

Oracle® Financial Services Data Governance for North America Regulatory Reporting User Guide



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1 Preface

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.

Topics:

- [Scope of this Guide](#)
- [Intended Audience](#)
- [Related Documents](#)

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

1.3 Intended Audience

Welcome to release 8.1.2.11.0 of the Oracle Financial Services Data Governance for North America Regulatory Reporting User Guide. This manual is intended for the following audience:

- Business Analysts and supervisors in financial institutions

1.4 Related Documents

Along with this user guide, you can also refer to the following documents in [OHC Documentation Library](#):

- OFS Data Governance for North America Regulatory Reporting Installation and Configuration Guide
- Oracle Financial Services Analytical Applications Infrastructure User Guide, Release 8.1.2.0.0.

2 Introduction

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

2.1 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 2-1 BCBS 239 Principles Answered by Respective OFSAA Components

BCBS 239 Principle	Description	OFSAA Application Catering to the Principle
BCBS Principle Category: Overarching Governance and Infrastructure		
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.

Table 2-1 (Cont.) BCBS 239 Principles Answered by Respective OFSAA Components

BCBS 239 Principle	Description	OFSA Application Catering to the Principle
Principle 2: Data Architecture and IT Infrastructure	Integrated data taxonomies and architecture across the group. Establish roles and responsibilities to ensure adequate controls.	This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure, and OFS Enterprise Modeling Framework.
BCBS Principle Category: Risk Data Aggregation Capabilities		
Principle 3: Accuracy and Integrity	Ensure that the risk data aggregation is accurate and reliable with adequate controls, data reconciliation, and a single source of data for each risk type. Documentation of risk data aggregation process. Establish escalation channels and action plans.	This principle is addressed by OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, OFS Reconciliation Framework, OFS Data Foundation, and OFS Operational Risk.
Principle 4: Completeness	Capture all material risk data by the relevant dimensions. Any exceptions to completeness must be identified and documented. Consistent risk data aggregation capabilities.	This principle is addressed by OFS Data Foundation, OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, and all OFS Applications.
Principle 5: Timeliness	Generate aggregated data as per the desired frequency.	This principle is addressed by OFS Analytical Applications Infrastructure, OFS Applications, and Exadata Benchmarks.
Principle 6: Adaptability	Flexibility to meet ad-hoc requests, especially during stress. Incorporate changes related to internal and external business factors and regulatory frameworks. Generate sub-sets of data based on specific dimensions.	This principle is addressed by all OFS Applications with OFS Data Foundation, OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework.
BCBS Principle Category: Risk Reporting Practices		
Principle 7: Accuracy	Reports must be reconciled with risk data, validations to be applied to the output, and exception reports to be displayed. Establish the reliability of approximations such as output from models, scenarios, and stress tests.	This principle is addressed by all the standalone OFS BI analytics applications and dashboards of all the OFS applications.

Table 2-1 (Cont.) BCBS 239 Principles Answered by Respective OFSAA Components

BCBS 239 Principle	Description	OFSA Application Catering to the 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.	This principle is addressed by all the standalone OFS BI analytics applications and dashboards of all the OFS applications.
Principle 9: Clarity and Usefulness	Reports must contain risk data, analysis, interpretation, and qualitative information. Customized to suit individual requirements.	This principle is addressed by all the standalone OFS BI analytics applications, and dashboards of all the OFS applications, and Oracle Business Intelligence Enterprise Edition (OBIEE).
Principle 10: Frequency	Produce reports at the desired frequency. Timely availability of reports under stress conditions.	This principle is addressed by all the OFS BI analytics application, OFS applications which compute metrics, and OFS Enterprise Modeling Framework.
Principle 11: Distribution	Make reports available to relevant stakeholders on time while maintaining confidentiality.	This principle is addressed by all the standalone OFS BI analytics applications, and dashboards of all the OFS applications, and Oracle Business Intelligence Enterprise Edition (OBIEE).
BCBS Principle Category: Supervisory Review, Tools and Cooperation		
BCBS 239 Principle	Description	OFSA Application Catering to the Principle
Principle 12: Review	Supervisors must: Review bank compliance with principles 1 to 11. Examine the results of internal and external audits. Test bank's data aggregation and reporting capabilities under normal and stress conditions.	This principle is addressed by OFS Data Governance for North America Regulatory Reporting.
Principle 13: Remedial Actions and Supervisory Measures	Use of multiple tools for: Required remedial action Increased scrutiny Independent review Capital add-ons	This principle is addressed by OFS Data Governance for North America Regulatory Reporting.
Principle 14: Home/Host cooperation	Supervisors of relevant jurisdictions must cooperate. Information and experience-sharing through bilateral or multilateral dialogue.	

2.3 Data Governance for North America Regulatory Reporting

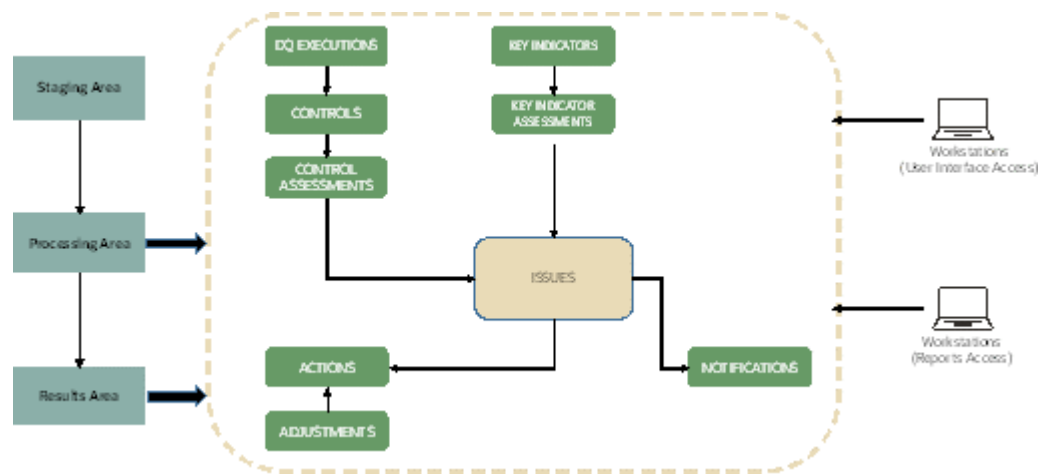
Data Governance for North America Regulatory Reporting (DGUSRR) operationalizes the data governance process. The OFSAA DGUSRR enables financial institutions to map multiple data sources to a standard, common business glossary.

Additionally, DGUSRR enables you to:

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

The following diagram provides a high-level workflow of the DG application.

Figure 2-1 Technical Architecture



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

2.4 Important Features

The following are the key features of Data Governance for North America Regulatory 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 North America Regulatory Reporting

The components of DGUSRR are listed as follows:

- **Business Glossary:** It maintains the business glossary for standardization along with the Business Terms.
- **Critical Data Elements:** It classifies the Business Terms as critical data elements with approval and review workflows.
- **Controls:** It defines the operational and quality controls on every data element and monitors the effectiveness of the control.
- **Key Indicators:** It monitors all the key metrics, trends of the metrics, variances, and so on for the data elements.
- **Issues and Actions:** It defines the issues and remediation action plans to resolve issues.
- **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.

User Roles and Actions

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

Table 4-1 User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 4-2 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.

4.1 Viewing a Business Term

To view a Business Term, follow these steps:

1. From the Financial Services Data Governance for North America Regulatory Reporting window navigate to **Standards and Policies** and select **Business Terms**.
The Business Terms summary window is displayed.

Figure 4-1 Business Terms

The screenshot shows the Oracle Financial Services Data Governance for North America Regulatory Reporting interface. The 'Business Terms' section is active. It features a search bar with fields for 'Term', 'Status', and 'Subject Area'. Below the search bar is a 'Summary' section with a table of business terms. The table has columns for 'Term', 'Critical Data Element', 'Subject Area', 'Domain', 'Glossary', and 'Status'. The table lists several business terms, including '12 Month Provision Rate', '120 Days And Above Past Due Balance', '24th Month Lag Balance', '2nd Maximum Net Potential Exposure Of Clearing Member Of Ccp', '2nd Maximum Net Potential Exposure Of Clearing Member Of CCP', '31st FINCEN Request - Customer Information', '60 Days Past Due Balance', and '60 Or More Days Past Due In 12 Months Balance'. Each row has a checkbox in the 'Term' column and a 'Status' column with a dropdown menu.

Term	Critical Data Element	Subject Area	Domain	Glossary	Status
☐ 12 Month Provision Rate	Yes	Data Tables	Percent, Long	OFSAA Glossary	Active
☐ 120 Days And Above Past Due Balance	Yes	Account	Amount	OFSAA Glossary	Active
☐ 24th Month Lag Balance	Yes	Account	Amount	OFSAA Glossary	Active
☐ 2nd Maximum Net Potential Exposure Of Clearing Member Of Ccp	Yes	Data Tables	Amount	OFSAA Glossary	Active
☐ 2nd Maximum Net Potential Exposure Of Clearing Member Of CCP	Yes	Party	Amount	OFSAA Glossary	Active
☐ 31st FINCEN Request - Customer Information	Yes	Data Tables	Surrogatekey, Sh...	OFSAA Glossary	Active
☐ 60 Days Past Due Balance	Yes	Account	Amount	OFSAA Glossary	Active
☐ 60 Or More Days Past Due In 12 Months Balance	Yes	Account	Number, Amount	OFSAA Glossary	Active

- In the Search section, enter the search details and click **Search** to view the results in the summary table.
- Enter the required **Business Term**.
- 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**.

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

Note

Select one subject area at a time and click **Search**.

- To view a Business Term, select a **Business Term** from the Summary table and click the **View** icon.
- In the **Business Term Details** window, you can view the following details:

Table 4-3 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.

Table 4-3 (Cont.) Business Term Details

Fields	Description
Domain	Alphanumeric, Date , or Numeric .

Figure 4-2 Business Term Details

8. In the **Contextual Definition** window, you can view the following details:

Table 4-4 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 4-3 Business Term Contextual Definition

Context ID	Usage Term Name	Scope	Group	Reference
66147	ARM PERIODIC TRX CAP	TRX-14M		

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 4-4 Related Business Terms and List of Values

ID	Name	Glossary
32331	ARM Periodic Pay Floor Percentage	OFSAA Glossary

Page 1 of 1 (3-1 of 1 items) | Records Per Page 15

List of Values
No Records Found

Records Per Page 15

9. In the Summary Table, you can search for a particular Business Term from the summary 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 . This downloads Business Term Summary details.

4.2 Creating a Business Term

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

① 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 North America Regulatory 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 4-5 Business Term Details

The screenshot shows the Oracle Financial Services Data Governance for North America Regulatory Reporting interface. The main section is titled "Business Term Details". It features a sidebar with "Business Term Details" and "Term Usage". The main content area has a wizard with three steps: "Business Term Details" (active), "Related Business Term Selection", and "List of Values". The "Business Term Details" step contains the following fields:

- Term** (Mandatory): A text input field.
- Definition** (Mandatory): A text input field.
- Glossary** (Mandatory): A dropdown menu.
- Status** (Mandatory): A dropdown menu with "New" selected.
- Annotate**: A text input field.
- Keywords**: A text input field.
- Critical Data Element**: Radio buttons for "Yes" and "No".
- Subject Area** (Mandatory): A dropdown menu.
- Domain** (Mandatory): A dropdown menu.

Buttons for "Save" and "Cancel" are located at the top right. A copyright notice at the bottom reads: "Copyright © 1993, 2021, Oracle and/or its affiliates. All rights reserved."

