

Terms and Conditions Compliance Tracking User Guide

# **Oracle Banking Credit Facilities Process Management**

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Oracle Banking Credit Facilities Process Management User Guide  
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# Chapter 1 - Introduction

## Preface

### About this guide




This guide provides the user with all the information necessary to initiate Terms and Conditions Compliance process in OBCFPM.

### Intended Audience

This document is intended for the banking personnel responsible for updating and approving the Terms and Conditions compliance status of the customer.

### Conventions Used

The following table lists the conventions that are used in this document:

Convention	Description
Italic	Italic denotes a screen name
Bold	Bold indicates <ul style="list-style-type: none"><li>• Field name</li><li>• Drop down options</li><li>• Other UX labels</li></ul>
	This icon indicates a note
	This icon indicates a tip
	This icon indicates a warning

# Chapter 1 - Introduction

## Common Icons in OBCFPM

The following table describes the icons that are commonly used in OBCFPM:

Icons	Icon Name
	Add icon
	Calendar icon
	Configuration / settings icon
	Delete icon
	Edit icon

# Chapter 3 - Overview

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## Overview

The Terms and Conditions Compliance process is a simple two stage work-flow for tracking the compliance status of various Terms and Conditions set for the customer during review process. This Terms and Conditions Compliance process must be initiated by the Banks at regular intervals throughout the life-cycle of the facilities to ensure the repayment of facility on stipulated time.

The two stages available in the Terms and Conditions Compliance process are:

- Initiation
- Approval

# Chapter 3 - Initiation

## Terms and Conditions Compliance Initiation

In this stage, the user can update the status of customer's compliance with various Terms and Conditions and send the same for approval.

### Initiation Steps

1. Login to OBCFPM.
2. Navigate to **Credit Facilities > My Portfolio**. The *My Portfolio* page appears:

The screenshot displays the 'My Portfolio' interface. At the top, it shows 'Bank Futura - Canary Whar...' and the date 'Apr 13, 2019'. A search bar with 'Type to filter' and a '+ New Proposal' button are visible. The main table lists customer information:

Customer	Customer Id	Amount Sanctioned	Balance Available	Earmarked	Annual Review Date
PT201514287	PTY201514287	\$0.00	\$0.00	NA	

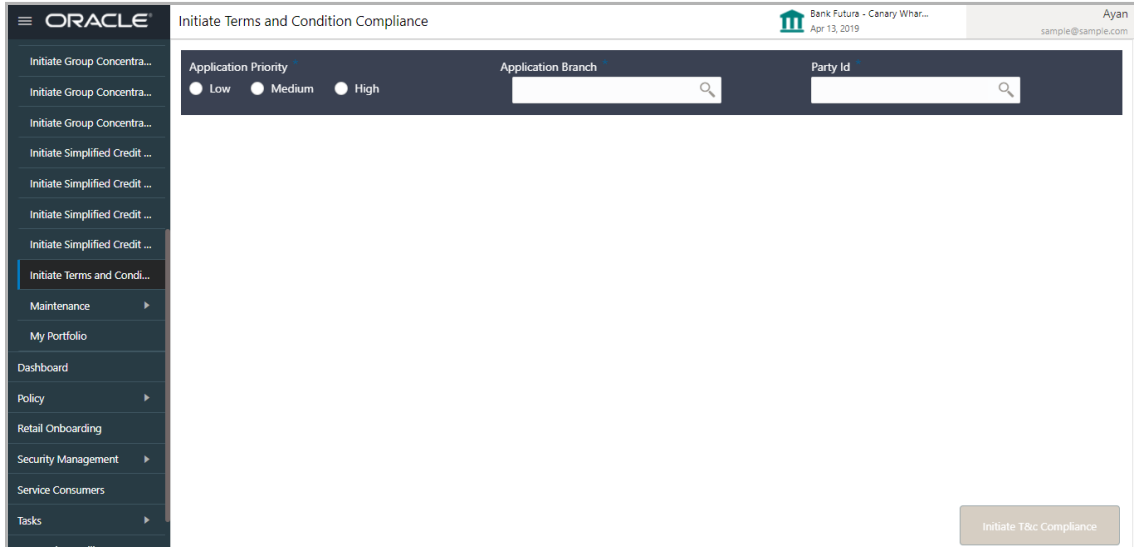
Below the table, there are summary cards for 'Funded' and 'Non Funded' amounts, both showing \$0.00 Sanctioned and \$0.00 Available. There are also sections for 'Upcoming events', 'Financial Info', 'WIP Applications' (with a list of Facility Application, Collateral Application, and Policy Exception), and 'Ratings'. At the bottom, a row of buttons includes: 'Initiate Amendment', 'Initiate PSN', 'Initiate Closure', 'Initiate T&c Compliance', 'Initiate GC Amendment', 'Initiate GC Extension', 'Initiate Facility Review', and 'Initiate SF Credit Process'.

