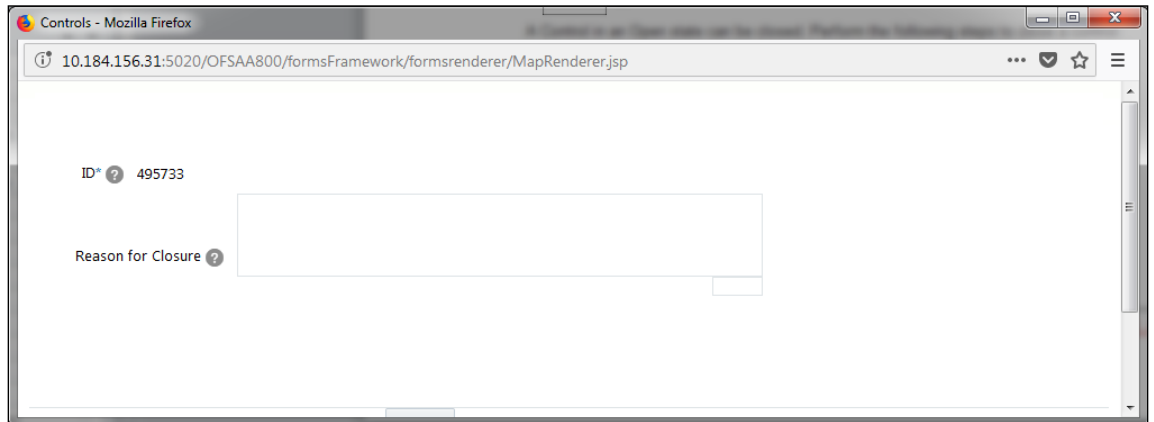
The **Controls** workspace appears.

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.



The screenshot shows a web browser window with the following content:

- Browser title: Controls - Mozilla Firefox
- Address bar: 10.184.156.31:5020/OFSAA800/formsFramework/formsrenderer/MapRenderer.jsp
- Form fields:
 - ID* 495733 (with a help icon)
 - Reason for Closure (with a help icon and an empty text input field)

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.

9 Defining the Key Indicators for Monitoring

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

This chapter includes the following topics:

- [About Key Indicators](#)
- [Parameters of Key Indicators](#)
- [User Roles and Actions](#)
- [Creating a Key Indicator Conditions](#)
- [Key Indicator Assessments](#)
- [Managing Measure and Formulas](#)

9.1 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.

OFS DGUSRR Key Indicators module provides an early-warning system to identify potential costly operational hazards including fraud, legal and technology risks. The use of KIs is recommended by 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.

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

9.2 Parameters of Key Indicators

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

- Periodic Comparison
- Edit Checks

9.2.1 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.

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.

9.2.2 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.

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 value in one column should match values of another column. This ensures the quality of the reports.

Interserie Check: Interserie Check involves comparison of two schedules within a single report.

Intraserie Check: Intraserie Check involves comparison of two schedules from two different reports

Edit checks are classified into two types:

- Controls
- Key Indicators

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 DGRR will define the KI definition and threshold values. This is fed to the DGRR, which reads the KI definition and threshold values to generate the KI indicators and provide the required RAG value.

The KI definitions are available in the FCT_KRI_DEF table.

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

Key Indicators

Search Clear Go

ID Name Owner

Key Indicators (221)

| ID | Name | Owner |
|--------|--|-------|
| 488215 | Write Off Amount In Reportino Currency 1545315 In Regulatory Account Summarv | OFSAD |
| 488210 | Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summarv | OFSAD |
| 488209 | Weighted Average Loss Given Default Percentaoe Post Mitiation In Fact Regulatory Capital Pool Summarv | OFSAD |
| 488208 | Weighted Average Loss Given Default Percentaoe Post Mitiation In Fact Regulatory Capital Account Summarv | OFSAD |
| 488202 | Unrealized Loss Or Gain Of Exposure In Reportino Currency In Regulatory Account Summarv | OFSAD |
| 488200 | Unrealized Gain And Loss Amount In Reportino Currency In Fact Ifrs Account Summarv | OFSAD |
| 488194 | Unfunded Default Fund Contribution Amount In Fact Regulatory Counterparty Capital Summarv | OFSAD |
| 488192 | Unearned Income In Reportino Currency In Regulatory Account Summarv | OFSAD |
| 488190 | Undrawn Amount In Reportino Currency In Regulatory Account Summarv | OFSAD |

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The Threshold values are available in the FCT_KI_DEF_THRSLD table

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

Key Indicators >> Key Indicator Details

Details KI Metrics Issues and Actions

Name

Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary

Key Indicator Metrics (6)

| Assessment Key | Assessment Date | Legal Entity | Assessment Status |
|----------------|-----------------|--------------------------|-------------------|
| 1333620 | 30-Jun-2016 | Wells Fargo Bank, Nation | FAIL |
| 1230916 | 30-Jun-2016 | | PASS |
| 1230600 | 30-Mar-2016 | Wells Fargo Bank, Nation | FAIL |
| 1128602 | 30-Mar-2016 | | PASS |
| 702378 | 01-Jan-2016 | Wells Fargo Bank, Nation | PASS |
| 600091 | 31-Dec-2015 | Wells Fargo Bank, Nation | PASS |

Variance (0)

Validation Checks (0)

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9.3 User Roles and Actions

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

9.3.1 User Roles

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

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

- **Key Indicator Creator:** Permits the user to create, view, and maintain Key Indicators. The user needs to be mapped to 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.

9.3.2 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.

9.4 Creating Key Indicator Conditions

When defining a Key Indicator Condition, the displayed fields are explained as tabulated.

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

9.4.1 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. |

| Fields | Description |
|--|--|
| Fields marked in blue asterisk(*) are mandatory | |
| Type | 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 USFED. |
| Schedule | A schedule for the report. |
| Cell Reference | A reference to the cell ID |

9.4.2 Procedure to Create 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.

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 DGRR 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 7 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

9.4.3 Viewing and Editing a Key Indicator Condition

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

1. In DGRR, click **Key Indicators**
The **Key Indicators** workspace appears.

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

Key Indicators

Search Clear Go

ID Name Owner

Key Indicators (221)

| ID | Name | Owner |
|--------|---|-------|
| 488215 | Write Off Amount In Reportino Currencv 1545315 In Regulatory Account Summarv | OFSAD |
| 488210 | Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summarv | OFSAD |
| 488209 | Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Pool Summarv | OFSAD |
| 488208 | Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Account Summarv | OFSAD |
| 488202 | Unrealized Loss Or Gain Of Exposure In Reportino Currencv In Regulatory Account Summarv | OFSAD |
| 488200 | Unrealized Gain And Loss Amount In Reportino Currencv In Fact Ifrs Account Summarv | OFSAD |
| 488194 | Unfunded Default Fund Contribution Amount In Fact Regulatory Counterpartv Capital Summarv | OFSAD |
| 488192 | Unearned Income In Reportino Currencv In Regulatory Account Summarv | OFSAD |
| 488190 | Undrawn Amount In Reportino Currencv In Regulatory Account Summarv | OFSAD |

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- 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.

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Key Indicators >> Key Indicator Details

Details **KI Metrics** Issues and Actions

Name Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary ID 488210

Description This Stores The Weighted Average Probability Of Default In Percent

Owner OFSAD

Entity Name FACT REGULATORY CAPITAL POOL SUMMARY Attribute Name WEIGHTED AVERAGE PROBABILITY OF DEFAULT IN PERCENT

Key Indicator Conditions (102)

Export Import

| ID | Report | Schedule | Cell Reference | KI Condition | Type |
|-------|----------|----------|----------------|--|------------------|
| 34156 | FFREC101 | SchH | AAHGP930 | EDIT NO. IS 5060: IF (AAHGP930) IS NO... | Validation Check |
| 34155 | FFREC101 | SchH | AAHAP930 | EDIT NO. IS 5040: IF (AAHAP930) IS NO... | Validation Check |
| 34085 | FFREC101 | SchH | AAHGP929 | EDIT NO. IS 5020: IF (AAHGP929) IS NO... | Validation Check |
| 34084 | FFREC101 | SchH | AAHAP929 | EDIT NO. IS 5000: IF (AAHAP929) IS NO... | Validation Check |
| 33975 | FFREC101 | SchH | AAHGJ032 | EDIT NO. IS 0289: IF (AAHGJ032) IS NO... | Validation Check |

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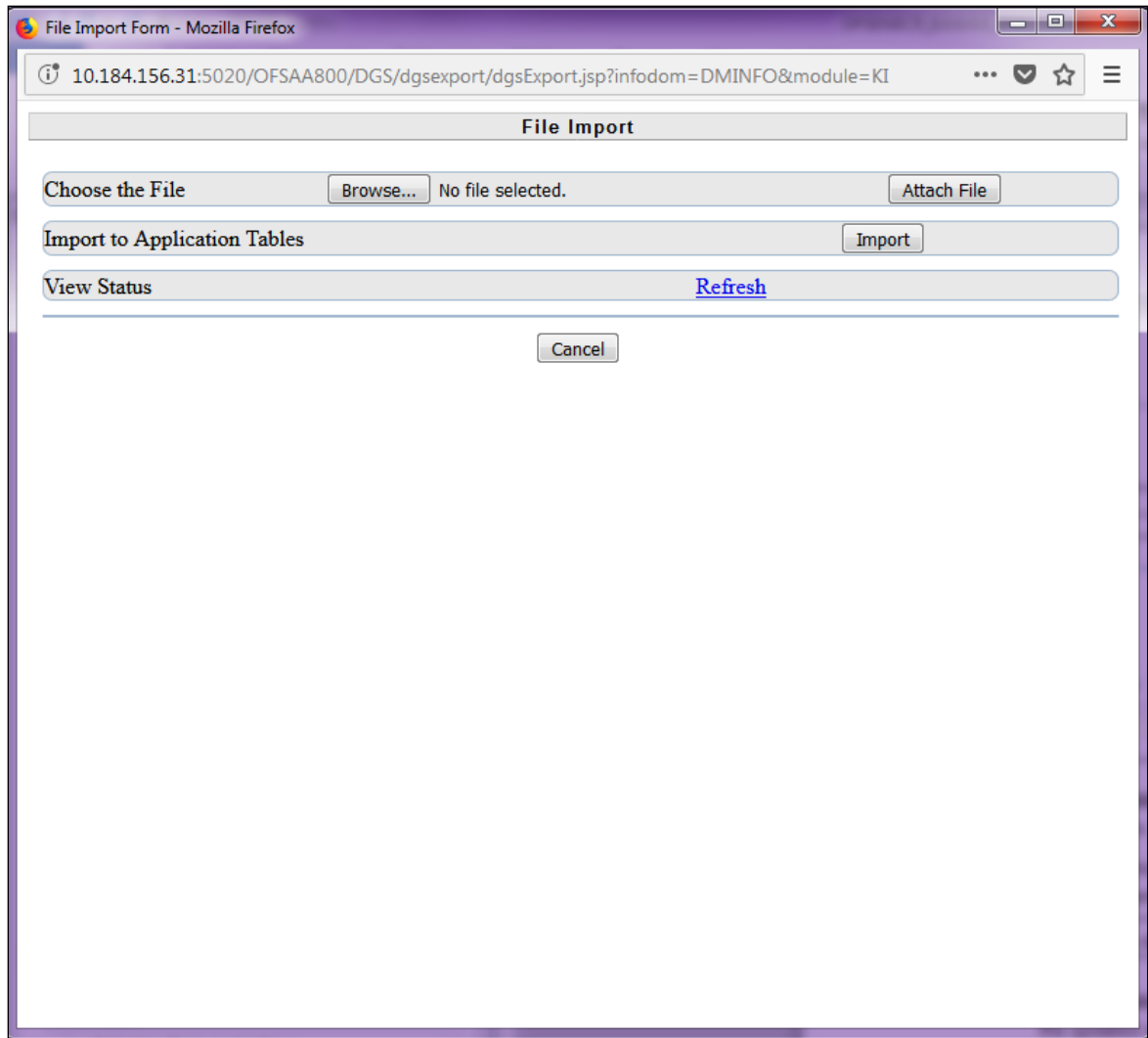
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- In the **Conditions** section, click the **Export** icon, and then save the Excel file to your local system.
- In the downloaded Excel file, enter the required information and then save the Excel with the same file name, **KI.xlsx**.

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

- In the **KI Indicator Details** page, click the **Import** icon to upload this excel file and import the updated data into the application,.

The **File Import Form** window appears.



6. Click **Browse**, locate the **KI.xlsx** file, and then click **Open**.
 7. Click **Attach**. A confirmation message appears, confirming that the file has been uploaded.
 8. Click **OK**.
 9. To import the data into the application tables, click **Import**.
- A confirmation message appears, indicating that the import process has been triggered.
10. Click **OK**.
 11. To view the status details, click **Refresh**, and then close the window.

The updated data will be imported into the application and the uploaded KI Condition now appears in the **KI Conditions** list.

9.5 Key Indicator Assessments

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

9.5.1 Creating Key Indicator Assessment

To create a Key Indicator Assessment at the group level:

Prerequisites:

- This table DIM_RUN must consist the of jurisdiction of USFED in it.
- This table FCT_REG_RUN_LEGAL_ENTITY_MAP must consist of valid data values.
 1. In the **DGRR**, navigate to **Common Tasks > Operations > Batch Execution**.
 2. 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 7 0 0 Runchart](#).

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

3. In the **Batch Execution** pane, run the BULK_KI_ASSESSMENT batch. This Batch is mentioned in the [OFS Data Governance Studio v 8 0 7 0 0 Runchart](#).
4. 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

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

9.5.2 Viewing Key Indicator Assessment

To view Key Indicator Assessments, perform the following steps:

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

The screenshot shows the Oracle Data Governance for US Regulatory Reporting interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators' (selected), 'Process Monitoring', 'Issues & Actions', and 'Admin'. Below the navigation bar, there is a search bar with 'Search', 'Clear', and 'Go' buttons. There are also filter fields for 'ID', 'Name', and 'Owner'. The main content area displays a table titled 'Key Indicators (221)'. The table has columns for 'ID', 'Name', and 'Owner'. The first few rows of the table are as follows:

| ID | Name | Owner |
|--------|---|-------|
| 488215 | Write Off Amount In Reportino Currenc 1545315 In Regulatory Account Summary | OFSAD |
| 488210 | Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary | OFSAD |
| 488209 | Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Pool Summary | OFSAD |
| 488208 | Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Account Summary | OFSAD |
| 488202 | Unrealized Loss Or Gain Of Exposure In Reportino Currenc In Regulatory Account Summary | OFSAD |
| 488200 | Unrealized Gain And Loss Amount In Reportino Currenc In Fact Ifrs Account Summary | OFSAD |
| 488194 | Unfunded Default Fund Contribution Amount In Fact Regulatory Counterparty Capital Summary | OFSAD |
| 488192 | Unearned Income In Reportino Currenc In Regulatory Account Summary | OFSAD |
| 488190 | Undrawn Amount In Reportino Currenc In Regulatory Account Summary | 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.

The screenshot shows the Oracle Data Governance for US Regulatory Reporting interface. The 'Key Indicators' section is active, and the 'Details' tab is selected. The details for Key Indicator ID 488210 are displayed:

- Name:** Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary
- Description:** This Stores The Weighted Average Probability Of Default In Percent
- Owner:** OFSAD
- Entity Name:** FACT REGULATORY CAPITAL POOL SUMMARY
- Attribute Name:** WEIGHTED AVERAGE PROBABILITY OF DEFAULT IN PERCENT

Below the details, there is a table of KI Conditions (102):

| ID | Report | Schedule | Cell Reference | KI Condition | Type |
|-------|----------|----------|----------------|--|------------------|
| 34156 | FFIEC101 | SchH | AAHGP930 | EDIT NO. IS 5060: IF (AAHGP930) IS NO... | Validation Check |
| 34155 | FFIEC101 | SchH | AAHAP930 | EDIT NO. IS 5040: IF (AAHAP930) IS NO... | Validation Check |
| 34085 | FFIEC101 | SchH | AAHGP929 | EDIT NO. IS 5020: IF (AAHGP929) IS NO... | Validation Check |
| 34084 | FFIEC101 | SchH | AAHAP929 | EDIT NO. IS 5000: IF (AAHAP929) IS NO... | Validation Check |
| 33975 | FFIEC101 | SchH | AAHG032 | EDIT NO. IS 0289: IF (AAHG032) IS NO... | Validation Check |

- 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 shows the Oracle Data Governance for US Regulatory Reporting interface. The 'Key Indicator Condition Details' section is active, and the 'Details' tab is selected. The details for Key Indicator Condition ID 34156 are displayed:

- Name:** EDIT NO. IS 5060: IF (AAHGP930) IS NOT EQUAL TO NULL , THEN (AAHHP930) THROU
- Description:** If AAHGP930 is not equal to null, then aahhp930 through aahlp930 should not equal null
- Type:** Validation Check
- Source:** Internal
- Frequency:** Quarterly
- Measure Scale:** Number
- Owner:** OFSAD
- Caution User:** OFSAD
- Comments:** KI Comments
- Currency:**
- Critical User:** OFSAD

- Click the **KI Metrics** tab.
- Select the 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**.

9.6 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.

9.7 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.

9.7.1 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 the measure list of the Measure and Formula page. |
| N_ENTITY_KEY | Enter the entity key value. For example, if you want to create a measure based on Risk module, enter the entity value of that module in this field. The Entity Key values are available in SETUP_COMPONENTS table. |
| N_APP_KEY | Enter the name of application. Following are the values for Application key: 1 – Data Governance for US Regulatory Reporting |

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

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

Columns of DIM_KI_MEASURE_MLS table

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

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

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

9.7.2 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:

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

The **Key Indicators** workspace appears.

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

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

Key Indicators

Search Clear Go

ID Name

Owner

Key Indicators (221)

| ID | Name | Owner |
|------------------------|---|-------|
| 488215 | Write Off Amount In Reportino Currency 1545315 In Regulatory Account Summary | OFSAD |
| 488210 | Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary | OFSAD |
| 488209 | Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Pool Summary | OFSAD |
| 488208 | Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Account Summary | OFSAD |
| 488202 | Unrealized Loss Or Gain Of Exposure In Reportino Currency In Regulatory Account Summary | OFSAD |
| 488200 | Unrealized Gain And Loss Amount In Reportino Currency In Fact Ifrs Account Summary | OFSAD |
| 488194 | Unfunded Default Fund Contribution Amount In Fact Regulatory Counterparty Capital Summary | OFSAD |
| 488192 | Unearned Income In Reportino Currency In Regulatory Account Summary | OFSAD |
| 488190 | Undrawn Amount In Reportino Currency In Regulatory Account Summary | OFSAD |

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

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

Key Indicators >> Key Indicator Details

Details **KI Metrics** Issues and Actions

Name Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary ID 488210

Description This Stores The Weighted Average Probability Of Default In Percent

Owner OFSAD

Entity Name FACT REGULATORY CAPITAL POOL SUMMARY Attribute Name WEIGHTED AVERAGE PROBABILITY OF DEFAULT IN PERCENT

Key Indicator Conditions (102)

Export Import

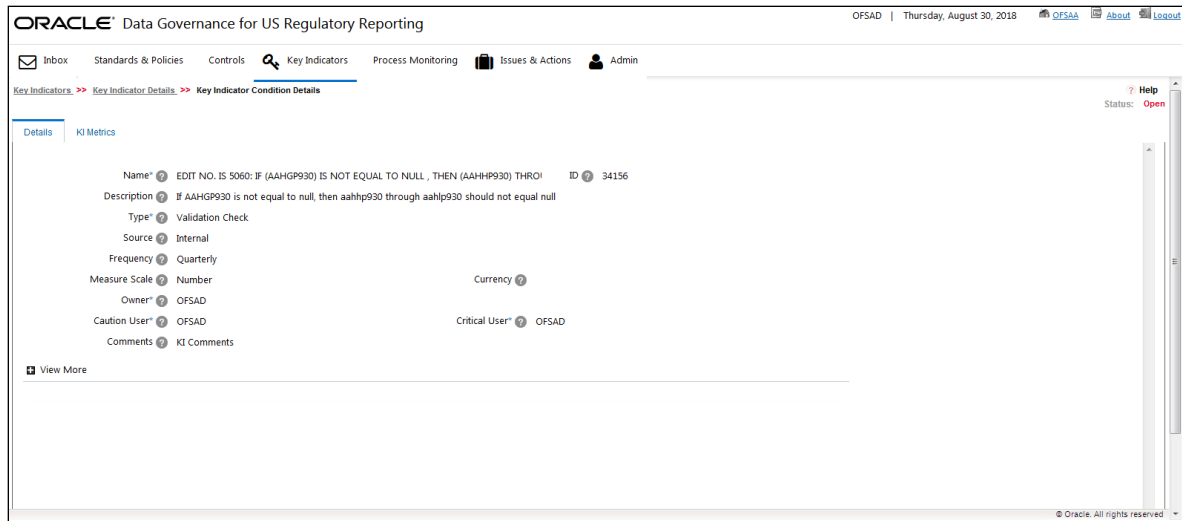
| ID | Report | Schedule | Cell Reference | KI Condition | Type |
|-----------------------|----------|----------|----------------|--|------------------|
| 24156 | FFIEC101 | SchH | AAHGP930 | EDIT NO. IS 5060: IF (AAHGP930) IS NO... | Validation Check |
| 24155 | FFIEC101 | SchH | AAHAP930 | EDIT NO. IS 5040: IF (AAHAP930) IS NO... | Validation Check |
| 24085 | FFIEC101 | SchH | AAHGP929 | EDIT NO. IS 5020: IF (AAHGP929) IS NO... | Validation Check |
| 24084 | FFIEC101 | SchH | AAHAP929 | EDIT NO. IS 5000: IF (AAHAP929) IS NO... | Validation Check |
| 23975 | FFIEC101 | SchH | AAHG032 | EDIT NO. IS 0289: IF (AAHG032) IS NO... | Validation Check |

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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. In the **Threshold** section, you can view the list of Limits.
5. 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.

9.7.3 DQ-CONTROL MAPPING UTILITY

Perform the following steps to access DQ_Control Mapping Utility:

1. In DGRR, navigate to **Common Tasks-> Operations-> Batch Execution**.
2. Select DQ_MDRM_CTRL_MAPPER batch from the **Batch Details** grid to execute the batch.
3. 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.

9.7.4 Viewing Measures in Formula

To view a Formula, perform these steps:

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

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

Key Indicators

Search Clear Go

ID Name

Owner

Key Indicators (221)

| ID | Name | Owner |
|------------------------|---|-------|
| 488215 | Write Off Amount In Reportino Currency 1545315 In Regulatory Account Summary | OFSAD |
| 488210 | Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary | OFSAD |
| 488209 | Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Pool Summary | OFSAD |
| 488208 | Weighted Average Loss Given Default Percentage Post Mitigation In Fact Regulatory Capital Account Summary | OFSAD |
| 488202 | Unrealized Loss Or Gain Of Exposure In Reportino Currency In Regulatory Account Summary | OFSAD |
| 488200 | Unrealized Gain And Loss Amount In Reportino Currency In Fact Ifrs Account Summary | OFSAD |
| 488194 | Unfunded Default Fund Contribution Amount In Fact Regulatory Counterparty Capital Summary | OFSAD |
| 488192 | Unearned Income In Reportino Currency In Regulatory Account Summary | OFSAD |
| 488190 | Undrawn Amount In Reportino Currency In Regulatory Account Summary | OFSAD |

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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.

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

Key Indicators >>> **Key Indicator Details**

Details **KI Metrics** Issues and Actions

Name Weighted Average Probability Of Default In Percent In Fact Regulatory Capital Pool Summary ID 488210

Description This Stores The Weighted Average Probability Of Default In Percent

Owner OFSAD

Entity Name FACT REGULATORY CAPITAL POOL SUMMARY Attribute Name WEIGHTED AVERAGE PROBABILITY OF DEFAULT IN PERCENT

Key Indicator Conditions (102)

Export Import

| ID | Report | Schedule | Cell Reference | KI Condition | Type |
|-----------------------|----------|----------|----------------|--|------------------|
| 24156 | FFIEC101 | SchH | AAHG930 | EDIT NO. IS 5060: IF (AAHG930) IS NO... | Validation Check |
| 24155 | FFIEC101 | SchH | AAHAP930 | EDIT NO. IS 5040: IF (AAHAP930) IS NO... | Validation Check |
| 34085 | FFIEC101 | SchH | AAHG929 | EDIT NO. IS 5020: IF (AAHG929) IS NO... | Validation Check |
| 24084 | FFIEC101 | SchH | AAHAP29 | EDIT NO. IS 5000: IF (AAHAP29) IS NO... | Validation Check |
| 33975 | FFIEC101 | SchH | AAHG032 | EDIT NO. IS 0289: IF (AAHG032) IS NO... | Validation Check |

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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.

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

[Key Indicators](#) >> [Key Indicator Details](#) >> [Key Indicator Condition Details](#)

[Details](#) | [KI Metrics](#)

Name EDIT NO. IS 5060: IF (AAHGP930) IS NOT EQUAL TO NULL , THEN (AAHH930) THROID 34156

Description If AAHGP930 is not equal to null, then aahlp930 through aahlp930 should not equal null

Type Validation Check

Source Internal

Frequency Quarterly

Measure Scale Number **Currency**

Owner OFSAD **Critical User** OFSAD

Caution User OFSAD

Comments KI Comments

[View More](#)

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

10 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](#)

10.1 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.

10.2 Issues

This section includes:

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

- [Tasks and Notifications in Issues](#)

10.2.1 User Roles and Actions

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

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

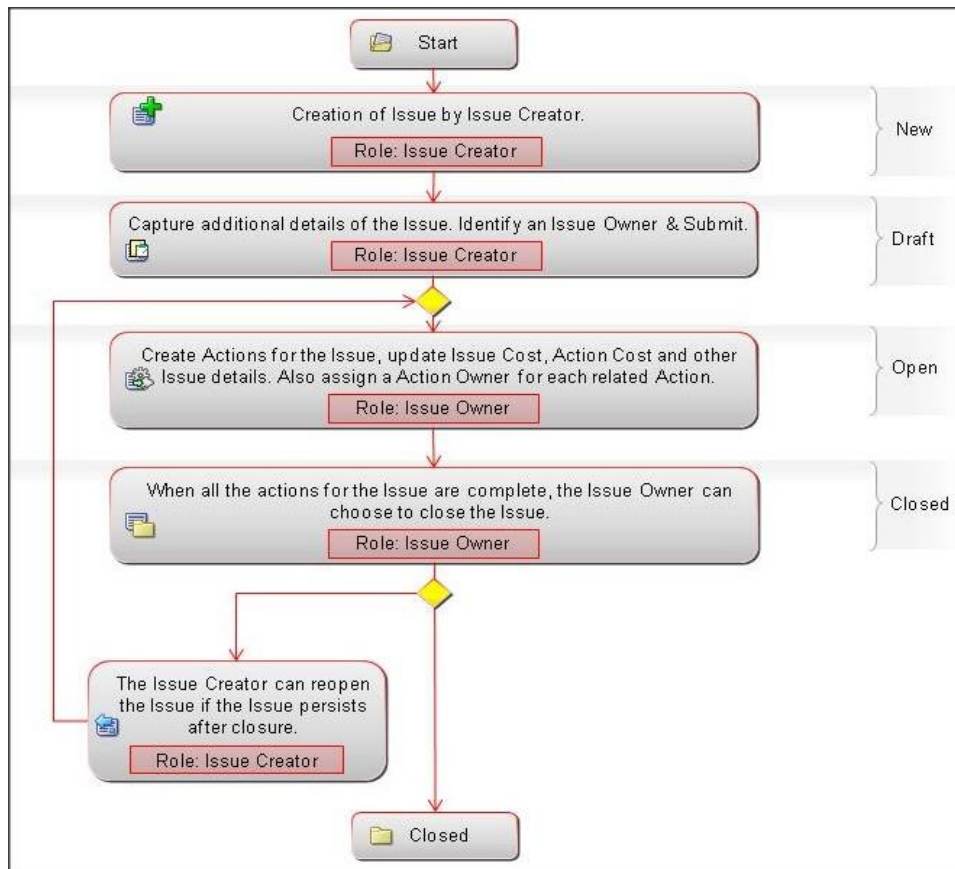
- **Creating Action:** This action allows an Issue Owner to create new action plans or link existing action plans from the **Issue Details** page to resolve an issue.
- **Deleting Issue:** This action allows an Issue Creator to delete an issue in the Draft state if the Issue Creator believes that the 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.

10.2.2 Issue Workflow

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



The status flow of the Issues module is as follows:



10.2.3 Tasks and Notifications in Issues

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

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

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

10.3 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](#)

10.3.1 Creating an Issue

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

10.3.1.1 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: 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: High Medium Low |
| 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. |

10.3.1.2 Creating an Issue

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

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:

6. 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 DGRR application, navigate to the respective module details page and click **Create Issue**. The **Issues Details** page appears.

The screenshot displays the Oracle Data Governance for US Regulatory Reporting application interface. The top navigation bar includes 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Issues & Actions' menu is active, showing 'Issues >> Issue Details'. The 'Issue Profile' section is visible, and the 'Details' tab is selected. The form contains the following fields: 'Name' (text input), 'ID' (1336541), 'Description' (text area), 'Issue Category' (dropdown), 'Criticality' (dropdown), 'Target Date' (calendar icon), 'Issue Source' (calendar icon), 'Owner' (OFSAD), and 'Primary Source' (text input). A 'Comments' text area is at the bottom. Action buttons 'Save Draft', 'Submit', and 'Cancel' are in the top right. The status is 'New'. The footer shows '© Oracle. All rights reserved'.

7. Enter the required information in the available fields.
8. Click **Save Draft** to save the information.

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

9. 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,

10. 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.
11. Click **OK**.

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

10.3.2 Causes

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

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

The **Issues** workspace appears.

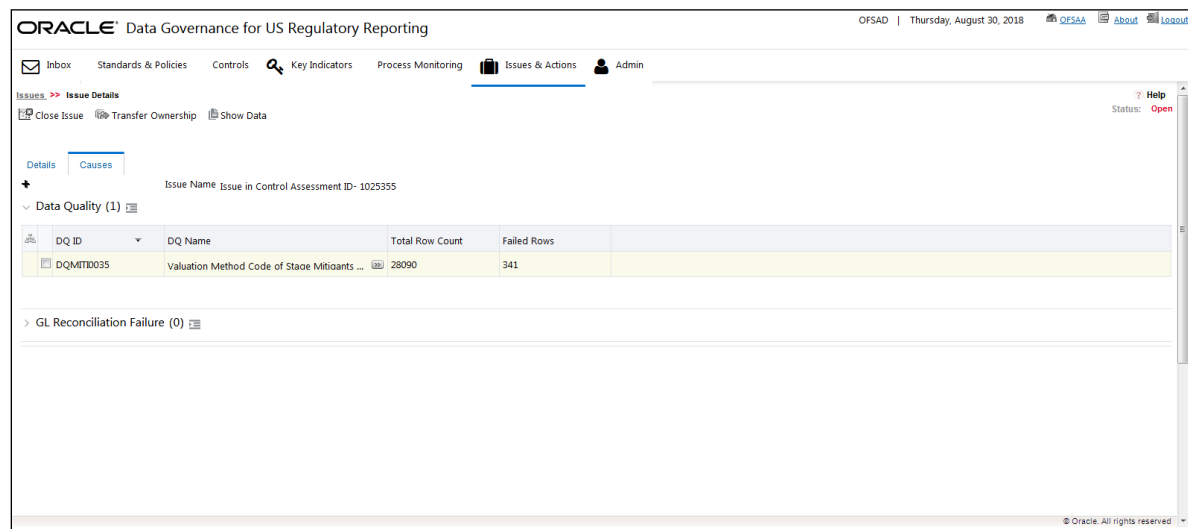
2. In the **Issues** section, in the **ID** column, select the link of the required issue.