3. In the Business Term Details section:
 - a. Enter the required information in the following fields.

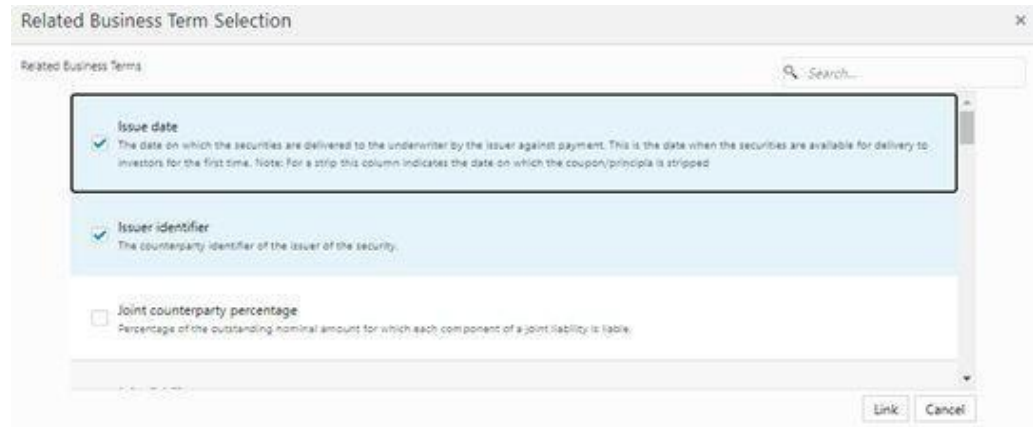
Table 4-5 Business Term Details

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.
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 the **Select** button.
 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 4-6 Related Business Term Selection



Related Business Term Selection

Related Business Terms

Search...

- ☒ **Issue date**
The date on which the securities are delivered to the underwriter by the issuer against payment. This is the date when the securities are available for delivery to investors for the first time. Note: For a strip this column indicates the date on which the coupon/principal is stripped.
- ☒ **Issuer identifier**
The counterparty identifier of the issuer of the security.
- ☐ **Joint counterparty percentage**
Percentage of the outstanding nominal amount for which each component of a joint liability is liable.

Link Cancel

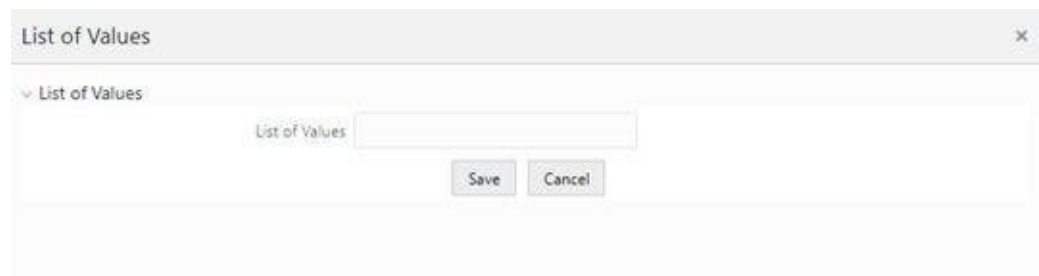
- b. Save and then Submit the selected Business Term.
A confirmation message appears, confirming that the operation was successful.

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 the **Select** button.
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 4-7 List of Values



List of Values

List of Values

Save Cancel

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**.

4.3 Creating a Usage Term

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

The Usage Term of Business Terms explains the terminology in the context of its usage. A terminology can have one or more usage terms based on the number of use cases that it applies to in the organization. Each usage of that particular term has its explanation of how and why it is used, along with the list of values for that specific context.

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

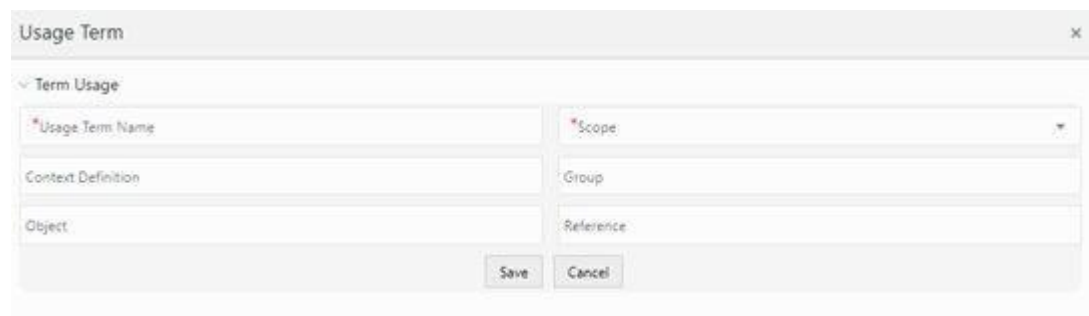
Note

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 North America Regulatory 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**. The Term Usage section is now enabled.
4. Click the **Term Usage** tab.
5. In the **Usage Term** sub-section, click the **Link** icon.

Figure 4-8 Usage Term



The screenshot shows a web form titled "Usage Term" with a close button (X) in the top right corner. Below the title is a section labeled "Term Usage" with a dropdown arrow. The form contains several input fields: "Usage Term Name" (marked with a red asterisk), "Scope" (marked with a red asterisk and a dropdown arrow), "Context Definition", "Group", "Object", and "Reference". At the bottom right of the form are two buttons: "Save" and "Cancel".

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

Table 4-6 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.

4.4 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 North America Regulatory Reporting window navigate to **Standards and Policies** and select **Business Terms**. The **Business Terms** summary window is displayed.

Figure 4-9 Business Terms Summary



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 it 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.

User Roles and Actions

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

Table 5-1 User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 5-2 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

5.1 Viewing Critical Data Elements

To view a Critical Data Element, follow these steps:

1. From the Financial Services Data Governance for North America Regulatory Reporting Window navigate to **Standards and Policies** and select **Critical Data Element**. The Critical Data Element window is displayed.

Figure 5-1 Critical Data Element

The screenshot shows the Oracle Financial Services Data Governance for North America Regulatory Reporting interface. The main section is titled "Critical Data Elements". Below the title, there is a search section with fields for "CDE Name", "Business Term", and "Status". A "Search" button is located to the right of these fields. Below the search section, there is a "Summary" section with a table of Critical Data Elements. The table has columns for "CDE Name", "Critical Data Element", "Data Classification Level", "Access Level", "Business Term", and "Status". The table lists several CDEs, including "90 Days Past Due In Last 12 Months Indicator", "Account Branch Code", "Account Closed Date", "Account Closed Indicator", "Account Credit Line Relationship Indicator", "Account Cycle Balance", "Account Delinquent Days", and "Account Freeze Indicator". Each row in the table has a checkbox in the "CDE Name" column and a "View" icon in the "Status" column.

CDE Name	Critical Data Element	Data Classification Level	Access Level	Business Term	Status
☐ 90 Days Past Due In Last 12 Months Indicator	Yes	Financial	Confidential	90 Days Past Due In Last 12 Months Indicator	Active
☐ Account Branch Code	Yes	Financial	Confidential	Account Branch Code	Active
☐ Account Closed Date	Yes	Financial	Confidential	Account Closed Date	Active
☐ Account Closed Indicator	Yes	Financial	Confidential	Account Closed Indicator	Active
☐ Account Credit Line Relationship Indicator	Yes	Financial	Confidential		Active
☐ Account Cycle Balance	Yes	Financial	Confidential		Active
☐ Account Delinquent Days	Yes	Financial	Confidential	Account Delinquent Days	Active
☐ Account Freeze Indicator	Yes	Financial	Confidential	Account Freeze Indicator	Active

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

Table 5-3 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 5-2 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** icon drop-down . This downloads the CDE Summary details.

5.2 Creating a Critical Data Element (CDE)

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

① Note

1. You must have CDE Creator rights to create a CDE.
2. You can only create a CDE that are in the Draft status.
3. 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 North America Regulatory Reporting window navigate to **Standards and Policies** and select **Critical Data Element**.

Figure 5-3 Critical Data Elements Summary

Oracle Financial Services Data Governance for North America Regulatory Reporting

Critical Data Elements

Home > Critical Data Elements

Search: [CDE Name] [Business Term] [Status] [Search] [Reset]

Summary

Delete View Edit Add

CDE Name	Critical Data Element	Data Classification Level	Access Level	Business Term	Status
90 Days Past Due In Last 12 Months Indicator	Yes	Financial	Confidential	90 Days Past Due In Last 12 Months Indicator	Active
Account Branch Code	Yes	Financial	Confidential	Account Branch Code	Active
Account Closed Date	Yes	Financial	Confidential	Account Closed Date	Active
Account Closed Indicator	Yes	Financial	Confidential	Account Closed Indicator	Active
Account Credit Line Relationship Indicator	Yes	Financial	Confidential		Active
Account Cycle Balance	Yes	Financial	Confidential		Active
Account Delinquent Days	Yes	Financial	Confidential	Account Delinquent Days	Active
Account Freeze Indicator	Yes	Financial	Confidential	Account Freeze Indicator	Active

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- Click the **Add** icon.
The Critical Data Element section is displayed.

Figure 5-4 Critical Data Elements Details

Oracle Financial Services Data Governance for North America Regulatory Reporting

Critical Data Element Details

Home > Critical Data Elements > Critical Data Element Details

Critical Data Elements

Back

1 Critical Data Details 2 Entry Ambiguity Details

Save Cancel

Next >

Critical Data Element Addition

* Name

* Access Level

* Data Classification Level

* Status: New

Business Term

Browse

- Enter the data in the available fields.

Table 5-4 Critical Data Elements Details

Fields	Description
CDE Name*	Provide a name for the CDE
Access Level*	Select the access level from the drop-down list: - Public - Confidential - Restricted

Table 5-4 (Cont.) Critical Data Elements Details

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 HierarchyBrowser 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 5-5 Entity Attribute Details Addition

Entity Attribute Details

Entity Attribute Details Addition

CDE Name: CDE

Entity Name: [Browse]

Attribute Name: [Browse]

[Save] [Cancel]

- 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 the **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**.

5.3 Approving or Rejecting a CDE

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

To approve a CDE, follow these steps:

1. From the Financial Services Data Governance for North America Regulatory Reporting, window navigate to **Standards and Policies** and select **Critical Data Element**. The Critical Data Element Details page appears.

Figure 5-6 Critical Data Element 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

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.

User Roles and Actions

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

Table 6-1 User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 6-2 User Profile

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

6.1 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 North America Regulatory Reporting window navigate to **Administration** and select **Key Indicator Assessment Configuration**.
The Key Indicator Assessment Configuration window is displayed.

Figure 6-1 Key Indicator Assessment Configuration

Oracle Financial Services Data Governance for North America Regulatory Reporting

US-English OFSAD

KI Configuration

Selection

Choose Assessment Scope: Cell

Reports, Schedules, Cells

Report	Excluded Schedules	Excluded Cells	Threshold(%)	Threshold Amount
☒ FFIEC-009	Select Schedules	Select Cell Ids	10	10000
☒ FFIEC-013	Select Schedules	Select Cell Ids	10	10000
☒ FFIEC-041	Select Schedules	Select Cell Ids	10	10000
☒ FRY-15	Select Schedules	Select Cell Ids	20	2000
☒ FRY-9C	Select Schedules	Select Cell Ids	10	10000

Page 1 of 1 (1-5 of 5 items)

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- In the **KI Assessment Configuration** section, in the **Report** column, select the checkboxes for the reports whose schedules and cell IDs you want to exclude. The **Select Schedules** and **Select Cell IDs** buttons are enabled.
- For the report whose schedule you want to exclude, click the **Select Schedules** button.

Figure 6-2 Schedule List

Schedules List

Available Schedules

- C-Part-I
- D
- L
- O

Excluded Schedules

- C-Part-II

> < >+ <-

OK Cancel

- In the **Schedules List** window, in the **Available Schedules** section, select the available schedules that you want to exclude and then click the **Move Schedule** icon.