3. Click and expand the required customer.
4. Click **Initiate T&C Compliance**. The *Initiation* page appears.

Or

5. Navigate to **Credit Facilities > Initiate Terms and Conditions Compliance**. The *Initiation* page appears.

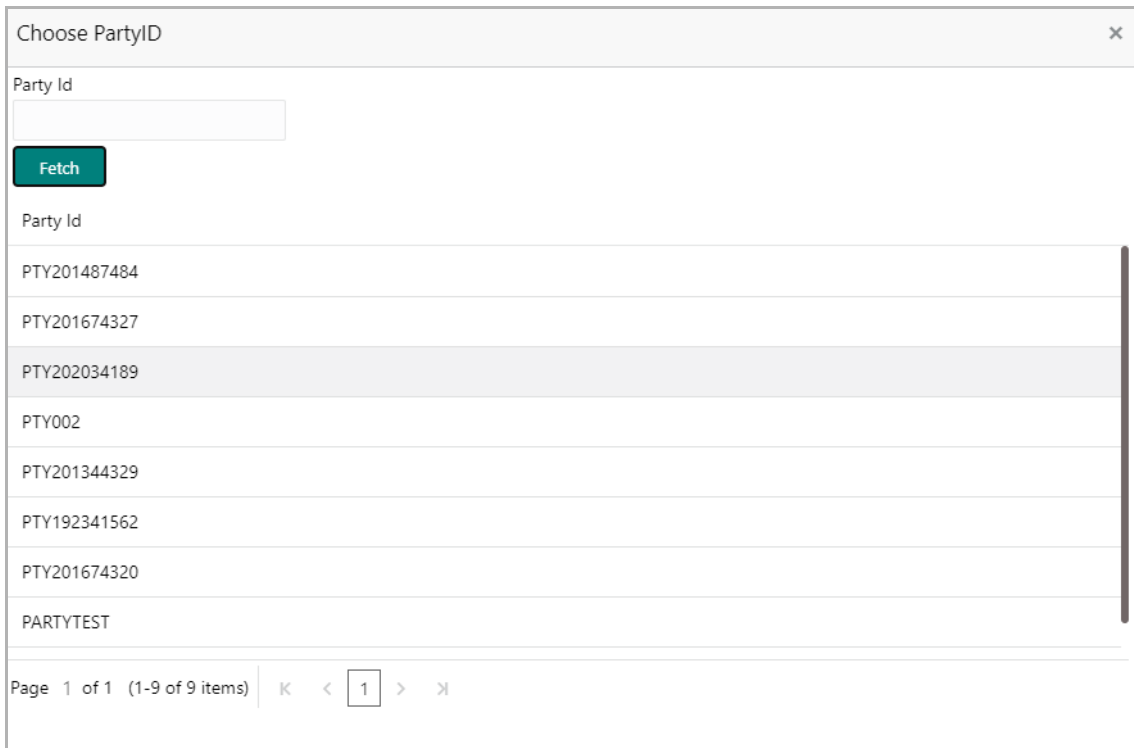
# Chapter 3 - Initiation



6. Select the **Application Priority** based on requirement. The options available are **Low, Medium, and High**.

7. Search and select the **Application Branch** and **Party Id**.

Upon clicking the search icon in **Party Id** field, the *Party Search* window appears as shown below.

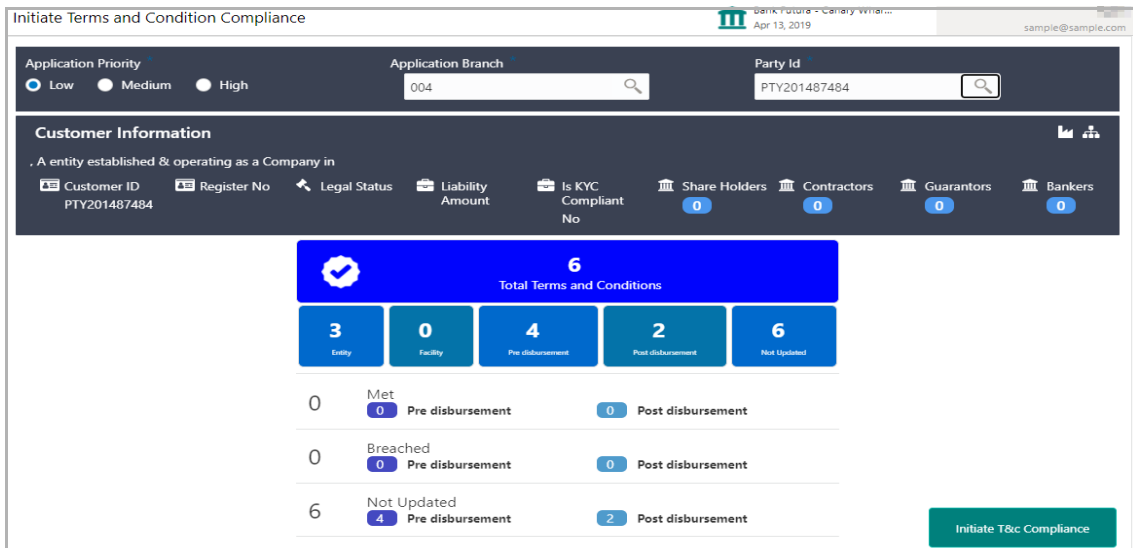


8. Click **Fetch**. The Party IDs are populated.

9. Click on the Party Id. The system updates the **Party Id** field with the selected Id and displays the Terms and Conditions widget as shown below.



# Chapter 3 - Initiation



In the above screen, the following information are displayed:

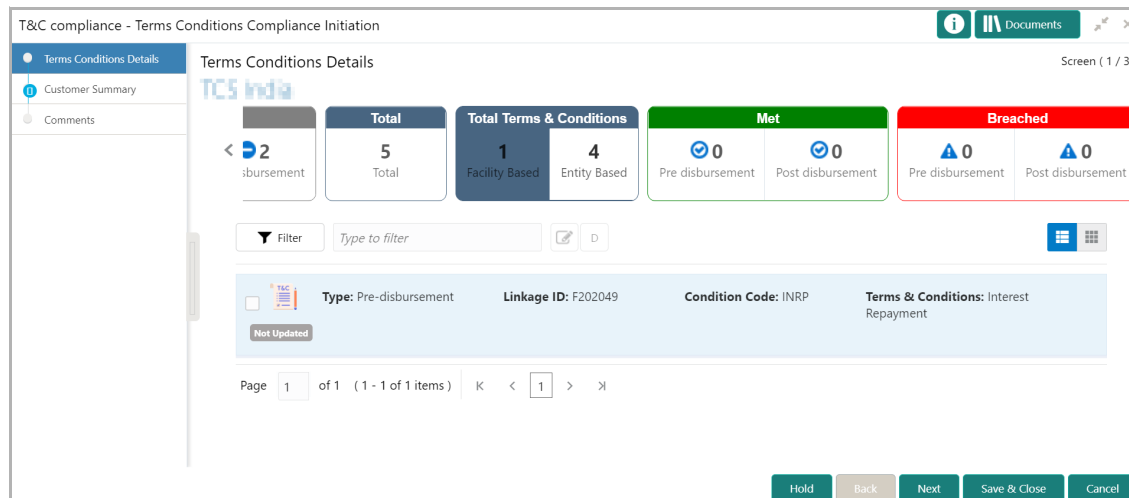
- Customer Information
- T&C Widget with the following details
  - Total numbers of terms and conditions available for the customer
  - Number of terms and conditions directly linked to the customer
  - Number of terms and conditions linked to the facilities availed by the customer
  - Number of terms and conditions which must be satisfied before disbursement
  - Number of terms and conditions which must be satisfied after disbursement
  - Number of terms and conditions for which status is not yet updated
  - Met - Number of pre and post disbursement terms and conditions that are already met
  - Breached - Number of pre and post disbursement terms and conditions that are already breached
  - Not updated - Number of pre and post disbursement terms and conditions for which status is not updated yet

10. To initiate the Terms and Conditions Compliance process, click **Initiate T&C Compliance**. The *Terms and Conditions Details* page appears.

