Oracle Financial Services Data Governance for European Central Reporting

User Guide

Release 8.1.2.0.0

July 2022

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OFS Data Governance for European Central Reporting User Guide

Document Control

Version Number	Revision Date	Change Log
1.0	July 2022	Created the document with instructions for the usage of the Oracle Financial Services Data Governance for European Central Reporting Release 8.1.2.0.0.

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.

1.2   Scope of the Guide

The Oracle Financial Services Data Governance for European Central Reporting User Guide explains the concepts of the Oracle Financial Services Data Governance for European Central Reporting (DG EBA) and provides systematic instructions for navigating through the application.

1.3   Intended Audience

Welcome to release 8.1.2.0.0.0 of the Oracle Financial Services Data Governance for European Central Reporting User Guide. This guide is intended for the Business Analysts and Supervisors in the Financial Institutions.

1.4   Related Documents

Along with this user guide, you can also refer to the following documents in OHC Documentation Library

- Oracle Financial Services Data Governance for European Central Reporting Release Notes

- Oracle Financial Services Data Governance for European Central Reporting Installation and Configuration Guide

- Oracle Financial Services Analytical Applications Infrastructure User Guide, Release 8.1.0.0.0 (OHC Documentation Library)

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

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

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

The following table describes the 14 principles of BCBS 239:

Table 1: BCBS 239 Principles Answered by Respective OFSAA Components

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.	OFS Data Foundation, OFS Analytical Applications Infrastructure, and OFS Enterprise Modeling Framework address this principle.
	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.	OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, OFS Reconciliation Framework, OFS Data Foundation, and OFS Operational Risk address this principle.

BCBS 239 Principle	Description	OFSA Application Catering to the Principle
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.	OFS Data Foundation, OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, and all OFS Applications address this principle.
Principle 5: Timeliness	Generate Aggregated Data as per the desired frequency.	OFS Analytical Applications Infrastructure, OFS Applications, and Exadata Benchmarks address this principle.
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.	All OFS Applications with OFS Data Foundation, OFS Analytical Applications Infrastructure, and OFS Enterprise Modeling Framework address this principle.
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.	All the standalone OFS BI analytics applications and dashboards of all the OFS applications address this principle.
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.	All the standalone OFS BI analytics applications and dashboards of all the OFS applications address this principle.
Principle 9: Clarity and Usefulness	Reports must contain Risk Data, Analysis, Interpretation, and Qualitative Information. Customized to suit individual requirements.	All the standalone OFS BI Analytics Applications and Dashboards of all the OFS Applications, and Oracle Business Intelligence Enterprise Edition (OBIEE) address this principle.

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 Applications, OFS Applications that compute metrics, and OFS Enterprise Modeling Framework.
Principle 11: Distribution	Make reports available to relevant stakeholders on time while maintaining confidentiality.	All the standalone OFS BI Analytics Applications and Dashboards of all the OFS Applications, and Oracle Business Intelligence Enterprise Edition (OBIEE) address this principle.
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.	OFS Data Governance addresses this principle for European Central Reporting.
Principle 13: Remedial Actions and Supervisory Measures	Use of multiple tools for: • Required remedial action • Increased scrutiny • Independent review • Capital add-ons	OFS Data Governance addresses this principle for European Central Reporting.
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 European Central Reporting

Data Governance for European Central Reporting (DGS EBA) operationalizes the data governance process. The OFSAA DGS EBA enables Financial Institutions to map multiple Data Sources to a standard, common business glossary.

Additionally, DGS EBA 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 following illustration provides a high-level workflow of the DGS EBA Application.

Figure 1: Technical Architecture
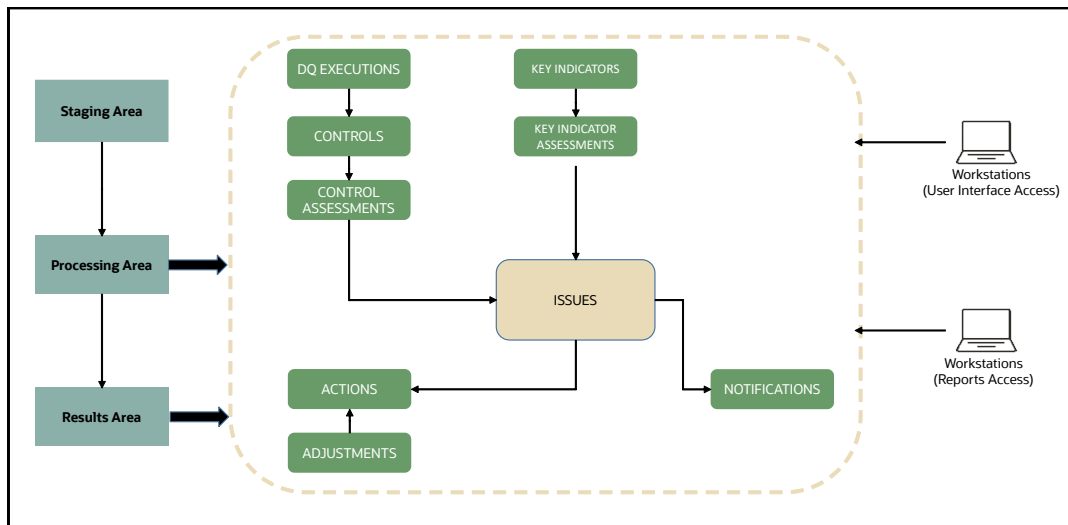
The content provided to DGS EBA helps the customer to have access to over 20,000 business terms and definitions that form a part of the Metadata Glossary.

2.4 Important Features of Data Governance for European Central Reporting

The following are the key features od Data Governance for European Central Reporting:

- 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 European Central Reporting

The components of DGS EBA 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.

- **Plan Monitoring**: It defines, maintains, and tracks the regulatory report submissions that include all the runs required for the submission.

- **Adjustment Framework**: It is a workflow process for posting last-mile adjustment at the MDRM level or data adjustment at the Stage level. Adjustment framework is invoked from Inbox Task option.

- **Metadata Report Extract**: It enables you to view the complete lineage and relationship between metadata.

4 Mapping the 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.

4.1 User Roles and Actions

All the Users must be mapped to the following User Groups and User Roles:

Table 2: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 3: User Role

Role Code	Role Name
BTDELETER	Business Terms Delete
BTEDITR	Business Terms Edit
BTVIEWR	Business Terms Viewer
BTADDR	Business Terms Add
BTAPPREJR	Business Terms Approve Reject Role

NOTE	Ensure to create a Group in User Group Maintenance to map the Roles. The Group created must be mapped to the created User.
	Ensure the domains in the User Domains Map must be mapped to the created Group.

4.2 Viewing a Business Term

To view a Business Term, follow these steps:

1. From the **Financial Services Data Governance for European Central Reporting** Window navigate to **Standards and Policies** and select **Business Terms**.

   The **Business Terms** Summary Window is displayed.

Figure 2: Business Terms
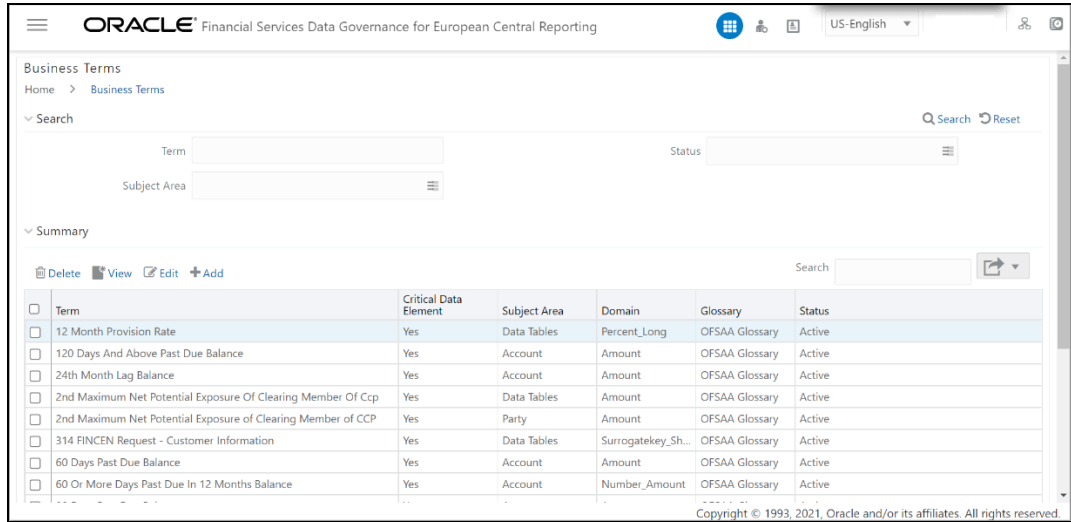
2. In the **Search** Section, enter the search details and click **Search** to view the results in the Summary Table.

3. Enter the required **Business Term**.

4. Select the **Status** from the drop-down list. The status can be Draft, Pending Approval, or Active.

> **NOTE**   Select one Status at a time and click **Search**.

5. Select the **Subject Area** from the drop-down list.

> **NOTE**   Select one Subject Area at a time and click **Search**.

6. To view a Business Term, select a Business Term from the Summary Table and click the **View** Icon.

7. In the **Business Term Details** Window, you can view the following Details:

Table 4: Business Term Details

Fields	Description
Term	Name of the Business Term.
Annotate	A reference text for additional information on Business Term.
Definition	Brief description of the Business Term.
Keywords	Values to be used as keywords that are used to search the Business Term.
Glossary	Glossary Name.
Subject Area	Subject Area Name.
Critical Data Element	Glossary term is a critical Data Element or not.
Domain	Alphanumeric, Date, or Numeric.

Figure 3: Business Term Details
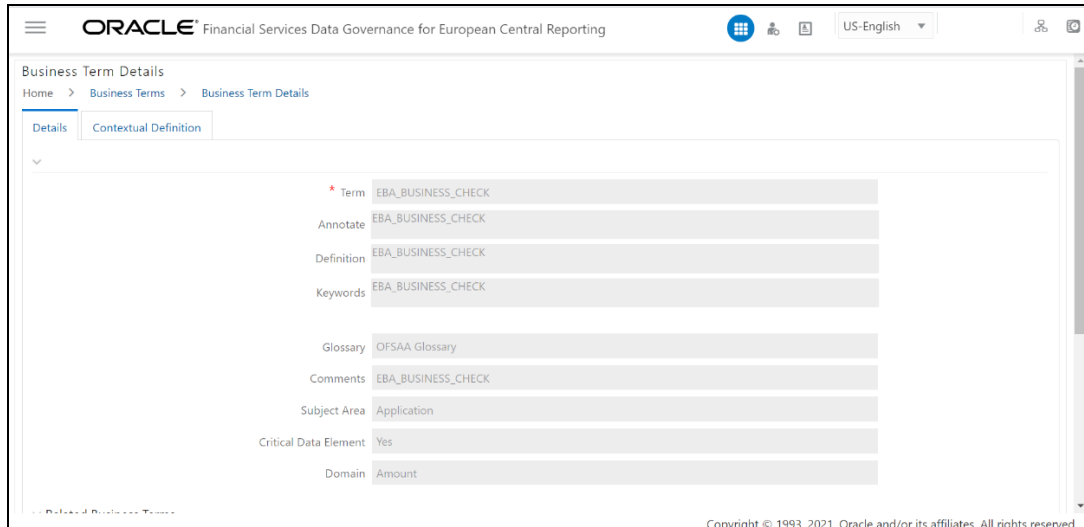
8. In the **Contextual Definition** Window, you can view the following details:

Table 5: Contextual Definition

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

Figure 4: Business Term Contextual Definition
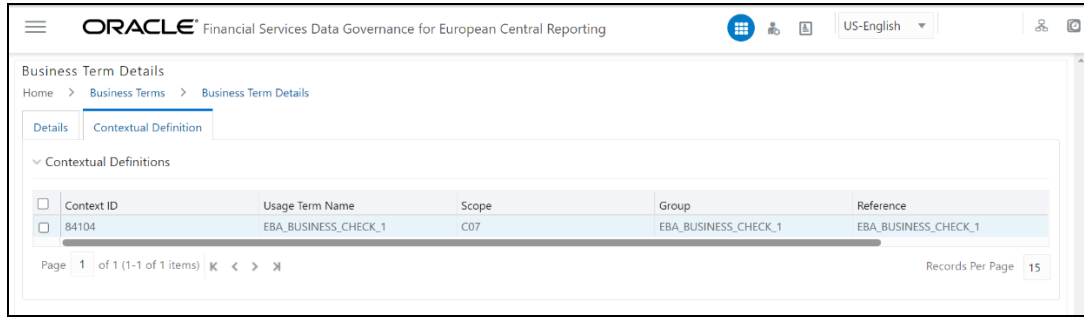
You can also view the Related Business Terms and List of Values associated with the Business Term. The definition of Business Terms is generally designed to produce a common understanding of the meaning of the term for the entire organization irrespective of the business function. These are standard 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.

Figure 5: Related Business Terms and List of Values

9. In the Summary Table, you can search for a particular Business Term.

   For example, enter a search keyword "Code"; the table lists the results with the matching keyword.

10. To export the Summary Table into an Excel or CSV file, in the Summary Table, click the **Export** drop-down ⬚. This downloads Business Term SUMMARY details.

4.3 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 Business Term. |
| | • Justification entered during rejection is not displayed in Draft Status. |

To create a Business Term, follow these steps:

1. From the **Financial Services Data Governance for European Central Reporting** Window navigate to **Standards and Policies** and select **Business Terms**.

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

Figure 6: Business Term Details
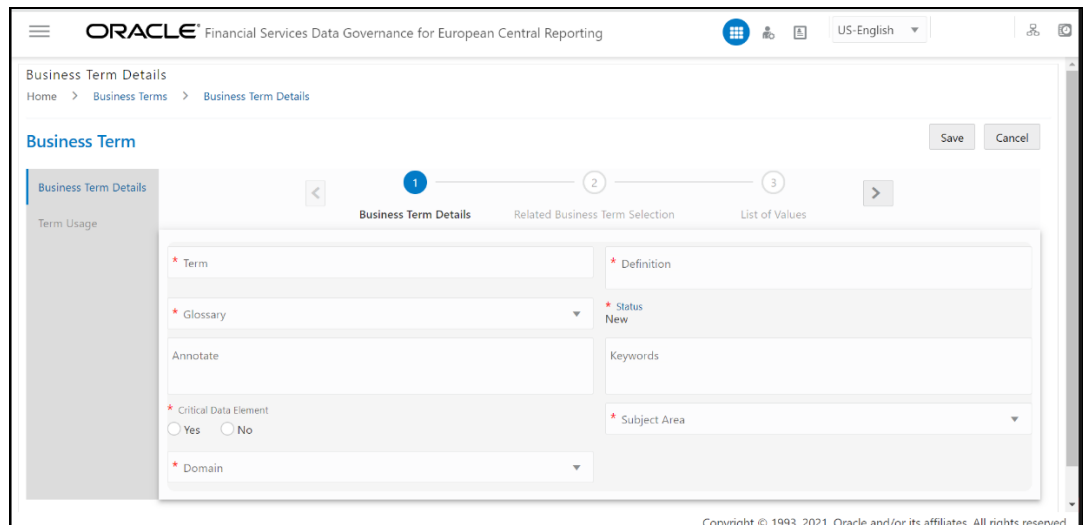
3. In the **Business Term Details** section,

   a. Enter the required information in the following fields.

Table 6: Business Term Details

Fields	Description
	Fields marked in blue asterisk (*) are mandatory
Term	Enter a term 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.
Status	The status of the Business Term is New.
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.

Fields	Description Fields marked in blue asterisk (*) are mandatory
Critical Data Element	Select whether the Glossary Term is a Critical Data Element or not.
Subject Area	Select a subject area from the drop-down box.
Domain	Select either **Alphanumeric**, **Date** or **Numeric** from the drop-down list.

    b. Click **Save**.

A confirmation message is displayed *Business Term Saved Successfully*.

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

4. Click [>] .

5. In the **Related Business Items** sub-section,

    a. To map Business Terms with other Business Terms, select a Business Term that is in draft status and click **Link**.

Figure 7: Related Business Term Selection
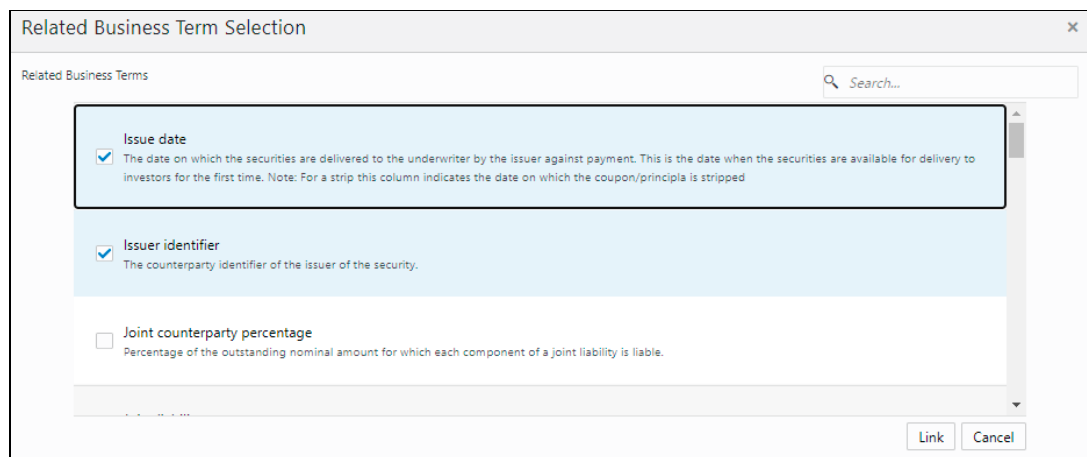
    b. Save and then **Submit** the selected Business Term.

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

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.

6. Click [>] .

7. In the **List of Values** sub-section,

    a. Select a Business Term that is in draft status and click **Add** to enter a value and then click **Save**.

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

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

Figure 8: List of Values

8. Additionally, in the **Business Term** summary Window, click the **Edit** Icon to review and update the fields.

9. Click **OK.**

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

10. To edit an existing Business Term, select a row in the Business Term Summary Window and click **Edit**.

11. To delete a Business Term, select a row in the Business Term Summary Window and click **Delete**.

4.4 Creating a Usage Term

The definition of Business Terms is 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.

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

To add a Usage Term, follow these steps:

1. From the **Financial Services Data Governance for European Central Reporting** Window navigate to **Standards and Policies** and select **Business Terms**.

   The **Business Terms** Summary Window is displayed.

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

3. Enter the Business Term Details and Click **Save** to enable the Term Usage Section.

4. Click the **Term Usage** Tab.

5. In the **Usage Term** sub-section, click the **Link** Icon.

Figure 9: Usage Term

6. In the **Usage Term** Window, enter values in the following fields.

Table 7: Usage Term

Fields	Description Fields marked in blue asterisk(*) are mandatory
Usage Term Name	The name of the context in which the term is used.
Context Definition	Contextual definition of the glossary term from the perspective of source or application.
Object	An external standard business model object name like Accord Model, Accord Object is saved alongside OFSAA Glossary term.
Group	A Group Name or ID of the object in the external model if any.
Reference	Reference ID or Number of the object in the external model if any.

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

7. Click **Save** and then **Submit.**

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

4.5 Approving or Rejecting a Business Term

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

To approve a Business term, follow these steps:

1. From the **Financial Services Data Governance for European Central Reporting** Window navigate to **Standards and Policies** and select **Business Terms**.

The **Business Terms** Summary Window is displayed.

Figure 10: Business Terms Summary Window
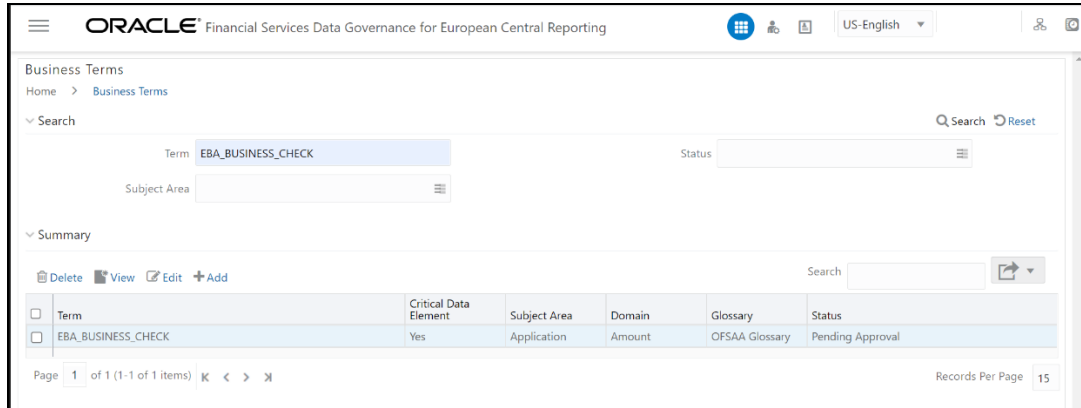
In the **Status** sub-section, search the **Pending Approval** business term and **click Edit**.

The **Business Term Details** Window is displayed.

2. In the **Business Term Details** Window, **Justification** field, provide a reason.

3. Click either **Approve** or **Reject**.

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

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**.

5   Identifying the 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 them to ensure timeliness and accuracy of the values.

Critical Data Elements (CDEs) are defined for each report in Regulatory Reporting. DG contains all CDEs for a particular report. The list of Critical Data Elements is identified for a particular report and the level of criticality will be defined. These elements are monitored for accuracy and consistency of data within the Key Indicator and Control Section.

5.1   User Roles and Actions

All the Users must be mapped to the following User Groups and User Roles:

Table 8: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 9: User Role

Role Code	Role Name
CDEADDR	CDE Add Role
CDEAPPREJR	CDE Approve Reject Role
CDEDELETER	CDE Delete Role
CDEEDITR	CDE Edit Role
CDEVIEWR	Critical Data Elements

5.2   Viewing Critical Data Elements

To view a Critical Data Element, follow these steps:

1. From the **Financial Services Data Governance for European Central Reporting** Window navigate to **Standards and Policies** and select **Critical Data Element**.

   The Critical Data Element Window is displayed.

Figure 11: Critical Data Element

2. In the **Search** section, enter the search details and click **Search** to view the results in the Summary Table.

3. Enter the required CDE Name.

4. Select the Status from the drop-down list. The status can be Draft, Pending Approval, or Active.

5. Enter the Business Term.

6. To view a CDE, select a CDE Name and click **View** Icon.

7. In the **Critical Data Elements Details** Window, you can view the following details:

Table 10: Critical Data Elements Details

Fields	Description
CDE Name*	CDE Name.
Business Term*	Business Term Name.
Access Level*	Access level: • Public • Confidential • Restricted
Data Classification Level*	Data classification level from the drop-down list: • Legal • Financial • PHI • PII

Figure 12: Critical Data Elements Details

Critical Data Element Details
Home > Critical Data Elements > Critical Data Element Details

Details

* CDE Name | Account Maturity Date

Business Term | Account Maturity Date

Access Level | Confidential

Data Classification Level | Financial

8. You can also view the Entity Attribute Details associated with the CDE.

9. In Summary Table, you can search for a particular CDE from the table.

10. For example, enter a search keyword "Code"; the table lists the results with the matching keyword.

11. To export the Summary Table into an Excel or CSV file, in the Summary Table, click the Export drop-down [icon]. This downloads the CDE Summary details.

5.3   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. • You can only create a CDE that are in the **Draft** status. • Justification entered during rejection is not displayed in draft status.

To create a CDE, follow these steps:

1. From the **Financial Services Data Governance for European Central Reporting** Window navigate to **Standards and Policies** and select **Critical Data Element**.

Figure 13: Critical Data Elements Summary Window
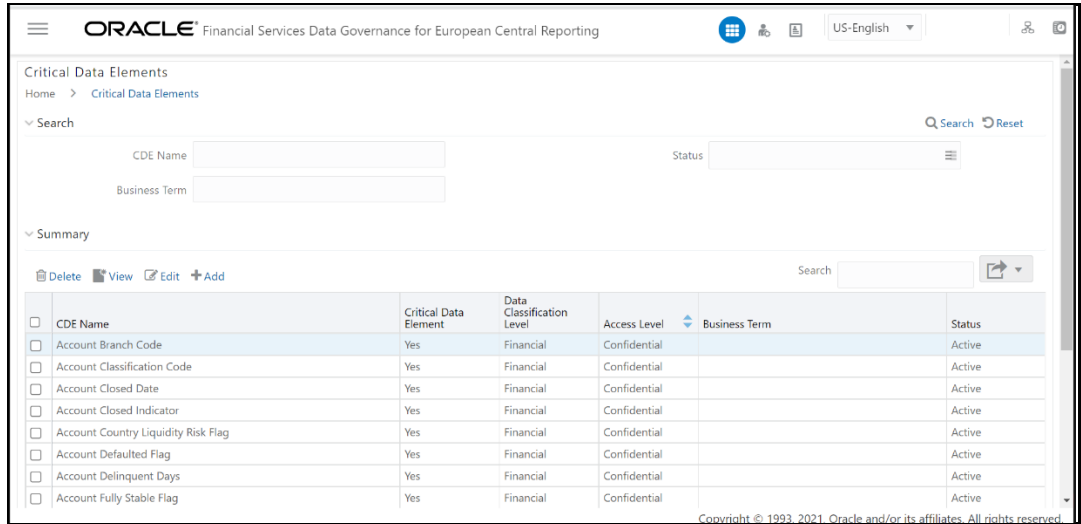
2. Click the **Add** Icon.

   The **Critical Data Element** section is displayed.

Figure 14: Critical Data Elements Details Window
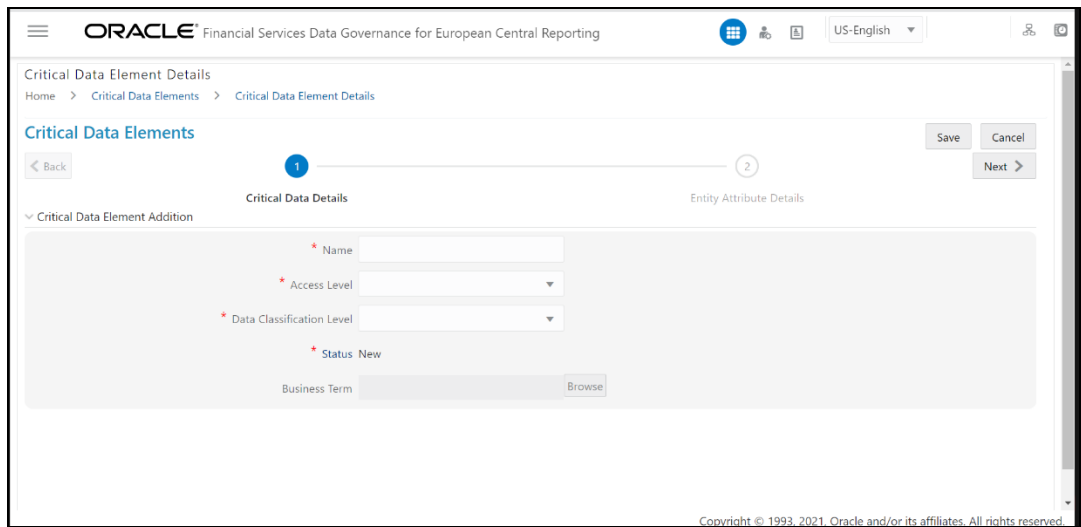
3. Enter the data in the available fields.

Table 11: Critical Data Elements Details

Fields	Description Fields marked in blue asterisk(*) are mandatory
CDE Name*	Provide a name for the CDE
Access Level*	Select the access level from the drop-down list: • Public • Confidential • Restricted

Fields	Description Fields marked in blue asterisk(*) are mandatory
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 **Save** and then click **Next**.

5. In the **Entity Attribute Details** section.

Figure 15: Entity Attribute Details Addition

a. Click **Add.** The **Entity Attribute Details Addition** Window is displayed.

b. Enter the **CDE Name**.

c. Click **Browse**, to select the **Entity Name** from the **Entity Hierarchy Browser** and select **Attribute Name** from the **Attribute Hierarchy Browser**.

d. Click **Save**.

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

5.4 Approving or Rejecting a CDE

You must have CDE Approver rights to approve or reject a CDE.

To approve a CDE perform the following steps:

1. From the **Financial Services Data Governance for European Central Reporting**, Window navigate to **Standards and Policies** and select **Critical Data Element**.

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

Figure 16: Critical Data Element Details

2. In the **Status** sub-section, search the **Pending Approval** business term and **click Edit**.

3. In the **Business Term Details** Window, **Justification** field, provide a reason.

4. Click either **Approve** or **Reject**.

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

NOTE	If you have approved the CDE, the state of the CED changes to **Active**.
	If you have rejected the CDE, the state of the CDE changes to **Draft**.

6 Key Indicator Assessment Configuration

The Key Indicator Assessment Configuration UI helps the user to control the Report or Schedule or Cell to be processed for Variance Analysis and Dashboard Reporting. The UI also helps to update threshold breach percentage values.

6.1 User Roles and Actions

All the Users must be mapped to the following User Groups and User Roles:

Table 12: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 13: User Role

Role Code	Role Name
KIASSCONF	DG KI Assess Config Role
DGADMINR	DG Administration

6.2 Configuring Key Indicators
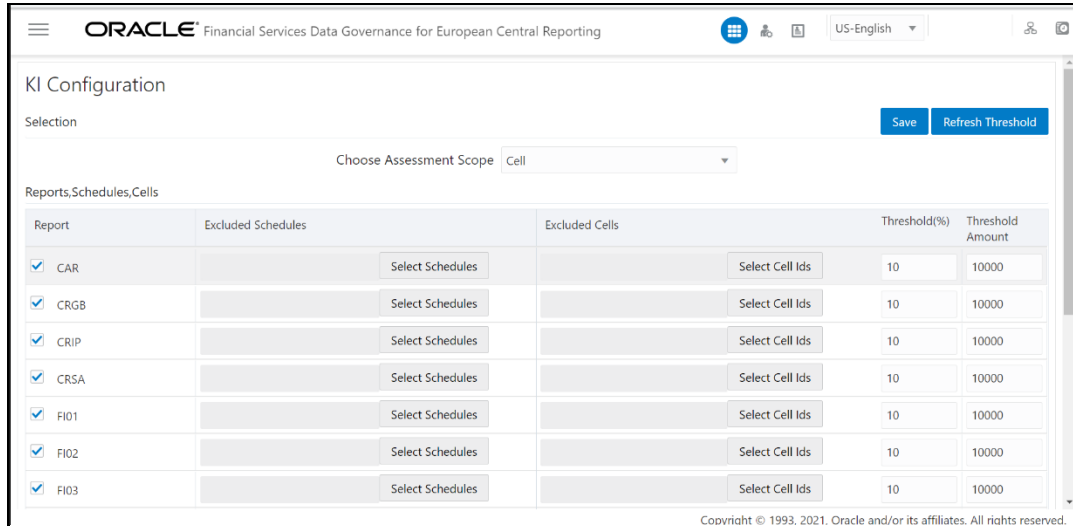
To configure the Key Indicator, follow these steps:

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

1. From **Financial Services Data Governance for European Central Reporting** Window navigate to **Administration** and select **Key Indicator Assessment Configuration**.