Note

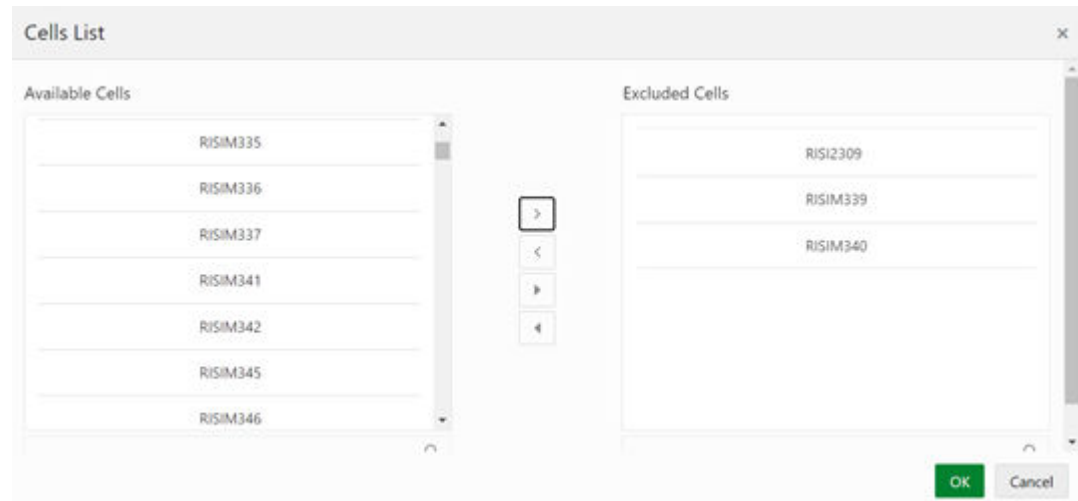
The groupings appear based on your configuration.

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

- Click **OK**.

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

Figure 6-3 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 **Move Schedule** 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.
The threshold for all the cells associated with the report is updated with the new Threshold Value.

Figure 6-4 Refresh Threshold

ORACLE Financial Services Data Governance for North America Regulatory Reporting

US-English DPSAD

KI Configuration

Selection Save Refresh Threshold

Choose Assessment Scope Cell

Reports, Schedules, Cells

Report	Excluded Schedules	Excluded Cells	Threshold(%)	Threshold Amount
☒ FFEC-009	Select Schedules	Select Cell Ids	10	10000
☒ FFEC-031	Select Schedules	Select Cell Ids	10	10000
☒ FFEC-041	Select Schedules	Select Cell Ids	10	10000
☒ FRY-15	Select Schedules	Select Cell Ids	20	2000
☒ FRY-9C	Select Schedules	Select Cell Ids	10	10000

Page 1 of 1 (1-1 of 5 items) 1

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.

User Roles and Actions

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

Table 7-1 User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 7-2 User Role

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

7.1 Configuring Control Assessment Parameters

To Control the Assessment Parameters, follow these steps:

1. From Financial Services Data Governance for North America Regulatory Reporting window navigate to **Administration** and select **Control Assessment Parameters**. The Control Assessment Parameters window is displayed.

Figure 7-1 Control Assessment Parameters

Table 7-3 Control Assessment Parameters Screen Fields and Descriptions

Fields	Description
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.

User Roles and Actions

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

Table 8-1 User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 8-2 User Role

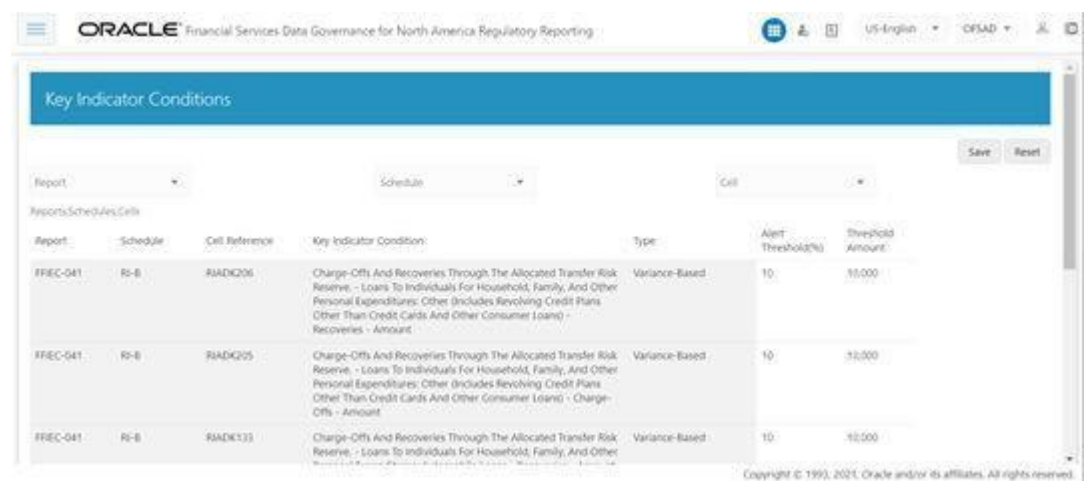
Role Code	Role Name
KITHRSLD	KI Threshold Config Role
DGADMINR	DG Administration

8.1 Configuring Key Indicator Threshold

To Control the Assessment Parameters, follow these steps:

1. From Financial Services Data Governance for North America Regulatory Reporting window navigate to **Administration** and select **Key Indicator Threshold**. The Key Indicator Threshold window is displayed.

Figure 8-1 Key Indicator Conditions



Report	Schedule	Cell Reference	Key Indicator Condition	Type	Alert Threshold(%)	Threshold Amount
FFREC-041	R0-B	RIADG206	Charge-Offs And Recoveries Through The Allocated Transfer Risk Reserve - Loans To Individuals For Household, Family, And Other Personal Expenditures: Other (includes Revolving Credit Plans Other Than Credit Cards And Other Consumer Loans) - Recoveries - Amount	Variance-Based	10	10,000
FFREC-041	R0-B	RIADG205	Charge-Offs And Recoveries Through The Allocated Transfer Risk Reserve - Loans To Individuals For Household, Family, And Other Personal Expenditures: Other (includes Revolving Credit Plans Other Than Credit Cards And Other Consumer Loans) - Charge-Offs - Amount	Variance-Based	10	10,000
FFREC-041	R0-B	RIADG203	Charge-Offs And Recoveries Through The Allocated Transfer Risk Reserve - Loans To Individuals For Household, Family, And Other	Variance-Based	10	10,000

2. In the Key Indicator Conditions window, select the required **Report**, **Schedule**, and **Cell**.
3. Edit the **Alert Threshold (%)** value (percentage from 0 -100) and the required **Threshold Amount**.
4. Click **Save**.

 Note

For Open Y reports, Cell Reference column holds combination of Row Index and Cell ID. For Template reports, Cell Reference column holds the Cell ID.

9 DGS Application Configuration

In DGS 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.

User Roles and Actions

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

Table 9-1 User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 9-2 User Role

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

9.1 Configuring DGS Application

To configure DGS Application, follow these steps:

1. From Financial Services Data Governance for North America Regulatory Reporting window navigate to **Administration** and select **DGS Application Configuration**. The DGS Application Configuration window is displayed.

Figure 9-1 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. In case 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.

User Roles and Actions

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

Table 10-1 User Groups

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

Table 10-2 User Role

Role Code	Role Name
CTLVIEWR	Control Viewer

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.

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**, **ISSAPR** in addition to other Control related groups.

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

Table 10-3 Data Quality Checks

Data Quality Check	Definition
Blank Value Check	Identifies if the base column is empty considering the blank space.

Table 10-3 (Cont.) Data Quality Checks

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

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

Note

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

10.2 Control Creation through Batches

To create a Control through Batches, follow these steps:

1. For control creation, first you must seed the FSI_DGS_CONFIGURATION table.

Note

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

Figure 10-1 Control Creation through Batches

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

2. 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](#).

10.3 Quality Control Assessment

The following are the prerequisites for Quality Control Assessment:

- 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](#).

10.4 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 10-4 Threshold Score

SI 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 10-5 DQ Weight Percentage

SI No.	Control ID	Data Quality ID	Weight
1	865675	E1_STC_STLMT_DAT_0 1	25%
		E1_STC_STLMT_DAT_0 2	25%
		E1_STC_STLMT_DAT_0 3	25%
		E1_STC_STLMT_DAT_0 4	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 10-6 Parameter Weight Percentage

SI 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 =

$$\begin{aligned}
 & [[\text{DQ1 Error} * \text{Parameter Weight}] + [\text{DQ1 Warning} * \text{Parameter Weight}] + [\text{DQ1 Info} * \\
 & \text{Parameter Weight}] + [\text{DQ1 Defaults} * \text{Parameter Weight}] * \text{DQ1 weight}] + [[\text{DQn Error} * \\
 & \text{Parameter Weight}] + [\text{DQn Warning} * \text{Parameter Weight}] + [\text{DQn Info} * \text{Parameter Weight}] + \\
 & [\text{DQn Defaults} * \text{Parameter Weight}] * \text{DQn weight}] / 100
 \end{aligned}$$

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 below the 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 10-7 Data Quality Control Evaluation with GL Recon Validation

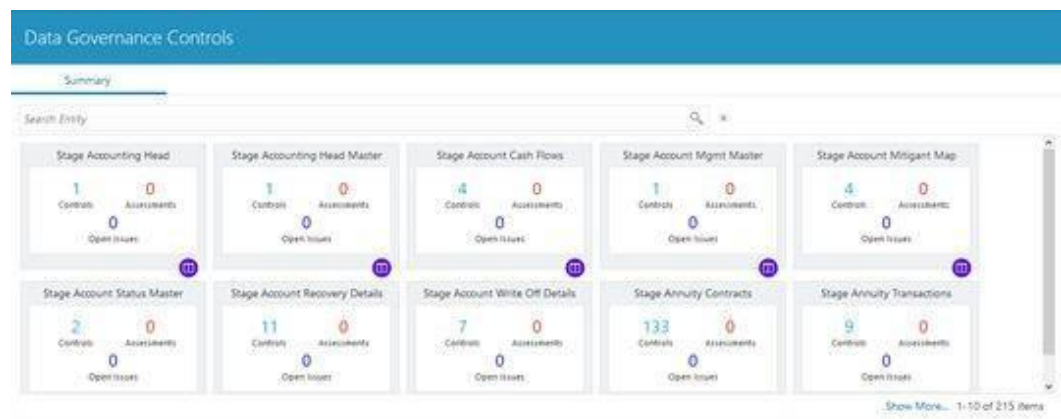
SI No.	Data Quality Control Validation	Status
1	IF GL Recon is installed, all reconciliations are passed, and the Total Control score is equal to or above the configured threshold	Control Effective
2	IF GL Recon is installed, any reconciliations fail, and the Total Control score is above the configured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

10.5 Viewing Controls

To view the controls, follow these steps:

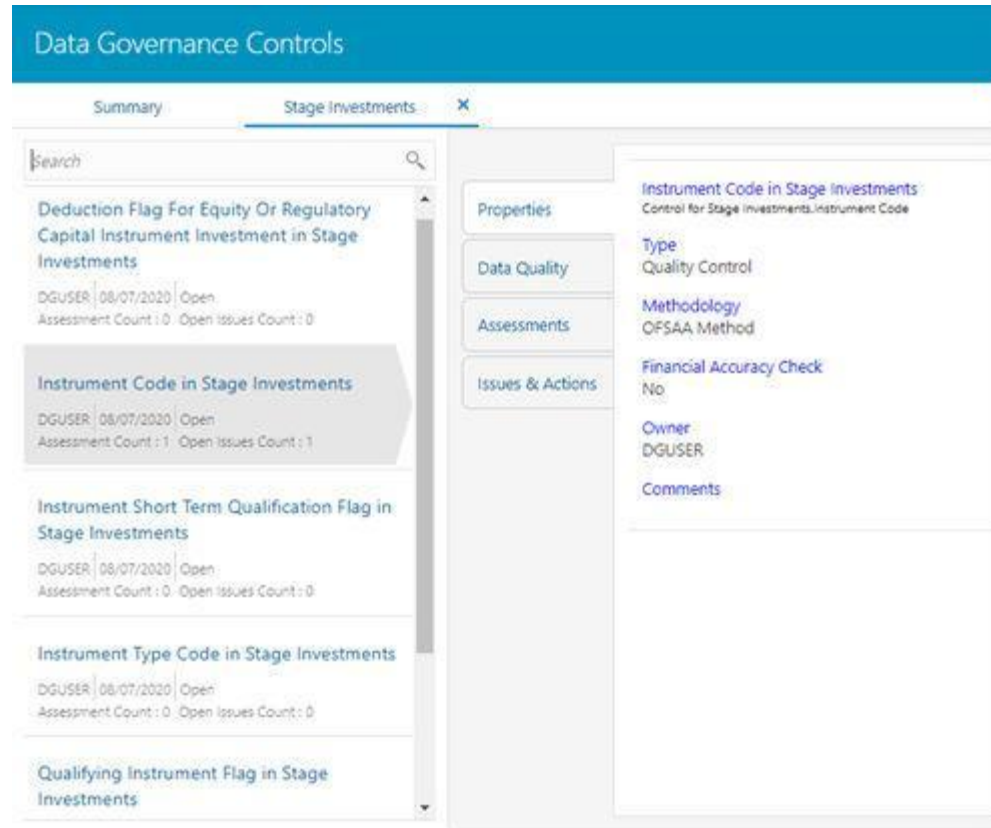
- From Financial Services Data Governance for North America Regulatory Reporting window navigate to **Controls**.
The Control summary window is displayed. After you execute the batch DGS_DQ_CTL_BATCH, the Control summary window displays the stage tables for which the controls are defined. It also displays the assessments and open issues if any.