The **Issue Details** section appears.

3. Click the **Causes** tab.
4. You can view the Data Quality ID details which failed at the staging. In the **Causes** tab:
5. 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.



The screenshot displays the Oracle Data Governance for US Regulatory Reporting interface. The top navigation bar includes 'ORACLE Data Governance for US Regulatory Reporting', 'OFSAD | Thursday, August 30, 2018', and links for 'OFSAs', 'About', and 'Logout'. The main navigation menu contains 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Issues & Actions' tab is active, showing 'Issue Details' for 'Issue in Control Assessment ID- 1025355'. The 'Causes' sub-tab is selected, displaying a table of causes. The table has columns for 'DQ ID', 'DQ Name', 'Total Row Count', and 'Failed Rows'. One row is visible: 'DQMTRD035', 'Valuation Method Code of Staoe Mitioants ...', '28090', and '341'. Below the table, there is a section for 'GL Reconciliation Failure (0)'. The status 'Open' is shown in the top right corner.

| DQ ID | DQ Name | Total Row Count | Failed Rows |
|-----------|--|-----------------|-------------|
| DQMTRD035 | Valuation Method Code of Staoe Mitioants ... | 28090 | 341 |

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.

6. 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.
7. To view the unique Assessment ID along with Score, Rating, and Status of the Assessment, click the **Assessments** tab.
8. To view the Assessment Parameter details and Assessment Data Quality Execution details, click the Control Assessment **ID**.

10.3.3 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](#)

10.3.3.1 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 Search and List** 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 DGRR, 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.

10.3.3.2 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.

10.3.3.3 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.

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. Log in 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**.

8. 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:

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

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

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

13. 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.

14. Click **OK**.

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

15. Click **OK**.

The record is delinked from the selected entities.

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.'

10.3.4 Transferring the Ownership of an Issue

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

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

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


10.3.5 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.

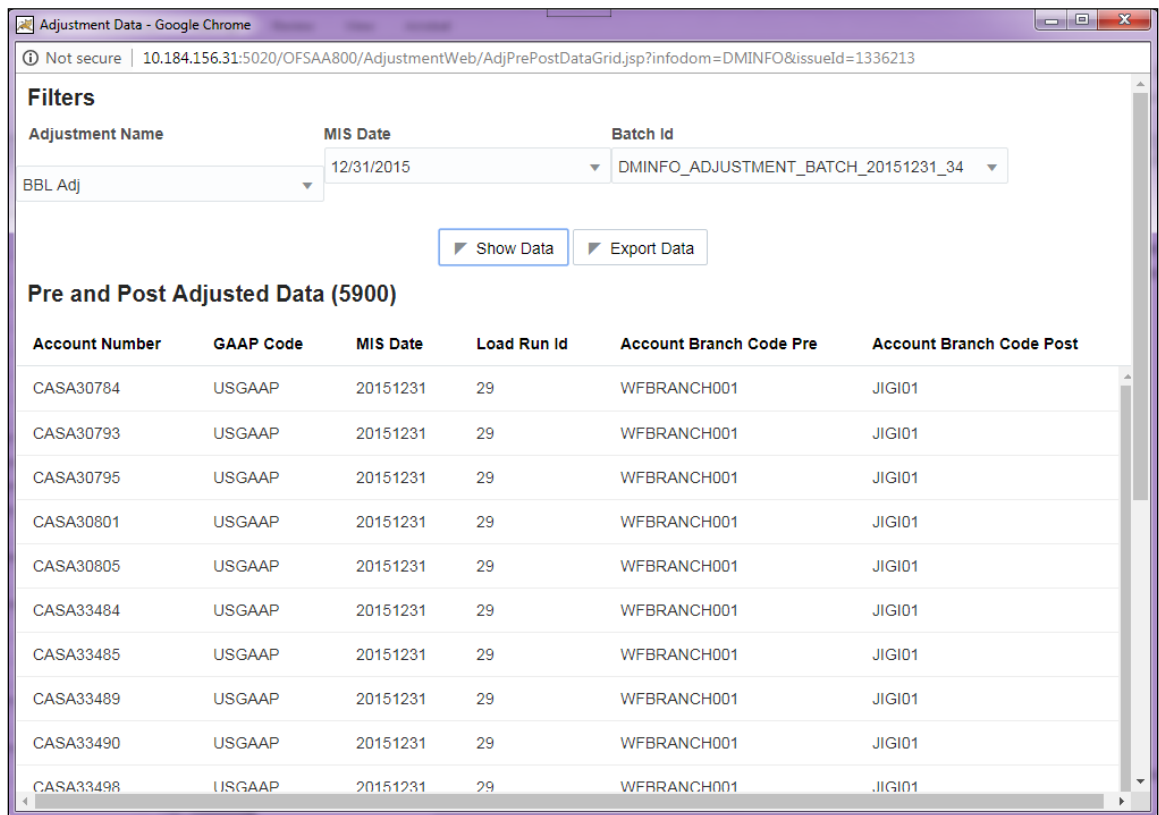
The **Issue Details** section appears.

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 |

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

10.3.6 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.

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 Search and List** 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.

5. 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.

10.3.7 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.

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 Search and List** 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 are performed. The state of the issue changes to Open.

10.3.8 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.

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 Search and List** 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 Search and List** page.

10.3.9 Exporting List of Issues to Excel

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

You cannot export individual issues to Excel.

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

10.3.10 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:

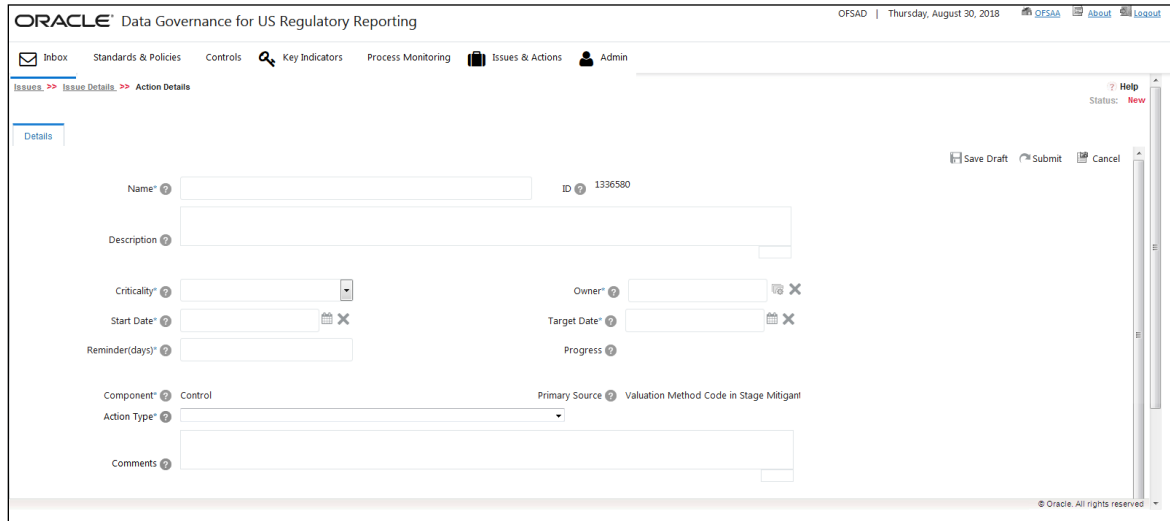
1. Navigate to the **Issues Search and List** page.
2. In the **Issues** section, in the **ID** column, click the link of the required Issue.

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 | <p>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.</p> <p>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.</p> <p>Others: This indicates the existence of error that is not a Data Adjustment error.</p> |
| 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

8. 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.

9. 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.

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

10.4 Actions

This section includes:

- [User Roles and Actions](#)
- [Action Workflow](#)
- [Tasks and Notifications in Actions](#)

10.4.1 User Roles and Actions

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

User Roles

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

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

Actions

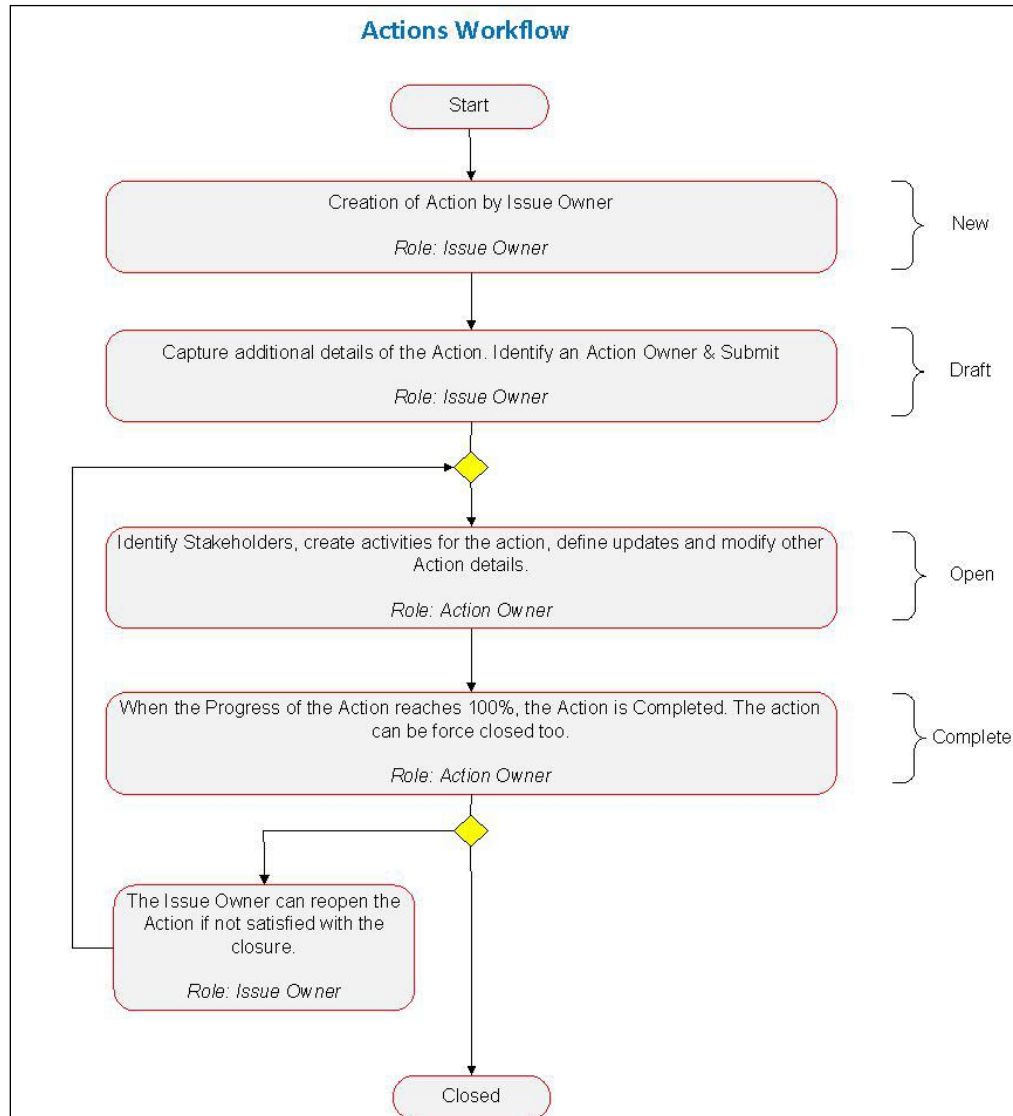
The user roles described above can perform the following actions:

- **Deleting Action:** This action allows an Issue Owner or Action Creator user to delete an action in Draft status when an Issue Owner or Action Creator believes that the action is no longer required.
- **Force- Closing Action:** This action allows an Action Creator or Issue Owner user to close an issue when associated actions have been completed.

Reopening Action: This action allows an Issue Owner or an Action Creator to reopen closed actions.

- **Transferring Ownership:** This action allows an Action Owner to transfer the ownership of an action to an appropriate user.
- **Exporting Action:** This action allows all user roles to export the list of actions to a Microsoft Excel spreadsheet.

10.4.2 Actions Workflow



The status flow of the Actions module is as follows:



10.4.3 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 |

10.5 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](#)

10.5.1 Managing Action Details

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

These sections discuss the following topics:

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

10.5.1.1 Viewing the Action Details

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

To view an action:

1. In DGRR, 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.

Click the **+** **View More** icon.

The **Actions** section appears.

3. In the **ID** column, select the link of the required action.

The **Action Details** workspace appears.

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.

The screenshot shows the Oracle Data Governance for US Regulatory Reporting interface. The 'Issues & Actions' tab is active, and the 'Details' section is expanded. The issue details are as follows:

- Name: Issue in Control Assessment ID- 1025247
- ID: 1025248
- Description: (empty)
- Issue Category: Data Authorization
- Criticality: High
- Target Date: 24-Aug-2018
- Issue Source: Control
- Owner: OFSAD
- Comments: NA

Below the details, there is an 'Actions' section with one action listed in a table:

| ID | Name | Owned | Criticality | Activities | Owner | Start Date | Target Date | Progress | Status | Actual Cost | Last Modified Date |
|---------|------------|-------|-------------|------------|-------|-------------|-------------|----------|--------|-------------|--------------------|
| 1025445 | Action0817 | Yes | Medium | | OFSAD | 17-Aug-2018 | 19-Aug-2018 | | Open | | 17-Aug-2018 |

10.5.1.2 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 Open status whereas an Action Creator user can edit only in Draft status.

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

1. In the **Issues & Actions** tab, click **Actions**. Click required Action **ID**, the **Action Details** page opens.
2. In the **Details** tab, click **Edit**. The page is toggled to edit mode.
3. Modify the necessary action details.

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

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

10.5.1.3 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.

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

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.

8. 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.

10.5.2 Transferring Ownership of an Action

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.

10.5.3 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.

10.5.3.1 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:

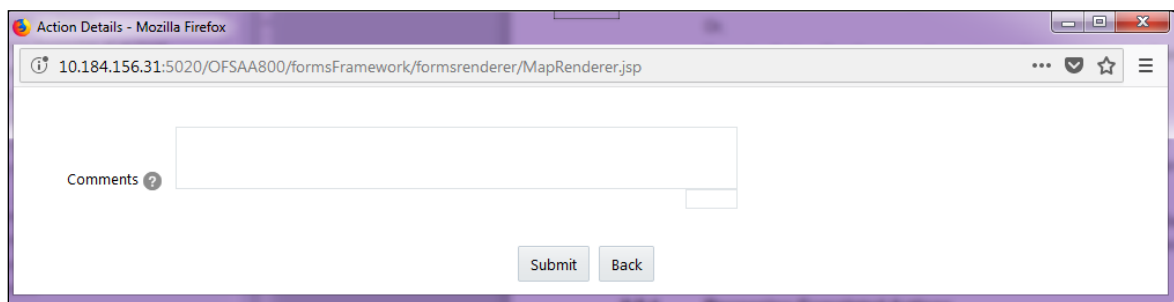
1. From the **Action Search and List** page, select an action that is in an **Open** state, and then click **Force Close Action**.

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.

10.5.4 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:

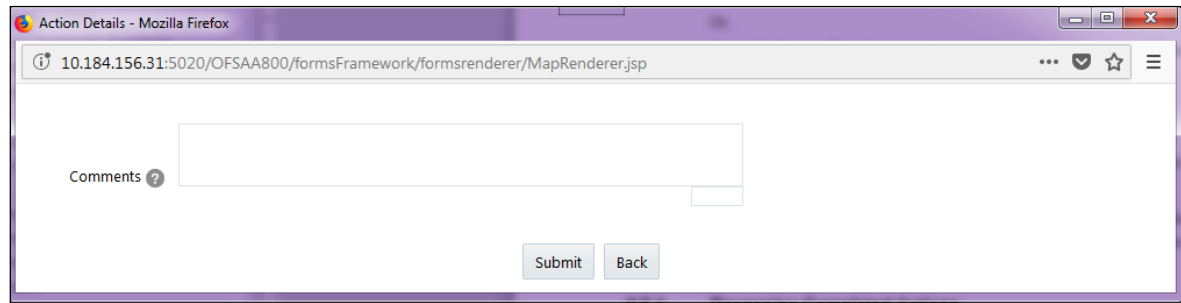
1. From the **Action Search and List** page, select an action that is in a **Complete** state, and then click **Reopen Action**.

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 are performed. The state of the issue changes to Open.

10.5.5 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 Search and List** 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 Search and List** page.

10.5.6 Exporting List of Actions to Excel

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

You cannot export individual actions to Excel.

11 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](#)

11.1 User Roles and Actions

11.1.1.1 User Roles

Assign the **ADJCREATGRP** (Adjustment Creator) User Group to the Action Owner.

Assign the **ADJAPPGRP** (Adjustment Approver) User Group to the Issue Owner.

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

11.1.1.2 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 |

You must follow the sequence of steps in the procedures in the following sections.

11.2 Settings for Data Adjustments

11.2.1 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.

Refer to the [OFS Data Governance Studio v 8 0 7 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 US Regulatory Reporting**.
5. Click the **Data Governance for US Regulatory Reporting** option on the left side of the menu.

The **Data Governance for US Regulatory Reporting** page 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 |
|---------|----------------------|--|-------------|----------------|---------------------|------------|--------|-----------------------|--------------|------|
| 875 | 1025356-Task Created | Esc. Issue in Control Assessment ID- 1025356 | Issue | Not Applicable | 2018-08-18 17:21:59 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 887 | 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 | | |
| 877 | 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 | | |
| 888 | 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 | | |
| 886 | 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 | | |
| 873 | 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 | | |
| 871 | 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 | | |
| 869 | 1025293-Task Created | Esc. Issue in Control Assessment ID- 1025292 | Issue | Not Applicable | 2018-08-18 17:21:42 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 855 | 1025287-Task Created | Esc. Issue in Control Assessment ID- 1025286 | Issue | Not Applicable | 2018-08-18 17:21:41 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 881 | 1025335-Task Created | Esc. Issue in Control Assessment ID- 1025334 | Issue | Not Applicable | 2018-08-18 17:21:53 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 883 | 1025338-Task Created | Esc. Issue in Control Assessment ID- 1025337 | Issue | Not Applicable | 2018-08-18 17:21:54 | 12 | Open | 2018-08-18 17:23:16.0 | | |
| 857 | 1025290-Task Created | Esc. Issue in Control Assessment ID- 1025289 | Issue | Not Applicable | 2018-08-18 17:21:42 | 12 | Open | 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.
8. The **Control Details** page appears.

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

The screenshot shows the Oracle Data Governance for US Regulatory Reporting interface. The 'Controls' tab is active, and the 'Control Details' page is displayed for ID 495732. The page includes a navigation menu with 'Inbox', 'Standards & Policies', 'Controls', 'Key Indicators', 'Process Monitoring', 'Issues & Actions', and 'Admin'. The 'Control Profile' is shown as 'Closed'. The 'Details' tab is selected, displaying the following information:

- Name: Commitment Amount in Stage Commitment Contracts
- ID: 495732
- Description: Control for Stage Commitment Contracts.Commitment Amount
- 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 'Save' button. A table lists the data quality rules:

| Data Quality Rule | Data Quality Rule Description | Weight |
|-------------------|--|--------|
| DQFSDWNJ0018 | N_Commitment_Amt Should Be Greater Than Or Equal To 0. | 100 |

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.

This screenshot is identical to the one above, showing the Oracle Data Governance for US Regulatory Reporting interface with the 'Control Details' page for ID 495732. The 'Details' tab is selected, and the same information is displayed, including the 'Data Quality Rules' table.

9. Click the **Assessments** tab.

ORACLE Data Governance for US Regulatory Reporting

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

Controls >> Control Details

Details Assessments Issues and Actions

Control Name: Interest Payment Date in Stage Borrowings

Control Assessments (0) Delete Assessment

GL Recon Adjustment (782)

| 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 |

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10. In the **ID** column, click the link of the assesment whose details you want to view.
11. 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.
12. 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.
13. Click **Save**.

11.2.2 Issues and Actions for Data Adjustments

11.2.2.1 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.

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

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

ORACLE Data Governance for US Regulatory Reporting

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

Controls >> Control Details

Control Profile

Details Assessments Issues and Actions

Issues (0) Delete Issue Delink

Actions (0)

Status: Closed

The **Issue** section appears.

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

11.2.2.2 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:

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

The **Action Details** page appears.

6. 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**.

7. To submit the newly created Action for approval (to the Action Owner), click **Submit**.

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.

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

8. Click **OK**.

11.3 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.

9. Log in to the application as the Action Owner (Data Adjustment Creator).
10. Click Data Governance for US Regulatory Reporting.
11. In the Issues & Actions tab, click Issues.
12. In the **Issues** workspace, click the required system generated Issue **ID**.

The **Issue Details** page appears. Expand **View More**. In the **Actions** section, click the Action ID created in the previous section.

13. The **Action Details** page appears.

The Action is of Type Data Adjustment. Therefore, the **Adjustments** section appears.

11.3.1 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**.
- For **Data Adjustments – Others** Action type, the User can use **Select Entity** and **Select DQ** fields.
 - 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 Assignment Type, either User Input Assignment Type or Rule Driven Assignment Type.

11.3.1.1 User Input or Rule Driven Type

User Input Assignment Type

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

7. In the **Attributes** tab, select the **User Input** option, and then click **Add Attribute**.
The **Add Column** window appears.
8. Click the **Target Attribute** dropdown box and select the required value.
9. Click **OK**.

11.3.1.1.1 Rule Driven Assignment Type

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

In the **Attributes** tab, select the **Rule Driven** option.

10. Click **Add Expression**.
The **Add Expression** window appears.
11. Select the required data for all the fields, and then click **OK**.
The selected value is populated in the **Target Attribute** section in the **Attributes** tab.
12. Select the **Target Attribute**.
13. To go to the next tab, click **Next** or click **Review & Save**.

11.3.1.2 Export and Import Data Updates

In the **Review & Save** tab:

11.3.1.2.1 For User Input Type Data Adjustment

Exporting User Input Type Data Adjustment

14. To export (download from the application) a record from the User Input type Data Adjustment, click **Export**.

The **Export** window appears.

15. Select the **MIS Date** for which you are downloading the record to make the data corrections.
16. Click **Export**, and then close the **Export** window.

An excel file is downloaded to your system.

17. In the downloaded (exported) excel file, you can make the required data corrections in the final column.
18. Save the changes made to the file.

11.3.1.3 Importing User Input Type Data Adjustment

19. 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.

20. To search for the updated excel file, open and attach it, click **Attach**.
21. To upload this excel file, click **Upload**. After the successful upload, an acknowledgement message appears.

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

11.3.1.4 Save and Submit Data Adjustment

22. 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.

23. Click **OK**.

24. 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.

25. Click **OK**.

26. The **Adjustment Rules Details** page automatically closes.

27. To send the imported file for approval to the Approver, you must select the checkbox against the record and then click **Save**.

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

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

29. 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**.

11.4 Approve or Reject Data Adjustments

To view, and approve or reject the Data Adjustment, perform the following steps:

30. Log in as a Data Adjustment Approver.
31. In the application, select **Financial Services Data Governance for US Regulatory Reporting**.
32. Click the **Data Governance for US Regulatory Reporting** option on the left hand side of the menu.

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

33. Click the **Issues and Actions** tab and then click **Issues**.
34. In the **ID** column, click the ID of of the required issue.

The **Issue Details** page appears.

35. Expand **View More**.

36. In the **Actions** section, in the **ID** column, click the required Action ID.

The **Action Details** page appears.

37. In the **Adjustments** section, select the required **Data Adjustment** which is in the Pending Approval state.

38. To open this Data Adjustment details, click **View**.

The **Adjustment Rule Details** window appears.

39. Click the **Review & Save** tab.

40. 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.

41. Verify the data records and then in the **Comments** field, type the required comments.

42. To approve the Data Adjustment, click **Approve**.

The **Adjustment Rule Details** window automatically closes.

43. 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.

44. In the **Action Details** page, in the **Adjustments** section, click **Refresh**.

For a rejected Data Adjustment, the state is changed to Draft.

45. Log in as a Data Adjustment Creator. The Data Adjustment State is in Draft.

46. Select the Data Adjustment **ID** and click **View**.

47. In the **Adjustment Rule Details** page, in the **Review & Save** tab, make the required correct changes.

48. To save this Data Adjustment record, click **Save**.

A confirmation message appears, confirming that the adjustment details have been save successfully.

49. Click **OK**.

50. 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 successfully updated.

51. Click **OK**.

The **Adjustment Rules Details** page automatically closes.

52. Log in as a Data Adjustment Approver and Approve this Data Adjustment.

11.4.1 Summary of the Data Adjustment Approval Process

In the Approval process:

For the User Input Assignment Type:

1. 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.
2. 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.

The 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:

3. The Data Adjustment definition with data correction is submitted for approval by the Data Adjustment Creator (Action Owner).
4. 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.

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

- 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.

11.5 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.

11.5.1 Batch Execution Rights

Select the option **Financial Services Data Governance for US Regulatory Reporting**.

- Navigate to **Common Tasks > Operations > Batch Execution Rights**.

The **User Group – Batch Execution Map** pane appears.

- To select the required batch for mapping, in the **Batch Map** column, select the checkboxes associated with the required Batch Names.
- Click **Save**.

| Batch Name | Batch Description | Batch Map |
|----------------------------------|--|--------------------------|
| DMINFO_ADJUSTMENT_BATCH | ADJUSTMENT_BATCH | <input type="checkbox"/> |
| DMINFO_ALM | Data Quality batch for ALM tables | <input type="checkbox"/> |
| DMINFO_AMHM_STG_DIM_DATA_LOAD | AMHM Dimension Data Load | <input type="checkbox"/> |
| DMINFO_BATCH1 | batch | <input type="checkbox"/> |
| DMINFO_BULK_KIASSESSMENT | This batch is to do assessment for Bulk KI for a given date. | <input type="checkbox"/> |
| DMINFO_CAMPAGN | Data Quality batch for CAMPAGN tables | <input type="checkbox"/> |
| DMINFO_COLLATERAL | Data Quality batch for Collateral tables | <input type="checkbox"/> |
| DMINFO_COLLECTION_AND_RECOVERY | Data Quality batch for Collection and Recovery tables | <input type="checkbox"/> |
| DMINFO_CREATE_CONTROL | Create Controls | <input type="checkbox"/> |
| DMINFO_CREATE_CONTROL_ASSESSMENT | This Batch is used to create Assessments for the Controls | <input type="checkbox"/> |
| DMINFO_CREATE_ISSUES | This batch is used for creation of Issues for a given MIS_DATE | <input type="checkbox"/> |
| DMINFO_CREATE_OP_CONTROLS | Batch to create Operational Controls | <input type="checkbox"/> |
| DMINFO_CRM | Data Quality batch for CRM tables | <input type="checkbox"/> |
| DMINFO_CRSA_TMP_DE_RESAVE | Create or Refresh Temp DE for Report code CRSA | <input type="checkbox"/> |
| DMINFO_CUSTOMER | Data Quality batch for Customer tables | <input type="checkbox"/> |
| DMINFO_DATA_FOUNDATION_SCD | Data Foundation SCD for Loading Dimension Tables | <input type="checkbox"/> |
| DMINFO_DATA_FOUNDATION_SCD_MLS | Data Foundation SCD for Multi Language Support Dimensions | <input type="checkbox"/> |

The batches corresponding to Data Quality must be executed. Refer to the [OFS Data Governance Studio v 8.0.7.0.0 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.

11.5.2 Batch Maintenance

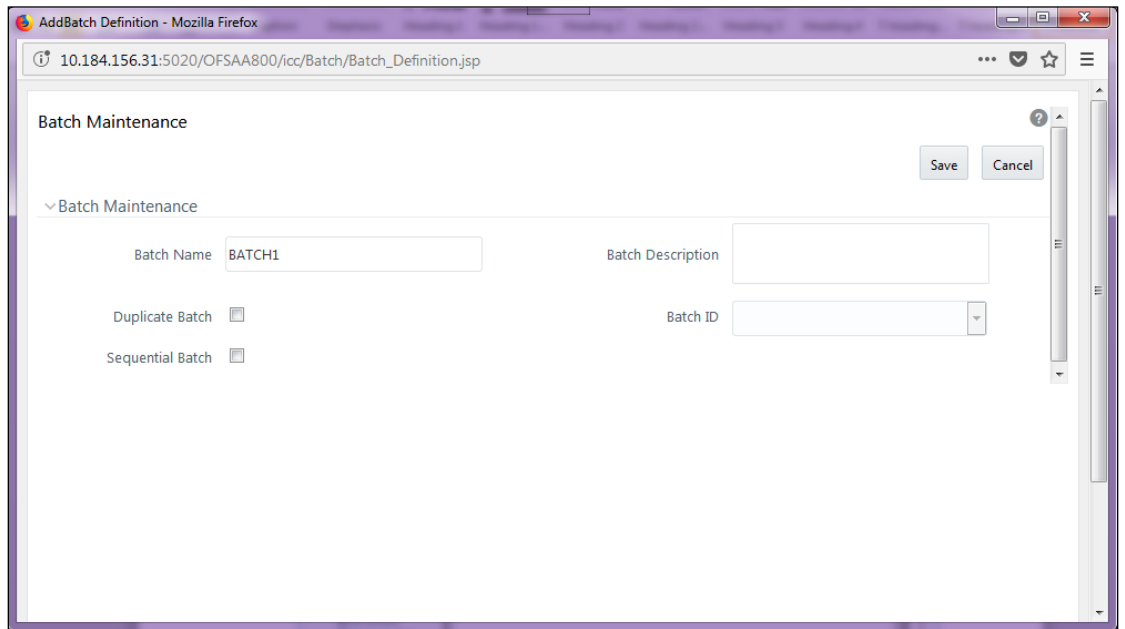
To create a new Batch:

- Navigate to **Common Tasks > Operations > Batch Maintenance**.

The **Batch Maintenance** pane appears on the right hand side.

- To create a Batch, in the Batch Name section, click the  **Add** icon.

The **AddBatch Definition** window appears.



3. Enter the required details in all the fields, and then click **Save**.

A new Batch is created.

4. In the **Batch Maintenance** pane, in the **Batch Name** section, select the Batch Name checkbox associated with the newly created Batch. The **Task Details** section appears, which lists the tasks corresponding to the selected Batch Name.

5. To add a new Task to the newly created Batch, click the **Add** icon.

The **Task Definition** window appears.

6. 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.

7. 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.

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

11.5.3 Batch Execution

1. Navigate to **Common Tasks > Operations > Batch Execution**.

The **Batch Execution** pane appears on the right hand side.

2. In the **Batch Mode** section, select the **Run** mode.
 3. To select the required batch for execution, search for required Batch ID.
 4. 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.
5. 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.
 6. To run the selected batch, click **Execute Batch**.

A message appears, asking you to confirm that you want to execute the batch for the selected date.

