OFS Data Governance for US Regulatory Reporting

User Guide

Release 8.0.8.0.0

July 2020

ORACLE
Financial Services

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Oracle Financial Services Data Governance for US Regulatory Reporting

Document Control

Version Number	Revision Date	Change Log

1.0	December 2019	As part of 8.0.8.0.0 release,
		
		• Data Adjustment feature is introduced for Regulatory Reporting Cell.
		• Pre- and post-adjustments can be done for adjustments made at stage level and regulatory reporting cell level.
		• Addition of threshold for the key indicator at each reporting level and cell level.
		• Key indicator is configured for only those reports, schedule and cell that is currently used at the site.
		• Issue can be created:
		  — For both breached and non-breached issue.
		  — From m the OBIEE dashboard against each cell for any report.
		  — At the key indicator condition level.
		• Simplified and consolidated run chart module-wise.
		• Issue and action count is now displayed against each cell.
		• Intermediate drill-down at:
		  — Repline-level in variance analysis dashboard.
		  — Account-level in variance analysis dashboard.
		• Key indicator assessment based on the report/schedule/cell level configuration set.
		• Key indicator assessment multiple times for the same MIS date and runskey combination.
		• Variance for current and prior period in variance analysis dashboard can be viewed.

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2.0	April 2020	As part of 8.0.8.1.0 release,
		• For Key Indicator Conditions,
		  — The Report Name drop-down values are displayed in the ascending order.
		  — Introduced Additional search functionality for Schedule and MDRM fields to filter the Key Indicator conditions.
		• In the Variance dashboard summary screen, added an additional prompt to filter MDRMs using the Variance Amount Range.
		• Enabling or disabling Edit Checks from participating in Key Indicator Assessment.
		• Two new columns, Final Value and Final Value (Previous Period) to the Intermediate and Account drill-down templates are introduced. The values from these cells tie back to the current and previous values in the tile. The column totals defined at each level ties back to the previous level.

3.0	April 2020	As part of 8.0.8.2.0 release, • Commentary Capture: This feature allows to record the comments provided by an individual user working on the issue. • The audit trail records the history of every action that is performed on the issues and actions. The workflow history is captured for every action.
4.0	July 2020	As part of 8.0.8.2.5 release, • Enhanced to integrate Agile Reporter – Dashboard and Agile Reporter - Analysis Module with Data Governance Variance Analysis. • Added Cell Line Item column in the Variance Analysis Summary Screen. • Introduced a new dashboard for Data Schedule.

Table of Contents

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 8.0.8.0.0 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   Related Documents

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

- Oracle Financial Services Data Management Installation Manual Release 8.0.8.0.0 (OHC)
- Oracle Financial Services Analytical Applications Reconciliation Framework User Guide, Release 8.0.8.0.0 (OHC)
- Oracle Financial Services Data Foundation Installation Guide 8.0.8.0.0 (OHC)
- Oracle Financial Services Analytical Applications Infrastructure User Guide, Release 8.0.8.0.0 (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**	**OFSA Application Catering to the Principle**
BCBS Principle Category: Overarching Governance and Infrastructure		
Principle 1: Governance	Identification, assessment, and management of data quality risks to be a part of a bank's risk management framework. Risk data aggregation and risk reporting practices must be fully documented and validated, extended to new initiatives, unaffected by the organization structure. Awareness of the limitations of full risk data aggregation.	This principle is addressed by the Data Quality Framework and OFS Model Risk Management.
Principle 2: Data Architecture and IT Infrastructure	Integrated data taxonomies and architecture across the group. Establish roles and responsibilities to ensure adequate controls.	This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure, and OFS Enterprise Modeling Framework.
BCBS Principle Category: Risk Data Aggregation Capabilities		
Principle 3: Accuracy and Integrity	Ensure that the risk data aggregation is accurate and reliable with adequate controls, data reconciliation, and a single source of data for each risk type. Documentation of risk data aggregation process. Establish escalation channels and action plans.	This principle is addressed by OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, OFS Reconciliation Framework, OFS Data Foundation, and OFS Operational Risk.
Principle 4: Completeness	Capture all material risk data by the relevant dimensions. Any exceptions to completeness must be identified and documented. Consistent risk data aggregation capabilities.	This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, and all OFS Applications.
Principle 5: Timeliness	Generate aggregated data as per the desired frequency.	This principle is addressed by OFS Analytical Applications Infrastructure, OFS Applications, and Exadata Benchmarks.

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

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

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Principle 14: Home/Host cooperation	Supervisors of relevant jurisdictions must cooperate. Information and experience-sharing through bilateral or multilateral dialogue.	

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 enables you to:

- Identify all critical data elements.

- Track and monitor the data elements from their source to the eventual usage in reporting.

- Manage Regulatory submissions.

- Establish a governance process around the data elements and reporting process to offer greater visibility and increased confidence in the organization for the board of directors and regulators.

- Consolidate and collaborate across the enterprise providing a truly unified enterprise data management process.

- The below diagram provides a high-level workflow of the DG application:

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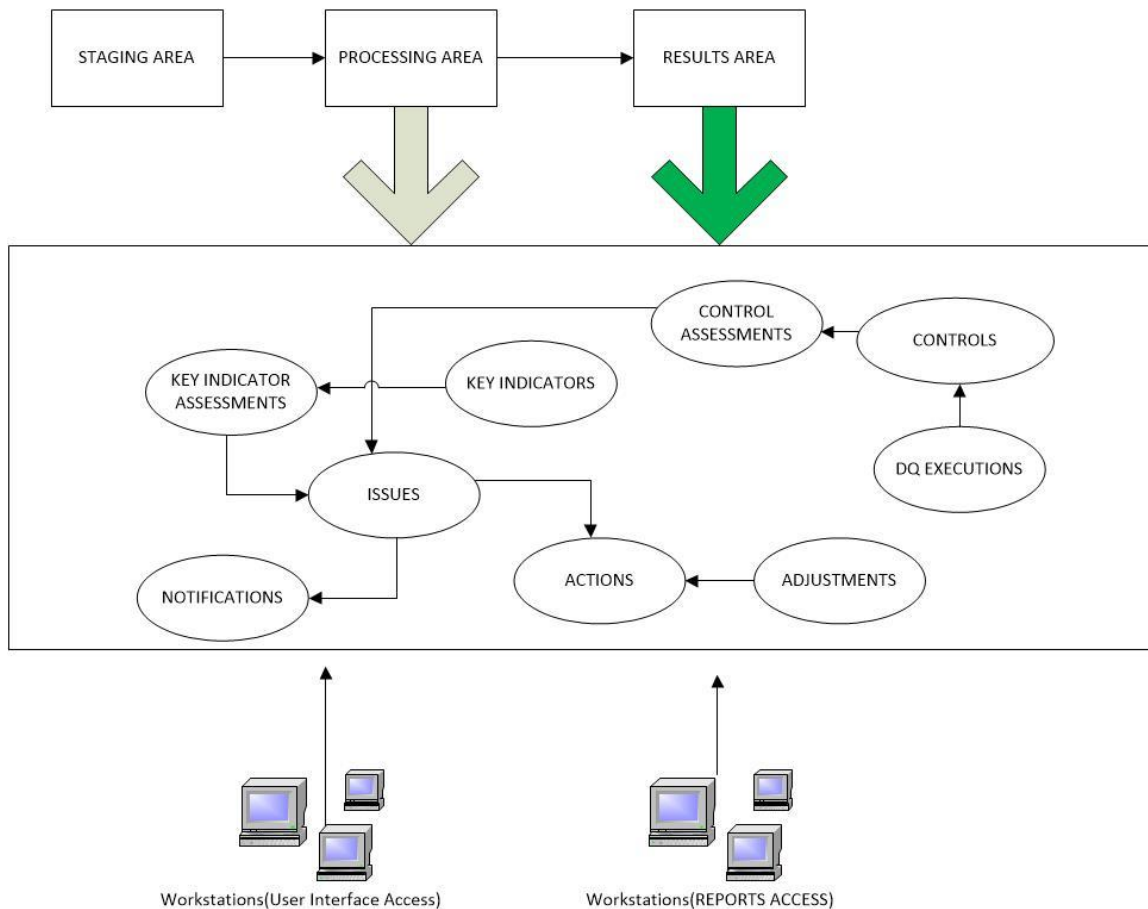
The content provided to DGUSRR helps the customer to have access to over 20,000 business terms and definitions that form a part of the Metadata Glossary.

2.4 Important Features of Data Governance for US Regulatory Reporting

The following are the key features of DGRR:

- It 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 maintain and track 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 include 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.
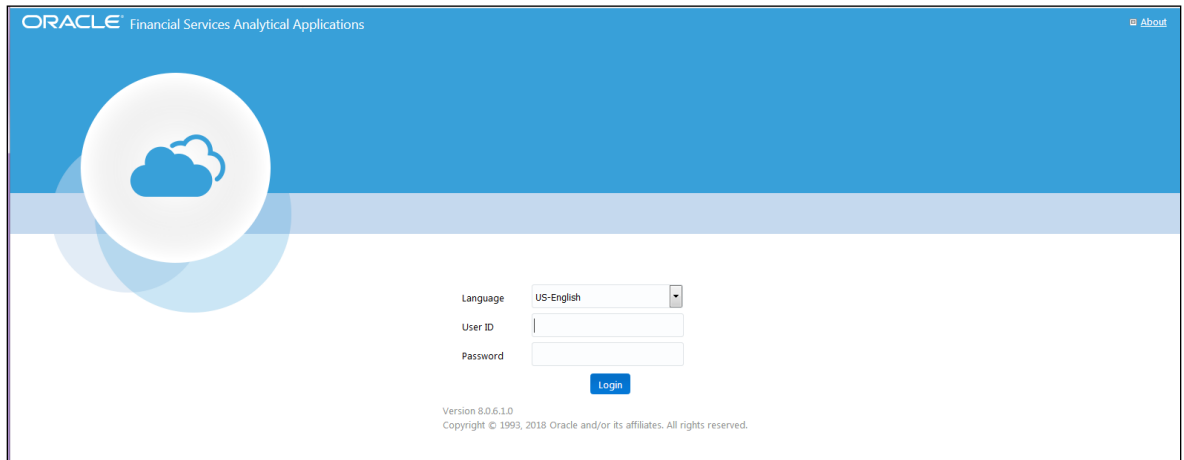
After logging into the application, the following window appears:
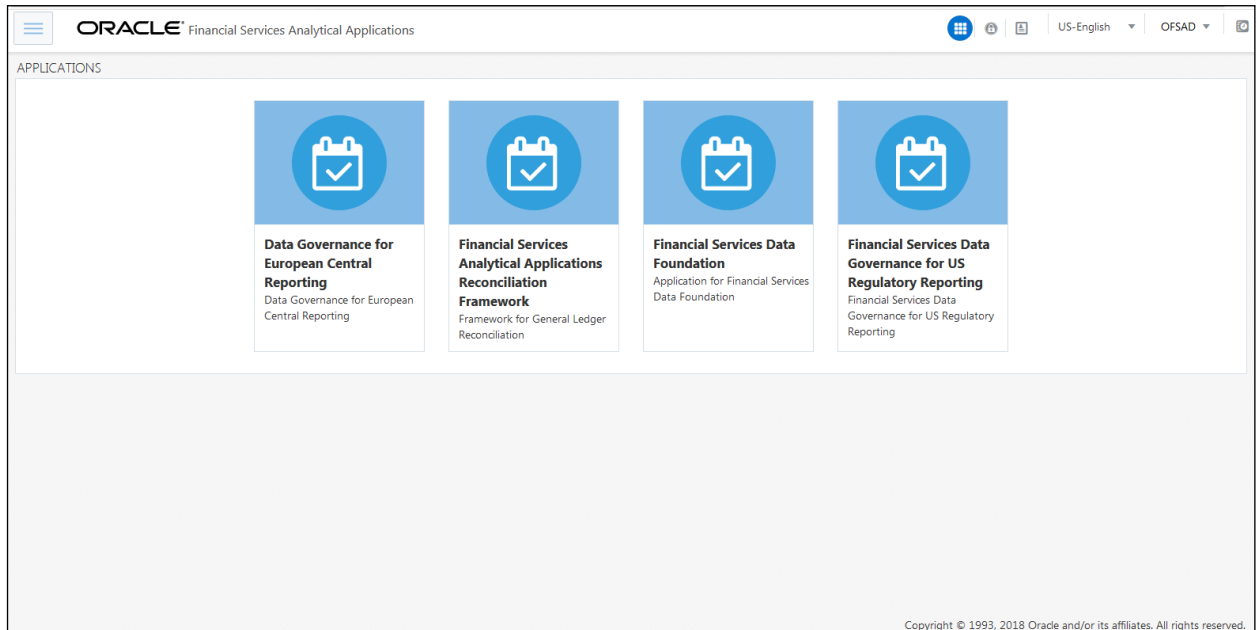
2. Click the **Financial Services Data Governance for the US Regulatory Reporting** option.

   The **DGUSRR** window appears.
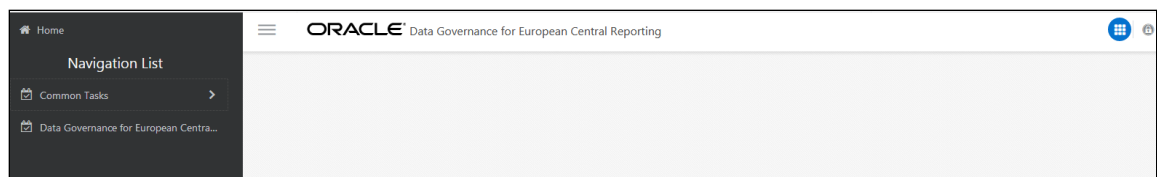
4.2 Common Functionalities

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**.

2. In the upper-left corner of the **Data Governance for US Regulatory Reporting** page, select **Standards & Policies**, and then select **Glossary**.

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.

4.2.2 Deleting a Glossary

To delete an existing Glossary, perform the following steps:

1. Select the checkbox next to the Glossary name that you want to delete.

2. In the toolbar, click the 🗑 Delete icon, and then click **OK.**

    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 the section Managing Search and List page for details.

4.3 Managing OFSDGRR

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

4.3.1 Managing an Inbox

The **Inbox** page displays all Tasks and Notifications of the logged-in user. 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 the following topics:

- Searching Inbox
- Reassigning Tasks
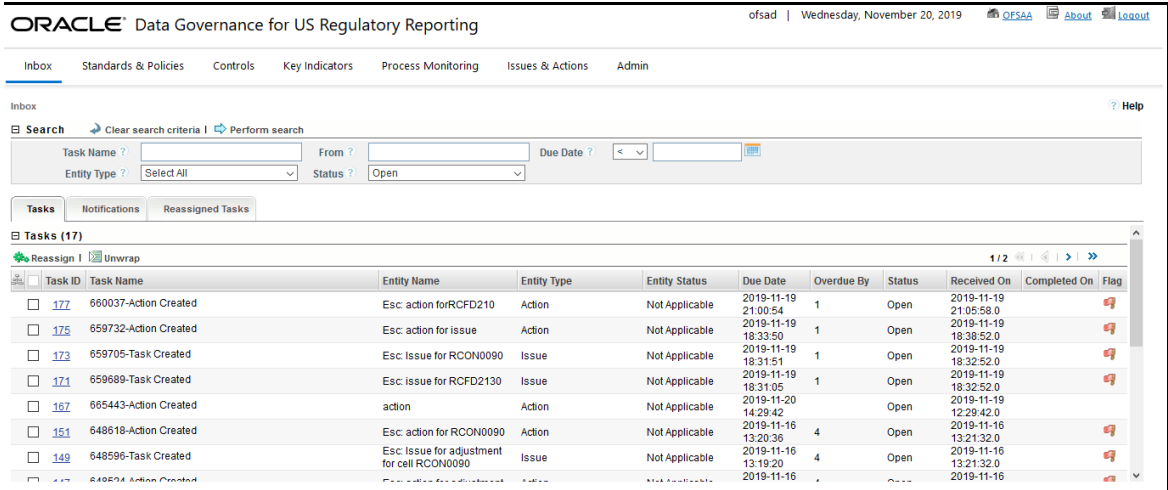
There are four tabs in the Inbox of any user:

1. **Open Tasks**

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

2. **Completed Tasks**

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

3. **Notifications**

   This tab displays notifications sent to the user for information.

4. **Reassigned Tasks**

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

4.3.1.1 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 a 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

5. Click the ⇨ Perform search icon. The records meeting the criteria appear in the respective tabs.
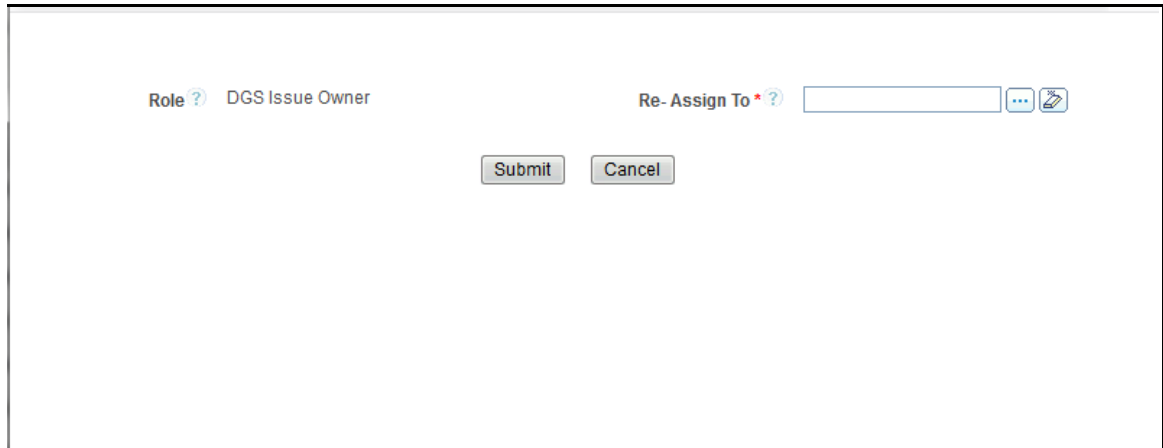
> **NOTE**   If no records match the search criteria, the following message
> appears No records found for the selected search criteria.

4.3.1.2   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.

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

3. In the **Inbox** workspace, select the checkbox next to the task that you want to reassign and in the upper-left corner of the **Tasks** sub-section, click the 🍀 Reassign icon.

4. In the **Reassign Task** window, click the ⊡ icon.

5. In the **Hierarchy Browser** window, select the appropriate user and click **OK**.

6. In the **Re-assign Task** window, 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.

4.3.2   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

4.3.2.1   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:
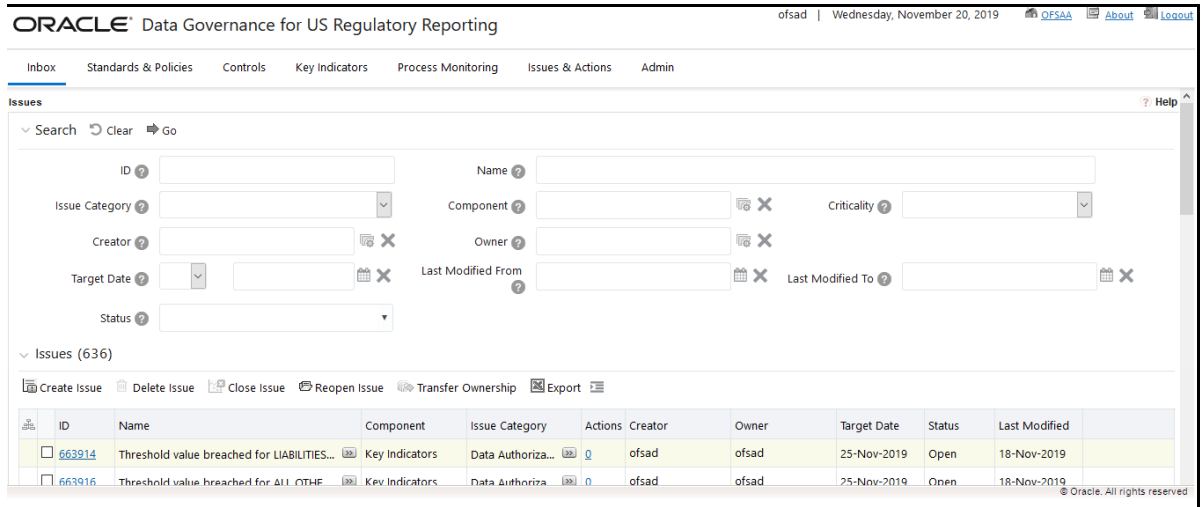
- **Masthead**

  The masthead 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.

  Or

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

NOTE	The action buttons differ from module to module. Refer to the respective chapters for more details.

- **Checkboxes**

  Checkboxes are provided at the beginning of each row in the **Issues & Actions** page. You can select one or more checkboxes depending upon the action you take.
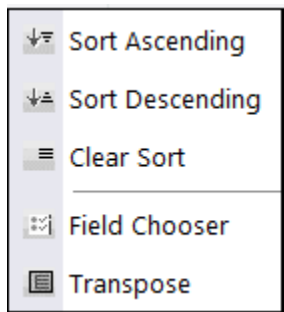
- **Column Headings**

  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 is displayed.

↓≡	Sort Ascending
↓≅	Sort Descending
≡	Clear Sort
⊠	Field Chooser
▤	Transpose

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 the case of text, the data is sorted in alphabetical order. If the selected column is a date column, then the data is sorted in chronological order.

Sort Descending

On selecting this option, the records are sorted in descending order if the data is numeric. In the 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 reverse chronological order.

Clear Sort

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

Group by Tree

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

| NOTE	The Group by Tree option is enabled only for columns that 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 appear.

2. Click **Field Chooser**.

   The **Field Chooser** window appears where the columns displayed are selected by default.
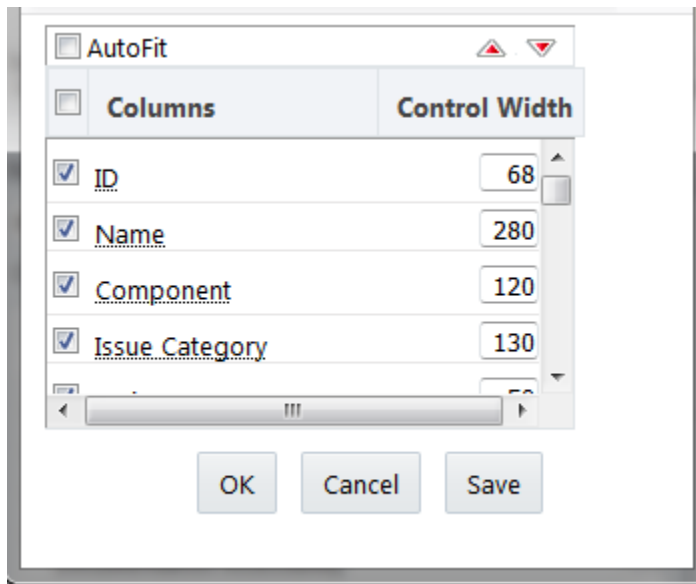
3. Select the fields that you want to display.

   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 appear.

   Or

5. Click **Save**.

   The **Field Chooser** window is closed and the selected columns appear. 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 appear horizontally, and the record details appear vertically corresponding to each column. You can click **Close** to close the transposed view.

4.3.2.2   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.
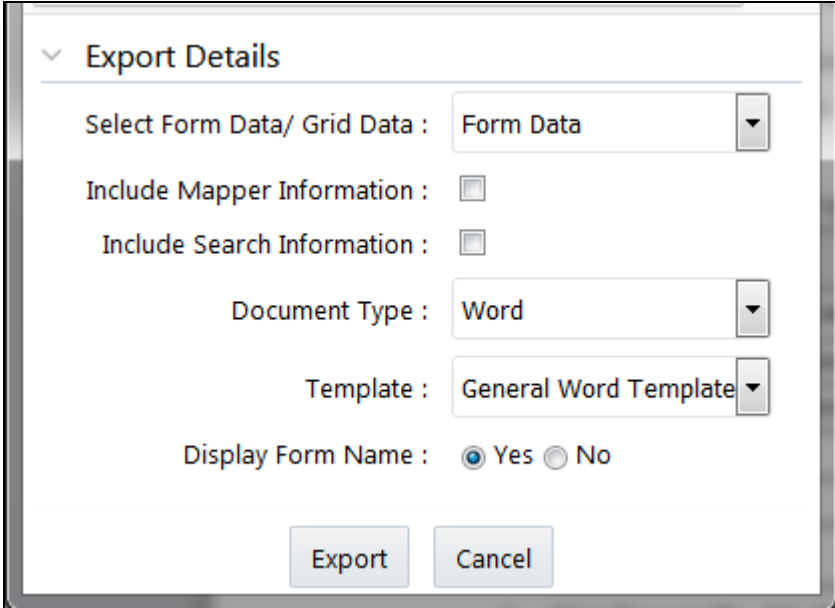
- Page   1   of 19   K   <   >   >I
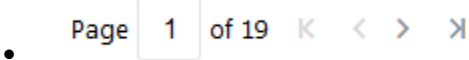
- Click > to view the records on the next page.

- Click <   to view the records on the previous page.

- Click >I   to view the records on the last page.

- Click K to return to the first page when you are on any other page.

4.3.2.3   Exporting Records

The **Issues & Actions** page allows you to export the listed records to a Microsoft Excel spreadsheet. If any search criteria are applied, the values exported are restricted only to the search result.

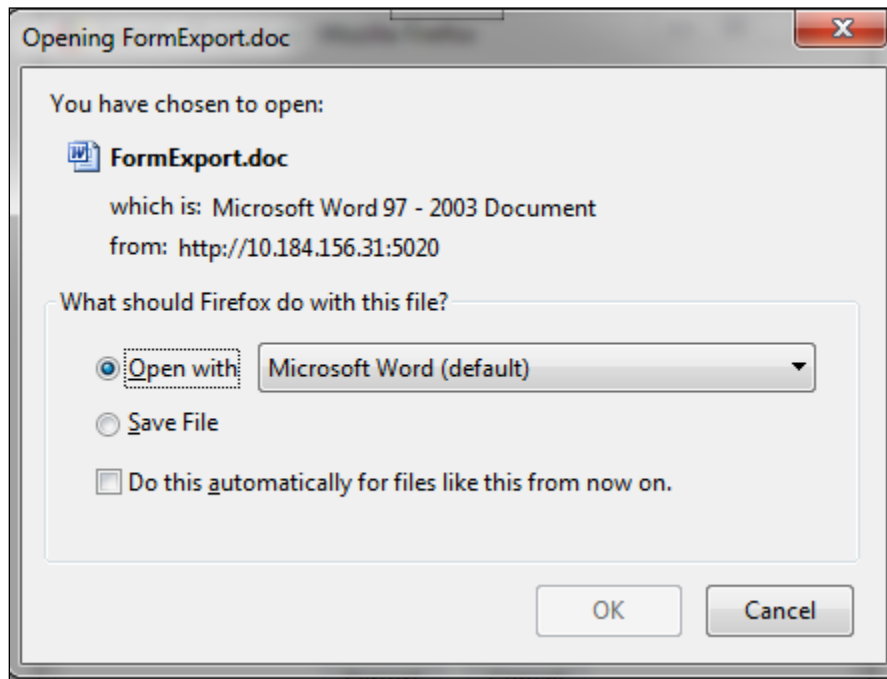To export the records, perform the following steps:

1. Navigate to the **Issues & Actions** page.

2. Click the ⊠ Export icon.

3. In the **Export** window, 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 checkbox if you want to include mapper information in the report.
Include Search Information	Select this checkbox 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 the **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**.