   The **Key Indicator Assessment Configuration** Window is displayed.
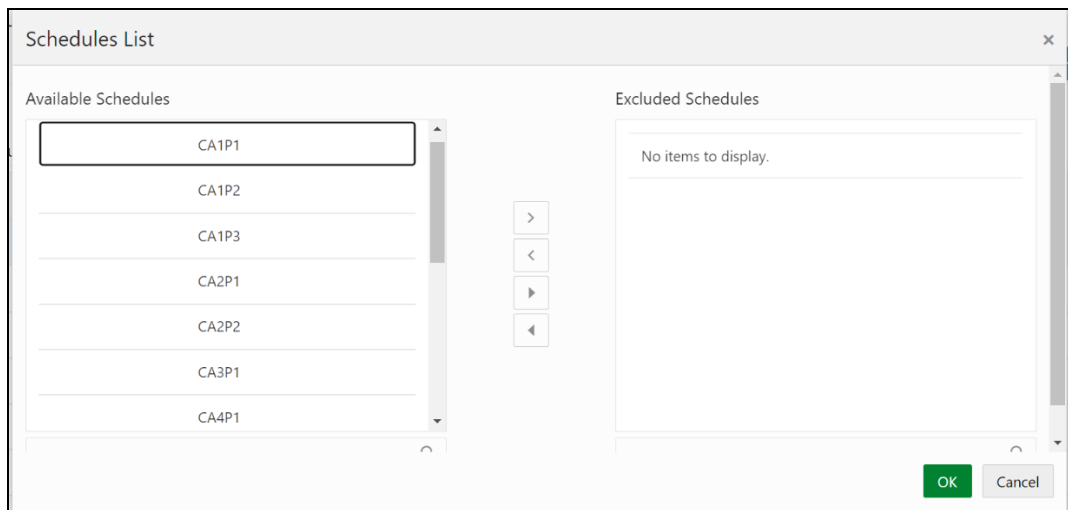
Figure 17: Key Indicator Assessment Configuration

2. In the **KI Assessment Configuration** Section, in the Report column, select the check-boxes 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.

Figure 18: Schedule List

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.

Figure 19: Cell List
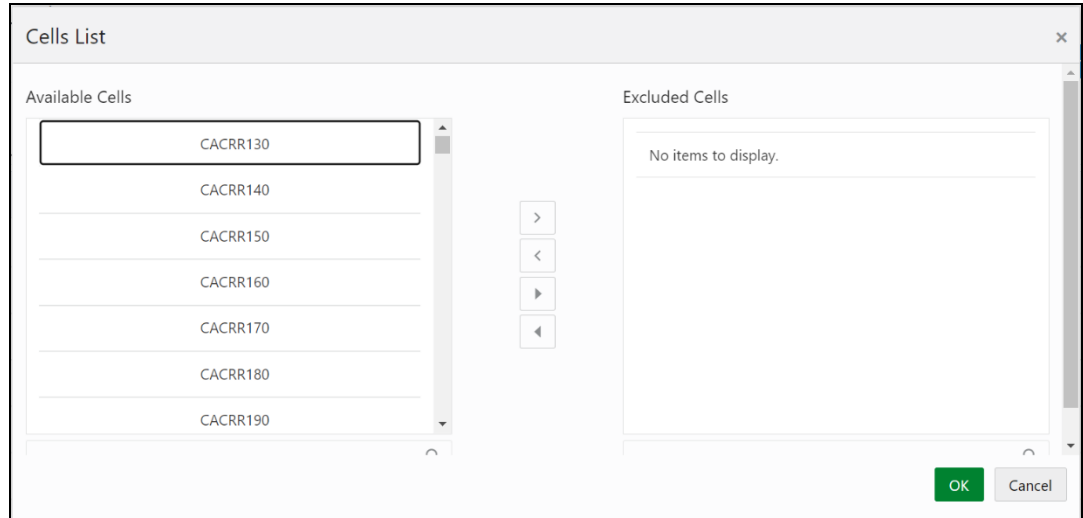
7. In the **Cells List** Window, in the **Available Cells** section, select the available cells

   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.

8. Click **OK.**

9. To **set** the Alert Threshold Values at the Individual Report Level:

   a. Select the report for which you want to set the threshold.

   b. In the **Threshold (%)** Field, configure the Threshold percentage from 0 -100.

   c. In the **Threshold Amount** Field, enter the required amount.

   d. Click **Save** and then click **Refresh Threshold** Button.

   e. The threshold for all the cells associated with the report is updated with the new Threshold Value.

Figure 20: Refresh Threshold

7 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 Studio. The Screen also enables a user to define new Assessment Parameters that can participate in the Score and Rating Calculation of the Assessment. The assessments for a particular control depends on the Parameter Type and Score Methodology.

7.1 User Roles and Actions

All the Users must be mapped to the following User Groups and User Roles:

Table 14: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 15: User Role

Role Code	Role Name
CTLASSESSP	CTL ASSESS PARAMS Role
DGADMINR	DG Administration

7.2 Configuring Control Assessment Parameters

To Control the Assessment Parameters, follow these steps:

1. From **Financial Services Data Governance for European Central Banking** Window navigate to **Administration** and select **Control Assessment Parameters**.

   The **Control Assessment Parameters** Window is displayed.

Figure 21: Control Assessment Parameters

Table 16: Control Assessment Parameters Screen Fields and Descriptions

Fields	Description **Fields marked in blue asterisk(*) are mandatory**
Data Quality Errors	Percentage of records that have failed the data quality checks.
Data Quality Warning Flag	Percentage of records that have passed but have a warning flag.
Data Quality Information Flags	Percentage of records that are passed but have an information flag.
Defaults	Percentage of records that are defaulted.
Threshold Score	The threshold score is the value configured to compare with the computed Total Control Score to evaluate the effectiveness or ineffectiveness of the Data Quality control.
DQ Threshold Parameters	- DQ Failed Threshold Amount: Global threshold Amount set for DQ failed records; the threshold value is validated for each DQ ID. - DQ Failed Threshold Count Percentage: Global threshold count value set for DQ failed records; the threshold value is validated for each DQ ID.

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 Key Indicator Threshold

The Key Indicator Threshold Feature allows the user to define the Alert Threshold Percentage Value for individual MDRMs. The MDRM Alert Threshold Value is used to compare with the Variance Breach Percentage Value to classify the MDRM is breached or not.

8.1 User Roles and Actions

All the Users must be mapped to the following User Groups and User Roles:

Table 17: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 18: User Role

Role Code	Role Name
KITHRSLD	KI Threshold Config Role
DGADMINR	DG Administration

8.2 Configuring Key Indicator Threshold

To Control the Assessment Parameters, follow these steps:

1. From **Financial Services Data Governance for European Central Reporting** Window navigate to **Administration** and select **Key Indicator Threshold**.

   The **Key Indicator Threshold** Window is displayed.

Figure 22: Key Indicator Conditions

2. In the **Key Indicator Conditions Window**, select the required **Report**, **Schedule,** and **Cell.**

3. Edit the **Alert Threshold (percentage)** value (percentage from 0 -100) and the required **Threshold Amount**.

4. Click **Save**.

9 DGS EBA Application Configuration

In DGS EBA Application Configuration, the Assessment Methodology can be selected based on the required logic. The RAG Value is computed, and the Breach Status is identified. The RAG Value is computed for the threshold percentage and the amount based on the options configured to derive the Breach Status Value.

9.1 User Roles and Actions

All the Users must be mapped to the following User Groups and User Roles:

Table 19: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 20: User Role

Role Code	Role Name
DGAPPCONF	DGS Application Conf Role
DGADMINR	DG Administration

9.2 Configuring DGS EBA Application Configuration

To configure DGS EBA Application Configuration, follow these steps:

1. From **Financial Services Data Governance for European Central Reporting** Window navigate to **Administration** and select **DGS EBA Application Configuration**.

   The **DGS EBA Application Configuration** Window is displayed.

Figure 23: DGS Application Configuration

2. Select **Assessment Methodology** for Breach Computation:

   a. **Percentage**: In case you select variance based on Percentage, the cells will either Breach/Not breach based on the percentage set.

b. **Amount**: In case you select variance based on Amount, the cells will either Breach/Not breach based on the amount set.

c. **Amount AND Percentage**: In case you select variance based on Amount and Percentage, the cells will Breach only when both Percentage AND Amount fail.

For example, when Threshold amount is 50,000 and Threshold Percentage is 5% the following are the computations:

   i.   If MDRM % Variance is 5 % (PASS) and $ Variance is 50,000(PASS) -   **Not Breached**

   ii. If MDRM % Variance is 15% (FAIL) % and $ Variance is 50,000 (PASS) - **Not Breached**

   iii. If MDRM % Variance is 5% (PASS% and $ Variance is 150,000 (FAIL) - **Not Breached**

   iv. If MDRM % Variance is 15% (FAIL) % and $ Variance is 150,000 (FAIL) - **Breached**

d. **Amount OR Percentage**: In case you select variance based on Amount or Percentage, the cells will Breach only when one Percentage OR Amount fail.

For example, when Threshold amount is 50,000 and Threshold Percentage is 5% the following are the computations:

   i.   If MDRM % Variance is 5 % (PASS) or $ Variance is 50,000(PASS) -   **Not Breached**

   ii. If MDRM % Variance is 15% (FAIL) % or $ Variance is 50,000 (PASS) - **Breached**

   iii. If MDRM % Variance is 5% (PASS% or $ Variance is 150,000 (FAIL) - **Breached**

   iv. If MDRM % Variance is 15% (FAIL) % or $ Variance is 150,000 (FAIL) - **Breached**

3. Click **Save**.

NOTE	There is no restriction for the Assessment Methodology. Depending on the business needs you can change the methodology as and when required.
	If the methodology is changed, the assessments done are based on the new option selected.

10 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 assesses their effectiveness in avoiding the risks of reporting.

Control effectiveness establishes the confidence factor in data elements and their values.

- **Quality Controls:** They are used to assess data accuracy.

10.1 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 view an issue and create an action, the user must be mapped to the following **issue and action groups ACTNANLST**, **ISSUEADMN**, **ISSUEANLST**, **ISSASR**, **ACTASR**, **ACTVIEWER**, and **ISSAPR** in addition to other Control related groups.

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

Table 21: Data Quality Checks

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 is not 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 values.

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.

10.2   User Roles and Actions

All the Users must be mapped to the following User Groups and User Roles:

Table 22: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group
ISSUEANLST	Issue Analyst Group
ACTNANLST	Action Analyst Group

Table 23: User Role

Role Code	Role Name
CTLVIEWR	Control Viewer

10.3   Control Creation through Batches

Perform the following steps to create a Control through Batches:

1. For Control Creation, you must seed the FSI_DGS_CONFIGURATION Table first.

> **NOTE**   In the **N_LOOKUP_VALUE** column, you can modify the values in the CREATOR and the OWNER Fields.

Figure 24: Control Creation through Batches

V_MODULE_NAME	V_LOOKUP_CODE	N_LOOKUP_VALUE	V_LOOKUP_CODE_DESC
1 CTL	COMMENT	The control has been newly created by system	Default Comments
2 CTL	CREATOR	DGSUSER	User who created this control
3 CTL	CTL_FREQUENCY	4	4 - Monthly, 7 - Daily
4 CTL	ISSUE_CRITICALITY_KEY	1	Issue criticality from -DIM_ISSUE_CRITICALITY
5 CTL	LOCALE	en_US	English
6 CTL	OWNER	DGSUSER	User to whom this control is assigned
7 CTL	UPDATE_COMMENT	DQ Updated -	Updation Comments

2. Execute the batch DGS_DQ_CTL_BATCH, this batch contains the entire task that needs to be executed for control. See the OFS Data Governance Run Chart.

10.4 Quality Control Assessment

Pre-Requisites

- For performing 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_DQ_CTL_BATCH, this batch has the entire task, which needs to be executed for control. See the OFS Data Governance Run Chart.

10.5 Control Assessment Logic

Data Quality checks are grouped under the following types:

- **Data Quality Errors** – Percentage of records that have failed the data quality checks.

- **Data Quality Warning Flag** - Percentage of records that have passed but have a warning flag.

- **Data Quality Information Flags** - Percentage of records that are passed but have an information flag.

- **Defaults** - Percentage of records that are defaulted.

Configure the following parameters in the DGS Application to evaluate the Data Quality effectiveness:

- Threshold Score

- DQ Weight percentage

- Parameter Weight Percentage

Threshold Score

The threshold score is the value configured to compare with the computed Total Control Score to evaluate the effectiveness or ineffectiveness of the Data Quality Control.

Table 24: Threshold Score

Sl. No.	Threshold Configuration	Weight
1	Threshold Score	50

DQ Weight Percentage

This value is configured based on the number of data quality checks mapped to a data quality control. For example, if there are four data quality checks mapped, then the data quality weight percentage is as displayed as follows:

Table 25: DQ Weight Percentage

Sl .No.	Control ID	Data Quality ID	Weight
1	865675	E1_STC_STLMT_DAT_01	25%
		E1_STC_STLMT_DAT_02	25%
		E1_STC_STLMT_DAT_03	25%
		E1_STC_STLMT_DAT_04	25%

Parameter Weight Percentage

Data quality checks are tagged as Error/Warning/Information/Default and each of these is given a weightage. The values are configurable from the DGS application.

Table 26: Parameter Weight Percentage

Sl. no.	Data Quality Type	Weight
1	Data Quality Errors	20
2	Data Quality Warning Flag	30
3	Data Quality Information Flags	25
4	Defaults	25

Step 1.

Compute the DQ Failure Percentage for every single Data Quality in each Data Quality Type

DQ Failure - DQ1 Error   = (Failed Record Count/Total Scan Record)*100

DQ Failure - DQ1 Warning   = (Failed Record Count/Total Scan Record)*100

DQ Failure - DQ1 Information = (Failed Record Count/Total Scan Record)*100

DQ Failure - DQ1 Default   = (Failed Record Count/Total Scan Record)*100

Step 2.

Compute the Cumulative Control Score

Control Score is the sum of DQ Failure * Parameter Weight for a DQ for each of the DQ Type multiplied into DQ Weight Parameter. Similarly, compute for each DQ is mapped to a DQ control. For Cumulative Control, Score adds Control Score for each DQ in a DQ control and then divides by 100.

Cumulative Control Score =

[[DQ1 Error * Parameter Weight] + [DQ1 Warning * Parameter Weight] +

[DQ1 Info * Parameter Weight] + [DQ1 Defaults * Parameter Weight] *

DQ1 weight] +

[[DQn Error * Parameter Weight] + [DQn Warning * Parameter Weight] +

[DQn Info * Parameter Weight] + [DQn Defaults * Parameter Weight] *

DQn weight]] / 100

Step 3.

For each Data Quality control, the Total Control Score is computed as:

Total Control Score = 100 minus (**Cumulative Control Score**)

If the Total Control Score is equal to or above the Threshold Score, then the control is effective, and if the following Threshold Score it is Ineffective.

Data Quality Control Evaluation with GL Recon Validation

In case GL Recon Application is installed and measure data quality checks have financial validation check set as 'Y' then effective or ineffective evaluation is as follows:

Table 27: Data Quality Control Evaluation with GL Recon Validation

| Sl. No.	Data Quality Control Validation	Status
1	IF GL Recon is installed, all reconciliations are passed, and the Total Control score is equal to or above the configured threshold	Control Effective
2	IF GL Recon is installed, any reconciliations fail, and the Total Control score is above the configured threshold.	Control Ineffective
3	IF GL Recon is installed, all reconciliations are passed, and the Total Control score is below the configured threshold.	Control Ineffective
4	IF GL Recon is installed, any reconciliations fail, and the Total Control score is below the configured threshold.	Control Ineffective

10.6   Viewing Controls

To view the controls, follow these steps:

1. From **Financial Services Data Governance for European Central Reporting** Window navigate to **Controls**.

   The Control Summary Window is displayed. After you execute the batch DGS_DQ_CTL_BATCH, the Control Summary Window displays the Stage Tables for which the controls are defined. It also displays the assessments and open issues if any.
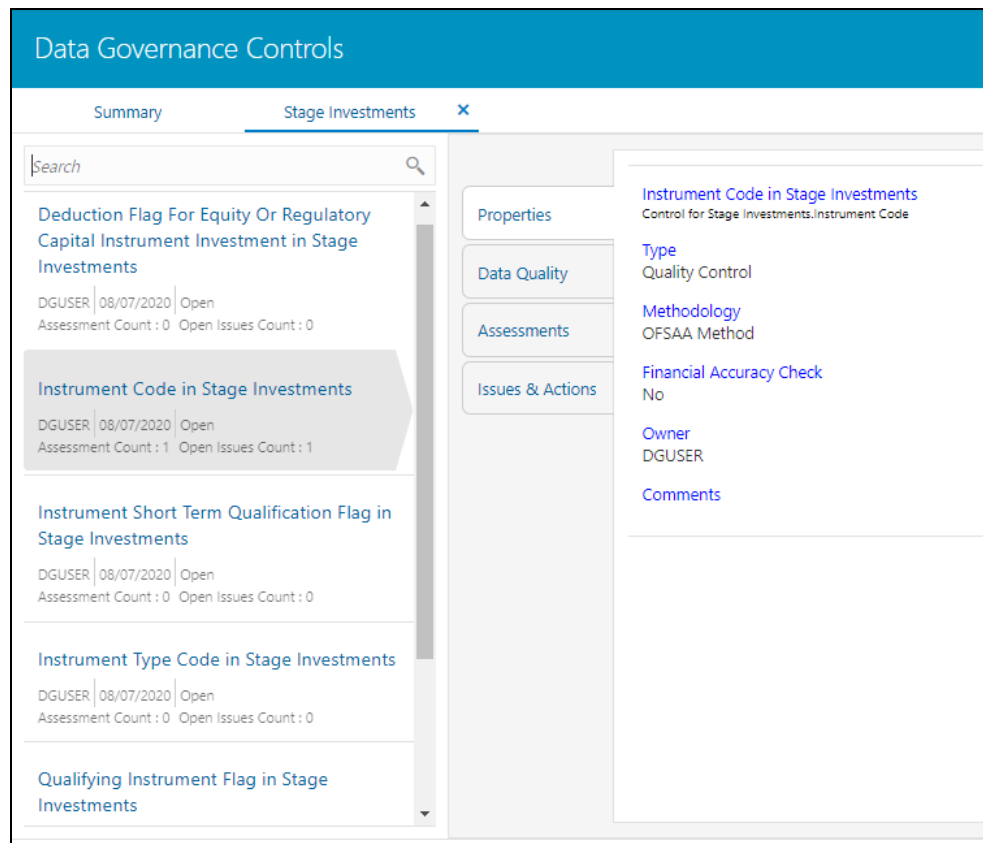
Figure 25: Data Governance Controls
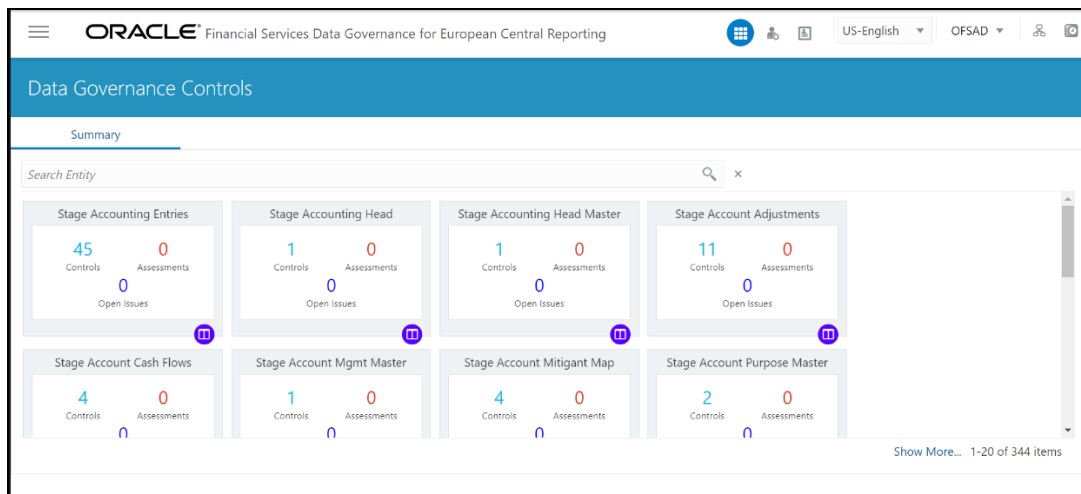
2. Select a Stage Table and then click ⬛ View Controls to see the details.

3. For example, the Stage Table "Stage Investment" and control "Instrument Code in Stage Investments" is selected here.

Figure 26: Data Governance Controls – Stage investments

4. Click Properties, to view the Control Properties.

Figure 27: Data Governance Controls – Properties
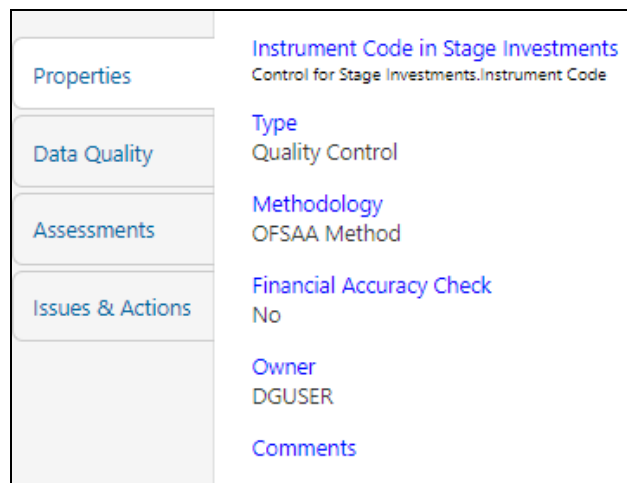
The control information is displayed:

— Name: Name of the control.

— Type: Type of the Control – Quality Control.

— Methodology: Method used – OFSAA Method.

— Financial Accuracy Check: Yes or No.

— Owner: Name of the Owner.

— Comments: Add comments if any.

5. Click **Data Quality**, to view the DQ Information on which the control is created.

Figure 28: Data Governance Controls – Data Quality

The DQ Information is displayed:

— DQ Name: Name of the DQ contributing to the control

— DQ Weight: Weight of the DQ contributing to the control. In case there is, one DQ the number is 100. If there are more than one the number is divided to make it 100.

— Attribute: Name of the attribute on the entity column where the DQ is defined.

— Entity: Name of the Stage Table name.

6. Click **Assessments**, to view the Control Assessments.

Figure 29: Data Governance Controls – Assessments

The Control Assessment Information is displayed:

— Effectiveness Score: Control Assessment Score.

— Effectiveness Rating: Control Assessment Rating. It can be Ineffective or Effective depending on the effectiveness score.

— Effectiveness Status: Control Assessment Status.

— Execution Date: Assessment date and time.

7. Click Issues & Actions to view the system-generated issues created for control. To edit a system-generated issue, see the Editing an Issue Section.

Figure 30: Data Governance Controls – Issues & Actions
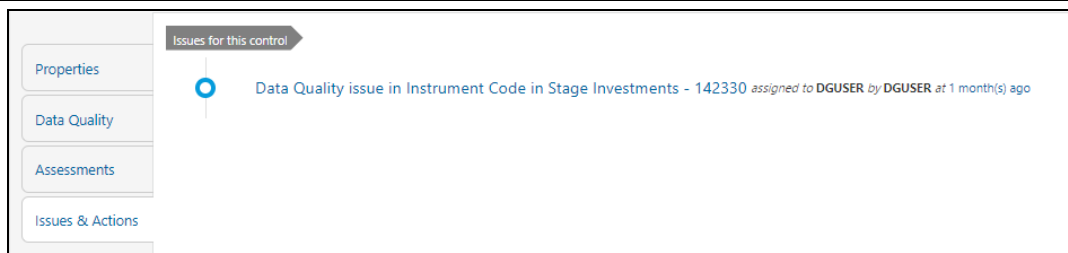
10.7 Editing an Issue

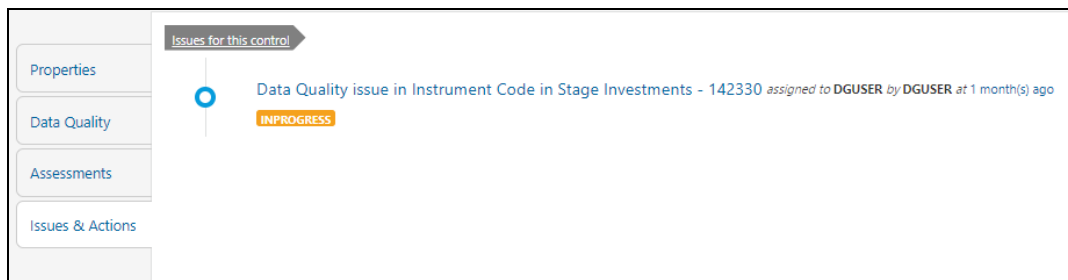To edit an Issue, follow these steps:

1. From **Financial Services Data Governance for European Central Banking** Window navigate to Controls.

2. Select a Stage Table and then click View Controls to see the details.

3. Click Issues & Actions. The System-Generated Issues for this Control are displayed.

Figure 31: Data Governance Controls – Issues & Actions

4. Click the required issue to edit.

Figure 32: Data Governance Controls – Issues & Actions

5. Enter the **Description**.

6. Select the **Category** from the drop-down list:

   - **Data Authorization**

   - **Data Privacy**

   - **Data Security**

   - **Data Accuracy**

   - **Data Availability**

7. Select the Criticality:

   - High

   - Medium

   - Low

8. Choose the Target Date from the Calendar 📅 .

9. Enter Comments if any.

10. Select a file or drag and drop a file to **Attach** a document.

11. Click **Save**. A confirmation message is displayed: Issue is saved successfully. This creates an issue for the particular action.

10.7.1   Creating an Action

The Issue Owner creates the required Actions for the system-generated Issue. Additionally, the Issue Owner is the Data Adjustment Creator.

To create a new Action for the System-Generated Issue, follow these steps:

1. From the **Financial Services Data Governance Studio** Window, navigate to Controls.

2. Select a Stage Table and then click ⏸ **View Controls** to view the details.

3. Click Issues & Actions. The Issus for this Control is displayed with the details.

Figure 33: Data Governance Controls – Issues & Actions
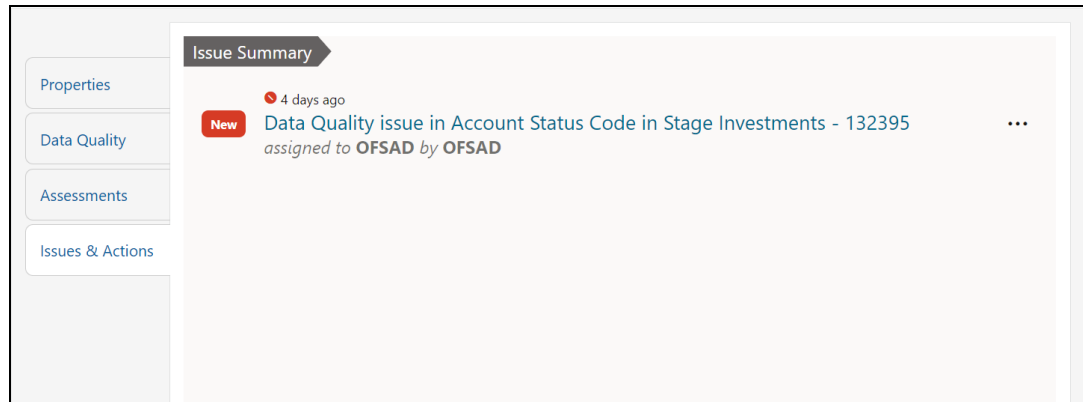
4. Click the required issue. The Actions Pane is displayed.

Figure 34: Data Governance Controls – Actions
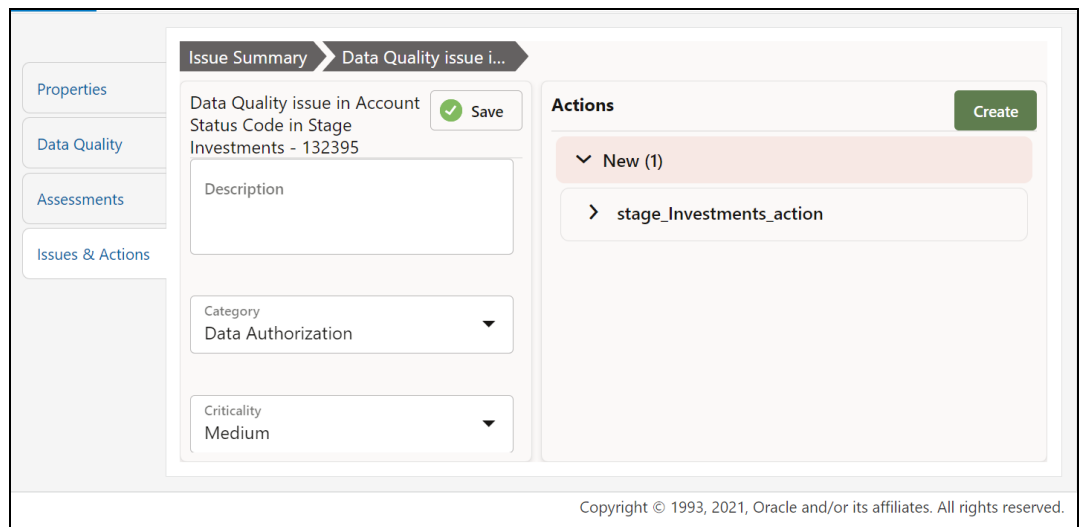
5. To create an action, in the Actions section click **Create**.