## Terms and Conditions Details

This data segments lists all the Terms and Conditions directly or indirectly associated with the selected customer. The user can select the required Terms and Conditions and modify the status of the same.

# Chapter 3 - Initiation

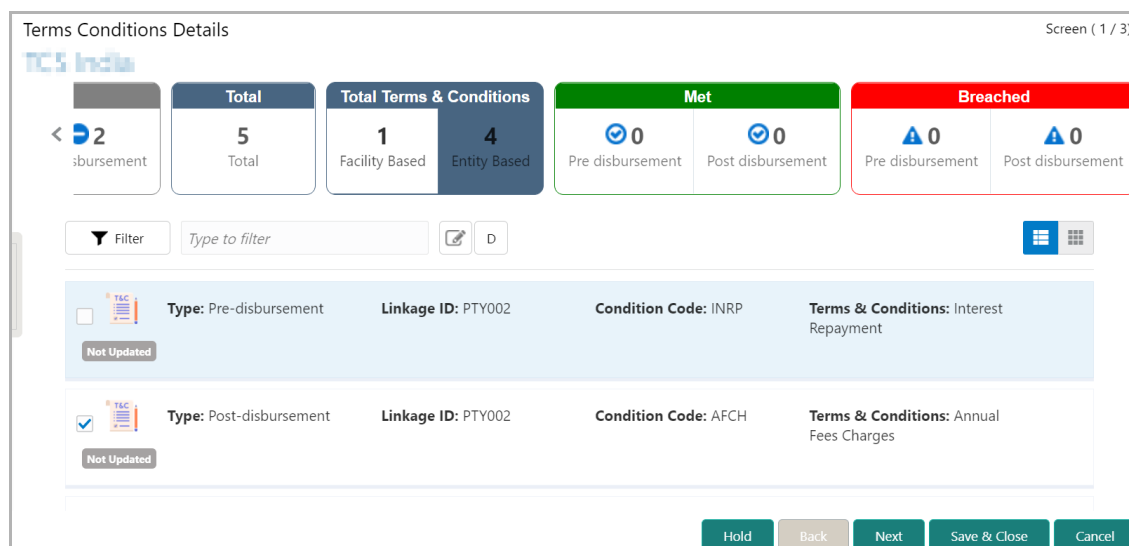


In the above screen, the following widgets are displayed:

- Not Updated
- Total
- Met
- Breached

11. Click on the count on any of the required widget. The system displays Terms and Conditions of the selected category.

12. To filter the required Terms and Conditions, click the **Filter** icon and specify the search parameters or directly type the Terms and Conditions detail in the **Type to filter** text box.



13. To update the Terms and Conditions status, select the required Terms and Conditions from the list and click the edit icon. The *Edit Terms And Conditions* window appears.

# Chapter 3 - Initiation

Edit Terms And Conditions

Customer Linkage

T&C Type \*

Pre-disbursement  Post-disbursement

Compliance Status \*

Met  Breached

Facility Id \*

Facility Id

Compliance Remarks \*

Condition Code \*

Condition Description \*

Save Cancel

14. Enable the **Customer Linkage** flag to directly link the terms and conditions to the customer.

The **T&C Type** is automatically populated by the system and it cannot be modified.

15. Select the **Compliance Status** for the Terms and Conditions. The options available are **Met** and **Breached**.

16. Select the Facility Id from the drop down list. If the Customer Linkage flag is enabled, the user cannot select the Facility Id and link it with the Terms and Conditions.

17. Type the **Compliance Remarks**. The user can capture more details about the compliance status in this field.

The **Condition Code** is the predefined code of terms and conditions maintained by the bank. The user cannot change this code.

18. Type the name of Terms and Conditions in the **Condition Description** field.

19. Provide the full details of terms and conditions in the Terms and Conditions field.

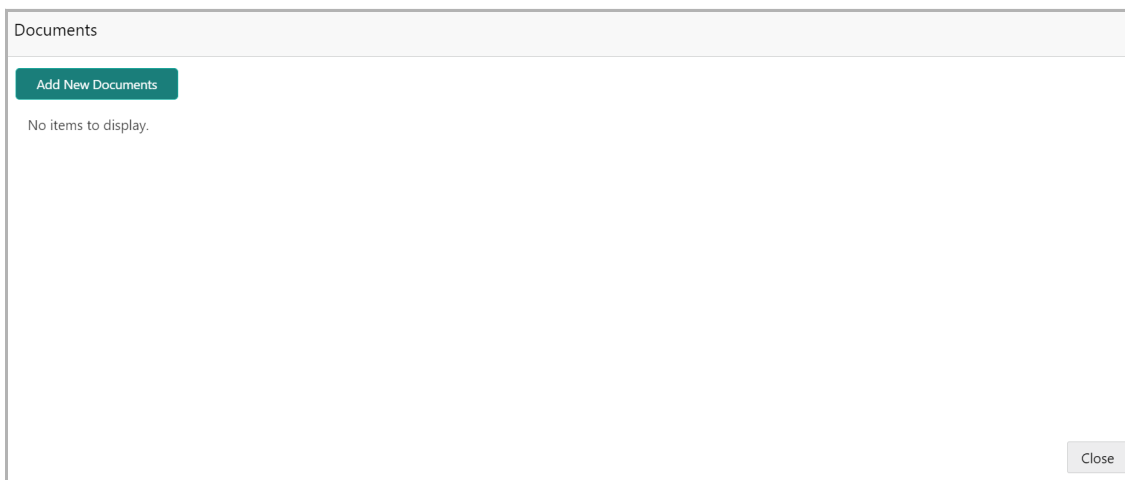
20. To save the compliance status, click **Save**.

21. To exit the Edit Terms And Conditions window without saving the information, click **Cancel**.

Upon clicking **Save**, the compliance status of the terms and conditions is updated and displayed in the *Terms and Condition Details* page.