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

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

4.3.3   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

4.3.3.1   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:

Fields	Description
Text Box	An alphanumeric free-text field with a restriction of 300 characters.
Text Area	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.
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 of 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 ToolTip to identify a task or action button. The ToolTip displays when you place the cursor over a button. In the case of a button, it specifies the purpose of the button.

4.3.3.2   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 or Delinking 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.

3. In the **Details** section, click the **View More** subsection.

4. In the **Actions** subsection, select the checkbox next to the record(s) that you want to link or delink, and then select the [Link] or [Delink] icon.

    If you are linking a record:

    a. In the **Search** page, select one or more records from the list and then click **Link**.

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

5. Click **OK**.

6. 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** subsection.

    The **Actions** subsection appears.

4. Select the checkbox 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.

5. Click **OK**.

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

6. Click **OK**. The record is removed from the **Linkages** section.

4.3.3.3   Managing Documents

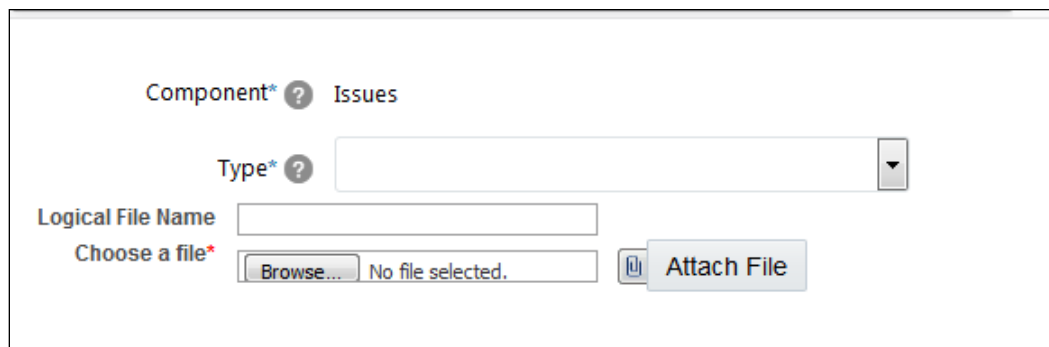This section covers the following topics:

- [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**.

3. In the **Documents** sub-section, click **Attach Document(s).**

4. In the **Attach Documents** window, enter the required details 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 that supports alpha-numeric characters.

1. Click **Browse** to choose a file from your computer.

2. Click **Attach File**.

   A message appears, confirming that the operation to attach a document was successful.

3. 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**.

3. In the **Documents** sub-section, select the checkbox next to the document that you want to delete.

   The 🗑 Delete Document icon is enabled.

4. Click the 🗑 Delete Document icon.

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

5. Click **OK**.

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

6. Click **OK**.

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

5   Obtaining the Business Glossary

This chapter explains the process of obtaining 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 an inaccurate understanding of the business concepts and terms.

- It maximizes the accuracy of the results obtained as a result of the search for business concepts, and associated knowledge.

The OFSAA business glossary comprises its entire ecosystem spanning risk, compliance, performance and customer insight. It permits to 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. The user needs to be mapped to the **GLMCREATEGRP** group**.**

- **Glossary Owner**: A user with this role has all the permissions/rights that a creator has to his specific glossary. The user is responsible for the glossary of the organization. Additionally, a user with this role receives all the important ongoing notifications, emails and so on regarding that glossary. The user needs to be mapped to the **GLMOWNERGRP** group**.**

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

5.3 Business Glossary Workflow

5.4 Creating a Business Glossary

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

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

5.4.1 Creating 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.

3. Enter the values in the below fields.

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

The status of the glossary is New.

4. Click Save Draft.

The status of the Glossary changes to Draft and a confirmation message 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.

5.4.2 Approving or Rejecting a Glossary

You must have Glossary Approver rights to approve/reject a glossary. To approve or reject a Glossary, perform the following steps:

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

The status of the Glossary appears as **Pending Approval**.

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

3. Click **Approve or Reject**.
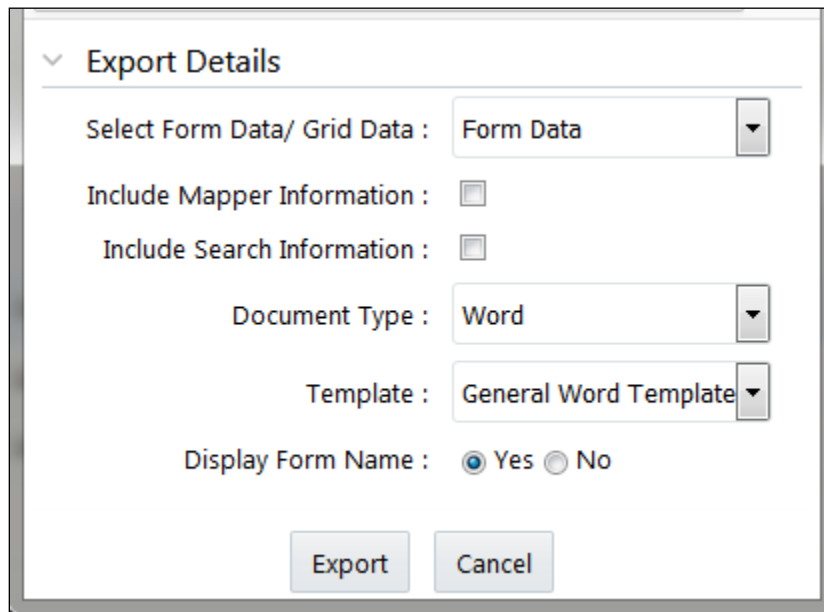
   A confirmation message appears, confirming that the update operation was successful.

4. Click **OK**. The status of the Glossary changes to **Active** or **Draft**.

5.5   Exporting a Glossary

To export a Glossary::

1. On the **Glossary** menu, select the checkbox next to the glossary that you want to export.

2. Click the ⊠ Export icon**.**

3. In the **Export** window, 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 checkbox if you want to include mapper information in the report.
Include Search Information	Select this checkbox 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 the **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**.

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

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

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
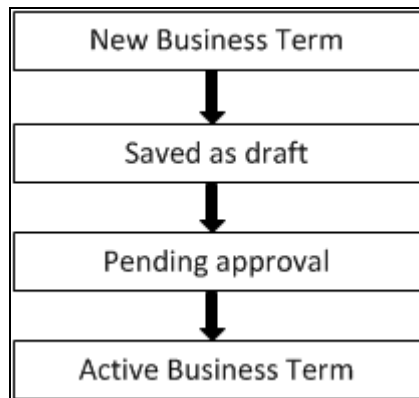
6.4 Creating a Business Term

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

> **NOTE**   You must have Business Term Creator or Business Term Owner rights to create a glossary.

6.4.1 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.

3. Click the ![Add icon] **Add** icon and the **Business Term** section appears with the **Business Term** tab open by default.

4. In the **Business Term** section, enter the required information in the below fields.

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
ID	The identification number is automatically assigned to the glossary term.
Name	Enter a value to be the name of the Business Term.
Definition	Enter a brief description of the Business Term.
Glossary	Select a Glossary from the drop-down box.
Annotate	Enter a reference text for additional information on Business Term.
Keywords	Enter values to be used as keywords that will be 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 either **Alphanumeric**, **Date** or **Numeric** from the drop-down list
Critical Data Element	Select whether the glossary term is a critical data element or not.

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.

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

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

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

3. Click **OK.**

   The Business Term is created and the state changes from Draft to Pending Approval.
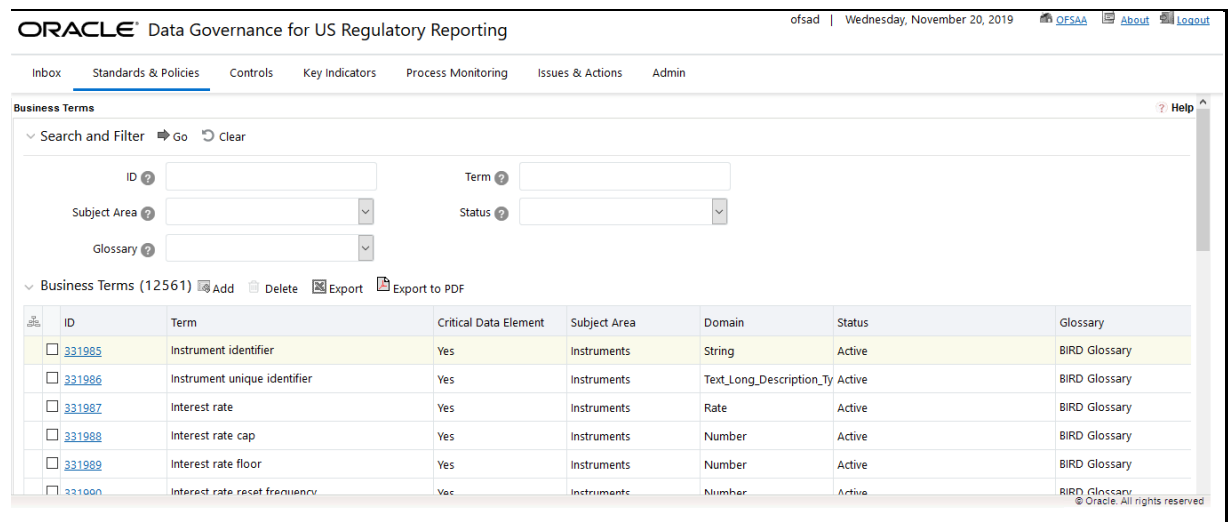
6.5 Approving or Rejecting a Business Term

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

To approve a Business term, perform the following steps:

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

   The **Business Terms** workspace appears.

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

3. In the **ID** column, select the ID link of the business term.

4. In the **Business Term** section, **Reason for Approval/Rejection** field, provide a reason.

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

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

6. Click **OK**.

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

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**.

2. In the **Business Terms** workspace, click the ![Export] icon.

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 checkbox if you want to include mapper information in the report.
Include Search Information	Select this checkbox 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 the **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**.

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

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

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 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 applies to in the organization. Each usage of that particular term has its explanation of how and why it is used, along with the list of values for that specific context.

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

6.7.1 Creating a Usage Term

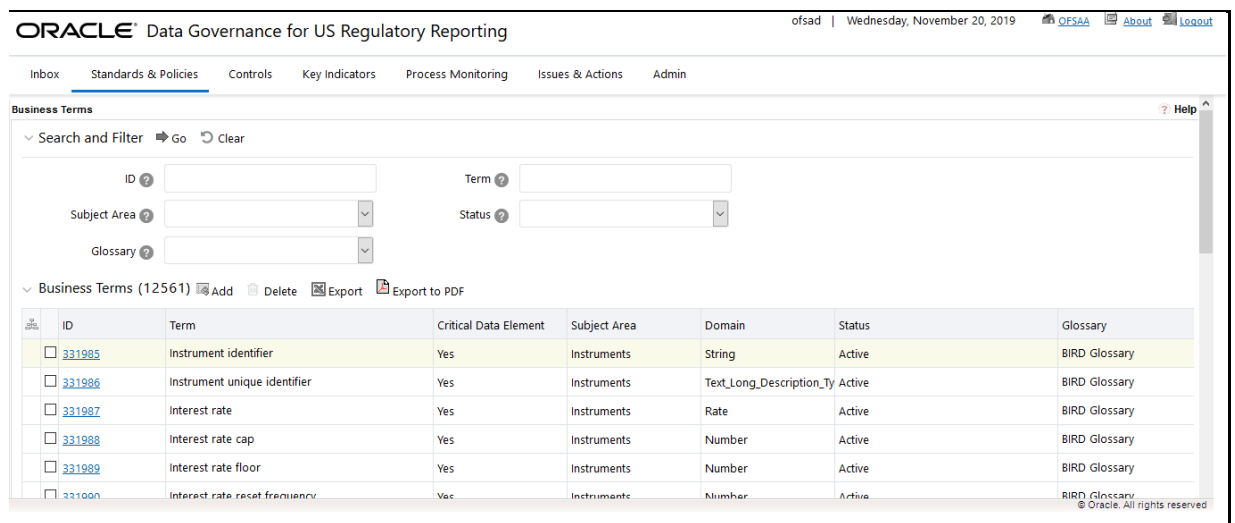While defining a Usage Term, the fields that appear are explained as tabulated.

> **NOTE** You can only create a Usage Term for Business Terms that are in the **Draft** stage.

6.7.1.1 Creating a Usage Term

Perform the following steps to add a Usage Term:

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

   The **Business Terms** workspace appears.

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

3. In the **Business Term** section, click the **Term Usage** tab.

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

5. In the **Contextual Definition** window, enter values in the below fields.

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Context Name	Related to other glossary identifiers (multiple contextual definitions for the glossary term).

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Context Definition	Contextual definition of the glossary term from the 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.

Additionally, in the **List of Values** sub-section, you can also **Add**, **Save**, or **Delete**.

6. Click **Save.**

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

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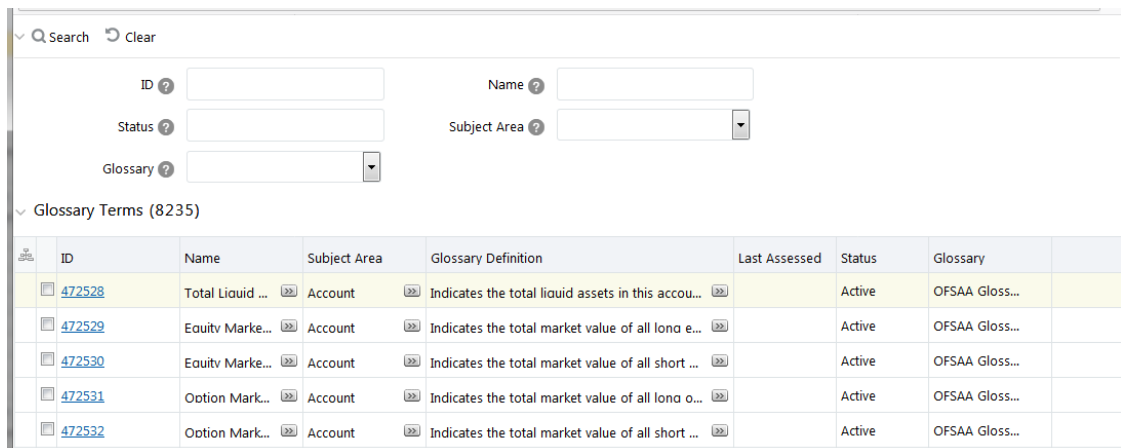
   You can view the newly created Usage Term in the **Search and List** page.

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 terminology, they need to map their terminologies to industry-standard terminologies. This ensures completeness and consistency in communication with external parties and regulators.

To map business terms with other business terms, perform the following steps:

1. Select a business term that is in draft status.

2. In the **Related Business Term** sub-section, click the ⬚ Link icon.

3. In the **Related Glossary Map** window, select the checkbox next to the required glossary items and then click **Link**.

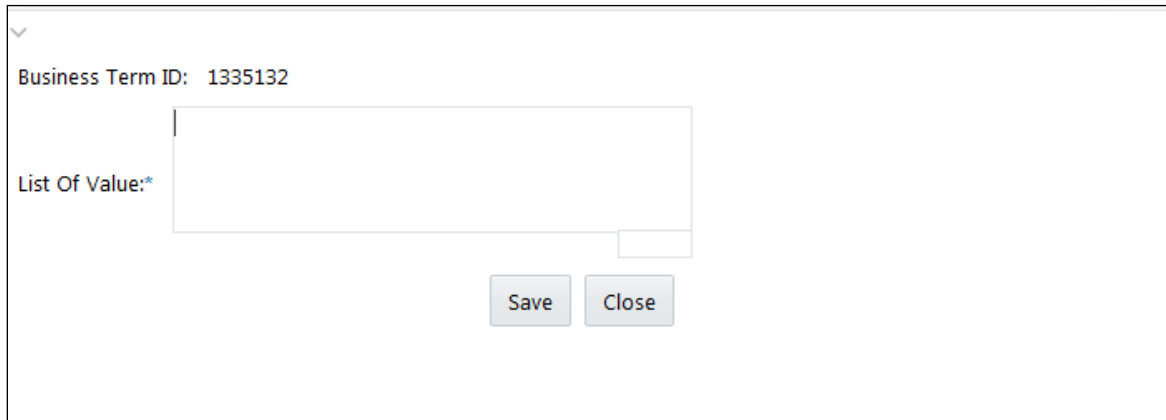   A confirmation message appears, confirming that the operation was successful.

4. 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.

To add a value, perform the following steps:

1. Select a business term that is in draft status.

2. In the **List of Values** sub-section, click the [icon] Add icon.

3. In the **Add List of Values** window, 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 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. The user needs to be mapped to the **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
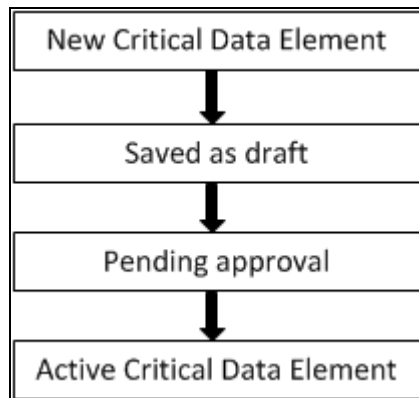
7.4   Creating a Critical Data Element (CDE)

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

> **NOTE**   You must have **CDE Creator** rights to create a CDE.

7.4.1   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**.

2. Click the ![Add] **Add** icon.

    The **Critical Data Element** section appears.

3. Enter the data in the available fields.

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

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

4. Click the ⊟ Save Draft icon, and then click **OK**.

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

7.5 Approving or Rejecting a CDE

You must 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.

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

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

5. Click either **Approve** or **Reject** and then click **OK**.

NOTE	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

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 their values.

The following are the two types of Controls:

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

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

NOTE	To create an Issue, a Control user must 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.

NOTE	To create an issue, a Control user must 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 the 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	It 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.

NOTE	The DQ rules are defined based on 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 DGS_OP_controls (refer to the run chart) 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 the 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 the **DGCOGRP** group.

- **Assessing Control**: Allows the user to assess the effectiveness of a Control.

- **Closing Control**: Allows the user to close a Control that is in an Open 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 appear while defining a Control are explained as tabulated.

You must 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 must not be greater than 100.

8.5.2   Creating a Control

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

8.5.2.1   Control Creation through Batches

Perform the following steps to create a Control through 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**.

    Execute the batch DGS_CONTROL_BATCH, this batch has the entire task that needs to be executed for control. Refer to the run chart.

3. Run the Batch - ##INFODOM##_REFRESH_MAT_VIEWS that will refresh all the required Materialized Views.

4. Execute the Batch - ##INFODOM##_LOAD_FSI_ERROR_DATA_PROFILE. This will load the data into the FSI_ERROR_DATA_PROFILE table.

5. 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.

6. Execute the Batch - ##INFODOM##_LOAD_FSI_ERROR_DATA. This will load data into the FSI_ERROR_DATA table.

NOTE	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.

NOTE	All the batches must 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 must not be greater than 100.

- The value in the **Threshold** field must not exceed 100.

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 the FSI_CTL_FREQUENCY table.

8.5.4.1   Quality Control Assessment

Pre-Requisites

- For doing Control Assessment, the Control Execution Details must 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

Execute the batch DGS_CONTROL_BATCH, this batch has all the task which needs to be executed for control. Refer to the run chart

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 defaults to Monthly. Assessment Frequency and Assessment Start date together decide whether the assessment has to be done for control or not.

User-Defined Assessments

3. In DGRR, click **Controls**.

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

5. Click the **Assessment** tab.

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

8.5.4.2   Operational Control Assessment

Before assessing 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 must 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

Execute the batch DGS_OP_CONTROLS, this batch has all the task which needs to be executed for operational control. Refer to the run chart.

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

Tables:

*   FCT_PM_BATCH_TASK_MEASURES: Stores the statistics on each task.

*   FSI_CTL_EFFECTIVENESS: Stores the Assessments created.

*   FSI_CONTROL_ASSESS_SUMMARY: Summary of the assessment.

*   FSI_OP_CONTROL_EXEC_DETAILS: Assessment details with all parameters.

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

1. In DGUSRR, click **Controls**.

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

3. Click the **Assessment** tab.

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 an issue if the control is in open status.

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

2. In the **Controls** workspace, in the **ID** column, click the required control.

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**.

2. In the **Controls** workspace, select the checkbox next to the control that you want to close.

    The ![Close Control] icon is now enabled.

3. Click the ![Close Control] icon.

4. In the **Control** window, in the **Reason for Closure** field, enter a reason and then click **Submit**.

5. Click **Back**.

    The Control is closed.

9   Defining the Key Indicators for Monitoring

This chapter explains the Key Indicators (KI) module in the Oracle Financial Services Data Governance for the US Regulatory Reporting application and provides 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.

The 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 types of values are quantitative and qualitative. For the quantitative type of KI, the user must load the measures. The KIs are then 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.

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

NOTE	A Key Indicator user must 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

Periodic comparison, as the name suggests, is the comparison of reports between two-time intervals or periods. If you are handling monthly reports, then you need to compare and analyze the reports of two months (periods). If you are handling yearly reports, then you need to compare and analyze the reports of two years (periods). This kind of comparison helps 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. Key Indicator has been defined 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 categorize the RAG (Red, Amber, and Green) status against each Key Indicator. According to the RAG value, you 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, Intraseries, and Interseries check.

Validity Check: The 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 must be as per the Edit Check sheet. For example one of the most common validity checks is a check to ascertain if the value is not equal to null.

The Derived columns must not be considered for Key Indicators. For example: if cells A1+A2=A3, then A3 is the derived column.

Qualitative Check: Qualitative Checks defined value in one column must match the values of another column. This ensures the quality of the reports.

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

Intraseries Check: Intraseries Check involves a comparison of two schedules from two different reports

Edit checks are classified into two types:

- Controls
- Key Indicators

The edit check is defined based on 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.

The Threshold values are available in the FCT_KI_DEF_THRSLD table.

9.3   User Roles and Actions

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

9.3.1   User Roles

All users must be mapped to the **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP** groups along with the following groups.

User roles are defined in the Key Indicator module of OFS DGUSRR as given in the following table:

User Role	Group Code	Group Description	Role Code
Creator	DGSKRCODGRP	Key Indicator Creator	DGKRCOD
Capturer	KIVCAP	Key Indicator Value Capturer	KRVCAP
Viewer	DGKIVIEWGRP	Key Indicator Viewer	DGKIVIEW

> **NOTE** You can create or map the function (Admin screen, Admin functions) to any KI related role and map it to any KI group for the Admin screen to display.

DEFINING THE KEY INDICATORS FOR MONITORING

CONFIGURING THE KEY INDICATOR

9.3.2   Actions

Use the Key Indicator records module to perform the following actions:

- **Configuring the Key Indicator:** With this action, you can select the schedules and cell IDs that must be excluded from the Key Indicator report.

- **Exporting Key Indicator**: With this action, you can 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 you to update the Owner, and lower and upper thresholds for an existing KI seamlessly rather than doing it individually.

- **Importing Key Indicator**: With this action, you can 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 you to update the Owner and lower and upper thresholds for an existing KI in a seamlessly rather than doing it individually.

9.4   Configuring the Key Indicator

To configure the key indicator, perform the following steps:

> **NOTE**   By default, all the reports are included.

1. In DGRR, click **Admin**, and then click the **KI Configuration**.

2. In the KI Configuration section, in the Report column, select the checkboxes for the reports whose schedules and cell IDs you want to exclude.

   The **Select Schedules** and **Select Cell Ids** buttons are enabled.

3. For the report whose schedule you want to exclude, click the **Select Schedules** button.

4. In the **Schedules List** window, in the **Available Schedules** section, select the available

   schedules that you want to exclude and then click the ⟩ icon.

> **NOTE**   The groupings appear based on your configuration.

   The excluded schedules appear in the **Excluded Schedules** section.

5. Click **OK.**

6. Additionally, for the report whose cell ID you want to exclude, click the **Select Cell Ids** button.

7. In the **Cells List** window, in the **Available Cells** section, select the available cells that you want

   to exclude and then click the ⟩ icon.

> **NOTE**   The groupings appear based on your configuration.

   The excluded schedules appear in the **Excluded Cells** section.

OFS DATA GOVERNANCE FOR US REGULATORY REPORTING 66

8. Click **OK.**

9.5 Mapping a Key Indicator Condition to a Key Indicator Group

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

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

9.5.1 Creating a Key Indicator Condition

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

> **NOTE** Only users 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_BATCH batch. This Batch is mentioned in the file OFS Data Governance Studio Run Chart.
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

> **NOTE** Before running the key indicators batch, provide the pRunSkey as a parameter for task2 in the Batch Maintenance screen for the batch DGS_KI_BATCH.

9.5.2 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.**

> **NOTE** The Owner name displayed under KI is the default packaged owner.

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

3. In the **Key Indicator Details** section, in the **Conditions** section, click the ⊠ Export icon, and then save the Excel file to your local system.

4. In the downloaded Excel file, enter the required information and then save the Excel with the same file name, **KI.xlsx**.

> **NOTE** Only columns that are highlighted in Green can be edited.

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

6. In the **File Import From** the window, 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**.

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.

9.5.2.1   Editing the Alert Threshold Field

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

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

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

3. In the **Key Indicator Details** section, in the **KI Conditions** sub-section, in the **ID** column, select the link of the required KI Condition.
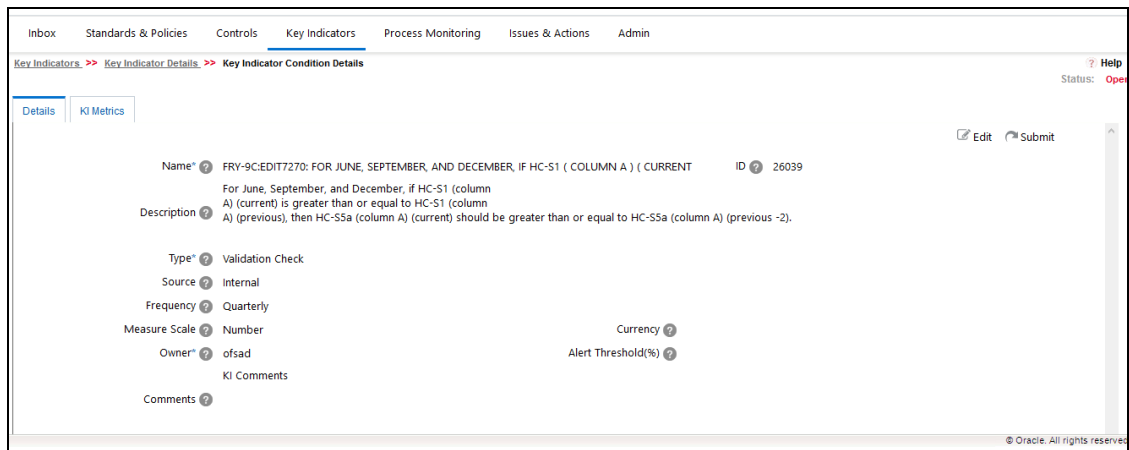
4. **In the Key Indicator Condition Details, i**n the upper-right corner of the section, click the
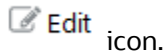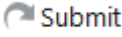
   📝 **Edit** icon.

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Name*	Provide a short description of the KI.
ID	A unique ID for the KI (auto-generated).
Description	Provide a description of the KI.
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).

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Report	The KI Condition report for USFED.
Schedule	A schedule for the report.
Cell Reference	A reference to the cell ID

5. In the **Alert Threshold(%)** field, enter a value for the threshold.

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

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

9.5.2.2 Setting the Alert Threshold Values at the Cell Level

The threshold for an individual cell can be set from the **Key Indicator Condition** page. To do this, perform the following steps:

1. In DGRR, click **Key Indicators**, and then click **Key Indicators Conditions**.

2. You can search for a Key Indicator using the following fields:

    a. ID

    b. Name (Name of the KI)

    c. Report Name (Configured Report)

    d. Schedule Name

    e. MDRM Name

3. In the **Key Indicator Conditions** screen, select the required cell and enter the threshold percentage in the **Alert Threshold(%)** field.