Figure 35: Data Governance Controls – New Actions
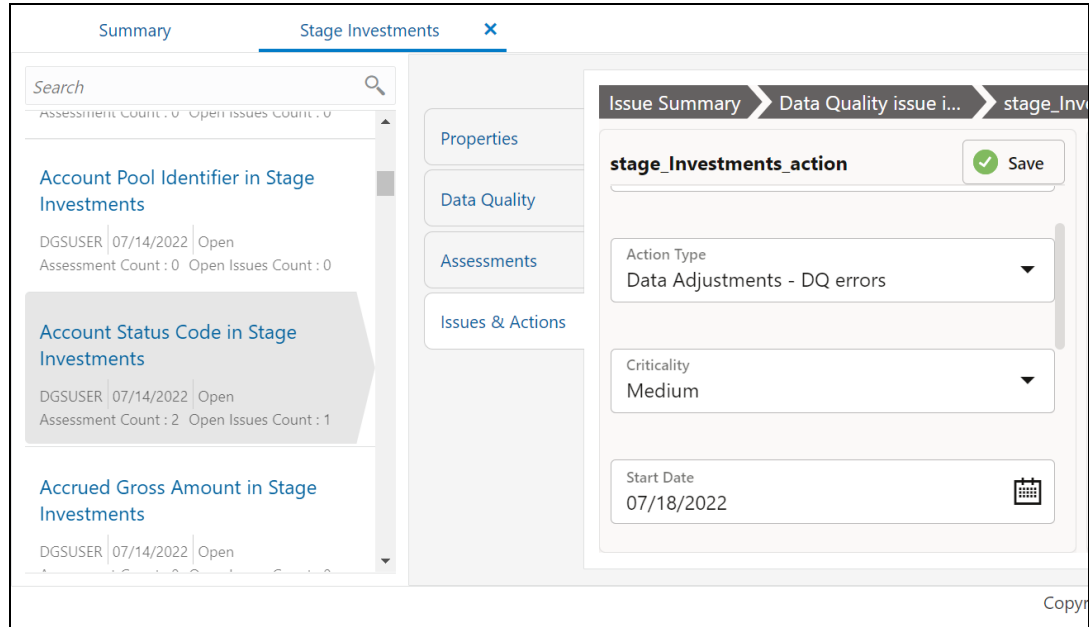
6. Enter the **Name** and **Description**.

7. Select the Action Type from the drop-down list:

   e. Data Adjustments - DQ errors

   f. Data Adjustments - Others

   g. Data Adjustments - Regulatory Reporting

   h. Reconciliation Adjustments

   i. Others

8. Select the Criticality:

   a. High

   b. Medium

   c. Low

9. Choose the Start Date and Target Date from the Calendar 📅. Action start and target date must be within the Issue target date.

10. Select the action Owner name from the drop-down list.

11. Select the Status from the drop-down list:

    a. New

    b. InProgress

    c. Closed

12. Enter Comments if any and click **Save**. A confirmation message is displayed: *Action saved successfully*. This creates an Action for the particular Issue.

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

13. Select a File or drag and drop a file to **Attach** a document.

14. When a new action is created, it is listed under the Actions section under New status of the Issue. In the Status field, the issue can be closed when it is resolved. It is then moved to Closed status.

Figure 36: Data Governance Controls – New Actions
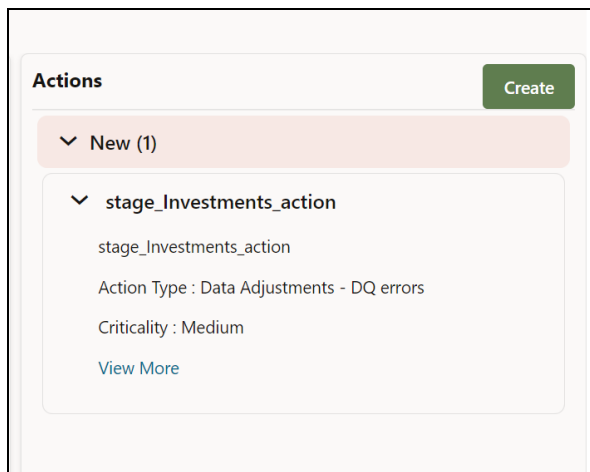
15. After an action is created, it is possible to create Data Adjustments.

See section Data Adjustments for details.

11   Inbox

Any data issues identified in the OFSAA Framework can be resolved through the Inbox >Task option by creating Issues and appropriate Actions. Data Issues such as Data Quality failures or Variance breaches or even known issues can be fixed using the Adjustment Framework option in Action. The adjustment entries posted are audit trailed and data traceability enabled.

The Inbox menu lists all the Tasks, like Issue and Actions for a user. Issues can be created by the user or by a DG Process or Reassigned Tasks from another user. Actions are remediation tasks created by the user to resolve an issue. An Action can involve an Adjustment Process to close the Action or Issue. The notification tab lists the latest tasks for the user.

Inbox displays the summary of Issues and Actions performed over the last 14 days.

11.1   User Roles and Actions

All the Users must be mapped to the following User Groups:

Table 28: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group
REGREPGRP	Regulatory Reporting Group
ISSUEANLST	Issue Analyst Group
ACTNANLST	Action Analyst Group

> **NOTE**   Ensure the domains in the User Domains Map are mapped to the REGREPGRP group.

11.2   Logging an Issue

To log an issue or view or create tasks, issues, and actions, perform the following steps:

1. From **Financial Services Data Governance for European Central Reporting** Window navigate **Inbox**.

   The **Notifications** Window is displayed.

Figure 37: Inbox - Notifications
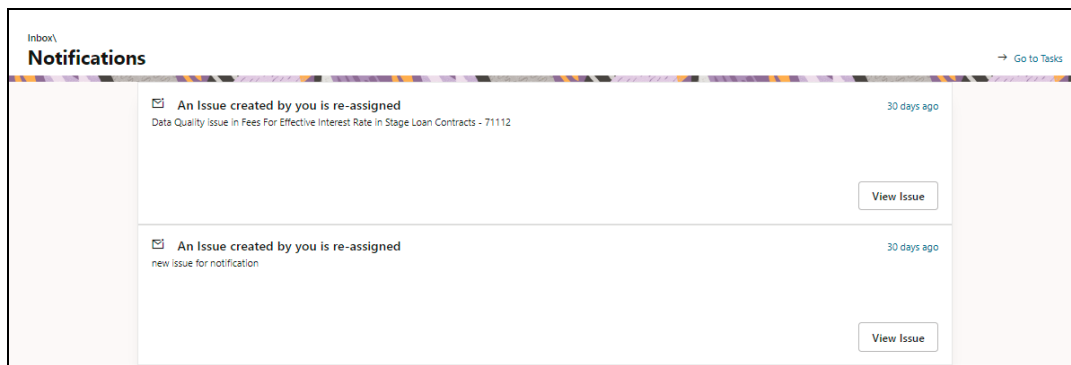
2. Click **View** to re-open or close an issue.

3. Click **Go to Tasks**.

   The **Inbox – Task** Window is displayed with the list of tasks, issues, and actions.

Figure 38: Inbox Summary
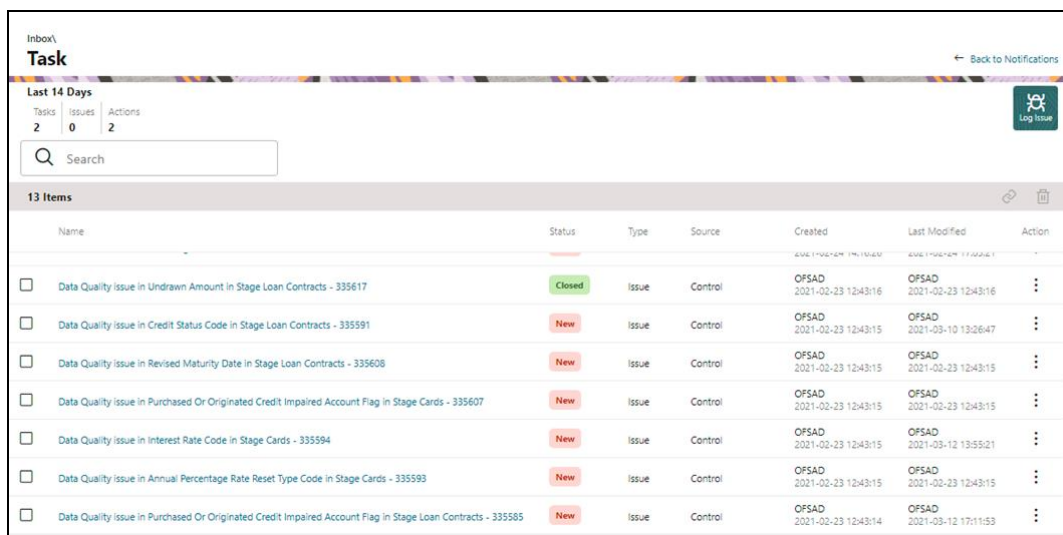
4. Click Log Issue Icon to log an issue. The create Window is displayed.

Figure 39: Create Issue

5. Enter Issue **Name** and **Description**.

6. Select the **Category** from the drop-down list:

   a. Data Authorization

   b. Data Privacy

   c. Data Security

   d. Data Accuracy

   e. Data Availability

   f. Timeliness

7. Select the Criticality:

   a. High

   b. Medium

   c. Low

8. Choose the Target Date from the Calendar .

9. Choose the **Execution Date** from the Calendar .

10. Select the **Source** from the drop-down list:

    a. Key Indicators

    b. Controls

11. Select the **Owner** from the drop-down list.

12. Enter Comments if any.

13. Select a file or drag and drop a file to **Attach** a document.

14. Click **Save**.

    A new issue is created and is displayed under the inbox Summary Screen.

15. Click an existing issue.

    The following Window is displayed.

Figure 40: Issues
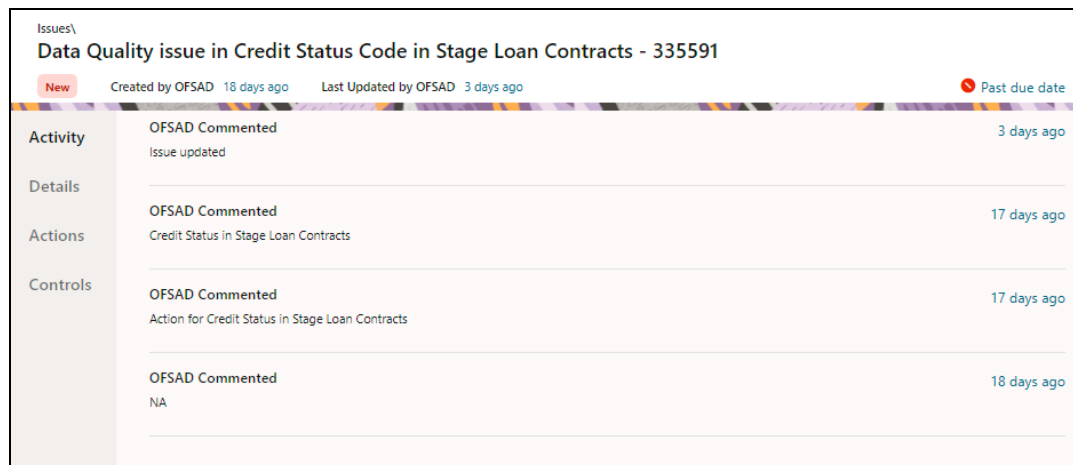
16. Click **Activity**. Any comment that is logged for an issue is displayed here.

17. Click **Details**. See the Editing an Issue Section for information.

18. Click **Actions**. See the Creating an Action Section for information.

19. Click **Controls**. You can create an action for an existing issue.

20. Select an issue and click .
    The **Control** Window is displayed with the control details that can be linked to the issue.

Figure 41: Controls
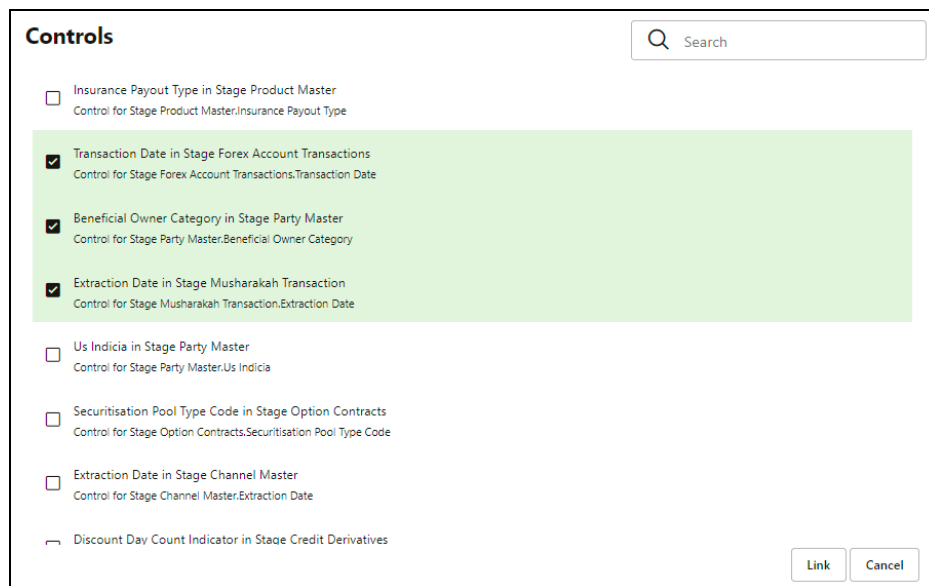
21. Select the controls and click **Link**. At any point in time, you can search for control in the search field.

22. Select an issue or an action and click . A confirmation message is displayed. Click Yes to delete or click No to cancel the deletion.

23. Note that, it is possible to delete an issue or an action that is in status 'New' and it is not possible to delete a closed issue or an action.
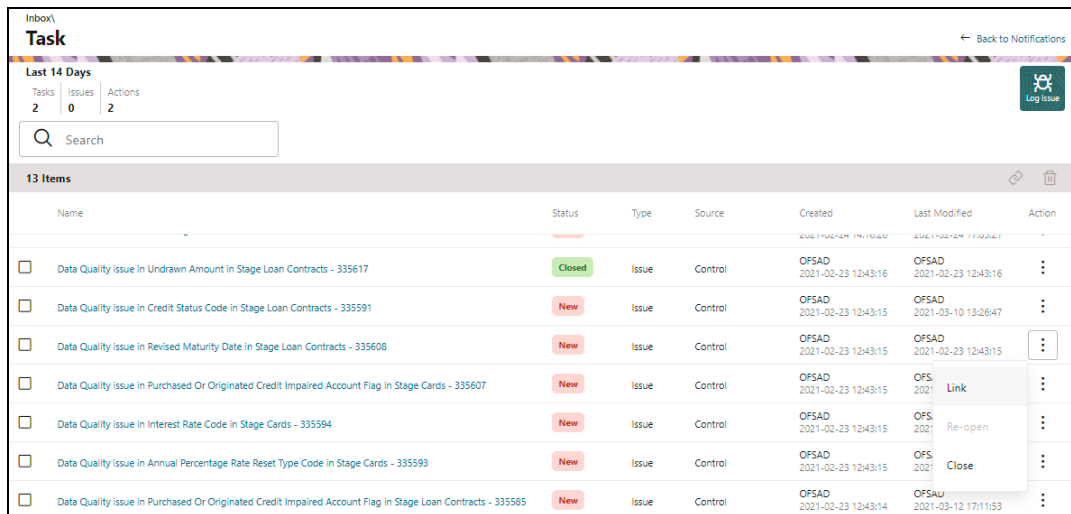
24. Click ⋮ against the required issue or an action to perform one of the following.

Figure 42: Task

25. If an **Issue** is in:

    a. **New** State, you can link or close an issue.

    b. **Closed** State, you can re-open an issue.

    c. **Re-open** State, you can close the issue.

26. If an **Action** is in:

    a. **New** State, you can close an action.

    b. **Closed** State, you can re-open an action.

    c. **Re-open** State, you can close the action.

12 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 is illustrated in the following diagram:

For an Adjustment Creator:

Figure 43: Data Adjustment Process
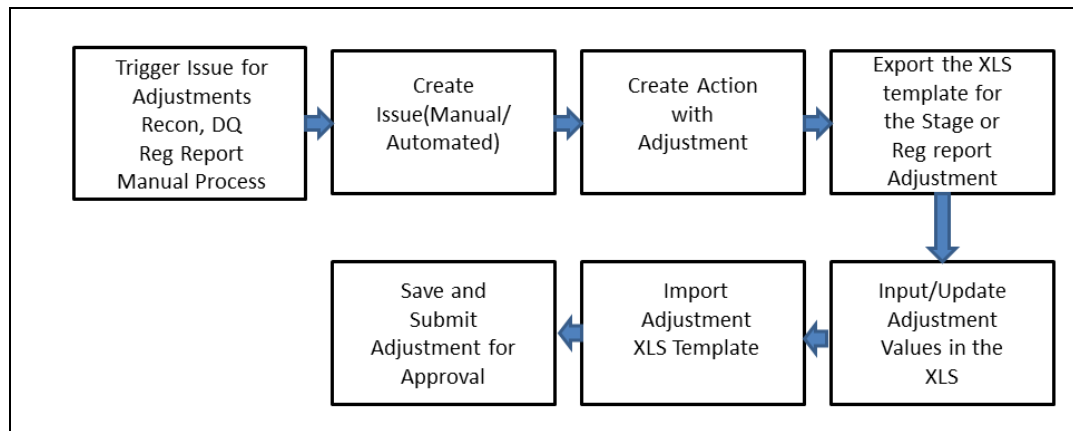
1. The issue is triggered for adjustments.

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:

Figure 44: Data Adjustment Process
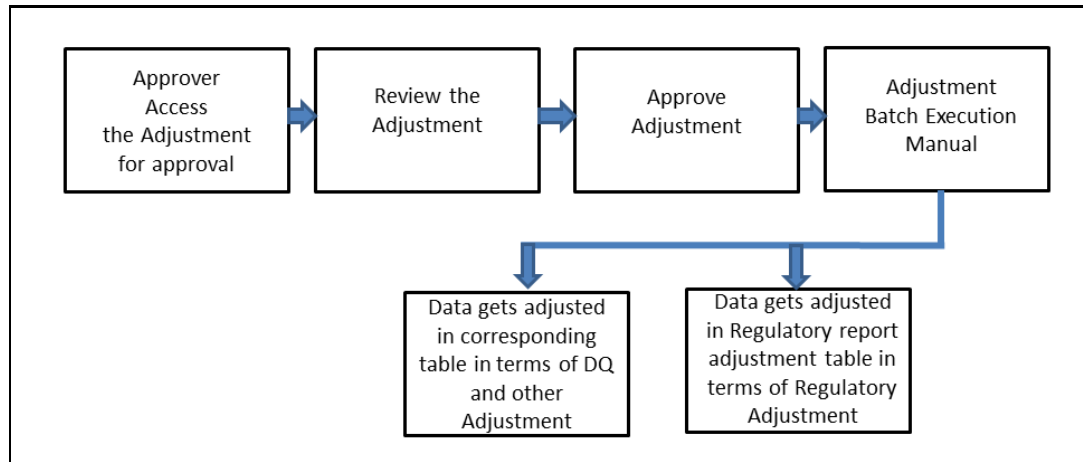
1. The data adjustment Approver accesses the saved adjustment.

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 is 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 as follows:

- **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 Infodom. 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.

12.1   User Roles and Actions

All the users must be mapped to the following user groups:

Table 29: User Group

Group Code	Group Name
ADJCREATGRP	Adjustment Create
ADJAPPGRP	Adjustment Approver

NOTE	• The Adjustment Creator and Approver group must not be assigned to a single user.
	• Adjustment Create user must be mapped to ADJCREATGRP.
	• Adjustment Approver user must be mapped to ADJAPPGRP.

12.1.1   Actions Performed by Users

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

Table 30: Actions Performed by Users

Action Performed	User Role
In the automated process, an Issue is generated by the system.	Assigned to the Issue Owner.

Creating Action for the system-generated Issue.	By the Issue Owner.
Creating Data Adjustment.	By the Action Owner.
Submitting Data Adjustment.	By the Action Owner (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.

12.2   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.

12.2.1   Prerequisites for Data Adjustments

> **NOTE** For Regulatory Reporting 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 enables the **View Adjustment Details** in the **Issue & Action** Screen, where you can view the pre and post-adjustment data.

- An Action must be created for the system-generated Issues. See the Creating an Action Section for details.

- In the **Manual Data** section, select **Export**. If the `/ftpshare` folder does not have the sub-folders `DGS/dgsexport`, user should create these folders before selecting Export.

  Run the following command to create the folder:

  ```
  mkdir -p DGS/dgsexport
  ```

  In addition, give permission to this folder by using the following command:

  ```
  chmod -R 775 DGS
  ```

  > **NOTE** Creating sub-folders is a one time activity.

12.3 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 does not appear.

To create a Data Adjustment, follow these steps:

1. Log in to the application as the Action Owner (Data Adjustment Creator).

2. From **Financial Services Data Governance for European Central Banking** Window navigate to Controls.

3. Select a Stage Table and then click View Controls to view the details.

4. Select a Control that has open Issues from the LHS Menu and then select the Control.

5. Click Issues & Actions.

6. In the **Issues** for this control, click the required system-generated Issue **ID**.

   The Actions section is displayed.

Figure 45: Issues & Actions
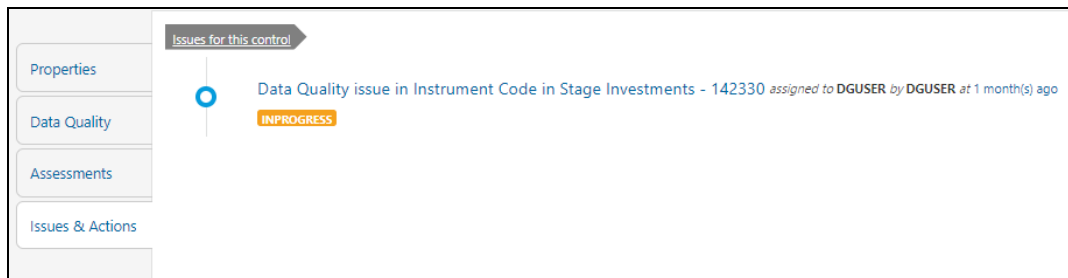
7. In the Actions, select the required issue to View More d**etails**.

   The Data Adjustments section is displayed.

Figure 46: Issues & Actions
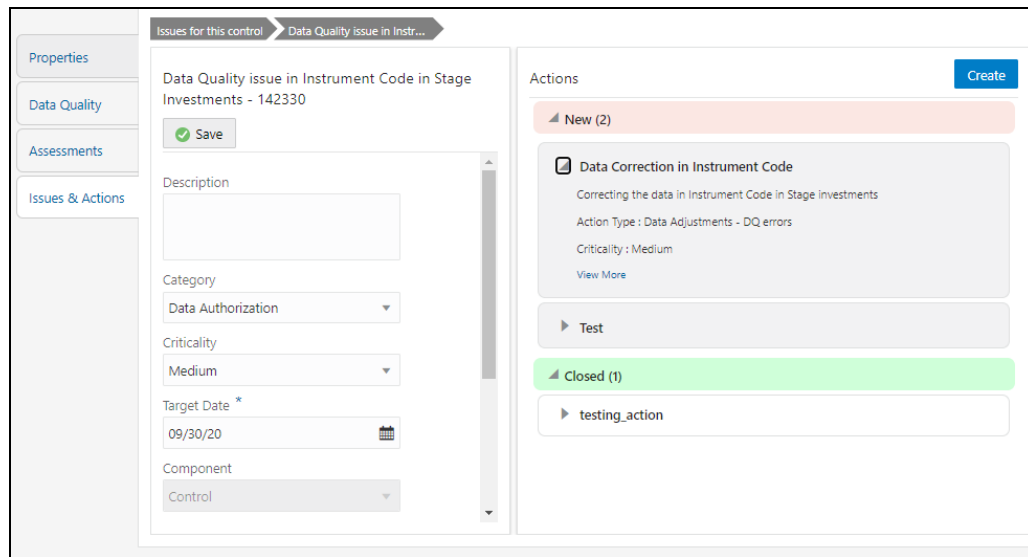
8. In the **Data Adjustments** section, click **Create**.

   The Adjustment Rule Details Window is displayed.

Figure 47: Issues & Actions
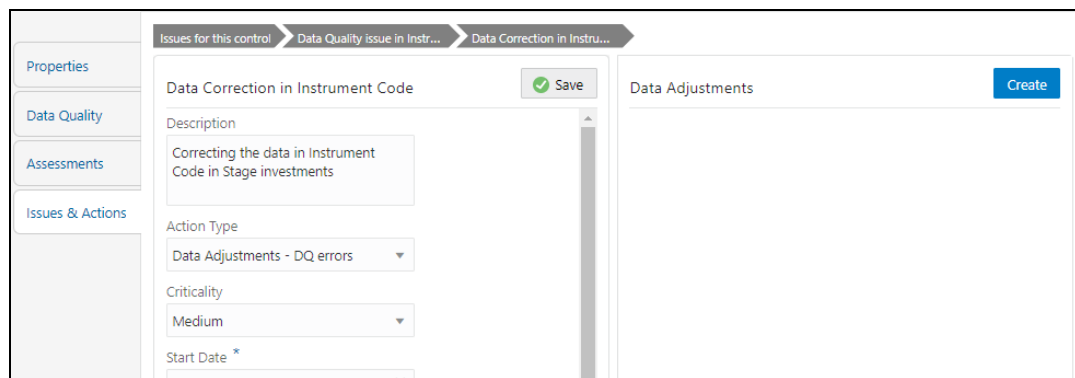
9. Depending on the type of adjustment, create a data adjustment.

   For details see, sections:

   a. Create a Data Adjustment - DQ Errors based Data Adjustment

   b. Create a Data Adjustment - Business based Adjustment

   c. Create a Data Adjustment - Regulatory Reporting based Adjustment

12.3.1 Create a Data Adjustment - Data Quality Errors based Data Adjustment

To create a data adjustment for the action type Data Adjustments - Data Quality Errors, follow these steps:

1. From the Issues & **Actions** Page, under an action created, click **View More**.

2. On the Data Adjustment Page, click Create.

   The Adjustments Rule Details Window is displayed.

3. In the **Adjustment Rule Details** Window, enter values in the **Name** and **Description** fields.

Figure 48: Issues & Actions

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

5. For **User Input**: The **Select Entity** and **Select DQ** are auto-populated. However, you have an option to select a different DQ if it has multiple DQs.

   d. Click **Next**.

   e. Select **Add Attribute**.

   f. In the **Add Attribute** Window, in the Line Item, Target Attribute drop-downs, select the required values and then click **OK**.

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

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

   i. Save the Excel file to your system.

   j. Enter values in the required rows 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**.

6. For **Rule Driven**:

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

   b. In the **Select DQ** drop-down box, select the required Data Quality value.

      This Data Adjustment is being created for this failed Data Quality.

   c. Click **Next**.

   d. Click **Add Expression**.

   e. Select a value from the drop-down box for **Column**.

| NOTE | You can ignore the **Lookup** section. |

    f. Enter values in the following fields:

Table 31: Add Expression 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.

    g. Click **OK** and click **Next**.

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

The Data Adjustment for the action is created.

12.3.2   Create a Data Adjustment - Business based Adjustment

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

1. From the **Issues & Actions** Page, under an action created, click **View More**.

2. On the **Data Adjustment** Page, click **Create**. The Adjustments Rule Details Window is displayed.

3. In the **Adjustment Rule Details** Window, enter values in the **Name** and **Description** fields.

Figure 49: Adjustment Rule Details

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

5. 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:

Table 32: Select Filter 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 **Go**, and then 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**.

6. 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. Select a value from the drop-down box for **Column**.

> **NOTE**   You can ignore the **Lookup** section.

f. In the **Add Expression** Window, enter values in the following fields:

Table 33: Add Expression 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.

g. Click **OK**.

h. Click **Next**.

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

The Data Adjustment for the action is created.

12.3.3 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 a new status.

1. From the Issues & **Actions** Page, under an action created, click **View More**.

2. In the Data Adjustment Page, click **Create**.

   The Adjustments Rule Details Window is displayed.

3. In the **Adjustment Rule Details** Window, enter values in the **Name** and **Description** fields.

Figure 50: Adjustment Rule Details

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

5. 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 is 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. In the **Manual Data** section, in the **Id** column, select the required **ID**.

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

6. 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:

Table 34: Add Expression 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*.
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*.

Field	Description
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.

7. Click **OK** and then click **Next**.

8. In the **Review and Save** section, click **Save**. The Data Adjustment for the action is created.

12.3.3.1 Export and Import Data Updates

> **NOTE** These steps are applicable only when your adjustment is of the User Input type.

In the **Review & Save** tab, 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.

In the **Review & Save** tab, 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 is displayed.

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

NOTE	After you successfully import a file, its status appears as *Imported*.

12.3.3.2   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 is displayed, 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 is displayed, confirming that the adjustment details are saved successfully.

4. Click **OK**. The **Adjustment Rules Details** Page automatically closes.

5. 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**.

6. In the **View Adjustment Details** Page, click **Refresh**. The newly created Data Adjustment is in the Pending Approval state.

7. 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**.

12.3.3.3   View the Pre and Post Adjusted Data

To view the pre and post adjusted data, follow these steps:

1. From **Financial Services Data Governance for European Central Banking** Window navigate to **Controls**.

2. Select a Stage Table and then click **View Controls** to view the details.

3. Select a Control that has open Issues from the LHS Menu and then select the Control.

4. Click **Issues & Actions**.

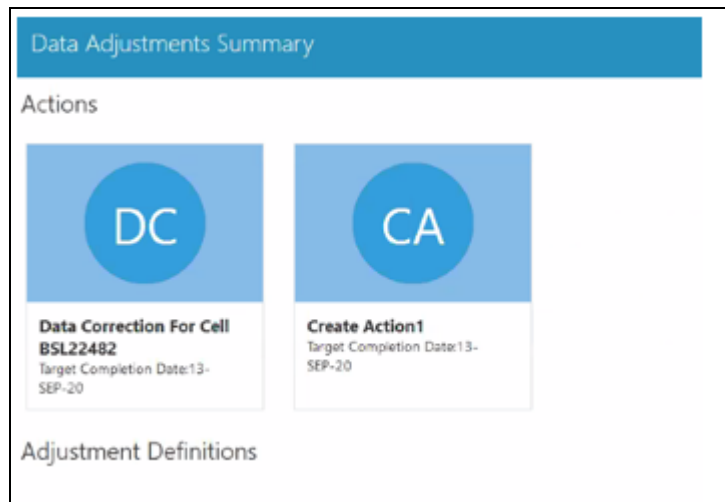   The Issues Summary Window is displayed.

Figure 51: Issue Summary
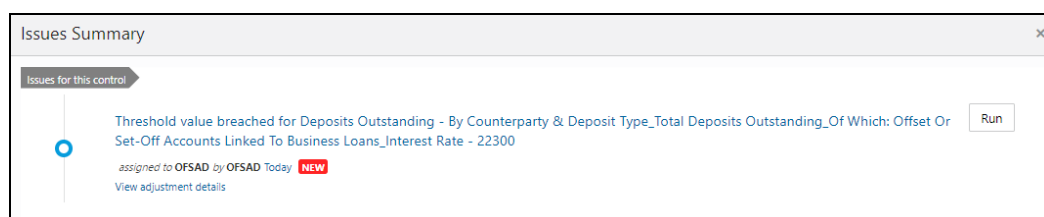
5. Click **View Adjustment Details**.

    The Data Adjustment Summary Window is displayed. In the **Actions** Window, the action that was created for the issue is displayed.