Figure 10-2 Data Governance Controls



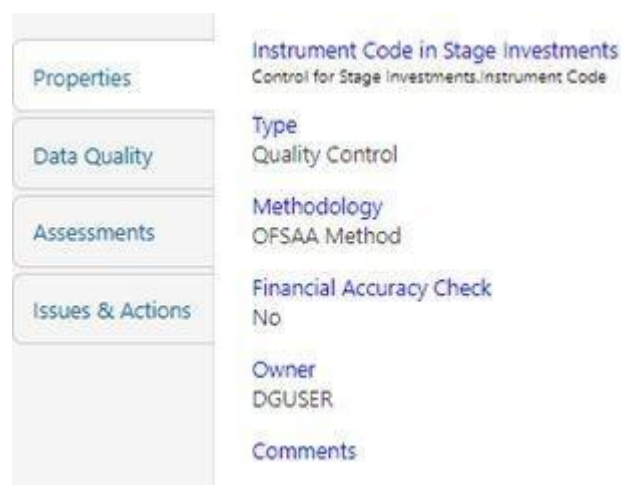
2. Select a stage table and then click the **View Controls** icon to view the details.
For example, the stage table “Stage Investment” and control “Instrument Code in Stage Investments” is selected here.

Figure 10-3 Data Governance Controls – Stage investments



3. Click **Properties** to view the control properties.

Figure 10-4 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
4. Click **Data Quality** to view the DQ information on which the control is created.

Figure 10-5 Data Governance Controls – Data Quality

Control ID	Description	DQ Weight	Attribute	Entity
DQCUSTAGCT1995	Instrument Code column in Stage Investments table should be present	50	Instrument Code	Stage Investments
DQCUSTAGCT4858	Instrument Code column in Stage Investments table should refer values from Instrument Code column present in Instruments Contracts Dimension table	50	Instrument Code	Stage Investments

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.
5. Click **Assessments** to view the Control Assessments.

Figure 10-6 Data Governance Controls – Assessments

Metric	Value
Effectiveness Score	92
Effectiveness Rating	Ineffective
Effectiveness Status	Completed
Execution Date	2020-08-07 12:12:45.0

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.
6. Click **Issues & Actions** to view the system-generated issues created for control. To edit a system-generated issue, see section [Editing an Issue](#).

Figure 10-7 Data Governance Controls – Issues & Actions



10.6 Editing an Issue

To edit an issue, follow these steps:

1. From Financial Services Data Governance for North America Regulatory Reporting window navigate to Controls.
2. Select a stage table and then click **View Controls** to view the details.
3. Click **Issues & Actions**. The system-generated issues for this control are displayed.

Figure 10-8 Data Governance Controls – Issues & Actions



4. Click the required issue to edit.

Figure 10-9 Data Governance Controls – Issues & Actions

Issues for this control → Data Quality issue in Instr...

Properties
Data Quality
Assessments
Issues & Actions

Data Quality issue in Instrument Code in Stage Investments - 142330

Save

Description

Category
Data Authorization

Criticality
Medium

Target Date
09/30/20

Component
Control

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.

10.6.1 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:

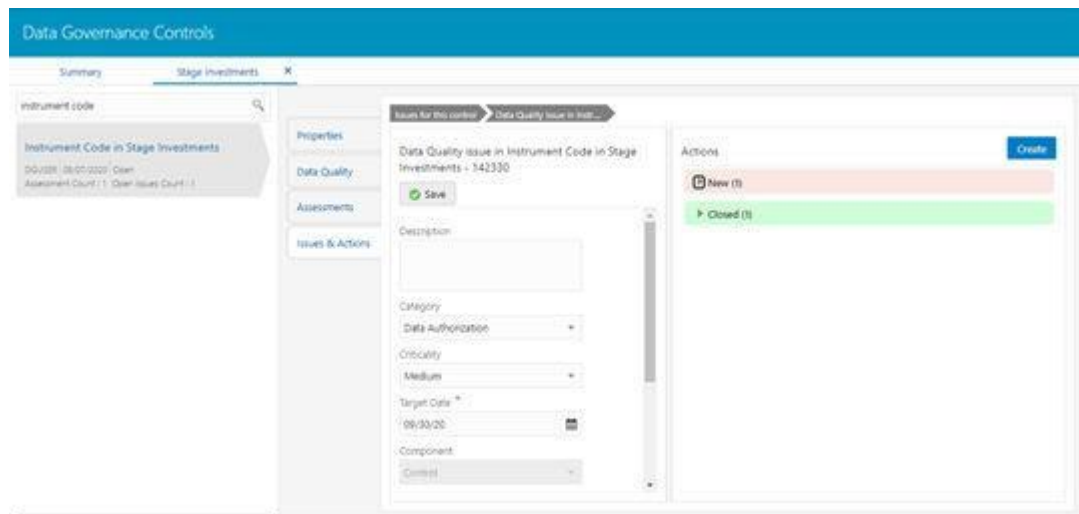
1. From the Financial Services Data Governance Studio window, navigate to **Controls**.
2. Select a stage table and then click the **View Controls** icon to view the details.
3. Click **Issues & Actions**. The Issues for this control is displayed with the details.

Figure 10-10 Data Governance Controls – Issues & Actions



4. Click the required issue. The Actions pane is displayed.

Figure 10-11 Data Governance Controls – Actions



5. To create an action, in the Actions section click **Create**.

Figure 10-12 Data Governance Controls – New Actions

The screenshot shows the 'Data Governance Controls' application interface. The 'Stage Investments' tab is selected. On the left, a list of instrument issues is visible, including 'Deduction Flag For Equity Or Regulatory Capital Instrument Investment in Stage Investments' and 'Instrument Code in Stage Investments'. The main form area is for creating a new action. The 'Name' field is 'Data Correction in Instrument Code', the 'Description' is 'Correcting the data in Instrument Code in Stage Investments', the 'Action Type' is 'Data Adjustments - DQ errors', the 'Criticality' is 'Medium', the 'Start Date' is '06/20/20', and the 'Target Date' is '06/30/20'. The 'Owner' is 'DGSAPR' and the 'Status' is 'New'. A 'Save' button is in the top right corner.

6. Enter the **Name** and **Description**.
7. Select the **Action Type** from the drop-down list:
 - a. Data Adjustments - DQ errors
 - b. Data Adjustments - Others
 - c. Data Adjustments - Regulatory Reporting
 - d. Reconciliation Adjustments
 - e. 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 dates 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. In Progress
 - 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 10-13 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.

User Roles and Actions

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

Table 11-1 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.

11.1 Logging an Issue

To log an issue or view or create tasks, issues, and actions, follow these steps:

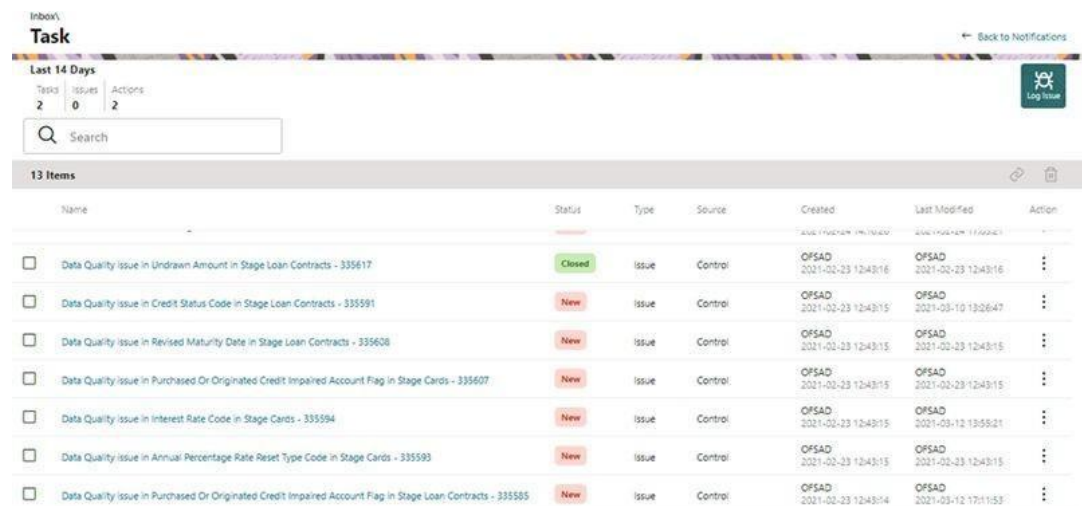
1. From Financial Services Data Governance for North America Regulatory Reporting window navigate **Inbox**.
The Notifications window is displayed.

Figure 11-1 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 11-2 Inbox Summary



4. Click the **Log Issue** icon to log an issue.
The Create Issue window is displayed.

Figure 11-3 Create Issue

Create Issue Cancel Save

Name *

Execution Date *

Description

Source: Key Indicators

Category: Data Authorization

Owner

Criticality: Medium

Comments

Target Date *

Attach Documents

Drag and Drop

Select a file or drop one here.

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 (this is the Start Date).
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.

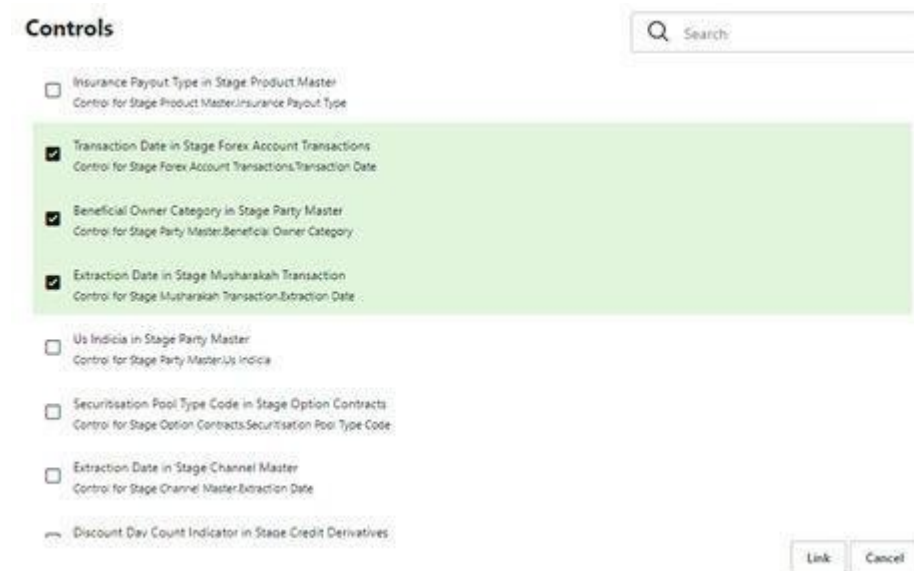
The following window is displayed.