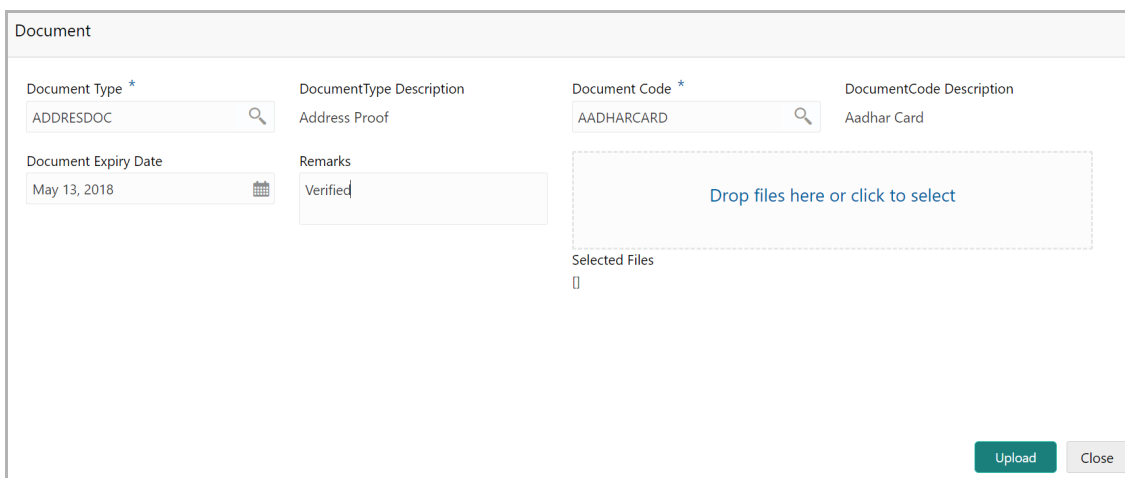
# Chapter 3 - Initiation

22. To link documents associated with the terms and conditions compliance, select the terms and conditions from the list and click the Documents (D) icon.



The screenshot shows a window titled "Documents". At the top left, there is a green button labeled "Add New Documents". Below it, the text "No items to display." is visible. In the bottom right corner, there is a grey button labeled "Close".

23. Click **Add New Documents**.



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

- Document Type \***: A dropdown menu with "ADDRESDOC" selected and a search icon.
- DocumentType Description**: A text field containing "Address Proof".
- Document Code \***: A dropdown menu with "AADHARCARD" selected and a search icon.
- DocumentCode Description**: A text field containing "Aadhar Card".
- Document Expiry Date**: A date picker showing "May 13, 2018".
- Remarks**: A text area containing "Verified".
- File Upload Area**: A dashed box with the text "Drop files here or click to select". Below it, a "Selected Files" section is empty.
- Buttons**: "Upload" (green) and "Close" (grey) buttons at the bottom right.



Refer Document Upload chapter for information on uploading documents.

24. To change the layout of *Terms and Conditions Details* page to table view, click the Table View icon.

25. After updating the status of all the terms and conditions, click **Next**. The *Customer Summary* page appears.

## Customer Summary

This data segment is the graphical representation of the customer information. The Terms & Conditions tile in this page is updated based on the actions performed in the Terms and Conditions Details data segment.

# Chapter 3 - Initiation

Terms Conditions Details
Customer Summary
Screen ( 2 / 3 )

- Terms Conditions Details
- Customer Summary
- Comments

**Customer Information**

A Domestic entity established & operating as a Proprietorship Company in INDIA

Customer ID: PTY002
Register No: Proprietorship
Legal Status: Proprietorship
Liability Amount: \$2,000.00
Is KYC Compliant: No
Share Holders: 0
Contractors: 0
Guarantors: 0
Bankers: 0

**Facility Summary**

Liability Sanctioned Amount

**\$2,000.00**

Liability Utilized Amount

**\$1,000.00**

Liability OverUtilized Amount

**\$0.00**

**Collateral summary**

**\$0.00**

Total collateral value

**0%**

Customer LTV

No data to display

★ Ratings

No items to display.

**Covenants**

0 Total Covenants

0 Entity Wise

0 Facility Wise

0 Financial

0 Non Financial

0 Newly Added

0 Financial
0 Non Financial

0 Met

0 Financial
0 Non Financial

0 Breached

0 Financial
0 Non Financial

**Terms & conditions**

5 Total Terms and Conditions

4 Entity

1 Facility

3 Pre disbursement

2 Post disbursement

0 Newly added

0 Pre disbursement
0 Post disbursement

0 Met

0 Pre disbursement
0 Post disbursement

0 Breached

0 Pre disbursement
0 Post disbursement

**Financial Profile** View all

Show results for: Previous 3 years

Category	2017-2018	Variance %	2018-2019	Variance %	2019-2020
No data to display.					

**Projections** View all

Show results for: Next 3 years

Category	2020-2021	Variance %	2021-2022	Variance %	2022-2023
No data to display.					

**Upcoming events** View all

< September 2020 > 14-September-2020

WK	S	M	T	W	T	F	S
35			1	2	3	4	5
36	6	7	8	9	10	11	12
37	13	14	15	16	17	18	19
38	20	21	22	23	24	25	26
39	27	28	29	30			

No items to display.

Hold
Back
Next
Save & Close
Cancel

# Chapter 3 - Initiation



For information on the actions that can be performed in this *Customer Summary* page, refer Credit 360 User Manual.

26. View the customer summary and click **Next**. The *Comments* page appears.

## Comments

This data segment allows to capture overall comments for the Terms and Conditions Compliance initiation stage. Posting comments allows the senior officers to identify the actions performed in this stage.

Comments Screen ( 3 / 3)

Enter text here...

Post

14 Sep '20 Terms Conditions Compliance Approval  
Approved Terms and Conditions Compliance

Hold Back Next Save & Close Submit Cancel

27. **Post** comments about the customer's overall terms and conditions compliance. Comments are displayed below the Comments text box.

28. To hold the Compliance Initiation task, click **Hold**.

29. To go back to the previous page, click **Back**.

30. To save and exit the window, click **Save & Close**.

31. To submit the Compliance Initiation task, click **Submit**.

32. To cancel the operation, click **Cancel**.

Upon clicking **Submit**, the *Policy Exception* window appears.

# Chapter 3 - Initiation

The screenshot displays a dashboard for policy exceptions and a checklist. At the top, there are two tabs: 'Policy exceptions' (active) and 'Checklist'. Below the tabs is a summary bar with three sections: 'Total' (00), 'Met' (00), and 'Breached' (00). The main content area is divided into eight category cards, each with a title, a total count, a status indicator (Met or Breached), and a breakdown of counts for various stages: INITIATED, NOT INITIATED, APPROVED, REJECTED, and DEFERRED.

Category	Total	Met	Breached	Initiated	Not Initiated	Approved	Rejected	Deferred
Minimum eligibility criteria	00	00	00	00	00	00	00	00
Products	00	00	00	00	00	00	00	00
Pricing	00	00	00	00	00	00	00	00
Unsecured lending	00	00	00	00	00	00	00	00
Document	00	00	00	00	00	00	00	00
Collateral	00	00	00	00	00	00	00	00
Covenants	00	00	00	00	00	00	00	00
Terms & Conditions	00	00	00	00	00	00	00	00

By default, policy exceptions are displayed for both the party and child parties. To view the policy exceptions for particular party / child party, select the required party / child party from the drop down list at top left corner.