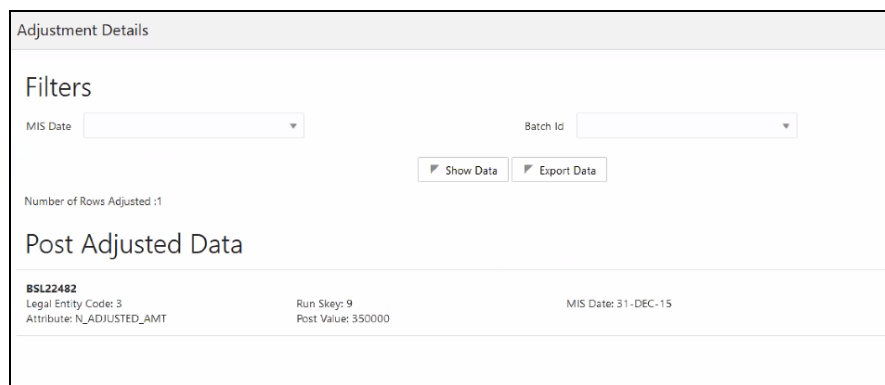**Figure 52: Data Adjustment Summary**

6. Click the required **Action**.

    The adjustments that are defined for the actions are displayed.

7. Click the required adjustment. The pre and post-adjusted data is displayed.

Figure 53: Adjustment Details

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

12.4   Approve or Reject Data Adjustments

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

1. Log in to the application as the **Action Owner** (Data Adjustment Creator).

2. From **Financial Services Data Governance for European Central Banking** Window, navigate to **Controls**.

3. Select a Stage Table and then click **View Controls** to view the details.

4. Select a Control that has open Issues from the LHS Menu and then select the Control.

5. Click **Issues & Actions**.

6. In the **Issues** for this control, click the required system-generated Issue **ID**.

   The Actions section is displayed.

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

12.5   **Modify a Rejected Data Adjustment**

If the Data Adjustment is rejected perform the following steps:

1. Log in to the application as the **Action Owner** (Data Adjustment Creator).

2. From **Financial Services Data Governance for European Central Banking** Window navigate to **Controls**.

3. Select a Stage Table and then click **View Controls** to view the details.

4. Select a Control that has open Issues from the LHS Menu and then select the Control.

5. Click **Issues & Actions**.

6. In the **Issues** for this control, click the required system-generated Issue **ID**.

   The Actions section is displayed.

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

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

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

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

10. Click **OK**.

11. 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.

12. Click **OK**.

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

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

12.6 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 is considered for execution for the MIS data for which the data adjustment is done.

12.6.1 Triggering the Adjustment Batch

NOTE	Only an issue owner can trigger the adjustment batch.

12.6.1.1 Regulatory Adjustments

To trigger the Regulatory Adjustment Batch from the Issue Screen, follow these steps:

1. From **Regulatory Reporting for European Central Banking** Window navigate to **Metadata Management** > **Reports**.

    The **Regulatory Reporting Report Summary** Window is displayed.

Figure 54: Regulatory Reporting Report Summary
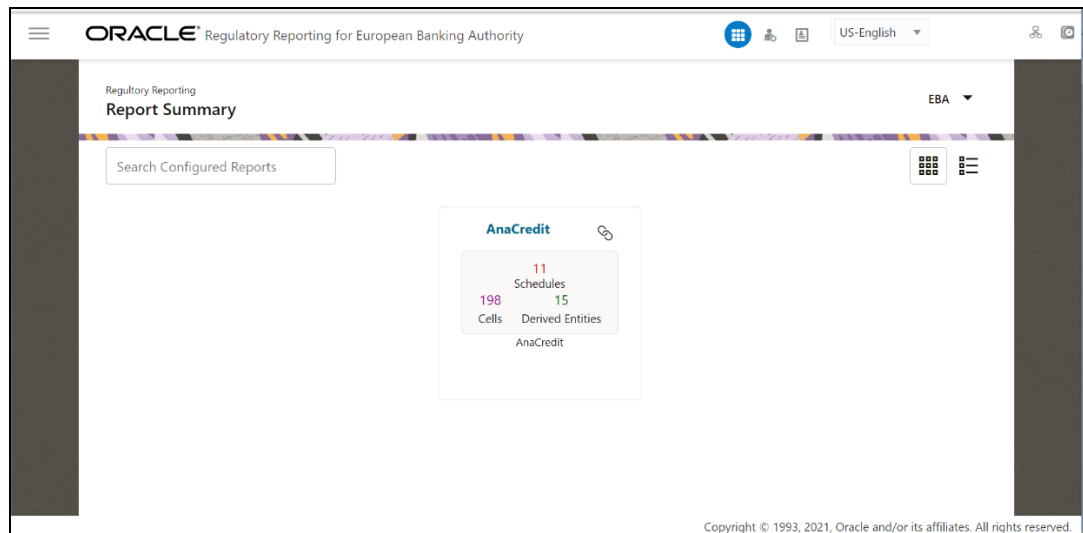
2. Select the required report. For example, here FFIEC-031 report is selected. The **Schedule summary for FFIEC-031** Window is displayed.

Figure 55: Schedule Summary for FFIEC-031
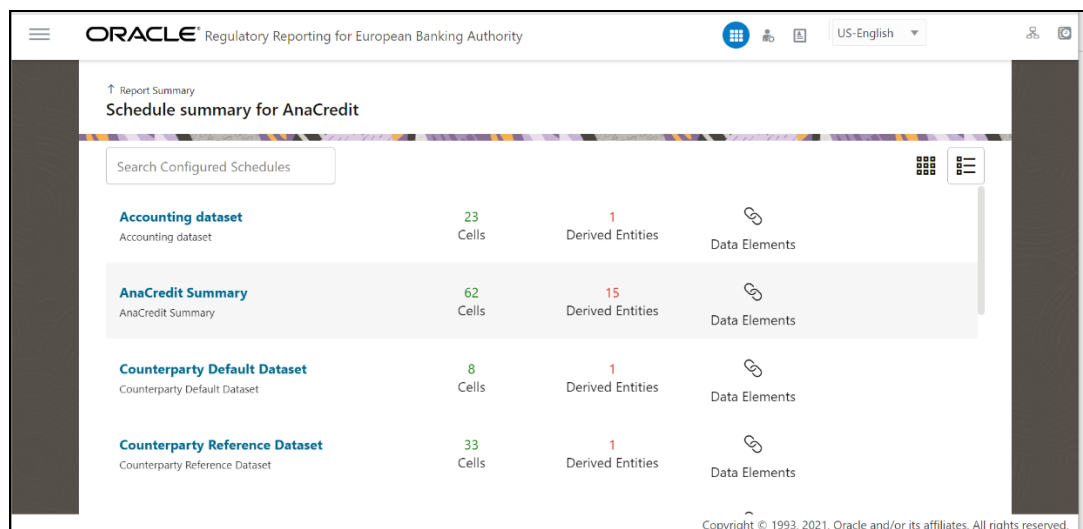
3. Select the required Schedule under FFIEC-031. The Cells for that particular report is displayed.

Figure 56: Cells for RC
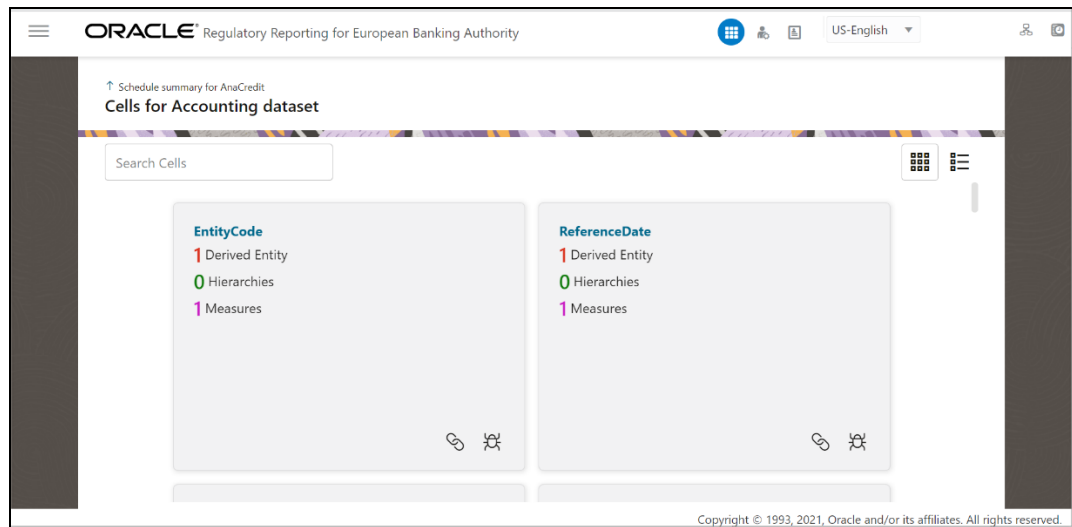
4. Click ⚙ Icon to view the issue. The system-generated issues for this Key Indicator Condition are displayed.

Figure 57: Issues Summary
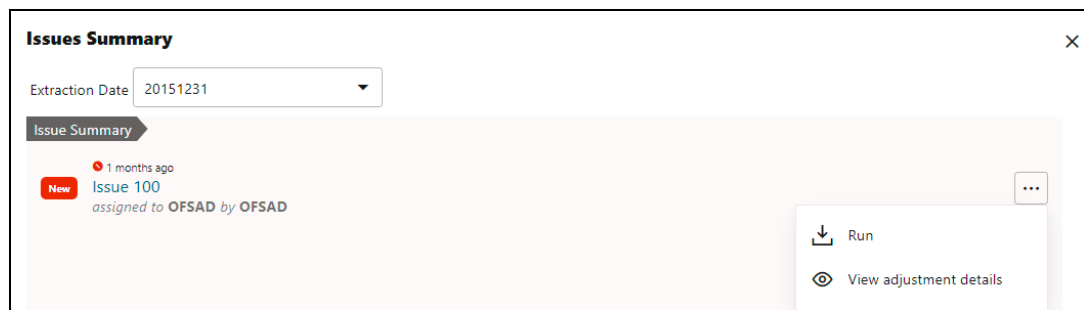
5. Select an issue for which the adjustment is created and click **Run**.

   The **Adjustment Run Parameters** Window is displayed. The Issue Name is displayed as default.

6. Click 📅 to select the **MISDATE** for execution.

7. Click ⧉ to select the **Legal Entity Code** from the list of hierarchy.

> **NOTE**   If the hierarchy is not displayed, resave the hierarchy HIREG004 Org Structure Entity Code.

8. Select the **RuSkey** from the drop-down list.

9. Click **Execute**.

   This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

12.6.1.2 Data Quality Adjustments

To trigger the data quality adjustment batch from the Issue Screen, follow these steps:

1. From **Financial Services Data Governance for European Central Banking** Window navigate to **Controls**.

2. Select a Stage Table and then click **View Controls** to view the details.

3. Select a Control that has open Issues from the LHS Menu and then select the Control.

4. Click **Issues & Actions**.

   The system-generated issues for this control are displayed.

5. Select an issue for which the adjustment is created and click **Run**.

   The **Adjustment Run Parameters** Window is displayed. The Issue Name is displayed as default.

6. Click to select the **MISDATE** for execution.

7. Click to select the **Legal Entity Code** from the list of hierarchy.

NOTE	If the hierarchy is not displayed, resave the hierarchy HIREG004 Org Structure Entity Code.

8. Select the **RuSkey** from the drop-down list.

9. Click **Execute**.

   This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

12.6.2 Creating a New Batch and a Task

To create a new Batch, perform the following steps:

NOTE	Ensure to create a new batch, and add the respective parameters as explained in the following procedure for manually creating the issues in Regulatory Adjustments.

1. From **Financial Services Data Governance for European Central Banking** Window navigate to Operations and then select **Batch Maintenance.**

2. To create a Batch, in the Batch Name section, click the Icon.

Figure 58: Batch Maintenance

3. In the **Add Batch 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** drop-down box, select the **RUN EXECUTABLE** value.

7. The values are automatically generated for the **Datastore Type**, **Datastore Name**, and **IP Address** fields.

8. 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*.

9. For the **Wait** field, select either **Y** or **N** as required.

10. For the **Batch Parameter** field, select **Y**.

11. Enter the required details in all the other fields.

12. Click **Save**.

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

12.6.3 Monitoring the Data Adjustment Batch through the Batch Monitor Pane

To monitor the data adjustment batch through the Batch Monitor pane follows these steps:

1. From **Financial Services Data Governance for European Central Banking** Window navigate to Operations and the select **Batch Monitor.**

2. The **Batch Monitor** pane appears on the right-hand side.

Figure 59: Batch Monitor

3. In the **Batch Details** section, select the Batch ID which was executed during the Batch Execution.

4. 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.

5. Click the **Batch Run ID** drop-down box and select the required value.

6. Click the **Start Monitoring** Icon.

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

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

9. 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.

13   Data Adjustments from Inbox

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 is illustrated in the following diagram:

For an Adjustment Creator:

Figure 60: Data Adjustment Process
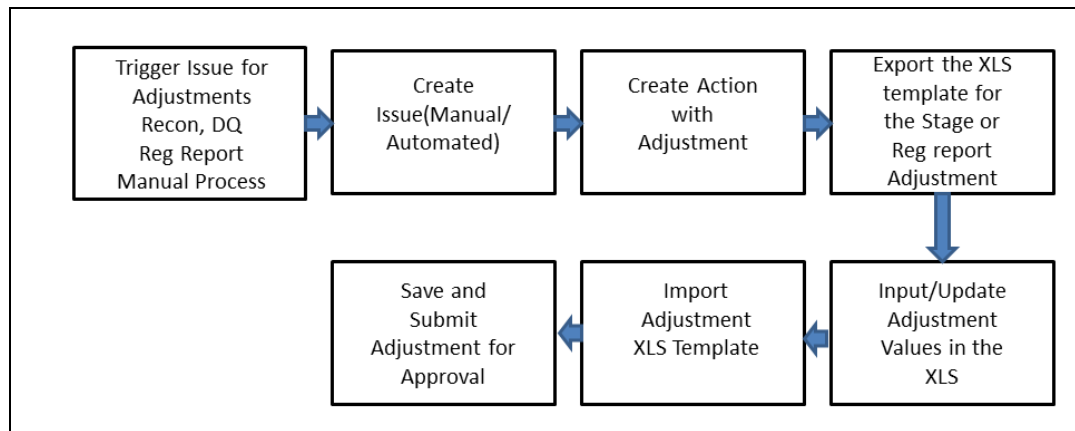
1. The issue is triggered for adjustments.

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:

Figure 61: Data Adjustment Process
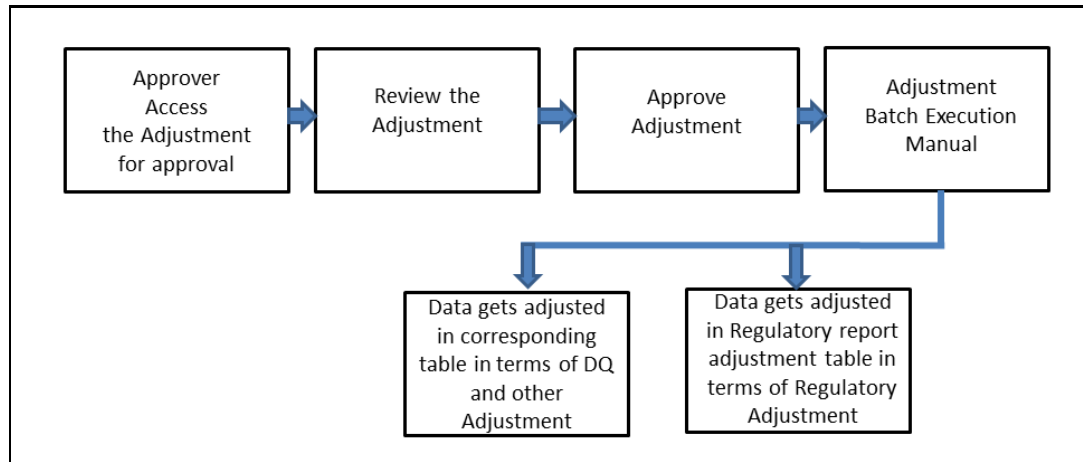
8. The data adjustment Approver accesses the saved adjustment.

9. The data adjustment is reviewed.

10. The data adjustment is approved.

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

12. 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

13. 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 is 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 as follows:

- **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 Infodom. 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.

13.1   User Roles and Actions

All the users are required to be mapped to the following user groups:

Table 35: User Group

Group Code	Group Name
ADJCREATGRP	Adjustment Create
ADJAPPGRP	Adjustment Approver

> **NOTE**
> - The Adjustment Creator and Approver group must not be assigned to a single user.
> - Adjustment Create user must be mapped to ADJCREATGRP.
> - Adjustment Approver user must be mapped to ADJAPPGRP.

13.1.1   Actions Performed by Users

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

Table 36: Actions Performed by Users

Action Performed	User Role
In the automated process, an Issue is generated by the system.	Assigned to the Issue Owner.

Creating Action for the system-generated Issue.	By the Issue Owner.
Creating Data Adjustment.	By the Action Owner.
Submitting Data Adjustment.	By the Action Owner (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.

13.2 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.

13.2.1 Prerequisites for Data Adjustments

> **NOTE** For Regulatory Reporting 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 enables the **View Adjustment Details** in the **Issue & Action** screen, where you can view the pre and post-adjustment data.

- An Action must be created for the system-generated Issues. See section, Creating an Action for details.

- In the **Manual Data** section, select **Export**. If the `/ftpshare` folder does not have the sub-folders `DGS/dgsexport`, user should create these folders before selecting Export.

  Run the following command to create the folder:

  ```
  mkdir -p DGS/dgsexport
  ```

  And give permission to this folders by using the following command:

  ```
  chmod -R 775 DGS
  ```

> **NOTE** Creating sub-folders is a one time activity.

13.3 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 does not appear.

To create a Data Adjustment, follow these steps:

1. Log in to the application as the Action Owner (Data Adjustment Creator).

2. From **Financial Services Data Governance for European Central Banking Regulatory Reporting** window navigate to Inbox.

3. Click **Go to Tasks**.

4. Select the Issue or click on the Issue hyperlink.

Figure 62: Issue Details
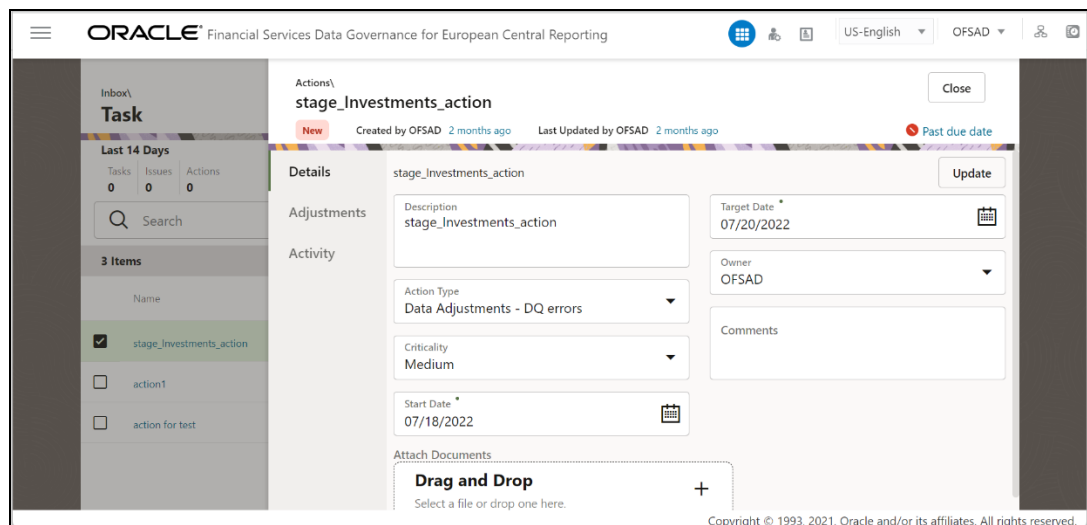
5. Click the **Actions** tab and if an action is already present, then click **View More**.

6. Or else, create a new action. In the **Data Adjustments** section, click **Create**.

   The Adjustment Rule Details window is displayed.

Figure 63: Issues & Actions
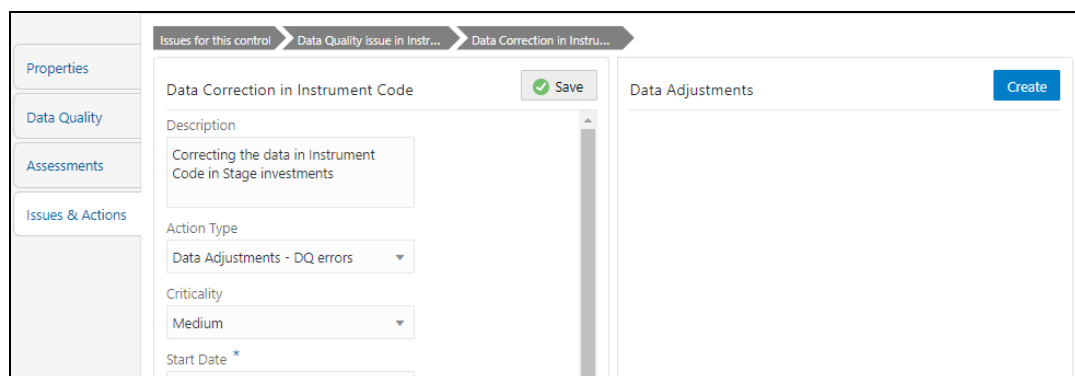
7. Depending on the type of adjustment, create a data adjustment.

For details see, sections:

f. [Create a Data Adjustment - DQ Errors based Data Adjustment](#)

g. [Create a Data Adjustment - Business based Adjustment](#)

h. [Create a Data Adjustment - Regulatory Reporting based Adjustment](#)

13.3.1 Create a Data Adjustment - Data Quality Errors based Data Adjustment

To create a data adjustment for the action type Data Adjustments - Data Quality Errors, follow these steps:

1. From the Issues & **Actions** page, under an action created, click **View More**.

2. On the Data Adjustment page, click Create.

    The Adjustments Rule Details window is displayed.

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

Figure 64: Issues & Actions

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

5. For **User Input**: The **Select Entity** and **Select DQ** are auto-populated. However, you have an option to select a different DQ if it has multiple DQs.

    a. Click **Next**.

    b. Select **Add Attribute**.

    c. In the **Add Attribute** window, in the Line Item, Target Attribute drop-downs, select the required values and then click **OK**.

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

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

    f. Save the Excel file to your system.

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

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

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

      j. Click **Import**.

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

6. 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 Data Quality value.

      This Data Adjustment is being created for this failed Data Quality.

      c. Click **Next**.

      d. Click **Add Expression**.

      e. Select a value from the drop-down box for **Column**.

> **NOTE**   You can ignore the **Lookup** section.

      f. Enter values in the following fields:

Table 37: Add Expression 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.

      g. Click **OK** and click **Next**.

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

      The Data Adjustment for the action is created.

13.3.2 Create a Data Adjustment - Business based Adjustment

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

1. From the **Issues & Actions** page, under an action created, click **View More**.

2. On the **Data Adjustment** page, click **Create**. The Adjustments Rule Details window is displayed.

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

Figure 65: Adjustment Rule Details

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

5. 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:

Table 38: Select Filter 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 **Go**, and then 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**.

6. 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. Select a value from the drop-down box for **Column**.

> **NOTE**   You can ignore the **Lookup** section.

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

Table 39: Add Expression 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.

g. Click **OK**.

h. Click **Next**.

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

The Data Adjustment for the action has been created.

13.3.3 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 a new status.

1. From the Issues & **Actions** page, under an action created, click **View More**.

2. In the Data Adjustment page, click **Create**.

   The Adjustments Rule Details window is displayed.

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

Figure 66: Adjustment Rule Details

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

5. 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. In the **Manual Data** section, in the **Id** column, select the required **ID**.

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

6. 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:

Table 40: Add Expression 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*.
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*.

Field	Description
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.

7. Click **OK** and then click **Next**.

8. In the **Review and Save** section, click **Save**. The Data Adjustment for the action is created.

13.3.3.1 Export and Import Data Updates

> **NOTE** These steps are applicable only when your adjustment is of the User Input type.

In the **Review & Save** tab, 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.

In the **Review & Save** tab, Importing User Input Type Data Adjustment:

6. 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**.

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

8. To upload this, excel file, click **Upload**.

    After a successful upload, an acknowledgment message is displayed.

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

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

13.3.3.2 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 is displayed, 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 is displayed, confirming that the adjustment details are saved successfully.

4. Click **OK**. The **Adjustment Rules Details** page automatically closes.

5. 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**.

6. In the **View Adjustment Details** page, click **Refresh**. The newly created Data Adjustment is in the Pending Approval state.

7. 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**.

13.3.3.3 View the Pre and Post Adjusted Data

To view the pre and post adjusted data, follow these steps:

1. From **Financial Services Data Governance for European Central Banking Regulatory Reporting** window navigate to **Controls**.

2. Select a stage table and then click **View Controls** to view the details.

3. Select a Control that has open Issues from the LHS Menu and then select the Control.

4. Click **Issues & Actions**.

    The Issues Summary window is displayed.

Figure 67: Issue Summary
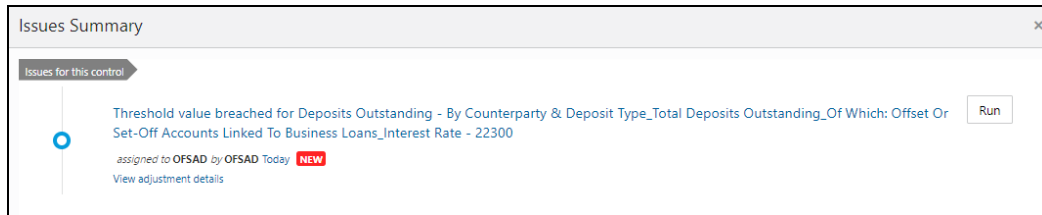
5. Click **View Adjustment Details**.

The Data Adjustment Summary window is displayed. In the **Actions** window, the action that was created for the issue is displayed.

Figure 68: Data Adjustment Summary
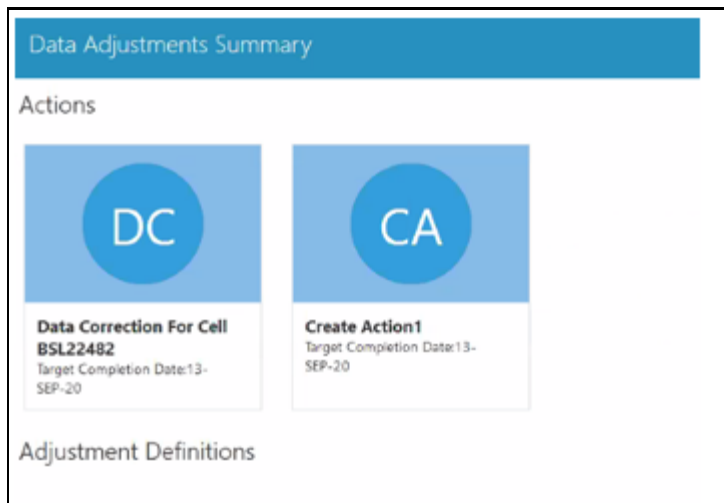
6. Click the required **Action**.

The adjustments that are defined for the actions are displayed.

7. Click the required adjustment. The pre and post-adjusted data is displayed.

Figure 69: Adjustment Details
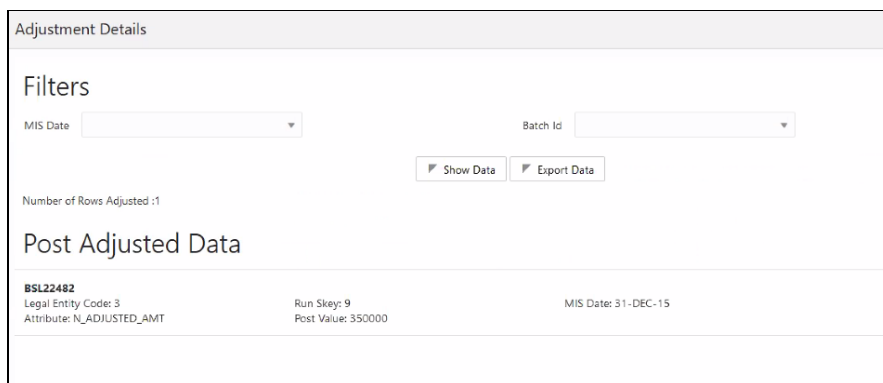
NOTE	For the Data Adjustment - Regulatory Reporting, only the adjusted data appears.

13.4   Approve or Reject Data Adjustments

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

1. Log in to the application as the **Action Owner** (Data Adjustment Creator).

2. From **Financial Services Data Governance for European Central Banking Regulatory Reporting** window, navigate to **Controls**.

3. Select a stage table and then click **View Controls** to view the details.

4. Select a Control that has open Issues from the LHS Menu and then select the Control.

5. Click **Issues & Actions**.

6. In the **Issues** for this control, click the required system-generated Issue **ID**.

    The Actions section is displayed.

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

13.5   Modify a Rejected Data Adjustment

If the Data Adjustment is rejected perform the following steps:

1. Log in to the application as the **Action Owner** (Data Adjustment Creator).

2. From **Financial Services Data Governance for European Central Banking Regulatory Reporting** window navigate to **Controls**.

3. Select a stage table and then click **View Controls** to view the details.

4. Select a Control that has open Issues from the LHS Menu and then select the Control.

5. Click **Issues & Actions**.

6. In the **Issues** for this control, click the required system-generated Issue **ID**.

   The Actions section is displayed.

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

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

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

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

10. Click **OK**.

11. 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.

12. Click **OK**.

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

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

13.6 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 is considered for execution for the MIS data for which the data adjustment has been done.

13.6.1 Triggering the Adjustment Batch

> **NOTE** Only an issue owner can trigger the adjustment batch.

13.6.1.1 Regulatory Adjustments

To trigger the Regulatory Adjustment Batch from the Issue screen, follow these steps:

1. From **Regulatory Reporting for European Banking Authority** window, navigate to **Metadata Management** > **Reports**.

   The **Regulatory Reporting Report Summary** window is displayed.

Figure 70: Regulatory Reporting Report Summary
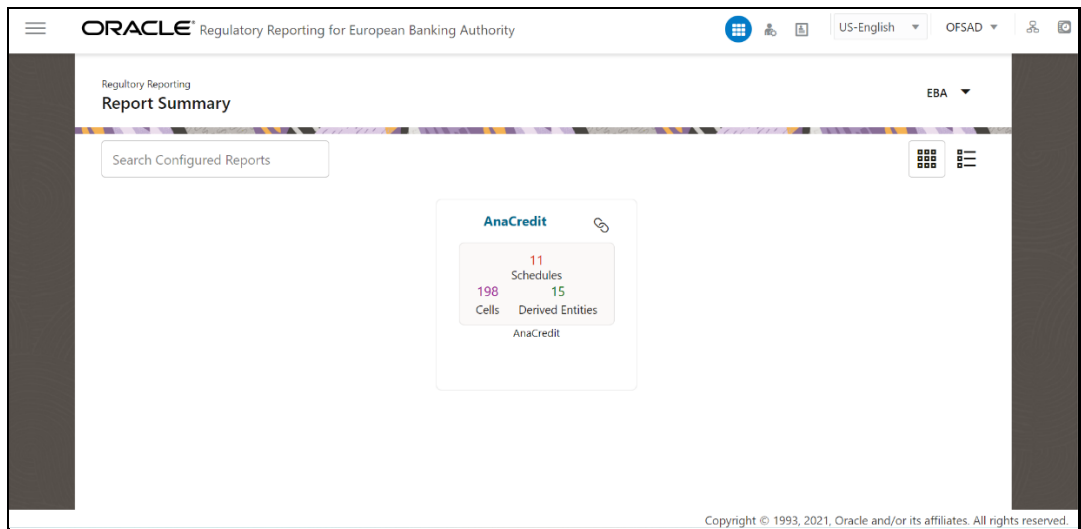
2. Select the required report. For example, here FFIEC-031 report is selected. The **Schedule summary for FFIEC-031** window is displayed.