Figure 11-4 Issues



16. Click **Activity**. Any comment that gets logged for an issue is displayed here.
17. Click **Details**. See section [Editing an Issue](#) for information.
18. Click **Actions**. See section [Creating an Action](#) for information.
19. Click **Controls**. You can create an action for an existing issue.
20. Select an issue and click the **Link** icon.
The Controls window is displayed with the control details that can be linked to the issue.

Figure 11-5 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 the **Delete** icon. A confirmation message is displayed. Click **Yes** to delete or click **No** to cancel the deletion.
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.
23. Click the **Actions** icon against the required issue or an action to perform one of the following.

Figure 11-6 Task

Name	Status	Type	Source	Created	Last Modified	Action
Data Quality Issue in Undrawn Amount in Stage Loan Contracts - 335617	Closed	Issue	Control	OPRAD 2021-02-23 12:43:18	OPRAD 2021-02-23 12:43:18	...
Data Quality Issue in Credit Status Code in Stage Loan Contracts - 335591	New	Issue	Control	OPRAD 2021-02-23 12:43:18	OPRAD 2021-02-12 13:26:47	...
Data Quality Issue in Revised Maturity Date in Stage Loan Contracts - 335608	New	Issue	Control	OPRAD 2021-02-23 12:43:18	OPRAD 2021-02-23 12:43:18	...
Data Quality Issue in Purchased Or Originated Credit Impaired Account Flag in Stage Cards - 335607	New	Issue	Control	OPRAD 2021-02-23 12:43:18	OPS 2021-02-23 12:43:18	Link
Data Quality Issue in Interest Rate Code in Stage Cards - 335594	New	Issue	Control	OPRAD 2021-02-23 12:43:18	OPS 2021-02-23 12:43:18	Re-open
Data Quality Issue in Annual Percentage Rate Reset Type Code in Stage Cards - 335593	New	Issue	Control	OPRAD 2021-02-23 12:43:18	OPS 2021-02-23 12:43:18	Close
Data Quality Issue in Purchased Or Originated Credit Impaired Account Flag in Stage Loan Contracts - 335585	New	Issue	Control	OPRAD 2021-02-23 12:43:14	OPRAD 2021-02-12 17:11:43	...

24. If an Issue is in:

- New** state, you can link or close an issue.
- Closed** state, you can close the issue.
- Re-open** state, you can re-open an issue.

Note

Any issues are automatically created by the Assessment and Data Quality processes when the threshold parameters are breached.

25. If an Action is in:

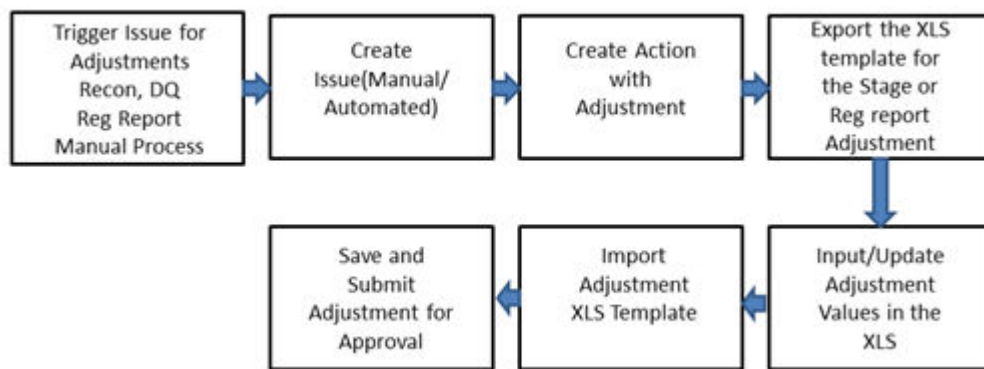
- New** state, you can close an action.
- Closed** state, you can close the action.
- Re-open** state, you can re-open an action.

12 Data Adjustments from Controls Module

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:

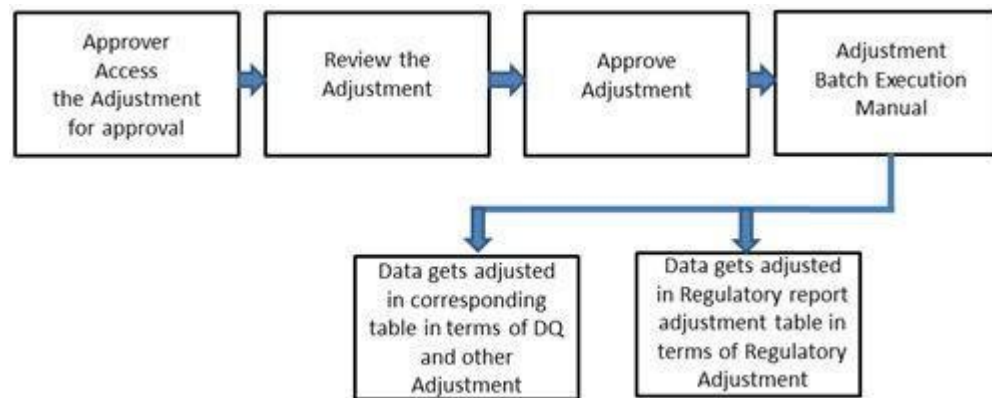
Figure 12-1 For an Adjustment Creator



1. The issue is triggered for adjustments.
2. An issue is created.
3. An action is created with the adjustment.
4. The adjustment is configured and the template for the stage or the regulatory reporting template is exported.
5. The Excel template is updated with the required inputs.
6. The adjustment is then imported.
7. The adjustment is saved and submitted for approval to the Data Adjustment Approver.

For an Adjustment Approver:

Figure 12-2 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

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

12.1 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 Infodomain. 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.

12.2 User Roles and Actions

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

Table 12-1 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.

12.2.1 Actions Performed by Users

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

Table 12-2 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).

Table 12-2 (Cont.) Actions Performed by Users

Action Performed	User 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.

12.3 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.

12.3.1 Prerequisites for Data Adjustments

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.

12.4 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 North America Regulatory Reporting window navigate to **Controls**.
3. Select a stage table and then click the **View Controls** icon 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 12-3 Issues & Actions



7. In the Actions, select the required issue to **View More** details. The Data Adjustments section is displayed.

The screenshot shows the 'Issues & Actions' page. On the left, there's a sidebar with 'Properties', 'Data Quality', 'Assessments', and 'Issues & Actions'. The main area has a breadcrumb trail: 'Issues for this control' > 'Data Quality issue in Instr...'. Below this, the title is 'Data Quality issue in Instrument Code in Stage Investments - 142330'. There's a 'Save' button with a green checkmark. The 'Description' field is empty. The 'Category' dropdown is set to 'Data Authorization'. The 'Criticality' dropdown is set to 'Medium'. The 'Target Date' is '09/30/20'. The 'Component' dropdown is set to 'Control'. On the right, there's an 'Actions' section with a 'Create' button. It shows 'New (2)' and 'Closed (1)' counts. Under 'New (2)', there's an action 'Data Correction in Instrument Code' with details: 'Correcting the data in Instrument Code in Stage Investments', 'Action Type: Data Adjustments - DQ errors', and 'Criticality: Medium'. There's a 'View More' link. Under 'Closed (1)', there's an action 'testing_action'.

8. In the Data Adjustments section, click **Create**.
The Adjustment Rule Details window is displayed.

Figure 12-5 Issues & Actions

The screenshot shows the 'Data Adjustment' page. On the left, there's a sidebar with 'Properties', 'Data Quality', 'Assessments', and 'Issues & Actions'. The main area has a breadcrumb trail: 'Issues for this control' > 'Data Quality issue in Instr...' > 'Data Correction in Instru...'. Below this, the title is 'Data Correction in Instrument Code'. There's a 'Save' button with a green checkmark. The 'Description' field contains 'Correcting the data in Instrument Code in Stage investments'. The 'Action Type' dropdown is set to 'Data Adjustments - DQ errors'. The 'Criticality' dropdown is set to 'Medium'. The 'Start Date' field is empty. On the right, there's a 'Data Adjustments' section with a 'Create' button.

9. Depending on the type of adjustment, create a data adjustment.
For details see, sections:
 - [Create a Data Adjustment - DQ Errors based Data Adjustment](#).
 - [Create a Data Adjustment - Business based Adjustment](#).
 - [Create a Data Adjustment - Regulatory Reporting based Adjustment](#).

12.4.1 Create a 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 12-6 Issues & Actions

Adjustment Rule Details

Home > Adjustment Rule Details

1 Name 2 Dataset 3 Details 4 Review & Save

Next >

Adjustment Definition

© 201802

Name

Description

Type

Adjustment Type

DQ Based

User Input

Rule Driven

Cancel

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 12-3 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.

12.4.2 Create a Business based Data Adjustment

To create a data adjustment for the action type Data Adjustments - Others, 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 12-7 Adjustment Rule Details

The screenshot shows the 'Adjustment Rule Details' window. At the top, there is a breadcrumb trail 'Home > Adjustment Rule Details' and a progress bar with four steps: 1 (Name), 2 (Dataset), 3 (Details), and 4 (Review & Save). The 'Name' step is currently active. Below the progress bar, the 'Adjustment Definition' section is expanded, showing fields for 'ID' (210933), 'Name' (with a red asterisk), and 'Description'. The 'Type' section is also expanded, showing 'Adjustment Type' set to 'Regulatory Reporting' and 'Assignment Type' with radio buttons for 'User Input' and 'Rule Driven' (which is selected). A 'Cancel' button is located at the bottom right.

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 12-4 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 12-5 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.

7. Click **OK**.
8. Click **Next**.
9. In the **Review and Save** section, click **Save**.
The Data Adjustment for the action has been created.

12.4.3 Create a Regulatory Reporting based Data Adjustment

To create a data adjustment for the action type Data Adjustments - Regulatory Reporting, follow these 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 12-8 Adjustment Rule Details

Adjustment Rule Details

Home > Adjustment Rule Details

< Back

1 Name

2 Dataset

3 Details

4 Review & Save

Next >

Adjustment Definition

ID 210933

* Name

Description

Type

* Adjustment Type Regulatory Reporting

* Assignment Type ☐ User Input ☒ Rule Driven

Cancel

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 12-6 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.
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.

12.4.4 Creating a Regulatory Reporting Data Adjustment Using the Adjustments Tab

Use the following procedure to create, submit, and approve a regulatory reporting data adjustment.

1. Create the Issue

- a) From Inbox, create a new Issue.
- b) Enter the issue name and description.
- c) Set Resolution Date, Source, Category, Criticality, Owner, and Comments as required.
- d) Click Save to create the issue.

Figure 12-12 Create the Issue

The screenshot shows the 'Create Issue' form in the Oracle Financial Services Data Governance for North America Regulatory Reporting application. The form is divided into several sections:

- Header:** Oracle Financial Services Data Governance for North America Regulatory Reporting. Includes a language dropdown (US-English) and a user profile icon.
- Left Sidebar:** A navigation pane with 'Inbox' and 'Task' tabs. Under 'Task', there are counts for 'Last 14 Days' (Tasks: 6, Issues: 3, Actions: 3) and a search bar. Below is a list of 16 items, including 'act9', 'issu9', 'jku', 'lbt', 'adjustment in 8126 ai', and 'Testing ai 8126'.
- Main Form:**
 - Name:** IssueTest
 - Execution Date:** 08/31/2026
 - Description:** (Empty text area)
 - Source:** Key Indicators
 - Owner:** DGSAPPR
 - Category:** Data Authorization
 - Criticality:** Medium
 - Target Date:** 09/01/2024
 - Comments:** (Empty text area)
 - Attach Documents:** Drag and Drop. Select a file or drop one here.
- Buttons:** Cancel and Save.