33. View the policy exceptions and make necessary actions, if required.
34. Click the **Checklist** data segment.

# Chapter 3 - Initiation

The screenshot shows a web interface for a compliance task. At the top, a progress bar indicates two steps: 'Policy exceptions' (step 1) and 'Checklist' (step 2). The 'Checklist' step is currently active. Below the progress bar, there is a text box containing the message 'No items to display.' At the bottom right of the form, there is a dropdown menu labeled '\* Outcome' with 'Proceed' selected, and a green 'Submit' button.

35. Select the **Outcome** as 'Proceed' and click **Submit**. The Terms and Conditions Compliance initiation task will be submitted for approval.



# Chapter 3 - Approval

## Terms and Conditions Compliance Approval

In this stage, the Approver can view the Terms and Conditions Compliance status modified in the Initiation stage and approve / reject the same.

### Approval Steps

1. In OBCFPM, navigate to **Tasks > Free Tasks** from the left navigation menu. The *Free Tasks* page appears.

Action	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date	Branch	
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	Low	T&C compliance	APP202507546	APP202507546	Approval	20-09-06	004	P
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	Medium	Short Form Credit Proce...	APP202487518	APP202487518	Approval	20-09-04	004	P
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	Low	Credit Origination	APP202487517	APP202487517	Proposal Initiation	20-09-04	004	J
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	High	Credit Origination	APP202487515	APP202487515	Proposal Initiation	20-09-04	004	J
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	Low	Group Concentration Li...	APP202477502	APP202477502	Manual Retry	20-09-03	004	T
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	Low	Group Concentration Li...	APP202477501	APP202477501	Group Concentration Initiation	20-09-03	004	D
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	Low	Group Concentration A...	APP202477498	APP202477498	Group Concentration Amend...	20-09-03	004	
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	Low	Group Concentration Li...	APP202477497	APP202477497	Manual Retry	20-09-03	004	G
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>	Low	Group Concentration Li...	APP202477489	APP202477489	Group Concentration Docum...	20-09-03	004	C
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>		Collateral Perfection	APP202457469	APP202457469	Initiation		004	
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>		Collateral Review	APP202457468	APP202457468	DataEnrichment		004	
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>		Collateral Perfection	APP202457467	APP202457467	Initiation		000	
<input type="checkbox"/> <a href="#">Acquire &amp; Edit</a>		Collateral Review	APP202457466	APP202457466	DataEnrichment		004	

2. **Acquire & Edit** the required 'Approval' task. The *Customer Summary* page appears.

### Customer Summary

This data segment is the graphical representation of the customer information. The Terms & Conditions tile in this page is updated based on the actions performed in the Initiation stage.

# Chapter 3 - Approval

TC Compliance - Terms Conditions Compliance Approval
Documents

- Customer Summary
- Terms Conditions Details
- Comments

Customer Summary

**TCS India**

Screen ( 1 / 3)

**Customer Information**

A Domestic entity established & operating as a Proprietorship Company in INDIA

Customer ID	Register No	Legal Status	Liability Amount	Is KYC Compliant	Share Holders	Contractors	Guarantors	Bankers
PTY002		Proprietorship	\$2,000.00	No	0	0	0	0

**Facility Summary**

Liability Sanctioned Amount	Liability Utilized Amount	Liability OverUtilized Amount
\$2,000.00	\$1,000.00	\$0.00

\$2,000.00

ffn TESTL

**Collateral summary**

\$0.00

Total collateral value

0%

Customer LTV

No data to display

**Ratings**

No items to display.

**Covenants**

0

Total Covenants

0	0	0	0
Entry Wise	Facility Wise	Financial	Non Financial

0 Newly Added

0	0
Financial	Non Financial

0 Met

0	0
Financial	Non Financial

0 Breached

0	0
Financial	Non Financial

**Terms & conditions**

5

Total Terms and Conditions

4	1	3	2
Entry	Facility	Pre-disbursement	Post-disbursement

0 Newly added

0	0
Pre-disbursement	Post-disbursement

0 Met

0	0
Pre-disbursement	Post-disbursement

0 Breached

0	0
Pre-disbursement	Post-disbursement

**Financial Profile** View all

Show results for Previous 3 years

Category	2017-2018	Variance %	2018-2019	Variance %	2019-2020
No data to display.					

**Projections** View all

Show results for Next 3 years

Category	2020-2021	Variance %	2021-2022	Variance %	2022-2023
No data to display.					

**Upcoming events** View all

< September 2020 > 14-September-2020

WK	S	M	T	W	T	F	S
35			1	2	3	4	5
36	6	7	8	9	10	11	12
37	13	14	15	16	17	18	19
38	20	21	22	23	24	25	26
39	27	28	29	30			

No items to display.

Hold Back Next Save & Close Cancel

# Chapter 3 - Approval



For information on the actions that can be performed in this *Customer Summary* page, refer Credit 360 User Manual.

3. View the **Customer Summary** and click **Next**. The *Terms and Conditions Details* page appears.

## Terms and Conditions Details

This data segments lists all the Terms and Conditions directly or indirectly associated with the selected customer. The user can select the required Terms and Conditions for which approval is pending and take necessary action.

Terms Conditions Details Screen ( 2 / 3 )

**TCS India**

<b>Pending Approval</b> 0 Pending Approval	<b>Not Updated</b> -3 Pre disbursement	<b>Not Updated</b> -2 Post disbursement	<b>Total</b> 5 Total	<b>Total Terms &amp; Conditions</b> 1 Facility Based	<b>Total Terms &amp; Conditions</b> 4 Entity Based	<b>Met</b> 0 Pre disbursement	<b>Met</b> 1 Post disbursement
--	--	---	----------------------------	--	--	-------------------------------------	--------------------------------------

Filter

<input checked="" type="checkbox"/>	<b>Type:</b> Pre-disbursement	<b>Linkage ID:</b> PTY002	<b>Condition Code:</b> INRP	<b>Terms &amp; Conditions:</b> Interest Repayment
<input type="checkbox"/>	<b>Type:</b> Post-disbursement	<b>Linkage ID:</b> PTY002	<b>Condition Code:</b> AFCH	<b>Terms &amp; Conditions:</b> Annual Fees Charges