7. Click **OK**.

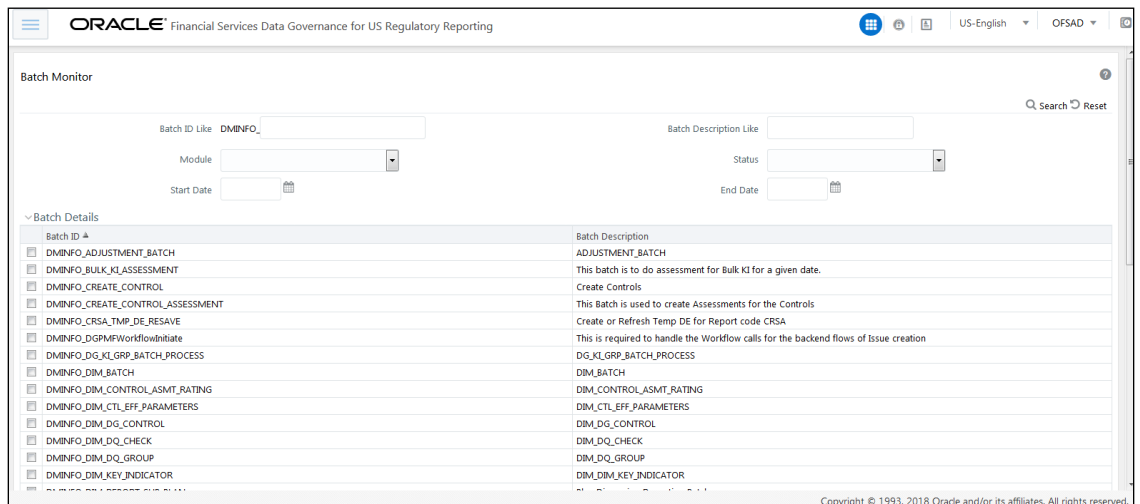
A confirmation message appears, confirming that the batch was triggered successfully.

8. Click **OK**.

11.5.4 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.

The **Batch Status**, **Task Details**, and **Event Log** sections are displayed in addition to the existing details in the **Batch Monitor** pane.

6. Select any task in the **Task Details** section to view its Event Log details.

7. 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.

12 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](#)

12.1 User Roles and Actions

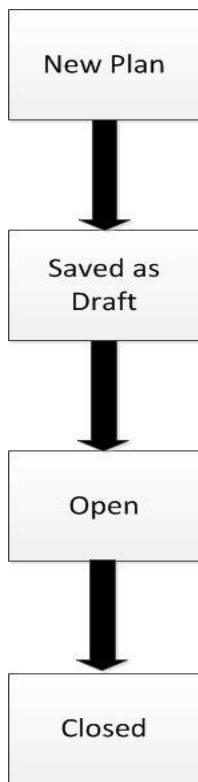
All the users need to be mapped to **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP**, along with **DGSPSI** and **PROCUSER**.

Following is the user role and action for Glossary:

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

12.2 Process Monitoring Workflow

Following flowchart describes the Process Monitoring Workflow:



12.3 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.

12.3.1 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: Business Management Regulatory |

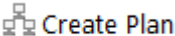
| Fields | Description |
|--|--|
| Fields marked in blue asterisk(*) are mandatory | |
| Owner* | Select the owner of the plan such who is the user that is responsible for tracking the plan to closure. |
| Type* | Select the plan type from the drop-down box: Regulatory Report Submission Management Report Submission |
| Description | Provide a description of the plan. |
| Frequency* | Select a frequency for the plan from the drop-down box: Yearly Half Yearly Quarterly Monthly |

12.3.2 Procedure to Create a Reporting Plan

To create a Reporting Plan, perform the following steps:

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

The **Plans** workspace appears.

Click the  icon.

The **Plan Details** page appears.

ORACLE Data Governance for US Regulatory Reporting

OFSAD | Thursday, August 30, 2018

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

Plans >> Plan Details

Details

Name* ID 1336602

Objective* Owner* OFSAD

Type* Frequency*

Description*

Save Draft

2. Enter the required information in the available fields.

3. Click Save Draft.

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

4. Click **OK**.

The status of the plan changes to Draft.

You should schedule the plan before submitting.

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

6. 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.'

12.4 Linking Reports to a Plan

Regulatory Reports can be associated to a plan.

ORACLE Data Governance for US Regulatory Reporting

OFSAD | Thursday, August 30, 2018

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

Plans >> Plan Details

Details

Name* Annual regulatory report submission plan ID 487508

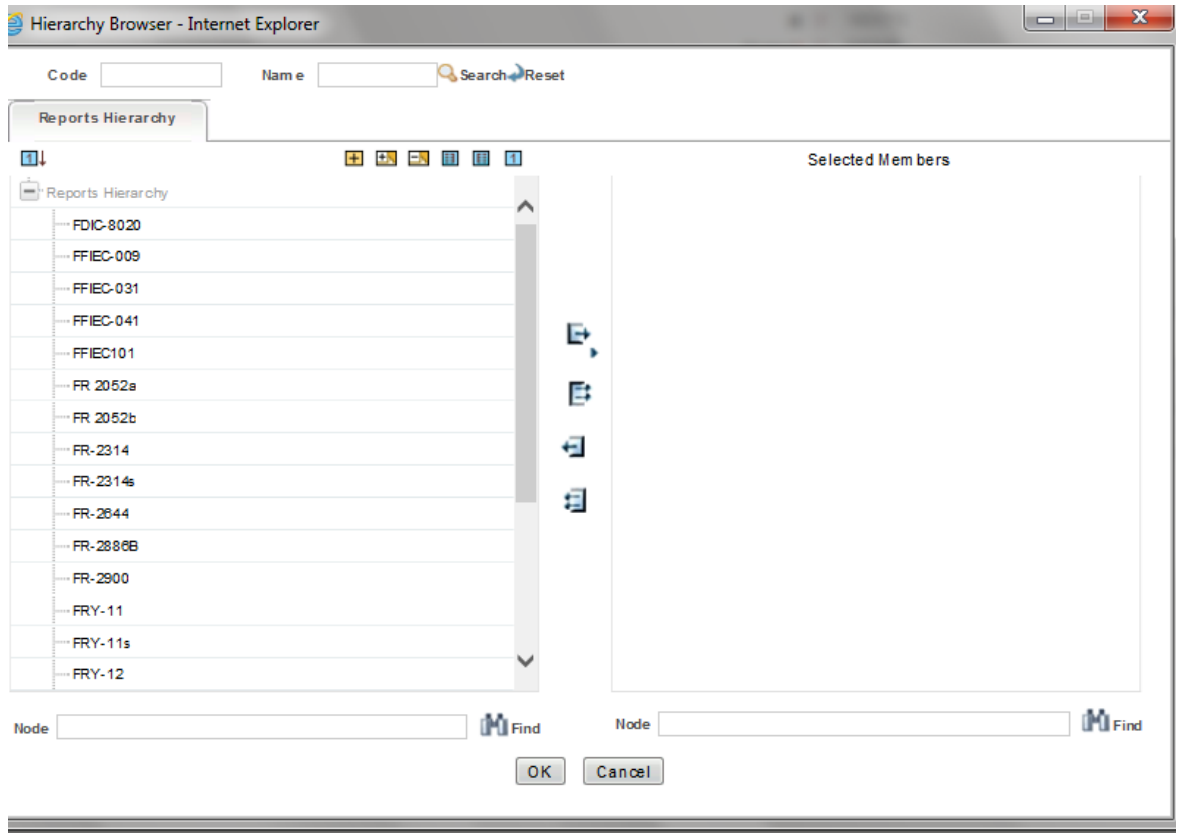
Objective* Regulatory Owner* OFSAD

Type* Regulatory Report Submission Frequency* Yearly

Description* Annual regulatory report submission plan

View More

Edit

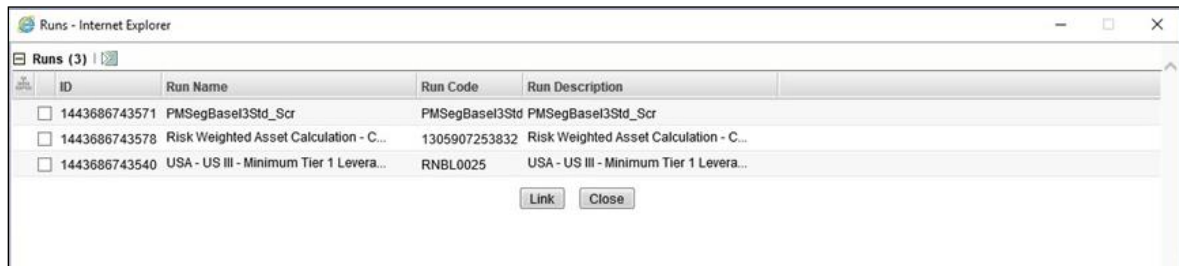


12.5 Linking the OFSAA Runs to a Plan

Data Governance for US Regulatory 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.

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

Metadata Publish is required to publish the Run related information.



12.6 Linking the Tasks to Runs

Data Governance for US Regulatory 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.

| 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 |

12.7 Linking the Dependent Tasks to Tasks

Data Governance for US Regulatory 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**.

| 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 |

12.8 Monitoring a Reporting Plan

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

12.9 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 **FSDP 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.

13 Dashboards

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

13.1 Data Quality Dashboards

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

For Data Quality refer to the [run chart](#) and execute the batch DGS_DQ_BATCH, DataProfile for the date on which the data quality check needs 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:

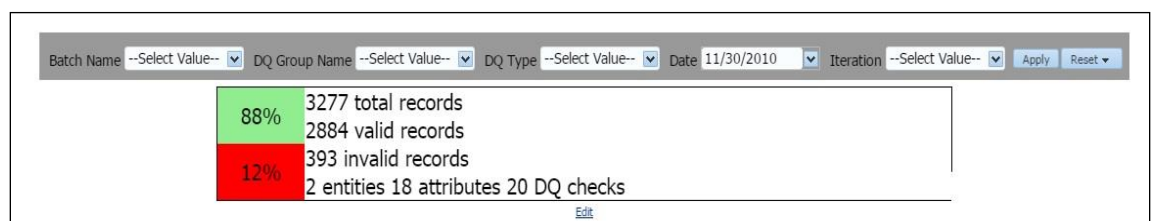
- Batch Name
- DQ Group Name
- DQ Type
- Date
- Iteration

Click **Apply** to generate the reports.

Click **Reset** to reset the values.

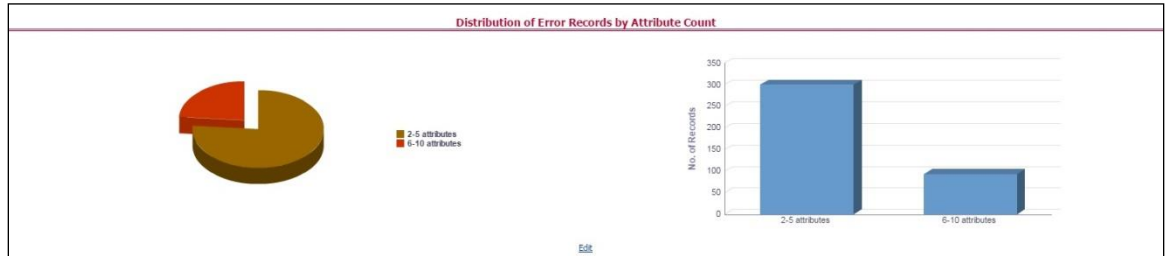
The first grid displays the following data:

- 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



13.1.1 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.

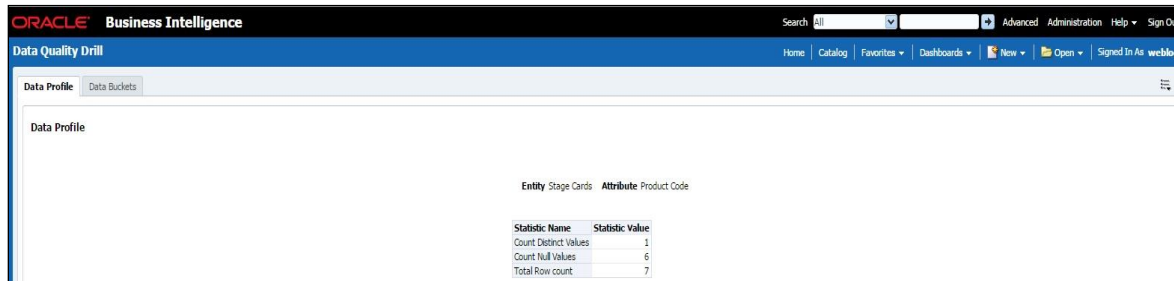


Click either on pie chart or bar graph to drill down to view the following details:

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

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

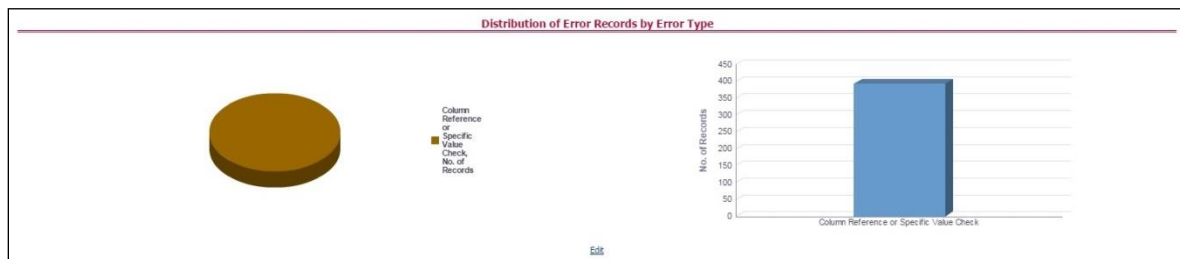
| Dimension | Node Code | Distribution Count |
|-------------------|-----------|--------------------|
| Product Dimension | NCF | 1 |
| | SLBA | 7 |

- 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



13.1.2 Distribution of Error Records by Error Type

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

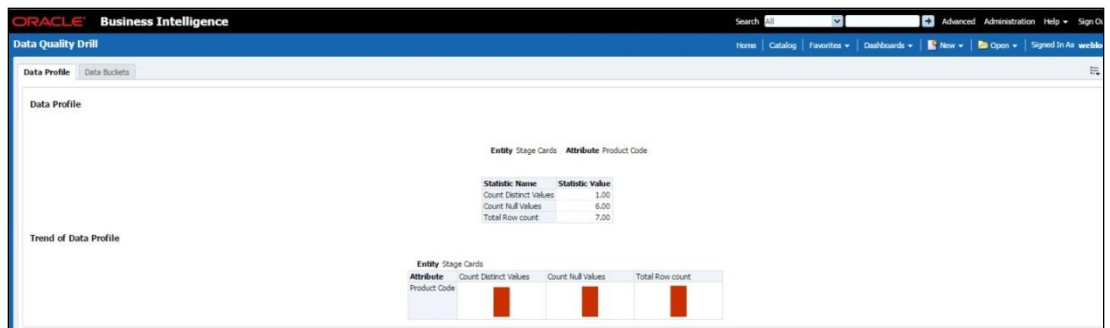


Click either the pie chart or the bar graph to get a drill down to view the following details:

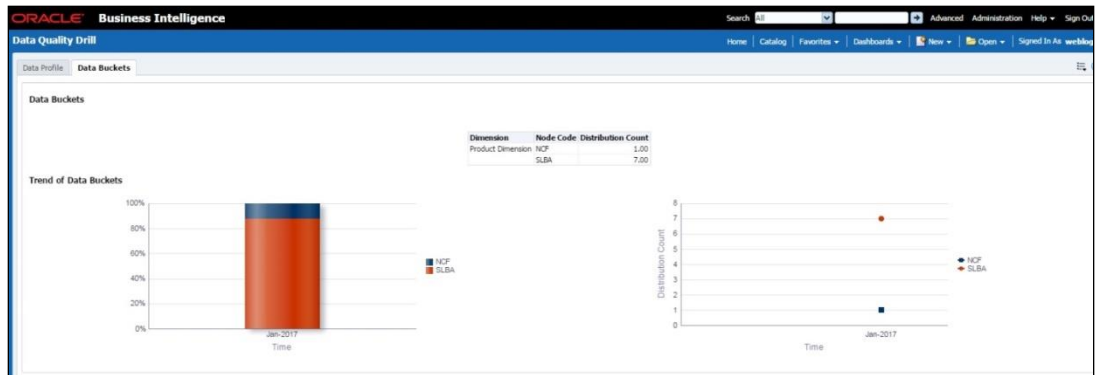
- Entity
- Attributes
- DQ Check Type Name
- Percentage of Rejected Records Count

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



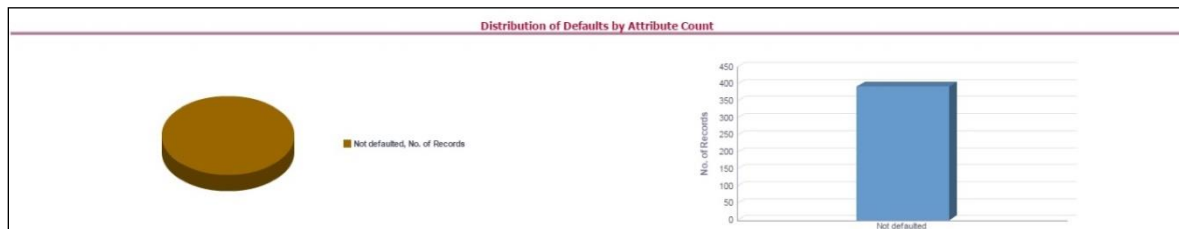
- Trend of Data Profile: A graphical representation of the following data based on the Entity-Attribute Name:
 - Count Distinct values
 - Count Null Values
 - Total Row Count
- Data Bucket: It displays two analysis:
 - Data Bucket: The tabular representation of the following data based on the Dimension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

13.1.3 Distribution of Defaults by Attribute Count

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



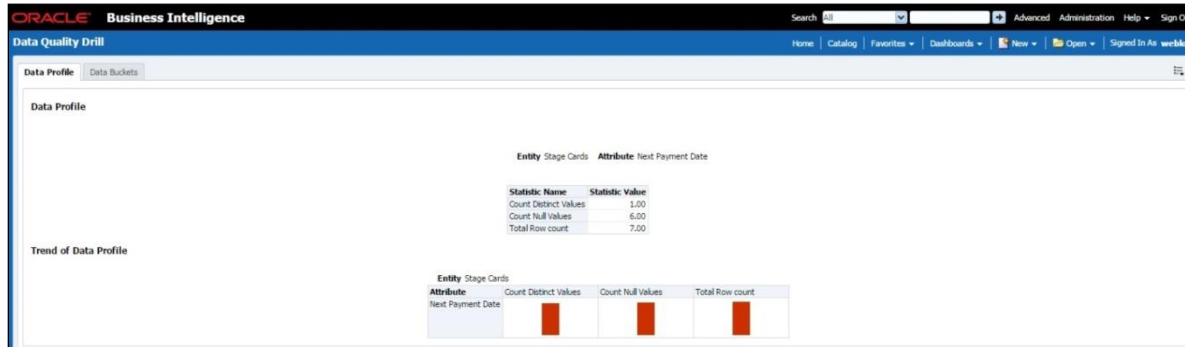
Click either the pie chart or bar graph to get drill down which displays the following details:

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

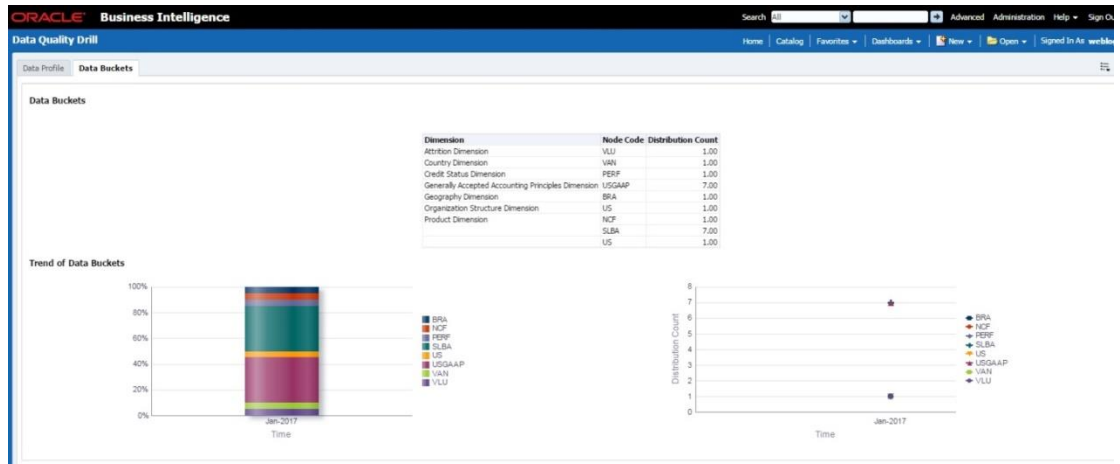
Click **Attributes** to display the following:

- 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

13.2 Controls Dashboard

Execute the batches corresponding to Controls to view the Controls dashboards. For Control Dashboard refer to the [run chart](#) and execute the batch DGS_CONTROL_BATCH for the date on which the control and assessment needs to be executed. Refer to the [Runchart](#) for further details.

This section displays two dashboard pages:

- Summary
- Controls by Regulatory Reports

13.2.1 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:

Total Controls: Provides the number of total controls present in the system.

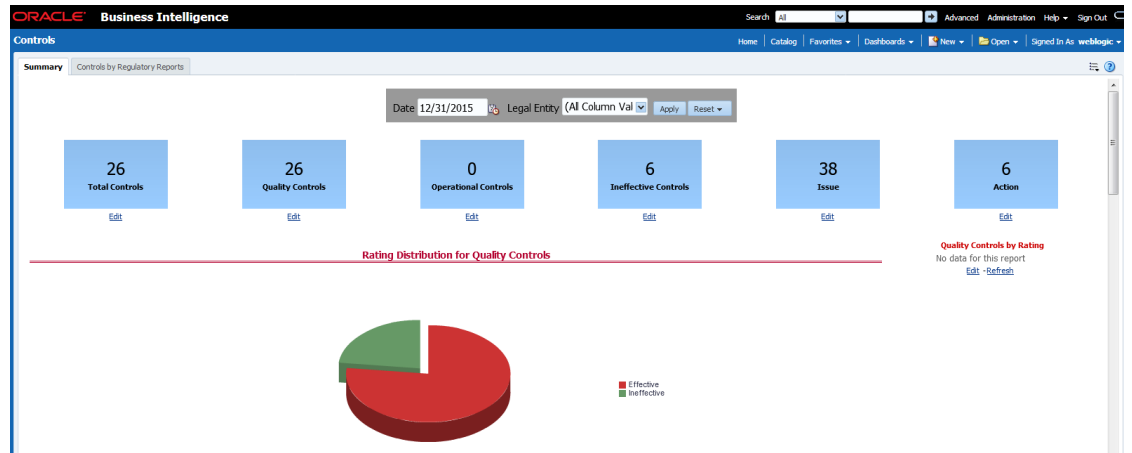
Quality Control: Provides the number of Quality controls present in the system.

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

Ineffective Controls: Provides the number of ineffective controls present in the system.

Issues: Provides the number of issues present in the system.

Action: Provides the number of actions present in the system.



13.2.1.1 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



Click the graphs to view the drill-down **Control Assessment** reports. The following data appears under the Control Assessment Details 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](#)

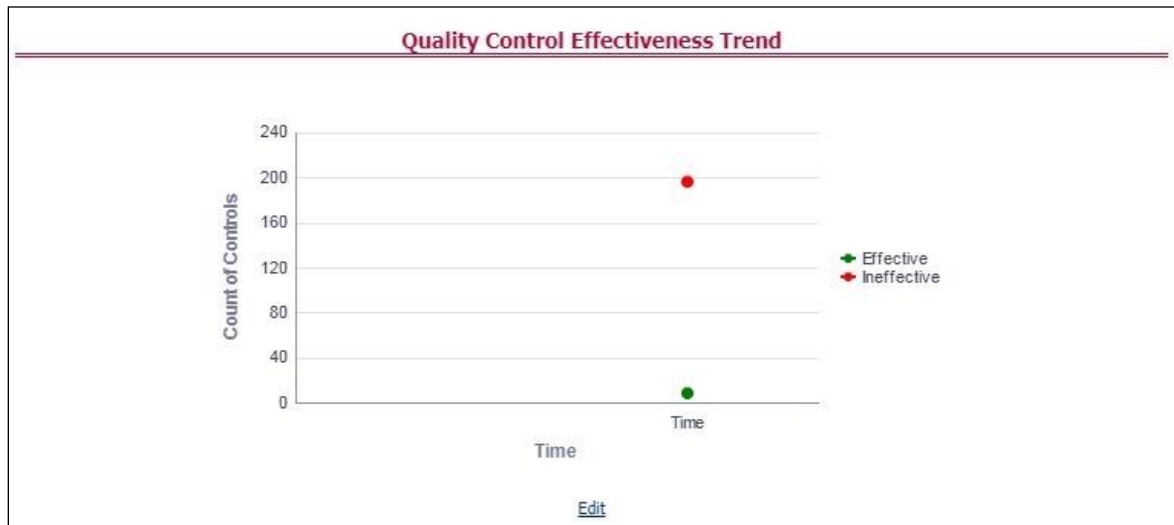
In the **Assessment ID** column, click the required link to view the drill-down **Control Parameter Score**.

| 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](#)

13.2.1.2 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.

13.2.1.3 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



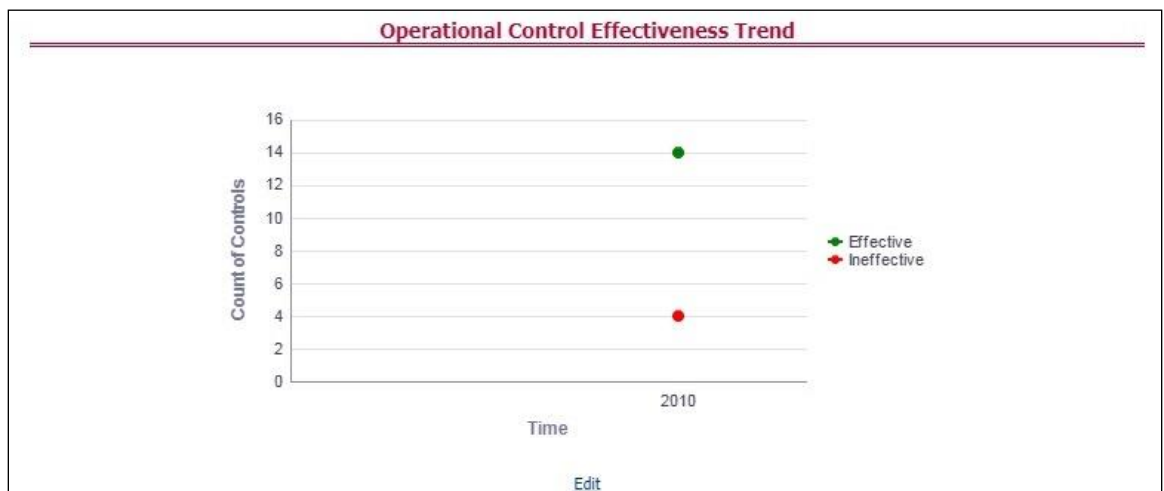
Click the graphs to view the drill-down **Control Assessment** reports. The following data appears under the Control Assessment dashboard:

- 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.

13.2.1.4 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.



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.

13.2.2 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 tabs (Home, Catalog, Favorites, Dashboards), and a filter section with dropdowns for 'Plan' (All Column Val), 'Legal Entity' (All Column Val), and 'Date' (12/31/2015). Below the filter is a table titled 'Quality Controls' with the following data:

| Entity Name | Name | Control Score | Control Rating | DQ Checks | Report Impact | Trend |
|--|---|---------------|----------------|-----------|---------------|-------------------------------|
| Wells Fargo Bank, National Association | Mitigant Type Code in Stage Mitigants | 82.00 | Ineffective | 1 | 1 | Trend of Assessment Parameter |
| | Mitigant Type Code in Stage Mitigants | 82.00 | Ineffective | 1 | 1 | Trend of Assessment Parameter |
| | Repricing Date in Stage Loan Contracts | 98.00 | Effective | 1 | 1 | Trend of Assessment Parameter |
| | Maturity Date in Stage Investments | 100.00 | Effective | 1 | 1 | Trend of Assessment Parameter |
| | Original Rate in Stage Loan Contracts | 100.00 | Effective | 1 | 1 | Trend of Assessment Parameter |
| | Repurchased Or Indemnified Flag in Stage Loan Contracts | 100.00 | Effective | 1 | 1 | Trend of Assessment Parameter |
| | Interest Rate Code in Stage Loan Contracts | 99.00 | Effective | 1 | 1 | Trend of Assessment Parameter |
| | End Of Period Balance in Stage Futures Contract | 99.00 | Effective | 1 | 1 | Trend of Assessment Parameter |

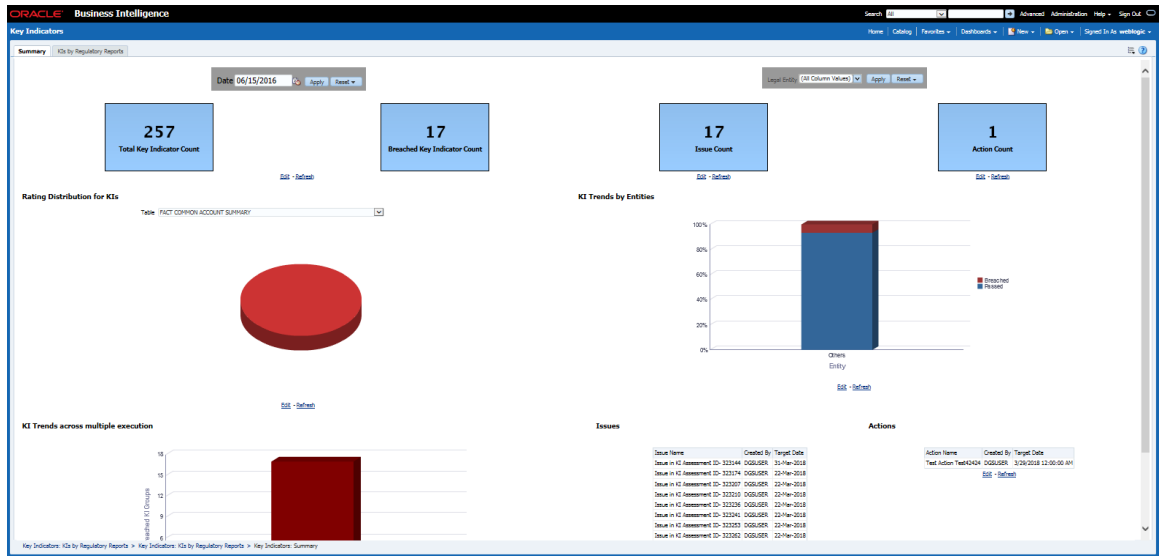
13.3 Key Indicators Dashboards

Key Indicators dashboard displays the various types of reports based on the analysis of the Key Indicators in the system. For the Key Indicators Dashboards refer to the [run chart](#) and execute the batch DGS_KI_BATCH for the date on which the Key Indicator needs to be executed. Refer to the [Runchart](#) for further details.