2. Create the Action for a Regulatory Reporting Adjustment

- a) Open the issue and create a new **Action**.
- b) Select **Action Type** as **Data Adjustments - Regulatory Reporting**.
- c) Enter the target and start dates, owner, criticality, and comments.
- d) Click **Save** to persist the action details.

Figure 12-13 Create the Action for Regulatory Reporting Adjustment

The screenshot shows the Oracle Financial Services Data Governance for North America Regulatory Reporting interface. On the left, a sidebar displays a 'Task' list with 17 items, including 'IssueTest' which is selected. The main panel shows the 'IssueTest' details, including a 'New Action' form. The form fields are: Name (ActionTest), Start Date (08/31/2026), Description, Target Date (09/01/2026), Action Type (Data Adjustments - Regulatory Reporting), Criticality (Medium), Owner (DGSAPPR), and Comments. There is also an 'Attach Documents' section with a 'Drag and Drop' area. The interface includes a top navigation bar with the Oracle logo and a bottom navigation bar with a 'Close' button.

3. Open the Data Adjustments Panel

- Select the **Adjustments** tab from the action side panel.
- The **Data Adjustments** section opens for the selected action.
- Click **Create** to start a new adjustment for this action.

Figure 12-14 Open the Data Adjustments Panel

The screenshot shows the Oracle Financial Services Data Governance for North America Regulatory Reporting interface. On the left, a sidebar displays a 'Task' list with 18 items, including 'ActionTest' which is selected. The main panel shows the 'ActionTest' details, including a 'Data Adjustments' section. The section has a 'Create' button. The interface includes a top navigation bar with the Oracle logo and a bottom navigation bar with a 'Close' button.

4. Enter Adjustment Header and Line Details

- Enter **Adjustment Name** and **Description**.
- Select **FIC MIS Date** from the available run dates.
- Select the **Report**. The selected report applies to all adjustment lines.
- In the Adjustment Lines grid, select Schedule, search for and select Line Number, and enter Adjusted Amount.
- Published Value and Prior Adjusted Amount are displayed for reference.

Figure 12-15 Enter Adjustment Header and Line Details

Data Adjustments

Infodom: FSDFINFO User: OFSAD

The screenshot shows the 'New Adjustment' form. At the top, it says 'ADD' and 'New Adjustment' with a close button. Below that, 'Adjustment ID: 219963' is displayed. The form has two main sections: 'Adjustment Header' and 'Adjustment Lines'. The 'Adjustment Header' section includes fields for 'Adjustment Name' (with a 'Required' label), 'Description', 'Select FIC MIS Date' (a dropdown menu), and 'Select report' (a dropdown menu). The 'Adjustment Lines' section has a table with columns: 'Schedule', 'Line number', 'Published Value', 'Prior Adjusted Amount', and 'Adjusted amount'. The 'Schedule' column has a dropdown menu with 'Select schedule'. The 'Line number' column has a text input with 'Search or select line'. The 'Published Value' and 'Prior Adjusted Amount' columns both show '0'. The 'Adjusted amount' column has a text input. There is an 'Add line' button to the right of the table. At the bottom right of the form, there are three buttons: 'Reset', 'Save As Draft', and 'Submit'.

5. Save the Draft or Submit the Adjustment

- a) Use **Save As Draft** to save the adjustment while keeping it editable.
- b) Use **Add Line** to add schedules or line numbers for the same report.
- c) Use **Reset** before saving when you need to clear the draft inputs.
- d) Click **Submit** when the adjustment is ready for approval.

Figure 12-16 Save Draft or Submit

Data Adjustments

Infodom: FSDFINFO User: OFSAD

The screenshot shows the 'AdjTest' form. At the top, it says 'EDIT' and 'AdjTest' with a close button. Below that, 'Adjustment ID: 219963' is displayed. The form has two main sections: 'Adjustment Header' and 'Adjustment Lines'. The 'Adjustment Header' section includes fields for 'Adjustment Name' (with the value 'AdjTest'), 'Description', '2024-10-31' (a dropdown menu), and 'OSFI930' (a dropdown menu). The 'Adjustment Lines' section has a table with columns: 'Schedule', 'Line number', 'Published Value', 'Prior Adjusted Amount', and 'Adjusted amount'. The 'Schedule' column has a dropdown menu with 'CONNECTED'. The 'Line number' column has a text input with 'G1PARTY100-OSFI930ETGOCCBCBBOBE'. The 'Published Value' and 'Prior Adjusted Amount' columns both show '0'. The 'Adjusted amount' column shows '100'. There is an 'Add line' button to the right of the table. At the bottom right of the form, there are three buttons: 'Reset', 'Save As Draft', and 'Submit'.

6. Maintain Email Recipients

- a) Confirm that the creator and approver have valid email IDs in CSSMS_USR_PROFILE.
- b) For testing, update V_EMAIL for the creator and approver.
- c) Workflow email uses these addresses when the adjustment is submitted or approved.

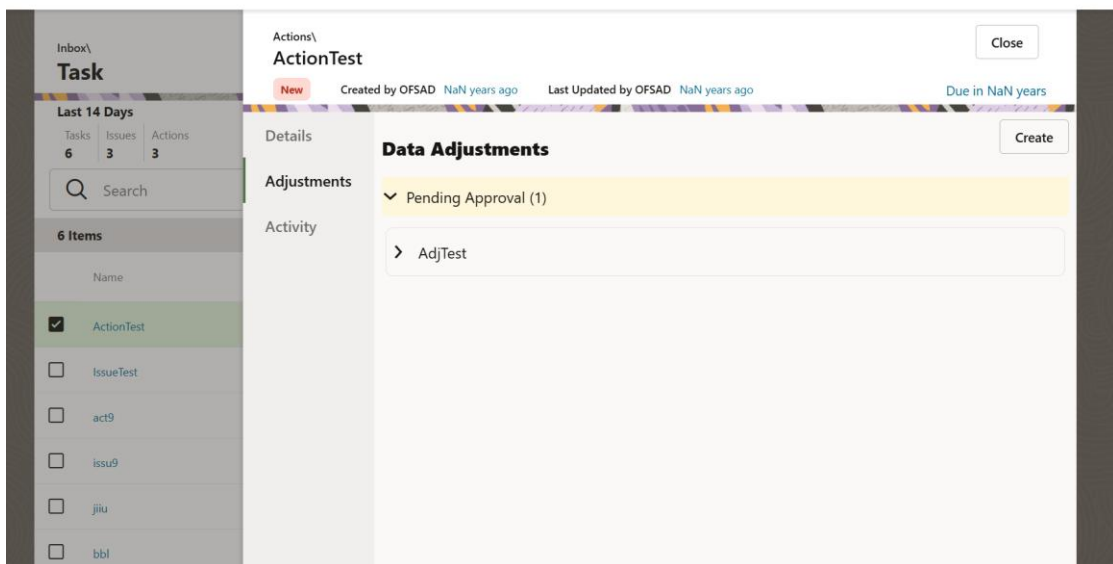
Figure 12-17 Maintain Email Recipients

```
1 update CSSMS_USR_PROFILE set V_EMAIL='akhbar.sha@oracle.com'
2 where V_USR_ID='OFSAD';
3 update CSSMS_USR_PROFILE set V_EMAIL='akhbar.sha@oracle.com'
4 where V_USR_ID='DGSAPPR';
```

7. Track the Submitted Adjustment

- After submission, return to the action's Adjustments tab.
- The adjustment appears under Pending Approval.
- Open the adjustment entry to review its latest workflow status.

Figure 12-18 Track Submitted Adjustment



8. Approve, Reject, or Return the Adjustment for Changes

- Log in as the assigned approver and open the submitted adjustment.
- Review the adjustment header and line details in read-only mode.
- Enter an approval comment.
- Click **Approve** to approve and execute the adjustment.
- Use **Reject** to reject the adjustment, or **Return for Changes** to return it to the creator as an editable draft.

Figure 12-19 Approve, Reject, or Return for Changes

Adjustment ID: 219963
Status: Pending Approval

Adjustment Name: AdjTest Description: 2024-10-31 OSFI930

Schedule	Line number	Published Value	Prior Adjusted Amount	Adjusted amount
CONNECTED	G1PARTY100-OSFI930ETGOCCBCB80BE	0	0	100

Approval Comment: ok

Return for Changes Reject Approve

12.4.4.1 Export and Import Data Updates

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**.

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

12.4.4.2 Save and Submit a Data Adjustment

To save and submit a Data Adjustment, follow these steps:

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**.

12.4.4.3 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 North America 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 12-9 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 12-10 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 12-11 Adjustment Details

The screenshot shows a web application window titled "Adjustment Details". It features a "Filters" section with two dropdown menus: "MIS Date" and "Batch ID". Below these are two buttons: "Show Data" and "Export Data". A status bar indicates "Number of Rows Adjusted: 1". The main section is titled "Post Adjusted Data" and contains a table with three columns. The first column shows "BRL22482" with subtext "Legal Entity Code: 3" and "Attribute: N_ADJUSTED_AMT". The second column shows "Run Stage: 9" with subtext "Post Value: \$50000". The third column shows "MIS Date: 31-DEC-15".

Note

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

12.5 Approve or Reject Data Adjustments

To view, and approve or reject the 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 North America 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.

12.6 Modify a Rejected Data Adjustment

If the Data Adjustment is rejected, follow these steps:

1. Log in to the application as the **Action Owner** (Data Adjustment Creator).
2. From Financial Services Data Governance for North America 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.

12.7 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.

Note

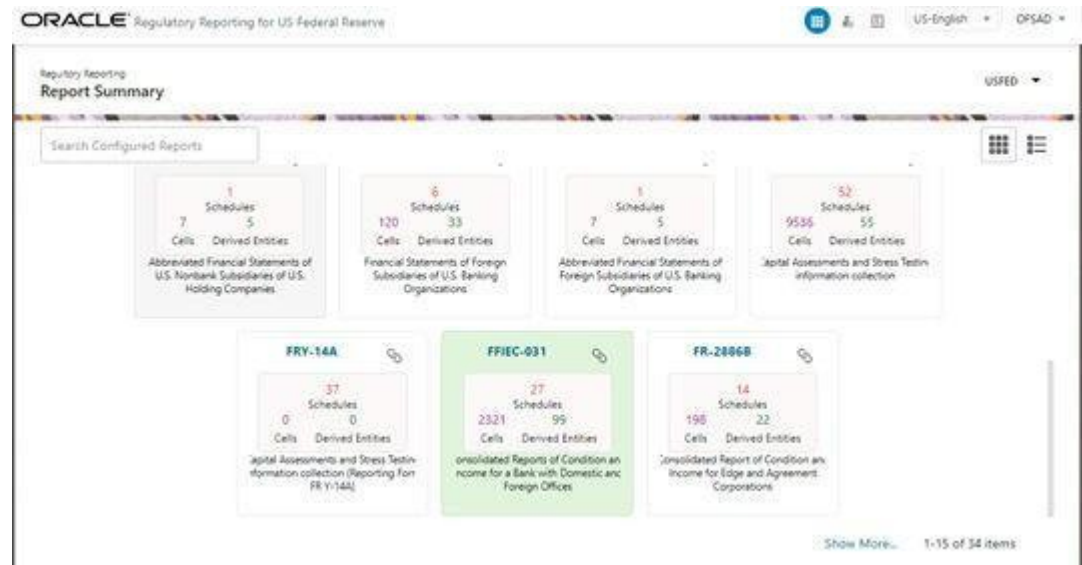
Only an issue owner can trigger the adjustment batch.