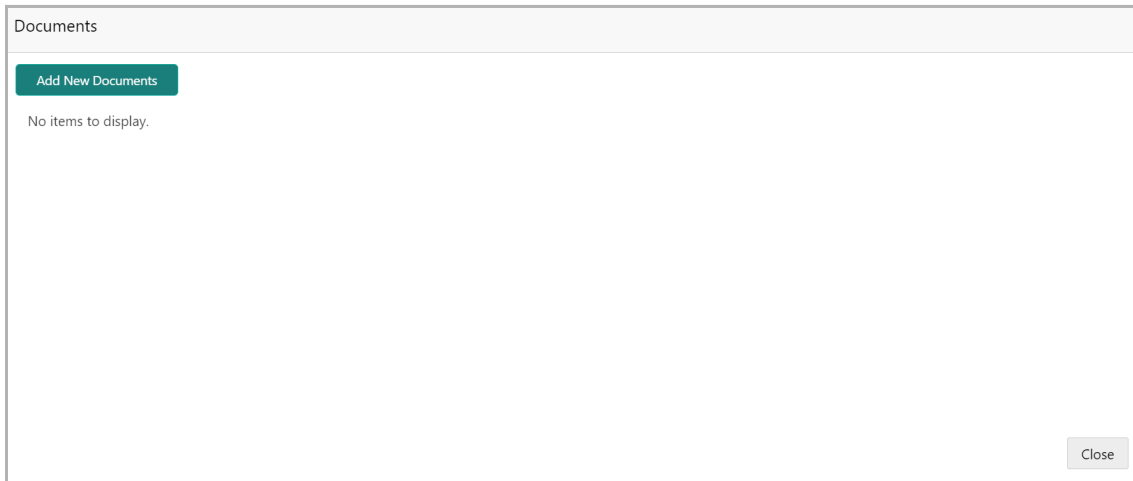
In the above screen, the following widgets are displayed:

- Pending Approval
- Not Updated
- Total
- Met
- Breached

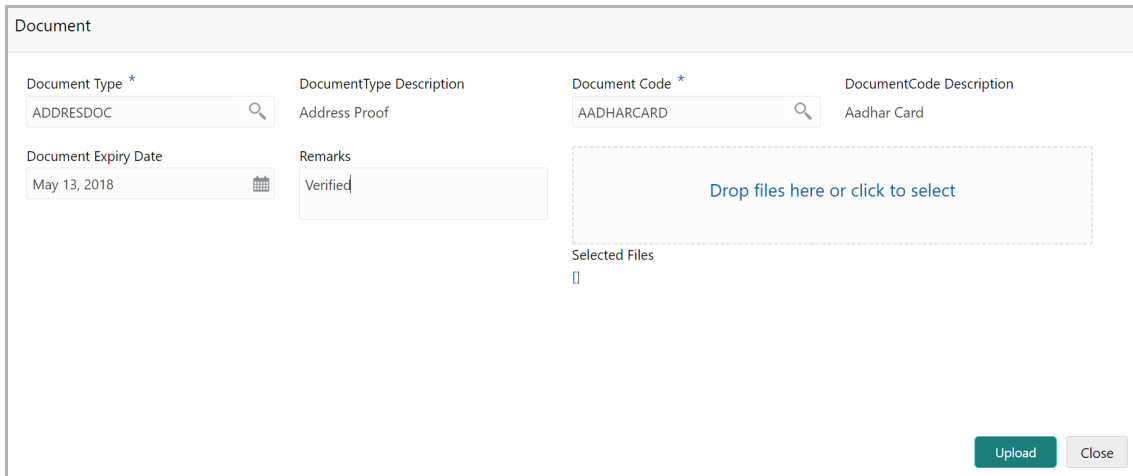
4. Click on the count on any of the required widget. The system displays Terms and Conditions of the selected category.
5. To filter the required Terms and Conditions, click the **Filter** icon and specify the search parameters or directly type the Terms and Conditions detail in the **Type to filter** text box.
6. To approve the Terms and Conditions compliance status, select the Terms and Conditions from the list and click the Approve icon (tick mark).
7. To reject the Terms and Conditions status, select the Terms and Conditions from the list and click the Reject icon next to the Approve icon.

# Chapter 3 - Approval

8. To link documents associated with the terms and conditions compliance, select the terms and conditions from the list and click the Documents (D) icon.



9. Click **Add New Documents**.



Refer **Document Upload** chapter for information on uploading documents.

10. To change the layout of *Terms and Conditions Details* page to table view, click the Table View icon.

11. After approving or rejecting all the terms and conditions compliance status, click **Next**. The *Comments* page appears.

## Comments

This data segment allows to capture overall comments for the Terms and Conditions Compliance approval stage. The user can specify the reason for rejection, if the compliance status is not approved.

# Chapter 3 - Approval

Comments Screen ( 3 / 3 )

Enter text here...