13.3.1 Key Indicators - Summary

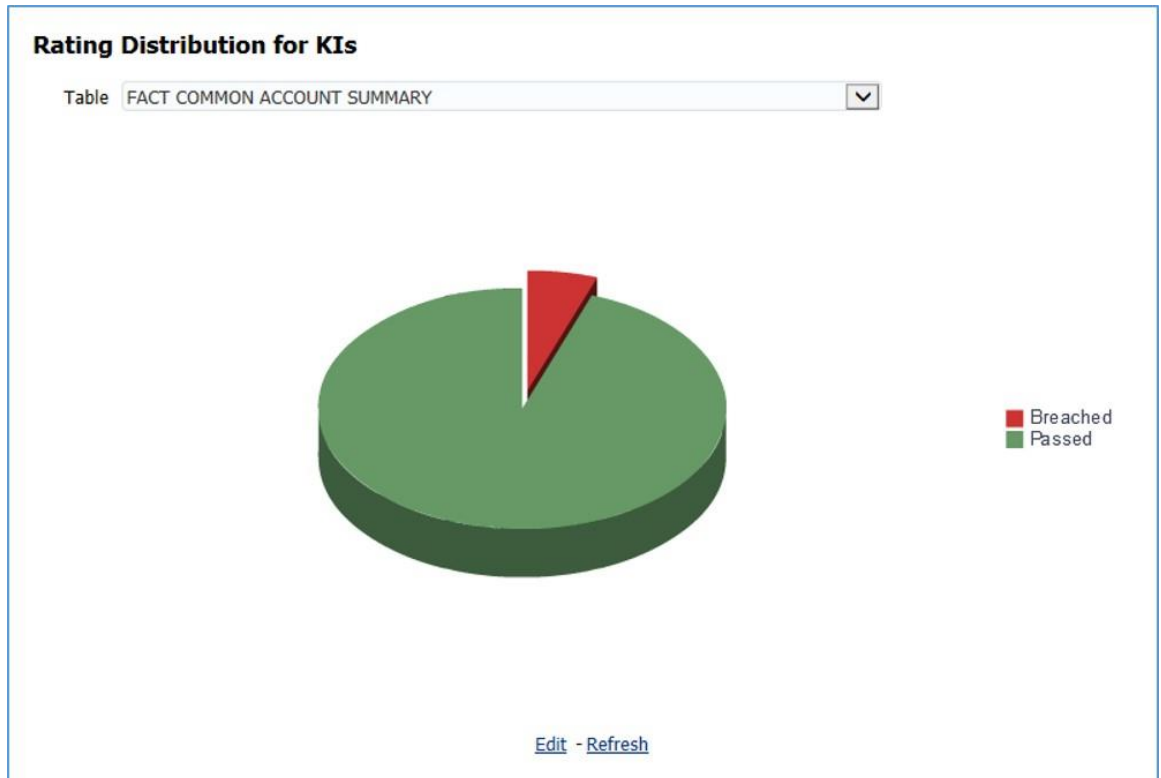
The **Summary** tab consists of these performance tiles:

- **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 Futures based Key Indicators.
 - **Action Count:** Displays the total number of Action based Key Indicators.

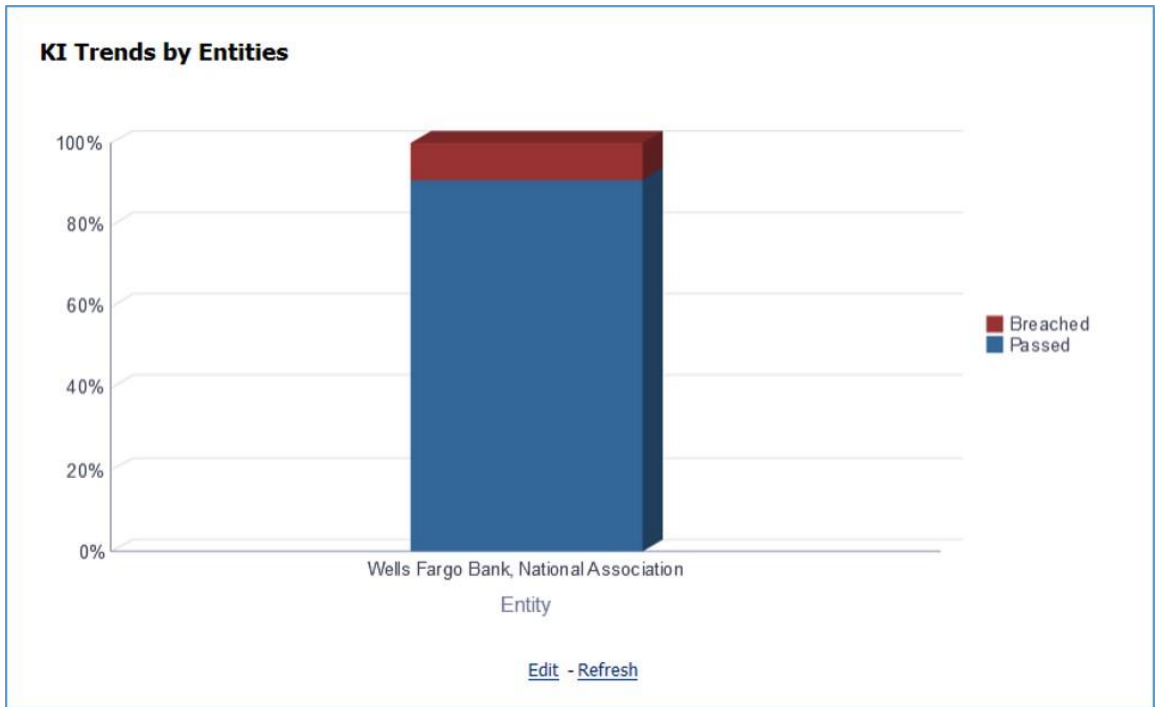


These are the KI Summary dashboard sections:

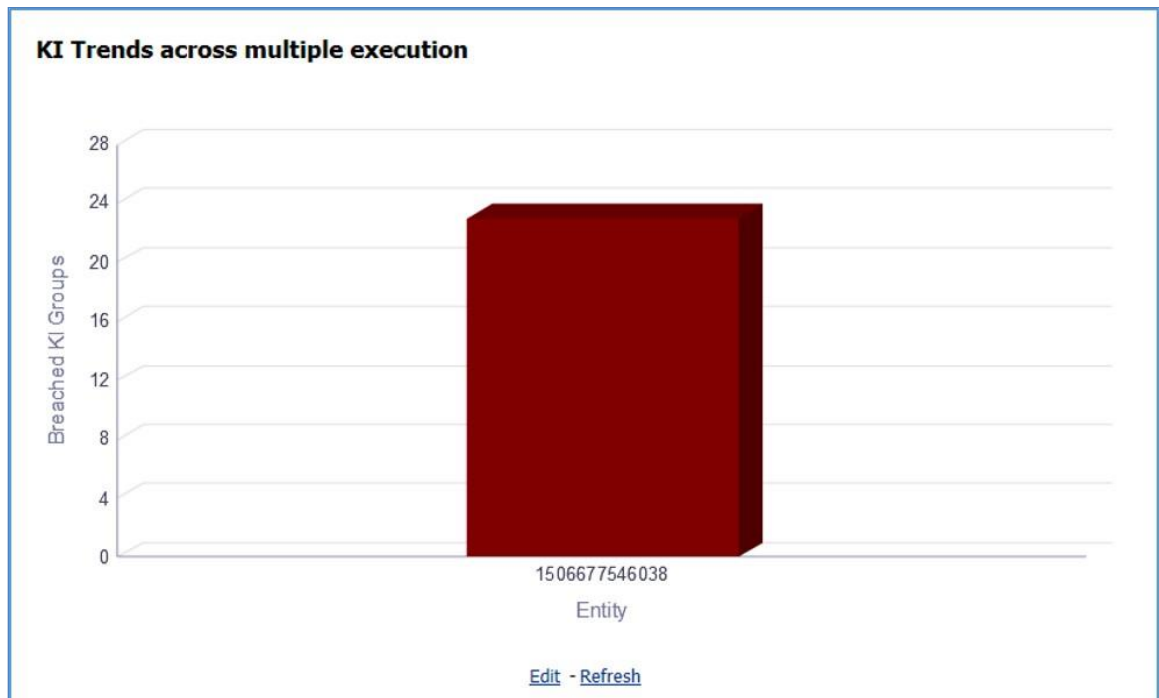
- **Rating Distribution for KIs:** Displays the latest rating distribution for the assessed Key Indicators.



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 |
| | | 04-Apr-2018 | Action for Data ADJ others | EBAUSER | 3/15/2018 12:00:00 AM |
| Issue in Control Assessment ID- 338735 | EBAUSER | 23-Mar-2018 | action DQ errors | EBAUSER | 3/15/2018 12:00:00 AM |
| Issue in Control Assessment ID- 338738 | EBAUSER | 23-Mar-2018 | action for others test | EBAUSER | 3/15/2018 12:00:00 AM |
| Issue in Control Assessment ID- 376251 | EBAUSER | 03-Apr-2018 | Edit - Refresh | | |
| Issue in Control Assessment ID- 376254 | EBAUSER | 03-Apr-2018 | | | |
| Issue in Control Assessment ID- 376257 | EBAUSER | 03-Apr-2018 | | | |
| Issue in KI Assessment ID- 323144 | EBAUSER | 22-Mar-2018 | | | |
| Issue in KI Assessment ID- 323174 | EBAUSER | 22-Mar-2018 | | | |
| Issue in KI Assessment ID- 323207 | EBAUSER | 22-Mar-2018 | | | |

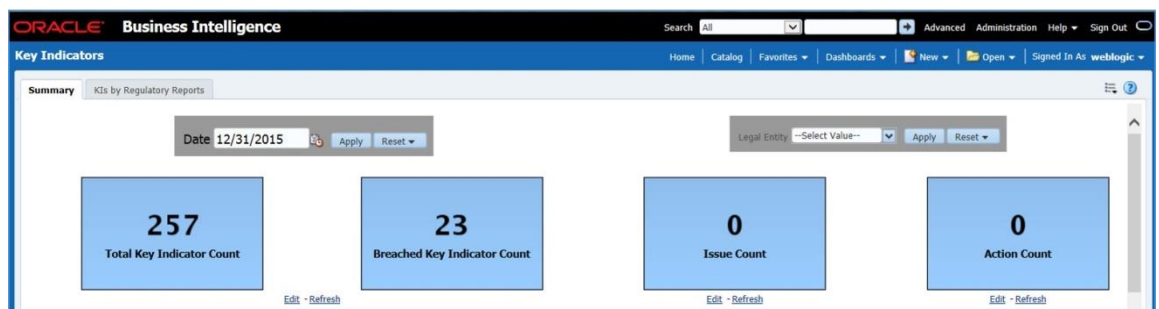
Rows 1 - 10
[Edit - Refresh](#)

13.3.1.1 Viewing Key Indicator Details

- To view the Key Indicator details:

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.



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

The following Key Indicator details appear:

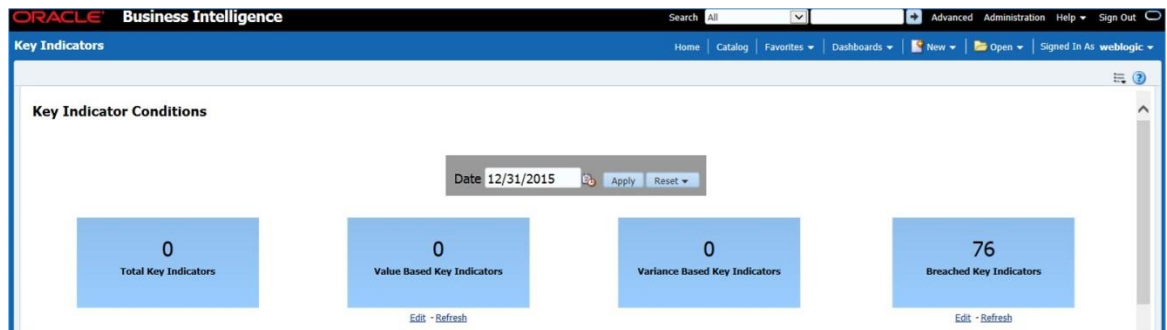
- Key Indicator ID
- Key Indicator Name
- Key Indicator Description
- Entity

- 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 | ACCRUED 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 |

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.

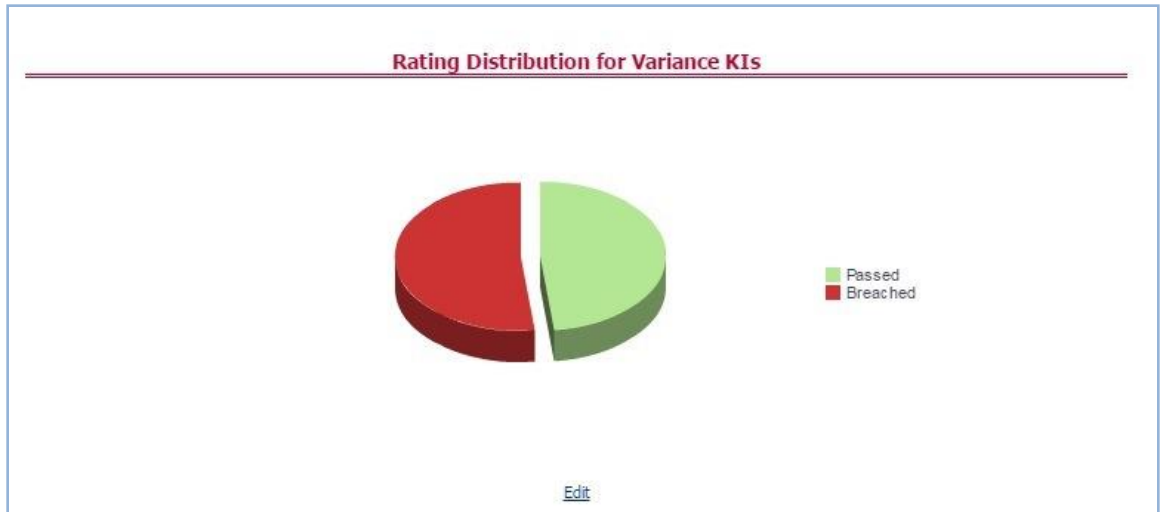


13.3.1.2 Viewing Key Indicator Conditions Details

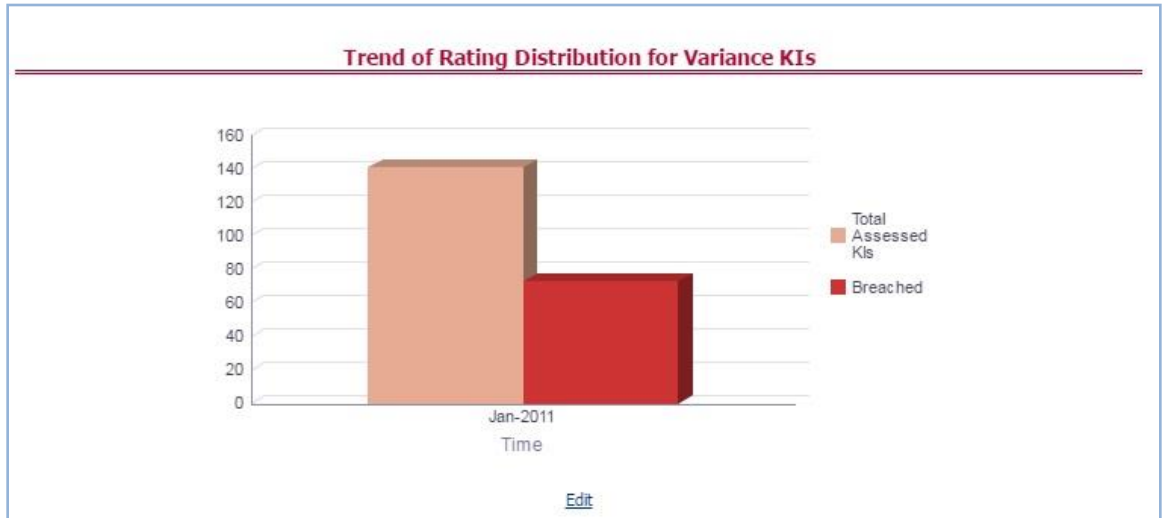
The **Key Indicator Conditions** page displays different Conditions based on which Key Indicators are assessed.

These are the sections of the Key Indicator Conditions dashboards:

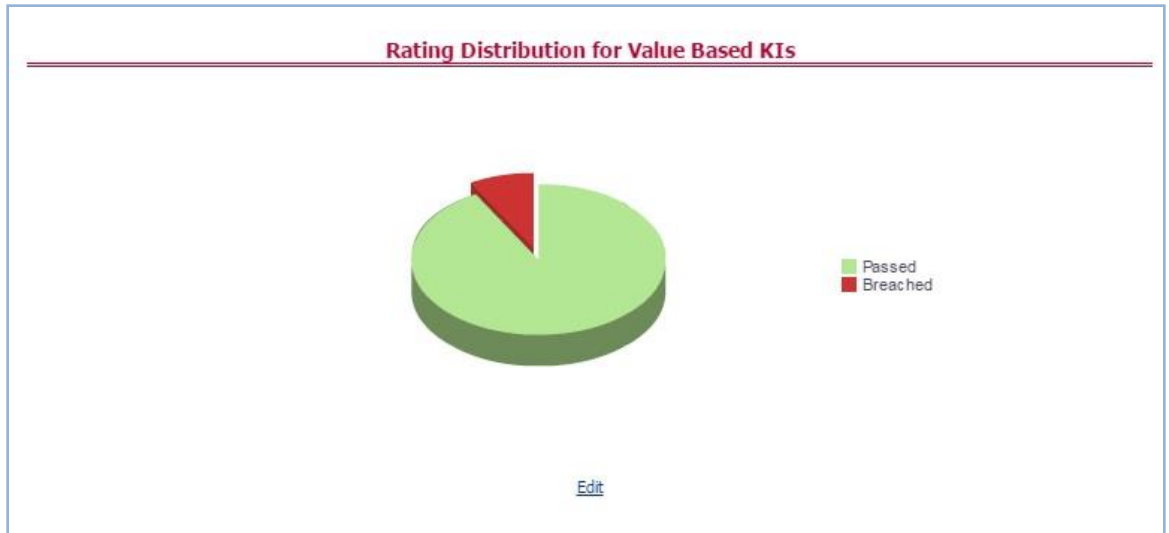
Rating Distribution for Variance KIs: This report displays the latest rating distribution for the assessed Variance Key Indicators.



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:

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

| 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 | KT 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 | KT 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 | KT 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 | KT Comments | Value Based |
| 33299 | Edit No.9040: Bhck4172 Should Not Be Negative | bhck4172 should not be negative | KT 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 | KT 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 | KT Comments | Value Based |
| 33947 | 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 | KT 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 | KT 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 | KT 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 | KT 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 | KT Comments | Value Based |

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.

| 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](#)

13.3.2 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. At the top, there is a navigation bar with 'ORACLE Business Intelligence' and a search bar. Below that, there are tabs for 'Summary' and 'KIs by Regulatory Reports'. A filter bar contains dropdown menus for 'Plan' (set to 'All Column Va'), 'Legal Entity' (set to 'All Column Va'), and 'Date' (set to '06/15/2016'), along with 'Apply' and 'Reset' buttons. The main content area is titled 'KI Group Details' and contains a table with the following data:

| 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.

6. To view the Assessment details of the selected Key Indicator, click **Dependent KIs**. The Assessment Details page appears.

| Assessment ID | Cell Reference | Current Period Value | Previous Period Value | Variance | Variance % | Rag Score | Status |
|---------------|----------------|----------------------|-----------------------|----------|------------|-----------|--------|
| 320751 | RCCMF221WORK | 0.00 | | | | | |

Return - Edit - Refresh - Create Bookmark Link

...ulatory 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.

Trend Analysis



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

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

| Key Indicator ID | Name | Description | Comment | Type |
|------------------|---|---|-------------|-------------|
| 35458.00 | Edit No.8400: 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(Aahaj003) Is Equal To Null, Then Probability Of Default (Pct) 0.03 To < 0.10(Aahbj003) Through Aahj003should Be Equal To Null | If AAHAJ003 is equal to null, then aahbj003 through aahj003should 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?(Assaj121) Must Not Be Negative | AKSAJ121 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-10064(F0404r030c050) Should Be Lesser Than Or Equal To 0 | F0404R030C050 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 Banks-Nominal Amount-39665(F0902r160c020) Should Be Greater Than Or Equal To 0 | F0902R160C020 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-1179(F1607r070c040) Should Be Lesser Than Or Equal To 0 | F1607R070C040 should be lesser than or equal to 0 and Edit no. is v3956_s | KI Comments | Value Based |

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

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

13.4 Process Monitoring

This dashboard provides the following two pages: For Process Monitoring refer to the [run chart](#) and execute the batch DGS_PM_BATCH for the date on which the Process Monitoring Runs and Tasks needs to be analysed. Refer to the [Runchart](#) for further details.

- Process Monitoring
- Process Analysis

13.4.1 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.

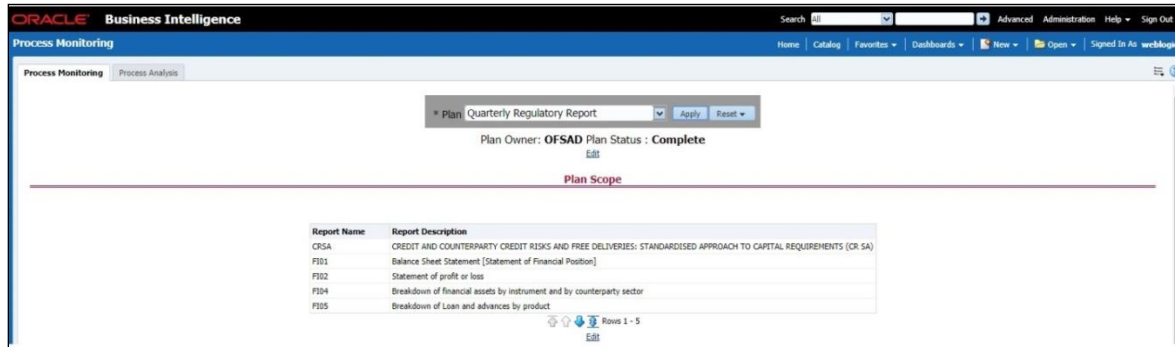
This section describes the following analysis:

- Plan Scope

- Task Tracking

13.4.1.1 Plan Scope

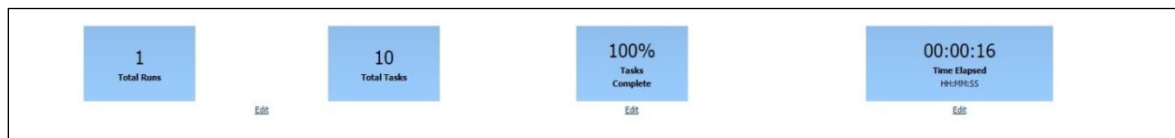
This grid displays the **Report Name** and **Report Description** associated with the selected Plan from the drop-down.



13.4.1.2 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.



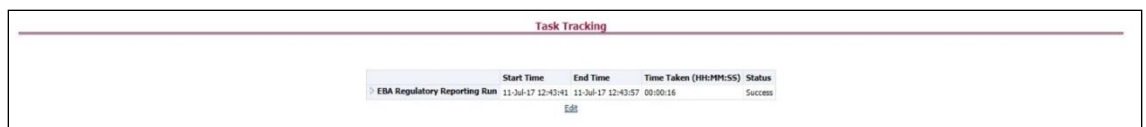
13.4.1.3 Task Tracking

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.

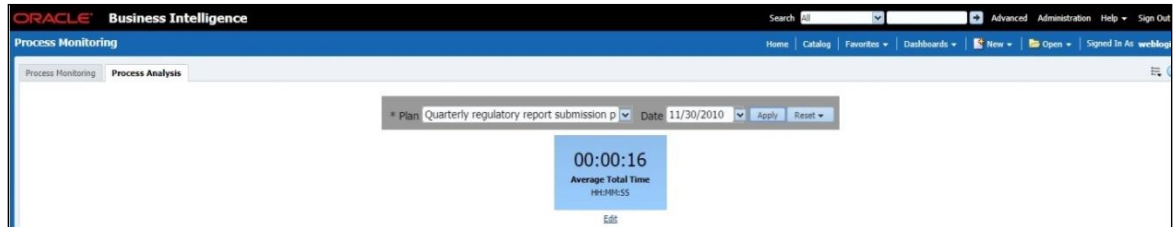
- **End Time:** Displays the end time of each Run on the Run level and the end time of each task associated with the Run
- **Time Taken:** Displays the total time taken by each Run on the Run level and the time taken by each task associated with the Run.
- **Status:** It displays the status of each Run on the Run level and the status of each task associated with the Run.



13.4.2 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.

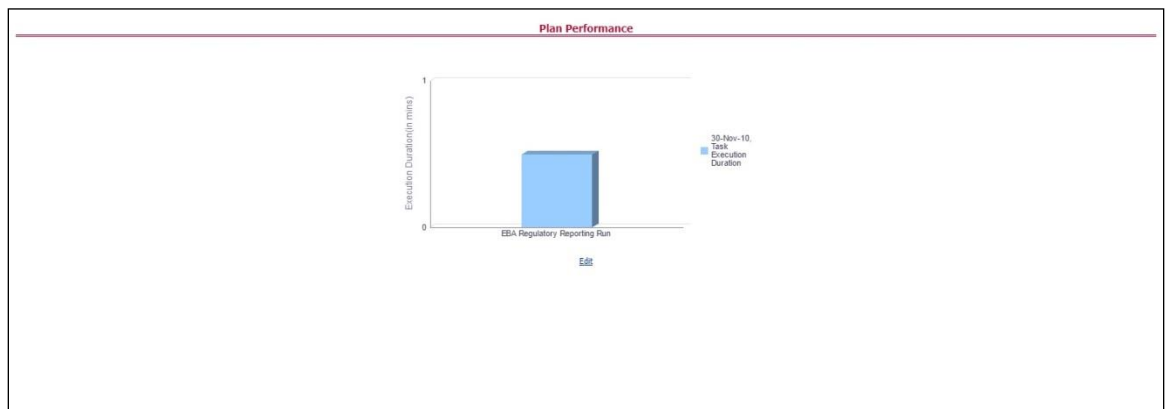


The following sections appear in this dashboard:

- 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

13.4.2.1 Plan Performance

This report displays the time taken by the Run.



Click the **X** axis to view the Task level details.

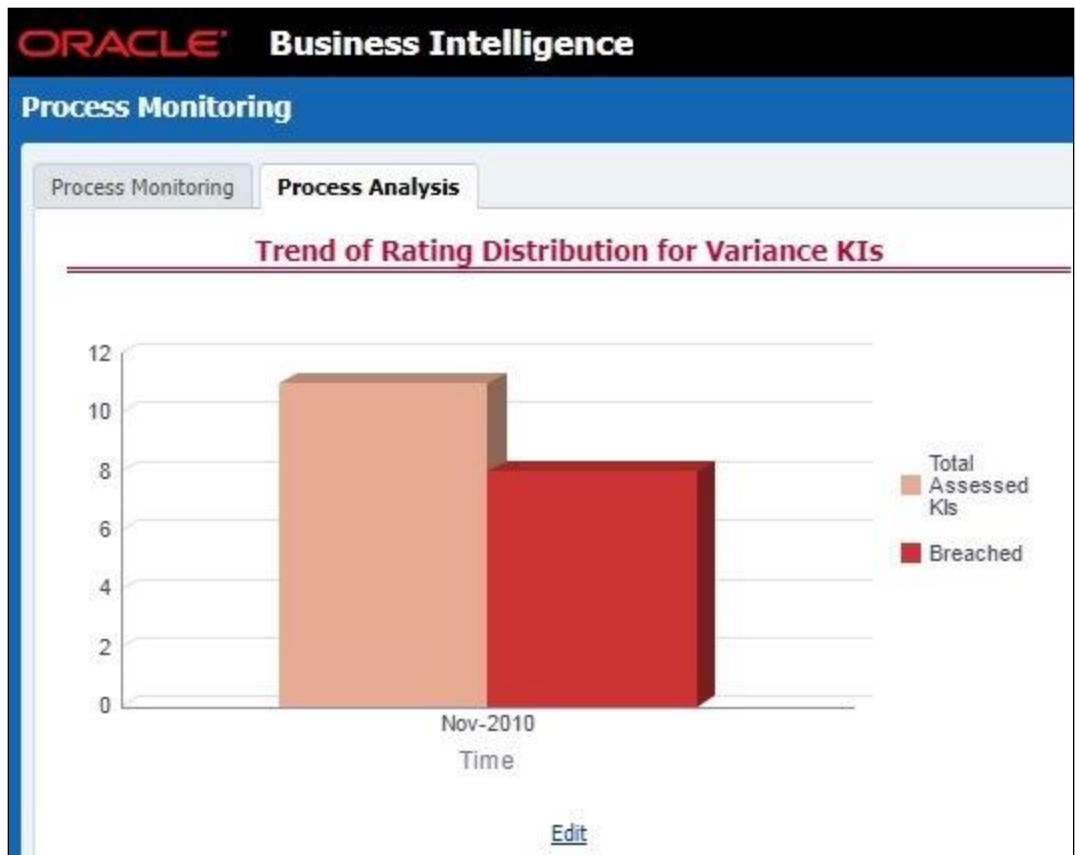
13.4.2.2 Longest Running Tasks

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 Recl - 3 | 00:00:14 |
| Standard Reg Deposit Type Re-Class | 00:00:12 |
| Standard Reg Product Type Recl - 4 | 00:00:12 |
| RL - Reg Trading Acct Book Type | 00:00:11 |
| Standard Reg Product Type Recl - 2 | 00:00:10 |
| Standard Reg Product Type Recl - 1 | 00:00:09 |
| Standard Reg Product Type Recl - 5 | 00:00:09 |
| DPO Band - Reg Account Summary | 00:00:00 |
| Residual Maturity Band - Reg Account Summary | 00:00:00 |

13.4.2.3 Trend of Rating Distribution for Variance KIs

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



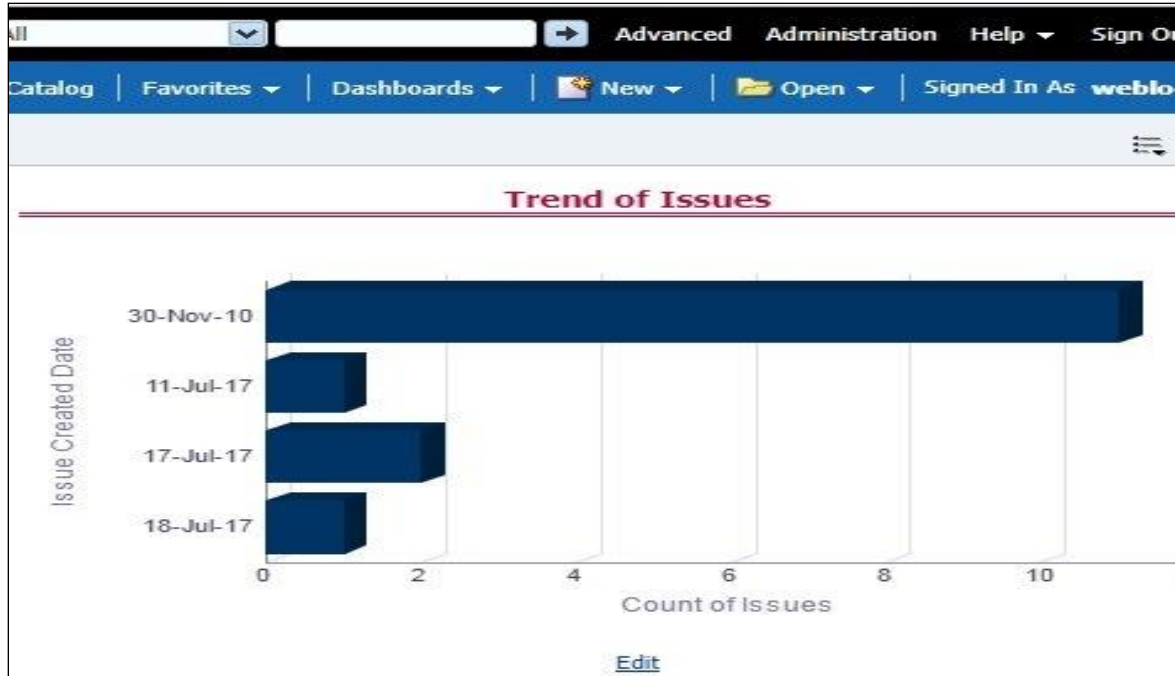
13.4.2.4 Trend of Rating Distribution for Value Based KIs

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



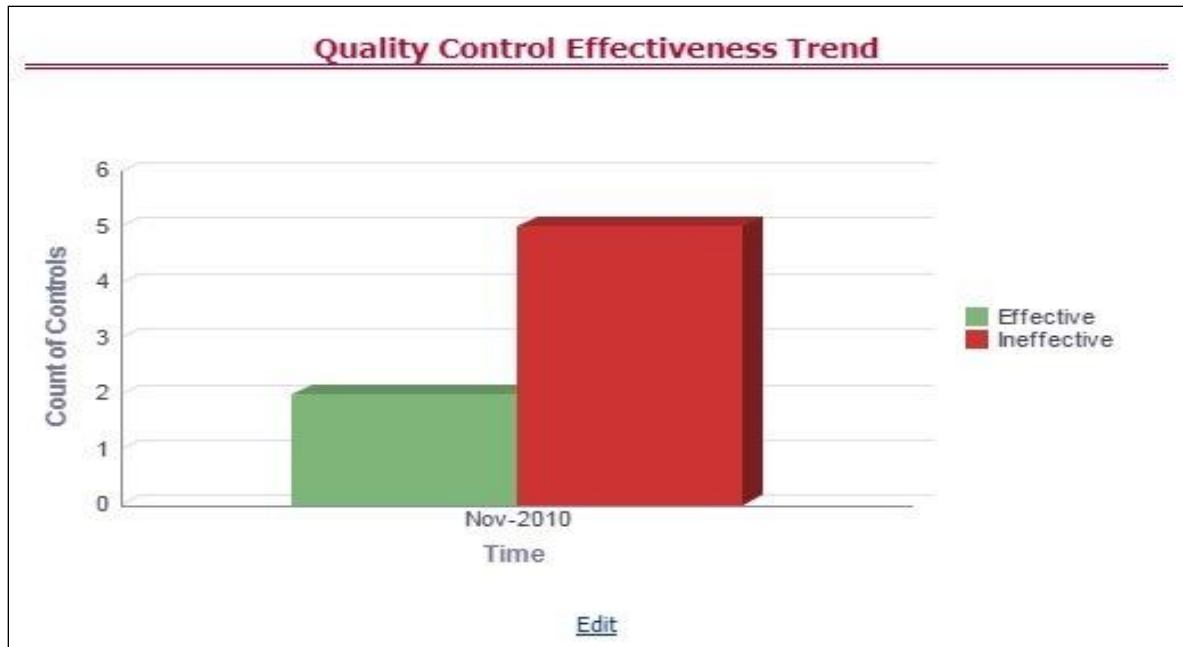
13.4.2.5 Trend of Issues

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



13.4.2.6 Quality Control Effectiveness Trend

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



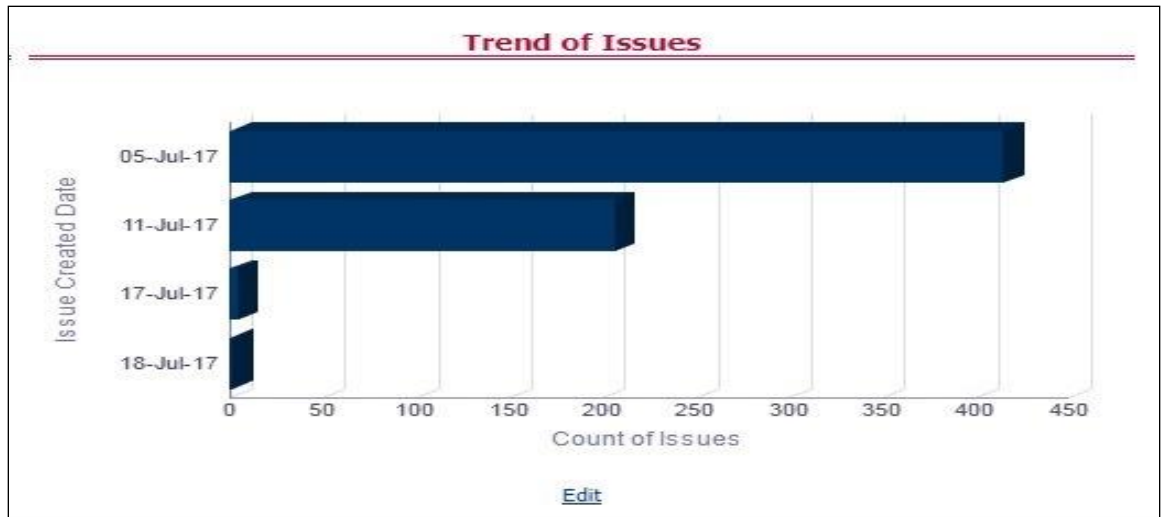
13.4.2.7 Operational Control Effectiveness Trend

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



13.4.2.8 Trend of Issues

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



13.5 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.