4. Click **Save**.

The threshold is updated for the selected cell.

9.5.2.3 Setting the Alert Threshold Values at the Individual Report Level

The threshold can be set for an individual report from the **Key Indicator Configuration** screen. To do this, perform the following steps:

1. Access the **Key Indicator Assessment Configuration** screen.

2. Select the report that you want to set the threshold for.

3. In the **Threshold** field, enter a value.

4. Click the **Refresh Threshold** button.

The threshold for all the cells associated with the report is updated with the new threshold value.

9.5.2.4 Mapping the Reporting Elements

To map a reporting element, perform the following steps:

1. In the **Key Indicator Condition Details** page, navigate to the **Reporting Element Map** subsection.
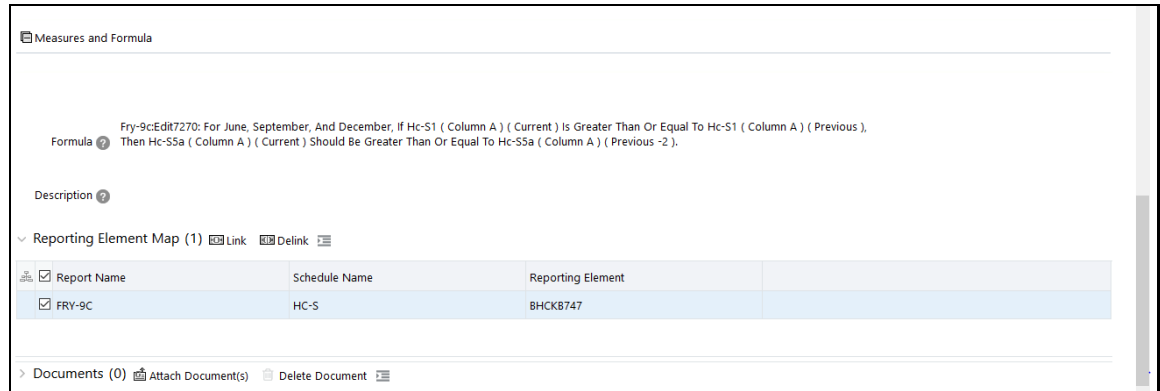
2. In the **Report Name** column, select the checkbox of the report that you want to map.

3. Select the **Link** icon.

4. In the report window, select the reports, schedule, and reporting elements that you want to map, and then click **Save**.

   The selected report is mapped to the reporting element.

NOTE	You can also delink a report by clicking the **Delink** button.

9.6   Key Indicator Assessments

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

9.6.1   Creating a Key Indicator Assessment

To create a Key Indicator Assessment at the group level, perform the following steps:

Prerequisites:

- This table FCT_REG_RUN_LEGAL_ENTITY_MAP must consist of valid data values. Entry must be present for the run skey and MIS date for which the assessment is done.

- The start date for the key indicator must be set the first time so that the assessment will pick the correct date based on available data. This needs to be set in the fct_kri_def table and the column d_start_date. For example, if the data is available for 31/12/2015, then the column d_start_date for the KI with the frequency as quarterly must be 30/9/2015. d_start_date must be set based on the frequency of the assessing report.

- Edit checks can be enabled or disabled from participating in Key Indicator Assessment by setting the lookup value in FSI_DGS_CONFIGURATION. The default value for ENABLE_EDIT_CHECK is set as N. For enabling the edit check, ensure to set the value as Y.

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

In table fct_kri_def, update the column n_frequency_key with the appropriate value based on the report submission frequency:

Frequency	Values
Daily	7
Quarterly	3
Half-yearly	2
Fortnightly	5
Weekly	6
Yearly	1
Monthly	4

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 Run Chart.
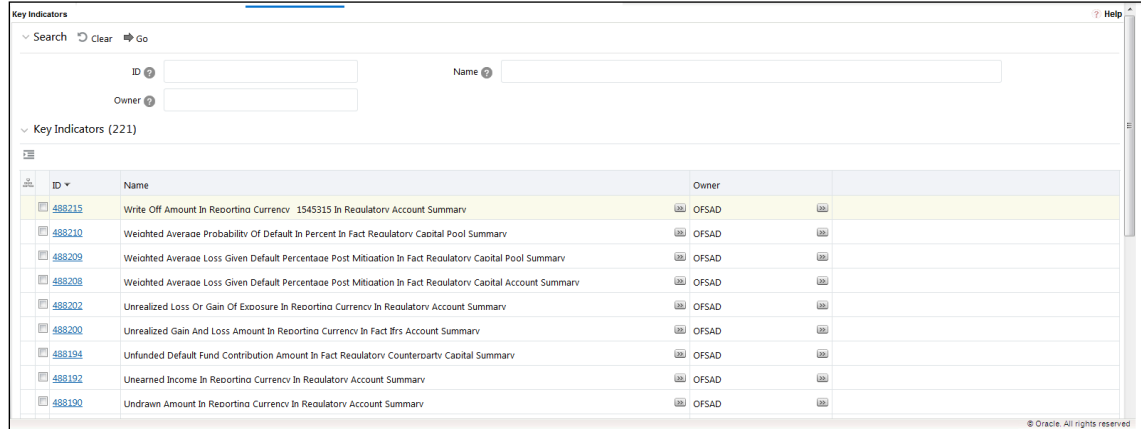
NOTE	• The above step is only applicable if the RRR Application Pack is installed.
	• Every time a new data is loaded, you must resave these temporary DE Batches.
	• Also, the KI Assessment is performed only for those KIs for which the report, schedule, or cells are configured in the KI configuration.

3. In the **Batch Execution** pane, run the DGS_KI_BATCH batch. This batch is mentioned in the OFS Data Governance Studio Run Chart.

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

5. If the assessment is breached, then an issue is created automatically and is stored in the table.

9.6.2   Viewing a Key Indicator Assessment

To view Key Indicator Assessments, perform the following steps:

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

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

3. **In the Key Indicators Details** section, in the **ID** column, click the link of the required KI.
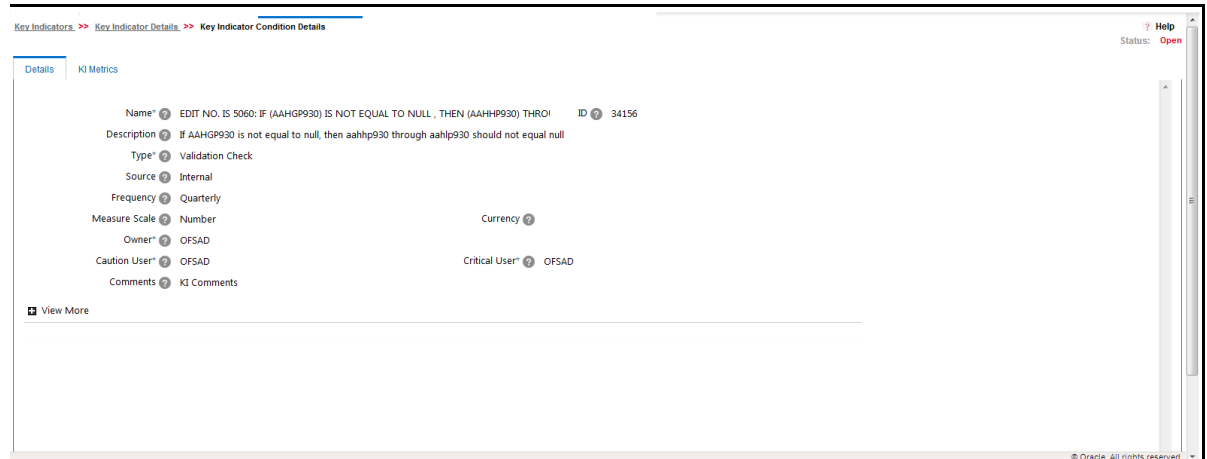
4. **In the Key Indicator Condition Details** section, click the **KI Metrics** tab.

5. Select the checkbox next to the required KI Metrics record to display its KI Condition Type details.

6. Expand **Variance** to display Variance-based check assessment details in the **Variance** section.

7. Expand **Validation Checks** to display Validation check assessment details in the **Validation Checks** section.

8. Select the Variance record to edit its **KI Condition**.

9. Select the Validation Checks record to edit its **KI Condition**.

9.7 Issues and Actions for Key Indicator Assessment

For any Key Indicator Assessment that is in a FAIL status, the associated Issues and Actions details appear in the **Issues & Actions** tab.

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 requires 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   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, the 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 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 until 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:
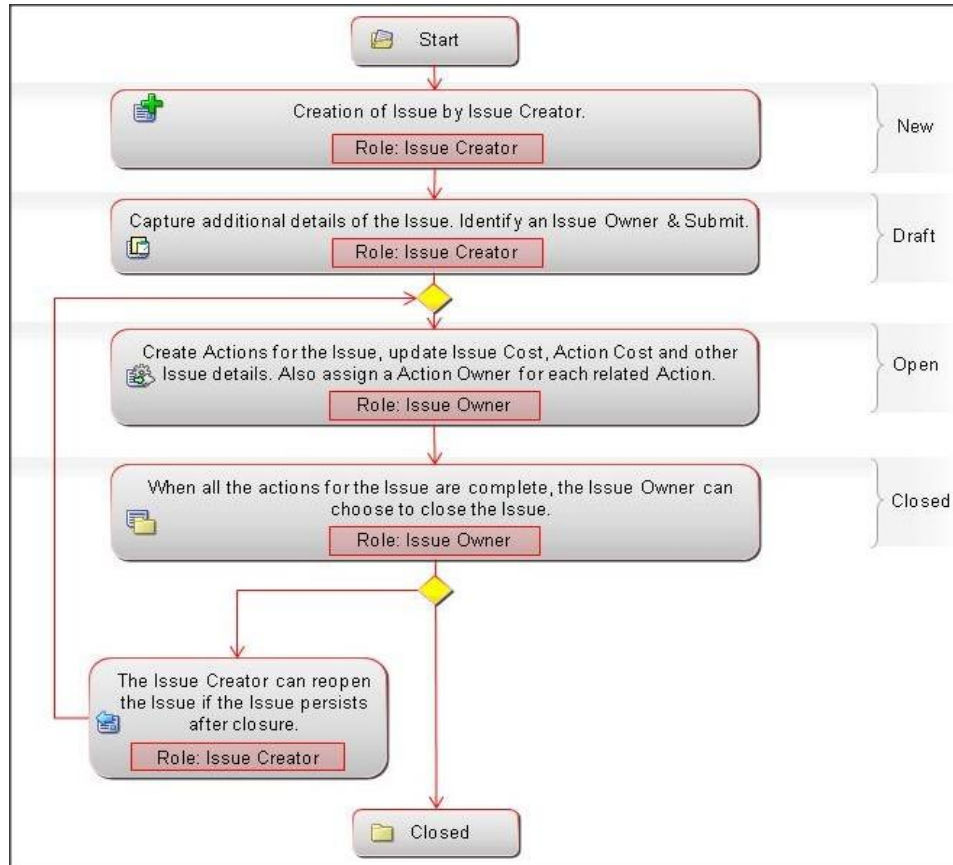
The status flow of the Issues module is as follows:

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 appear are explained as tabulated.

10.3.1.1   Creating an Issue

When you identify a particular issue or a problem statement that poses as a 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:

1. Navigate to the respective module page of the DGRR application and in the **Issues** section, click **Create Issue**. The **Issues Details** page appears.

2. Enter the required information in the available fields.

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Name*	A short description of the issue.

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
ID	A unique id for the issue (auto-generated).
Description	A description of 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 in 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 the input is provided for a Component.
Comments	Provide additional information if any.
Additional Comments	For capturing additional comments, click Add. This saves the comment. Note that, it is possible to edit, delete, update and save the comments by the issue creator or owner.
Workflow History	Displays the current and previous status of the issue. It captures all the actions created by the issue creator or owner. • When an issue is created, it is draft status. • When the issue is submitted the status is changed to Open. • It is possible to reassign and update the issue. • In case there is a transfer of the user, it displays the "Assigned To" and Assigned From" information.

NOTE	Audit entries are not captured for issues created from OBIEE and for system-generated issues.

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

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

4. Click **OK**.

ISSUES AND ACTIONS

MANAGING ISSUES

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,

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

6. 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.

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	This is displayed
Control	Data Quality details
Key Indicator	Key Indicator details

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 DGUSRR, 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 the [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.

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

This section includes the following topics:

- [Linking a Record to an Issue](#)
- [Delinking a Record to an Issue](#)

Linking or Delinking a 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 appear 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.

   Or:

7. Select the checkbox 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.

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

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

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 to 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. Select the required options

Fields	Description
Adjustment Name	Select the adjustment name from the drop-down list.
MIS Date	Select an MIS date from the drop-down list.
Batch Id	Select a batch ID from the drop-down list.

5. Click the **Show Data** button.

    The pre and post adjusted data list is populated.

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.

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

To close an issue, perform the following steps:

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

2. Select an issue that is in an open state, and then click **Close Issue**.

   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 action plans initiated to mitigate the issue were not satisfactory.

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

To reopen a closed issue, perform the following steps:

1. Navigate to the **Issues 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.

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

To delete an issue, perform the following steps:

1. Navigate to the **Issues 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.

> **NOTE**   You cannot export individual issues to Excel.
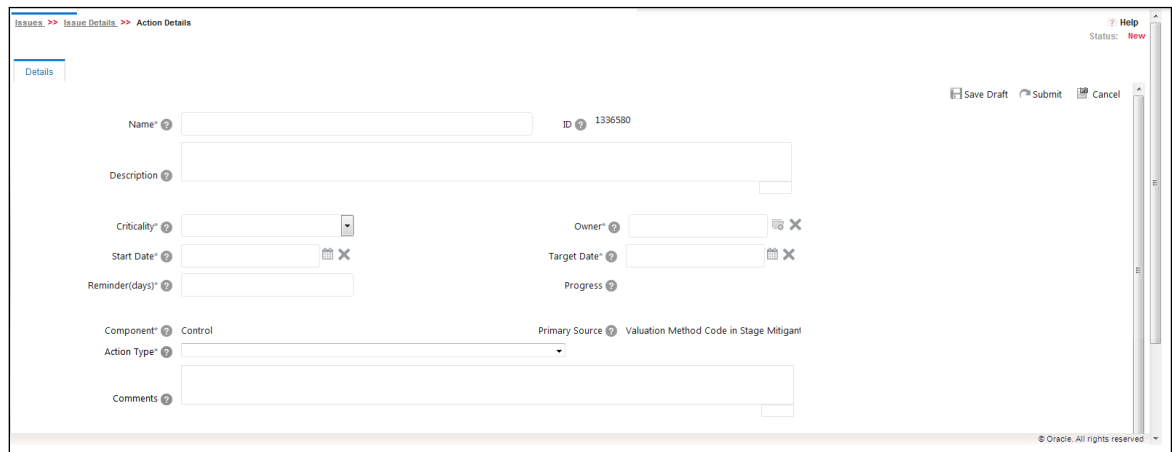
Refer to section <u>Exporting Records</u> for more details.

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 has 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 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.

3. In the **Issues Details** section, expand the **View More** sub-section.

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

   appears.

5. In the **Actions Details** section, 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 of 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

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Progress	This field is enabled for an Action Owner to update the measure of completion of an 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
Action Type	• **Data Adjustments - DQ errors**: This value indicates that it is a Data Quality error, which requires Data Adjustments. Here, the table and column names and location of the error are known to the User. ▪ **Data Adjustments - Others**: This value indicates that the error requires Data Adjustments. Here, the user does not know the location of the error, or the table or column name. ▪ **Others**: This indicates the existence of error that is not a Data Adjustment error.
Comments	Provide additional information if any
Workflow History	Displays the current and previous status of the issue. It captures all the actions created by the issue creator or owner. • When an issue is created, it is draft status. • When the issue is submitted the status is changed to open. • It is possible to close and reopen issues and the status changes accordingly. • It is possible to reassign and update the issue. • In case there is a transfer of the user, it displays the "Assigned To" and Assigned From" information.

6. Click **Save Draft** to save the information entered on 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. 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 the Issue Owner or Action Creator, Issue Creator, and Action Owner. Their roles and responsibilities, as they operate within the application, include the following:

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

- **Action Owner:** This user is responsible for assessing the actions created by the Issue Owner, implementing action plans pertaining to an issue and tracking them to completion. This user can update the percentage completion of actions, activities performed and cost incurred in carrying out the actions. The user needs to be mapped to the 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
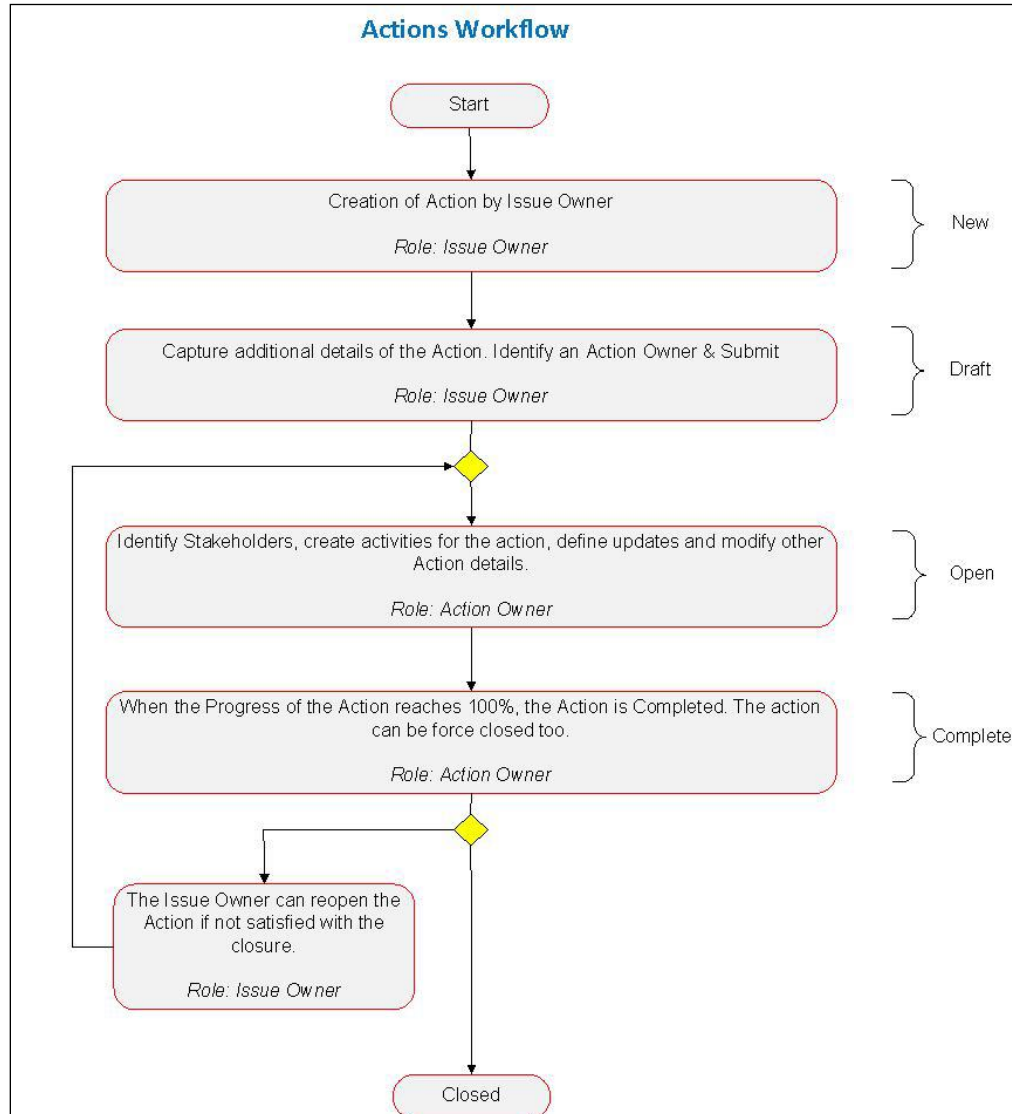
The status flow of the Actions module is as follows:

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 the stakeholder's tab.	Issue Owner and Stakeholders	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 stakeholders captured in the 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 stakeholders captured in the Stakeholders tab.	Issue Owner and Stakeholders	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**.

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

3. In the **Issue Details** section, click the ⊞ View More icon.

4. In the **Actions** section, in the **ID** column, select the link of the required action.

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.

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 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.

> **NOTE** You can also perform actions such as adding an activity, adding stakeholders, adding action updates and viewing the workflow. For more information, refer to Managing Details.

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

5. Click **OK**. The updated Action Details page is displayed.

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 checkbox to make the Activity editable.

Fields	Description
Activity Name	Enter a name for the activity
Progress	Enter the progress
Start date	Enter the start date of the action plan.
End date	Enter the end date of the action plan.
Comments	Enter a comment

5. Click **Save**.

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

6. Click **OK**.

   A new activity is added to the activities section.

7. To delete an action update, select a checkbox 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 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 checkbox 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 to the **Action Updates** section.

8. To delete an action update, select a checkbox 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 the [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 the [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.
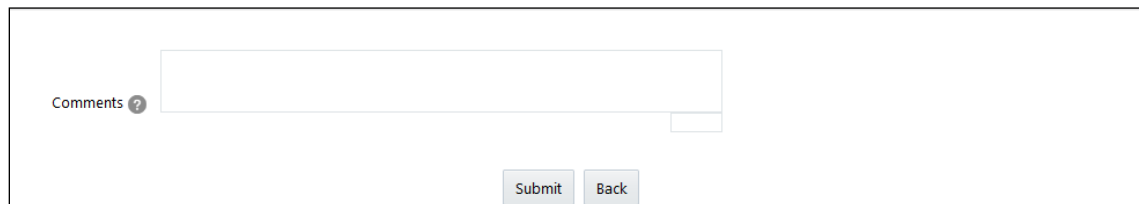
To close an action, perform the following steps:

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 action in **Open** status, click **Force Close Action**.

2. In the **Action Details** window, 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 with an Issue.
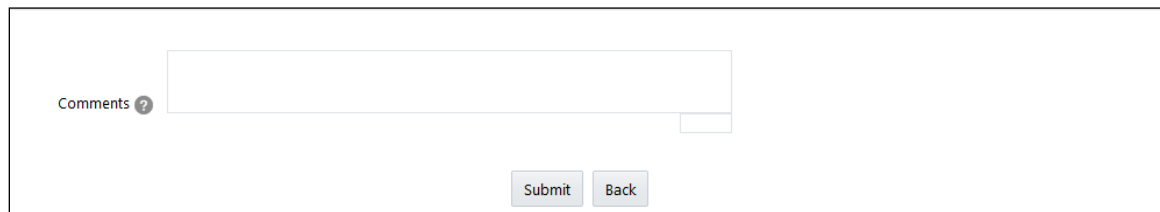
To reopen a completed action by an Issue Owner, perform the following steps:

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 action in the **Complete** state, click **Reopen Action**.

Comments		
	Submit	Back

2. In the **Action Details** window, 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 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 <u>Exporting Records</u> for more details.

NOTE	You cannot export individual actions to Excel.

11 Data Adjustments

The Adjustment framework is a capability that is used to modify, as per business requirements, or correct issues, that have been found by various OFSAA components, in available data within FSDF. The adjustments are created when an issue and action are created. In turn, they are then used to track and report any operation that is performed on the data. All adjustments that are created must be executed through a batch.

The Data Adjustment process can be visualized through the following diagram:

For an Adjustment Creator:
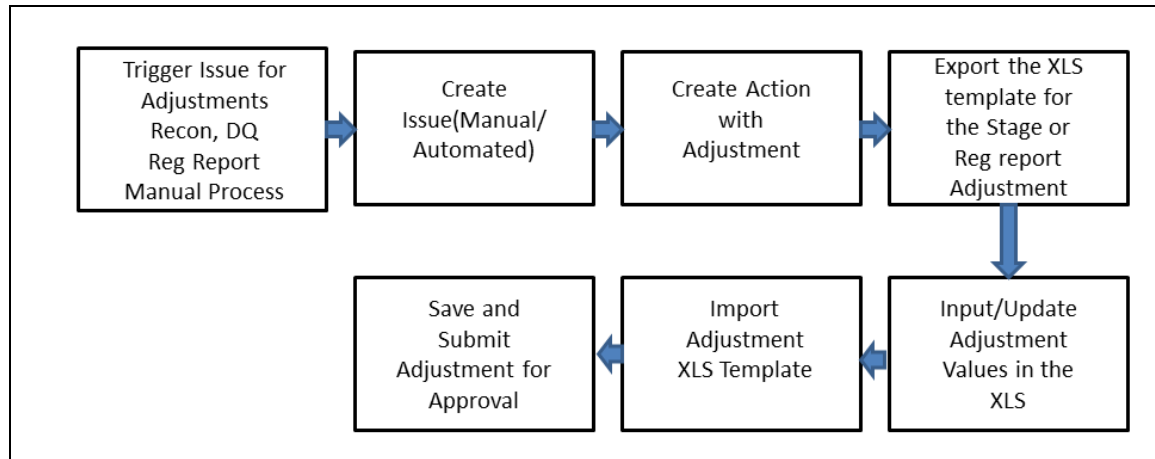
1. The issue is triggered for adjustments.

2. An issue is created.

3. An action is created with the adjustment.

4. The adjustment is configured and the template for the stage or the regulatory reporting template is exported.

5. The Excel template is updated with the required inputs.

6. The adjustment is then imported.

7. The adjustment is saved and submitted for approval to the Data Adjustment Approver.

For an Adjustment Approver:
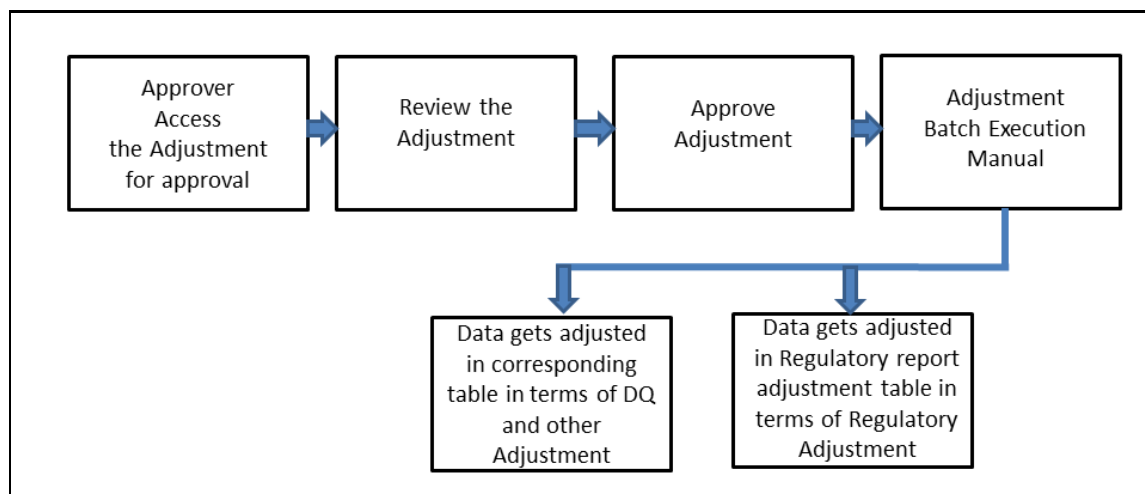
1. The data adjustment Approver accesses the saved adjustment.

2. The data adjustment is reviewed.

3. The data adjustment is approved.

4. The batch is executed manually for the data adjustment.

5. If the data adjustment type is regulatory reporting, then the data is adjusted in the regulatory report adjustment table as per the data present in the regulatory reporting data adjustment.