Post

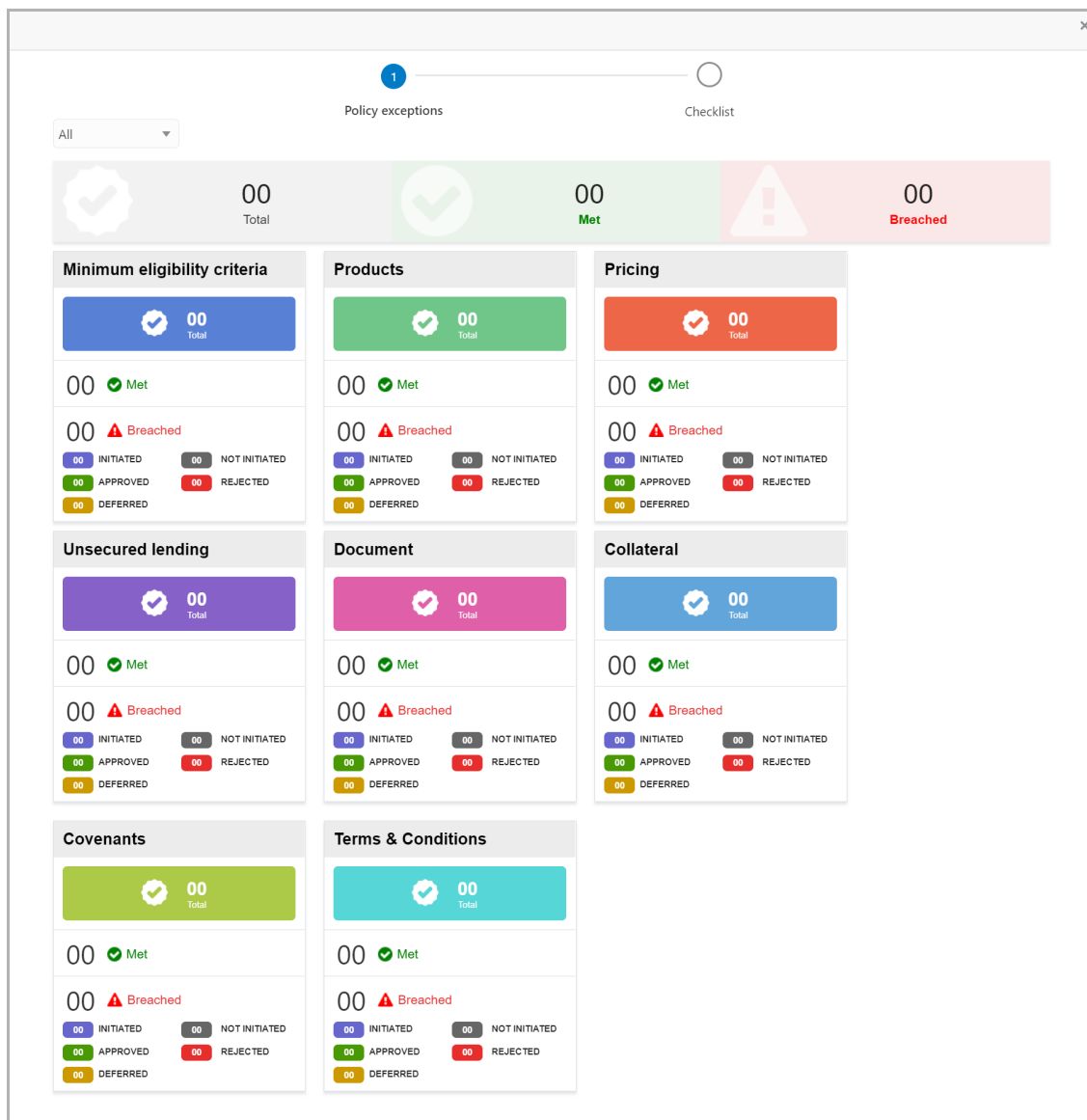
14 Sep '20 Terms Conditions Compliance Approval  
Approved Terms and Conditions Compliance

Hold Back Next Save & Close Submit Cancel

12. Type the necessary comments for the Approval stage in the text box.
13. Click **Post**. Comments are added below the text box.
14. To hold the Approval task, click **Hold**.
15. To go back to the previous page, click **Back**.
16. To save and exit the window, click **Save & Close**.
17. To submit the Approval task, click **Submit**.
18. To cancel the operation, click **Cancel**.

Upon clicking **Submit**, the *Policy Exception* window appears.

# Chapter 3 - Approval



By default, policy exceptions are displayed for both the party and child parties. To view the policy exceptions for particular party / child party, select the required party / child party from the drop down list at top left corner.

19. View the policy exceptions and make necessary actions, if required.
20. Click the **Checklist** data segment.

# Chapter 3 - Approval

The screenshot shows a web interface for a compliance tracking process. At the top, there is a progress bar with two steps: 'Policy exceptions' (indicated by a white circle) and 'Checklist' (indicated by a blue circle with the number '2'). Below the progress bar, there is a text box containing the message 'No items to display.' At the bottom right of the interface, there is a dropdown menu labeled '\* Outcome' with 'Proceed' selected, and a green 'Submit' button.

21. Select the required **Outcome**. The options available are **Approve** and **Reject**.
22. Click **Submit**.

If the **Outcome** is selected as 'Approve', the process is completed on clicking **Submit**.

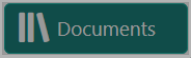
If the **Outcome** is selected as 'Reject', the task is sent back to the Initiation stage on clicking **Submit**. The user must modify the compliance status and submit it to the Approval stage again.

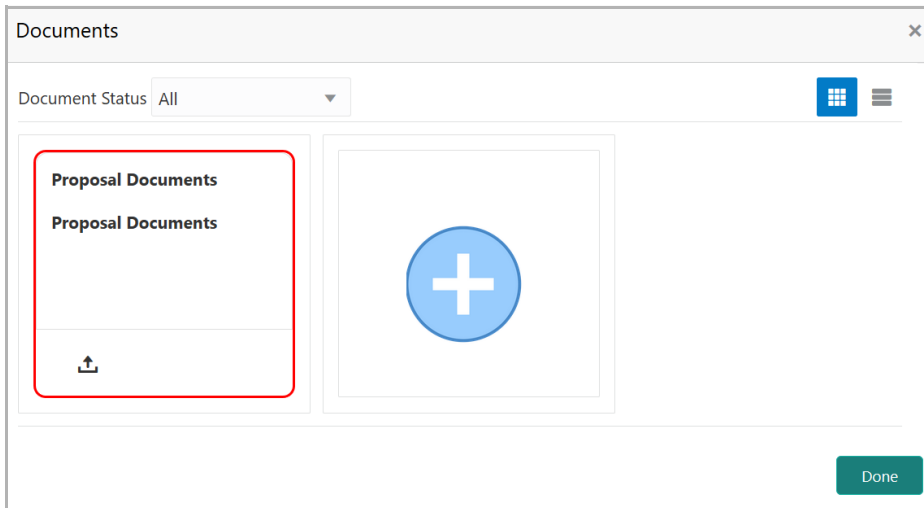
# Chapter 3 - Document Upload

## Document Upload and Checklist

In OBCFPM, supporting documents such as insurance certificate, valuation report, and machine fitness certificate can be uploaded in any stage of Terms and Conditions Compliance Tracking process. Supporting documents act as a proof for customer's compliance with respect to the terms and conditions set by bank. Added documents can be removed whenever the document expires.