Figure 71: Schedule summary for FFIEC-031
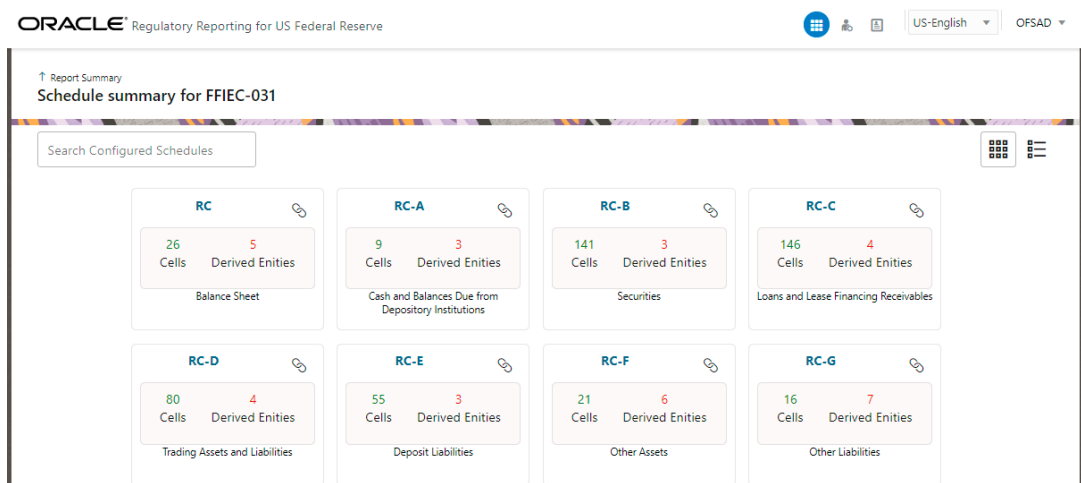
3. Select the required Schedule under FFIEC-031. The Cells for that particular report is displayed.

Figure 72: Cells for RC
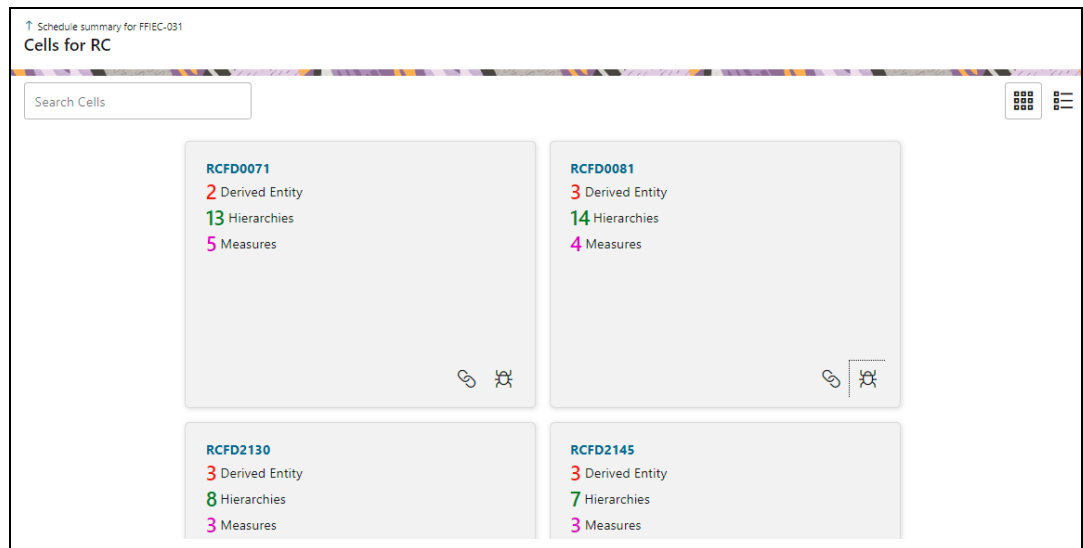
4. Click ![icon] icon to view the issue. The system-generated issues for this Key Indicator Condition are displayed.

Figure 73: Issues Summary
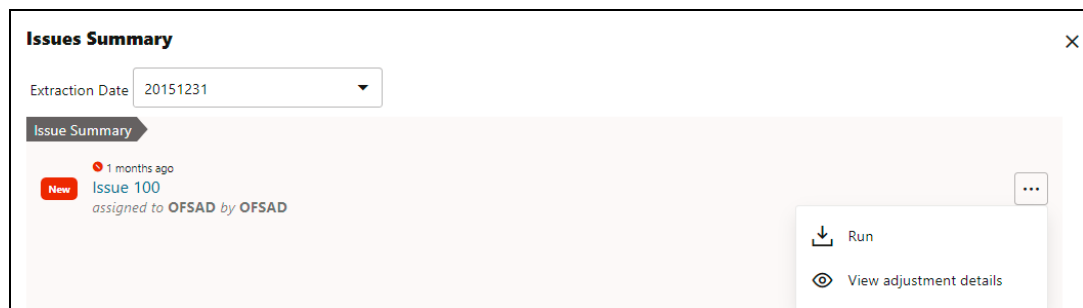
5. Select an issue for which the adjustment is created and click **Run**.

   The **Adjustment Run Parameters** window is displayed. The Issue Name is displayed as default.

6. Click ![calendar icon] to select the **MISDATE** for execution.

7. Click ![hierarchy icon] to select the **Legal Entity Code** from the list of hierarchy.

> **NOTE**   If the hierarchy is not displayed, resave the hierarchy HIREG004 Org Structure Entity Code.

8. Select the **RuSkey** from the drop-down list.

9. Click **Execute**.

   This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

13.6.1.2   Data Quality Adjustments

To trigger the data quality adjustment batch from the Issue screen, follow these steps:

1. From **Financial Services Data Governance for European Central Banking Regulatory Reporting** window navigate to **Controls**.

2. Select a stage table and then click **View Controls** to view the details.

3. Select a Control that has open Issues from the LHS Menu and then select the Control.

4. Click **Issues & Actions**.

    The system-generated issues for this control are displayed.

5. Select an issue for which the adjustment is created and click **Run**.

    The **Adjustment Run Parameters** window is displayed. The Issue Name is displayed as default.

6. Click to select the **MISDATE** for execution.

7. Click to select the **Legal Entity Code** from the list of hierarchy.

NOTE	If the hierarchy is not displayed, resave the hierarchy HIREG004 Org Structure Entity Code.

8. Select the **RuSkey** from the drop-down list.

9. Click **Execute**.

    This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

13.6.2   Creating a New Batch and a Task

To create a new Batch, perform the following steps:

NOTE	Ensure to create a new batch, and add the respective parameters as explained in the following procedure for manually creating the issues in Regulatory Adjustments.

1. From **Financial Services Data Governance for European Central Banking Regulatory Reporting** window navigate to Operations and then select **Batch Maintenance.**

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

Figure 74: Batch Maintenance

3. In the **Add Batch 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.

7. The values are automatically generated for the **Datastore Type**, **Datastore Name**, and **IP Address** fields.

8. 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*.

9. For the **Wait** field, select either **Y** or **N** as required.

10. For the **Batch Parameter** field, select **Y**.

11. Enter the required details in all the other fields.

12. Click **Save**.

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

13.6.3 Monitoring the Data Adjustment Batch through the Batch Monitor Pane

To monitor the data adjustment batch through the Batch Monitor pane follows these steps:

1. From **Financial Services Data Governance for European Central Banking Regulatory Reporting** window navigate to Operations and the select **Batch Monitor.**

2. The **Batch Monitor** pane appears on the right-hand side.

Figure 75: Batch Monitor

3. In the **Batch Details** section, select the Batch ID which was executed during the Batch Execution.

4. 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.

5. Click the **Batch Run ID** dropdown box and select the required value.

6. Click the **Start Monitoring** icon.

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

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

9. 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. |

14   Plan Monitoring

This chapter explains the process of identifying the Reporting Plan.

14.1   User Roles and Actions

All the Users must be mapped to the following User Groups and User Roles:

Table 41: User Group

Group Code	Group Name
DGAPPGRP	**DGS App Menu Group**

Table 42: User Role

Role Code	Role Name
PLANMONR	**Plan Monitoring Role**

NOTE	Ensure to create a group in User Group Maintenance to map the roles. The group created must be mapped to the created user.
	Ensure the domains in the User Domains Map must be mapped to the created group.

14.2   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 the scope of the plan. You can choose any OFSAA Run as the scope and derive the tasks from all the Runs in the scope.

Data Governance for European Central Banking facilitates the mapping of OFSAA Runs to the plans. For the created plan, the user can link the Runs by selecting the Runs. All the selected Runs are displayed in the Plan Monitoring Screen.

The Runs available as a part of the applications can be made visible in Data Governance for European Central Banking.

Metadata Publish is required to publish the Run related information.

Data Governance for European Central Banking facilitates the mapping of Tasks to Runs in the **Plan** section. Click the Run. This allows you to select the tasks. The Task Selection Window is displayed. All the tasks under the selected Run are displayed. The selected tasks can be seen in the Task List in the Plan Monitoring Window.

To create a Reporting Plan, perform the following steps:

1. From the **Financial Services Data Governance for European Central Banking** Window navigate to **Plan Monitoring.**

Figure 76: Plan Monitoring
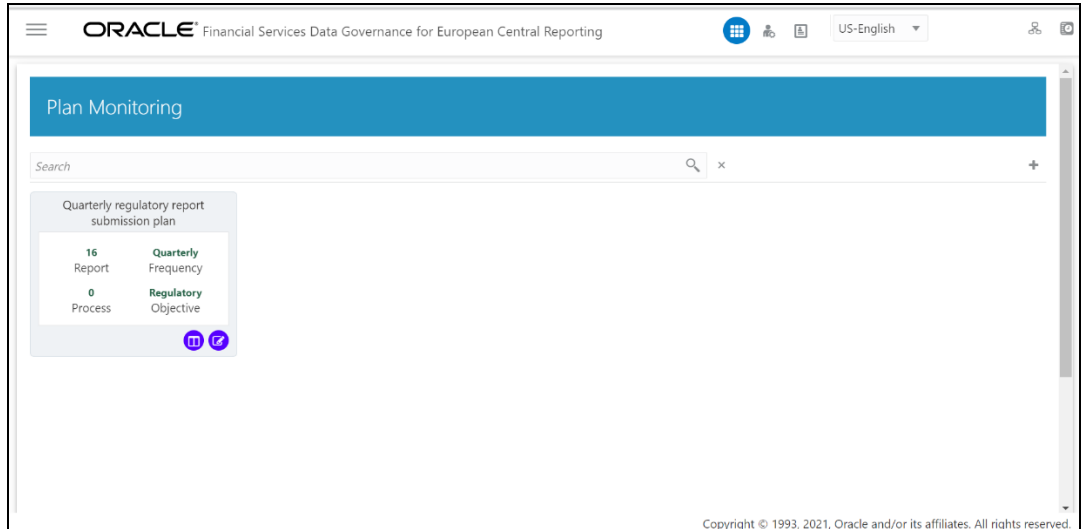
In the **Plan Monitoring**, click the ✚ **Create Plan** Icon.

Figure 77: Plan Monitoring
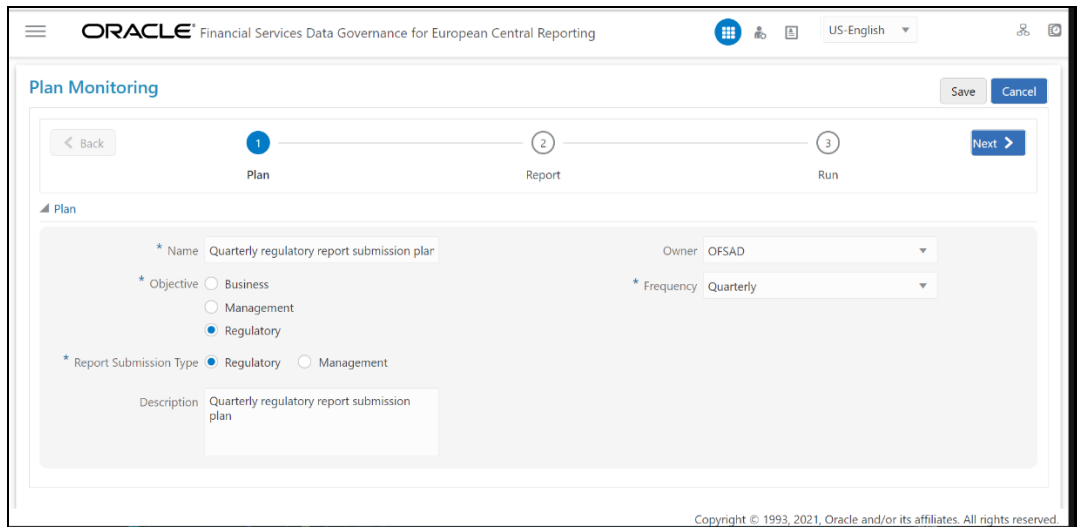
2. In the **Plan Monitoring** Window, enter the required information in the available fields.

Table 43: Plan Monitoring

Fields='	Description
	Fields marked in blue asterisk(*) are mandatory
Name*	Provide a short description of the plan.

| 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.
Report Submission 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 • Custom • Daily • Fortnightly • Weekly

3. Click **Next**.

4. Select a **Report** from the drop-down. The Reports displayed in the drop-down are the Reports configured in the Application.

Figure 78: Plan Monitoring
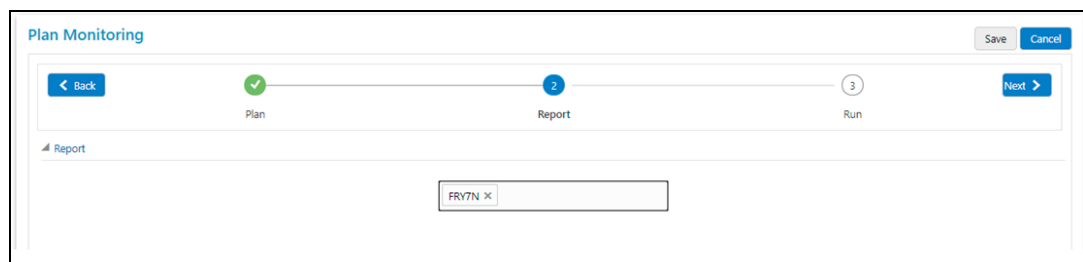
5. Click **Next**.

6. Select the **Run** from the drop-down.

    The selected Run is displayed under Run Details.

Figure 79: Plan Monitoring
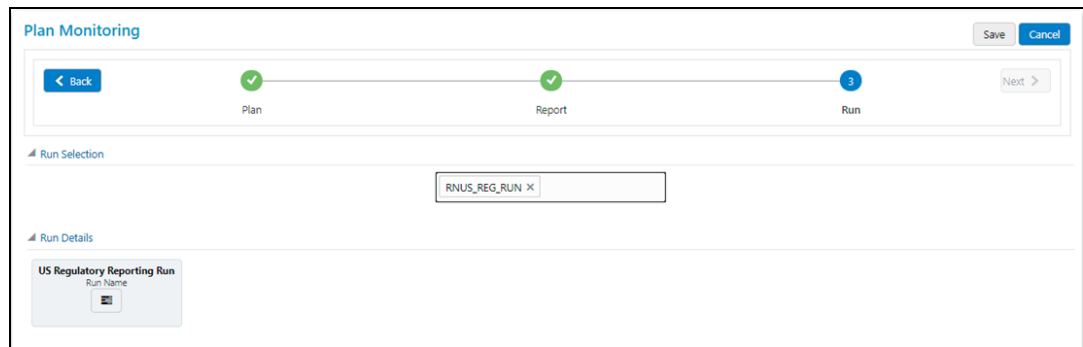
7. Click **Run Name** to add a task.

   The **Task Selection** Window is displayed.

Figure 80: Task Selection
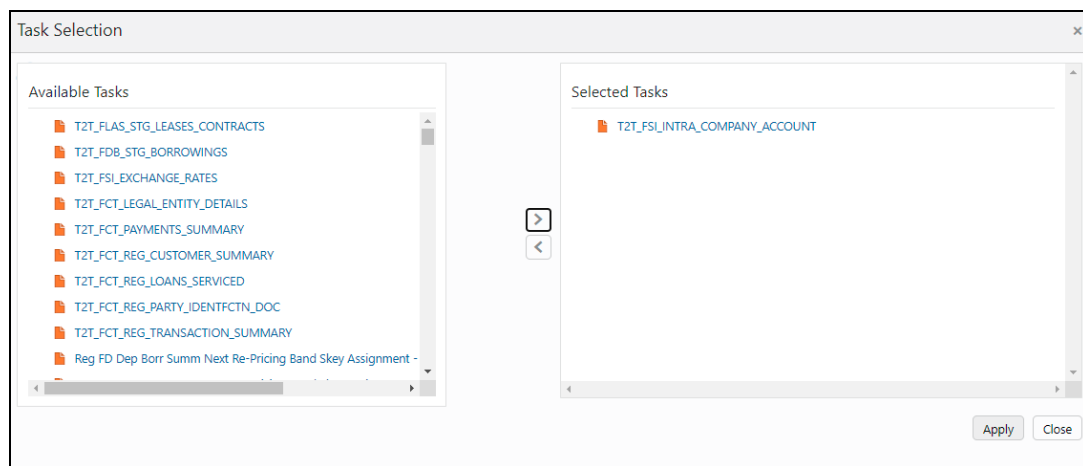
8. Select the required Task and click **Apply**.

   The selected Task is displayed under the Task List.

9. For each Task in the **Task List**, you can click ➕ to select the **Dependent Tasks**.

10. Click **Save**.

   The newly created Plan appears under the Plan Monitoring Summary Window. A confirmation message is displayed: Monitoring a Reporting Plan. After submission, the Reporting Plan is monitored for the completion of individual tasks.

14.3 Viewing and Editing a Reporting Plan

To view or edit a Reporting Plan, perform the following steps:

1. From the **Financial Services Data Governance for European Central Banking** Window navigate to **Plan Monitoring.**

Figure 81: Plan Monitoring - View
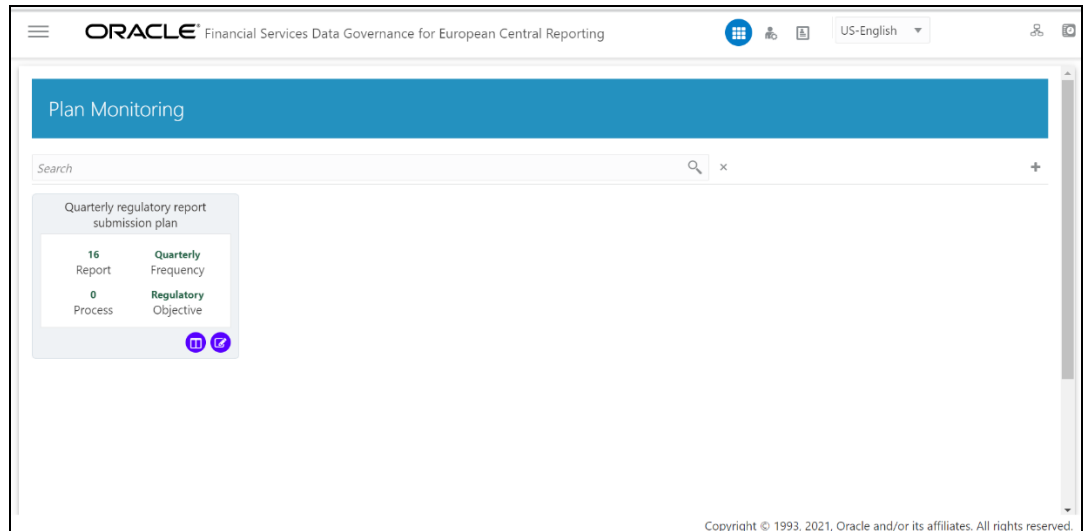
2. To view an already created **Plan, i**n the **Plan Monitoring Summary Window**, click the Icon.

The fields are not editable.

Figure 82: Plan Monitoring - View
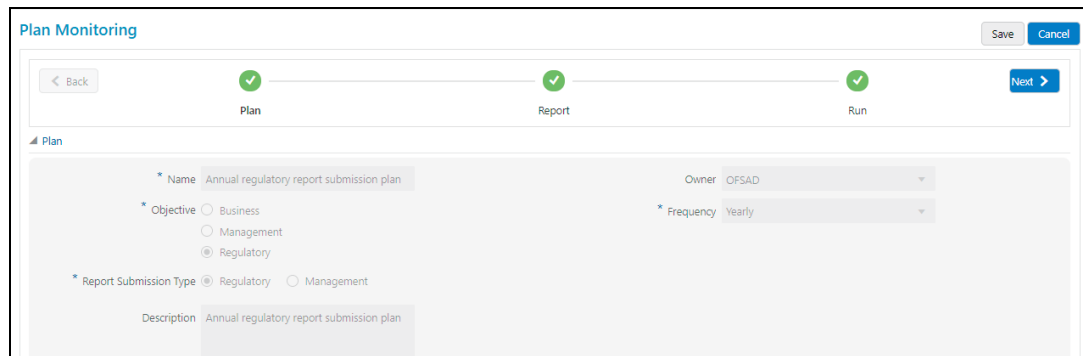
3. To edit an existing Plan, **i**n the **Plan Monitoring Summary Window**, click the Icon.

Figure 83: Plan Monitoring - View

4. Edit the required fields and then click **Save**.

15 Regulatory Reporting Deployment

This chapter provides information on deploying the reports based on the selected jurisdiction. It retains only the relevant report objects in the application, which are used in debugging the issues if any. This approach makes the deployment process intuitive and transparent to the banks. The product consists of the metadata and the objects of USFED and CANADA.

NOTE	The user must be part of the SYSTEMADMIN group to perform the regulatory reporting deployment.

15.1 Deploying Regulatory Report Based on Various Jurisdictions

This section provides the step-by-step instructions to deploy the regulatory reports based on the selected jurisdiction.

1. Login to OFSAA and select **Financial Services Data Governance for European Central Banking.**

Figure 84: Regulatory Reporting Deployment Navigation Page
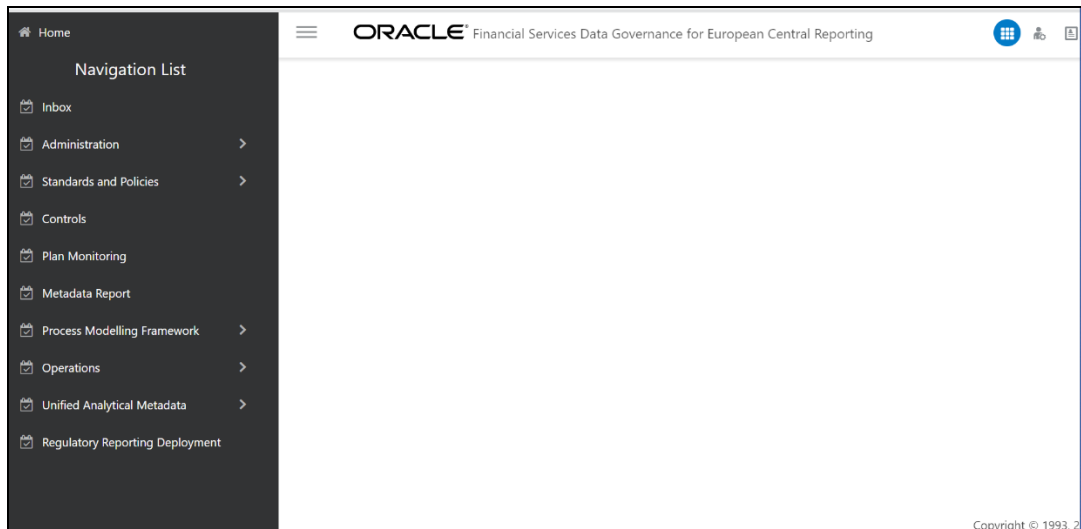
2. Click **Regulatory Reporting Deployment** menu.

Figure 85: Summary of Reports Page
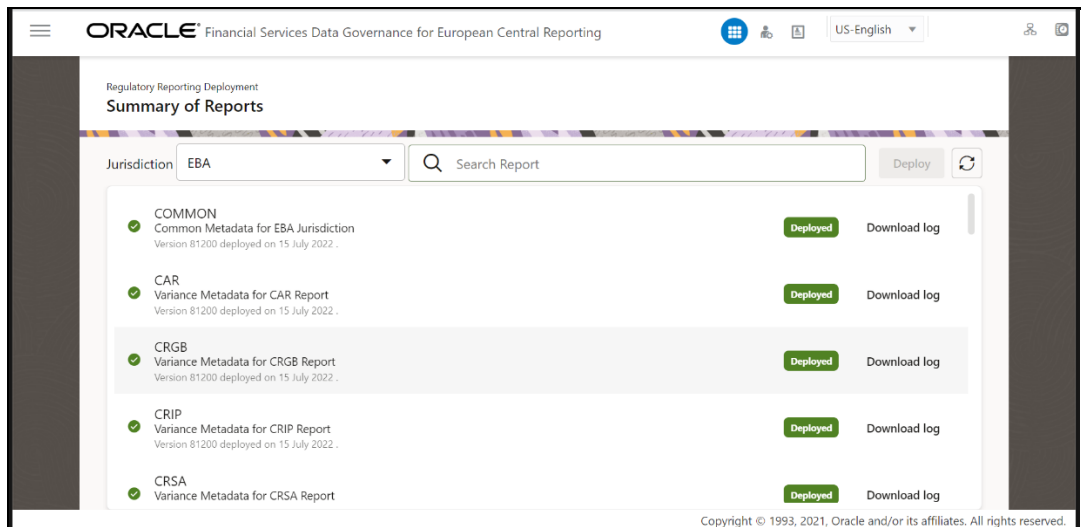
3. Select the required jurisdiction from the drop-down list.

4. Select the required reports from the available list or search for a specific report using the **Search pane**.

   Select the report **COMMON** when a report in jurisdiction is deployed for first time. It includes all the common metadata for Account Mapper.

5. Click **Deploy** button to trigger the deployment of reports.

   The deployment of report occurs in a sequential manner. The status of the report is **Deployed** on successful deployment of the report.

Figure 86: Successful Deployment of Regulatory Report Page (USFED)
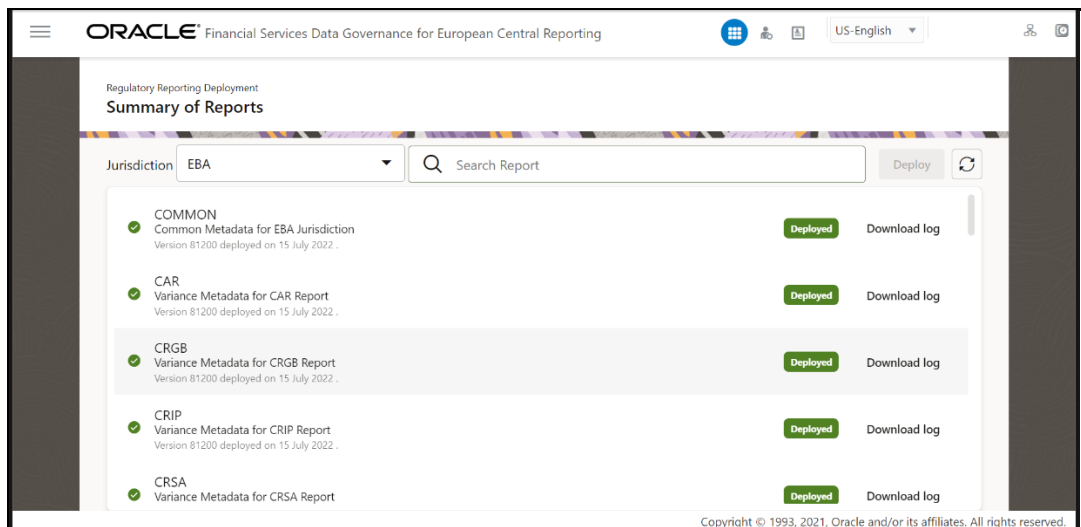
6. Click **Download log** button to download the log for the deployed report.

   If the report deployment is unsuccessful, the Report Deployment unsuccessful Page is displayed.

Figure 87: Unsuccessful Deployment of Regulatory Report Page (DGS EBA)

7. Click **Re Deploy** link to deploy the reports again.

16   Dashboards

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

ATTENTION	It is recommended to navigate form the Drill-down path that is displayed at the bottom of the Dashboard Page.