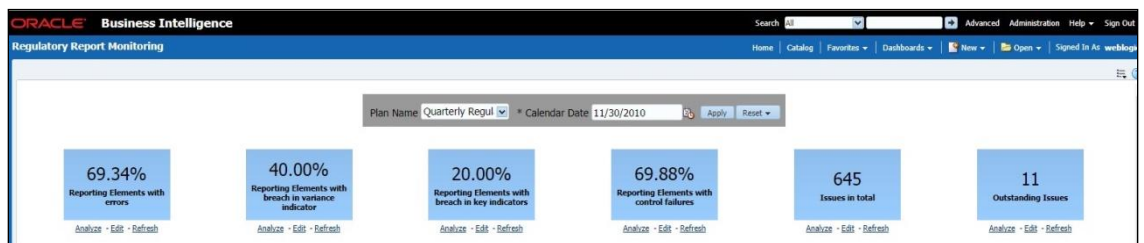
The following values are displayed in terms of Performance Tiles:

- **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

13.5.1 Plan Analysis by Report

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

7. 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 | | | | | | |
|-------------------------|-------|-----------|---------------------------|-----------|-----------------|-----|
| Report / Schedule | Total | No Errors | Reporting Elements | | | |
| | | | Variance Indicator breach | KI Breach | Control Failure | |
| > CRSA | 26 | 0 | 0 | 0 | 0 | 26 |
| > FB02 | 5 | 1 | 0 | 0 | 0 | 0 |
| > FI14 | 32 | 0 | 0 | 0 | 0 | 32 |
| > FI16 | 4 | 0 | 0 | 0 | 0 | 4 |
| > FI18 | 124 | 0 | 0 | 0 | 0 | 124 |
| > FI20 | 48 | 0 | 8 | 4 | 0 | 28 |
| > LEXP | 18 | 0 | 0 | 0 | 0 | 18 |
| > LR | 103 | 102 | 0 | 0 | 0 | 1 |

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

8. 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 |
|--------------|----------------|----------------------|-------------------------|---------------------|
| F1201 F12001 | F12001R020C010 | No | No | No |
| | F12001R020C020 | No | No | No |
| | F12001R030C010 | No | No | No |
| | F12001R030C020 | No | No | No |
| | F12001R040C010 | No | Yes | Yes |
| | F12001R040C020 | No | No | Yes |
| | F12001R060C010 | No | No | No |
| | F12001R060C020 | No | No | No |
| | F12001R070C010 | No | No | Yes |
| | F12001R070C020 | No | No | Yes |
| | F12001R080C010 | No | No | Yes |
| | F12001R080C020 | No | No | Yes |
| | F12001R090C010 | No | No | No |
| | F12001R090C020 | No | No | No |
| | F12001R110C010 | No | No | Yes |
| | F12001R110C020 | No | No | Yes |
| | F12001R120C010 | No | No | Yes |
| | F12001R120C020 | No | No | Yes |
| | F12001R130C010 | No | No | No |
| | F12001R130C020 | No | No | No |
| | F12001R150C010 | No | No | Yes |
| | F12001R150C020 | No | No | Yes |
| | F12001R160C010 | No | No | Yes |

9. 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 | F12001R020C010 | No | No | No |
| | F12001R020C020 | No | No | No |
| | F12001R020C030 | No | No | No |
| | F12001R060C010 | No | No | No |
| | F12001R060C020 | No | No | No |
| | F12001R090C010 | No | No | No |
| | F12001R090C020 | No | No | No |
| | F12001R130C010 | No | No | No |
| | F12001R130C020 | No | No | No |
| | F12001R170C010 | No | No | No |
| | F12001R170C020 | No | No | No |
| | F12001R200C010 | No | No | No |
| | F12001R200C020 | No | No | No |
| | F12001R230C010 | No | No | No |
| | F12001R230C020 | No | No | No |
| | F12001R240C010 | No | No | No |
| | F12001R240C020 | No | No | No |
| | F12001R250C010 | No | No | No |
| | F12001R250C020 | No | No | No |

10. 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 is 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 | OPFAD | F120 | F12002R04CC010 | 530022 | 330022 | 200000 | 61 | 61 | ● | ● |
| Derivatives-domestic activities-11320 | OPFAD | F120 | F12002R02CC010 | 1000000 | 660044 | 339956 | 52 | 52 | ● | ● |
| Derivatives-non-domestic activities-11326 | OPFAD | F120 | F12002R02CC020 | 832924 | 632924 | 200000 | 32 | 32 | ● | ● |
| Non-current assets and disposal groups classified as held for sale-domestic activities-10901 | OPFAD | F120 | F12001R310CC010 | 620154 | 820154 | -200000 | -24 | -24 | ● | ● |
| Non-current assets and disposal groups classified as held for sale-non-domestic activities-10902 | OPFAD | F120 | F12001R310CC020 | 580000 | 780000 | -200000 | -26 | -26 | ● | ● |
| Other assets-domestic activities-113133 | OPFAD | F120 | F12001R300CC010 | 1060044 | 1000000 | 6044 | 6 | 6 | ● | ● |
| Other assets-non-domestic activities-113138 | OPFAD | F120 | F12001R300CC020 | 1040022 | 840022 | 200000 | 24 | 24 | ● | ● |
| Short positions-non-domestic activities-11329 | OPFAD | F120 | F12002R03CC020 | 832924 | 632924 | 200000 | 32 | 32 | ● | ● |

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 | F12002R04CC010 | OPFAD | 31-Jul-2017 | Open | | | | Create Action |
| 298390 | Threshold value breached for Variance of derivatives-domestic activities-11320 | Variance of derivatives-domestic activities-11320 | F12002R02CC010 | OPFAD | 31-Jul-2017 | Open | | | | Create Action |
| 298432 | Threshold value breached for Variance of derivatives-non-domestic activities-11326 | Variance of derivatives-non-domestic activities-11326 | F12002R02CC020 | OPFAD | 31-Jul-2017 | Open | | | | Create Action |
| 298446 | 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 | F12001R310CC010 | OPFAD | 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 | F12001R310CC020 | OPFAD | 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 | F12001R300CC010 | OPFAD | 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 | F12001R300CC020 | OPFAD | 31-Jul-2017 | Open | | | | Create Action |

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 Regulatory Report Monitoring interface. The main content area is titled "Value Based Indicators" and displays a table of indicators. The table has columns for Name, Owner, Report, Cell Reference, Status, and Status (Last Period). There are five rows of indicators, each with a red status indicator in the Status column.

| Name | Owner | Report | Cell Reference | Status | Status (Last Period) |
|--|-------|--------|----------------|--------|----------------------|
| Quality Indicator for 11226 and Edit no. is v3961_s | OPFAD | FI20 | FI2002R080C010 | ● | ● |
| Quality Indicator for 112788 and Edit no. is v3136_m | OPFAD | FI20 | FI2004R190C022 | ● | ● |
| Quality Indicator for 112788 and Edit no. is v404_s | OPFAD | FI20 | FI2004R190C022 | ● | ● |
| Quality Indicator for 11322 and Edit no. is v3961_s | OPFAD | FI20 | FI2002R060C010 | ● | ● |
| Quality Indicator for 11325 and Edit no. is v3961_s | OPFAD | FI20 | FI2002R040C020 | ● | ● |

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
-

The screenshot shows the "Issue Details - Value-Based Indicators" drill-down report. It contains a table with columns for Issue Name, Key Indicator, Cell Reference, Issue Owner, Target Completion Date, Issue Status, Action Name, Action Status, Action Owner, and Create Action. There are five rows of data, each representing a specific issue and its associated key indicator.

| 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 | FI2002R080C010 | OPFAD | 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 | FI2004R190C022 | OPFAD | 31-Jul-2017 | Open | | | | Create Action |
| Threshold value breached for Quality Indicator for 112788 and Edit no. is v404_s | Quality Indicator for 112788 and Edit no. is v404_s | FI2004R190C022 | OPFAD | 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 | FI2002R060C010 | OPFAD | 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 | FI2002R040C020 | OPFAD | 31-Jul-2017 | Open | | | | Create Action |

11. 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

| Control Name | Data Quality Checks | Owner | Effectiveness | Cell Reference |
|--------------------------------------|---------------------|-------|---------------|----------------|
| Product Type in Stage Loan Contracts | Failed | | Ineffective | FI2001R040C010 |
| | | | | FI2001R040C020 |
| | | | | FI2001R070C010 |
| | | | | FI2001R070C020 |
| | | | | FI2001R080C010 |
| | | | | FI2001R080C020 |
| | | | | FI2001R110C010 |
| | | | | FI2001R110C020 |
| | | | | FI2001R120C010 |
| | | | | FI2001R120C020 |
| | | | | FI2001R150C010 |
| | | | | FI2001R150C020 |
| | | | | FI2001R160C010 |
| | | | | FI2001R160C020 |
| | | | | FI2001R190C010 |
| | | | | FI2001R190C020 |
| | | | | FI2001R220C010 |
| | | | | FI2001R220C020 |
| | | | | FI2005R010C010 |
| | | | | FI2005R010C020 |

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

| Issue Name | Control Name | Cell Reference | Issue Owner | Target Completion Date | Issue Status | Action Name | Action Owner | Action Status | Create Action |
|--|--------------------------------------|----------------|-------------|------------------------|--------------|-------------|--------------|---------------|---------------|
| Issue in Control Assessment ID- 288396 | Product Type in Stage Loan Contracts | FI2001R040C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R040C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R070C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R070C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R080C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R080C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R110C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R110C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R120C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R120C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R150C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R150C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R160C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R160C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R190C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R190C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R220C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2001R220C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2005R010C010 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |
| | | FI2005R010C020 | OPFAD | 12-Jul-2017 | Open | | | | Create Action |

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

- ID
- DQ Check

- Type
- Result
- Entity
- Attribute

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Regulatory Report Monitoring

Data Quality Details

| ID | DQ Check | Type | Result | Entity | Attribute |
|-----------|---|--------|----------------------|--------------|-----------|
| DQUSTACTY | 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](#)

13.5.2 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-11338 | OFSAD | 31-Jul-2017 | Open | | | |
| 298645 | Threshold value breached for Quality Indicator for 11226 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](#)

13.5.3 Create Action

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

Save Draft | Cancel

ID: 301066

Action Name* ?

Description ?

Criticality* ?

Start Date* ?

Reminder(days)* ?

Component* ?

Comments ?

Owner* ?

Target Date* ?

Primary Source ? Instrument Code in Stage Investments

13.6 Scenario Analysis Dashboard

This section contains two dashboard pages:

- Scenario Analysis Dashboard
- Details

13.6.1 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.

13.6.1.1 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:

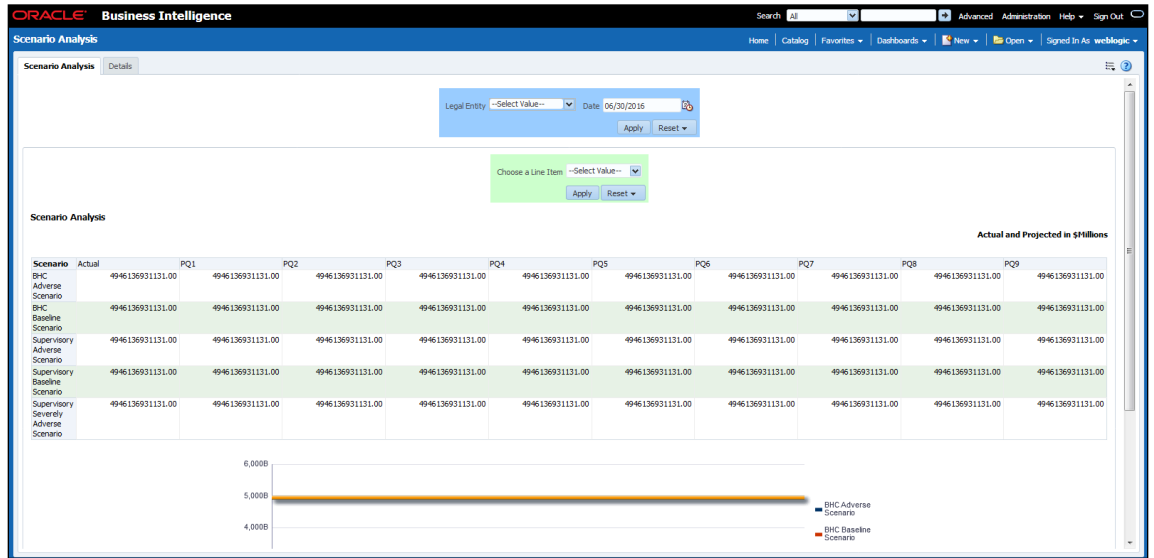
- Scenario
- Actual

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.



13.6.2 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 with a different dropdown menu labeled 'Choose a Scenario'. The main content area is titled 'Scenario Analysis' and contains a detailed table of line items and their values across quarters PQ1 to PQ9.

| Line Item | Actual | PQ1 | PQ2 | PQ3 | PQ4 | PQ5 | PQ6 | PQ7 | PQ8 | PQ9 |
|---|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| (DEPRECIATION) - NON-DOMESTIC ACTIVITIES - 57013(FI2003R170C020) SHOULD BE GREATER THAN OR EQUAL TO ZERO AND RULE ID IS V3962_S1: | 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 RIAD4313 > 0 THEN RIAD4313 < 0 GREATER THAN 0 | | | | | | | | | | |
| EDIT NO. IS 7126: IF SUM OF RCON804 AND RCON805 GREATER THAN 0 THEN RIAD492 GREATER THAN 0 | | | | | | | | | | |
| EDIT NO. IS 7126: IF SUM OF RCON804 THROUGH RCON4591 GREATER THAN 0 THEN RIAD492 GREATER THAN 0 | | | | | | | | | | |
| EDIT NO. IS 7583: IN MARCH, IF RIAD6909 GREATER THAN 10 THEN RCON898 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: BHCF4507 SHOULD BE LESS THAN OR EQUAL TO BHCF4060: | 255.00 | 255.00 | 255.00 | 255.00 | 255.00 | 255.00 | 255.00 | 255.00 | 255.00 | 255.00 |
| EDIT NO. IS 1300: BHCF328 SHOULD BE LESS THAN OR EQUAL TO BHCF4435: | 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 BHCF552 NOT EQUAL 0 THEN BHCF551 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 BHCF554 NOT EQUAL 0 THEN BHCF553 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 BHCF551 (PREVIOUS) IS NOT EQUAL TO ZERO, THEN THE BHCF551 (CURRENT) SHOULD NOT BE EQUAL TO ZERO: | | | | | | | | | | |
| EDIT NO. IS 226: FOR JUNE, SEPTEMBER, AND DECEMBER, IF BHCF553 (PREVIOUS) IS NOT EQUAL TO ZERO, THEN THE BHCF553 (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: RIAD4133 LESS THAN OR EQUAL TO SUM OF RIAD487 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 390: RIAD4507 LESS THAN OR EQUAL TO RIAD4065: | 1020.00 | 1020.00 | 1020.00 | 1020.00 | 1020.00 | 1020.00 | 1020.00 | 1020.00 | 1020.00 | 1020.00 |

13.7 Validation Checks Dashboard

This section contains two dashboard pages:

- Validation Checks Dashboard
- Cross Report Validation Dashboard

13.7.1 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.

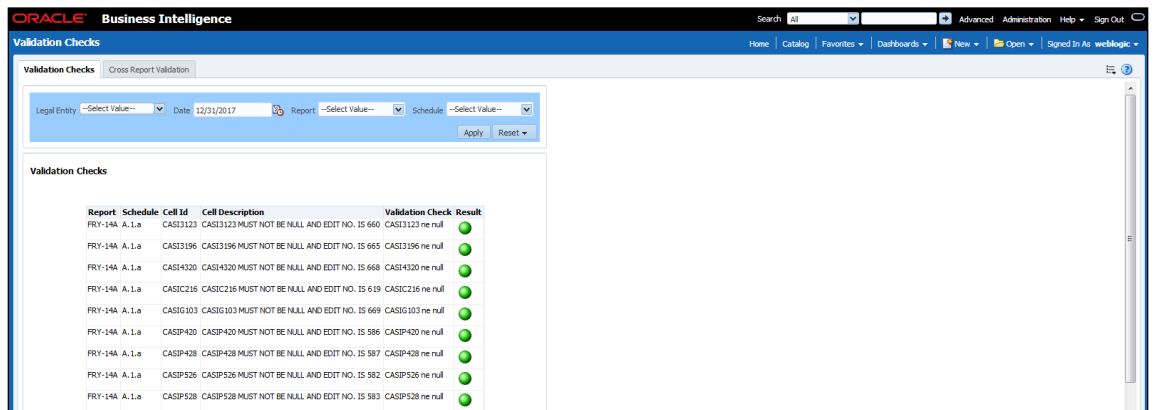
Schedule: Provides the value that you selected in the **Schedule** drop-down box.










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-144 A. 1.a | CAS13123 | CAS13123 | MUST NOT BE NULL AND EDIT NO. IS 660 CAS13123 ne null |  |
| FRY-144 A. 1.a | CAS13196 | CAS13196 | MUST NOT BE NULL AND EDIT NO. IS 665 CAS13196 ne null |  |
| FRY-144 A. 1.a | CAS14320 | CAS14320 | MUST NOT BE NULL AND EDIT NO. IS 668 CAS14320 ne null |  |
| FRY-144 A. 1.a | CAS1216 | CAS1216 | MUST NOT BE NULL AND EDIT NO. IS 619 CAS1216 ne null |  |
| FRY-144 A. 1.a | CAS103 | CAS103 | MUST NOT BE NULL AND EDIT NO. IS 669 CAS103 ne null |  |
| FRY-144 A. 1.a | CAS1420 | CAS1420 | MUST NOT BE NULL AND EDIT NO. IS 586 CAS1420 ne null |  |
| FRY-144 A. 1.a | CAS1428 | CAS1428 | MUST NOT BE NULL AND EDIT NO. IS 587 CAS1428 ne null |  |
| FRY-144 A. 1.a | CAS1526 | CAS1526 | MUST NOT BE NULL AND EDIT NO. IS 582 CAS1526 ne null |  |
| FRY-144 A. 1.a | CAS1528 | CAS1528 | MUST NOT BE NULL AND EDIT NO. IS 583 CAS1528 ne null |  |

13.7.2 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.

The screenshot shows the Oracle Business Intelligence Validation Checks interface. The 'Cross Report Validation' section is active, displaying a table of validation results. The table includes columns for Report 1 Cell Identifier, Report 2 Cell Identifier, Report 1 Cell Identifier Value, Report 2 Cell Identifier Value, Description, Variance, and Variance %.

| Report 1 Cell Identifier | Report 2 Cell Identifier | Report 1 Cell Identifier Value | Report 2 Cell Identifier Value | Description | Variance | Variance % |
|--------------------------|--------------------------|--------------------------------|--------------------------------|---|------------------|------------|
| FRY-14A_CASD530 | FFIEC-041_RCOA530 | 69,200.00 | 163,635,000.00 | If provided, CASD530 must equal RCOA530 divided by 1000 within a tolerance and Edit no. is 1305 | 163,565,770.00 | 99.96 |
| FRY-14A_CASD830 | FFIEC-041_RCOA830 | 25,000.00 | 0.00 | If provided, CASD830 must equal RCOA830 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 | 6,544,500.00 | 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 |

13.8 Variance Analysis Dashboard

Prerequisites

a) Account number generation batch for the report FRY9C, FFIEC-031, FFIEC-041 and FDIC370 needs to be executed. Refer section 13.8.1

b) KI assessment and the Ki related data needed for the dashboard need to be executed prior. Refer to the [run chart](#) and execute the batch DGS_KI_BATCH for the date on which the assessment is done.

Note: If the DGS_KI_BATCH is executed earlier for the same date then not needed to execute.

13.8.1 Populating Data for Account Drill down-Account Granularity (Variance Analysis dashboard)

Perform the following steps for the Variance Analysis dashboard prior to verifying the dashboard. After selecting Financial Services Data Governance for the preferred jurisdiction, navigate to Applications.

Note : Account granularity generation is only for the report (FRY-9C, FFIEC-031,FFIEC-041).

1. Navigate to **Common Tasks > Operations > Batch Maintenance**.
2. Select the batch **ACCT_MAPPER_INSERT**

The screenshot displays the Oracle Financial Services Data Governance for US Regulatory Reporting interface. The main table lists various batches, and the 'Task Details' section is expanded for the selected batch 'OFSDMINFO_ACCT_MAPPER_INSERT'.

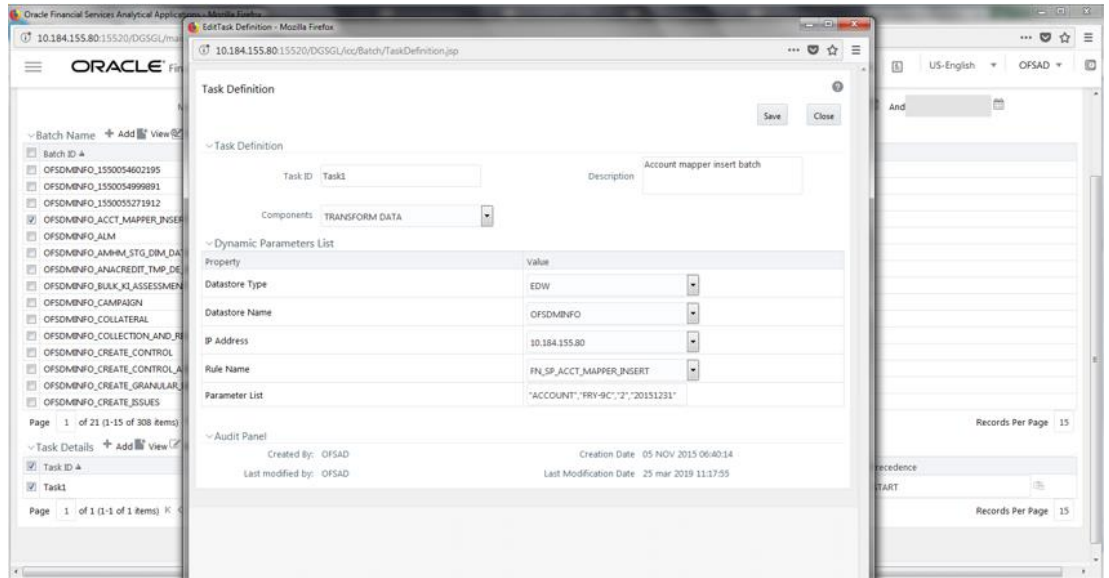
| Batch ID | Batch Description | Batch Edit/Non Edit |
|-------------------------------------|--|---------------------|
| OFSDMINFO_1590054602195 | AutoRun_1528060388715_Description | NE |
| OFSDMINFO_1590054999891 | usfed wfbna feb13 | NE |
| OFSDMINFO_1590055271912 | usfed 807 solo runs feb13 | NE |
| OFSDMINFO_ACCT_MAPPER_INSERT | Account mapper insert batch | E |
| OFSDMINFO_ALM | Data Quality batch for ALM tables | E |
| OFSDMINFO_AMHM_STG_DIM_DATA_LOAD | AMHM Dimension Data Load | E |
| OFSDMINFO_ANACREDIT_TMP_DE_RESAVE | Create or Refresh Temp DE for Report code ANACREDIT | E |
| OFSDMINFO_BULK_KI_ASSESSMENT | This batch is to do assessment for Bulk KI for a given date. | E |
| OFSDMINFO_CAMPAGN | Data Quality batch for CAMPAIGN tables | E |
| OFSDMINFO_COLLATERAL | Data Quality batch for Collateral tables | E |
| OFSDMINFO_COLLECTION_AND_RECOVERY | Data Quality batch for Collection and Recovery tables | E |
| OFSDMINFO_CREATE_CONTROL | Create Controls | E |
| OFSDMINFO_CREATE_CONTROL_ASSESSMENT | This Batch is used to create Assessments for the Controls | E |
| OFSDMINFO_CREATE_GRANULAR_MAPPER | Create Granular mapper | E |
| OFSDMINFO_CREATE_ISSUES | This batch is used for creation of Issues for a given MIS_DATE | E |

| Task ID | Task Description | Metadata Value | Component ID | Precedence |
|--------------|------------------------------------|---------------------------------|-----------------------|--------------|
| Task1 | Account mapper insert batch | FN_SP_ACCT_MAPPER_INSERT | TRANSFORM DATA | START |

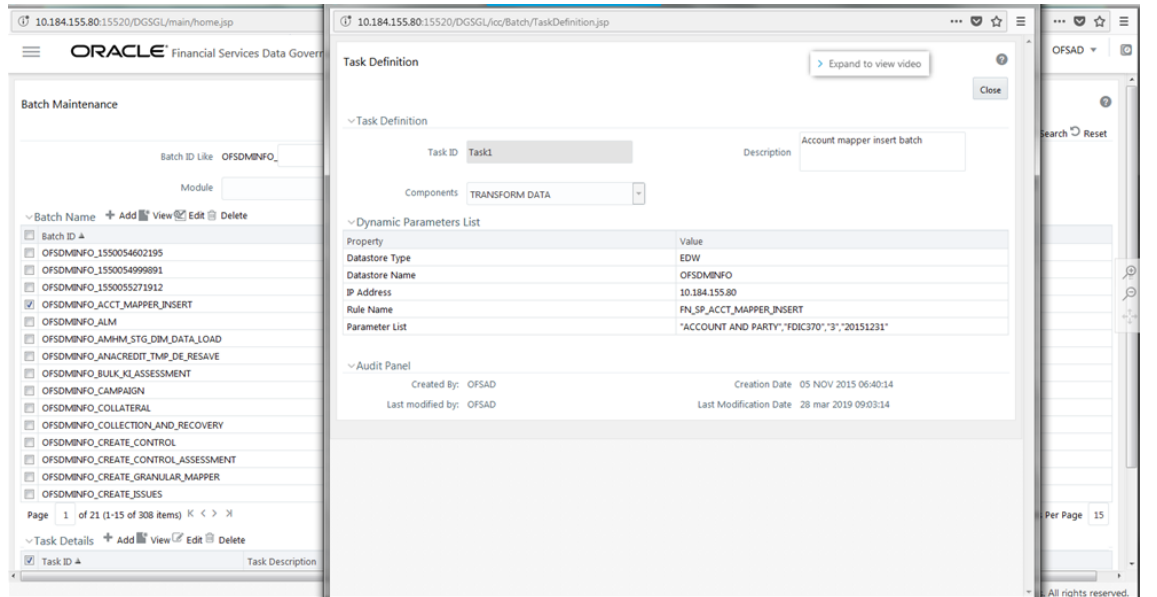
3. In the Task Description column, select the Account mapper insert batch to edit the task definition.
4. Run the batch **ACCT_MAPPER_INSERT** by passing Parameter List as:

"ACCOUNT", "##Report_Name##", "##Run_skey##", "##MIS_Date##".

This batch is used to load data from inter mediatory tables of Account drill down with the matching Account number.



- For getting the account details of each cell for reports FDIC370, execute the batch:
- ##INFODOM##_ACCT_MAPPER_INSERT
- For this batch to execute following parameters need to be entered in the task1 of the batch in the batch maintenance screen
- Parameter list "ACCOUNT AND PARTY", "##Report_Name##", "##Run_skey##", "##MIS_Date##".



13.8.2 Populating Data for Account Drill down-Account and Party Granularity (Variance Analysis dashboard)

Perform the following steps for the Variance Analysis dashboard prior to verifying the dashboard. After selecting Financial Services Data Governance for the preferred jurisdiction, navigate to Applications.