### Steps to upload documents

1. Click  at the top right corner of any page. The *Documents* window appears.



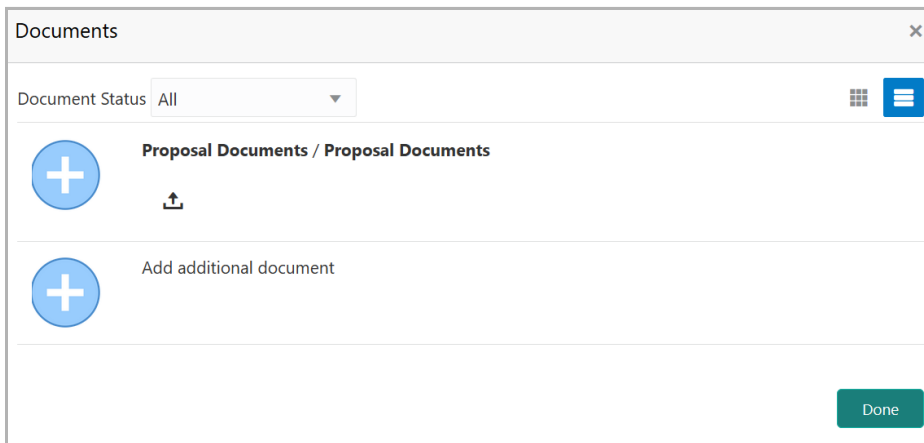
If the document list is configured in Business Process Maintenance, the same appears in the above window. You can also click the add icon to upload other documents.

In case the mandatory document is not uploaded, the system prompts an alert. You need to upload the necessary documents and proceed further.

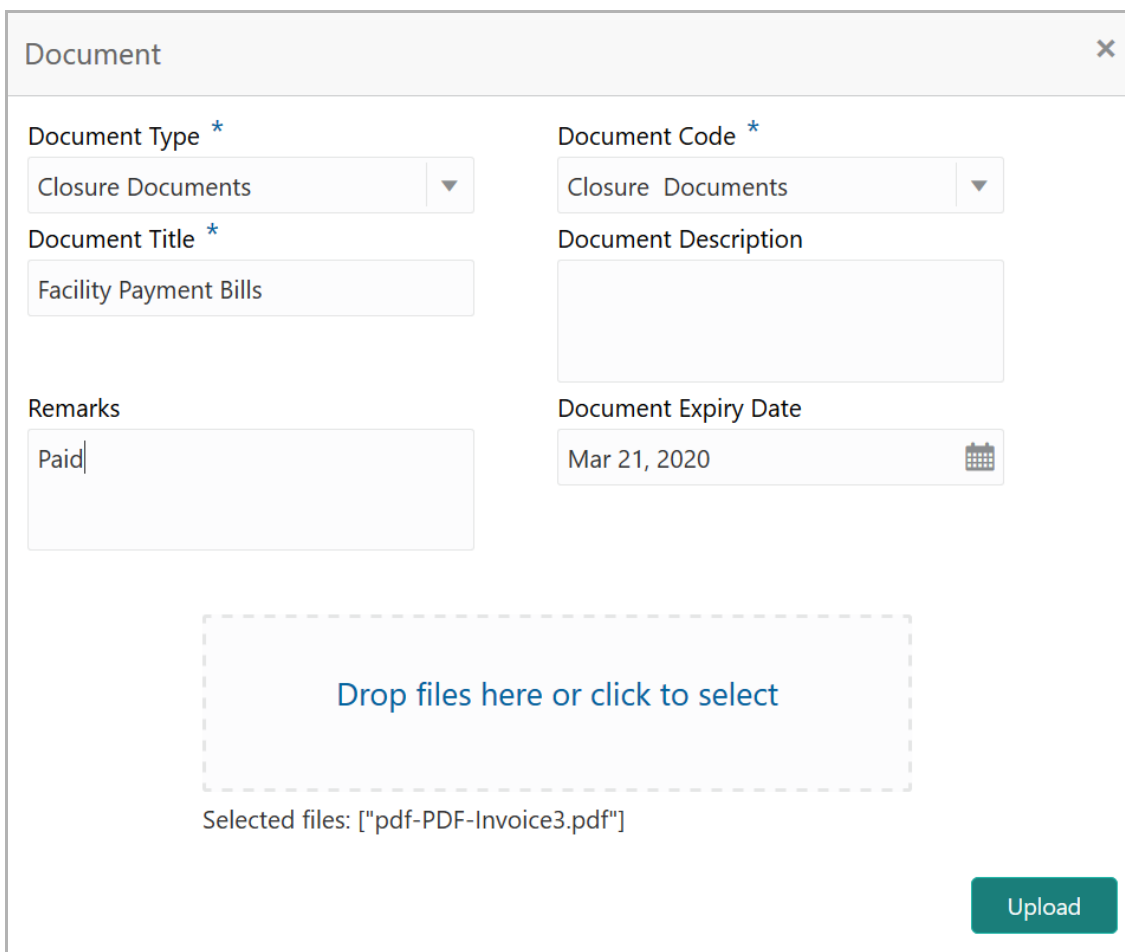
2. To change the table view to the list view, click the list icon at the top right corner. The *Documents* window appears as shown below.



# Chapter 3 - Document Upload



3. Click the add icon. The *Document Details* window appears.

A screenshot of a "Document" details form. The form contains several fields: "Document Type" and "Document Code" are dropdown menus, both set to "Closure Documents". "Document Title" is a text field containing "Facility Payment Bills". "Document Description" is a large empty text area. "Remarks" is a text field containing "Paid". "Document Expiry Date" is a date picker set to "Mar 21, 2020". At the bottom, there is a dashed box with the text "Drop files here or click to select" and "Selected files: [\"pdf-PDF-Invoice3.pdf\"]". An "Upload" button is at the bottom right.

4. Select the **Document Type** and **Document Code** from the drop down list. The options available are: Amendment Documents, Proposal Documents and Closure Documents.
5. Type the **Document Title**.
6. Type a brief description about the document in the **Document Description** field.

# Chapter 3 - Document Upload

7. Type the **Remarks**, if any.
8. Click the calendar icon and select the **Document Expiry Date**.
9. In **Drop files here or click to select** area, drag and drop the documents or click and select the documents. Selected files are displayed at the bottom.



To upload multiple supporting documents at the same time, drag and drop or click and select all the documents.

10. Click **Upload**. The *Checklist* window appears.

Checklist

Proposal Enrichment

<input checked="" type="checkbox"/> Company Registration document Uploaded	Remarks
<input type="checkbox"/> Incorporation document Uploaded	Remarks
<input type="checkbox"/> Collateral document Uploaded	Remarks

\* Outcome: Proceed ▼ Submit

11. Manually verify all the checklist and enable the corresponding check box.
12. Select the **Outcome** as **Proceed**.
13. Click **Submit**. Document is uploaded and listed in Document window.
14. To edit or delete the document, click the edit or delete icons.

# Chapter 3 - Reference and Feedback

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## Reference and Feedback

### References

For more information on any related features, you can refer to the following documents:

- Oracle Banking Procedure User Guide
- Oracle Banking SMS User Guide
- Oracle Banking Common Core
- Oracle Banking Credit Facilities Process Management Installation Guides

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