   Or

6. In the case of other data adjustment types, the data is adjusted in the corresponding tables as per the data in the data adjustment.

Types of Data Adjustments

You can create an issue for various reasons; lack of data accuracy, unavailable data, etc. Issues for these scenarios can be created for Controls or Key Indicators. After the issue has been created, appropriate actions must be created with the associated Adjustment rules to resolve problems in the data. The adjustment process does not modify the data received from the source system; instead, it creates a new version of the record that is based on the load run ID. This ensures that FSDF always contains the original and all adjusted copies of the data for auditing and record-keeping. The supported action types are:

- **Data Adjustments – DQ Errors**

  When a predefined Data Quality rule associated with a field in which control has breached the threshold occurs, a system-generated issue is created to highlight the data quality failure.

  Reconciliation Adjustments

  The adjustments to resolve reconciliation failures can be set in a system that contains the DG and Reconciliation framework within the same info dom. When a predefined Reconciliation rule fails, a system-generated issue is created. After the issue is updated, you can create an action.

  Data Adjustment – Others

  These adjustments are set for known data issues for a set period than for scheduled executions or checks. An example of this scenario: a legacy source system that is unable to perform a

transformation required by OFSAA due to cost or any other reasons. It is easier to adjust the data within OFSAA rather than in the source system.

- **Data Adjustments – Regulatory Reporting**

  You can set the adjustments to perform at the level of a reporting attribute than within the staging area. This adjustment enables you to create last-mile data corrections at the MDRM level.

  Others

  This is used for any other online or offline action that is to be performed to resolve a specific issue. These actions are created to maintain and track all efforts made to resolve an issue. They enable you to follow an issue to its closure, for reporting purposes, etc. This action type has no impact on adjustments.

  > **NOTE**   These adjustments are only available for existing customer accounts or MDRM codes.

This following information is described in the succeeding sections:

- User Roles and Actions for Data Adjustments
- Settings for Data Adjustments
- Creating a Data Adjustment
- Approve or Reject Data Adjustments
- Executing Data Quality after Data Adjustments

11.1   User Roles and Actions for Data Adjustments

11.1.1.1   User Roles

The basic roles and the groups defined in the OFS DG application for Data Adjustment are:

User Role	Group Code	Group Description	Role Code
Creator	ADJCREATGRP	Adjustment Create	ADJCREATOR
	ADJGRPCREATOR	Adjustment Grp Creator	ADJGRPCREA
Approver	ADJAPPGRP	Adjustment Approver	ADJAPPROVE
	ADJGRPAPPROVER	Adjustment grp appr Group	ADJGRPAPPR

11.1.1.2   Actions Performed by Users

The actions that can be executed by specific user roles in the OFS DG application for Data Adjustment are:

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 (must contain the Adjustment creator role).
Data Adjustment Approval.	By the Issue Owner (must contain the Adjustment approver role).

> **NOTE** You must follow the sequence of steps described in the following sections.

11.2 Settings for Data Adjustments

The Issue Owner (Action Creator) may change ownership when required. The Issue Owner creates an 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. The Action Owner (Adjustment Creator) then creates the 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.

11.2.1 Prerequisites for Data Adjustments

Issue creation

- Through Data Quality
- Manually

> **NOTE** For Regulatory Reporting:
> - The issue of creation is done manually.
> - Before creating a Regulatory Reporting Data Adjustment, you can execute a KI assessment.

- Set the N_lookup_value ='Y' against v_lookup_code=' PRE_POST_ADJ_AUDIT_LOG' in the table fsi_dgs_configuration. This will enable the **Show Data** button in the **Issue** screen, where you can view the pre- and post-adjustment data.

11.2.2   Issues and Actions for Data Adjustments

11.2.2.1   Issues for Data Adjustments

1. Click the **Issues and Actions** tab.

2. Click the Issue **ID**, which is a system generated one for the required 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.

4. In the **Issue** section, to find the cause of the Issue, follow the steps provided in the Causes section.

> **NOTE**   The issue that you create here will be used as the issue name in the <ISSUE NAME> parameter in the adjustment batches.

11.2.2.2   Actions for Data Adjustments

The Issue Owner creates the required Actions for the system generated Issue; also, the Issue Owner is the Data Adjustment Creator. 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, perform the following steps:

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

    The **Action Details** page appears.

2. In the **Name** field, select the Action Owner name, and then fill the required details in all the other fields. The Action Type dropdown box lists five values:

    — **Data Adjustments - DQ errors**

    — **Reconciliation Adjustments**

    — **Data Adjustments - Others**

    — **Data Adjustments - Regulatory Reporting**

    — **Others**

3. Click **Submit**.

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

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

4. Click **OK**.

11.3   Creating a Data Adjustment

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

> **NOTE** If you have selected the Action Type as Others, then the Adjustments section will not appear.

1. Log in to the application as the Action Owner (Data Adjustment Creator).
2. Click **Data Governance for US Regulatory Reporting**.
3. In the **Issues & Actions** tab, click Issues.
4. In the **Issues** workspace, click the required system generated Issue **ID**.
5. In the **Issue Details** page appears, expand **View More**.
6. In the **Actions** section, click **Create Action**.

11.3.1   Create a Data Adjustment - DQ Errors based Data Adjustment

To create a data adjustment for the action type Data Adjustments - DQ Errors, perform the following steps:

1. In the **Action Details** page, in the **Adjustments** section, click **Add**.
2. In the **Adjustment Rule Details** window, enter values in the **Name** and **Description** fields.
3. Select the Assignment Type as either **User Input** or **Rule Driven**.
4. For **User Input**:
   a. In the **Adjustment Entity** drop-down, select a value.
   b. In the **Select Filter** section, enter values in the following fields:

Field	Description
Filter Type	Select a value from the drop-down box.
Filter Attribute	Select a value from the drop-down box.
Hierarchy Name	Select a value from the drop-down box.
Hierarchy Values	Select a value from the drop-down box.
Hierarchy	Select a value from the drop-down box.

    c. Click **Next**.

    d. Select **Add Expression**.

    e. In the **Add Expression** window, in the Line Item, Business Processor drop-downs, select the required values.

    f. In the **Expression** field, enter the expression, and then select **OK**.

    g. Click **Next**, and then click **Save**.

    h. In the **Manual Data** section, select **Export**.

    i. In the **Export** window, in the **MIS Date** section, select a date for which the data is available, and then click **Export**.

    j. Save the Excel file to your system.

    k. Enter values in the required rows and then save the Excel.

    l. In the **Manual Data** section, in the **Id** column, select the required ID and then click **Import**.

    m. In the **Import** window, attach the Excel that you added data to, and then click **Upload**.

    n. Click **Import**.

    o. Click **Submit** if you want to send the **Data Adjustment** for approval, or click **Save**.

5. For **Rule Driven**:

    a. To go to the next section, click **Next** or click **Dataset**.

    b. In the **Select DQ** dropdown box, select the required DQ value. This is the failed DQ for which this Data Adjustment is being created.

    c. Click **Next**.

    d. Click **Add Expression**.

    e. In the **Add Expression** window, enter values in the following fields:

Field	Description
String	Select a value from the drop-down box.
Date and Time	Select a value from the drop-down box.
Aggregate	Select a value from the drop-down box.
Others	Select a value from the drop-down box.
Mathematical	Select a value from the drop-down box.
Concatenation	Select a value from the drop-down box.
Mathematical operators	Select a value from the drop-down box.
Others	Select a value from the drop-down box.
Comparison	Select a value from the drop-down box.
Logical Operators	Select a value from the drop-down box.
Expression	Enter an expression.

    f. Click **OK**.

    g. Click **Next**.

    h. In the **Review and Save** section, click **Save**.

The Data Adjustment for the action has been created.

11.3.2 Create a Data Adjustment - Business based Adjustment

To create a data adjustment for the action type Data Adjustments - Others, perform the following steps:

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

2. In the **Adjustment Rule Details** window, enter values in the **Name** and **Description** fields.

3. Select the Assignment Type as either **User Input** or **Rule Driven**.

4. For User Input:

    a. In the **Adjustment Entity** drop-down, select the entity or table for which the adjustment must be performed.

    b. In the **Select Filter** section, enter values in the following fields:

Field	Description
Filter Type	Select a value from the drop-down box.
Filter Attribute	Select a value from the drop-down box.
Hierarchy Name	Select a value from the drop-down box.
Hierarchy Values	Select a value from the drop-down box.
Hierarchy	Select a value from the drop-down box.

    c. Click **Next**.

    d. Select **Add Attribute**.

    e. In the **Add Column** window, in the **Target Attribute** drop-down, select a value and then click **OK**. The target attribute displays the columns based on the selected entity.

    f. Click **Next**, and then click **Save**.

    g. In the **Manual Data** section, select **Export**.

    h. In the **Export** window, in the **MIS Date** section, select a date the entity has data, and then click **Export**.

    i. Save the Excel file to your system.

    j. Enter values in the specific columns as per the selected target attribute, and then save the Excel.

    k. In the **Manual Data** section, in the **Id** column, select the required ID and then click **Import**.

    l. In the **Import** window, attach the Excel that you added data to, and then click **Upload**.

    m. Click **Import**.

    n. Click **Submit** if you want to send the **Data Adjustment** for approval, or click **Save**.

5. For **Rule Driven**:

    a. To go to the next section, click **Next** or click **Dataset**.

    b. In the **Adjustment Entity**, **Filter Type**, **Filter Attribute**, **Hierarchy Name**, and **Hierarchy** drop-down boxes, select a value.

    c. Click **Next**.

    d. Click **Add Expression**.

    e. In the **Add Expression** window, enter values in the following fields:

Field	Description
Column	Select a value from the drop-down box.
String	Select a value from the drop-down box.
Date and Time	Select a value from the drop-down box.
Aggregate	Select a value from the drop-down box.
Others	Select a value from the drop-down box.
Mathematical	Select a value from the drop-down box.
Concatenation	Select a value from the drop-down box.
Mathematical operators	Select a value from the drop-down box.
Others	Select a value from the drop-down box.
Comparison	Select a value from the drop-down box.
Logical Operators	Select a value from the drop-down box.
Expression	Enter an expression.

    f. Click **OK**.

    g. Click **Next**.

    h. In the **Review and Save** section, click **Save**.

The Data Adjustment for the action has been created.

11.3.3 Create a Data Adjustment - Regulatory Reporting based Adjustment

To create a data adjustment for the action type Data Adjustments - Regulatory Reporting, perform the following steps:

> **NOTE** You can create a data adjustment for a regulatory reporting based adjustment, only if the actions are in the Open status.

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

2. In the **Adjustment Rule Details** window, enter values in the **Name** and **Description** fields.

3. Select the Assignment Type as either **User Input** or **Rule Driven**.

4. For **User Input**:

a. In the Select Report section, in the **Report** and **Schedule** drop-downs, select the required report and schedule.

b. Click **Next**.

c. In the **Data Update** section, select **Add Line Item**.

d. In the **Add Line Item** window, in the **Line Item** drop-down, select a value, and then click **OK**.

e. Click **Next**, and then click **Save**.

f. In the **Manual Data** section, select **Export**.

g. In the **Export** window, in the **MIS Date** section, select the date for which the assessment has been performed, and then click **Export**.

h. Save the Excel file to your system.

i. Enter the adjustment amount in the column **N_ADJUSTED_AMT**, and then save the Excel.

j. In the **Manual Data** section, in the **Id** column, select the required ID and then click **Import**.

k. In the **Import** window, attach the Excel that you added data to, and then click **Upload**.

l. Click **Import**.

m. Click **Submit** if you want to send the **Data Adjustment** for approval, or click **Save**.

5. For **Rule Driven**:

a. To go to the next section, click **Next** or click **Dataset**.

b. In the **Adjustment Entity**, **Report**, **Schedule**, and **Dataset** drop-down boxes select a value.

c. Click **Next**.

d. Click **Add Expression**.

e. In the **Add Expression** window, enter values in the following fields:

Field	Description
Line Item	Select a value from the drop-down box.
Expression Type	Select either Business Processor or Build Expression.
Build Processor	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Build Expression*.
Measure	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Business Processor	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Aggregate	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.

Field	Description
Comparison	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Logical Operators	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Others	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Date and Time	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Mathematical	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Others	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
String	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Mathematical operators	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Concatenation	Select a value from the drop-down box. This field is only available if you selected the Expression type as *Business Processor*.
Expression	Enter an expression.

6. Click **OK**.

7. Click **Next**.

8. In the **Review and Save** section, click **Save**.

   The Data Adjustment for the action has been created.

11.3.3.1   Export and Import Data Updates

NOTE	These steps are only applicable if your adjustment is of the User Input type.

In the **Review & Save** tab:

11.3.3.1.1 For User Input Type Data Adjustment

Exporting User Input Type Data Adjustment

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

2. In the **Export** window, select the **MIS Date** for which you are downloading the record to make the data corrections.

3. Click **Export**, and then close the **Export** window.

   An excel file is downloaded to your system.

4. In the downloaded (exported) excel file, you can make the required data corrections.

5. Save the changes made to the file.

11.3.3.2 Importing User Input Type Data Adjustment

1. 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**.

2. To search for the updated excel file, open and attach it, click **Attach**.

3. To upload this excel file, click **Upload**. After a successful upload, an acknowledgment message appears.

   To import the uploaded Excel file into the application, click **Import**.

   > **NOTE** After you successfully import a file, its status will appear as *Imported*.

11.3.3.3 Save and Submit a Data Adjustment

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

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

2. Click **OK**.

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

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

4. Click **OK**.

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

6. For user input, to send the imported file for approval to the Approver, you must select the checkbox against the record and then click **Save**.

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

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

8. After you click **Save,** if do not submit the Data Adjustment for approval, 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**.

11.3.3.4 View the Pre and Post Adjusted Data

To view the pre and post adjusted data:

1. Access the issue for which the adjustment has been created.

2. Click the **Show Data** button.

In the **Actions** screen, the action that was created for the issue appears.
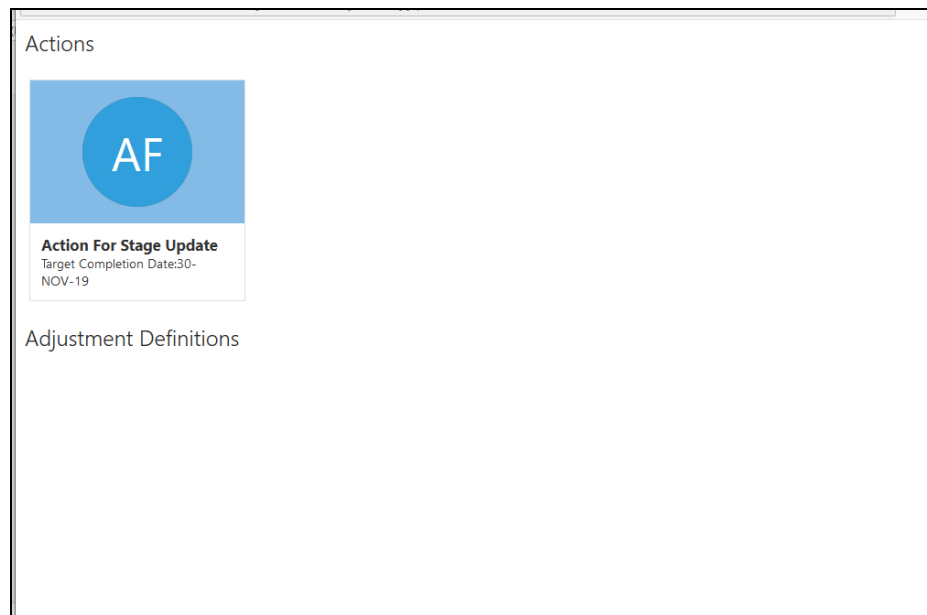
3. Click the action.

The adjustments that have been defined for the actions appear.
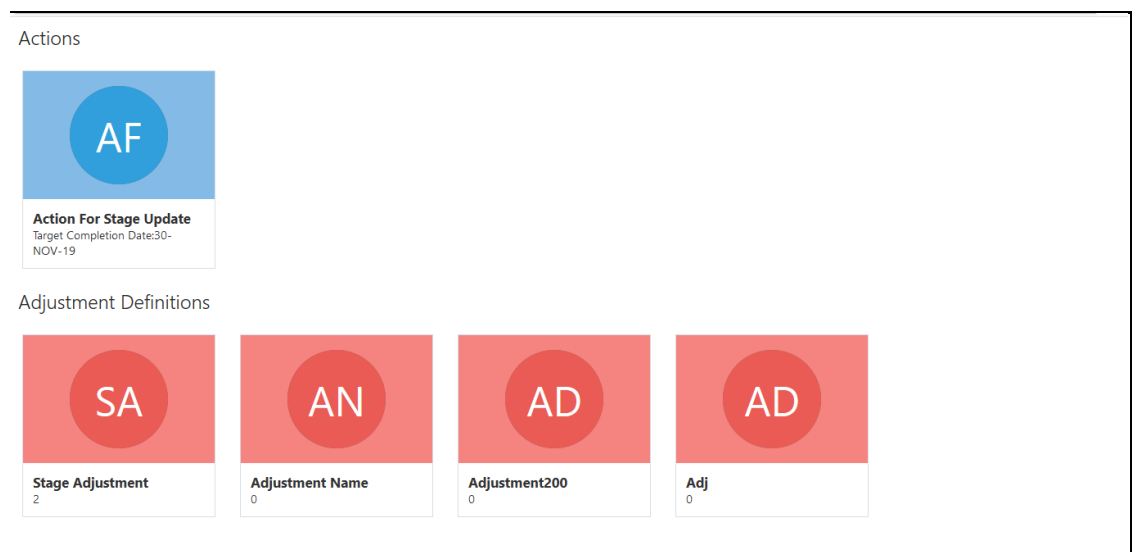
4. Click the required adjustment.

   The pre and post adjusted data appear.

> **NOTE**   For the Data Adjustment - Regulatory Reporting, only the adjusted data appears.

11.4   Approve or Reject Data Adjustments

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

1. Log in as a Data Adjustment Approver.

2. In the application, select **Financial Services Data Governance for US Regulatory Reporting**.

3. Click the **Data Governance for the 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.

4. Click the **Issues and Actions** tab and then click **Issues**.

5. In the **ID** column, click the ID of the required issue.

6. In the **Issue Details** page, expand **View More**.

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

8. In the **Action Details** page In the **Adjustments** section, select the required **Data Adjustment** which is in the Pending Approval state.

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

10. In the **Adjustment Rule Details** window, click the **Review & Save** tab.

11. Select the Manual Data Id, and then click **Download**.

    The data correction records file uploaded to the system, by the Data Adjustment Creator, is downloaded to your system.

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

13. To approve the Data Adjustment, in the Comment field, enter a comment, and click **Approve**.

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

14. In the **Action Details** page, in the **Adjustments** section, click **Refresh**. The status of the Data Adjustment is changed to the *Approved* state. In the account of Data Adjustment Creator, the state of this Data Adjustment is updated to the *Approved* state.

    Or

    To reject the Data Adjustment, in the Comment field, enter a comment and click **Reject**. The **Adjustment Rule Details** window automatically closes.

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

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

11.5   Modify a Rejected Data Adjustment

If the Data Adjustment has been rejected:

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

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

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

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

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

5. Click **OK**.

6. 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.

7. Click **OK**.

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

8. Log in as a Data Adjustment Approver and approve this Data Adjustment.

11.6   Executing a Data Adjustment Batch

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

Execution of Adjustments

The adjustments defined by using the steps mentioned earlier are executed through the batch. The executable DataAdjustment.sh must be executed with a list of parameters. Note that an adjustment will be considered for execution for the MIS data for which the data adjustment has been done.

> **NOTE**   There is no option to execute an adjustment batch automatically.

11.6.1   Creating a New Batch and a Task

To create a new Batch, perform the following steps:

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

2. To create a Batch, in the Batch Name section, click the ✚ Add icon.

3. In the **AddBatch Definition** window, enter the batch name and the batch description, and then click **Save**.

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.

6. In the **Task Definition** window 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>, <USER>, <RUNSKEY>, <LEGAL ENTITY>.

NOTE	Except for the data adjustment for regulatory reporting, which will require all five values, the other data adjustments will only require values for <ISSUE NAME> and <USER>. The <RUNSKEY> and <LEGAL ENTITY> parameters can be placed as *NA*.

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.

11.6.2 Executing the Data Adjustment Batch through the Batch Monitor Pane

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

   The **Batch Monitor** pane appears on the right-hand side.
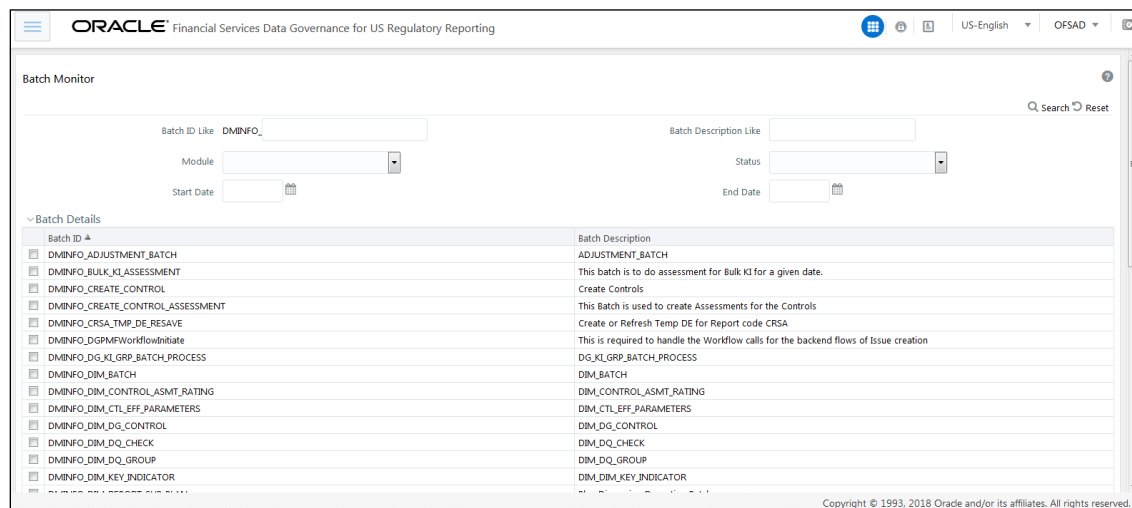
2. In the **Batch Details** section, select the Batch ID which was executed during the [Batch Execution](#).

3. In the **Batch, Run Details** section, click the **Information Date** drop-down 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 appear 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.

After the successful execution of the data adjustment batch, the Action Owners must mark the action progress to 100% or mark the Action as completed.

NOTE	Based on the adjustment type, check the tables against which the adjustments have been passed.

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**.

12.2   Process Monitoring Workflow

Following flowchart describes the Process Monitoring Workflow:
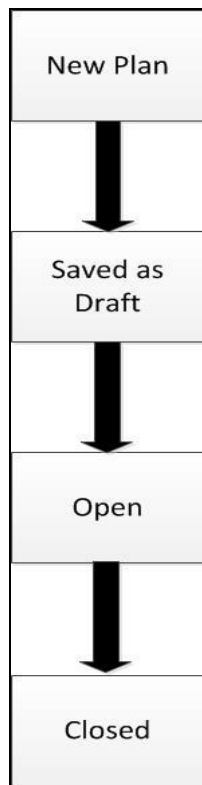
12.3   Creating a Reporting Plan

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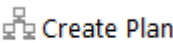
To create a reporting plan, define the name, purpose, owner and additional attributes for the plan. Additionally, you need to define the OFSAA runs and scope of the plan. You can choose any OFSAA run as the scope and derive the tasks from all the runs in the scope.

12.3.1   Creating a Reporting Plan

To create a Reporting Plan, perform the following steps:

1. In DGRR, click **Process Monitoring**.
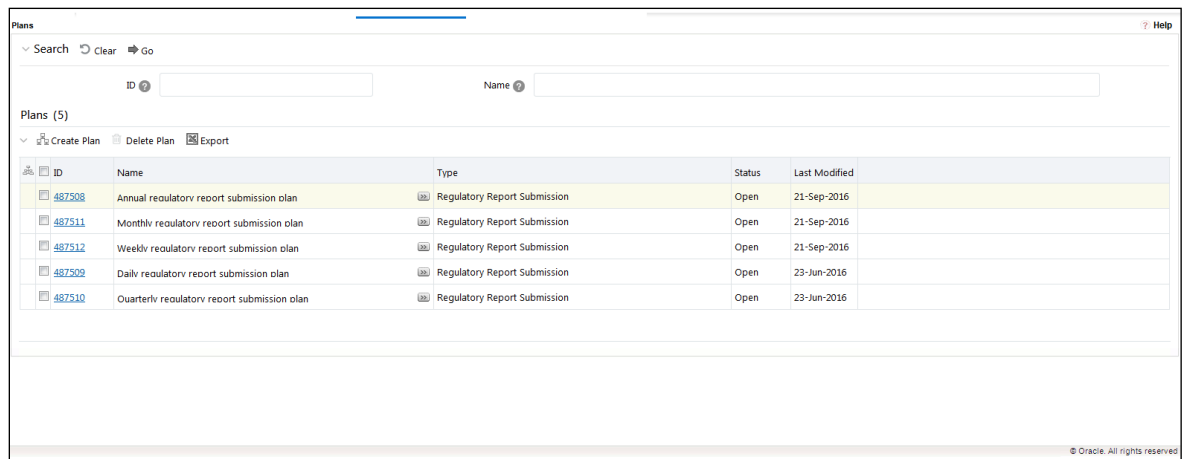
2. In the **Plans** workspace, click the icon.
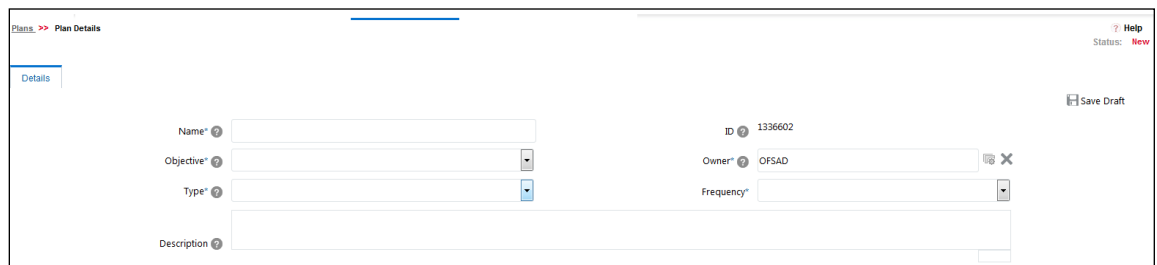
3. In the **Plan Details** page, enter the required information in the available fields.

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).

Fields	Description
Fields marked in blue asterisk(*) are mandatory	
Objective*	Select an objective from the drop-down box: • **Business** • **Management** • **Regulatory**
Owner*	Select the owner of the plan such as 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**

4. Click Save Draft.

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

5. Click **OK**.

   The status of the plan changes to Draft.

> **NOTE**   You must schedule the plan before submitting.