Note : Account and Party granularity generation is only for the report (FDIC 370).

1. Navigate to **Common Tasks > Operations > Batch Maintenance**.
2. Select the batch **ACCT_MAPPER_INSERT**

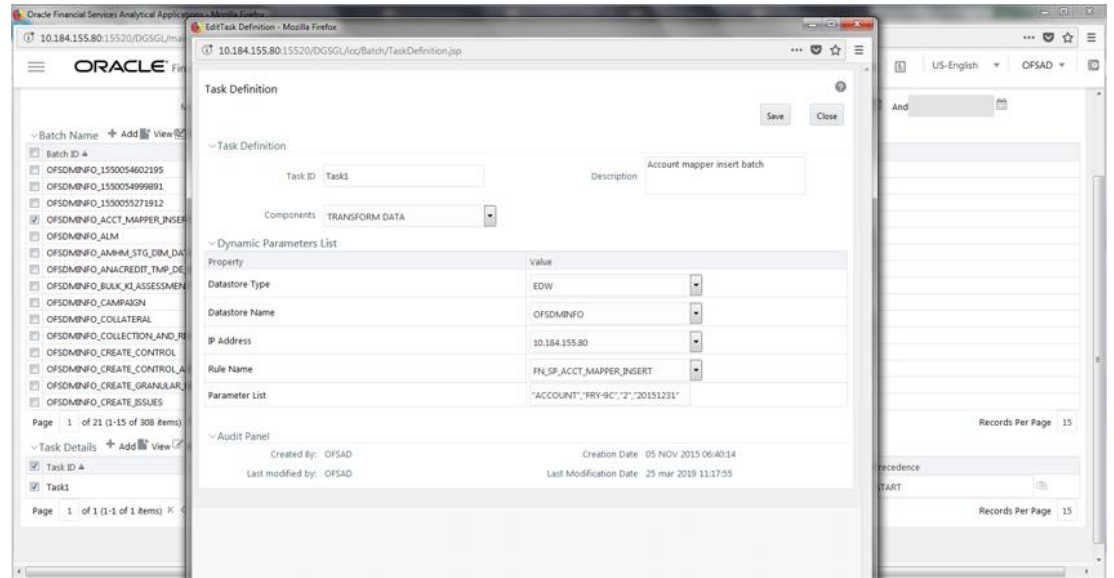
The screenshot displays the Oracle Financial Services Data Governance for US Regulatory Reporting interface. The main table lists various batches, and the 'Task Details' section is expanded to show the definition for the selected batch.

| Batch Name | Batch Description | Batch Edit/Non Edit |
|-------------------------------------|--|---------------------|
| OFSDMINFO_1550054602195 | AutoRun_1528060388715_Description | NE |
| OFSDMINFO_1550054999891 | usfed wfbna feb13 | NE |
| OFSDMINFO_1550055271912 | usfed 807 solo runs feb13 | NE |
| OFSDMINFO_ACCT_MAPPER_INSERT | Account mapper insert batch | E |
| OFSDMINFO_ALM | Data Quality batch for ALM tables | E |
| OFSDMINFO_AMHM_STG_DIM_DATA_LOAD | AMHM Dimension Data Load | E |
| OFSDMINFO_ANACREDIT_TMP_DE_RESAVE | Create or Refresh Temp DE for Report code ANACREDIT | E |
| OFSDMINFO_BULK_KI_ASSESSMENT | This batch is to do assessment for Bulk KI for a given date. | E |
| OFSDMINFO_CAMPAGN | Data Quality batch for CAMPAIGN tables | E |
| OFSDMINFO_COLLATERAL | Data Quality batch for Collateral tables | E |
| OFSDMINFO_COLLECTION_AND_RECOVERY | Data Quality batch for Collection and Recovery tables | E |
| OFSDMINFO_CREATE_CONTROL | Create Controls | E |
| OFSDMINFO_CREATE_CONTROL_ASSESSMENT | This Batch is used to create Assessments for the Controls | E |
| OFSDMINFO_CREATE_GRANULAR_MAPPER | Create Granular mapper | E |
| OFSDMINFO_CREATE_ISSUES | This batch is used for creation of Issues for a given MIS_DATE | E |

| Task ID | Task Description | Metadata Value | Component ID | Precedence |
|---------|-----------------------------|--------------------------|----------------|------------|
| Task1 | Account mapper insert batch | FN_SP_ACCT_MAPPER_INSERT | TRANSFORM DATA | START |

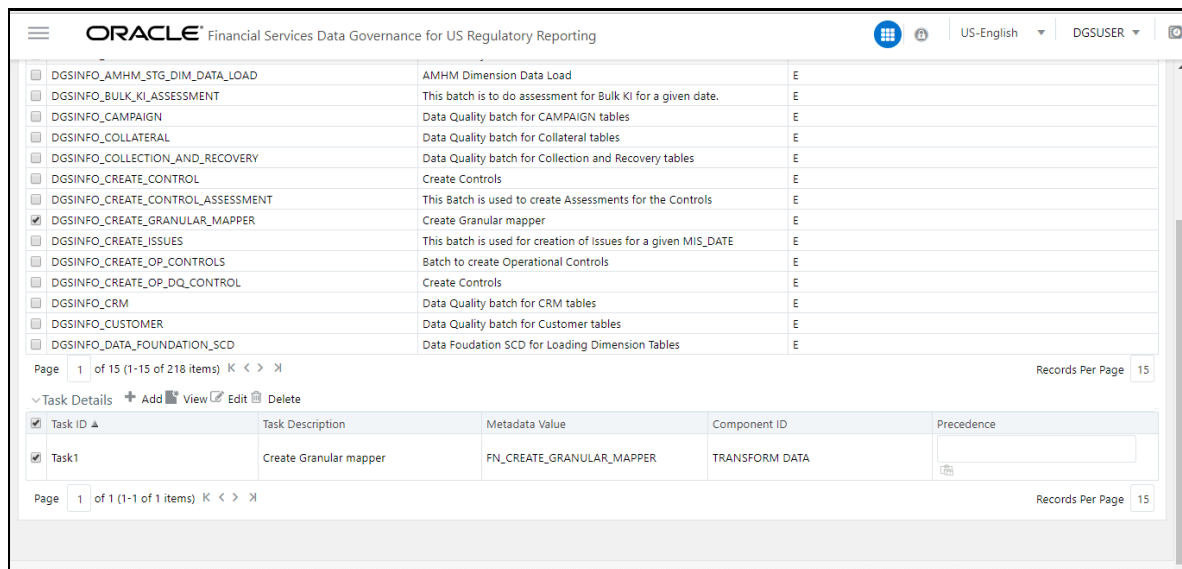
3. In the Task Description column, select the Account mapper insert batch to edit the task definition.
4. Run the batch **ACCT_MAPPER_INSERT** by passing Parameter List as:
5. "ACCOUNT", "##Report_Name##", "##Run_key##", "##MIS_Date##".

This batch is used to load data from inter mediatory tables of Account drill down with the matching Account number.



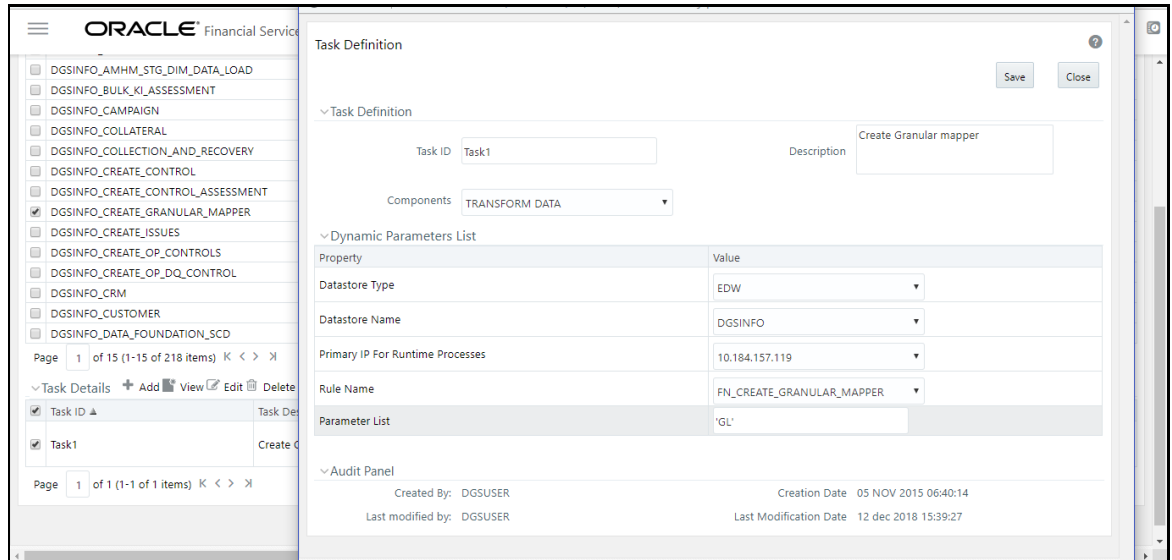
13.8.3 Populating Data for Account Drill down-GL Granularity (Variance Analysis dashboard)

1. After selecting Financial Services Data Governance for the preferred jurisdiction, navigate to Applications.
2. Navigate to Common Tasks > Operations > Batch Maintenance.



3. In the Task Description column, select the Create Granular mapper batch to edit the task definition.
4. Run the batch CREATE_GRANULAR_MAPPER by passing Parameter List as 'GL'

This batch is used to load data from inter mediatory tables of Account drill down with the matching Report Line Code records in FCT_MGMT_REPORTING.



13.8.4 Viewing the Variance Analysis Dashboard

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

- Report
- Schedule
- Cell Identifier
- Measure
- Entity Name
- Reporting Date
 1. Click **Apply** to generate the reports.
 2. 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.


This drill-down is only available for FRY-9C, FFIEC-031, FFIEC-041, and FDIC370

3. In the Cell Identifier column, select the link.

Report: FRY-9C Schedule: --Select Value-- Cell Identifier: BHCK1286 Entity Name: Wells Fargo Bank, N Reporting Date: 12/31/2015

| Report Code | Schedule Code | Cell Identifier | Cell Description | Entity Name | Current Value | Previous Value | Variance | Variance % | Breached | Trend | BI Report Name |
|-------------|---------------|-----------------|--|--|----------------|----------------|----------------|------------|----------|-------|------------------|
| FRY-9C | HC-B | BHCK1286 | AMORTIZED COST OF AVAILABLE-FOR-SALE U.S. TREASURY | Wells Fargo Bank, National Association | 280,599,411.00 | 0.00 | 280,599,411.00 | 100.00 | | | ACCOUNT_1_DRL_DW |

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

4. In the Account Level page, select  to maximize the rows.

Current Value: 280,599,411 Previous Value: 0

Account Details

| Cell ID | Account Number | Amortized Cost RCY | Amortized Cost RCY (Previous Period) | Variance% |
|----------|----------------|--------------------|--------------------------------------|-----------|
| BHCK1286 | INVEST11010 | 5,622,979.93 | 0.00 | 100 |
| | INVEST11012 | 6,214,098.78 | 0.00 | 100 |
| | INVEST11014 | 5,622,979.93 | 0.00 | 100 |
| | INVEST11016 | 6,214,098.78 | 0.00 | 100 |
| | INVEST11018 | 5,622,979.93 | 0.00 | 100 |
| | INVEST11020 | 6,214,098.78 | 0.00 | 100 |
| | INVEST11026 | 6,080,590.23 | 0.00 | 100 |
| | INVEST11027 | 6,342,395.73 | 0.00 | 100 |
| | INVEST11028 | 5,804,186.23 | 0.00 | 100 |
| | INVEST11029 | 6,281,645.33 | 0.00 | 100 |
| | INVEST11898 | 6,080,590.23 | 0.00 | 100 |
| | INVEST11899 | 6,342,395.73 | 0.00 | 100 |
| | INVEST11900 | 5,804,186.23 | 0.00 | 100 |
| | INVEST11901 | 6,281,645.33 | 0.00 | 100 |
| | INVEST12770 | 6,080,590.23 | 0.00 | 100 |
| | INVEST12771 | 6,342,395.73 | 0.00 | 100 |
| | INVEST12772 | 5,804,186.23 | 0.00 | 100 |
| | INVEST12773 | 6,281,645.33 | 0.00 | 100 |
| | INVEST13642 | 6,080,590.23 | 0.00 | 100 |

Variance Analysis: page 1 > Account Level: ACCOUNT_1_DRL_DW

You can also view the Variance analysis 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.



14 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](#)

14.1 Exporting Metadata Browser Objects to XML

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

- Export the list of all the objects of a particular object type.
- Export all the details of a particular object.
- Based on the requirement you need to make the respective Webservice call by passing request XMLs, with all the fields required to generate the desired output XML.

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

1. To generate an XML with list of all the objects of a particular object type, you need to invoke the generateXMLObjectsList(String xml).
2. Use the following format of request xml with the fields holding not null values:

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

Below is the format of the corresponding response XML:

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

```

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

```

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

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

```

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

```

</object>

5. 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>

```

14.2 Registering a MDB Object

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

1. Provide the path of 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
```

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

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

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>

```

14.3 Publishing a MDB Business Term

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

Following are the prerequisites for publishing:

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

15 Metadata Export Utility

The Metadata Export Utility helps you to export OFSAA metadata into Excel Sheet. This feature helps to get a view of OFSAA metadata and its dependencies. It is a template based approach where you create templates and select Metadata Objects that must be extracted. The extraction process is supported only for Excel Sheet. While defining the template, you are expected to have prior knowledge of the OFSAA Metadata objects that are relevant from this application point of view.

15.1 Prerequisites

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

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

```
BEGIN
```

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

```
END;
```

- iii. Atomic Schema:

```
FSI_M_CELL_DETAILS
```

```
FSI_DE_SEEDED_DIMENSIONS
```

```
FSI_DE_TABLE_APPLICATION_MAP
```

```
FSI_DE_PP_TABLE_LIST
```

```
FSI_DE_METADATA_SEEDED_VW_MAP
```

```
FSI_DE_PP_TABLE_REPORT_MAP
```

```
Config Schema:
```

```
AAI_OBJECT_B
```

```
AAI_OBJECT_TL
```

```
AAI_DMT_DEFINITION
```

```
AAI_DMT_DEF_SOURCE_ENTITY
```

```
AAI_DMT_MAPPING_DETAILS
```

```
PR2_RULES_B
```

```
PR2_RULE_MAP
```

```
PR2_RULE_OBJECT
```


PR2_RULE_OBJECT_MEMBER
PR2_OBJECT_TL
PR2_OBJECT_TRACE
BATCH_MASTER
BATCH_TASK_MASTER
BATCH_PARAMETER_MASTER
METADATA_MASTER
METADATA_ELEMENT_MASTER
METADATA_LOCALE_MASTER
METADATA_TYPE_MASTER
METADATA_ATTRIBUTE_MASTER

2. MDB Publish: Execute the batch, INFODOM_MDB
3. After Executing MDB Publish and Data Element Wrapper Batch, ensure the following:
 - c. Execute the following **Gather Stat** command for the mentioned tables:

BEGIN

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

END;

iv. Atomic Schema:

FSI_DE_REPORT_LINEAGE_BASE
FSI_DE_REPORT_LINEAGE_DETL
FSI_DE_METADATA_TGT_MEMBER
FSI_DE_METADATA_SRC_MEMBER
FSI_DE_REPORT_TARGET_MEMBER
FSI_DE_REPORT_SOURCE_MEMBER

4. **Logs:** MDB logs are generated under deployed area
/Context_Name/logs/MDB_XXXX.log

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

<INFODOM>_POP_DATA_ELEMENTS_USFED

This execution requires adequate tablespace. Ensure that your Atomic Schema is having enough tablespace in TEMP and USERS.

- a. Parameters used in **<INFODOM>_POP_DATA_ELEMENTS_USFED** Batch
- b. The batch can be executed in different modes according to each requirement. The following are the parameters used for executing the batch.

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

Task1 (METADATA PARSER)

| Sl. No. | Parameter | Description | List of Values | Default Value |
|---------|----------------|------------------|-----------------|---|
| 1 | P_FULL_PARSE | Full Parser Flag | Y/N | 'Y' |
| 2 | P_INFODOM_NAME | Infodom Name | ##INFODOM# # | <Value of the Infodom where US FED is installed>. For example: 'FSDFINFO' |

Task2 (REPORT PARSER)

| Sl. No. | Parameter | Description | List of Values | Default Value |
|---------|----------------|-------------------|-----------------|---|
| 1 | P_JURISDICTION | Jurisdiction Code | USFED | 'USFED' |
| 2 | P_INFODOM_NAME | Infodom Name | ##INFODOM# # | <Value of the Infodom where US FED is installed>. For example: 'FSDFINFO' |

Execution Types for METADATA Parsing in <INFODOM>_POP_DATA_ELEMENTS_USFED Batch

- Full METADATA Parsing [Default Mode]** (if the P_FULL_PARSE parameter is 'Y', then the parsing happens for entire METADATA and Run Elements for the Run(s) enabled in FSI_DE_POP_RUN_LIST table in the Atomic Schema).
- Incremental METADATA Parsing [Optional Mode. Batch Parameter to Be Modified]** (if the P_FULL_PARSE parameter is 'N', then the parsing happens for changed METADATA and Run Elements for the Run(s) enabled in FSI_DE_POP_RUN_LIST table in the Atomic Schema).

You can edit the parameters by accessing the Batch Maintenance screen.

- Login to Oracle Financial Services Analytical Applications interface with your credentials.
- Navigate to **Applications → Financial Services Data Foundation → Operations → Batch Maintenance**
- Select **Batch Name (<INFODOM>_POP_DATA_ELEMENTS_USFED)**
- (OPTIONAL) Select Task1 and click the Edit button. The **Edit Task Definition** Window is displayed.
- Modify the Parameter List field as applicable.

The values must be in single quotes and comma separated for each value. Follow the same order as in the table.

Execution Types for REPORT Parsing in <INFODOM>_POP_DATA_ELEMENTS_USFED Batch:

- US FED Jurisdiction REPORT Parsing [Default Mode]** (if the P_JURISDICTION parameter is 'USFED', then the parsing happens for US FED Reports enabled in FSI_DE_POP_REPORT_LIST table in the Atomic Schema).

NOTE Even if the P_JURISDICTION parameter in <INFODOM>_POP_DATA_ELEMENTS_USFED Batch is loaded, the Dashboards which get parsed depend on the FSI_DE_POP_REPORT_LIST table in the Atomic Schema.

2. **All Jurisdctions REPORT Parsing [Optional Mode. Batch Parameter to Be Modified]** (if the P_JURISDICTION parameter is NULL, that is, ("") or two Single Quotes, then the parsing happens for entire Reports enabled in FSI_DE_POP_REPORT_LIST table in the Atomic Schema).

You can edit the parameters by accessing the Batch Maintenance screen.

- a. Login to Oracle Financial Services Analytical Applications interface with your credentials.
- b. Navigate to **Applications → Financial Services Data Foundation → Operations → Batch Maintenance**
- c. Select Batch Name (<INFODOM>_POP_DATA_ELEMENTS_USFED)
- d. (OPTIONAL) Select **Task2** and click the Edit button. The Edit Task Definiton Window is displayed.
- e. Modify the Parameter List field as applicable.

NOTE The values must be in single quotes and comma separated for each value. Follow the same order as in the table.

Enabling Run for METADATA Parsing

Every execution for METADATA Parsing requires minimum one Run to be enabled in FSI_DE_POP_RUN_LIST table in the Atomic Schema. By default, RGRNUSFED is enabled.

| RUN NAME | INCLUDE RUN |
|-----------|-------------|
| RGRNUSFED | Y |

Excluding Irrelevant Data Flows from Lineage Reports

For each Run, some of the Data Mappings can be functionally irrelevant. For these cases with respect to any Run, the customer can opt for removing these Data Flow from Lineage Reports as an exclusion by inputing the same in the FSI_DE_RUN_FLOW_REMOVAL table.

Enabling Reports for REPORT Parsing

Every execution for REPORT Parsing requires minimum one Report to be enabled in FSI_DE_POP_REPORT_LIST table in the Atomic Schema. By default, the following Reports are enabled for US FED Jurisdiction.

Table 1: Dashboard ID Details

| DASHBOARD ID | JURISDICTION CODE | REPORT CODE | INCLUDE REPORT |
|--------------|-------------------|-------------|----------------|
| 1 | USFED | FRY-9C | Y |
| 2 | USFED | FRY-9LP | Y |
| 3 | USFED | FFIEC-009 | Y |
| 4 | USFED | FFIEC-009a | Y |
| 5 | USFED | FRY-15 | Y |
| 6 | USFED | FRY-20 | Y |
| 7 | USFED | FRY-12 | Y |
| 8 | USFED | FRY-11 | Y |
| 9 | USFED | FRY-11s | Y |
| 10 | USFED | FR-2314 | Y |
| 11 | USFED | FR-2314s | Y |
| 12 | USFED | FR-2052A | Y |
| 13 | USFED | FRY-14Q | Y |
| 14 | USFED | FRY-14A | Y |
| 15 | USFED | FFIEC-031 | Y |
| 16 | USFED | FR-2886B | Y |
| 17 | USFED | FFIEC-041 | Y |
| 18 | USFED | FRY-7N | Y |
| 19 | USFED | FFIEC101 | Y |
| 20 | USFED | FR-2900 | Y |
| 21 | USFED | FDIC-8020 | Y |
| 22 | USFED | FRY-14M | Y |
| 23 | USFED | FR-2644 | Y |
| 24 | USFED | FRY-7NS | Y |
| 25 | USFED | FFIEC-002 | Y |
| 26 | USFED | FR-2420 | Y |
| 27 | USFED | FFIEC-002S | Y |
| 28 | USFED | FR-2502Q | Y |

| | | | |
|----|-------|------------|---|
| 29 | USFED | FFIEC-030 | Y |
| 30 | USFED | FFIEC-030S | Y |
| 31 | USFED | FR-2835A | Y |
| 32 | USFED | FRY-7Q | Y |
| 33 | USFED | FFIEC-002 | Y |

By Default All Dashboards are enabled and if you wish to parse particular Dashboards, modify the FSI_DE_POP_REPORT_LIST table in the Atomic Schema by enabling / disabling the “Include Report Column”.

Executing SELECTED tasks of <INFODOM>_POP_DATA_ELEMENTS_USFED Batch

By Default, the <INFODOM>_POP_DATA_ELEMENTS_USFED Batch contains both the tasks, that is, METADATA Parsing and REPORT Parsing. You can use platform feature of EXCLUDE / INCLUDE Batch Task for Optional execution of required tasks.

15.1.1 Verifying Logs

Data Elements logs are generated in Atomic Schema under the **FSI_MESSAGE_LOGS** table.

| Tasks | Batch Run ID | Indication |
|--------------------------|------------------------------------|---|
| Task1 (METADATA Parsing) | REGISTER_ELEMENTS_<Batch_Run_ID> | Processes Metadata Parsing. The message “Completed REGISTER_ELEMENTS” indicates that the Metadata parsing is completed with Registration. |
| Task2 (REPORT Parsing) | REPORT_TO_ELEMENTS_<Batch_Run_ID > | Processes Report Parsing. The message “Completed REPORT_TO_ELEMENTS” indicates that all the Report parsing is completed. |

15.1.2 Validating Lineage Outputs

In Atomic Schema, you must verify that data is present in the following tables and ensure that the table is populated:

- FSI_DE_RUN_LINEAGE_METADATA
- MDR_LINEAGE_METADATA
- FSI_DE_REPORT_LINEAGE_BASE
- FSI_DE_REPORT_LINEAGE_DETL

It is recommended that the following SQL statement must be executed in Config Schema, if this INDEX is not created:

```
CREATE INDEX index_mdr_mod_parent_child
CREATE INDEX index_mdr_mod_parent_child
ON mdb_object_dependencies (parent_object_def_id,child_object_def_id)
COMPUTE STATISTICS
/
```

15.2 User Access

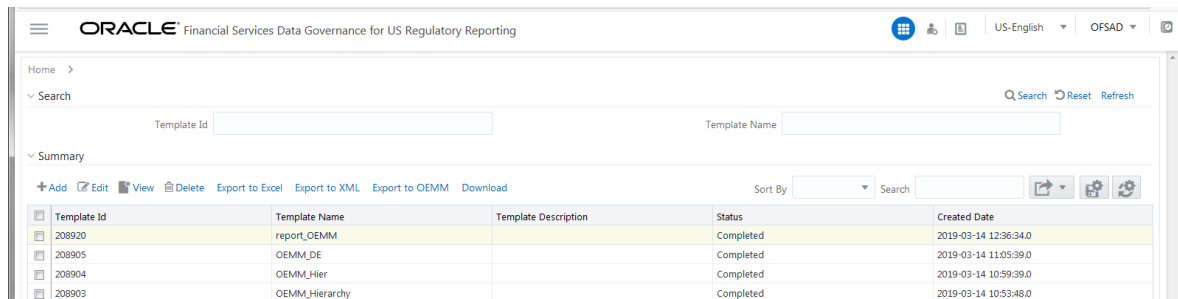
The following user groups are pre-seeded in the component that help you get access to the Metadata Report Extract screen.

- a. MDR View Group: To see Metadata Report Extract with View permissions.
- b. MDR Owner Group: To create templates in Metadata Report Extract.

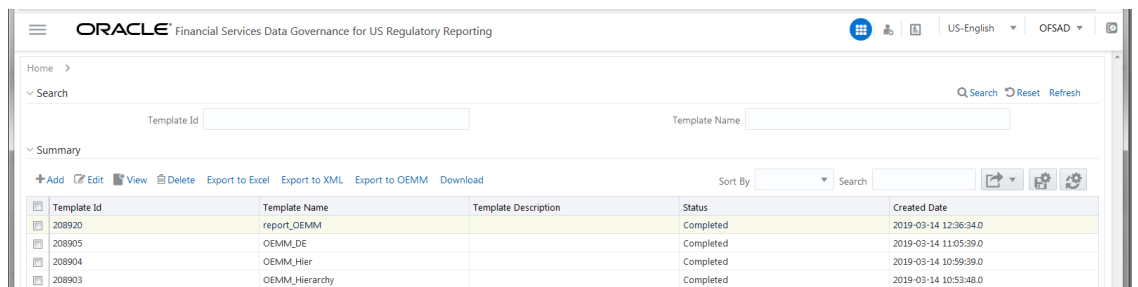
15.3 Create and Export Metadata Report Templates for XML and Excel

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

1. Navigate to **Common Tasks** → **Metadata Report**.



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



3. Provide the Name and Description for the new template in Template Definition page.

Metadata Selection

Navigation: [Back](#) | **Start** | [Select Metadata](#) | [Filter Objects](#) | [Lineage Properties](#) | [Review](#) | [Next](#)

Basic Details

* Name

Description

4. Select the desired object from the Object Type dropdown to be exported.
5. Individual report generates only the basic properties of the object selected, that is, name and description. Relational report generates detailed information up to the Entities level, if Dependencies is chosen; and up to the Staging Columns level, if Data Lineage is selected along with Dependencies.
6. Dependencies: Metadata object is dependent on several other metadata objects. Metadata object is also used (that is, consumed) in several other metadata objects. Dependency or usage tree can be of any depth. For example, a rule can be dependent on a hierarchy, business processor, and dataset. Further, each of these metadata objects can be dependent on other metadata objects. Metadata Export Utility exports all the dependent or used metadata objects for all paths in the dependency or usage tree, if this option is selected.
7. Lineage: Data is loaded from source systems to staging and then moved across to processing / reporting. Lineage traces the data element as it moves across different layers of OFSAA: staging, processing, and reporting. Metadata Export Utility exports the lineage of each of the reporting area data element that is identified by dependencies.
8. For Individual Report: In the Export Options, do not select Dependencies or Data Lineage.

Metadata Selection

Navigation: < Back | Start | **Select Metadata** | Filter Objects | Lineage Properties | Review | Next >

Metadata

Select:

Include

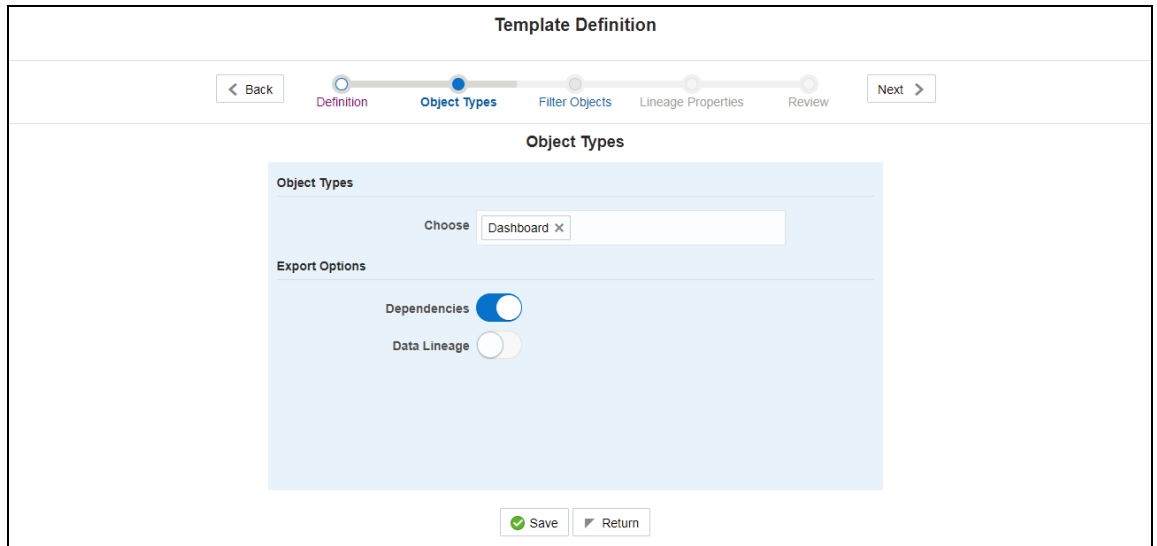
Dependent Objects

Lineage

9. 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 | | | | | | |

10. For Relational Report: In the Export Options, select Dependencies.



11. The exported sample report for Relational is as follows:

| Path Name | Dependency | | | | | | | | | | | |
|-----------|--|--|--|--|--|--|--|--|--|--|--|--|
| Path1 | Dashboard > Report > View > Hierarchy > Entities > | | | | | | | | | | | |
| Path2 | Dashboard > Report > View > Derived Entity > Measure > Entities > | | | | | | | | | | | |
| Path3 | Dashboard > Report > View > Derived Entity > Hierarchy > Entities > | | | | | | | | | | | |
| Path4 | Dashboard > Report > View > Derived Entity > Dataset > Alias > Entities > | | | | | | | | | | | |
| Path5 | Dashboard > Report > View > Derived Entity > Dataset > Entities > | | | | | | | | | | | |
| Path6 | Dashboard > Report > View > Derived Entity > Business Processor > Measure > Entities > | | | | | | | | | | | |
| Path7 | Dashboard > Report > View > Derived Entity > Business Processor > Dataset > Alias > Entities > | | | | | | | | | | | |
| Path8 | Dashboard > Report > View > Derived Entity > Business Processor > Dataset > Entities > | | | | | | | | | | | |
| Path9 | Dashboard > Report > View > Reporting Element > Measure > Entities > | | | | | | | | | | | |
| Path10 | Dashboard > Report > View > Reporting Element > Hierarchy > Entities > | | | | | | | | | | | |
| Path11 | Dashboard > Report > View > Reporting Element > Derived Entity > Measure > Entities > | | | | | | | | | | | |
| Path12 | Dashboard > Report > View > Reporting Element > Derived Entity > Hierarchy > Entities > | | | | | | | | | | | |
| Path13 | Dashboard > Report > View > Reporting Element > Derived Entity > Dataset > Alias > Entities > | | | | | | | | | | | |
| Path14 | Dashboard > Report > View > Reporting Element > Derived Entity > Dataset > Entities > | | | | | | | | | | | |
| Path15 | Dashboard > Report > View > Reporting Element > Derived Entity > Business Processor > Measure > Entities > | | | | | | | | | | | |
| Path16 | Dashboard > Report > View > Reporting Element > Derived Entity > Business Processor > Dataset > Alias > Entities > | | | | | | | | | | | |
| Path17 | Dashboard > Report > View > Reporting Element > Derived Entity > Business Processor > Dataset > Entities > | | | | | | | | | | | |
| Path18 | Dashboard > Report > View > Reporting Element > Business Processor > Measure > Entities > | | | | | | | | | | | |
| Path19 | Dashboard > Report > View > Reporting Element > Business Processor > Dataset > Alias > Entities > | | | | | | | | | | | |
| Path20 | Dashboard > Report > View > Reporting Element > Business Processor > Dataset > Entities > | | | | | | | | | | | |

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

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

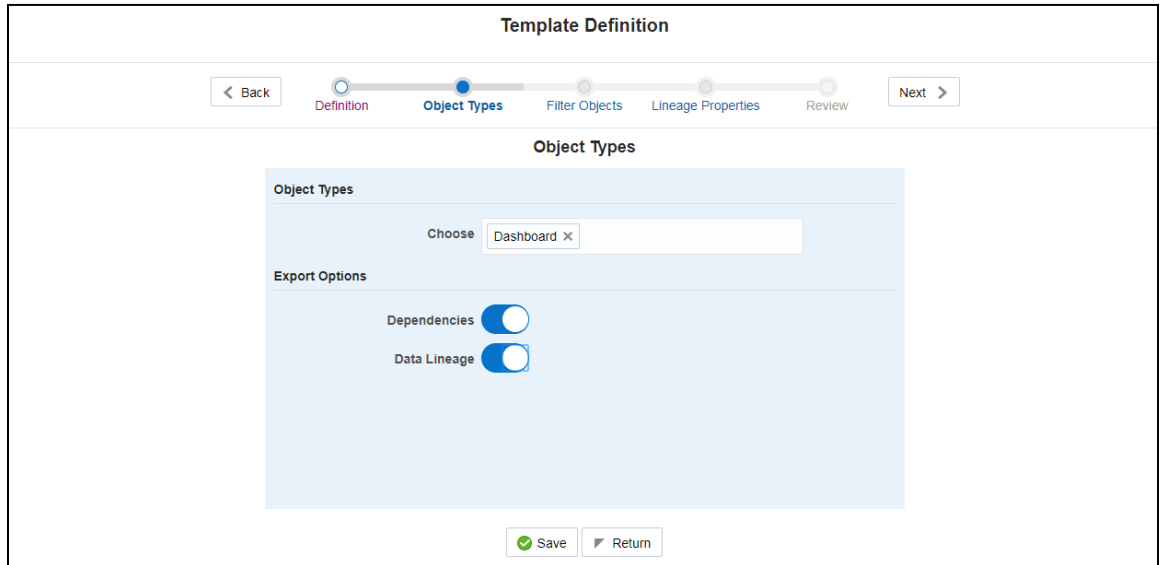
13. These paths are generated by the system using data already published in MDB dependency tables as part of OFSAA MDB object publish.

14. For every dependent object type displayed in each path sheet, the following columns are displayed:

- Object type name
- Object type description
- One or many Object specific properties (optional)

15. For example: In Path1, Dashboard is the first Object type, the dependencies generated are Dashboard Name, Dashboard Description, and Dashboard properties: Dashboard Country, Dashboard Regulator and so on. Similarly,

NOTE Data Lineage can be selected only if Dependencies is opted. The minimum memory settings to run lineage reports should be export JAVA_OPTS="-Xms1024m -Xmx8192m"

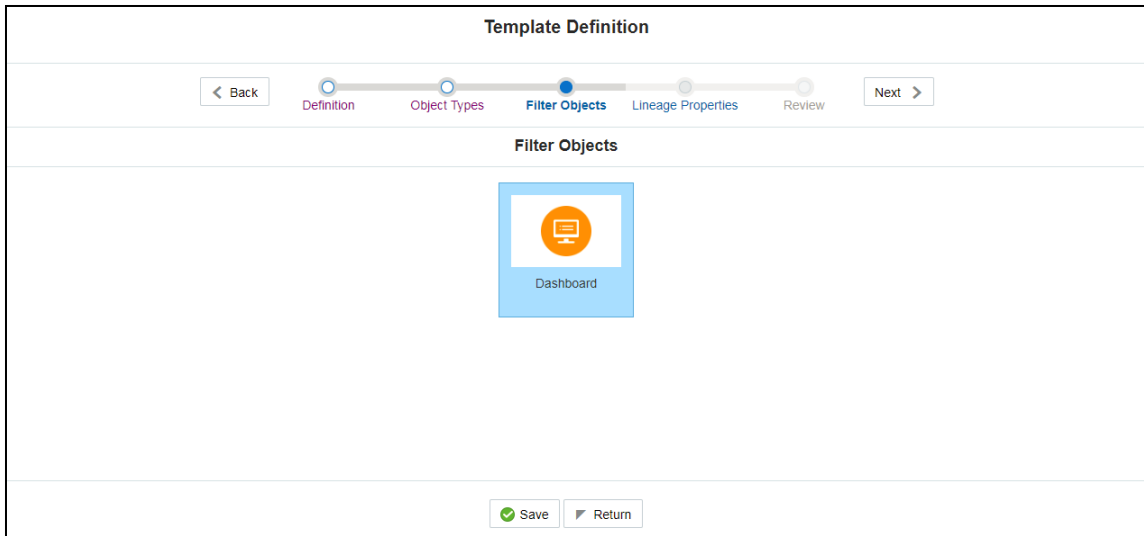




18. Data Lineage is generated as a separate sheet in the generated Relational report along with the Dependencies. Select the Lineage sheet to view the Data Lineage (up to Staging column level).

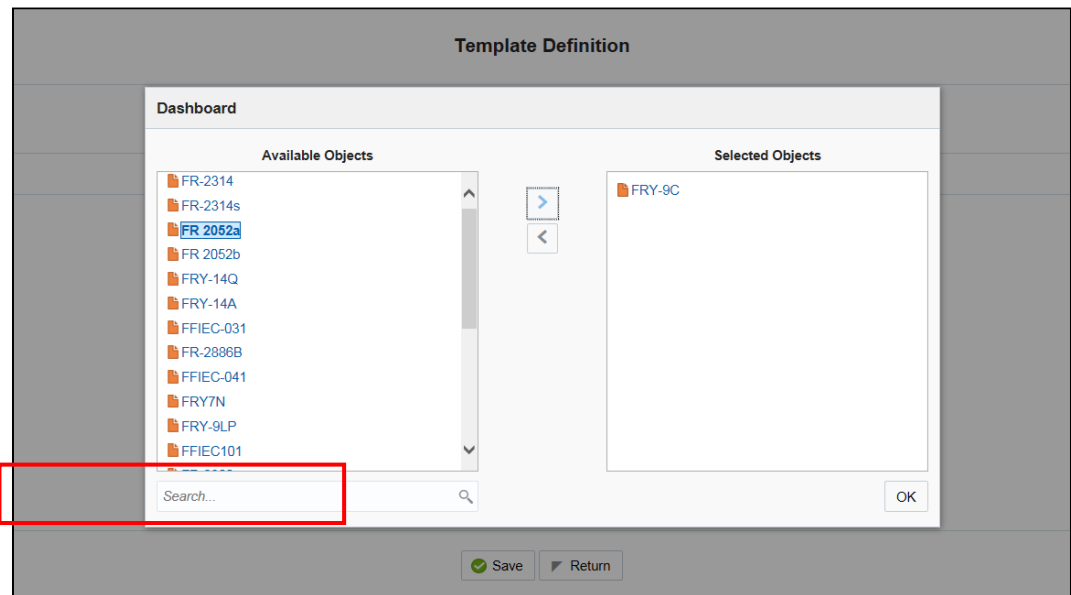
The screenshot shows a Microsoft Excel spreadsheet titled 'RR_FRV9HC-E_Report.xls [Read-Only]'. The active sheet is 'SCHEDULE'. The data is organized into columns: A (VIEW), B (CELL ID), C (DERIVED ENTITY CODE), D (METADATA CODE), E (RESULT AREA TABLE), and F (RESULT AREA COLUMN). The data rows list various views and their corresponding lineage information.

| VIEW | CELL ID | DERIVED ENTITY CODE | METADATA CODE | RESULT AREA TABLE | RESULT AREA COLUMN |
|-------------|----------|---------------------|---------------|--|--------------------|
| FRY-9C-HC-E | BHOD6648 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHCB6648 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD6648 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD2389 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD2604 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD2389 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD6648 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHCB2389 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHCB2210 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHDM164 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHCB2389 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD2389 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHFN2425 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHCB6648 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHDM242 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHFN2425 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHDM2604 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHDM242 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHFN2425 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHCB6648 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHFN2425 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHDM242 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHCB2210 | DERHCE03 | DSRHCE03 | FCT_LEGAL_ENTITY_DETAILS_N_ENTITY_TYPE_SKKEY | |
| FRY-9C-HC-E | BHCB6648 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHFN2425 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD2389 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD2389 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-E | BHOD6648 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |
| FRY-9C-HC-F | BHCB2389 | DERHCE03 | DSRHCE03 | FCT_REG_ACCOUNT_SUMMAFN_REG_DEPOSIT_TYPE_SK | |

19. Select Filter Objects to see the selected objects.

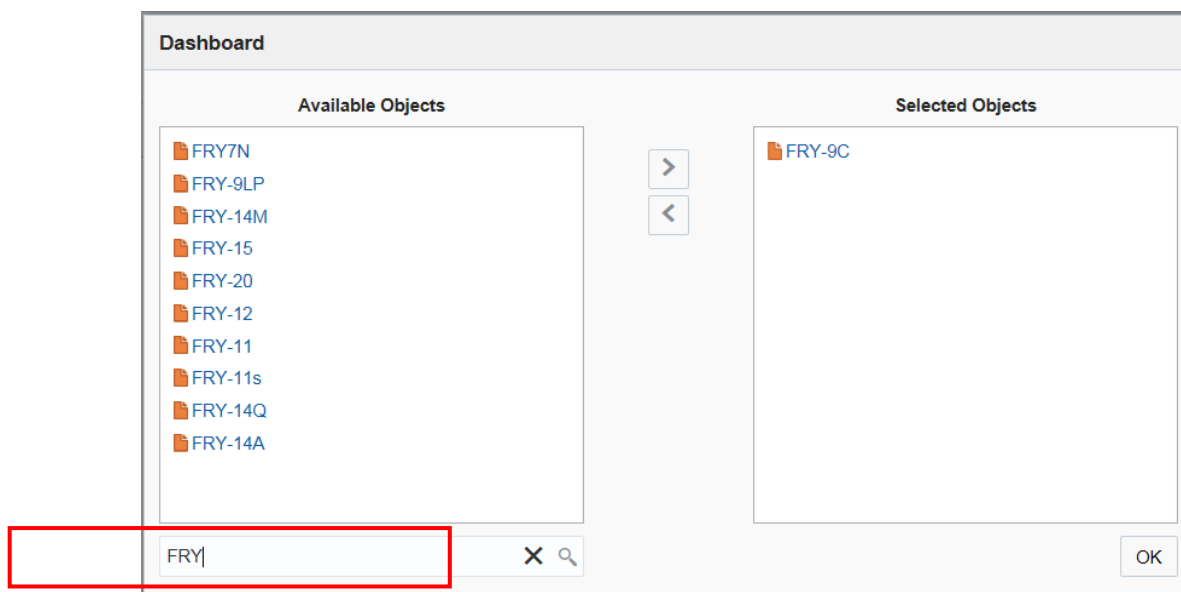


20. Select one Filter Object from the Available Objects and Click  to add a Selected Object. Select one Selected Object from the Available Objects and click  to remove a Filter Object.



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

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



22. Select the Lineage Properties required to be generated.
23. The following Lineage Properties (columns) are available in the Metadata Report Screen.

Table 2: Lineage Properties

| Sl. No. | Lineage Property | Property Description |
|---------|----------------------------|--|
| 1 | Jurisdiction | Stores the Jurisdiction Code of Lineage Report generated. |
| 2 | Report | Stores the Report Code of the Lineage Report generated. |
| 3 | Schedule | Stores the Schedule Code of the Lineage Report generated. |
| 4 | View | Stores the View Code of the Lineage Report generated. |
| 5 | Cell ID | Stores the Cell ID (MDRM Code) of the Lineage Report generated. |
| 6 | Cell Group ID | Stores the Cell Group ID of the Lineage Report generated. Each Cell Group ID represents a decision to populate the cell. Multiple Group IDs represent multiple OR conditions in decisions. |
| 7 | Derived Entity Code | Stores the Derived Entity Code of the Lineage Report generated for the given Cell ID and Cell Group ID. |
| 8 | Derived Entity Description | Stores the Derived Entity Description of the Lineage Report generated for the given Cell ID and Cell Group ID. |
| 9 | Metadata Code | Stores the Metadata Code of the Lineage Report generated for the given Cell ID, Cell Group ID and Derived Entity. |
| 10 | Metadata Description | Stores the Metadata Description of the Lineage Report generated for the given Cell ID, Cell Group ID and Derived Entity. |
| 11 | Metadata Type | Stores the Metadata Type of the Lineage Report generated for the |

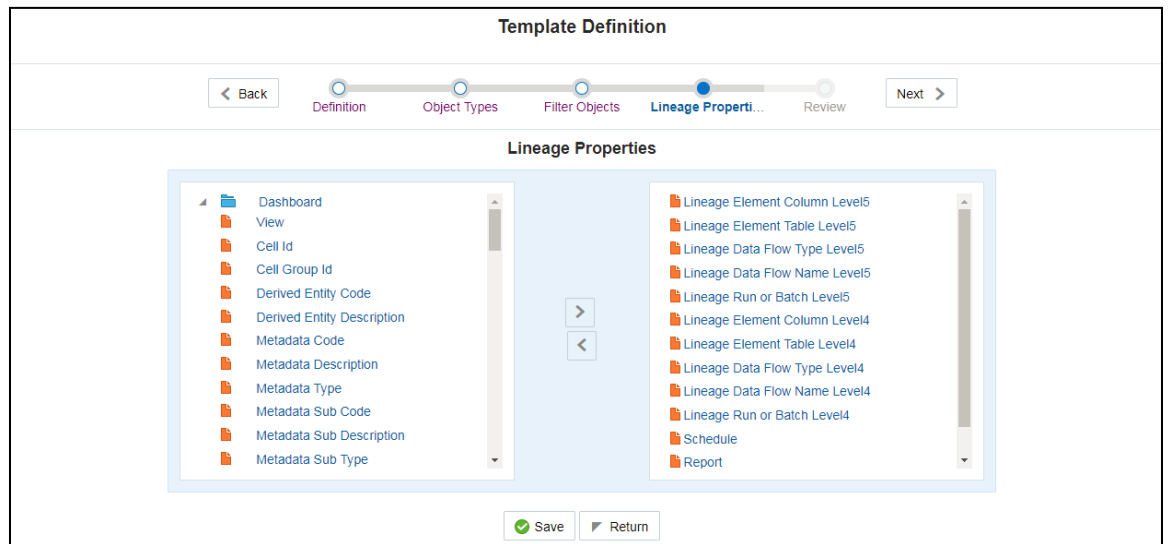
| | | |
|----|-------------------------------|---|
| | | given Cell ID, Cell Group ID and Derived Entity. |
| 12 | Metadata Sub Code | Stores the Metadata Sub Code of the Lineage Report generated for the given Cell ID, Cell Group ID, Derived Entity, and Metadata Code. Metadata Sub Code represents either direct Metadata (Metadata Sub Code will be same Metadata Code) or derived Metadata Code like Datasets/Expressions. |
| 13 | Metadata Sub Description | Stores the Metadata Sub Description of the Lineage Report generated for the given Cell ID, Cell Group ID, Derived Entity, and Metadata Code. Metadata Sub Code represents either direct Metadata (Metadata Sub Code will be same Metadata Code) or derived Metadata Code like Datasets/Expressions. |
| 14 | Metadata Sub Type | Stores the Metadata Sub Type of the Lineage Report generated for the given Cell ID, Cell Group ID, Derived Entity, and Metadata Code. Metadata Sub Code represents either direct Metadata (Metadata Sub Code will be same Metadata Code) or derived Metadata Code like Datasets/Expressions. |
| 15 | Result Area Table Application | Stores the Results Area Table Application of the Lineage Report generated for the given Cell ID, Cell Group ID, Derived Entity, Metadata Code, and Metadata Sub Code. The Results Area Table application is the responsible OFSAA Application to populate the table. |
| 16 | Result Area Table Type | Stores the Results Area Table Type of the Lineage Report generated for the given Cell ID, Cell Group ID, Derived Entity, Metadata Code, and Metadata Sub Code. The Results Area Table Type represents how the table is populated. For example: Data Flow, Seeded Data, and so on. |
| 17 | Result Area Table | Stores the Results Area Table the Lineage Report generated for the given Cell ID, Cell Group ID, Derived Entity, Metadata Code, and Metadata Sub Code. The Results Area Table is the OFSAA data model table which populates or helps to populate the given Cell (MDRM) in the Reporting Layer. |
| 18 | Result Area Column | Stores the Results Area Column the Lineage Report generated for the given Cell ID, Cell Group ID, Derived Entity, Metadata Code, Metadata Sub Code and Results Area Table. The Results Area Table column is the OFSAA data model column which populates or helps to populate the given Cell (MDRM) in Reporting Layer. |
| 19 | Report Filter Operator | Stores the Report Filter Operator of the Lineage Report generated for the given Results Area Column and Member Code. The operator represents the Agile REPORTER filter condition operator when a report is retrieved. |
| 20 | Report Filter Member | Stores the Report Filter Member of the Lineage Report generated for the given Results Area Column. The operator represents the Agile REPORTER filter condition member when a report is retrieved. |
| 21 | Target Metadata Operator | Stores the Target Metadata Operator of the Lineage Report generated for the given Results Area Column and Member Code embedded inside the Metadata like Business Processor, Hierarchy or Dataset. The operator is derived after a standardization process like: Reverting all <>, =, IN, NOT IN conditions to equal operator. |

| | | |
|----|-------------------------------|--|
| 22 | Target Metadata Member | Stores the Target Metadata Operator of the Lineage Report generated for the given Results Area Column and Member Code embedded inside the Metadata like Business Processor, Hierarchy or Dataset. The Member Code presents its ultimate form through a standardization process like: Reverting all <>, =, IN, NOT IN conditions to equal operator and getting the respective Member Codes. |
| 23 | Reporting Run Name | Stores the Regulatory Reporting Run Name for Jurisdiction Code of Lineage Report generated. |
| 24 | Lineage Run or Batch Level1 | Stores the Level1 Run Name or Batch Name of Lineage Report generated for populating the Results Area Table and Column. |
| 25 | Lineage Data Flow Name Level1 | Stores the Level1 Data Flow Name of Lineage Report generated for populating the Results Area Table and Column. |
| 26 | Lineage Data Flow Type Level1 | Stores the Level1 Data Flow Type of Lineage Report generated for populating the Results Area Table and Column. |
| 27 | Lineage Element Table Level1 | Stores the Level1 Source Table of Lineage Report generated for populating the Results Area Table and Column. |
| 28 | Lineage Element Column Level1 | Stores the Level1 Source Column of Lineage Report generated for populating the Results Area Table and Column. |
| 29 | Lineage Run or Batch Level2 | Stores the Level2 Run Name or Batch Name of Lineage Report generated for populating the Level1 Source Table and Column. |
| 30 | Lineage Data Flow Name Level2 | Stores the Level2 Data Flow Name of Lineage Report generated for populating the Level1 Source Table and Column. |
| 31 | Lineage Data Flow Type Level2 | Stores the Level2 Data Flow Type of Lineage Report generated for populating the Level1 Source Table and Column. |
| 32 | Lineage Element Table Level2 | Stores the Level2 Source Table of Lineage Report generated for populating the Level1 Source Table and Column. |
| 33 | Lineage Element Column Level2 | Stores the Level2 Source Column of Lineage Report generated for populating the Level1 Source Table and Column. |
| 34 | Lineage Run or Batch Level3 | Stores the Level3 Run Name or Batch Name of Lineage Report generated for populating the Level2 Source Table and Column. |
| 35 | Lineage Data Flow Name Level3 | Stores the Level3 Data Flow Name of Lineage Report generated for populating the Level2 Source Table and Column. |
| 36 | Lineage Data Flow Type Level3 | Stores the Level3 Data Flow Type of Lineage Report generated for populating the Level2 Source Table and Column. |
| 37 | Lineage Element Table Level3 | Stores the Level3 Source Table of Lineage Report generated for populating the Level2 Source Table and Column. |
| 38 | Lineage Element Column Level3 | Stores the Level3 Source Column of Lineage Report generated for populating the Level2 Source Table and Column. |

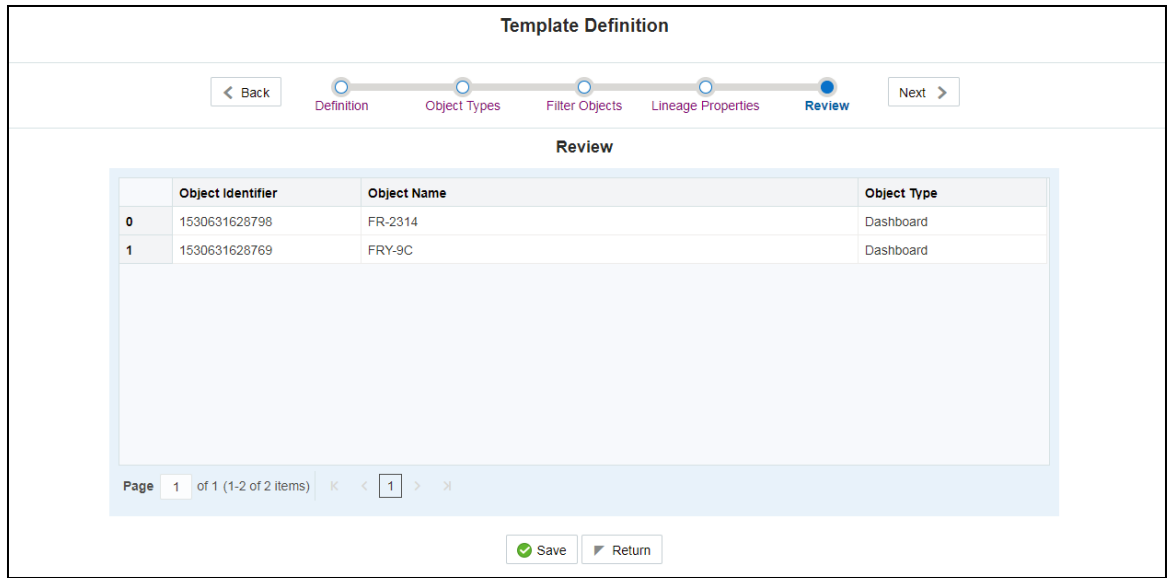
| | | |
|----|-------------------------------|---|
| 39 | Lineage Run or Batch Level4 | Stores the Level4 Run Name or Batch Name of Lineage Report generated for populating the Level3 Source Table and Column. |
| 40 | Lineage Data Flow Name Level4 | Stores the Level4 Data Flow Name of Lineage Report generated for populating the Level3 Source Table and Column. |
| 41 | Lineage Data Flow Type Level4 | Stores the Level4 Data Flow Type of Lineage Report generated for populating the Level3 Source Table and Column. |
| 42 | Lineage Element Table Level4 | Stores the Level4 Source Table of Lineage Report generated for populating the Level3 Source Table and Column. |
| 43 | Lineage Element Column Level4 | Stores the Level4 Source Column of Lineage Report generated for populating the Level3 Source Table and Column. |
| 44 | Lineage Run or Batch Level5 | Stores the Level5 Run Name or Batch Name of Lineage Report generated for populating the Level4 Source Table and Column. |
| 45 | Lineage Data Flow Name Level5 | Stores the Level5 Data Flow Name of Lineage Report generated for populating the Level4 Source Table and Column. |
| 46 | Lineage Data Flow Type Level5 | Stores the Level5 Data Flow Type of Lineage Report generated for populating the Level4 Source Table and Column. |
| 47 | Lineage Element Table Level5 | Stores the Level5 Source Table of Lineage Report generated for populating the Level4 Source Table and Column. |
| 48 | Lineage Element Column Level5 | Stores the Level5 Source Column of Lineage Report generated for populating the Level4 Source Table and Column. |
| 49 | Lineage Run or Batch Level6 | Stores the Level6 Run Name or Batch Name of Lineage Report generated for populating the Level5 Source Table and Column. |
| 50 | Lineage Data Flow Name Level6 | Stores the Level6 Data Flow Name of Lineage Report generated for populating the Level5 Source Table and Column. |
| 51 | Lineage Data Flow Type Level6 | Stores the Level6 Data Flow Type of Lineage Report generated for populating the Level5 Source Table and Column. |
| 52 | Lineage Element Table Level6 | Stores the Level6 Source Table of Lineage Report generated for populating the Level5 Source Table and Column. |
| 53 | Lineage Element Column Level6 | Stores the Level6 Source Column of Lineage Report generated for populating the Level5 Source Table and Column. |
| 54 | Lineage Run or Batch Level7 | Stores the Level7 Run Name or Batch Name of Lineage Report generated for populating the Level6 Source Table and Column. |
| 55 | Lineage Data Flow Name Level7 | Stores the Level7 Data Flow Name of Lineage Report generated for populating the Level6 Source Table and Column. |
| 56 | Lineage Data Flow Type Level7 | Stores the Level7 Data Flow Type of Lineage Report generated for populating the Level6 Source Table and Column. |

| | | |
|----|--------------------------------|--|
| 57 | Lineage Element Table Level7 | Stores the Level7 Source Table of Lineage Report generated for populating the Level6 Source Table and Column. |
| 58 | Lineage Element Column Level7 | Stores the Level7 Source Column of Lineage Report generated for populating the Level6 Source Table and Column. |
| 59 | Lineage Run or Batch Level8 | Stores the Level8 Run Name or Batch Name of Lineage Report generated for populating the Level7 Source Table and Column. |
| 60 | Lineage Data Flow Name Level8 | Stores the Level8 Data Flow Name of Lineage Report generated for populating the Level7 Source Table and Column. |
| 61 | Lineage Data Flow Type Level8 | Stores the Level8 Data Flow Type of Lineage Report generated for populating the Level7 Source Table and Column. |
| 62 | Lineage Element Table Level8 | Stores the Level8 Source Table of Lineage Report generated for populating the Level7 Source Table and Column. |
| 63 | Lineage Element Column Level8 | Stores the Level8 Source Column of Lineage Report generated for populating the Level7 Source Table and Column. |
| 64 | Lineage Run or Batch Level9 | Stores the Level9 Run Name or Batch Name of Lineage Report generated for populating the Level8 Source Table and Column. |
| 65 | Lineage Data Flow Name Level9 | Stores the Level9 Data Flow Name of Lineage Report generated for populating the Level8 Source Table and Column. |
| 66 | Lineage Data Flow Type Level9 | Stores the Level9 Data Flow Type of Lineage Report generated for populating the Level8 Source Table and Column. |
| 67 | Lineage Element Table Level9 | Stores the Level9 Source Table of Lineage Report generated for populating the Level8 Source Table and Column. |
| 68 | Lineage Element Column Level9 | Stores the Level9 Source Column of Lineage Report generated for populating the Level8 Source Table and Column. |
| 69 | Lineage Run or Batch Level10 | Stores the Level10 Run Name or Batch Name of Lineage Report generated for populating the Level9 Source Table and Column. |
| 70 | Lineage Data Flow Name Level10 | Stores the Level10 Data Flow Name of Lineage Report generated for populating the Level9 Source Table and Column. |
| 71 | Lineage Data Flow Type Level10 | Stores the Level10 Data Flow Type of Lineage Report generated for populating the Level9 Source Table and Column. |
| 72 | Lineage Element Table Level10 | Stores the Level10 Source Table of Lineage Report generated for populating the Level9 Source Table and Column. |
| 73 | Lineage Element Column Level10 | Stores the Level10 Source Column of Lineage Report generated for populating the Level9 Source Table and Column. |
| 74 | Data Element Table Application | Stores the Ultimate Source Table Application of Lineage Report generated for populating the Results Area Table and Column. The application is responsible for sourcing the data. |
| 75 | Data Element | Stores the Ultimate Source Table Type of Lineage Report generated |

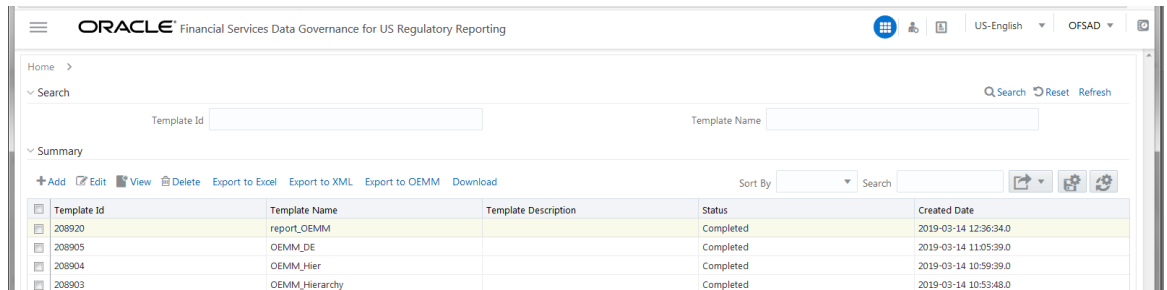
| | | |
|----|--------------------------------|---|
| | Table Type | for populating the Results Area Table and Column. This represents the Type of the Source Table like Download, Mapper Download, Seeded Data, Run Parameters, and so on. |
| 76 | Data Element Table | Stores the Ultimate Source Table of Lineage Report generated for populating the Results Area Table and Column. |
| 77 | Data Element Column | Stores the Ultimate Source Column of Lineage Report generated for populating the Results Area Table and Column. |
| 78 | Data Element Filter Operator | Stores the Ultimate Source Table Column Operator Code of Lineage Report generated with respect to Report Filter Operator in Results Area. This is the derived representation of Report Filter Operator in Results Area. |
| 79 | Data Element Filter Member | Stores the Ultimate Source Table Column Member Code of Lineage Report generated with respect to Report Filter Member Code in Results Area. This is the derived representation of Report Filter Member Code in Results Area. |
| 80 | Data Element Metadata Operator | Stores the Ultimate Source Table Column Operator Code of Lineage Report generated with respect to Target Metadata Operator in Results Area. This is the derived representation of Target Metadata Operator in Results Area. |
| 81 | Data Element Metadata Member | Stores the Ultimate Source Table Column Member Code of Lineage Report generated with respect to Target Metadata Member Code in Results Area. This is the derived representation of Target Metadata Member Code in Results Area. |



24. Review the Template Definition once and click Save.



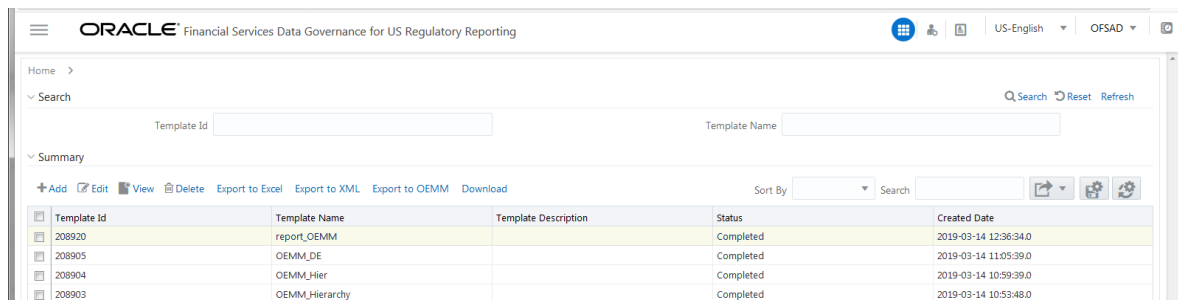
25. Click Return to go to the Summary page.



26. Select a Template in the Template List in Summary screen and click Export to Excel to export the desired objects in Excel Sheet format.

NOTE MDB Publish must be triggered before executing the Export to Excel option.

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



- For Excel Export, the following are the Status values:
 - Not Started: The Report Generation is yet to start, but the function has triggered the action in the background.
 - Ongoing: The Report Generation is started and in process.
 - Completed: The Report Generation is completed and ready to view or download.
 - Failed / Partially Completed / No Path Found: The Report Generation encountered an issue and the process is partially completed or failed.
- c. The export logs are generated and placed in the path /Context_Name/logs/MDB.log.
Log files give the following information:
 - a) All Paths query
 - b) Query for each path and if data present for this path
 - c) Lineage query
 - d) Status of excel output creation
 - e) Exceptions and errors, if any
- 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 the UI.

28. 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.

| Template Id | Template Name | Template Description | Status | Created Date |
|-------------|----------------|----------------------|-----------|-----------------------|
| 208920 | report_OEMM | | Completed | 2019-03-14 12:36:34.0 |
| 208905 | OEMM_DE | | Completed | 2019-03-14 11:05:39.0 |
| 208904 | OEMM_Hier | | Completed | 2019-03-14 10:59:39.0 |
| 208903 | OEMM_Hierarchy | | Completed | 2019-03-14 10:53:48.0 |

- User Access

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

- a. MDR View Group: To see Metadata Report Extract with View permissions.
- b. MDR Owner Group: To create templates in Metadata Report Extract.

15.4 Create and Export Metadata Report Templates for OEMM

OEMM is a complete metadata management platform that can reverse engineer (harvest) and catalog metadata from any source: relational, Big Data, ETL, BI, data modelling, etc.

OEMM allows you to perform:

- Interactive searching
- Data lineage
- Impact analysis
- The metadata from different sources and applications can be related (stitched)
- Metadata can be from different providers (Oracle or/and third-party)
- Manages versioning and comparison of metadata models.
- Shows the complete path of data from source to report or vice versa.

The OFSAA Metadata lineage can also be viewed through the OEMM tool. DGS metadata extract utility now supports metadata export in OEMM extract format. OEMM provides XL template to harvest metadata, DGS export utility updates the template which is then imported in OEMM.

The metadata lineage is supported for following OFSAA objects like Report, Measures, Derived Entities, Hierarchies, T2T, Datasets, Business Processor.

Prerequisite

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

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

FSI_DE_ACTIVE_TABLE_APP_MAP
FSI_DE_METADATA_ELEMENT_MAP
FSI_DE_METADATA_MASTER
FSI_DE_METADATA_ULT_TABLE_MAP
FSI_DE_OBJECT_REPOSITORY_B
FSI_DE_REPORT_LINEAGE_BASE
FSI_DE_RUN_FLOW_ULT_STG_MAP
```

NOTE MDB Publish must be triggered before executing the Export to OEMM option.