12.7.1 Regulatory Adjustments

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

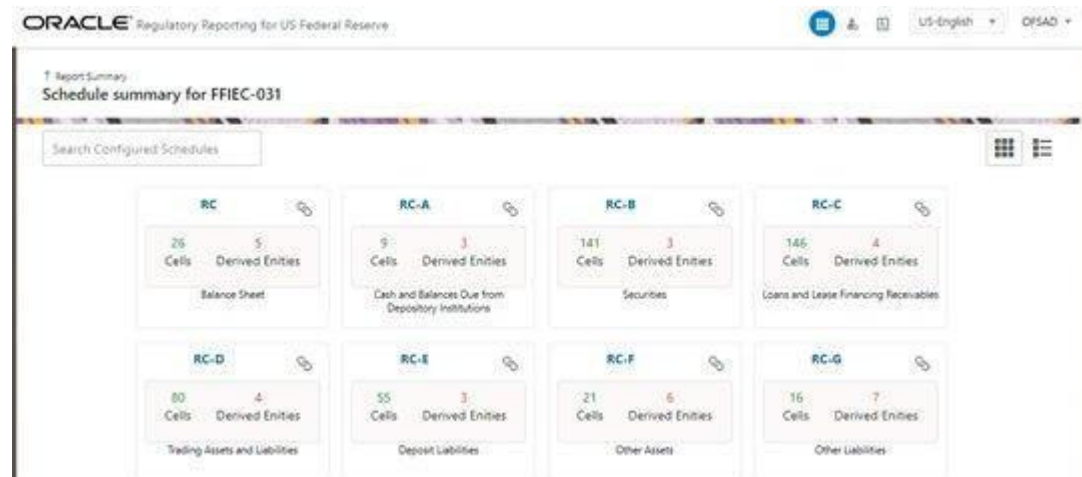
1. From Regulatory Reporting for US Federal Reserve window, select **Metadata Management** and then select **Reports**.
The Regulatory Reporting Report Summary window is displayed.

Figure 12-20 Regulatory Reporting Report Summary



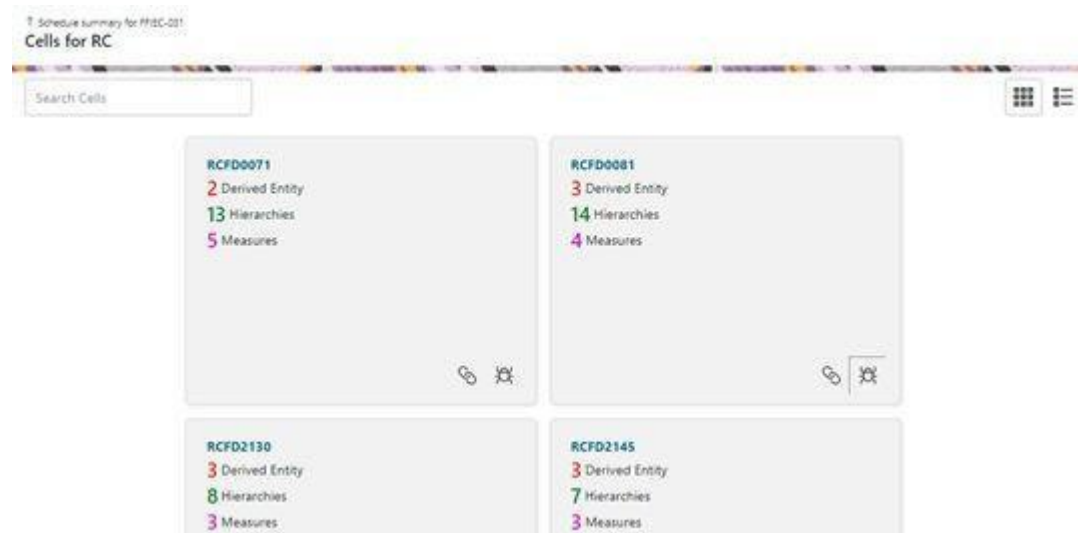
2. Select the required report. For example, here FFIEC-031 report is selected.
The Schedule summary for FFIEC-031 window is displayed.

Figure 12-21 Schedule summary for FFIEC-031



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

Figure 12-22 Cells for RC



4. Click the **Issue** icon to view the issue. The system-generated issues for this Key Indicator Condition are displayed.

Figure 12-23 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 the **Calendar** icon to select the MISDATE for execution.
7. Click the **Legal Entity** 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 **RunSkey** from the drop-down list.
9. Click **Execute**. This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

12.7.2 Data Quality Adjustments

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

1. From Financial Services Data Governance for North America 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 the **Calendar** icon to select the MISDATE for execution.
7. Click the Legal Entity 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 **RunSkey** from the drop-down list.
9. Click **Execute**.
This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

12.8 Creating a New Batch and a Task

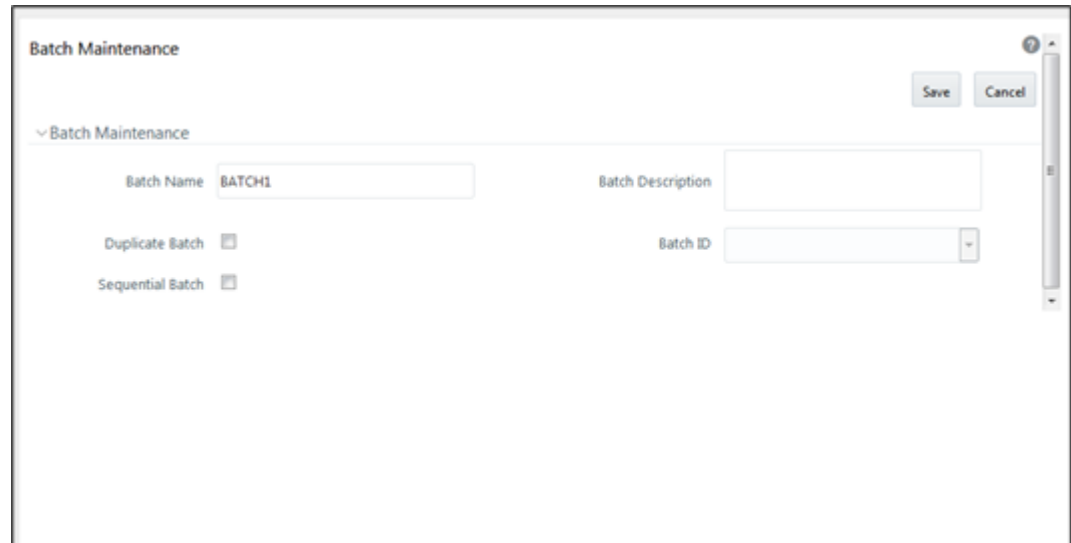
To create a new Batch, follow these steps:

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 North America Regulatory Reporting window navigate to **Operations** and then select **Batch Maintenance**.
2. To create a Batch, in the Batch Name section, click the **Add** icon.

Figure 12-24 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.

Note

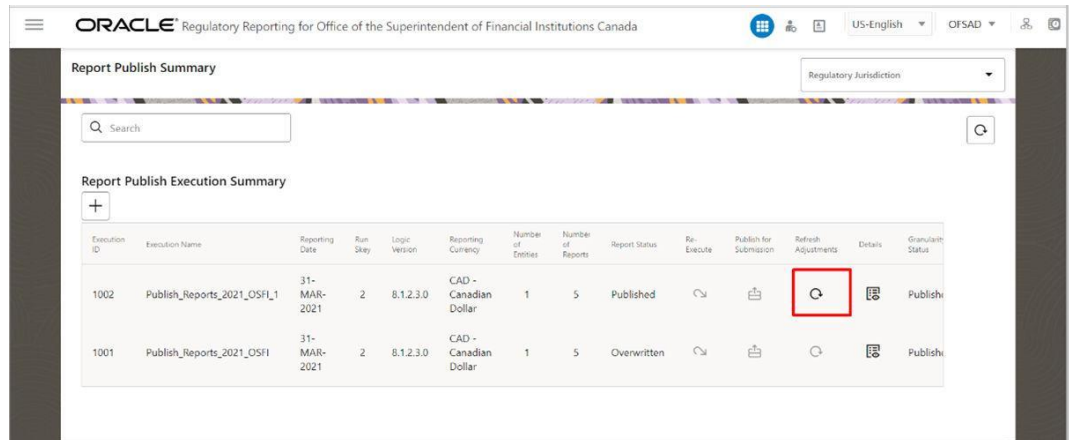
Before executing the Adjustment batch, ensure that all the adjustments are approved. None of them should be in draft state. Also, ensure that the Batch Execution is before the target date of corresponding issue and action.

12.9 Refresh Adjustments

To refresh the adjustments, follow these steps:

1. From Oracle Financial Services Regulatory Reporting for Office of Superintendent of Financial Institutes Canada Applications Pack window navigate to **Regulatory Reports**, and then select **Report Publish** screen.
2. Click the **Refresh Adjustments** button to refresh the adjustments value for Cell or MDRM.

Figure 12-25 Report Publish Summary



Execution ID	Execution Name	Reporting Date	Run Day	Logic Version	Reporting Currency	Number of Entities	Number of Reports	Report Status	Re-Execute	Publish for Submission	Refresh Adjustments	Details	Granular Status
1002	Publish_Reports_2021_OSFI_1	31-MAR-2021	2	8.1.2.3.0	CAD - Canadian Dollar	1	5	Published					Publish
1001	Publish_Reports_2021_OSFI	31-MAR-2021	2	8.1.2.3.0	CAD - Canadian Dollar	1	5	Overwritten					Publish

12.10 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 North America Regulatory Reporting window navigate to Operations and the select **Batch Monitor**.
2. The Batch Monitor pane appears on the right-hand side.

Figure 12-26 Batch Monitor

Batch Monitor Search Reset

Batch ID Like Batch Description Like

Module Status

Start Date End Date

~ Batch Details

Batch ID	Batch Description
☐ DGSINFO_ACCT_MAPPER_INSERT	Account mapper insert batch
☐ DGSINFO_DGS_DQ_CTL_BATCH	DQ Control Batch
☐ DGSINFO_DGS_KI_BATCH	DG_KI_GRP_BATCH_PROCESS
☐ DGSINFO_DGS_KI_MDRM_UPDATE	Converting work mdrim to non-work mdrim
☐ DGSINFO_DGS_PM_OP_CTL_BATCH	Process Monitoring Batch
☐ DGSINFO_DYNAMIC_KI_BATCH_CREATION	DG Ki dynamic batch creation
☐ DGSINFO_FCT_KRI_DEF_UPDATE	Updating Formula, Actual Formula for fct kri def
☐ DGSINFO_KI_CONFIGURATION	Inserting data into Ki Configuration Tables
☐ DGSINFO_MAT_VIEW_CREATE	Creating Mat views for DG using Batch
☐ DGSINFO_MERGE_FCT_KRI_DEF	Merging variance and Edit checks data into Ki Tables
☐ DGSINFO_POP_DATES_DIM	Populate DIM_DATES
☐ DGSINFO_POP_EXCHANGE_RATES	Populate fsi_exchange_rates with the exchange rate information for each currency pair
☐ DGSINFO_Process_Monitoring_Batch	Process Monitoring Batch

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.