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

7. 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 with a plan.
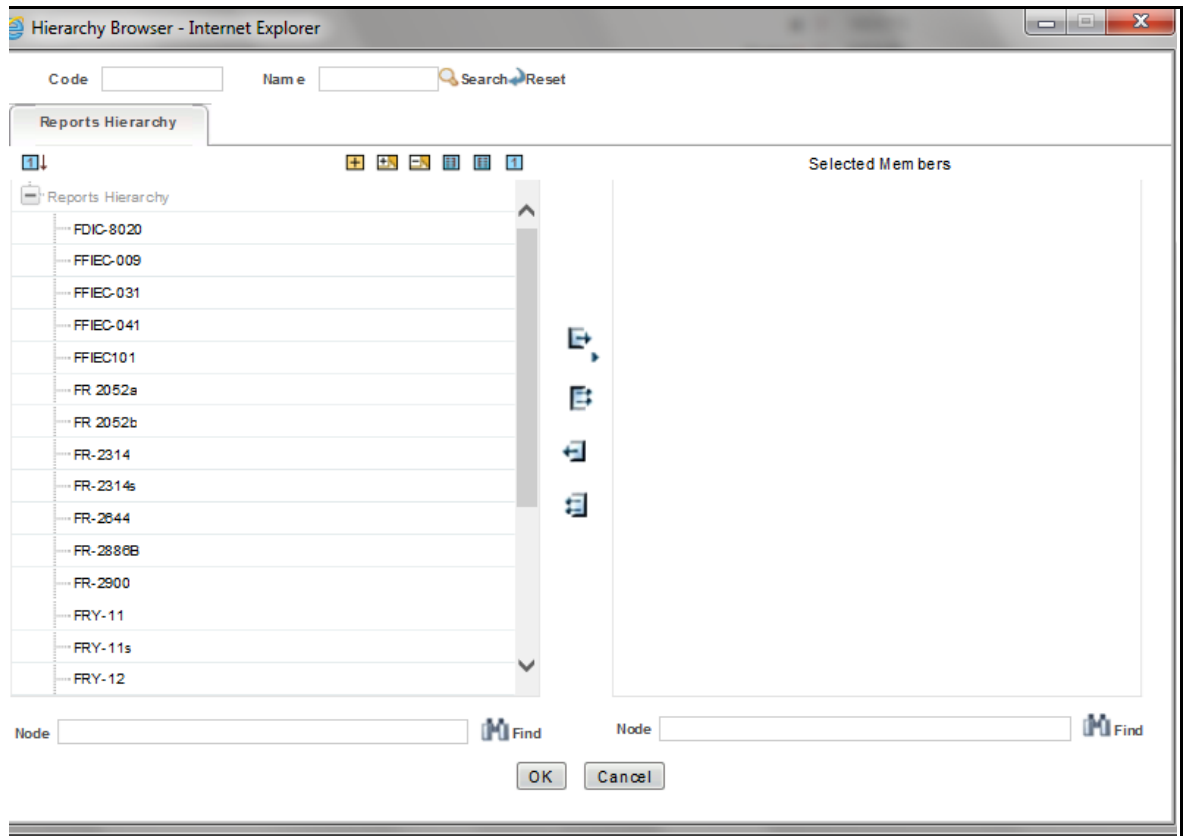
12.5   Linking the OFSAA Runs to a Plan

Data Governance for US Regulatory Reporting facilitates the 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.
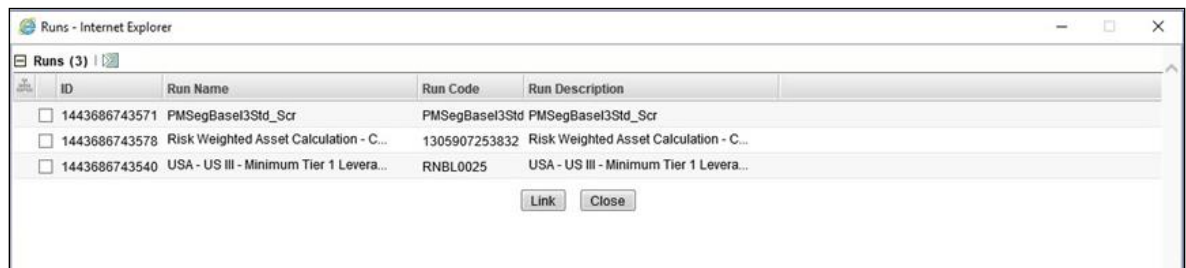
12.6   Linking the Tasks to Runs

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, displaying all the tasks under the selected Run. The selected tasks can be seen in the Task grid under the Run grid.

12.7 Linking the Dependent Tasks to Tasks

Data Governance for US Regulatory Reporting facilitates the 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.

12.8 Monitoring a Reporting Plan

After submission, the reporting plan is monitored for the 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:

NOTE	Before running the process monitoring and operational controls batch, please provide the parameter PJURISDICTION for task9 in the batch maintenance screen for the batch DGS_PM_OP_CTL_BATCH.

1. Create the batch from the **FSDF Rule Run Framework** screen.

2. Execute the created batch with the selected tasks.

3. Execute the batch DGS_PM_Batch. Refer to the Run Chart.

DASHBOARDS

DATA QUALITY DASHBOARDS

13   Dashboards

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

13.1   Data Quality Dashboards

The Data Quality Rules for Dashboards must 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 Run chart 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
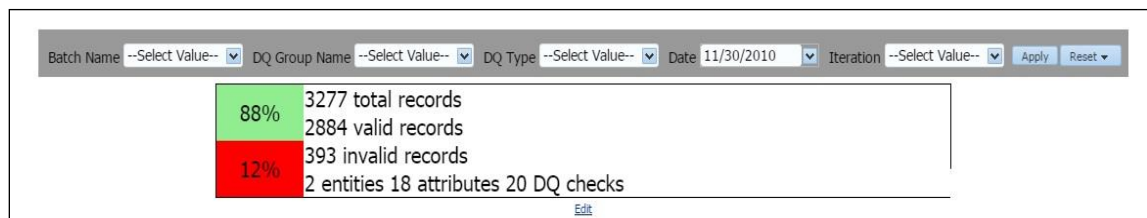
13.1.1   Distribution of Error Records by the Attribute Count

This analysis displays the distribution of error records based on a range of attribute counts in the form of pie charts and bar graphs.
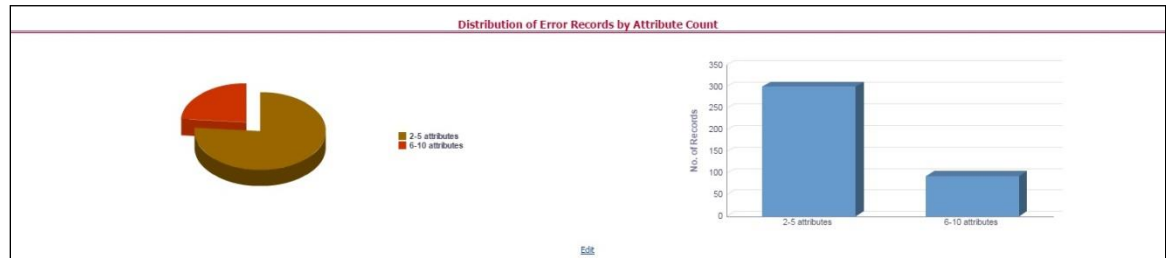
Click either on the pie chart or bar graph to drill down to view the following details:

- 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

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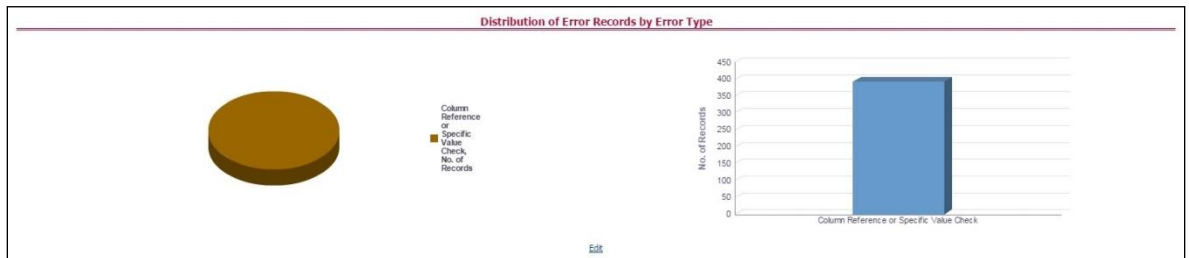
Click either the pie chart or the bar graph to get a drill down to view the following details:

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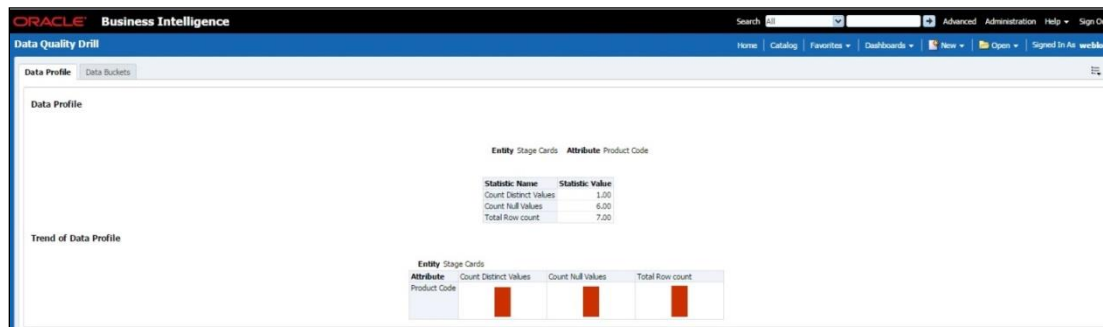
    - Trend of Data Profile: A graphical representation of the following data based on the Entity-Attribute Name:
        — Count Distinct values
        — Count Null Values
        — Total Row Count

- Data Bucket: It displays two analysis:
    - Data Bucket: The tabular representation of the following data based on the Dimension Table:
        — Node Code
        — Distribution Count
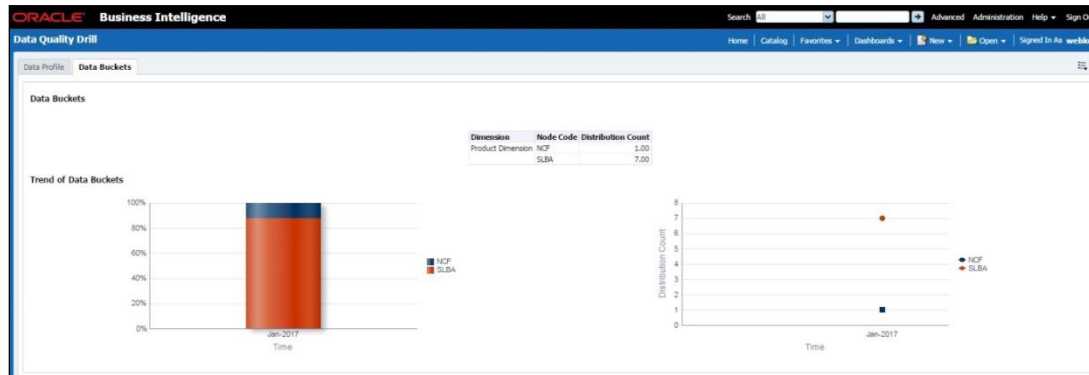
- ▪ Trend of Data Bucket: Graphical representation of the Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
  - — Bar Graph
  - — Line Graph

13.1.3 Distribution of Defaults by Attribute Count

This analysis displays the distribution of default records based on the attribute count.
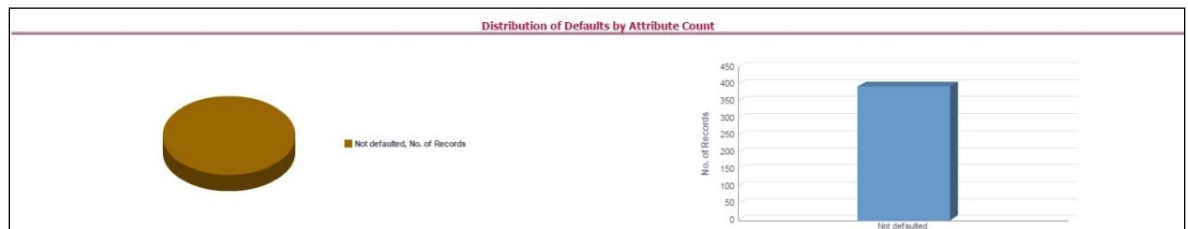
Click either the pie chart or bar graph to get drill down which displays the following details:

- 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
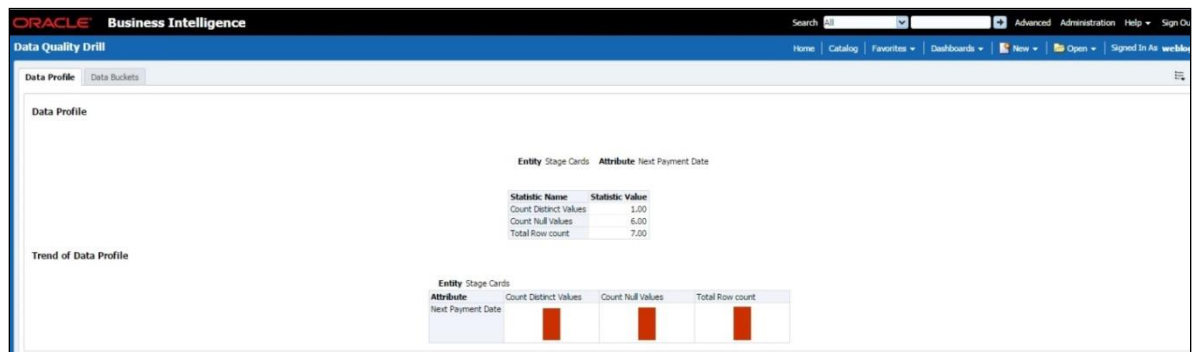
— Total Row Count

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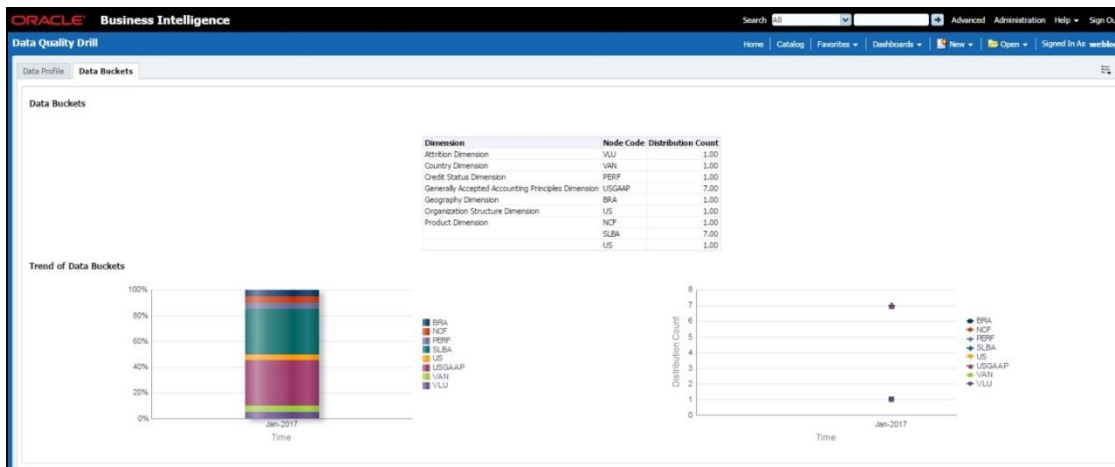
  - Trend of Data Bucket: A graphical representation of the Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:

    — Bar Graph

    — Line Graph

13.2 Controls Dashboard

Execute the batches corresponding to Controls to view the Controls dashboards. For Controls Dashboard refer to the run chart and execute the batch DGS_CONTROL_BATCH for the date on which the control and assessment need to be executed. Refer to the Run chart 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 appear 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.
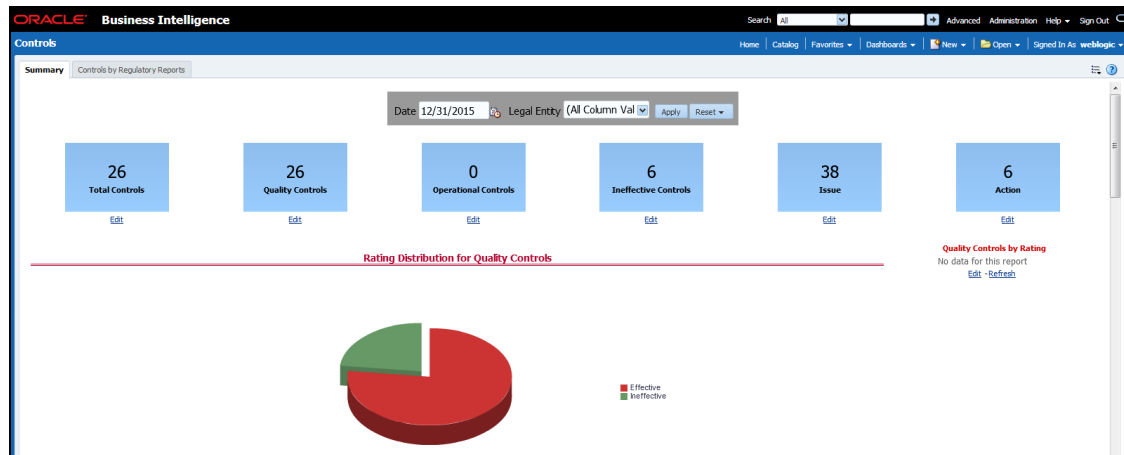
13.2.1.1 Quality Controls by Rating

This section provides the graphical representation of the 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 the Number of Quality Controls within a period of six months from the selected date.
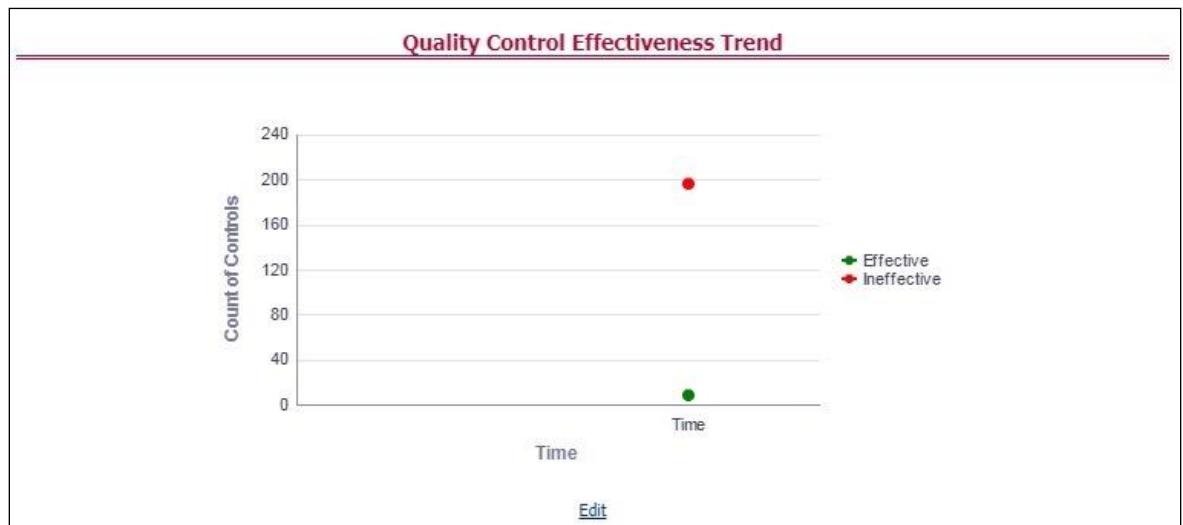
Click the graphs to view the drill-down **Control Assessment** reports.

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

DASHBOARDS

CONTROLS DASHBOARD

- Ineffective

Operational Controls by Rating

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 the Number of Operational Controls within a period of six months from the selected date.
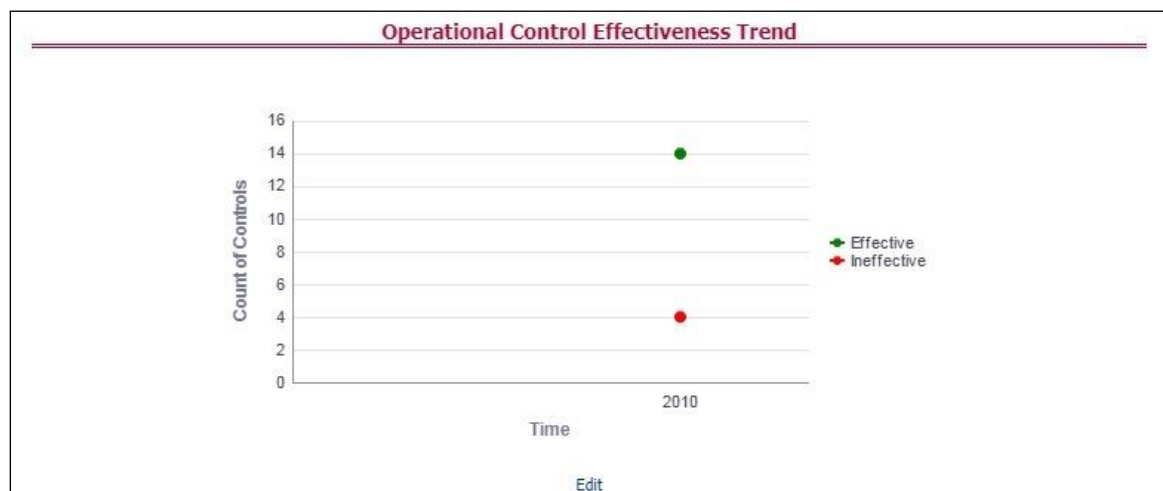
Operational Control Effectiveness Trend

OFS DATA GOVERNANCE FOR US REGULATORY REPORTING 134

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

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 Run chart for further details.

> **NOTE** The Key Indicators dashboard will reflect only those KIs for which the report or schedules or cells have been configured in the KI configuration.

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

- Jurisdiction
- Report Code
- Schedule Code
- Cell ID
- Legal Entity
- Date

Click **Apply** to generate the reports.

Click **Reset** to reset the values.

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-based Key Indicators.
- **Actions:** Displays the total number of Action based Key Indicators.
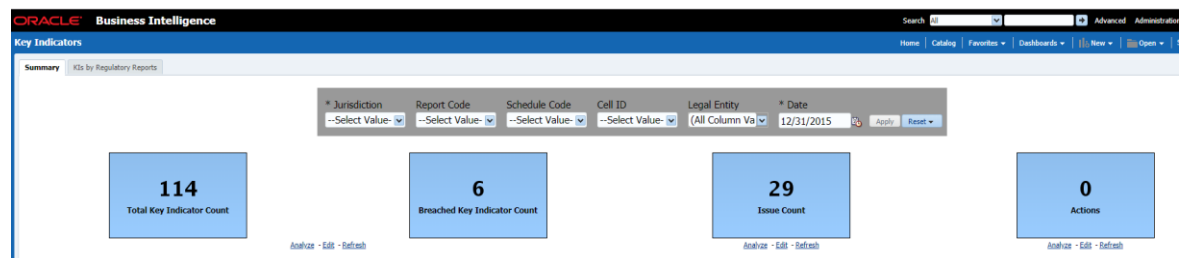
These are the KI Summary dashboard sections:

- **Rating Distribution for KIs:** Displays the latest rating distribution for the assessed Key Indicators.
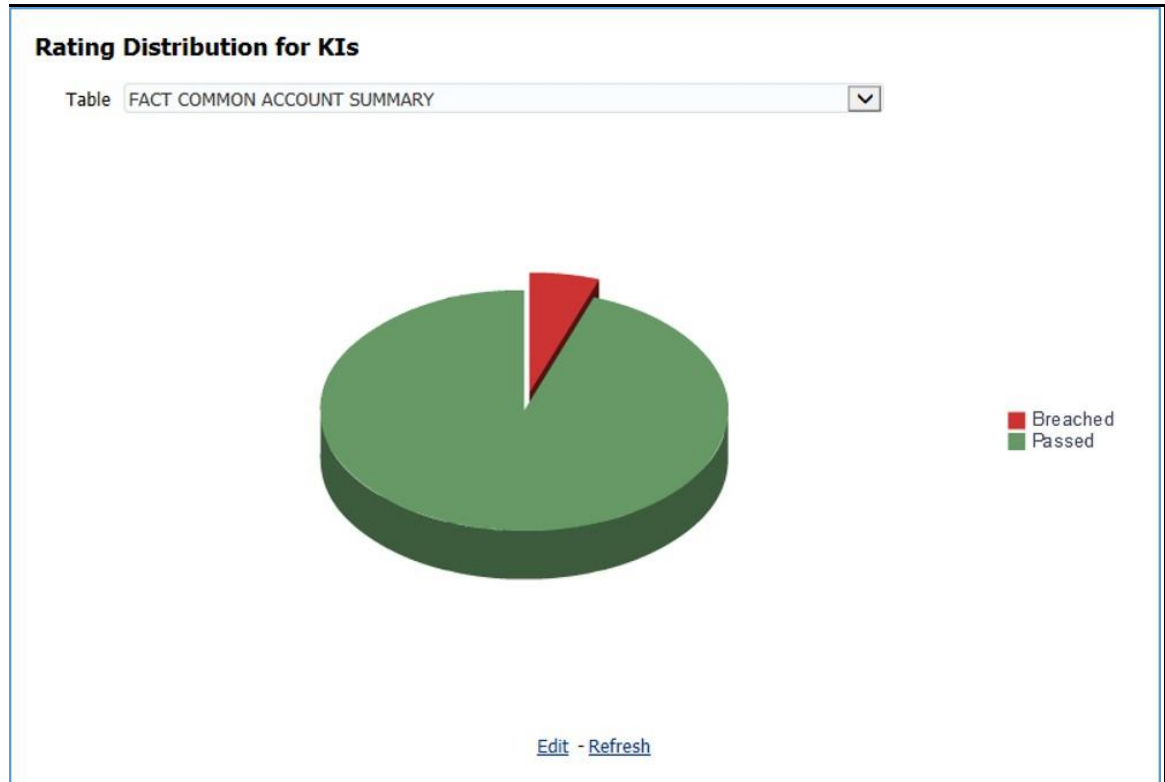
KI Trends by Entities: Displays the trend of the latest entities for the assessed Key Indicators.
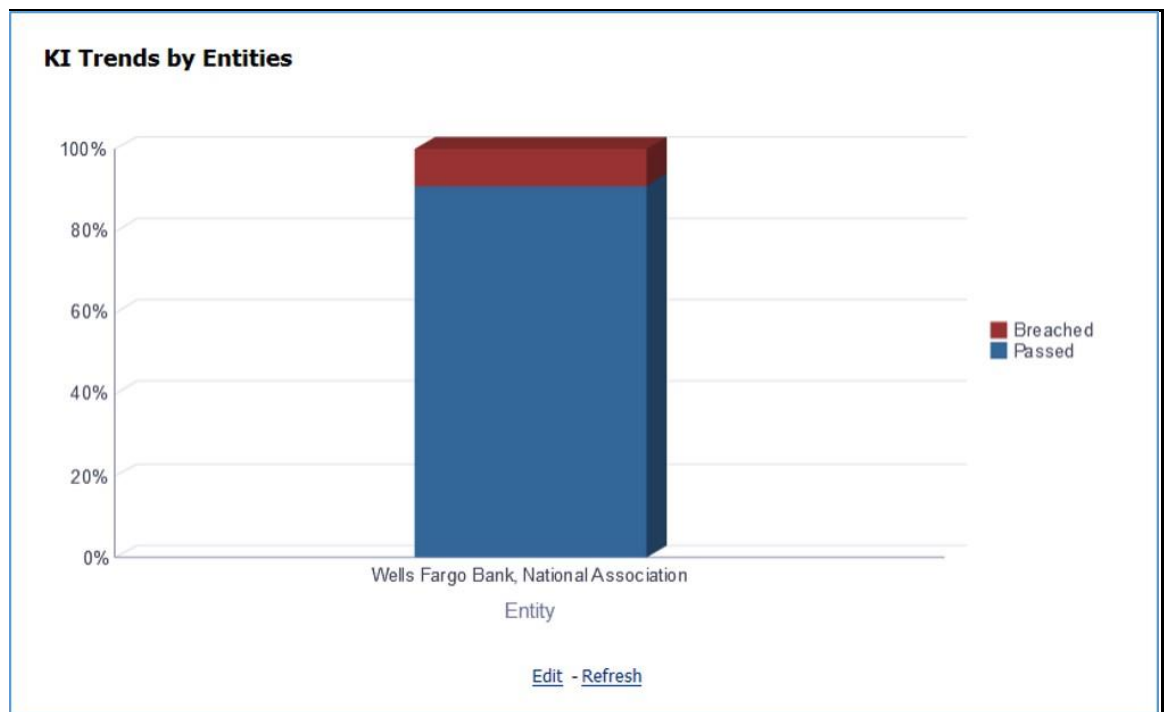
KI Trends across multiple execution: Displays the latest trend across multiple executions for the assessed Key Indicators.