Data element POP USFED batch needs to be executed. Refer the section of Data element POP USFED for more details.

1. Navigate to **Common Tasks → Metadata Report**.

ORACLE Financial Services Data Governance for US Regulatory Reporting

Home >

Search Search Reset Refresh

Template Id Template Name

Summary

[+ Add](#) [Edit](#) [View](#) [Delete](#) [Export to Excel](#) [Export to XML](#) [Export to OEMM](#) [Download](#) Sort By Search

| Template Id | Template Name | Template Description | Status | Created Date | Cr |
|---------------------------------|---------------|----------------------|---|-----------------------|----|
| <input type="checkbox"/> 208861 | template | template | Failed/Partially Completed/No Path Fou... | 2019-03-09 16:13:02.0 | OI |
| <input type="checkbox"/> 208860 | oemm_report | oemm_report | Failed/Partially Completed/No Path Fou... | 2019-03-09 16:11:36.0 | OI |

Page 1 of 1 (1-2 of 2 items) ⏪ ⏩ ⏴ ⏵ Records Per Page 15

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

ORACLE Financial Services Data Governance for US Regulatory Reporting

Home >

Search Search Reset Refresh

Template Id Template Name

Summary

[+ Add](#) [Edit](#) [View](#) [Delete](#) [Export to Excel](#) [Export to XML](#) [Export to OEMM](#) [Download](#) Sort By Search

| Template Id | Template Name | Template Description | Status | Created Date | Cr |
|---------------------------------|---------------|----------------------|---|-----------------------|----|
| <input type="checkbox"/> 208861 | template | template | Failed/Partially Completed/No Path Fou... | 2019-03-09 16:13:02.0 | OI |
| <input type="checkbox"/> 208860 | oemm_report | oemm_report | Failed/Partially Completed/No Path Fou... | 2019-03-09 16:11:36.0 | OI |

Page 1 of 1 (1-2 of 2 items) ⏪ ⏩ ⏴ ⏵ Records Per Page 15

3. Provide the Name and Description for the new template in Template Definition page and then click Next.

Metadata Selection

[Back](#) Start Select Metadata Filter Objects Lineage Properties Review [Next](#)

Basic Details

Name

Description

[Save](#) [Return](#)

4. Select the desired object from the Object Type dropdown to be exported.

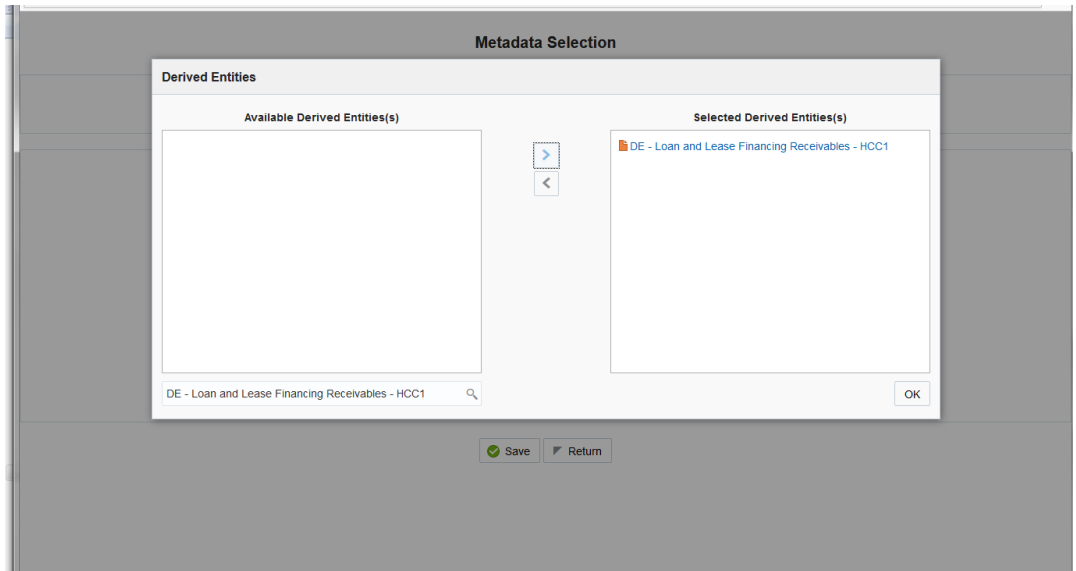
- Object types supported by OEMM export from metadata reports are
- Reports
- Derived Entities
- Hierarchy
- Measures
- T2T
- Datasets
- Business Processor

NOTE Only the above types are supported for OEMM Extract

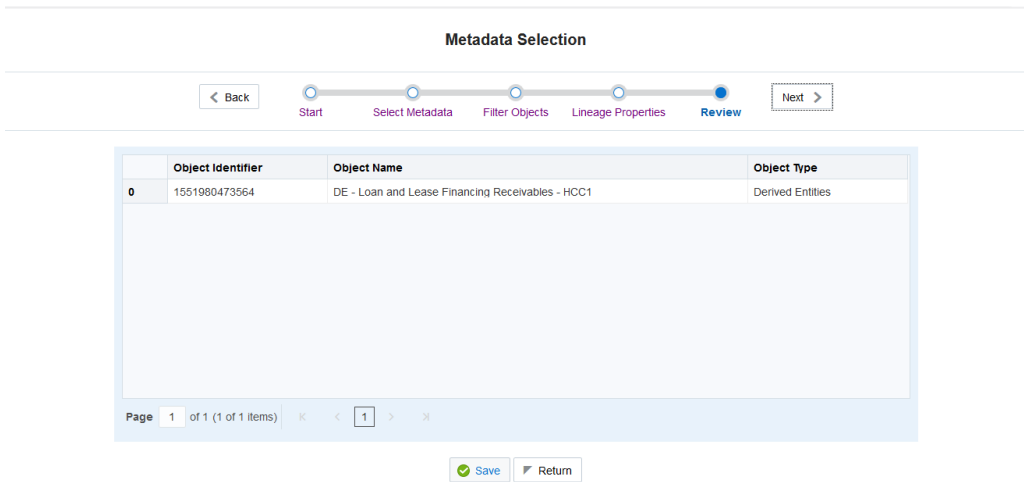
5.

The screenshot displays the 'Metadata Selection' screen. At the top, a progress bar indicates the current step is 'Select Metadata'. Below this, a 'Metadata' panel contains a 'Select' dropdown menu with 'Derived Entities' selected. Underneath, the 'Include' section has two toggle switches: 'Dependent Objects' and 'Lineage', both of which are turned on. At the bottom of the panel, there are 'Save' and 'Return' buttons.

6. Based on the object type selected move to the filter objects and select a entity.
7. The Lineage Properties section can be skipped



8. Review the Metadata Selection once, and then click Next.



9. Click Return to go to the Summary page.

ORACLE Financial Services Data Governance for US Regulatory Reporting

Home >

Search [Template Id] [Template Name] [Search] [Reset] [Refresh]

Summary

+ Add Edit View Delete Export to Excel Export to XML Export to OEMM Download

| Template Id | Template Name | Template Description | Status | Created Date |
|-------------|---------------------|----------------------|--|-----------------------|
| 208922 | OEMM_Derived_Entity | OEMM_Derived_Entity | Not Started | 2019-03-14 13:08:49.0 |
| 208921 | OEMM-hierarchy_02 | HRA1019 | Completed | 2019-03-14 13:07:48.0 |
| 208920 | report_OEMM | | Completed | 2019-03-14 12:36:34.0 |
| 208905 | OEMM_DE | | Completed | 2019-03-14 11:05:39.0 |
| 208904 | OEMM_Hier | | Completed | 2019-03-14 10:59:39.0 |
| 208903 | OEMM_Hierarchy | | Completed | 2019-03-14 10:53:48.0 |
| 208902 | hierarchy_OEMM | | Check MetadataExport folder in server. | 2019-03-14 10:52:32.0 |
| 208901 | EOP_bal | | Completed | 2019-03-13 18:57:50.0 |
| 208900 | measure | | Completed | 2019-03-13 18:53:17.0 |
| 208880 | European Lineage | European Lineage | Not Started | 2019-03-11 12:17:09.0 |
| 208861 | template | template | Completed | 2019-03-09 16:13:02.0 |
| 208860 | oemm_report | oemm_report | Failed/Partially Completed/No Path Found | 2019-03-09 16:11:36.0 |

Page 1 of 1 (1-12 of 12 items) [Records Per Page 15]

- Select a Template in the Template List in Summary screen and click Export to OEMM
- The Report Generation function is an asynchronous action and to check the status of the export function, use the Refresh in Summary screen.

Home >

Search [Template Id] [Template Name] [Search] [Reset] [Refresh]

Summary

+ Add Edit View Delete Export to Excel Export to XML Export to OEMM

Export process has been triggered! Please use the refresh option to check the status.

OK

| Template Id | Template Name | Template Description | Status | Created Date |
|-------------|---------------------|----------------------|--|-----------------------|
| 208922 | OEMM_Derived_Entity | OEMM_Derived_Entity | Not Started | 2019-03-14 13:08:49.0 |
| 208921 | OEMM-hierarchy_02 | HRA1019 | Completed | 2019-03-14 13:07:48.0 |
| 208920 | report_OEMM | | Completed | 2019-03-14 12:36:34.0 |
| 208905 | OEMM_DE | | Completed | 2019-03-14 11:05:39.0 |
| 208904 | OEMM_Hier | | Completed | 2019-03-14 10:59:39.0 |
| 208903 | OEMM_Hierarchy | | Completed | 2019-03-14 10:53:48.0 |
| 208902 | hierarchy_OEMM | | Check MetadataExport folder in server. | 2019-03-14 10:52:32.0 |
| 208901 | EOP_bal | | Completed | 2019-03-13 18:57:50.0 |
| 208900 | measure | | Completed | 2019-03-13 18:53:17.0 |
| 208880 | European Lineage | European Lineage | Not Started | 2019-03-11 12:17:09.0 |
| 208861 | template | template | Completed | 2019-03-09 16:13:02.0 |
| 208860 | oemm_report | oemm_report | Failed/Partially Completed/No Path Found | 2019-03-09 16:11:36.0 |

Page 1 of 1 (1-12 of 12 items) [Records Per Page 15]

Home >

Search Search Reset Refresh

Template Id Template Name

Summary

+ Add Edit View Delete Export to Excel Export to XML Export to OEMM Download Sort By Search

| Template Id | Template Name | Template Description | Status | Created Date |
|-------------|---------------------|----------------------|--|-----------------------|
| 208922 | OEMM_Derived_Entity | OEMM_Derived_Entity | Ongoing | 2019-03-14 13:08:49.0 |
| 208921 | OEMM-hierarchy_02 | HRA1019 | Completed | 2019-03-14 13:07:48.0 |
| 208920 | report_OEMM | | Completed | 2019-03-14 12:36:34.0 |
| 208905 | OEMM_DE | | Completed | 2019-03-14 11:05:39.0 |
| 208904 | OEMM_Hier | | Completed | 2019-03-14 10:59:39.0 |
| 208903 | OEMM_Hierarchy | | Completed | 2019-03-14 10:53:48.0 |
| 208902 | hierarchy_OEMM | | Check MetadataExport folder in server. | 2019-03-14 10:52:32.0 |
| 208901 | EOP_bal | | Completed | 2019-03-13 18:57:50.0 |
| 208900 | measure | | Completed | 2019-03-13 18:53:17.0 |
| 208880 | European Lineage | European Lineage | Not Started | 2019-03-11 12:17:09.0 |
| 208861 | template | template | Completed | 2019-03-09 16:13:02.0 |
| 208860 | oemm_report | oemm_report | Failed/Partially Completed/No Path Found | 2019-03-09 16:11:36.0 |

Page 1 of 1 (1-12 of 12 items) | < > >>

Records Per Page 15

- OEMM Extract
- The following is an example of the Model sheet:

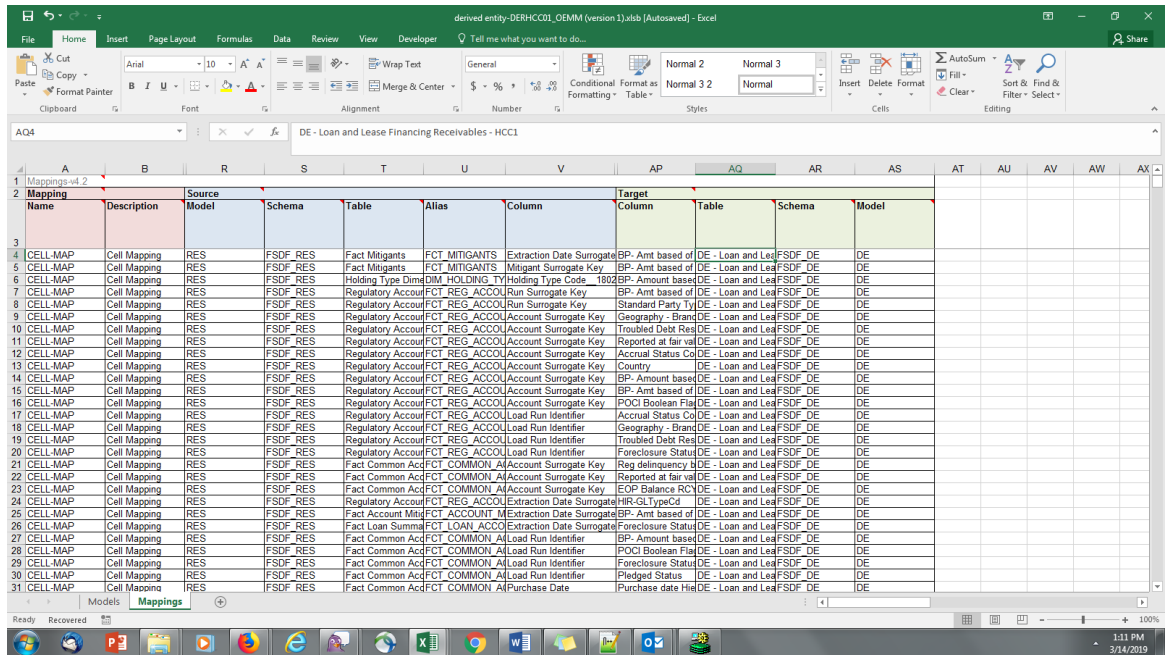
derived entity-DERHCC01_OEMM (version 1).xlsx [Autosaved] - Excel

File Home Insert Page Layout Formulas Data Review View Developer Tell me what you want to do...

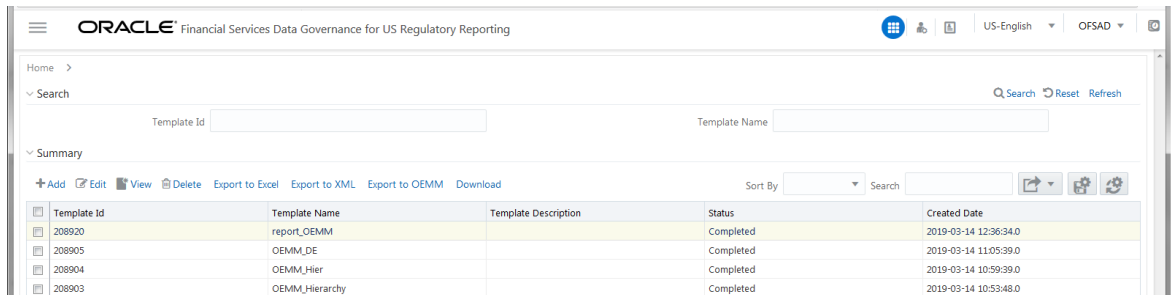
P19 DERHCC01

| Models / Data Store | Package | Schema | Entity / Table / Record / View / File | Business Name | Description | Attribute / Column / Field | Business Name | Description | Position | Data Type | Length | Scale | | |
|---------------------|---------|------------------|---------------------------------------|-------------------------------|-------------------|----------------------------|-----------------------------|-----------------------------|----------------|---------------|--------|----------|----------|----|
| 4 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | BP- Amt based of holding ty | BP- Amt based of | BP- Amt bas | 1 | Yes | VarChar2 | 20 | |
| 5 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | HIR-GLTypeCd | HIR-GLTypeCd | HIR-GLTypeCd | 2 | Yes | VarChar2 | 20 | |
| 6 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Reported at fair value flag | Reported at fair value | Reported at f | 3 | Yes | VarChar2 | 20 | |
| 7 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | BP- Amount based of holding | BP- Amount based | BP- Amount | 4 | Yes | VarChar2 | 20 | |
| 8 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Holding Type Code Hierarchy | Holding Type Cod | Holding Type | 5 | Yes | VarChar2 | 20 | |
| 9 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Band Type Hierarchy | Band Type Hiera | Band Type H | 6 | Yes | VarChar2 | 20 | |
| 10 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Foreclosure Status | Foreclosure Stat | Foreclosure | 7 | Yes | VarChar2 | 20 | |
| 11 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Geography - Branch Country | Geography - Bran | Geography - | 8 | Yes | VarChar2 | 20 | |
| 12 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | BP- Amount based of holding | BP- Amount based | BP- Amount | 9 | Yes | VarChar2 | 20 | |
| 13 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Reg Outstanding Pin Bal | Reg Outstanding | Reg Outstan | 10 | Yes | VarChar2 | 20 | |
| 14 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Pledged Status | Pledged Status | Pledged Stat | 11 | Yes | VarChar2 | 20 | |
| 15 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Fair value - FRS Account | Fair value - FRS | Fair value - f | 12 | Yes | VarChar2 | 20 | |
| 16 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Standard Party Type Hiera | Standard Party T | Standard Pa | 13 | Yes | VarChar2 | 20 | |
| 17 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | EOP Balance RCY - FRS | EOP Balance RO | EOP Balanc | 14 | Yes | VarChar2 | 20 | |
| 18 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Regulatory Product Classif | Regulatory Produ | Regulatory P | 15 | Yes | VarChar2 | 20 | |
| 19 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Troubled Debt Restructure | Troubled Debt Re | Troubled Det | 16 | Yes | VarChar2 | 20 | |
| 20 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Country | Country | Country | 17 | Yes | VarChar2 | 20 | |
| 21 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | POCI Boolean Flag | POCI Boolean Fl | POCI Boolea | 18 | Yes | VarChar2 | 20 | |
| 22 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Accrual Status Code Flag | Accrual Status C | Accrual Stat | 19 | Yes | VarChar2 | 20 | |
| 23 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Reg delinquency band Hiera | Reg delinquency | Reg delinqu | 20 | Yes | VarChar2 | 20 | |
| 24 | ORACLE | Financial Servic | FSDF DE | DE - Loan and Lease Financing | DERHCC01 | DE - Loan an | Purchase date Hierarchy | Purchase date H | Purchase da | 21 | Yes | VarChar2 | 20 | |
| 25 | RES | ORACLE | Financial Servic | FSDF RES | Account Dimension | DIM_ACCOUNT | Summary Ad | Point of Sale Indicator | F POS-FACILIT | This column | 34 | Yes | CHAR | 1 |
| 26 | RES | ORACLE | Financial Servic | FSDF RES | Account Dimension | DIM_ACCOUNT | Summary Ad | Original Combined Loan To | VN_ORIG_COMBIL | This column | 61 | Yes | NUMBER | 22 |
| 27 | RES | ORACLE | Financial Servic | FSDF RES | Account Dimension | DIM_ACCOUNT | Summary Ad | Account Attrition Reason Co | V_ATT_REAS_C | This is the a | 12 | Yes | VARCHAR2 | 10 |
| 28 | RES | ORACLE | Financial Servic | FSDF RES | Account Dimension | DIM_ACCOUNT | Summary Ad | Currency Code | V_CCY_CODE | Unique ident | 60 | Yes | VARCHAR2 | 5 |
| 29 | RES | ORACLE | Financial Servic | FSDF RES | Account Dimension | DIM_ACCOUNT | Summary Ad | Joining Credit Score Band | V_JOINING_CRE | The band co | 11 | Yes | VARCHAR2 | 15 |
| 30 | RES | ORACLE | Financial Servic | FSDF RES | Account Dimension | DIM_ACCOUNT | Summary Ad | Marketing Code | V_MKTG_CODE | This is the m | 61 | Yes | VARCHAR2 | 15 |

- The following is an example of the Mapping sheet:



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.



15.5 View Metadata Report Templates

Perform the following steps to view the Metadata Report Templates:

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

ORACLE Financial Services Data Governance for US Regulatory Reporting

Home >

Search

Template Id Template Name

Summary

+ Add Edit View Delete Export to Excel Export to XML Export to OEMM Download Sort By Search

| Template Id | Template Name | Template Description | Status | Created Date | Cr |
|--|---------------|----------------------|---|-----------------------|----|
| <input checked="" type="checkbox"/> 208861 | template | template | Failed/Partially Completed/No Path... | 2019-03-09 16:13:02.0 | OI |
| <input type="checkbox"/> 208860 | oemm_report | oemm_report | Failed/Partially Completed/No Path Fou... | 2019-03-09 16:11:36.0 | OI |

Page 1 of 1 (1-2 of 2 items) | < > | Records Per Page 15

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

15.6 Modify/Edit Metadata Report Templates

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

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

ORACLE Financial Services Data Governance for US Regulatory Reporting

Home >

Search

Template Id Template Name

Summary

+ Add Edit View Delete Export to Excel Export to XML Export to OEMM Download Sort By Search

| Template Id | Template Name | Template Description | Status | Created Date | Cr |
|--|---------------|----------------------|---|-----------------------|----|
| <input checked="" type="checkbox"/> 208861 | template | template | Failed/Partially Completed/No Path... | 2019-03-09 16:13:02.0 | OI |
| <input type="checkbox"/> 208860 | oemm_report | oemm_report | Failed/Partially Completed/No Path Fou... | 2019-03-09 16:11:36.0 | OI |

Page 1 of 1 (1-2 of 2 items) | < > | Records Per Page 15

15.7 Delete Metadata Report Templates

Perform the following steps to delete the Metadata Report Templates:

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

Home >

Search

Search Reset Refresh

Template Id

Template Name

Summary

+ Add Edit View **Delete** Export to Excel Export to XML Export to OEMM Download Sort By Search

| Template Id | Template Name | Template Description | Status | Created Date | Cr |
|--|---------------|----------------------|---|-----------------------|----|
| <input checked="" type="checkbox"/> 208861 | template | template | Failed/Partially Completed/No Path... | 2019-03-09 16:13:02.0 | OI |
| <input type="checkbox"/> 208860 | oemm_report | oemm_report | Failed/Partially Completed/No Path Fou... | 2019-03-09 16:11:36.0 | OI |

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16 Appendix A: Setting up Application and Workflow Function

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

This chapter lists the following steps:

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

16.1.1.1 Step 1: Application

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

DIM_APP_INFO and DIM_APP_INFO_MLS.

| TABLE NAME | DIM_APP_INFO | | | |
|-------------|---|-----------|--------------------|-----------|
| SCHEMA NAME | Atomic | | | |
| DESCRIPTION | This table stores basic information regarding the application(s). Like Application Name, Application Code, and so on. | | | |
| FIELD NAME | DESCRIPTION | DATA TYPE | SAMPLE VALUE | MANDATORY |
| N_APP_KEY | A unique number to identify the Application. | NUMBER | 5 | Yes |
| V_APP_CODE | A unique number to identify the Application. | VARCHAR | OFS_BANK | Yes |
| V_APP_NAME | Name of the Application. | VARCHAR | Banking Management | Yes |

| | | | | |
|---------------------|---|---------|---------------------|-----|
| V_APP_DESC | Brief description about the Application. | VARCHAR | Banking Management | No |
| D_RECORD_START_DATE | Application is valid from the start date. | DATE | 4/1/2015 11:00:00AM | Yes |
| D_RECORD_END_DATE | Application is valid to the end date. | DATE | 4/1/9999 11:00:00AM | Yes |

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

| 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. | VARCHA R | Credit Banking | Yes |
| V_ENTITY_DESC | Brief description about the Workflow Function. | VARCHA R | Manage the Credit Banking facility | No |

16.1.1.2

| | | | | |
|--------------------------|---|---------|----------------------|-----|
| S_FCT_TABLENAM | The primary FACT table of the Workflow Function | VARCHAR | FCT_CREDIT_BANK | Yes |
| RECORD_START_DATE | Workflow Function is valid from the start date. | DATE | 4/1/2015 11:00:00 AM | Yes |
| D_RECORD_END_DATE | Workflow Function is valid to the end date. | DATE | 4/1/9999 11:00:00 AM | Yes |

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

16.1.1.3 Step 3: Application Component Mapping

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

| TABLE NAME | FCT_APP_COMPONENT_MAP | | | |
|--------------------|--|-----------|--------------|-----------|
| SCHEMA NAME | Atomic | | | |
| DESCRIPTION | This table stores the mapping between application and workflow function(s). | | | |
| FIELD NAME | DESCRIPTION | DATA TYPE | SAMPLE VALUE | MANDATORY |
| N_APP_COMP_KEY | A unique number to identify the mapping between Workflow Function and Application. | NUMBER | 1000 | Yes |
| N_APP_KEY | Unique key that identifies the Application. This key is as specified in the DIM_APP_INFO table. | NUMBER | 5 | Yes |
| N_ENTITY_KEY | Unique key that identifies the Workflow Function. This key is a specified in the SETUP_COMPONENTS table. | NUMBER | 200 | Yes |


16.1.1.4 Step 4: Workflow Function Status Mapping

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

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

| | | | | |
|--------------|---|--------|---|-----|
| N_SORT_ORDER | The sequence in which the status needs to be displayed. | NUMBER | 1 | Yes |
|--------------|---|--------|---|-----|

16.1.1.5 Step 5: Create Workflow Action

To enable create workflow functionality ( **Create Workflow**) for the new Application & workflow function, following entries should be made to the following table.

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

| | | | |
|----------------|--|--------|-----|
| CONTAINER | This flag identifies if the above mentioned CONTROL_ID, identifies a specific control or a specific container (0 – control, 1 – container) | NUMBER | Yes |
| CONTROL_STATUS | The visibility mode that needs to be applied to the control/container. (1 – Enabled, 2 – Disabled, 3 – Hidden). | NUMBER | Yes |

| TABLE NAME | WFM_LIST | | | |
|---------------|---|-----------|----------------|-----------|
| SCHEMA NAME | Atomic | | | |
| DESCRIPTION | This table associates the workflows created through workflow manager to its respective workflow function. | | | |
| FIELD NAME | DESCRIPTION | DATA TYPE | SAMPLE VALUE | MANDATORY |
| N_WFM_LIST_ID | Unique Identification number to identify the workflow function within the Workflow Manager. | NUMBER | 2000 | Yes |
| V_DSN_ID | The Information Domain name. | VARCHAR | OFSINFODOM | Yes |
| V_SEGMENT_ID | Segment in which the solution is installed. | VARCHAR | OFSSEGMENT | Yes |
| N_WFM_FN_ID | Workflow Function ID as specified in SETUP_COMPONENTS table. | NUMBER | 200 | Yes |
| V_WFM_FN_NAME | Name of the Workflow Function. | VARCHAR | Credit banking | No |
| N_KBD_1_REQD | Is Key Business Dimension 1 required? 1 - Yes/ 0 – No | NUMBER | 1 | Yes |
| N_KBD_2_REQD | Is Key Business Dimension 2 required? 1 - Yes/ 0 – No | NUMBER | 1 | Yes |
| N_KBD_3_REQD | Is Key Business Dimension 3 required? 1 - Yes/ 0 – No | NUMBER | 0 | Yes |
| N_KBD_4_REQD | Is Key Business Dimension 4 required? 1 - Yes/ 0 – No | NUMBER | 0 | Yes |
| V_KBD_1_LABEL | If KBD 1 required, then give the KBD label name. (Business Line, Location, others). | VARCHAR | Business Line | No |
| V_KBD_2_LABEL | If KBD 2 required, then give the KBD label name. (Business Line, Location, others). | VARCHAR | Location | No |
| V_KBD_3_LABEL | If KBD 3 required, then give the KBD label name. (Business Line, Location, others). | VARCHAR | | No |

| | | | | |
|---------------|--|---------|--|----|
| V_KBD_4_LABEL | If KBD 4 required, then give the KBD label name. (Business Line, Location, others). | VARCHAR | | No |
|---------------|--|---------|--|----|

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)

16.1.1.6 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.

Step 7: Conclusion

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

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