16.1   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 OFS Data Governance Run Chart and execute the batch DGS_DQ_CTL_BATCH, Data Profile for the date on which the data quality check needs to be executed. Refer to the OFS Data Governance 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 Homepage displays 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:

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

Figure 88: Data Quality Dashboard
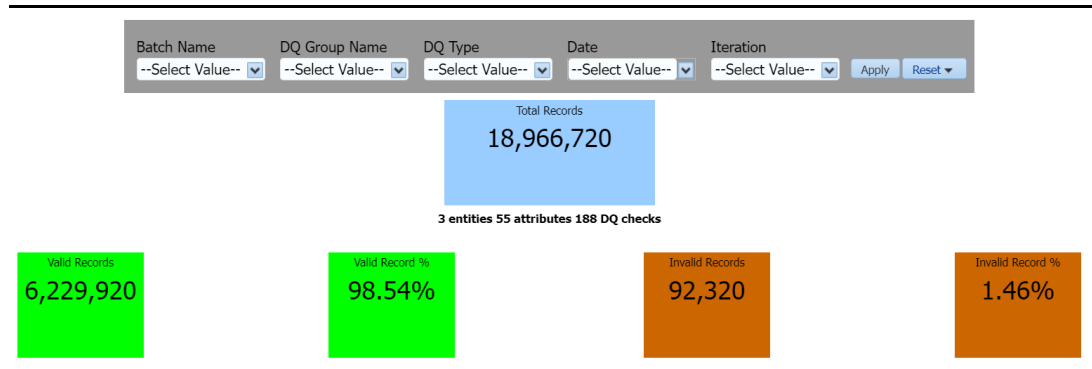
16.1.1   Distribution of Error Records by the Attribute Count

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

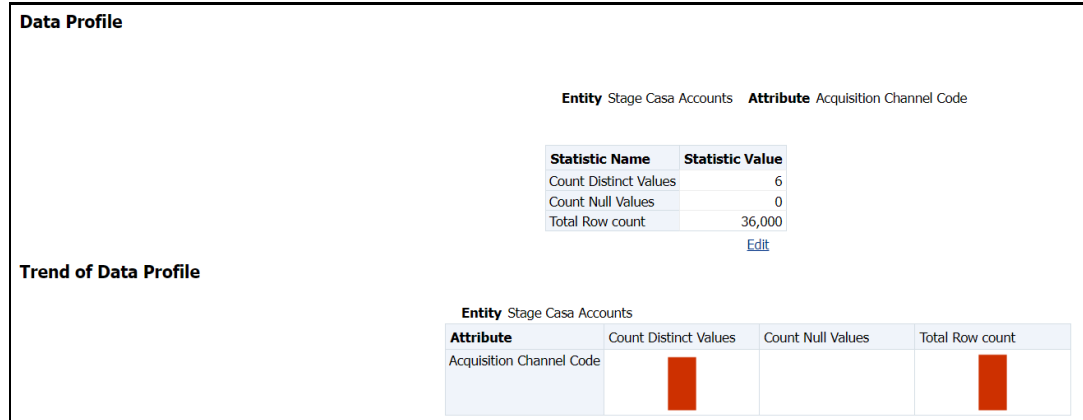**Figure 89: Distribution of Error Records by the Attribute Count**
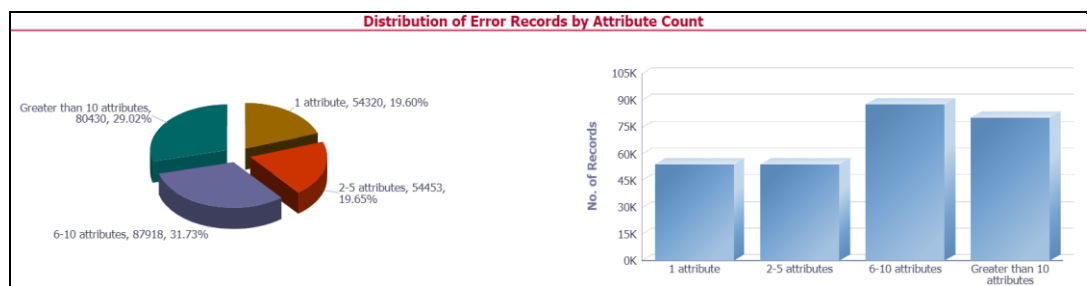
Click either on the pie chart or bar graph to drill down to view the following details:

- Entity

- Attributes

- DQ Check Type Name

- Percentage of Rejected Records Count

- No. of Failed Attributes

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

Figure 90: Data Profile

Data Profile

Entity Stage Casa Accounts   **Attribute** Credit Status Code

Statistic Name	Statistic Value
Count Distinct Values	1
Count Null Values	0
Total Row count	36,000

Edit
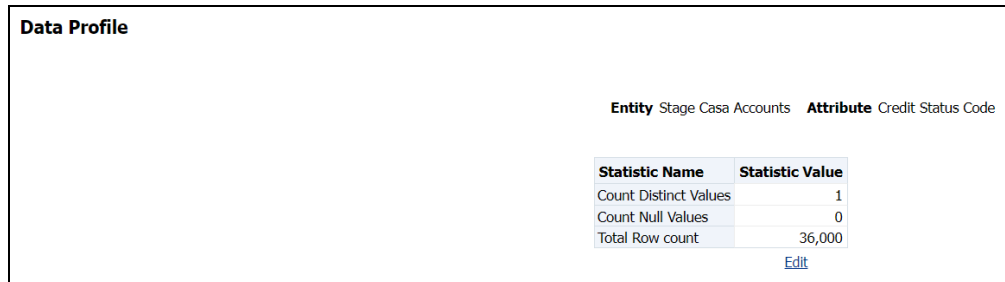
▪ Trend of Data Profile: This report shows the trend of data profiling in a 6-month interval from the selected date. It is a Graphical representation of the following data based on the Entity-Attribute Name:

— Count Distinct values

— Count Null Values

— Total Row Count

Figure 91: Trend of Data Profile

Trend of Data Profile

Entity Stage Casa Accounts

Attribute	Count Distinct Values	Count Null Values	Total Row count
Credit Status Code			

Edit
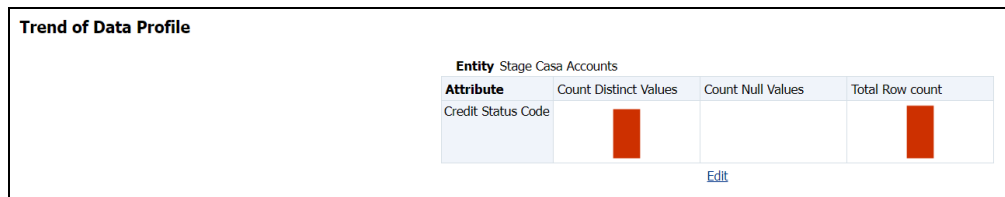
● Data Bucket: It displays 2 analyses:

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

— Node Code

— Distribution Count

Figure 92: Data Buckets

Data Buckets

Dimension	Node Code	Distribution Count
Credit Status Dimension	ACTIVE	36,000

Edit

▪ 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

Figure 93: Trend of Data Buckets
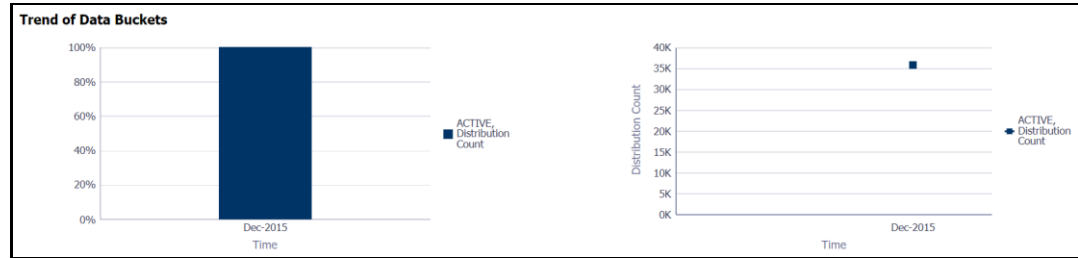
16.1.2 Distribution of Error Records by Error Type

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

Figure 94: Distribution of Error Records by Error Type
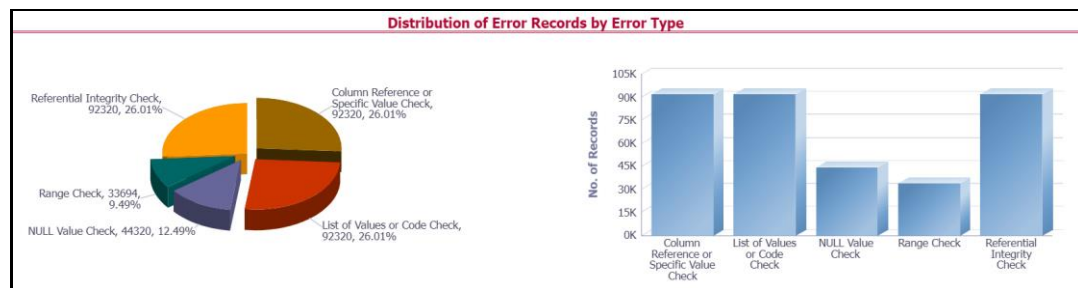
Click either the pie chart or the bar graph to get a drill down to view the following details:

- 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

Figure 95: Data Profile

Data Profile

Entity Stage Casa Accounts   **Attribute** Credit Status Code

Statistic Name	Statistic Value
Count Distinct Values	1
Count Null Values	0
Total Row count	36,000

Edit

Trend of Data Profile

Entity Stage Casa Accounts

Attribute	Count Distinct Values	Count Null Values	Total Row count
Credit Status Code			
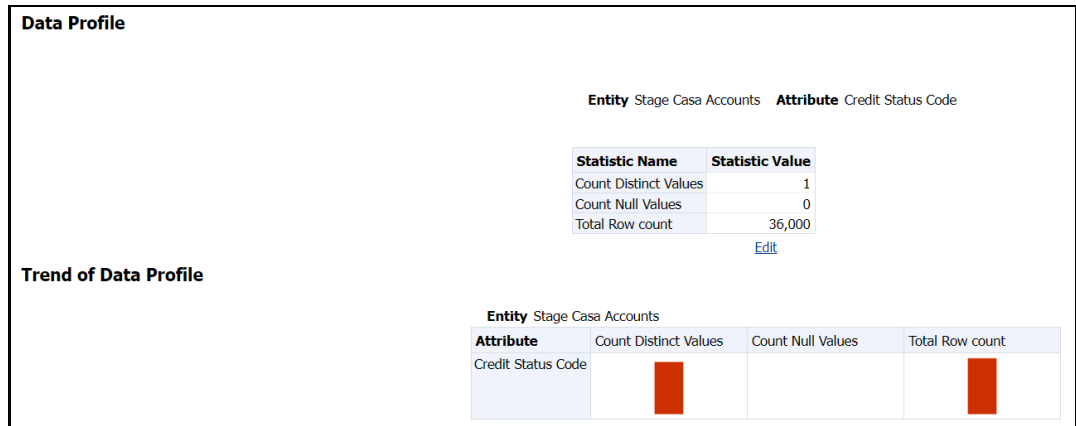
- Trend of Data Profile: A graphical representation of the following data based on the Entity-Attribute Name:

    — 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

Figure 96: Data Bucket
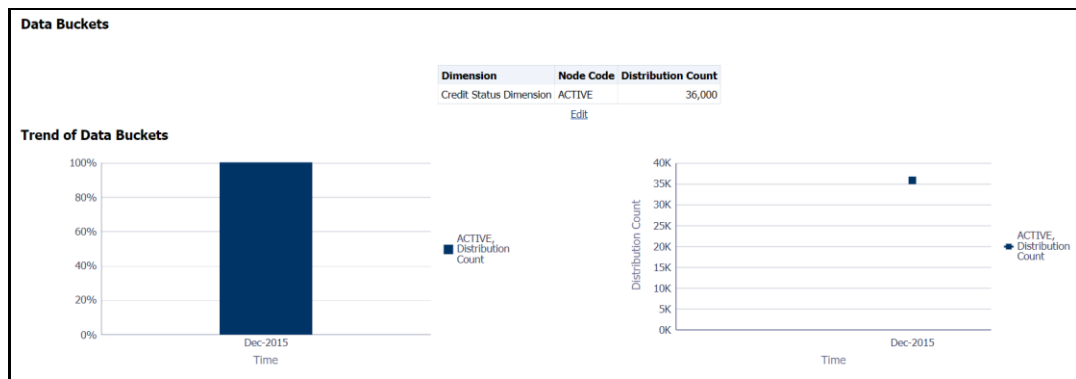
- Trend of Data Bucket: Graphical representation of the Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:

    — Bar Graph

    — Line Graph

16.1.3   Distribution of Defaults by Attribute Count

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

Figure 97: Distribution of Defaults by Attribute Count
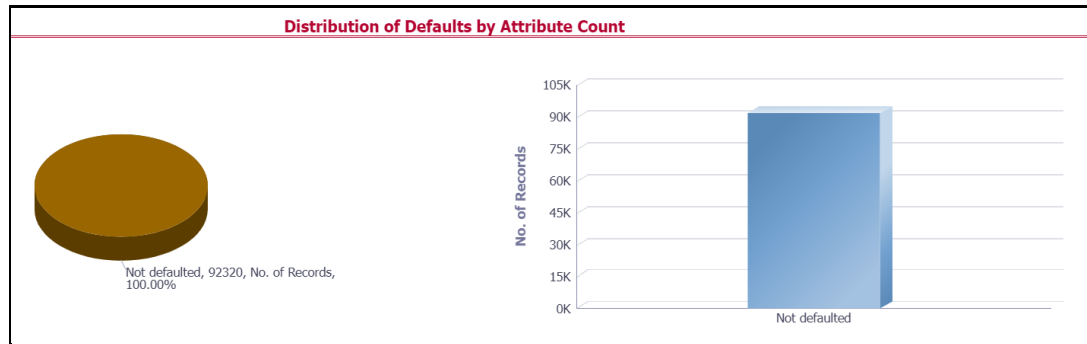
Click either the pie chart or bar graph to get a drill down which displays the following details:

- Entity

- Attributes

- DQ Check Type Name

- Percentage of Rejected Records Count

- No. of Failed Attributes

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

Figure 98: Data Profile

Data Profile

Entity Stage Casa Accounts **Attribute** Acquisition Channel Code

Statistic Name	Statistic Value
Count Distinct Values	6
Count Null Values	0
Total Row count	36,000

Edit

Trend of Data Profile

Entity Stage Casa Accounts

Attribute	Count Distinct Values	Count Null Values	Total Row count
Acquisition Channel Code			

- 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

Figure 99: Data Buckets

Data Buckets

Dimension	Node Code	Distribution Count
Acquisition Channel Dimension	Branch	15,906
	Broker	3,978
	Intermediary	3,961
	Internet	4,005
	Sales Agent	4,021
	Telephone	4,129

Edit

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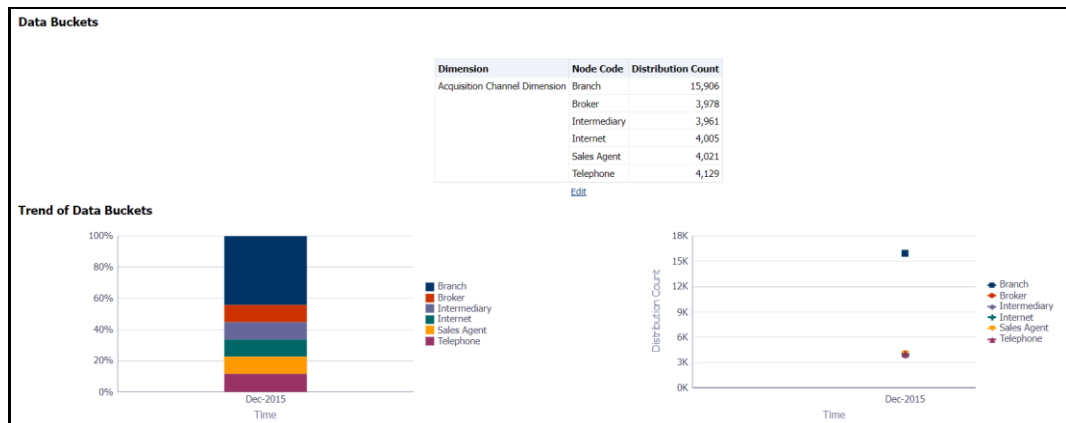
- Trend of Data Bucket: A graphical representation of the Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
  — Bar Graph
  — Line Graph

16.1.4   Data Quality Exception Report

Populating Data for DQ Exception Report (Data Quality Dashboard)

Before verifying the Data Quality Exception Report dashboard (DQ Dashboard), follow these steps:

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

2. Select the DGS_DQ_CTL_BATCH batch. See OFS Data Governance Run Chart for more details.

> | NOTE | The FSI_DGS_DQ_BALANCE_COL_MAP table will have the configuration details required for DQ-Exception amount calculations. |
> |------|------|
> | | Ensure that Account Mapper Batch is executed before you execute the DGS_DQ_CTL_BATCH. |

It consists of the following columns.

Table 44: Data Quality Exception Report

Column Name	Description
V_DQ_STG_TBL	Column to store Stage Table Name
V_DQ_STG_BAL_AMT_COL	Column to store Data Quality Exception Balance Column to be used for DQ-Exception Amount Calculations
V_PK_REFERENCE_COL	Column to store Primary Key of the Stage Table

By default, the tables are packaged with the following metadata configurations.

Table 45: Data Quality Exception Report

V_DQ_STG_TBL	V_DQ_STG_BAL_AMT_COL	V_PK_REFERENCE_COL
STG_BORROWINGS	N_EOP_BAL	V_ACCOUNT_NUMBER
STG_CARDS	N_EOP_BAL	V_ACCOUNT_NUMBER
STG_CASA	N_EOP_BAL	V_ACCOUNT_NUMBER
STG_COMMITMENT_CONTRACTS	N_COMMITMENT_AMT	V_CONTRACT_CODE
STG_CREDIT_LINE_DETAILS	N_LINE_UTILIZED_AMT	V_CREDIT_LINE_CODE
STG_FORWARDS	N_EOP_BAL	V_CONTRACT_CODE
STG_INVESTMENTS	N_EOP_BAL	V_ACCOUNT_NUMBER
STG_LC_CONTRACTS	N_EOP_BAL	V_CONTRACT_CODE
STG_LEASES_CONTRACTS	N_EOP_BAL	V_ACCOUNT_NUMBER
STG_LOAN_CONTRACTS	N_EOP_BAL	V_ACCOUNT_NUMBER
STG_OD_ACCOUNTS	N_EOP_BAL	V_ACCOUNT_NUMBER
STG_REPO_CONTRACTS	N_EOP_BAL	V_CONTRACT_CODE

V_DQ_STG_TBL	V_DQ_STG_BAL_AMT_COL	V_PK_REFERENCE_COL
STG_TD_CONTRACTS	N_EOP_BAL	V_CONTRACT_CODE
STG_ACCT_RECOVERY_DETAILS	N_PRIN_RECOVERY_AMT	N_PRIN_RECOVERY_AMT
STG_ACCT_WRITE_OFF_DETAILS	N_PRIN_WRITE_OFF_AMT	V_ACCOUNT_NUMBER

NOTE	Before running the DGS_DQ_CTL_BATCH, ensure the required configuration details are updated and available in the FSI_DGS_DQ_BALANCE_COL_MAP table.

The enhanced Data Quality Control functionality analyzes the impact of Data Quality failure on Regulatory Reporting based on Data Source. The report helps analyze the impact of Data Quality failure on a Cell value, and there is an option to drill down to account granularity to identify failed accounts. The analysis provides a Dashboard, Summary report, and Data Quality drill down report.

The following are the reports provided under **Impact Summary**.

- **Impact Summary – Data Quality Impact Detail**
- **Click the Data Quality Map or the Stage Entity, to view the Impact Analysis.**

Figure 100: Impact Summary
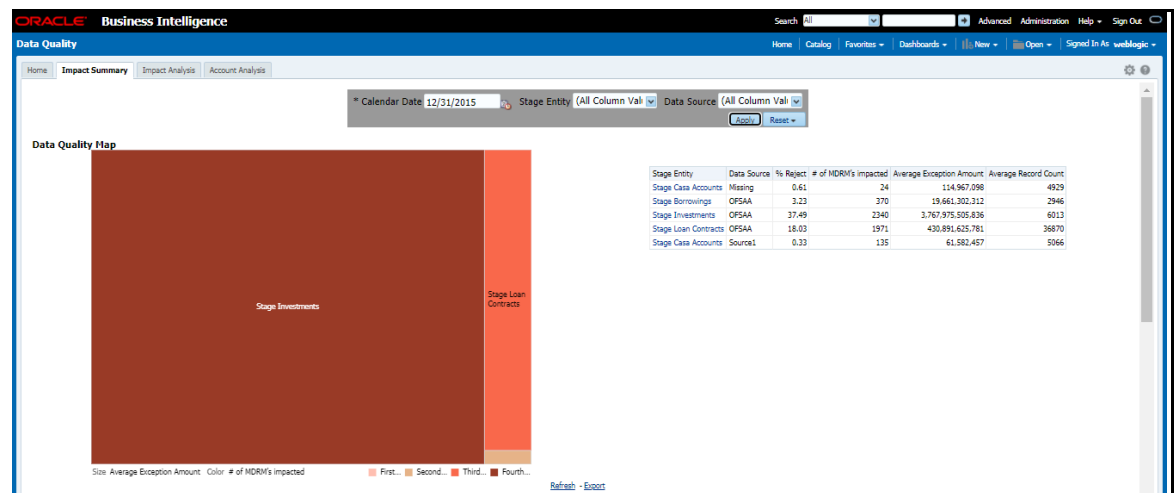
Or, click the **DQ Code** under **Data Quality Impact Detail** to view the **Impact Analysis**.

Figure 101: Data Quality Impact Detail

Data Quality Impact Detail

Calendar Date	Stage Entity	Attribute	DQ Code	Data Source	% Failure	# of MDRM's impacted	Exception Amount	Record Count
12/31/2015	Stage Casa Accounts	Parent Account Number	DQCUSTACCT0778	Missing	0.61	24	114,967,098.00	4,929
	Stage Borrowings	Country Code	DQCUSTACCT3634	OFSAA	0.10	151	145,271,091.00	2,946
		Instrument Code	DQCUSTACCT3636	OFSAA	5.36	164	825,850,876.00	2,946
		Option Type	DQCUSTACCT3618	OFSAA	0.58	3	65,152,488,602.00	2,946
		Product Code	DQFSDWRC0072	OFSAA	4.85	256	14,507,811,435.31	2,946
		Repricing Date	DQFSDWDT0163	OFSAA	1.43	17	17,675,089,558.00	2,946
	Stage Investments	Issuer Code	DQCUSTACCT0102	OFSAA	37.49	2340	3,767,975,505,835.58	6,013
	Stage Loan Contracts	Encumbrance Reason	DQCUSTACCT5459	OFSAA	0.88	254	30,594,314,396.30	36,870
		Encumbrance Status Code	DQCUSTACCT0641	OFSAA	1.07	5	105,916,700,314.20	36,870
		Foreclosure Status Code	DQCUSTACCT0357	OFSAA	0.44	2	2,763,397,860.00	36,870
		Guarantor Code	DQCUSTACCT0358	OFSAA	1.74	877	2,421,796,091.00	36,870
		Original Account Number	DQCUSTACCT5435	OFSAA	0.01	21	9,501,856.00	36,870
		Original Maturity Date	DQFSDWDT0088	OFSAA	0.55	97	1,013,518,015.00	36,870
		Product Code	DQFSDWRC0103	OFSAA	0.06	1938	35,508,551.20	36,870
		Property Type Code	DQCUSTACCT0366	OFSAA	0.15	1808	347,333,851,000.00	36,870
		Purchased Or Originated Credit Impaired Account Flag	DQCUSTACCT5488	OFSAA	78.16	1010	1,214,664,789,163.64	36,870
		Repricing Date	DQFSDWDT0167	OFSAA	47.42	23	1,063,052,316,207.34	36,870
		Sanctioned Limit	DQFSDWNU0207	OFSAA	7.32	224	1,775,023,067,720.42	36,870
		Securitisation Pool Identifier	DQCUSTACCT5324	OFSAA	0.27	157	75,945,910,924.00	36,870
		Undrawn Amount	DQFSDWNU0226	OFSAA	74.33	301	1,408,589,387,727.76	36,870
		Used Or New Auto Loan Indicator	DQCUSTACCT5487	OFSAA	0.88	1805	5,118,701,101.00	36,870
	Stage Casa Accounts	Deposit Service Provider	DQCUSTACCT4043	Source1	0.39	1	26,599,409.00	5,066
		Maturity Date	DQCUSTACCT3905	Source1	0.20	110	43,180,864.00	5,066
		Parent Account Number	DQCUSTACCT0778	Source1	0.59	24	114,967,098.00	5,066

Refresh - Export

Data Quality: Impact Summary > Data Quality: Impact Summary > Data Quality: Impact Summary

Impact Analysis - Summary Drill-Down Report

- For the Stage, Table selected the DQ Codes, Cell Identifiers, Legal Entity, DQ details, Threshold Breach, Impacted Exception Amount, Final Cell value, and Impacted Cell Value are displayed.

Figure 102: Impact Analysis

- **Account Analysis Drill-Down Report**

    Click the **DQ Code** link in **Impact Analysis** to view the **Account Analysis Report**. This report displays the Account Number associated and the Exception Amount for the Account Balance based on the Data Source.

Figure 103: Account Analysis

- Click the **Cell Identifier** link in **Impact Analysis** to view the Cell drill-down report.

Figure 104: Account Details
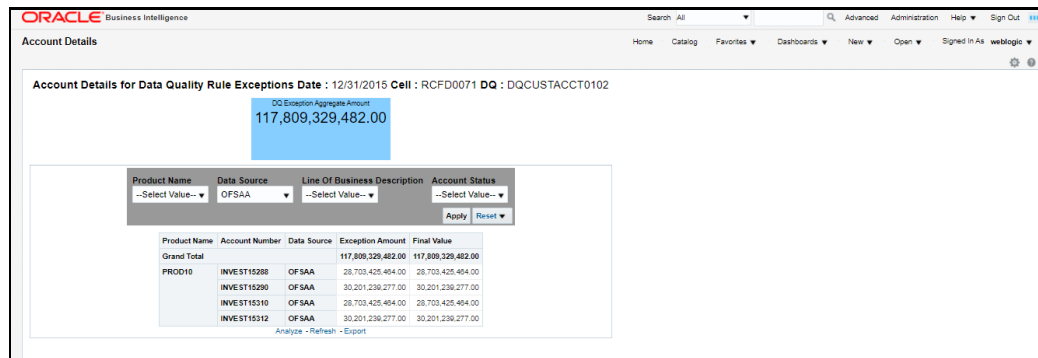
16.2 Controls Dashboard

Execute the batches corresponding to Controls to view the Controls dashboards. For Controls Dashboard refer to the OFS Data Governance Run Chart and execute the batch DGS_DQ_CTL_BATCH for the date on which the control and assessment need to be executed. Refer to the OFS Data Governance Run Chart for further details.

This section displays two Dashboard Pages:

- Summary
- Controls by Regulatory Reports

16.2.1 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.

Figure 105: Summary

16.2.1.1 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

Figure 106: Quality Controls by Rating

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

Figure 107: Control Assessment Details

Control Assessment Details

Control ID	Control Name	Number of DQ Checks	Assessment ID	Assessment Date	Effective Score	Rating Name
474550	Region Code in Stage Cards	1	489606	19-Apr-22	81	Ineffective
474561	Account Manager Code in Stage Cards	1	489604	19-Apr-22	81	Ineffective
474853	General Ledger Account Code in Stage Cards	1	489640	19-Apr-22	86	Ineffective
474908	Credit Quality Type Code in Stage Cards	1	489624	19-Apr-22	93	Ineffective
474957	Common Chart Of Account Code in Stage Cards	1	489609	19-Apr-22	81	Ineffective
474965	Instrument Type Code in Stage Investments	2	489611	19-Apr-22	100	Effective
474996	Original Account Number in Stage Cards	1	489617	19-Apr-22	96	Effective
475020	Data Origin in Stage Investments	1	489634	19-Apr-22	81	Ineffective
475082	Insurance Scheme Code in Stage Investments	1	489637	19-Apr-22	81	Ineffective
475325	Account Status Code in Stage Cards	1	489632	19-Apr-22	99	Effective
475784	Acquisition Channel Code in Stage Cards	1	489639	19-Apr-22	81	Ineffective
475820	Product Type in Stage Cards	1	489627	19-Apr-22	83	Ineffective
475939	Amortization Type Code in Stage Cards	1	489602	19-Apr-22	81	Ineffective
476150	Issuer Code in Stage Investments	1	489621	19-Apr-22	82	Ineffective
476379	Account Classification Code in Stage Investments	1	489619	19-Apr-22	81	Ineffective
476403	Common Chart Of Account Code in Stage Investments	1	489625	19-Apr-22	81	Ineffective
477038	Credit Status Code in Stage Investments	1	489601	19-Apr-22	100	Effective
477143	Business Unit Code in Stage Investments	1	489635	19-Apr-22	81	Ineffective
477319	Amortization Type Code in Stage Investments	1	489638	19-Apr-22	81	Ineffective

Controls: Summary > Control Assessment Details- Control Type

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

Figure 108: Control Parameter Score

Control Parameter Score

Control Name	Control ID	Assessment ID	Assessment Date	Parameter ID	Parameter Name	Parameter Weight	Parameter Value
Region Code in Stage Cards	474550	489606	19-Apr-22	1	Data Quality Warning Flag	31	0
				2	Defaults	25	0
				3	Data Quality Information Flags	25	0
				6	Data Quality Errors	19	100

Return - Edit - Refresh - Export - Create Bookmark Link

16.2.1.2   Quality Control Effectiveness Trend

This section provides the graphical representation of the Number of Quality Controls within six months from the selected date.

Figure 109: Quality Control Effectiveness Trend
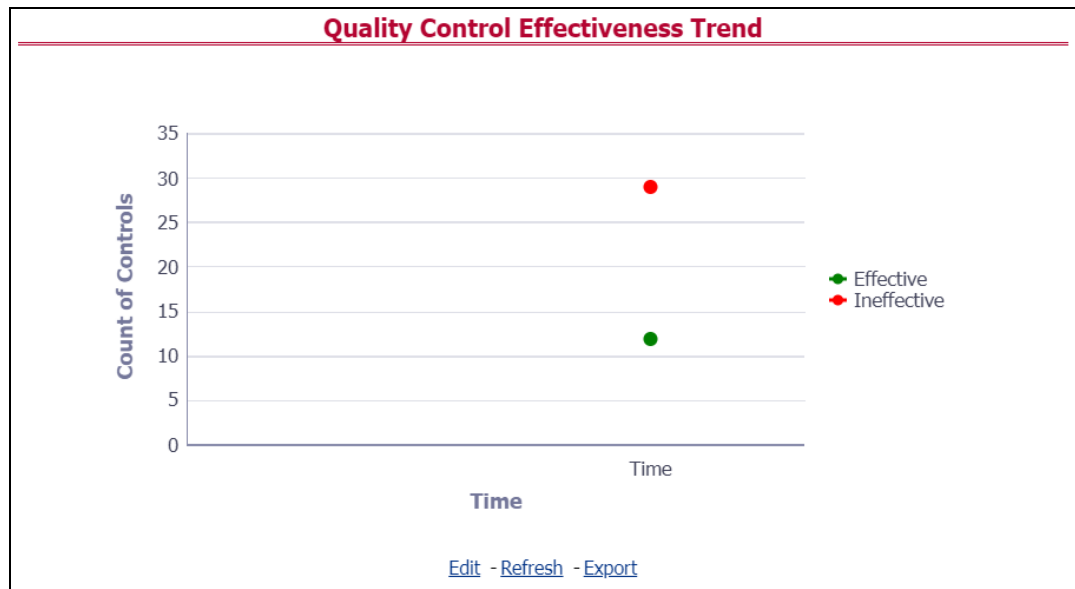
Click the graphs to view the drill-down **Control Assessment** reports.

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.

16.2.1.3   Data Quality Controls

This section displays the Data Quality associated with the control along with the data source and the number of scanned records and error information and warning.

To open this report, follow these steps:

1. From the **Dashboards**, select **Controls**.

2. Click **Quality Controls** and then select a required Control ID. This displays the data quality associated with the control with their data source along with total records scanned and error records.