Issues and Actions:

13.3.1.1 Viewing Key Indicator Details

- To view the Key Indicator details:

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

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.
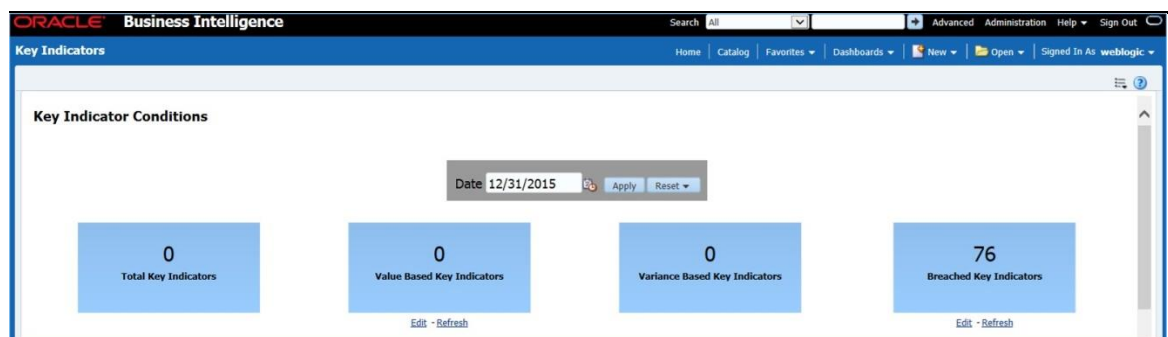
13.3.1.2 Viewing Key Indicator Conditions Details

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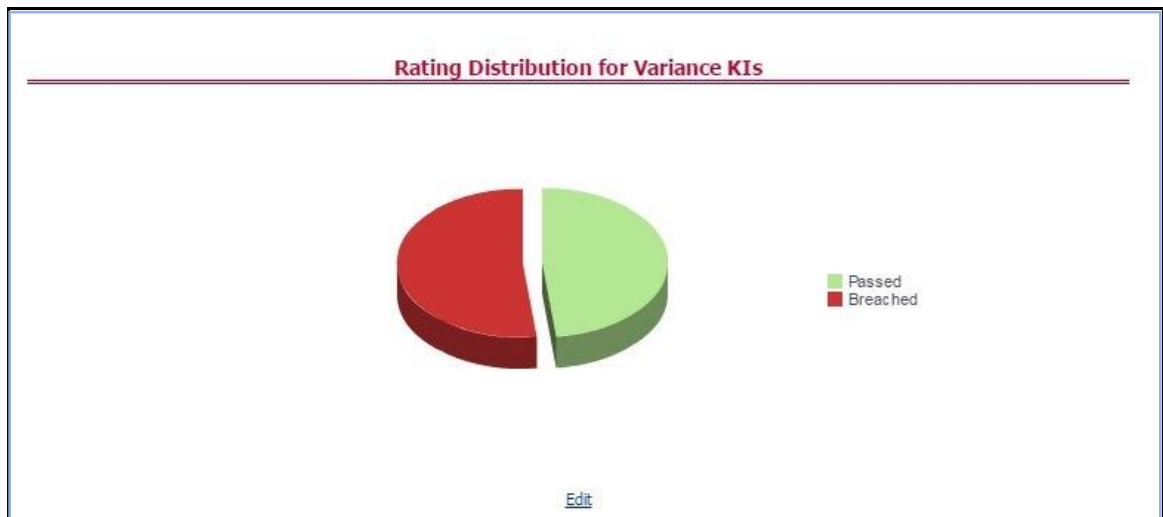
Trend of Rating Distribution for Variance KIs: For the assessed Variance Key Indicators, this report displays the trend of the latest rating distribution.
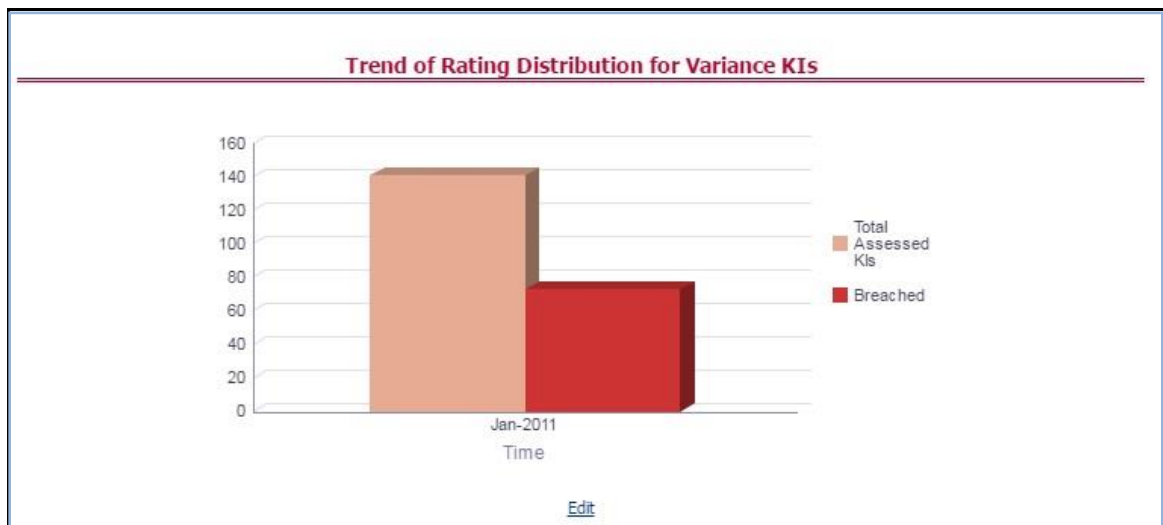
Rating Distribution for Value-Based KIs: This report displays the latest rating distribution for the assessed Value-Based Key Indicators.
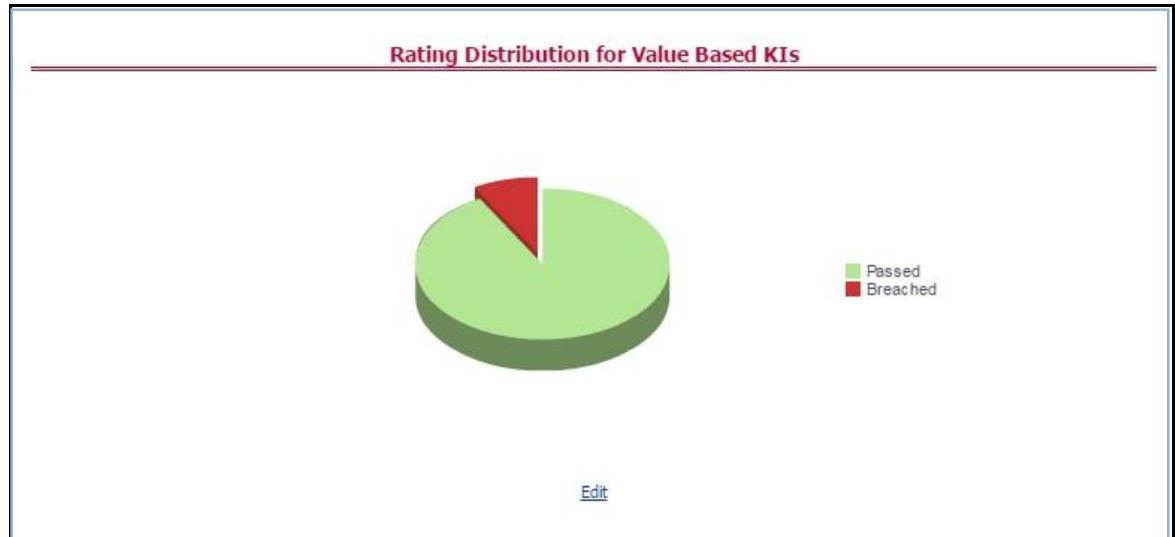
- **Trend of Rating Distribution for Value-Based KIs:** This report displays the trend of the latest rating distribution for the assessed Value-Based Key Indicators.

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

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.

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.

For the required Key Indicator, to view the Variance Analysis, Validation Check Analysis, and Trend Analysis, click any Key Indicator number. These details appear 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.
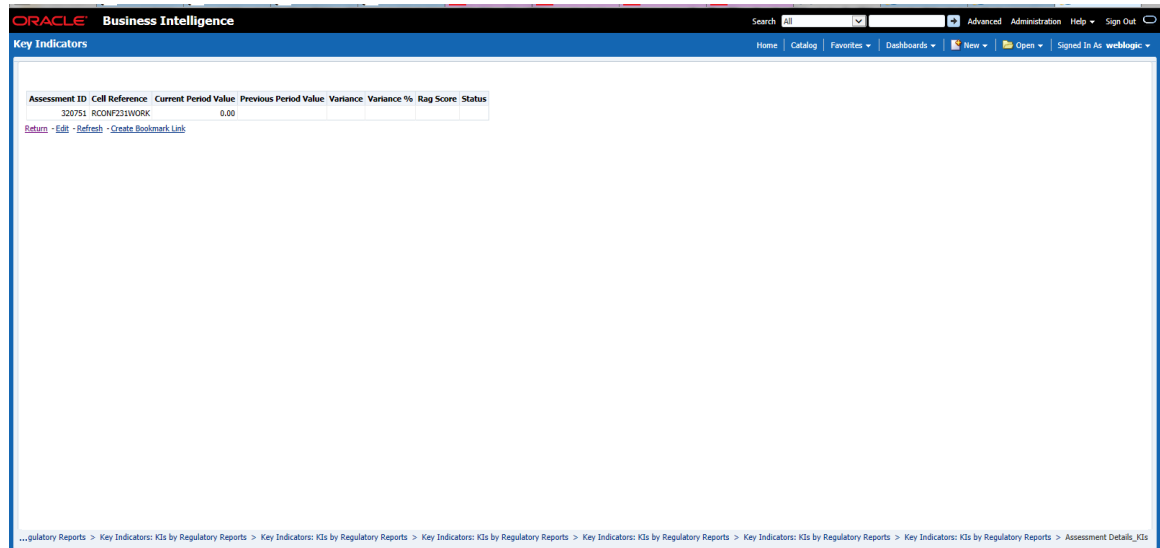
- **KI Condition**: Displays the KI condition name.
- **Current Value**: Provides the current period value for the respective Reporting line item.

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.

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

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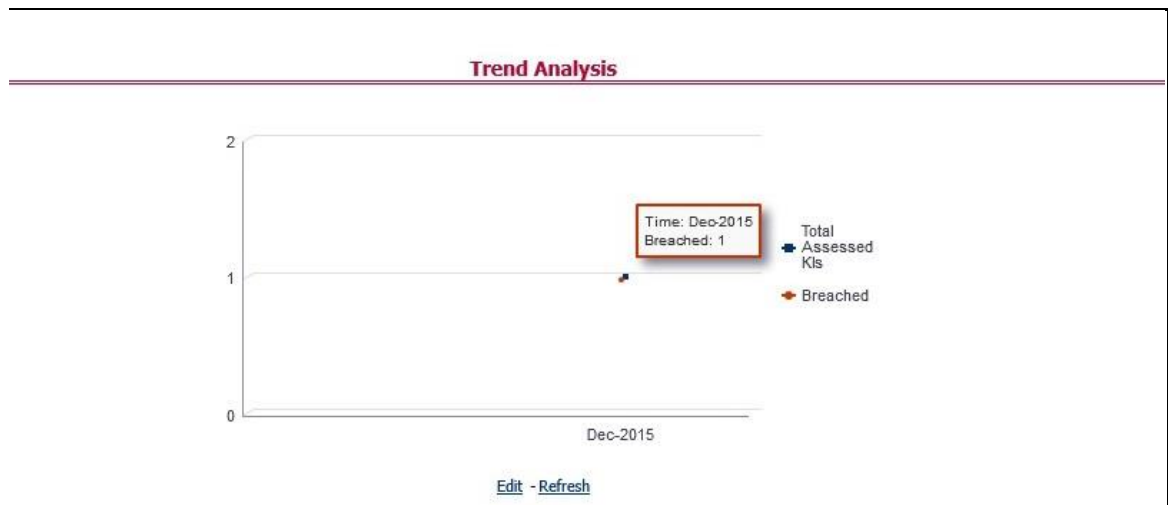
To view the **Key Indicator Details** drill down report, click the graph points.

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

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 need to be analyzed. Refer to the Run chart 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.
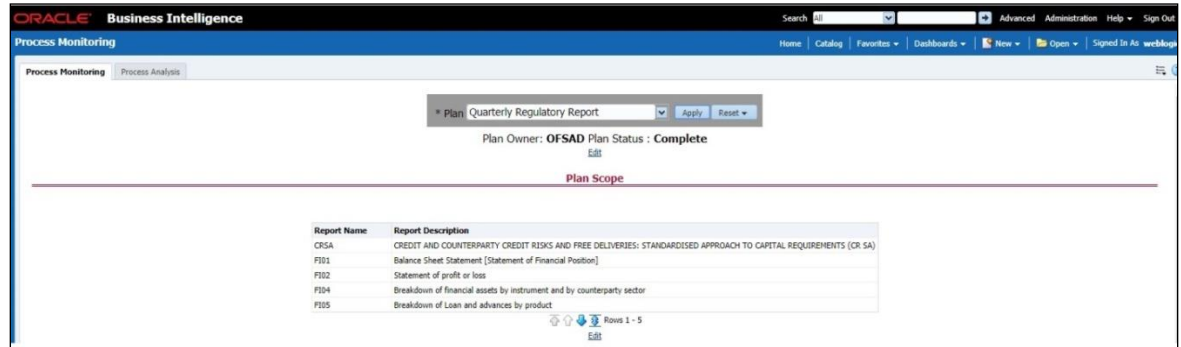
13.4.1.2   Performance Tiles

The following Performance Tiles appear based on the selected Plan:

- **Total Runs:** Displays the count of the total number of runs
- **Total Tasks:** Displays the count of the total number of tasks

Tasks Complete: Displays the percentage of tasks completed

- **Time Elapsed:** Displays the time elapsed during the execution of the Plan.
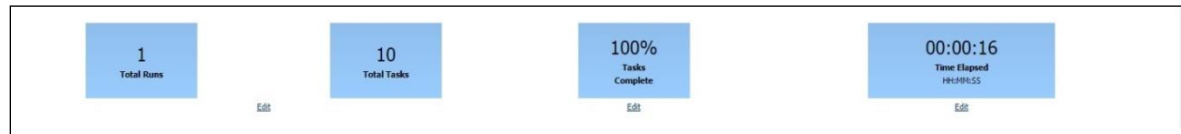
13.4.1.3   Task Tracking

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.
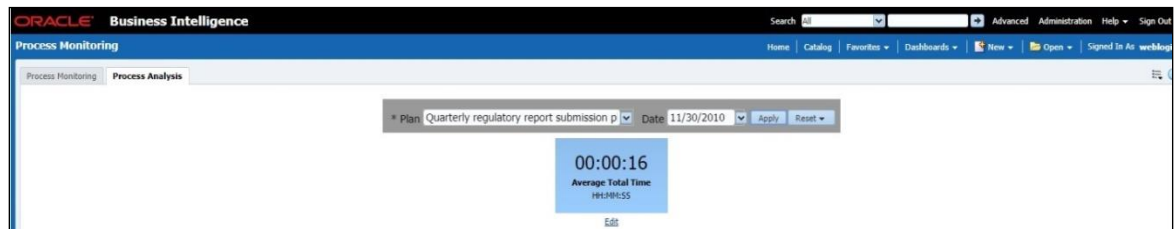
The following sections appear in this dashboard:

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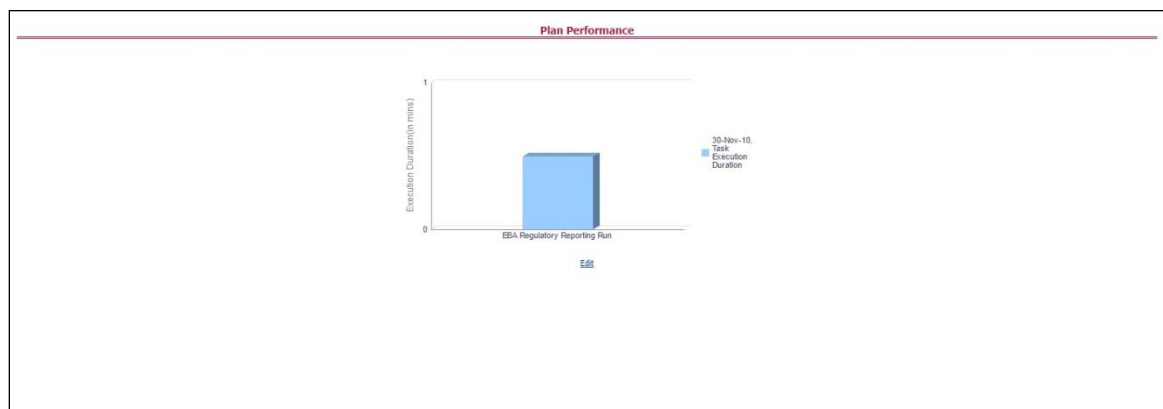
Click the **X**-axis to view the Task level details.

13.4.2.2   Longest Running Tasks

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

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.
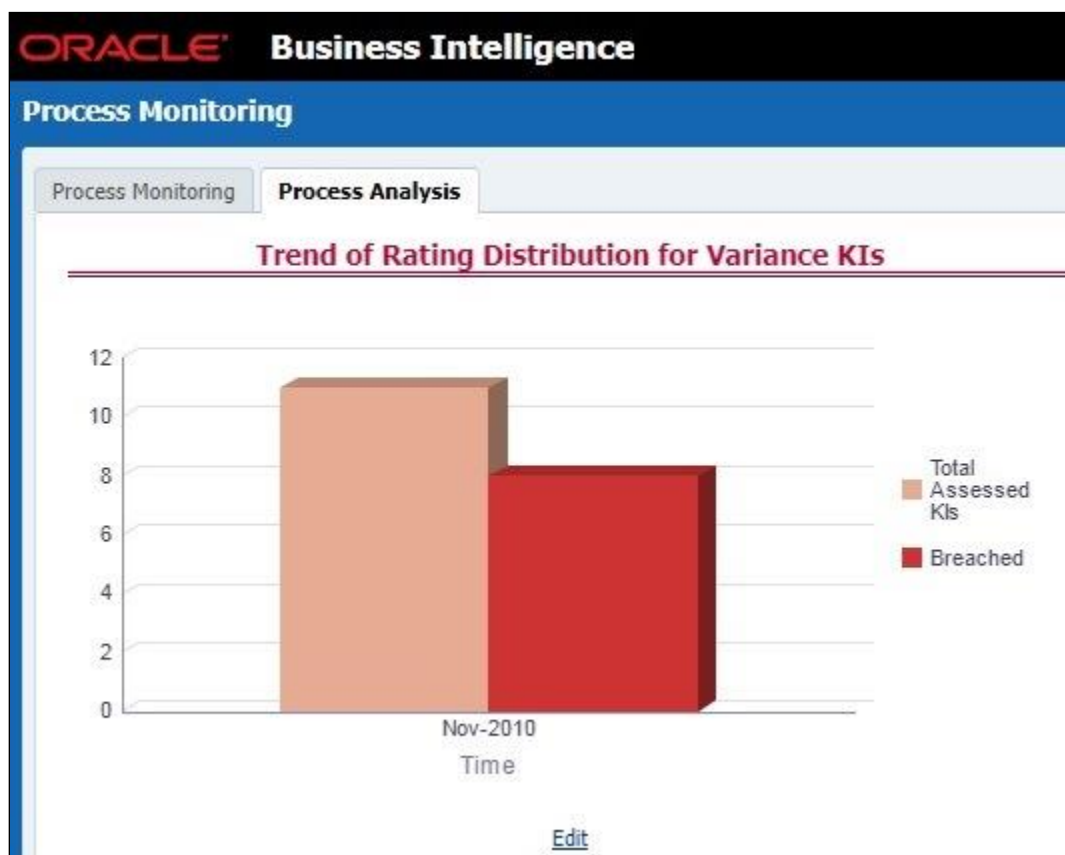
13.4.2.4   Trend of Rating Distribution for Value-Based KIs

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.
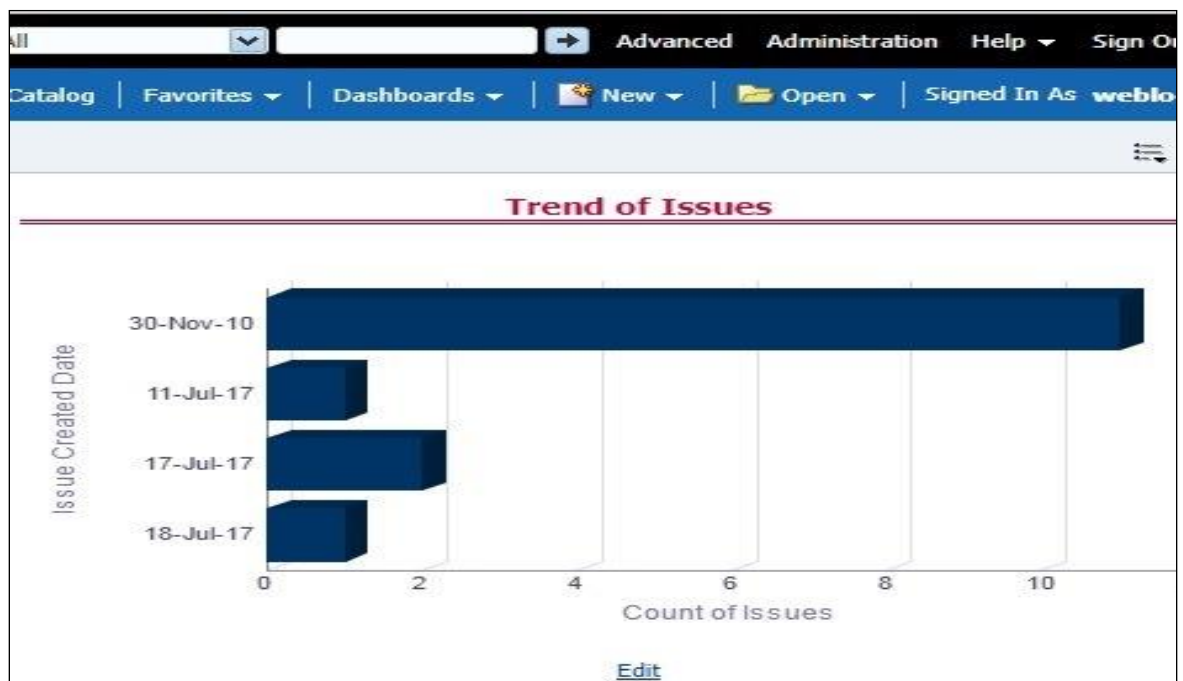
13.4.2.6 Quality Control Effectiveness Trend

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 the issue reported for Controls based on the selected plan.

Trend of Issues

Edit
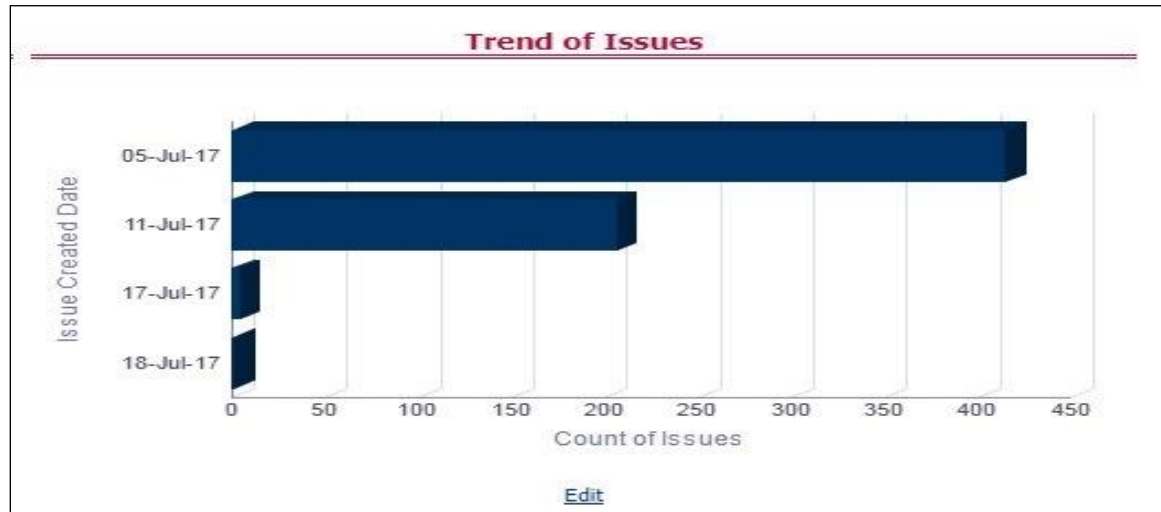
13.5   Regulatory Report Monitoring

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 appear in terms of Performance Tiles:

- **Reporting Elements with Errors:** Displays the percentage of Reporting Elements with Errors.

- **Reporting Elements with a breach in Variance Indicators:** Displays the percentage of Reporting Elements associated with breached Variance Key Indicators.

- **Reporting Elements with a 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.
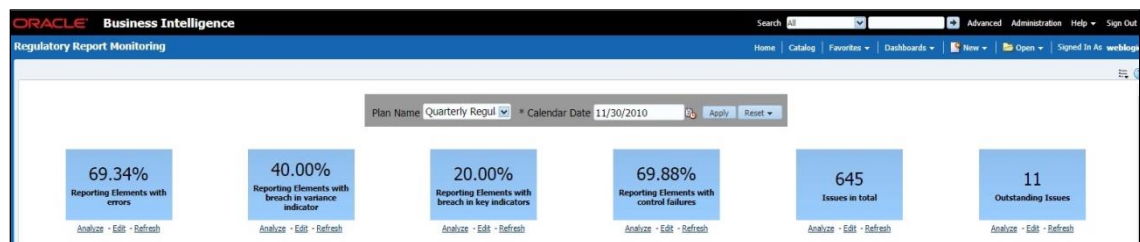
Regulatory Report Monitoring dashboard displays the following grids:

- 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.

1. Select the **Report Name** from the drop-down to view the following data:

    — **Report/Schedule Name:** Displays the name of the report/schedule.

    — **Total:** Displays the number of reporting elements linked to a 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.

2. Click **Total** associated with each schedule to display the 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.

3. Click **No Errors** associated with each schedule to display the 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.

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

— Plan Name

— Report Name

— Schedule

— Date

— Variance Indicator

— Owner

— Report

— Cell Reference

— Current Value

— Previous Value

— Variance

— Variance %

— Variance % (Last Period)

— Status

— Status (Last Period)

The 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

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

- — Plan Name
- — Report
- — Schedule
- — Date
- — Name
- — Owner

— Report

— Cell Reference

— Status

— Status (Last Period)

The 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

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

— Plan Name

— Report

— Schedule

— Date

— Control Name

— Data Quality Checks

— Owner

— Effectiveness

— Cell Reference

The following details appear in Issue Details - Controls:

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

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

- — ID
- — DQ Check
- — Type

— Result

— Entity

— Attribute

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.

13.5.3 Create Action

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

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.
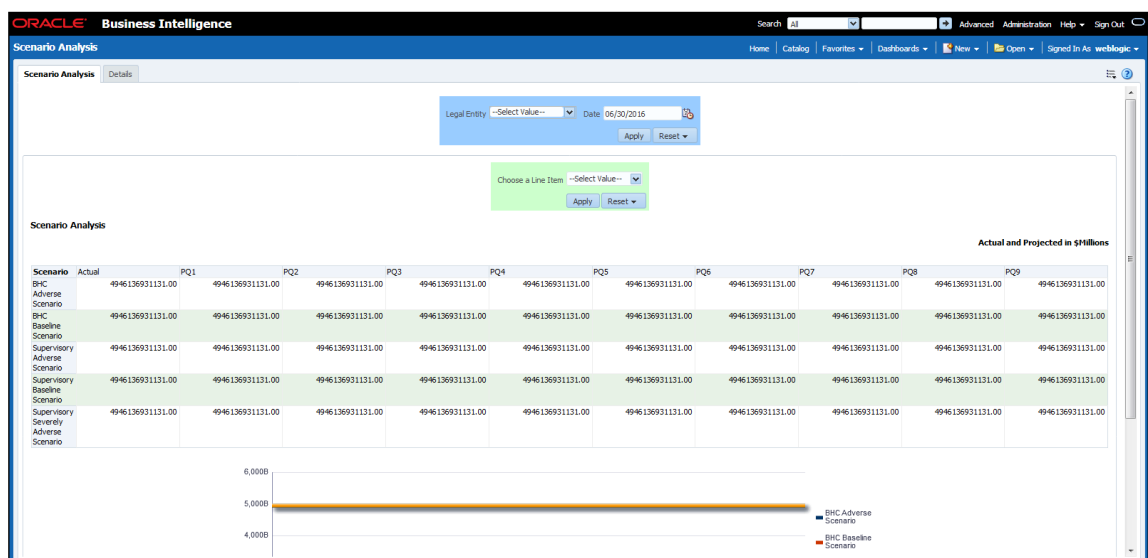
13.6.2 Details Dashboard

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.

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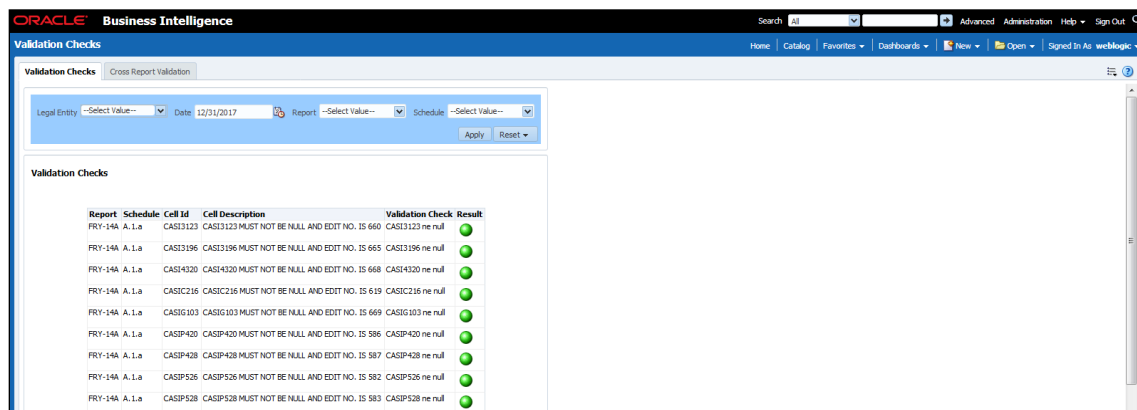
Schedule: Provides the value that you selected in the **Schedule** drop-down box.

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.

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.

13.8 Variance Analysis Dashboard

Variance analysis the process of identifying the causes of variations in the MDRM values between current and prior periods. It helps understand why fluctuations happen and what can or must be done to reduce the adverse variance. This eventually helps in finalizing the report cell (MDRM) values.

Variance analysis helps users identify threshold breaches set at the Report/Cell level before generating the final numbers. Based on the breached cell values, you can decide the course of action by either rectifying it using Cell level adjustment or take no action. This enables you to confidently submit the final numbers to the regulators.

Prerequisites

1. The Indicator assessment must be performed before verifying the variance analysis dashboard. Execute the batch DGS_KI_BATCH for the date on which the data needs to be analyzed. Refer to the KI assessment section for more details.

2. Execute the account granularity batch ACCT_MAPPER_INSERT for generating Accounts, Accounts Writeoff, and Accounts Recovery. Account granularity currently supports FRY-9C,FFIEC-031, FFIEC-041. For more details on the parameter to be passed for generating the account level granularity, refer to the section Populating Data for Account Drill down Granularity (Variance Analysis dashboard).

3. Execute the Account and Party granularity batch ACCT_MAPPER_INSERT for generating the account and party. The account and party granularity are for the report FDIC 370. For more details on the parameter to be passed for generating the account and party level granularity, refer to the section Populating Data for Account Drill down Granularity (Variance Analysis dashboard).

4. Execute the Repline granularity batch CREATE_GRANULAR_MAPPER for generating the repline across reports. For more details on the parameter to be passed for generating the Repline level granularity, refer to the section Populating Data for Account Drill down Granularity (Variance Analysis dashboard).

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

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

NOTE	Note the following:

- Account granularity generation is only for the reports FRY-9C, FFIEC-031, and FFIEC-041.
- Account and Party granularity generation are only for the report (FDIC 370).
- Variance analysis drill down feature is not enabled for the cells which are of count based.

1. Navigate to **Common Tasks > Operations > Batch Maintenance**.
2. Select the required batch.
3. In the Task Description column, select the required insert batch to edit the task definition.
4. Run the batch bypassing the correct parameter list as tabulated:

Granularity	Batch	Parameter
Account	ACCT_MAPPER_INSERT	`Run_skey`
Account and Party	ACCT_MAPPER_INSERT	`"ACCOUNT AND PARTY","##Report_Name##","##Run_skey##","##MIS_Date##"`
REPLINE	CREATE_GRANULAR_MAPPER	`'GL'`
ACCOUNT WRITE OFF	ACCT_MAPPER_INSERT	`"ACCOUNT WRITEOFF","##Report_Name##","##Run_skey##","##MIS_Date##"`
ACCOUNT RECOVERY	ACCT_MAPPER_INSERT	`Run_skey`

DASHBOARDS

VARIANCE ANALYSIS DASHBOARD

NOTE	• The batch ACCT_MAPPER_INSERT is used to load data from inter-mediatory tables of Account drill down with the matching Account number.
	• The batch CREATE_GRANULAR_MAPPER is used to load data from inter-mediatory tables of Account drill down with the matching Report Line Code records in FCT_MGMT_REPORTING.
	• The account granularity batch must be run against each MIS date.
	• The data must be available in the fct_gl_data for the Repline granularity. The data must be moved to the fct_gl_data by executing the T2T as a part of the FSDFF run.

13.8.2   Viewing the Variance Analysis Dashboard

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

- **Report**: Based on the KI configuration this drop-down is populated. Select a pre-configured report.
- **Schedule**: Based on the KI configuration this drop-down is populated. Select a schedule.
- **Cell Identifier**: Based on the KI configuration this drop-down is populated. Select a cell identifier.
- **Entity Name**: Select an entity name.
- *****Current Date**: Select a date on which the assessment has been done.
- **Variance %:** Select a variance %
- **Variance Amount Between**: Enter the Variance Amount range.
- **Breached**: Select '*Yes*' or '*No*' or both.

NOTE	Ensure you have configured the Key Indicators. Refer to the [Configure a Key Indicator](#) section.

1. Click **Apply** to generate the reports.
2. Click **Reset** to reset the values. The generated report contains the following details:
   - **Report Code**: Provides report code of the cell.
   - **Schedule Code:** Provides schedule code of the cell.
   - **Cell Identifier:** Provides the MDRM code of the cell.

- **Cell Line Item**: Provides line item of the cell.

- **Cell Description:** Provides the description of the code.

- **Entity:** The entity for which the assessment was done.

- **Current Value:** Provides the current value of the assessment.

- **Previous Value:** Provides the previous value of the assessment.

- **Variance:** Provides the difference between the current and previous values.

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

- **Issues:** Provides the count of issues against each cell. There is a drill-down that displays the details of the issues.

- **Actions:** Provides the actions taken for each issue. The drill-down shows the action count.

- **Trend:** Displays the graphical representation of the assessment across time. You can select between:

  — Trend for All Dates

— Trend for Date Range

> **NOTE** Trend graphs can be exported to PDF and Excel.

Cell ID : **RCONK175** - LOANS AND LEASES; NET OF UNEARNED INCOME; RESIDENTIAL MORTGAGE EXPOSURES - ADJUSTMENTS TO TOTALS REPORTED IN COLUMN A
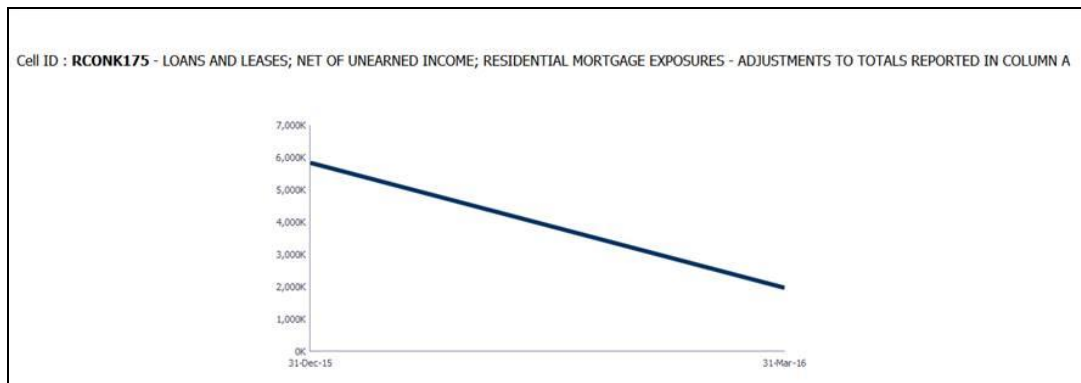
- **Create Issue:** Create an issue from the dashboard itself against any cell irrespective of whether it has been breached or not. This issue can be modified on the DG Issues page. After you create an issue through this method, you can view the number of created issues in the OBI dashboard.

> **NOTE** Before you create an issue, ensure that you have launched the DG application.

To create an issue through the Dashboards Page, perform the following steps:

a. In the **Create Issue** column, click the icon.

b. In the **Issue Details** page, enter values in the **Name** and **Comments** field.

c. Click **Save Draft**.

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

d. In the **Cell** Identifier column, select the link.

You can view the following information:

— GL Details: Provides the GL account details along with the cell ID.
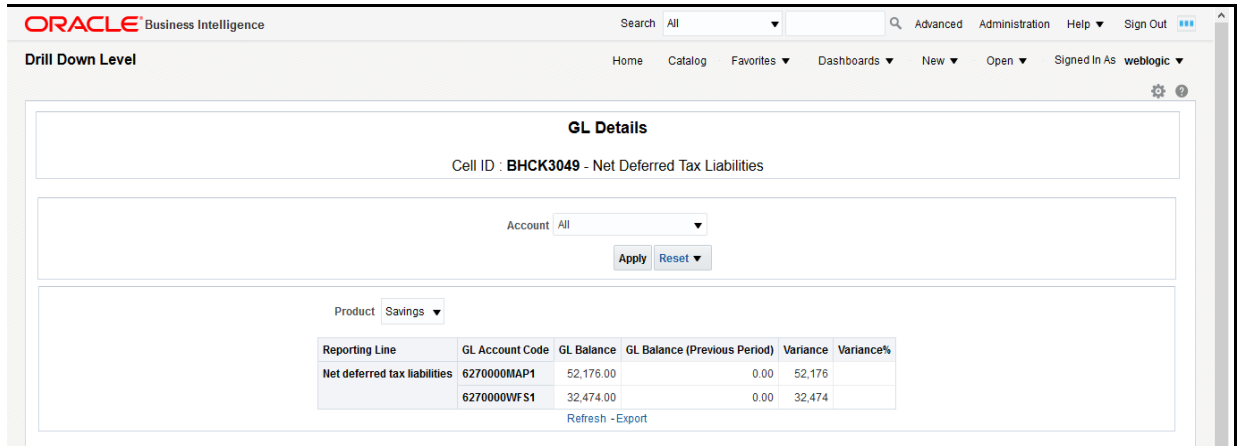
— The current and previous period values for the source data, adjustment, and final cell value. The data in the final cell is a combination of the source and adjustment data.
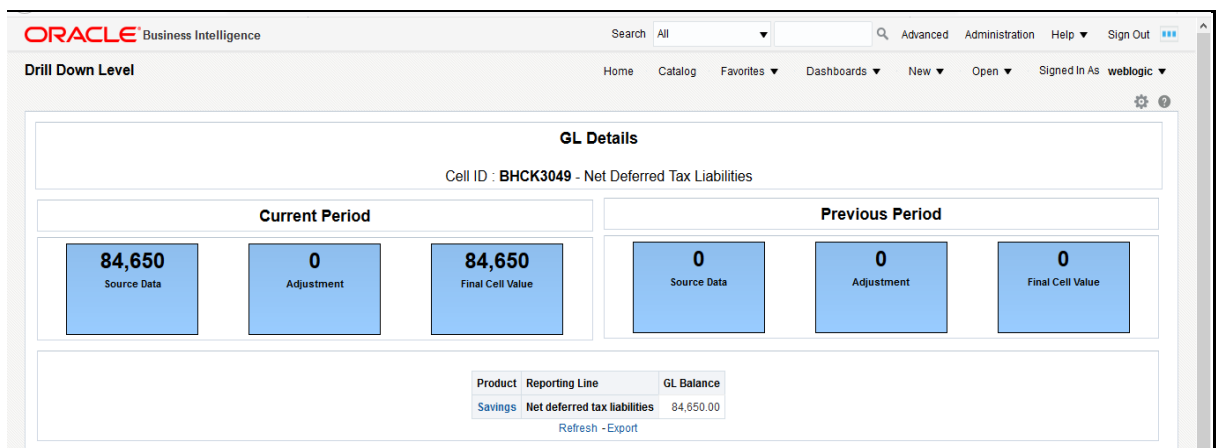
| NOTE | Measure the value displayed at the product level is the variance amount. |

The **Final Value** and **Final Value (Previous Period)** to the **Intermediate** and **Account** drill-down templates are displayed. The values from these cells tie back to the current and previous values in the tile. The column totals defined at each level ties back to the previous level.

Account Details

Cell ID : **RCFDK207** - Variance of other consumer loans to individuals for household; family; and other personal expenditures (includes single payment; installment; and all student loans)

Current Period			Previous Period		
9,878,638,682 Source Data	**0** Adjustment	**9,878,638,682** Final Cell Value	**0** Source Data	**0** Adjustment	**0** Final Cell Value

Product	Final Value	Final Value (Previous Period)	Variance %	Non Lease Principal Comp RCY	Non Lease Principal Comp RCY (Previous Period)	Variance %	Net Unamortized Loan Fee In Reporting Currency	Net Unamortized Loan Fee In Reporting Currency (Previous Period)	Variance %	End Of Period Balance In Reporting Currency	End Of Period Balance In Reporting Currency (Previous Period)	Variance %	Deferred Cur Balance In Reporting Currency	Deferred Cur Balance In Reporting Currency (Previous Period)	Variance %	Fair Valu Reportin Currency
Grand Total	9,878,638,682.15	0.00	100.00	46,532,917,107.30	0.00	100.00	16,182.00	0.00	100.00	27,474,347,049.60	0.00	100.00	0.00	0.00	0.00	27,474,34
Other Loan	326,924.00	0.00	100.00	0.00	0.00	0.00	16,182.00	0.00	100.00	789,805,494.00	0.00	100.00	0.00	0.00	0.00	789,80

13.8.3 Dimensions Supported in Variance Analysis drill-down

The following dimensions are supported in the variance analysis drill-down:

- Account Name
- Account Country Name
- Currency Name
- Data Source
- Issuer Name
- Entity Name
- Line of Business
- Organization Unit Name
- Party Name
- Product
- Product Type
- Region Description
- Regulatory Instrument Classification
- Regulatory Party Name
- Regulatory Product Classification

13.9 Data Schedule Dashboard

The data schedule dashboard includes all student loan details as defined in the FR Y-9C, Schedule HC-C, lines. This covers the student's loan for the segments which includes educational qualification and age. The A 10 reports are part of this dashboard. This dashboard provides the following three options:

- Data Schedule Report
- Trend Analysis
- Edit Check Analysis

For more information, see Data Schedule Dashboard in OBIEE to view the A 10 reports.

13.10   Integrating Agile Reporter with Data Governance Variance Analysis Dashboard

Agile Reporter can be integrated with Data Governance Variance Analysis reports from the Agile Reporter - Dashboard and Analysis Agile Reporter - Module Integration features.

13.10.1   Launching Data Governance Variance Analysis Dashboard with Agile Reporter

To launch the Data Governance Variance Analysis Dashboard with Agile Reporter, follow these steps:

3. Log in to **Agile Reporter** with valid credentials.

4. Click the **Dashboard** tab and then click the retrieved report link.

5. Under **Pages**, select any schedule.

6. Click the cell value and then click **OFSAA Current Analysis** .

    This opens the **Variance Analysis Summary Agile Reporter** window with the details of the selected cell.

    For more information on how to configure this, see the *Integrating Agile Reporter with* Data Governance *Variance Analysis* section in the Oracle Financial Services Data Management Installation Manual.

13.10.2   Launching Data Governance Variance Analysis from Agile Reporter Analysis

To launch Data Governance Variance Analysis from Agile Reporter Analysis, follow these steps:

1. Log in to **Agile Reporter** with valid credentials.

2. Under **Select Return**, enter the required details and then click **Create**.

3. Under **Cell Reference**, click Name and then click **OFSAA Variance Analysis**.

    This opens the **Variance Analysis Summary Agile Reporter** window with the details of the selected cell.

    For more information on how to configure this, see the *Integrating Agile Reporter with* Data Governance *Variance Analysis* section in the Oracle Financial Services Data Management Installation Manual.