Figure 110: Control DQ

16.2.2   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

Figure 111: Controls by Regulatory Reports

16.3   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 OFS Data Governance Run Chart and execute the batch DGS_KI_BATCH for the date on which the Key Indicator needs to be executed. Refer to the OFS Data Governance 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.

16.3.1   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.

Figure 112: Key Indicators
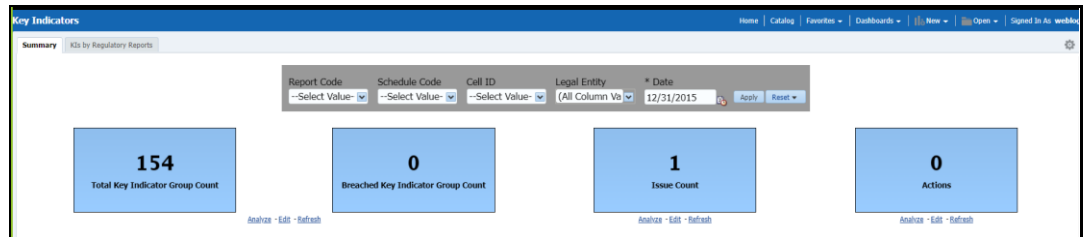
These are the KI Summary dashboard sections:

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

Figure 113: Rating Distribution for KIs
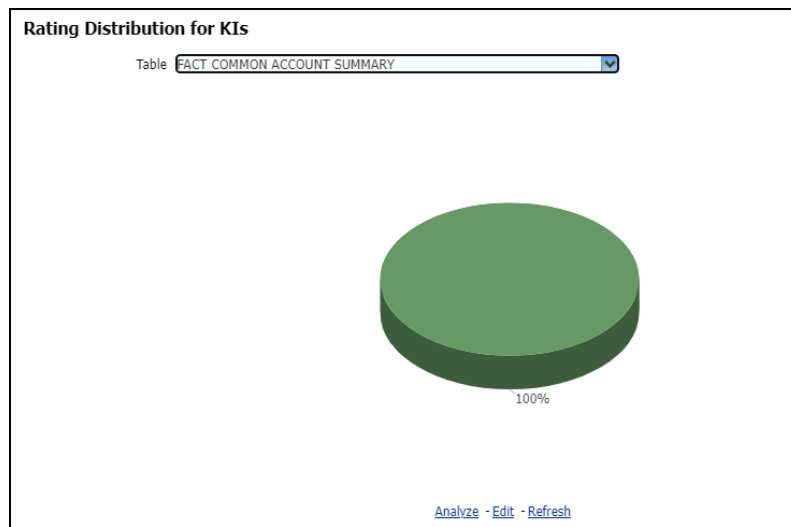
KI Trends by Entities: Displays the trend of the latest entities for the assessed Key Indicators.

Figure 114: KI Trends by Entities
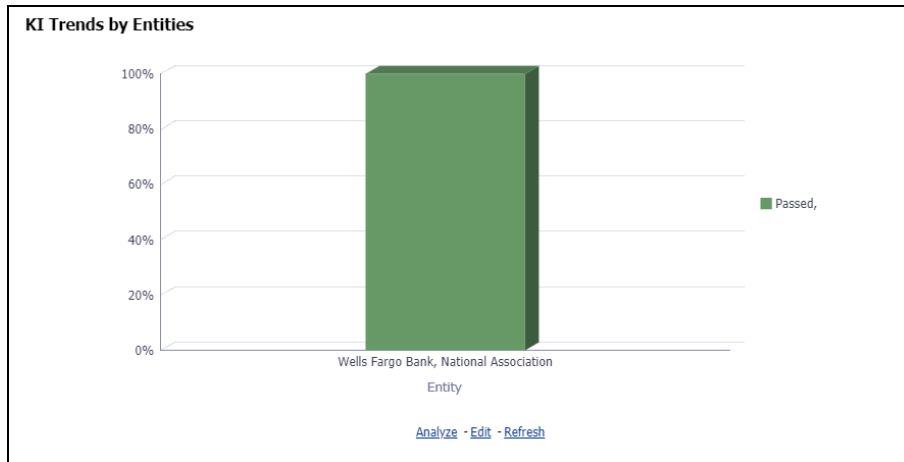
KI Trends across multiple executions: Displays the latest trend across multiple executions for the assessed Key Indicators.

Figure 115: KI across multiple executions
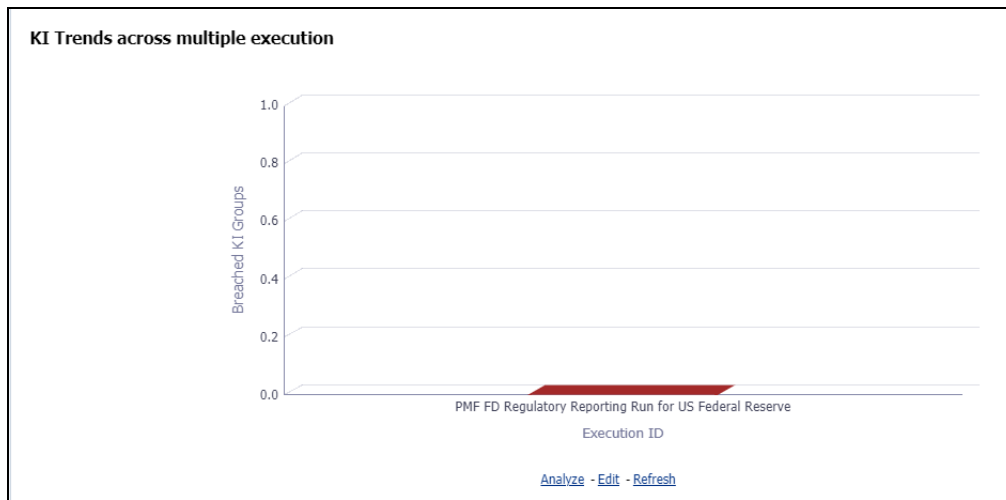
Issues and Actions:

Figure 116: Issues and Actions

16.3.1.1 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

Figure 117: Breached Key Indicator Details

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.

Figure 118: Key Indicator Conditions
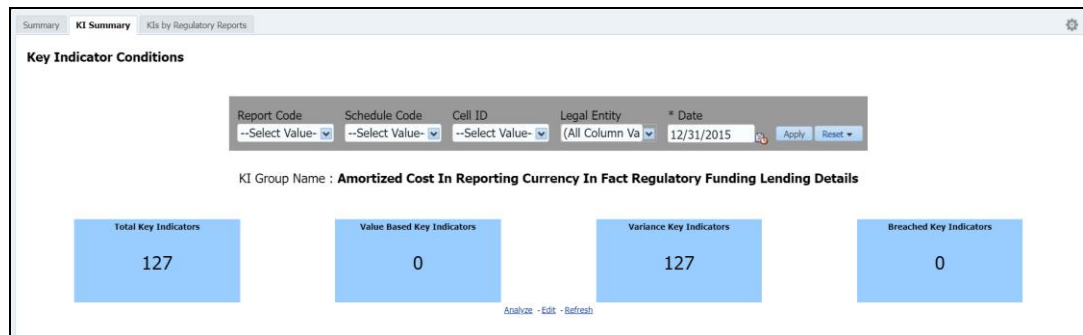
16.3.1.2 Viewing Key Indicator Conditions Details

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.

Figure 119: Rating Distribution for Variance KIs
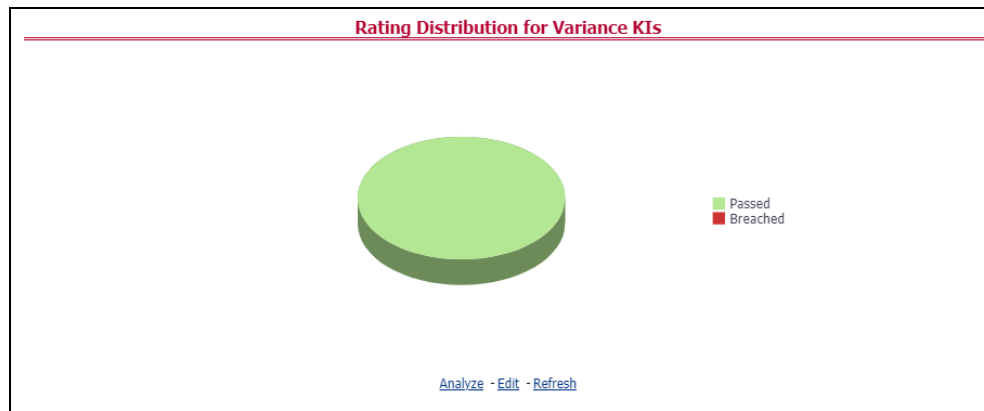
Trend of Rating Distribution for Variance KIs: For the assessed Variance Key Indicators, this Report displays the trend of the Latest Rating Distribution.

Figure 120: Trend of Rating Distribution for Variance KIs
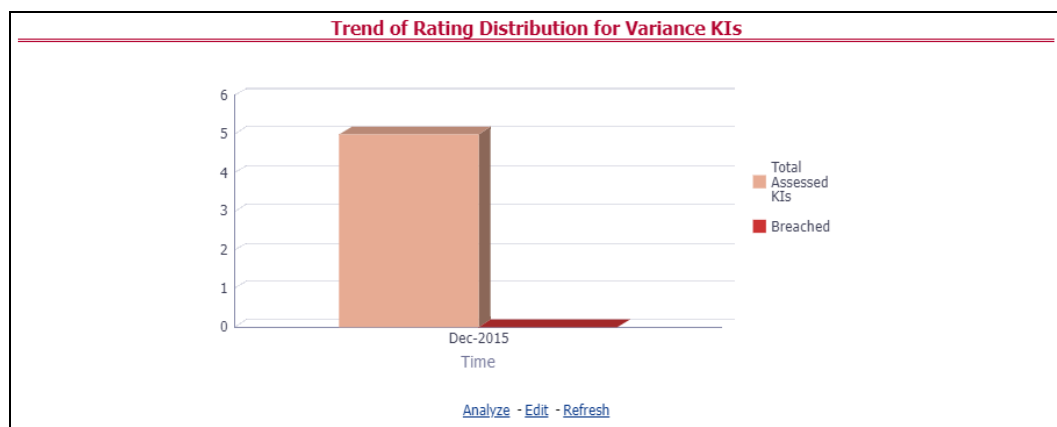
16.3.2 KIs by Regulatory Reports

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** drop-down box, and Column Name in the **Legal Entity** drop-down box. Click **Apply**. A list of KI Group Details appears.

Figure 121: KIs by Regulatory Reporting

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.

Figure 122: Trend Analysis
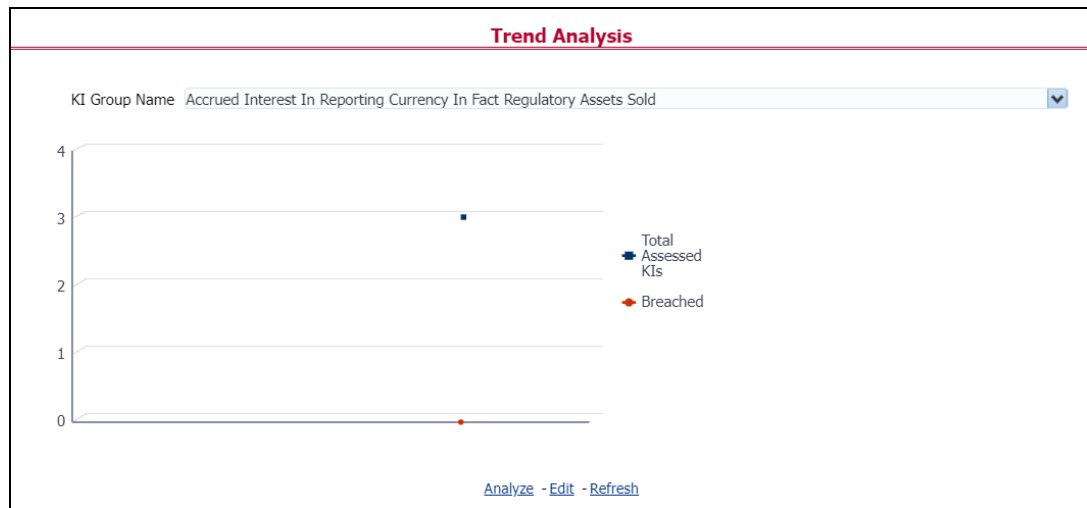
16.4 Regulatory Report Monitoring

Select a Plan Name from the drop-down, 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.

Figure 123: Regulatory Report Monitoring
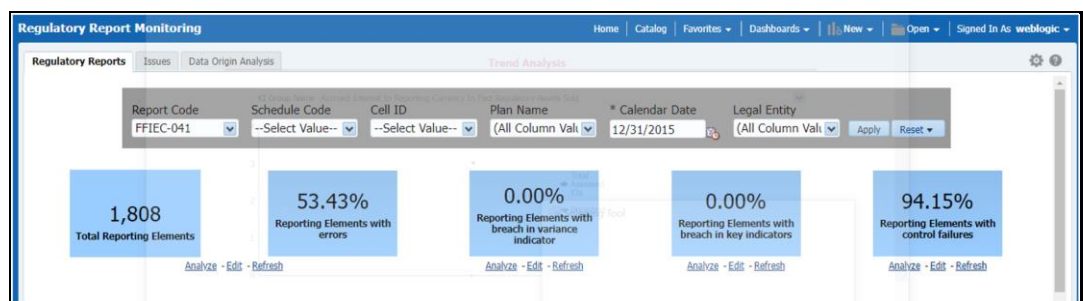
Regulatory Report Monitoring dashboard displays the following grids:

- Plan Analysis by Report
- Issue and Action Tracking

16.4.1 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.

Figure 124: Plan Analysis by Report

Plan Analysis by Report

Report Name	Schedule Name	Reporting Element	Reporting Elements - Complete	Reporting Elements - Total	Reporting Elements- Breached Value Indicator	Reporting Elements- Ineffective Quality Control
FFIEC-041	RC	RCON0071	0	1	0	1
FFIEC-041	RC	RCON0081	0	1	0	1
FFIEC-041	RC	RCON2130	1	1	0	0
FFIEC-041	RC	RCON2145	1	1	0	0
FFIEC-041	RC	RCON3000	1	1	0	0
FFIEC-041	RC	RCON3123	0	1	0	1
FFIEC-041	RC	RCON3200	1	1	0	0
FFIEC-041	RC	RCON3230	1	1	0	0
FFIEC-041	RC	RCON3632	1	1	0	0
FFIEC-041	RC	RCON3656	1	1	0	0
FFIEC-041	RC	RCON3838	1	1	0	0
FFIEC-041	RC	RCON3839	1	1	0	0
FFIEC-041	RC	RCON5369	0	1	0	1
FFIEC-041	RC	RCON6631	0	1	0	1
FFIEC-041	RC	RCON6636	0	1	0	1
FFIEC-041	RC	RCONA130	1	1	0	0
FFIEC-041	RC	RCONB528	0	1	0	1
FFIEC-041	RC	RCONB530	1	1	0	0
FFIEC-041	RC	RCONB987	0	1	0	1
FFIEC-041	RC	RCONB989	0	1	0	1
FFIEC-041	RC	RCONB993	0	1	0	1

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.

Figure 125: Regulatory Report Monitoring

Schedule	Cell Reference	Current Value	Previous Value	Key Indicator Name	Success	Breached Variance KI	Breached Value Based KI	Ineffective Control
FFIEC-041 RC	RCON6631	70,043,321,932,079			No	No	No	Yes

Return - Analyze - Edit - Refresh - Create Bookmark Link

16.4.2   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.

Figure 126: Create a New Issue

16.4.3   Create Action

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

Figure 127: Create Action

16.4.4   Data Origin Analysis

This report enables users to validate the regulatory reporting of cell values by SOR Data.

Figure 128: Data Origin Analysis

Report Code	Schedule Code	Cell Identifier	Cell line item	Legal Entity	GL / GL	Account / Others	Account / Missing	Final Value
FFIEC-031	RC	RCFD0081	RC-1a	Wells Fargo Bank, National Association	13,590,546,895.00			13,590,546,895.00
FFIEC-031	RC	RCFD2130	RC-8	Wells Fargo Bank, National Association	10,080.00			10,080.00
FFIEC-031	RC	RCFD2145	RC-6	Wells Fargo Bank, National Association	12,943.00			12,943.00
FFIEC-031	RC	RCFD3000	RC-27b	Wells Fargo Bank, National Association	28,245.00			28,245.00
FFIEC-031	RC	RCFD3123	RC-4c	Wells Fargo Bank, National Association	99,372.00	909,957,292,935.07		909,957,392,307.07
FFIEC-031	RC	RCFD3230	RC-24	Wells Fargo Bank, National Association	103,123.00			103,123.00
FFIEC-031	RC	RCFD3632	RC-26a	Wells Fargo Bank, National Association	66,484.00			66,484.00
FFIEC-031	RC	RCFD3656	RC-9	Wells Fargo Bank, National Association	54,513.00			54,513.00
FFIEC-031	RC	RCFD3838	RC-23	Wells Fargo Bank, National Association	91,832.00			91,832.00
FFIEC-031	RC	RCFD3839	RC-25	Wells Fargo Bank, National Association	52,176.00			52,176.00
FFIEC-031	RC	RCFD5369	RC-4a	Wells Fargo Bank, National Association		127,111,742,649.74		127,111,742,649.74
FFIEC-031	RC	RCFDA130	RC-26c	Wells Fargo Bank, National Association	54,966.00			54,966.00
FFIEC-031	RC	RCFDB528	RC-4b	Wells Fargo Bank, National Association		128,318,024,792.67		128,318,024,792.67
FFIEC-031	RC	RCFDB530	RC-26b	Wells Fargo Bank, National Association	22,699.00			22,699.00
FFIEC-031	RC	RCFDB989	RC-3b	Wells Fargo Bank, National Association		24,285,868,130.06		24,285,868,130.06
FFIEC-031	RC	RCFDB995	RC-14b	Wells Fargo Bank, National Association		30,976,799,701.55		30,976,799,701.55
FFIEC-031	RC	RCFN6631	RC-13b1	Wells Fargo Bank, National Association		64,657,507,067.19		64,657,507,067.19
FFIEC-031	RC	RCFN6636	RC-13b2	Wells Fargo Bank, National Association		23,007,062,443.85		23,007,062,443.85
FFIEC-031	RC	RCON6631	RC-13a1	Wells Fargo Bank, National Association	847,434.00	437,732,255,475.04		437,733,102,909.04
FFIEC-031	RC	RCON6636	RC-13a2	Wells Fargo Bank, National Association		206,422,782,242.20		206,422,782,242.20
FFIEC-031	RC	RCONB987	RC-3a	Wells Fargo Bank, National Association		30,824,228,264.68		30,824,228,264.68
FFIEC-031	RC	RCONB993	RC-14a	Wells Fargo Bank, National Association		35,035,859,282.72		35,035,859,282.72

16.5 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. For more details, see the OFS Data Governance Run Chart.

2. Execute the account granularity batch ACCT_MAPPER_INSERT for generating Accounts, Accounts Write-off, Accounts Recovery, Party, Fund Lend Exposure, Credit Participation and Loan Serviced. 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).

16.5.1 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**   Variance analysis drill-down feature is not enabled for the cells that are count-based.

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

2. Select the required batch. See OFS Data Governance Run Chart for more details.

> | **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 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 FSDF Run. |

16.5.2   Current Period Report

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

> | **NOTE** | You must manually select the reports and then click Continue. |

The Variance % is calculated with the following formula:

Variance % computed = (Current Value – Previous Value)/Previous Value

- **Report**: Based on the KI Configuration this drop-down populates, select a Pre-configured Report.

- **Schedule**: Based on the KI Configuration this drop-down populates, select a schedule.

- **Cell Identifier**: Based on the KI Configuration this drop-down populates, select a Cell Identifier.

- **Entity Name**: Select an Entity Name.

- ***Current Date**: Select a Date on which the assessment is 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. See the Configure a Key Indicator Section. |

3. Click **Apply** to generate the reports.

4. 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. To display the line item data must be maintained in the FSI_REG_CELL_LINE_ITEM table.

   - **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.

Figure 129: Variance Analysis Dashboard

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

Figure 130: Variance Analysis – Issue Details

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

Figure 131: Variance Analysis – Action Details

- **Trend:** Displays the graphical representation of the Assessment Across Time. You can select between:

  — Trend for All Dates
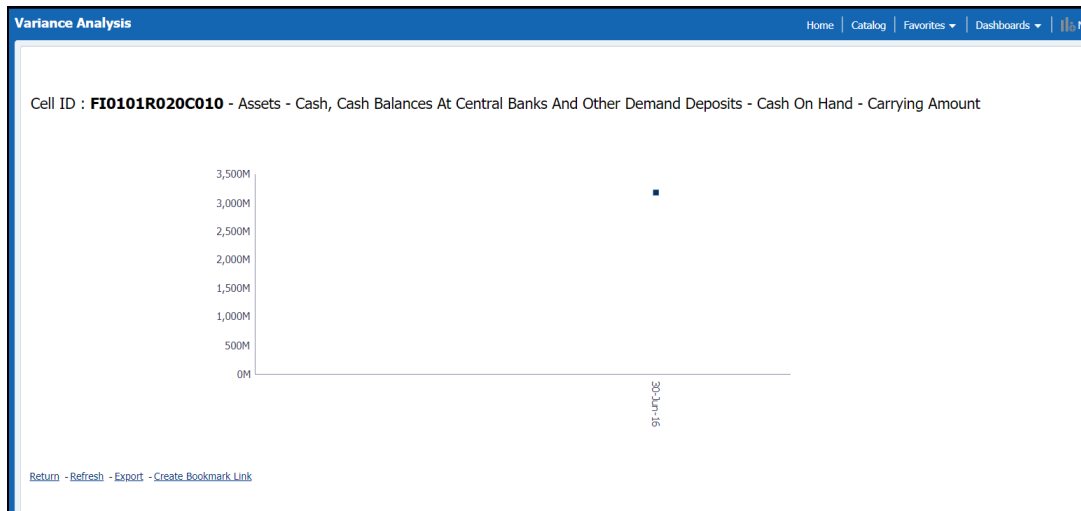
— Trend for Date Range

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

Figure 132: Trend Analysis
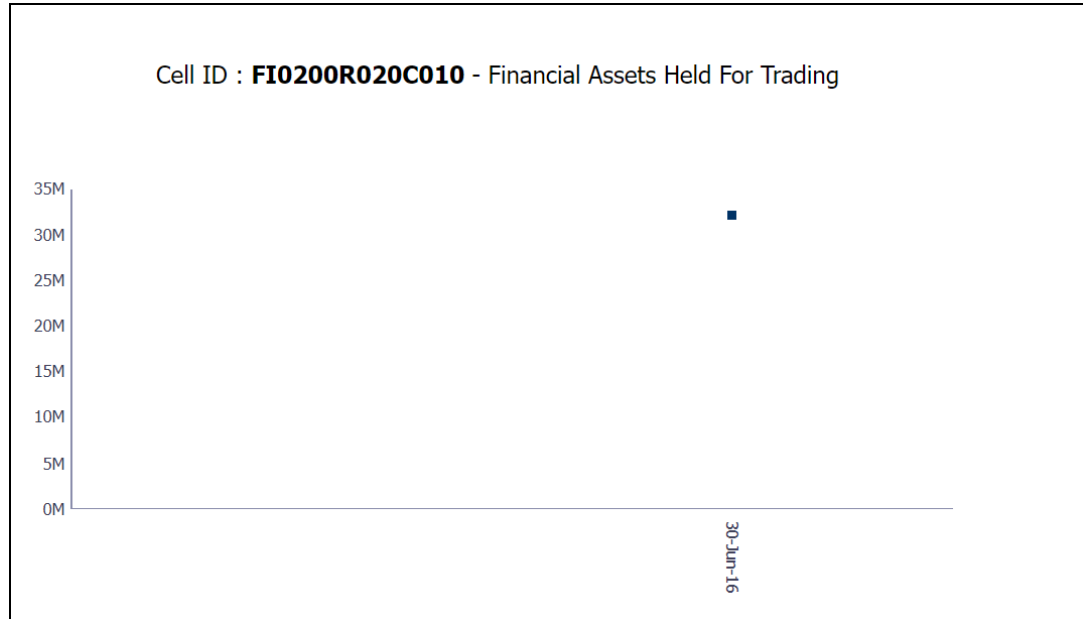
- **Create Issue:** Create an Issue from the Dashboard itself against any cell irrespective of whether it is breached or not. This Issue can be modified on the DG Issues Page. After you create an Issue through this method, you can view the number of created Issues in the OBI Dashboard. For more information, see section Creating an Issue through the Dashboard Section.

16.5.2.1   Drill Down Report

In the **Cell Identifier** Column, click the Cell IDs.

You can view the following information:

- **GL Details**: Provides the GL account details along with the cell ID.

Figure 133: GL Details
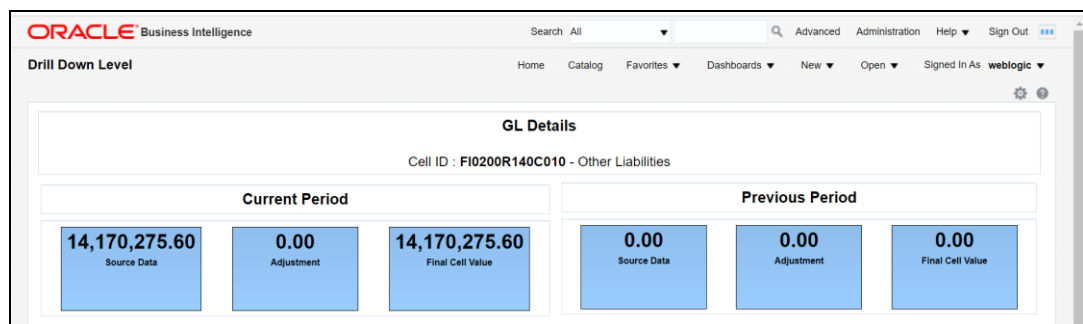
— The current and previous Period Values for the Source Data, Adjustment, and Final Cell Value. The data in the final cell is a combination of the Source and Adjustment Data.

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.

Figure 134: Account Details
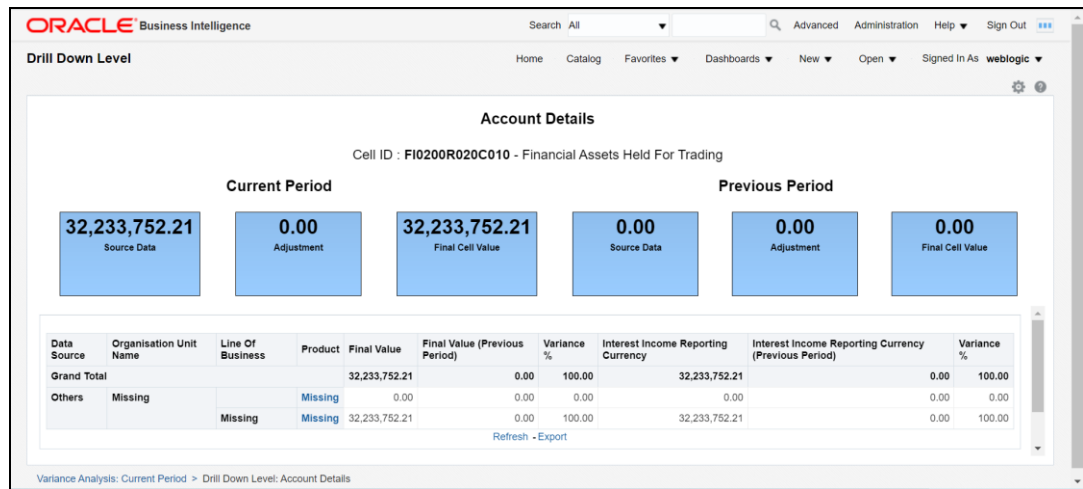
Adjustment Details: The Cell Level Adjustments that are passed in the system are displayed against the particular cell in the drill-down under Adjustment Details.

The Assessment Methodology is configurable and depending on the business need you can change the methodology as and when required. As a validation, the total of all the adjustments must be equal to the adjustment tile value. In scenario the Adjustment ID is retained the same across all the time periods, the Adjustment Variance is computed both for amount and percentage.

NOTE	If the Adjustment ID is not the same across all the time periods, then the Variance Amount and Percentage is not computed.

Figure 135: Adjustment Details
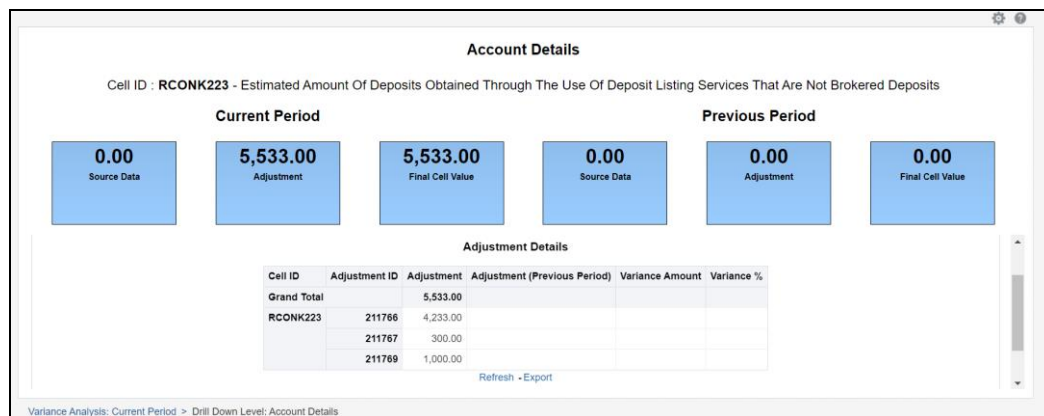
16.5.2.1.1 Dimensions Supported in Variance Analysis drill-down

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

16.5.2.1.2 New and Closed Account

The Variance drill down Report supports additional filter based on delta account across time periods.

- **New in Current Period**: This filter returns a set of Accounts which are present in the current period but not in the previous period in the Account Mapper for a specific MDRM.

Figure 136: New in Current Period
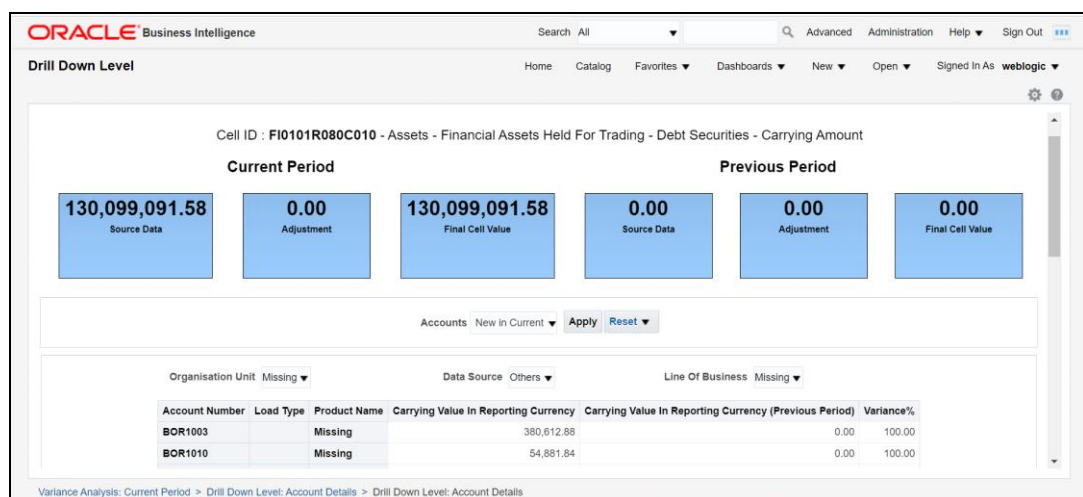
- **Closed Prior Period**: This filter returns a set of Accounts that are present in the previous period but not in the current period in the Account Mapper for a specific MDRM.