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 bypassing 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 must 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 the 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>
.
.
.
<AttributeValue>{attribute_name}</AttributeName>
<AttributeValue>{attribute_value}</AttributeValue>
</Property>
<Property desc="property_description">
<AttributeName>{attribute_name}</AttributeName>
<AttributeValue>{attribute_value}</AttributeValue>
</Property>
.
.
.
<Property desc="property_description">
<AttributeName>{attribute_name}</AttributeName>
<AttributeValue>{attribute_value}</AttributeValue>
</Property>
</Properties>
<DependentObjects>
<DependsOn>
<Object Id="obj_def_id" Type="object_type_id"/>
<Object Id="obj_def_id" Type="object_type_id"/>
.
.
```

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

14.2   Registering a MDB Object

The Mutility registers a new MDB object based on the input XML. You must 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.

> **NOTE**   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>
```

```xml
            <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 an 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 must make an entry for both MDBGlossaryImplementation and MDBSubjectAreaImplementation API in the MDB_POP_IMPL_LIST table. The order of execution order must be such as, first the subject area must be executed, followed by the glossary.

- You must 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 the 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 must 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 MetaData 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 a minimum of **150 GB** available

      ii. Ensure that the **TEMP** tablespace is a minimum of **45 GB** available

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

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

      i. 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:

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

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

   i. 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 the 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 table space 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

5. **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).

6. **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 Maintainance screen.

   a. Log in 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 Task1 and click the Edit button. The **Edit Task Definition** Window is displayed.

   e. 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:

7. **US FED Jurisidciton 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.

8. **All Jurisdictions 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 Maintainance screen.

a. Log in 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 Definition Window appears.

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 a minimum of one Run to be enabled in the 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 inputting the same in the FSI_DE_RUN_FLOW_REMOVAL table.

Enabling Reports for REPORT Parsing

Every execution for REPORT Parsing requires a minimum of one Report to be enabled in the 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 the platform feature of the EXCLUDE / INCLUDE Batch Task for the 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 REISTER_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 helps 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**.
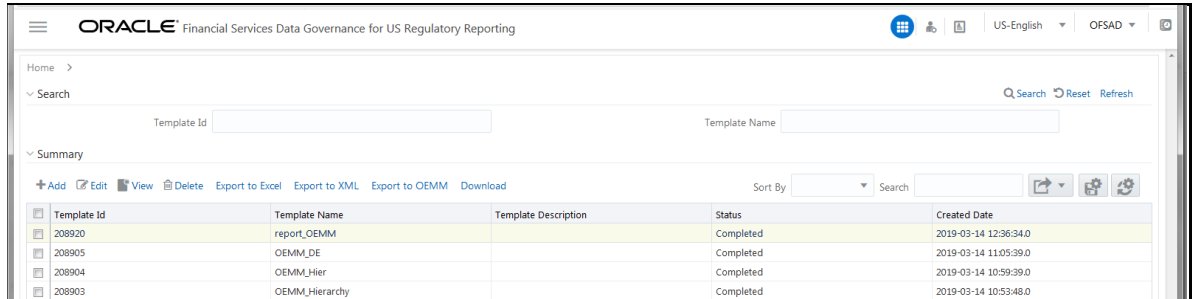
2. Click Add icon, in Summary screen, to create a new Metadata Report Template.
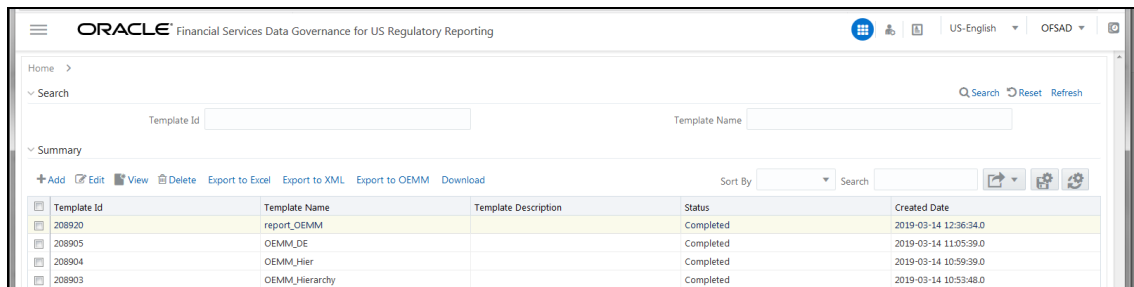
3. Provide the Name and Description for the new template in the Template Definition page.

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

5. The individual report generates only the basic properties of the object selected, that is, name and description. The 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.

9. The exported sample report for Individual is as follows:

10. For Relational Report: In the Export Options, select Dependencies.
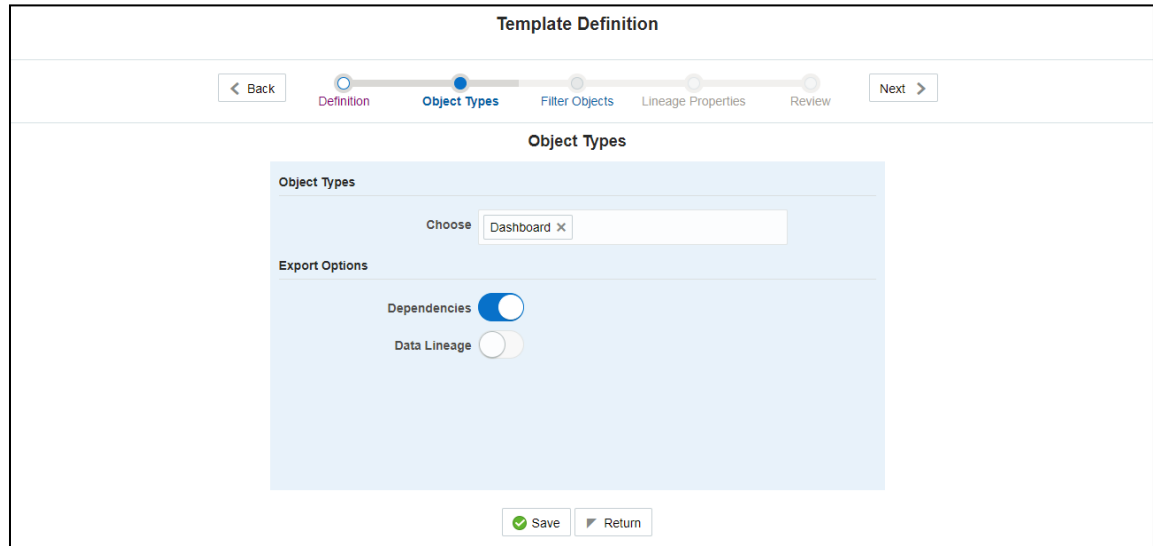
11. The exported sample report for Relational is as follows:

12. The first sheet shows the different Paths and their Dependencies up to 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 the OFSAA MDB object publish.

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

— Object type name

— Object type description

— One of 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, Report is the next Object type in Path1 and the dependencies generated are Report Name, Report Description, Views Name, Views Description,

View Display Format and so on. Then followed by Hierarchy Objects name, description, and properties up to the Entities level.

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

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

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

NOTE	Data Lineage can be selected only if you have opted for the Dependencies feature. The minimum memory settings to run lineage reports must be export JAVA_OPTS="-Xms1024m - Xmx8192m".
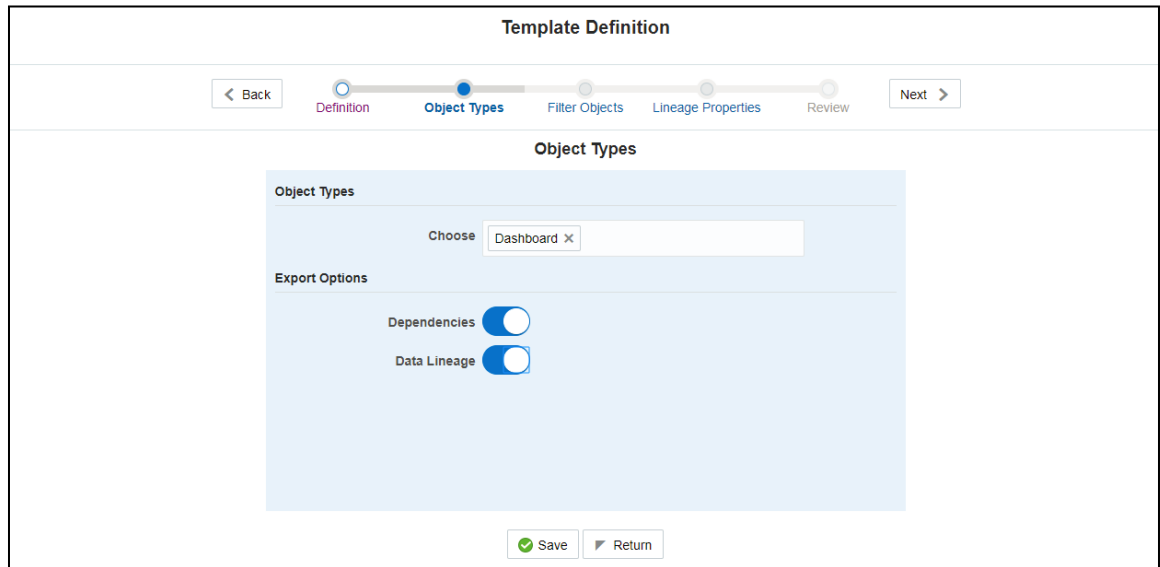
18. Data Lineage is generated as a separate sheet in the generated Relational report along with the Dependencies. Select the Lineage sheet to view the Data Lineage (up to Staging column level).

19. Select Filter Objects to see the selected objects.
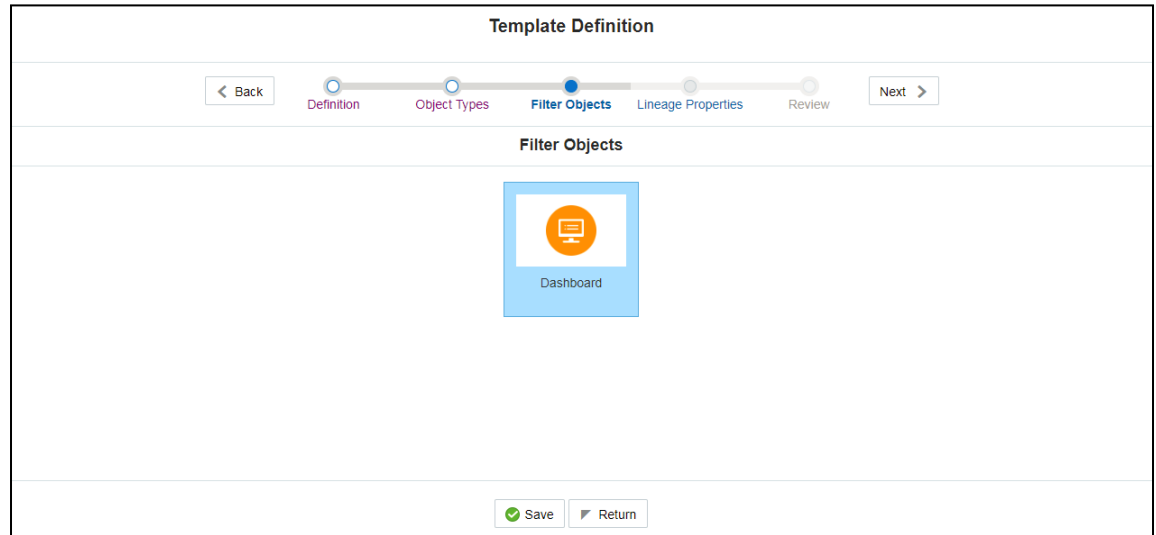
20. Select one Filter Object from the Available Objects and Click [>] to add a Selected Object.

    Select one Selected Object from the Available Objects and click [<] to remove a Filter Object.
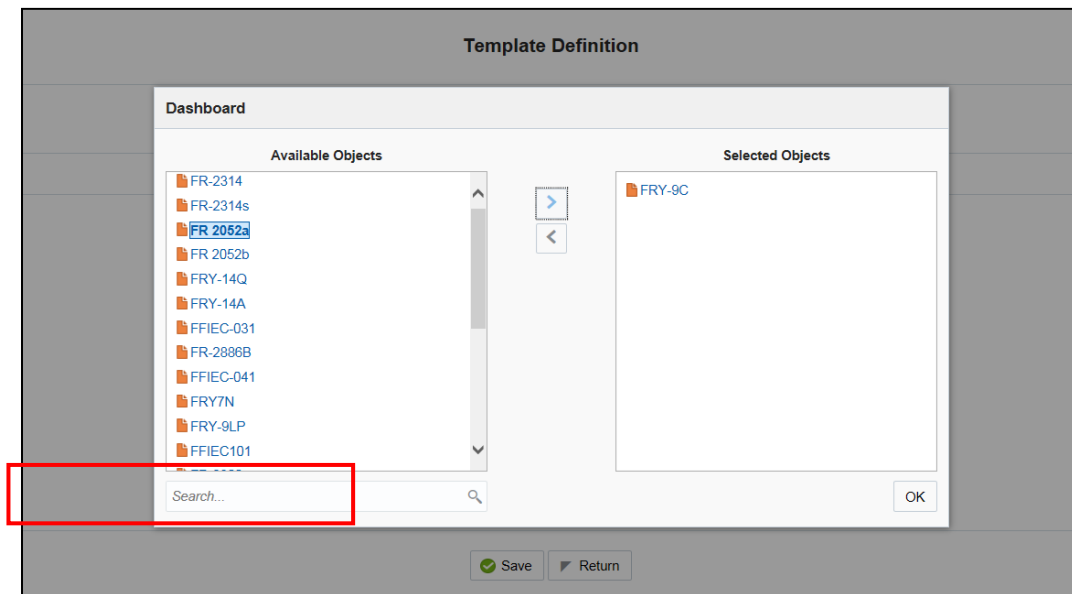
21. When the object list is huge, use the Search option as shown above. Type first three letters of the Filter Object name and the relevant Filter Objects appear.

NOTE	You can type the complete Filter Object name to select and add to the Selected Objects.
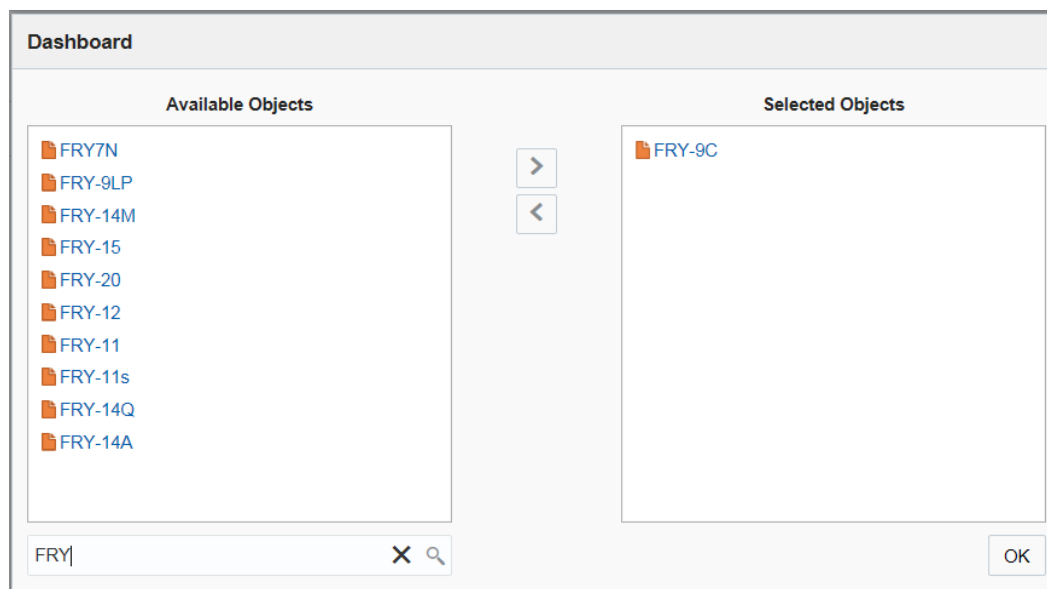
22. Select the Lineage Properties required to be generated.

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 the same Metadata Code) or derived Metadata Code like Datasets/Expressions.

| Sl. No.	Lineage Property	Property Description
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 the 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 the 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 that 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 that 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 the 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.

Sl. No.	Lineage Property	Property Description
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.

| Sl. No.	Lineage Property	Property Description
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.

Sl. No.	Lineage Property	Property Description
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 Table Type	Stores the Ultimate Source Table Type of Lineage Report generated 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 the Report Filter Operator in the 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 the Report Filter Member Code in the 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 the 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 the Target Metadata Member Code in the Results Area.
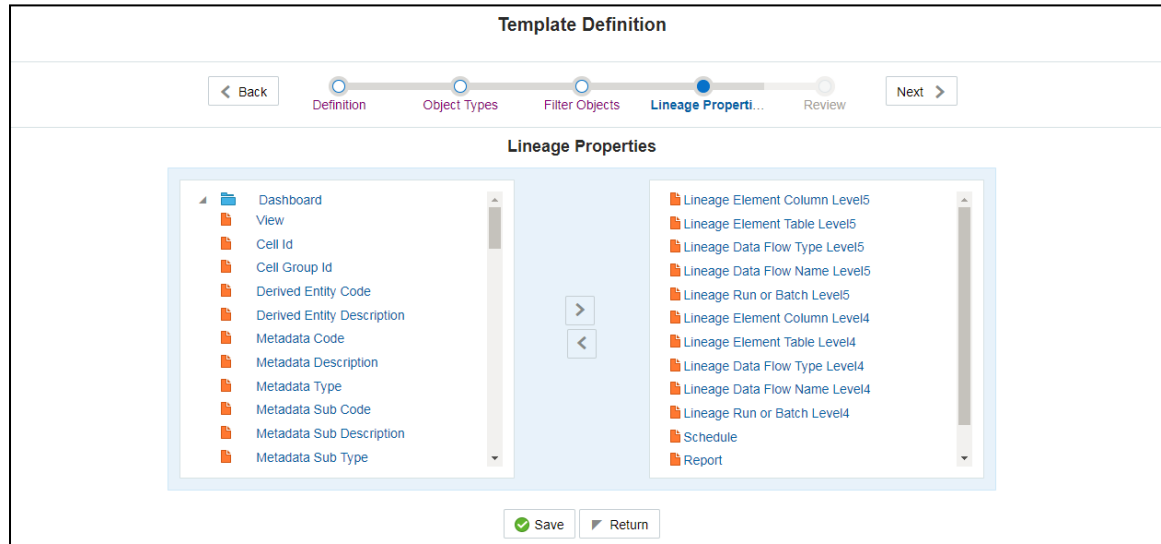
24. Review the Template Definition once and click Save.
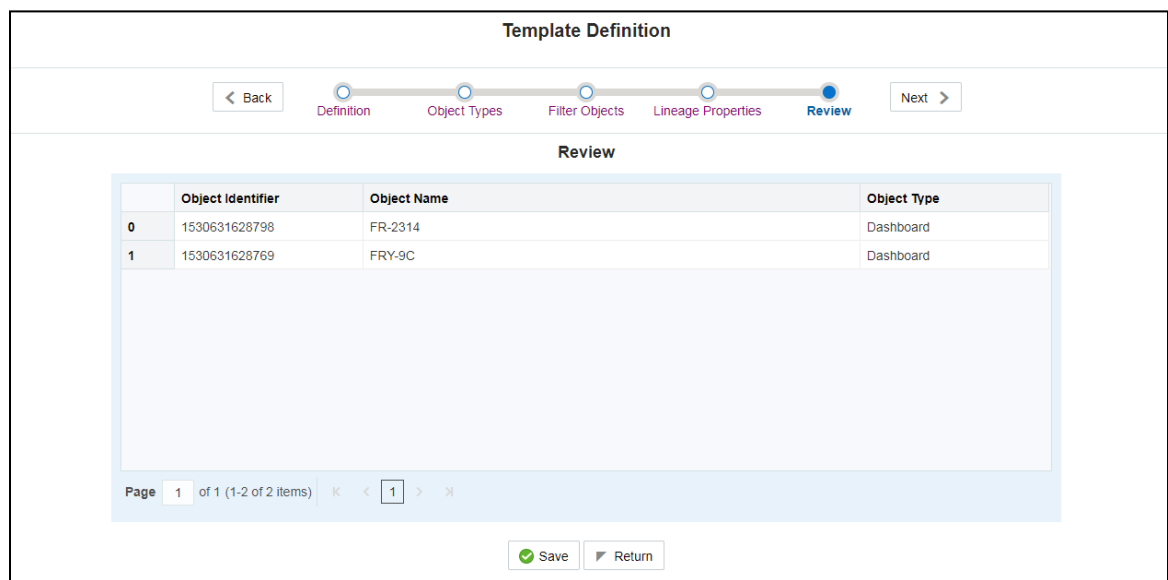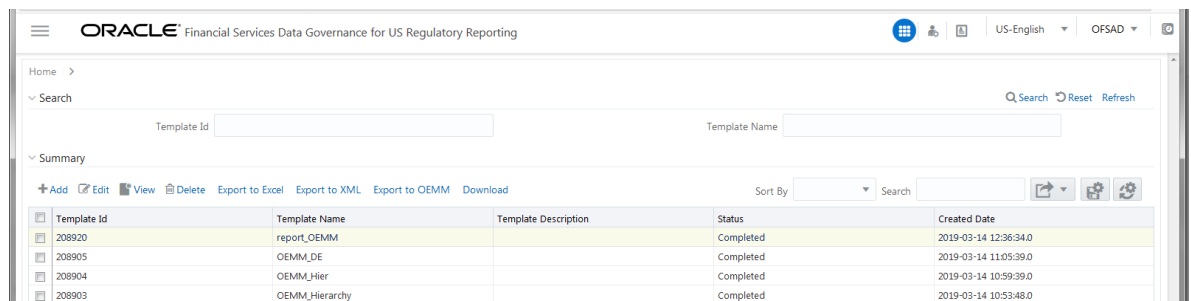
25. Click Return to go to the Summary page.
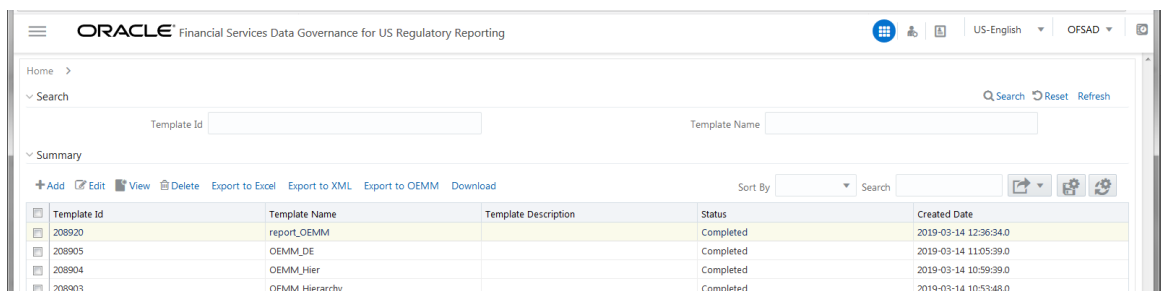
26. Select a template in the Template List in the Summary screen and click Export to Excel to export the desired objects in Excel Sheet format.

> **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 the Summary screen.
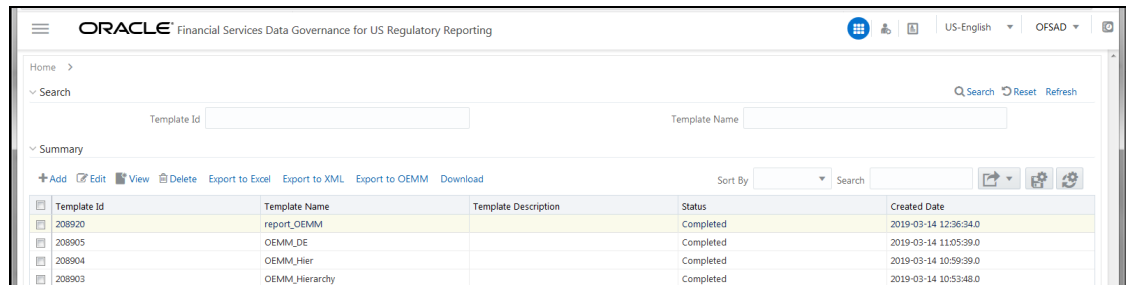
- For Excel Export, the following are the Status values:

  - 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. XML 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.

- User Access

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

   d. MDR View Group: To see Metadata Report Extract with View permissions.

   e. 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 modeling, 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 the OEMM extract format. OEMM provides an Excel 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

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 to the section of Data element POP USFED for more details.

1. Navigate to **Common Tasks → Metadata Report**.
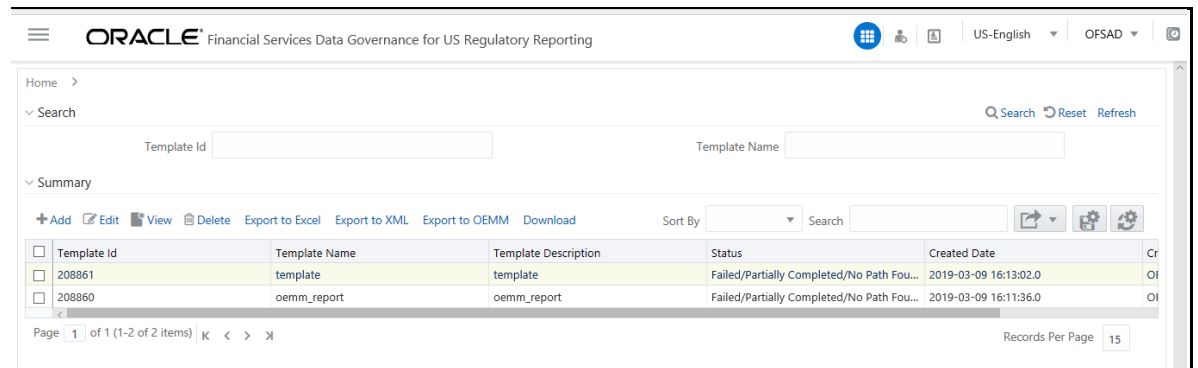
2. Click Add icon, in Summary screen, to create a new Metadata Report Template.
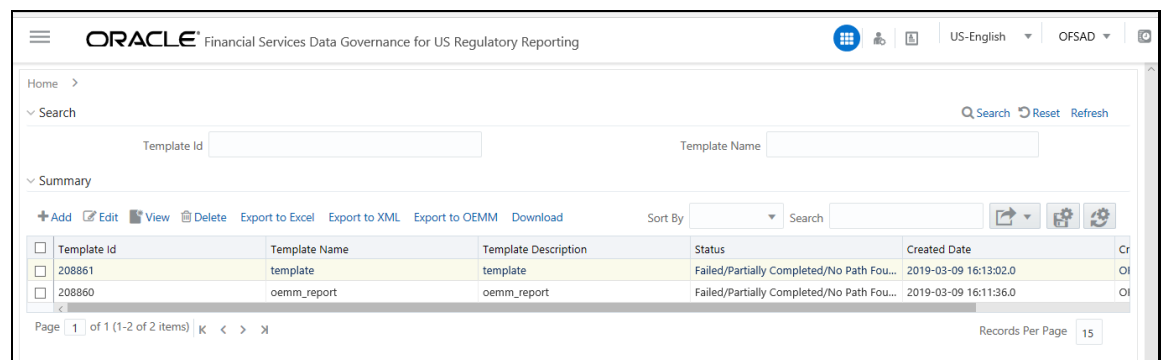
3. Provide the Name and Description for the new template in the Template Definition page and then click Next.

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. Based on the object type selected to move to the filter objects and select an entity.

6. The Lineage Properties section can be skipped

7. Review the Metadata Selection once, and then click Next.
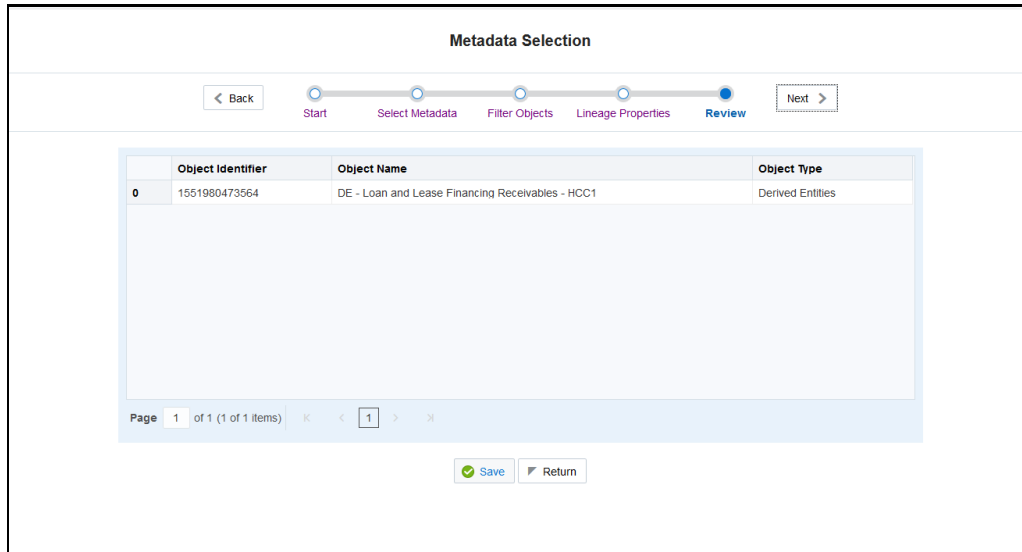
8. Click Return to go to the Summary page.
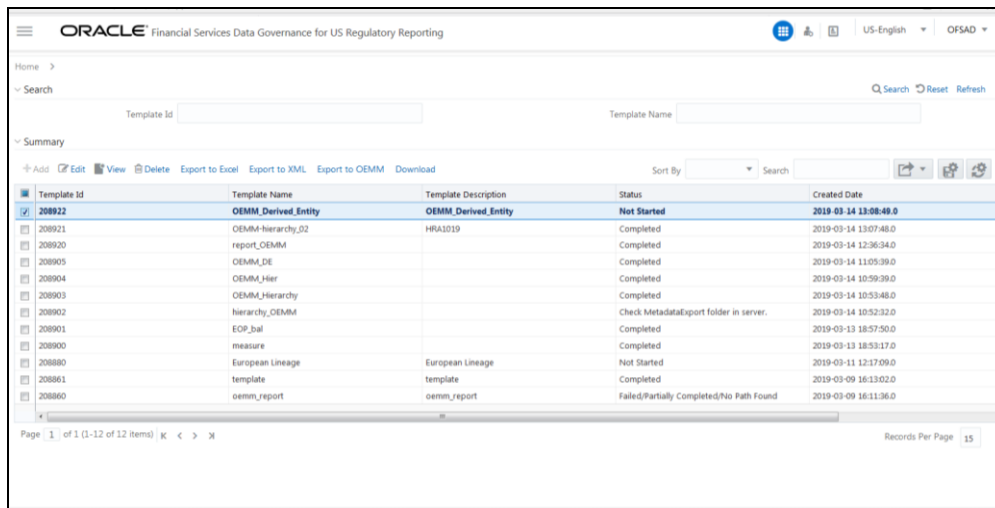
9. Select a template in the Template List in Summary screen and click Export to OEMM

10. The Report Generation function is an asynchronous action and to check the status of the export function, use the Refresh option in the Summary screen.
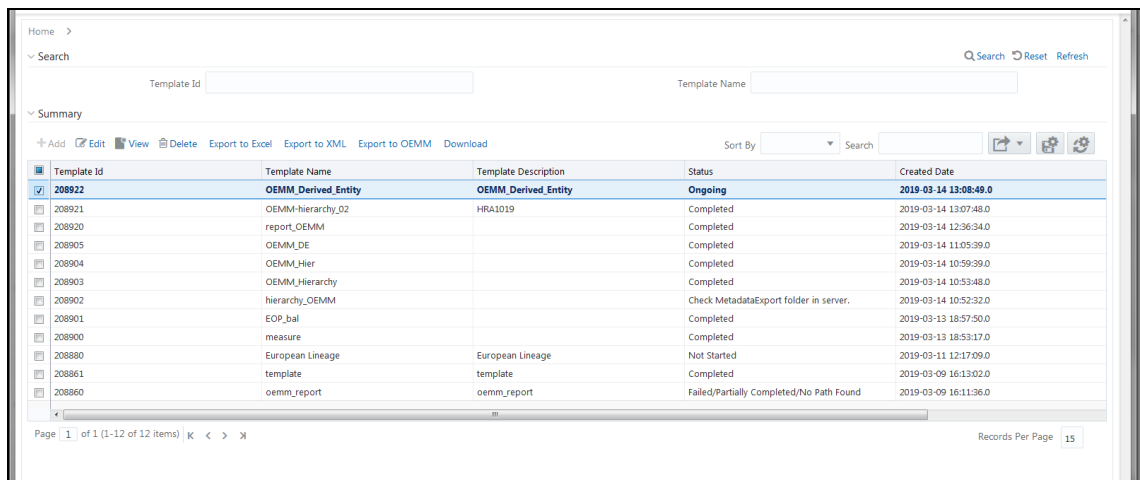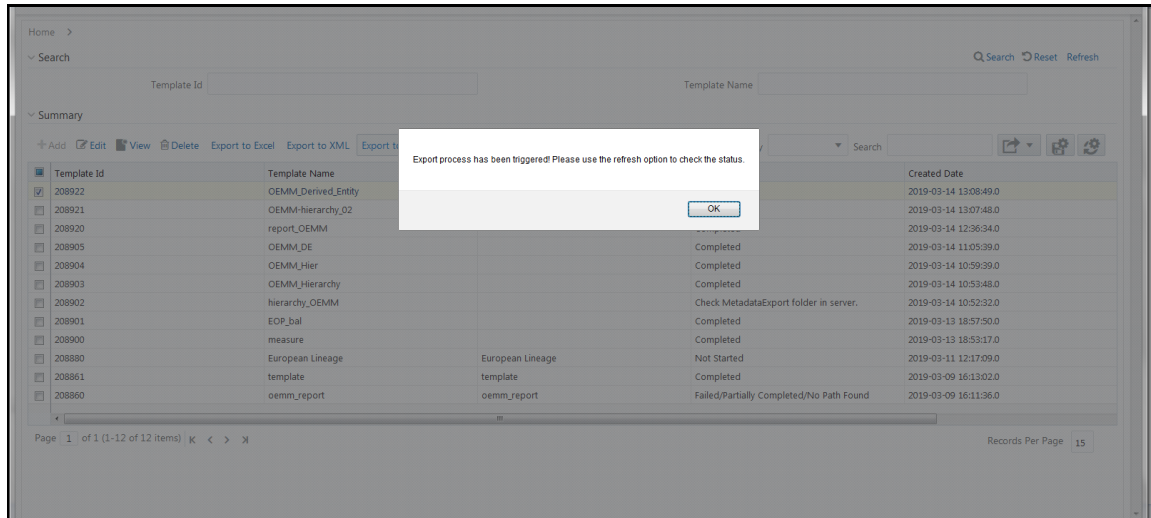
- The OEMM extract will have two outputs, one model and one mapping.

- The following is an example of the Model sheet:

- The following is an example of the Mapping sheet:

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

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 the Summary screen.

2. Click View icon to view the generated Metadata Report Templates excel report (after the export status shows as completed).

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

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 the Summary screen.

2. Click Edit icon to modify the generated Metadata Report Templates excel report (after the export status shows as completed).

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 the Summary screen.

2. Click the Delete icon to delete the Metadata Report Templates.

16 Appendix A: Setting up the Application and Workflow Function

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

This chapter lists the following steps:

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

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 of the Application.	VARCHAR	Banking Management	No
D_RECORD_START_DATE	The application is valid from the start date.	DATE	4/1/2015 11:00:00AM	Yes
D_RECORD_END_DATE	The application is valid 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.	VARCHAR	Credit Banking	Yes
V_ENTITY_DESC	Brief description of the Workflow Function.	VARCHAR	Manage the Credit Banking facility	No
V_FCT_TABLENAME	The primary FACT table of the Workflow Function	VARCHAR	FCT_CREDIT_BANK	Yes
D_RECORD_START_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

16.1.1.2   Step 2: Workflow Function

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

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

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 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 the DIM_OR_STATUS table.	NUMBER	13	Yes
N_ENTITY_KEY	Unique key that identifies the Workflow Function. This key is specified in the SETUP_COMPONENTS table.	NUMBER	200	Yes
N_SORT_ORDER	The sequence in which the status needs to be displayed.	NUMBER	1	Yes

16.1.1.5 Step 5: Create Workflow Action

To enable create workflow functionality (Create Workflow) for the new Application &workflow function, the following entries must 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 Workflow.		
FIELD NAME	DESCRIPTION	DATA TYPE	MANDATORY

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

TABLE NAME	WFM_LIST			
SCHEMA NAME	Atomic			
DESCRIPTION	This table associates the workflows created through the 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 the workflow manager.

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

OFSAA Support Contact Details

- Raise an SR in [My Oracle Support (MOS)](#) if you have any queries related OFSAA applications.

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