Figure 137: Closed Prior Period
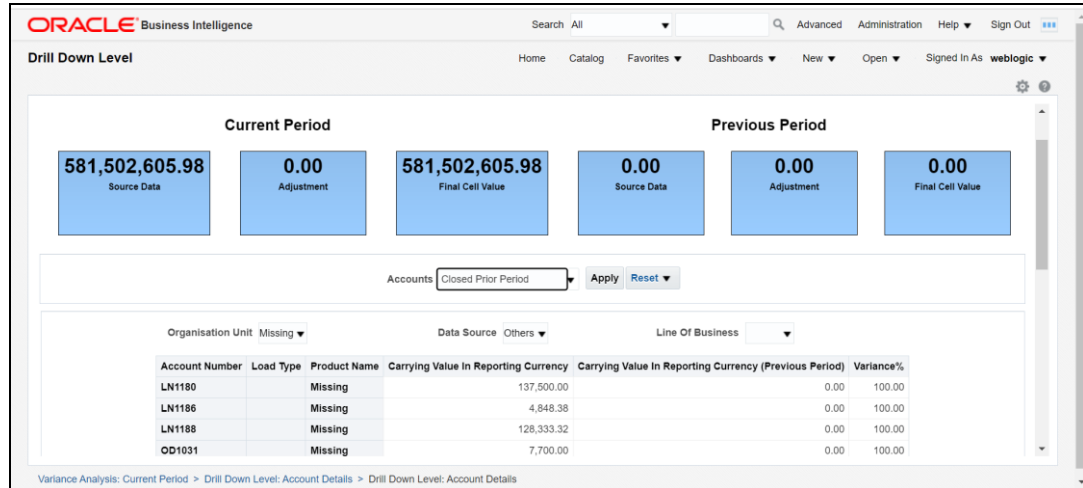
16.5.2.2 Creating an Issue through the Dashboard

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

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

1. From the **Dashboards**, select **Variance Analysis**.

Figure 138: Variance Analysis
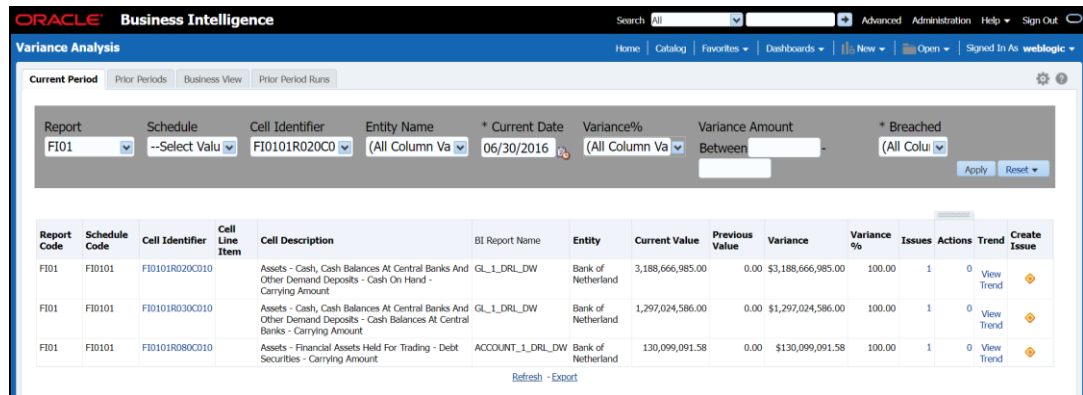
  a. In the **Create Issue** Column, click the ⬦ Icon.

   The Create Issue Page is displayed.

Figure 139: Create Issue

b.   In the **Issue Details** Page, enter the following values:

  —   **Name**: Enter the issue name.

  —   **Description**: Enter the issue description.

  —   **Criticality**: Select the criticality of the issue.

  —   **Target Date**: Select the target date.

  —   **Owner**: Select the owner.

  —   **Category**: Select the category from the list.

  —   **Comments**: Enter comments if any.

c.   Click **Submit.**

16.5.3   Prior Period Report

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

> **NOTE**   You must manually select the reports and then click **Continue**.

The Variance % is calculated with the following formula:

Variance % computed = (Current Value – Previous Value)/Previous Value

- **Report**: Based on the KI Configuration this drop-down populates, select a Pre-configured Report.

- **Schedule**: Based on the KI Configuration this drop-down populates, select a schedule.

- **Cell Identifier**: Based on the KI Configuration this drop-down populates, select a Cell Identifier.

- **Entity Name**: Select an Entity Name.

- ***Current Date**: Select a Date on which the assessment is 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.

2. Click **Apply** to generate the reports.

3. 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. To display the line item data must be maintained in the FSI_REG_CELL_LINE_ITEM table.

   - **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.

   - **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.

Figure 140: Variance Analysis for Prior Periods

Figure 141: Trend

16.5.4 Business View Report

A new Business View Report is added to Variance Dashboard. This Report extends Cell Variance Analysis to a more detailed level at SOR and LOB dimensions.

The values are displayed at Line of Business and Data Source.

Figure 142: Business View Report

The drill-down displays only the corresponding data for the Line of Business and Data Source from where the drill-down is performed.

For example, if we drill-down from LOB like Corporate Banking and Data Source like others then, the data for the cell is displayed only for this combination.

Figure 143: Account Details

16.5.5   Prior Period Runs

This Report provide user to assess variance between any two executions within same Time Period or across Time Periods.

Figure 144: Prior Period Runs

Report provide prompts to choose Period 1 and Period 2 and the run executions, Execution 1 and Execution 2.

Figure 145: Account Details

To view the Prior Period Run Reports, ensure the following list of Tables have the corresponding RunSkey and MIS Date Table data.

- FCT_KI_GRP_ASSESSMENT_STATUS
- FSI_KI_GRP_MAP_DETAILS_DGS
- FCT_KEY_IND_ASSMTS
- FSI_KICOND_REPLINE_MAP
- FSI_KICOND_ACCNT_MAP
- FSI_KI_REG_FUND_LEND_EXP_MAP
- FSI_KICOND_PARTY_MAP

16.6   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.

16.7 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.

16.7.1 Launching Data Governance Variance Analysis Dashboard with Agile Reporter

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

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

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

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

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

5. This opens the Variance Analysis Summary Agile Reporter Window with the details of the selected cell.

6. 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 Guide.

16.7.2 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.

4. This opens the Variance Analysis Summary Agile Reporter Window with the details of the selected cell.

5. 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 Guide.

17   Metadata Report

The Metadata Report 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 sheets. 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.

17.1   Prerequisites

You must ensure the following executions are performed before using the Metadata Report utility:

1. Before executing MDB Publish and Data Elements Wrapper Batch, ensure the following:

   a. Tablespace Requirement:

      i. Ensure that a minimum of 150 GB **USERS** Tablespace is available.

      ii. Ensure that a minimum of 45 GB **TEMP** Tablespace is 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.

   b. Parameters used in `<INFODOM>_POP_DATA_ELEMENTS_USFED` Batch.

   c. 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:

Table 46: 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'

Table 47: 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 the 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 Maintenance Screen as follows:

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

> **NOTE** Even if the P_JURISDICTION parameter in
> <INFODOM>_POP_DATA_ELEMENTS_USFED Batch is loaded, the
> Dashboards that are 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 Maintenance Screen as follows:

   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 is displayed.

   e. Modify the Parameter List Field as applicable.

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

Enabling Run for METADATA Parsing

Every execution for METADATA Parsing requires 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.

Table 48: Enabling Run for METADATA Parsing

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 for any Run, the customer can opt for removing this 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 must 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 49: Dashboard ID Details

DASHBOARD ID	JURISDICTION CODE	REPORT CODE	INCLUDE REPORT
1	USFED	FRY-9C	Y
2	USFED	FRY-9LP	Y
3	USFED	FRY-11	Y
4	USFED	FRY-11s	Y
5	USFED	FR-2314	Y
6	USFED	FR-2314s	Y
7	USFED	FFIEC-031	Y
8	USFED	FFIEC-041	Y
9	USFED	FRY-7N	Y
10	USFED	FRY-7NS	Y

By Default All Dashboards are enabled and if you want to parse particular Dashboards, then 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.

17.1.1 Verifying Logs

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

Table 50: 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.

17.1.2 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
/
```

17.2   User Roles and Access

All the Users must be mapped to the following User Groups:

Table 51: User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group
MDROWNERGRP	MDR Owner Group
MDRVIEWGRP	MDR View Group

NOTE	- To view Metadata Report Extract with View permissions, assign MDR View Group. - To create templates in Metadata Report Extract, assign MDR Owner Group.

17.3   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**.

Figure 146: Metadata Report

2. Click the **Add** Icon in the Summary Screen to create a new Metadata Report Template.

3. Provide the Name and Description for the new template on the Template Definition Page.
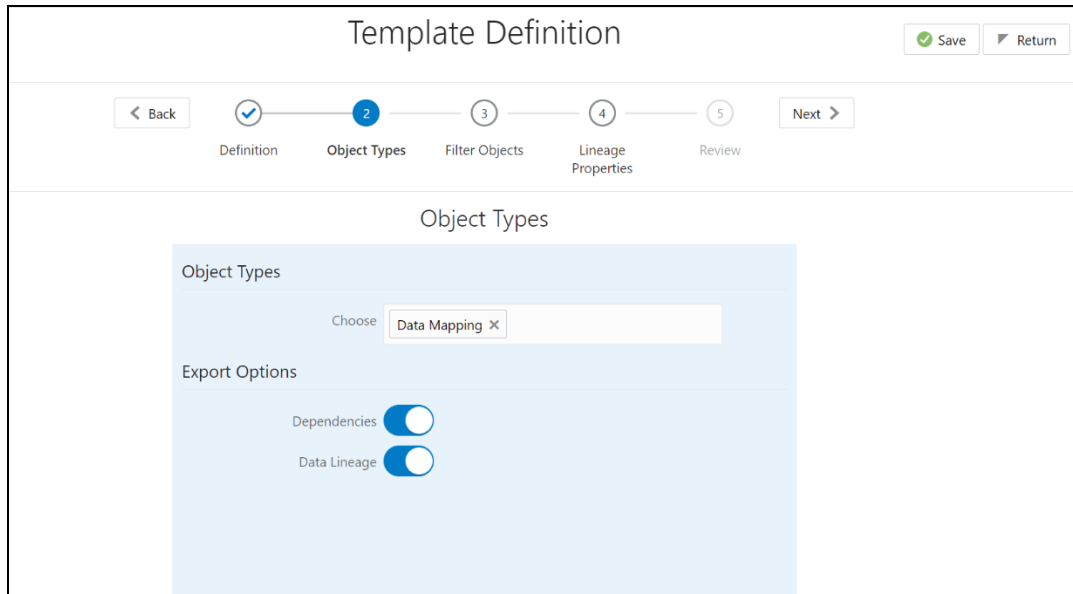
Figure 147: Metadata Selection

4. Select the desired object from the Object Type drop-down 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**: The 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.
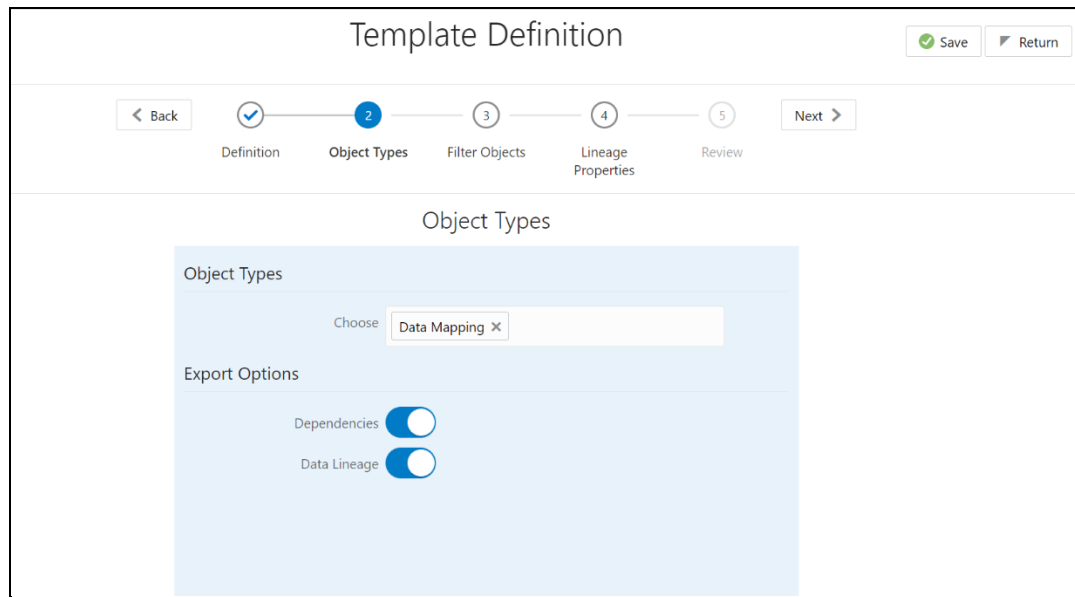
Figure 148: Template Definition

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

Figure 149: Exported Sample Report

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

Figure 150: Template Definition

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

Figure 151: Exported Sample Report

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. It

continues followed by Hierarchy Objects Name, Description, and Properties up to the Entities level.

Figure 152: Exported Sample Report

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

Figure 153: Exported Sample Report

> **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).

Figure 154: Exported Sample Report

	Result Area Table Application	Result Area Table Type	Result Area Table	Result Area Column	Reporting Run Name	Lineage Run or Batch Level1	Lineage Data Flow Name Level1	Lineage
1								
2	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_ORIG_REPRICING_DATE_SKEY	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
3	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_NON_PERFORMING_CATEGOR	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
4	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_ATT_REASON_CD	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
5	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_RETAIL_INT_CHG_BAL	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
6	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_INT_TIMING_TYPE	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
7	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIF_ACCT_UNDER_ENFORCEMENT	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
8	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_TOT_OVERDUE_FEE	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
9	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_REPURCHASE_PARTY_SKEY	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
10	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_STANDARD_GUARANTOR_TYP	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
11	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_STD_INTEREST_RATE_SKEY	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
12	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_ORIG_LTV	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
13	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_INT_INCOME	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
14	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_STANDARD_CUSTOMER_TYPE	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
15	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_INSTR_TYPE_SKEY	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
16	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIV_RATE_SET_LAG_UNIT	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
17	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_FWD_SALE_AGREEMNT_PART	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
18	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIV_ACCOUNT_SUB_TYPE_CODE	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
19	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_CUST_NET_REVENUE_AMT	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
20	Financial Services Data Foundatic	Data Flow	FCT_COMMON_ACCOUNT_SUMIN_LAST_PAYMENT_DATE_SKEY	FSDF_EXE_RUN	FSDF_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T

19. Select Filter Objects to see the selected objects.

Figure 155: Template Definition
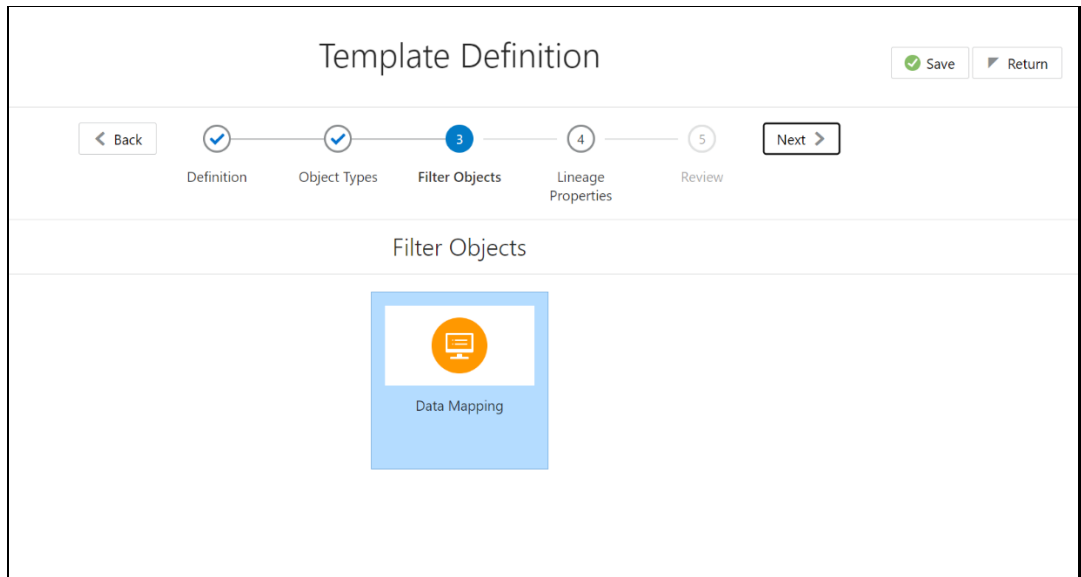
20. Select one Filter Object from the Available Objects and Click [>] to add a Selected Object. Select one Selected Object from the Available Objects and click [<] to remove a Filter Object.

Figure 156: Dashboard
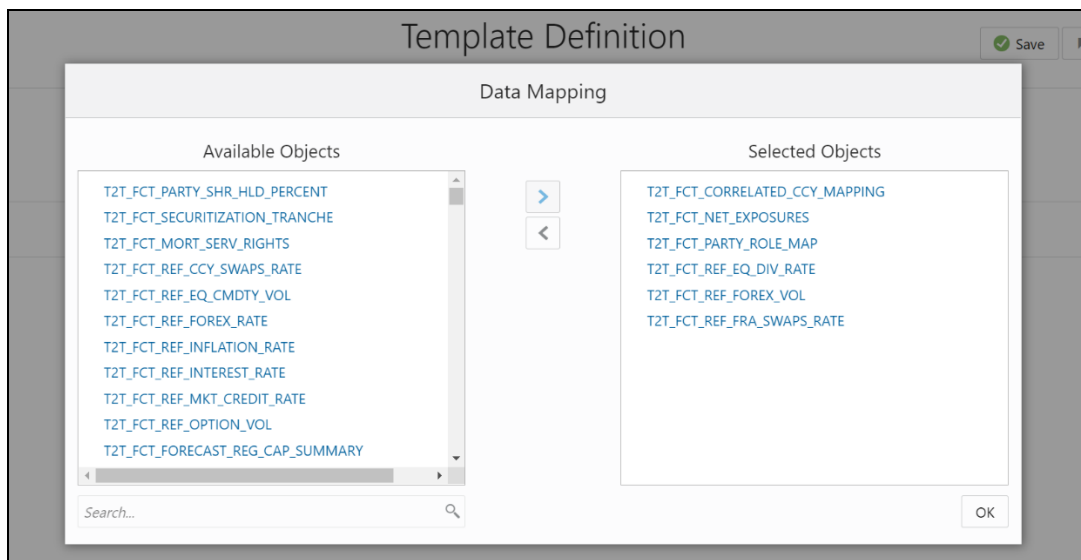
21. When the object list is huge, use the Search option as shown above. Type first three letters of the Filter Object Name and the relevant Filter Objects appear.

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 52: 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.
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.

| Sl. No.	Lineage Property	Property Description
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.
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.

Sl. No.	Lineage Property	Property Description
28	Lineage Element Column Level1	Stores the Level1 Source Column of Lineage Report generated for populating the Results Area Table and Column.
29	Lineage Run or Batch Level2	Stores the Level2 Run Name or Batch Name of Lineage Report generated for populating the Level1 Source Table and Column.
30	Lineage Data Flow Name Level2	Stores the Level2 Data Flow Name of Lineage Report generated for populating the Level1 Source Table and Column.
31	Lineage Data Flow Type Level2	Stores the Level2 Data Flow Type of Lineage Report generated for populating the Level1 Source Table and Column.
32	Lineage Element Table Level2	Stores the Level2 Source Table of Lineage Report generated for populating the Level1 Source Table and Column.
33	Lineage Element Column Level2	Stores the Level2 Source Column of Lineage Report generated for populating the Level1 Source Table and Column.
34	Lineage Run or Batch Level3	Stores the Level3 Run Name or Batch Name of Lineage Report generated for populating the Level2 Source Table and Column.
35	Lineage Data Flow Name Level3	Stores the Level3 Data Flow Name of Lineage Report generated for populating the Level2 Source Table and Column.
36	Lineage Data Flow Type Level3	Stores the Level3 Data Flow Type of Lineage Report generated for populating the Level2 Source Table and Column.
37	Lineage Element Table Level3	Stores the Level3 Source Table of Lineage Report generated for populating the Level2 Source Table and Column.
38	Lineage Element Column Level3	Stores the Level3 Source Column of Lineage Report generated for populating the Level2 Source Table and Column.
39	Lineage Run or Batch Level4	Stores the Level4 Run Name or Batch Name of Lineage Report generated for populating the Level3 Source Table and Column.
40	Lineage Data Flow Name Level4	Stores the Level4 Data Flow Name of Lineage Report generated for populating the Level3 Source Table and Column.
41	Lineage Data Flow Type Level4	Stores the Level4 Data Flow Type of Lineage Report generated for populating the Level3 Source Table and Column.
42	Lineage Element Table Level4	Stores the Level4 Source Table of Lineage Report generated for populating the Level3 Source Table and Column.
43	Lineage Element Column Level4	Stores the Level4 Source Column of Lineage Report generated for populating the Level3 Source Table and Column.
44	Lineage Run or Batch Level5	Stores the Level5 Run Name or Batch Name of Lineage Report generated for populating the Level4 Source Table and Column.
45	Lineage Data Flow Name Level5	Stores the Level5 Data Flow Name of Lineage Report generated for populating the Level4 Source Table and Column.
46	Lineage Data Flow Type Level5	Stores the Level5 Data Flow Type of Lineage Report generated for populating the Level4 Source Table and Column.
47	Lineage Element Table Level5	Stores the Level5 Source Table of Lineage Report generated for populating the Level4 Source Table and Column.
48	Lineage Element Column Level5	Stores the Level5 Source Column of Lineage Report generated for populating the Level4 Source Table and Column.
49	Lineage Run or Batch Level6	Stores the Level6 Run Name or Batch Name of Lineage Report generated for populating the Level5 Source Table and Column.

| Sl. No.	Lineage Property	Property Description
50	Lineage Data Flow Name Level6	Stores the Level6 Data Flow Name of Lineage Report generated for populating the Level5 Source Table and Column.
51	Lineage Data Flow Type Level6	Stores the Level6 Data Flow Type of Lineage Report generated for populating the Level5 Source Table and Column.
52	Lineage Element Table Level6	Stores the Level6 Source Table of Lineage Report generated for populating the Level5 Source Table and Column.
53	Lineage Element Column Level6	Stores the Level6 Source Column of Lineage Report generated for populating the Level5 Source Table and Column.
54	Lineage Run or Batch Level7	Stores the Level7 Run Name or Batch Name of Lineage Report generated for populating the Level6 Source Table and Column.
55	Lineage Data Flow Name Level7	Stores the Level7 Data Flow Name of Lineage Report generated for populating the Level6 Source Table and Column.
56	Lineage Data Flow Type Level7	Stores the Level7 Data Flow Type of Lineage Report generated for populating the Level6 Source Table and Column.
57	Lineage Element Table Level7	Stores the Level7 Source Table of Lineage Report generated for populating the Level6 Source Table and Column.
58	Lineage Element Column Level7	Stores the Level7 Source Column of Lineage Report generated for populating the Level6 Source Table and Column.
59	Lineage Run or Batch Level8	Stores the Level8 Run Name or Batch Name of Lineage Report generated for populating the Level7 Source Table and Column.
60	Lineage Data Flow Name Level8	Stores the Level8 Data Flow Name of Lineage Report generated for populating the Level7 Source Table and Column.
61	Lineage Data Flow Type Level8	Stores the Level8 Data Flow Type of Lineage Report generated for populating the Level7 Source Table and Column.
62	Lineage Element Table Level8	Stores the Level8 Source Table of Lineage Report generated for populating the Level7 Source Table and Column.
63	Lineage Element Column Level8	Stores the Level8 Source Column of Lineage Report generated for populating the Level7 Source Table and Column.
64	Lineage Run or Batch Level9	Stores the Level9 Run Name or Batch Name of Lineage Report generated for populating the Level8 Source Table and Column.
65	Lineage Data Flow Name Level9	Stores the Level9 Data Flow Name of Lineage Report generated for populating the Level8 Source Table and Column.
66	Lineage Data Flow Type Level9	Stores the Level9 Data Flow Type of Lineage Report generated for populating the Level8 Source Table and Column.
67	Lineage Element Table Level9	Stores the Level9 Source Table of Lineage Report generated for populating the Level8 Source Table and Column.
68	Lineage Element Column Level9	Stores the Level9 Source Column of Lineage Report generated for populating the Level8 Source Table and Column.
69	Lineage Run or Batch Level10	Stores the Level10 Run Name or Batch Name of Lineage Report generated for populating the Level9 Source Table and Column.
70	Lineage Data Flow Name Level10	Stores the Level10 Data Flow Name of Lineage Report generated for populating the Level9 Source Table and Column.
71	Lineage Data Flow Type Level10	Stores the Level10 Data Flow Type of Lineage Report generated for populating the Level9 Source Table and Column.

Sl. No.	Lineage Property	Property Description
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 for 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 for 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 for Target Metadata Operator in Results Area. This is the derived representation of the Target Metadata Operator in the Results Area.
81	Data Element Metadata Member	Stores the Ultimate Source Table Column Member Code of Lineage Report generated for Target Metadata Member Code in Results Area. This is the derived representation of the Target Metadata Member Code in the Results Area.

Figure 157: Template Definition
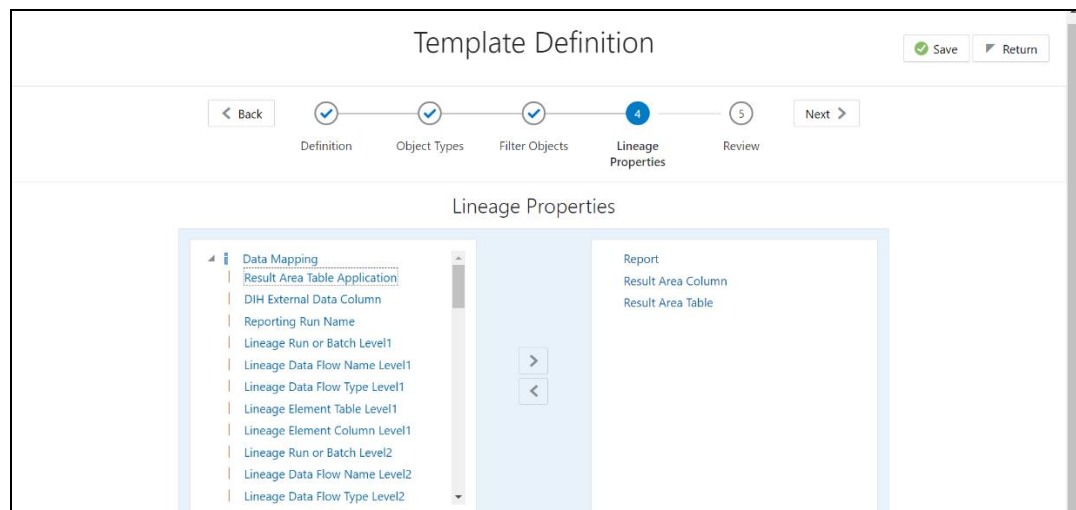
24. Review the Template Definition and click **Save**.

Figure 158: Template Definition
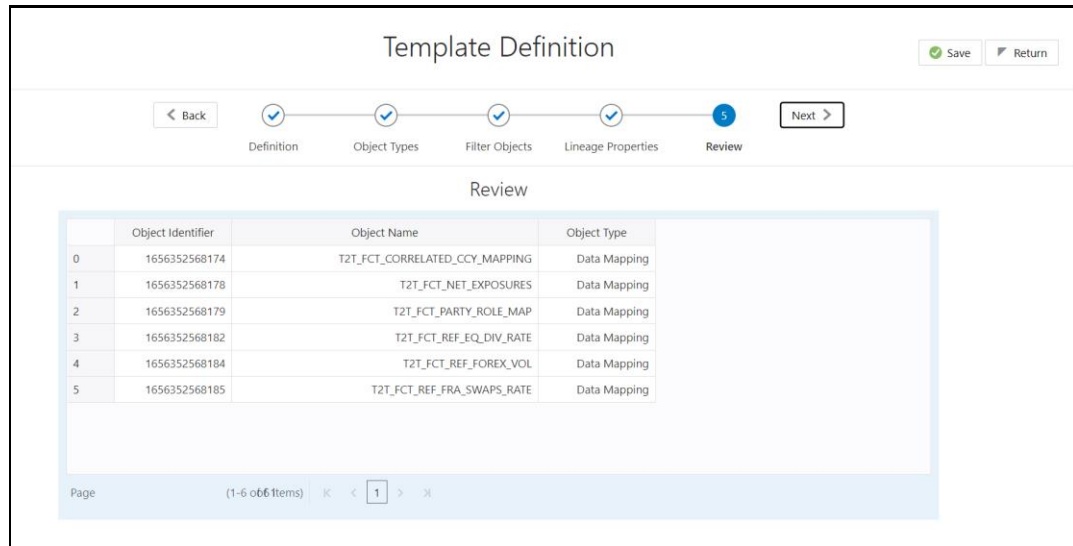
25. Click Return to go to the Summary Screen.

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.

  f. The export logs are generated and placed in the path
     `/Context_Name/logs/MDB.log`.

     Log files give the following information:

     — All Paths query

     — Query for each path and if data present for this path

     — Lineage query

     — Status of excel output creation

     — 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 the 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.

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

   b. MDR Owner Group: To create templates in Metadata Report Extract.

17.4 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 the **View** Icon to view the generated Metadata Report Templates excel report (after the export status shows as completed).

Figure 159: Metadata Report

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

17.5   Modify or 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 the **Edit** Icon to modify the generated Metadata Report Templates excel report (after the export status shows as completed).

Figure 160: Metadata Report

17.6   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.

Figure 161: Metadata Report

OFSAA Support Contact Details

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

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- Are the examples correct? Do you need more examples?

- What features did you like most about this manual?

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