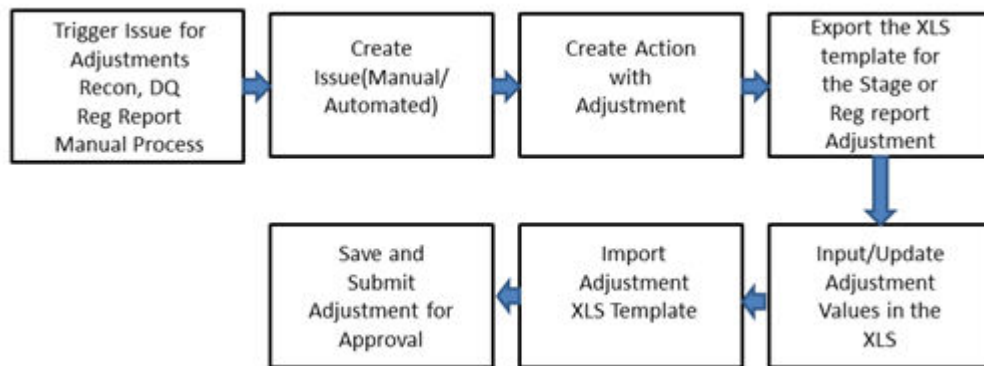
13 Data Adjustments from Inbox

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:

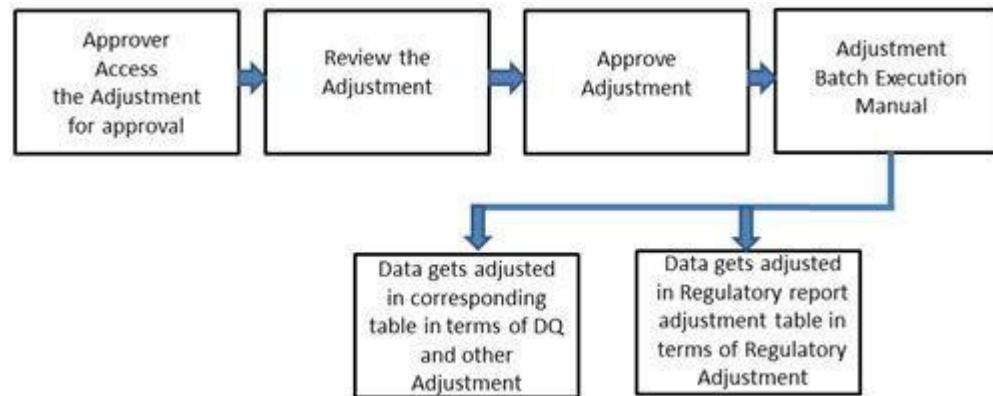
Figure 13-1 Data Adjustment Process



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 13-2 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

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

13.1 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 Infodomain. 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.

13.2 User Roles and Actions

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

Table 13-1 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.

13.2.1 Actions Performed by Users

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

Table 13-2 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).

Table 13-2 (Cont.) Actions Performed by Users

Action Performed	User 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.

13.3 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.

13.3.1 Prerequisites for Data Adjustments

For Regulatory Reporting before creating a Regulatory Reporting Data Adjustment, you can execute a KI assessment.

 Note

- 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 [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
```

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

```
chmod -R 775 DGS
```

 Note

Creating sub-folders is a one time activity.

13.4 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 North America Regulatory Reporting window navigate to **Inbox**.
3. Click **Go to Tasks**.
4. Select the **Issue** or click on the Issue hyperlink.

Figure 13-3 Issue Details

Oracle Financial Services Data Governance for North America Regulatory Reporting

US-English OFSAD

Close

Issues
Data Quality issue in Data Origin in Stage Investments - 794188

New Created by OFSAD Today Last Updated by OFSAD Today Due in 7 days

Details Data Quality issue in Data Origin in Stage Investments - 794188 Update

Actions

Activity

Controls

Description

Target Date * 10/04/2022

Owner OFSAD

Category Data Authorization

Criticality Medium

Comments

Attach Documents

Drag and Drop +
Select a file or drop one here.

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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 13-4 Issues & Actions

Issues for this control Data Quality issue in Instr... Data Correction in Instr...

Properties

Data Quality

Assessments

Issues & Actions

Data Correction in Instrument Code Save

Description

Correcting the data in Instrument Code in Stage investments

Action Type

Data Adjustments - DQ errors

Criticality

Medium

Start Date *

Data Adjustments Create

7. Depending on the type of adjustment, create a data adjustment. For details see, sections:
 - [Create a Data Adjustment - DQ Errors based Data Adjustment](#).
 - [Create a Data Adjustment - Business based Adjustment](#).
 - [Create a Data Adjustment - Regulatory Reporting based Adjustment](#).

13.4.1 Create a 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 13-5 Issues & Actions

The screenshot shows a web application interface for 'Issues & Actions'. On the left is a sidebar with tabs: 'Properties', 'Data Quality', 'Assessments', and 'Issues & Actions' (which is selected). The main area has a breadcrumb trail: 'Issues for this control' > 'Data Quality issue in Instru...' > 'Data Correction in Instru...'. Below the breadcrumb, there's a form for 'Data Correction in Instrument Code'. The form includes a 'Description' field with the text 'Correcting the data in Instrument Code in Stage investments', an 'Action Type' dropdown set to 'Data Adjustments - DQ errors', a 'Criticality' dropdown set to 'Medium', and a 'Start Date' field. A green 'Save' button is at the top right of the form. To the right of the form is a 'Data Adjustments' section with a blue 'Create' button.

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 13-3 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.

13.4.2 Create a Business based Data Adjustment

To create a data adjustment for the action type Data Adjustments - Others, 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 13-6 Adjustment Rule Details

The screenshot shows the 'Adjustment Rule Details' window. At the top, there is a breadcrumb 'Home > Adjustment Rule Details' and a progress bar with four steps: 1. Name, 2. Dataset, 3. Details, and 4. Review & Save. The 'Name' step is currently active. Below the progress bar, the 'Adjustment Definition' section is expanded, showing fields for 'Name' and 'Description'. The 'Name' field is required, indicated by a red asterisk. Below these fields, the 'Type' section is expanded, showing 'Adjustment Type' set to 'Business Based' and 'Assignment Type' set to 'Rule Driven' (selected with a radio button). A 'Cancel' button is located at the bottom right of the window.

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 13-4 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 13-5 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.

13.4.3 Create a Regulatory Reporting based Data Adjustment

To create a data adjustment for the action type Data Adjustments - Regulatory Reporting, follow these 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 13-7 Adjustment Rule Details

Adjustment Rule Details

Home > Adjustment Rule Details

< Back 1 Name 2 Dataset 3 Details 4 Review & Save Next >

Adjustment Definition

ID 210933

* Name

Description

Type

* Adjustment Type Regulatory Reporting

* Assignment Type ☐ User Input ☒ Rule Driven

Cancel

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 13-6 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.
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.

13.4.3.1 Export and Import Data Updates

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

13.4.3.2 Save and Submit a Data Adjustment

To save and submit a Data Adjustment, follow these steps:

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**.

13.4.3.3 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 North America 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 13-8 Issues 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 13-9 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 13-10 Adjustment Details

Adjustment Details

Filters

MIS Date Batch ID

Show Data Export Data

Number of Rows Adjusted: 1

Post Adjusted Data

BRL22482	Legal Entity Code: 3	Run Stage: 9	MIS Date: 31-DEC-15	Attribute: N_ADJUSTED_AMT	Post Value: \$50000
----------	----------------------	--------------	---------------------	---------------------------	---------------------

Note

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

13.5 Approve or Reject Data Adjustments

To view, and approve or reject the 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 North America 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*.

13.6 Modify a Rejected Data Adjustment

If the Data Adjustment is rejected, follow these steps:

1. Log in to the application as the **Action Owner** (Data Adjustment Creator).
2. From Financial Services Data Governance for North America 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.

13.7 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.

13.7.1 Triggering the Adjustment Batch

Only an issue owner can trigger the adjustment batch.

This topics covers the following sub-topics:

- This section covers the procedure to the run the Regulatory Batch from the Issue screen. [Regulatory Adjustments](#).

- This section covers the procedure to run the Data Quality Adjustment Batch from the Issue screen. [Data Quality Adjustments](#).

13.7.1.1 Regulatory Adjustments

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

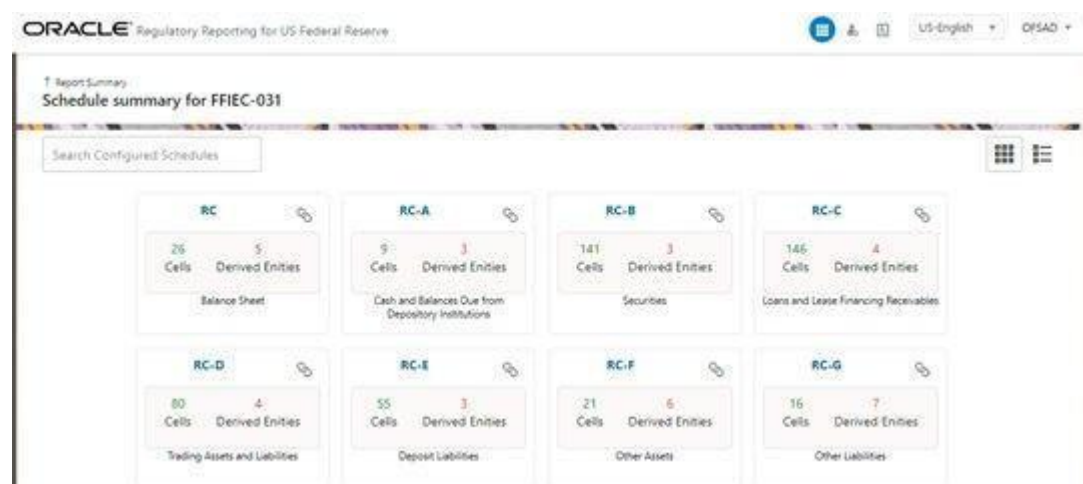
1. From Regulatory Reporting for US Federal Reserve window, select **Metadata Management** and then select **Reports**.
The Regulatory Reporting Report Summary window is displayed.

Figure 13-11 Regulatory Reporting Report Summary



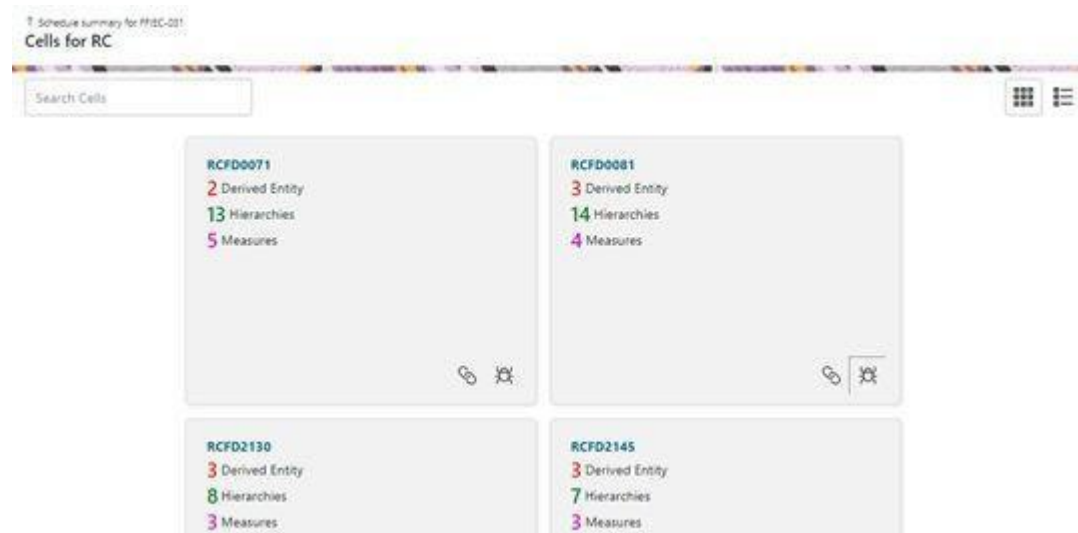
2. Select the required report. For example, here FFIEC-031 report is selected. The Schedule summary for FFIEC-031 window is displayed.

Figure 13-12 Schedule summary for FFIEC-031



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

Figure 13-13 Cells for RC



4. Click **Issue** icon to view the issue. The system-generated issues for this Key Indicator Condition are displayed.

Figure 13-14 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 the **Calendar** icon to select the **MISDATE** for execution.
7. Click the **Legal Entity** 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 **RunSkey** from the drop-down list.
9. Click **Execute**. This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

13.7.1.2 Data Quality Adjustments

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

1. From Financial Services Data Governance for North America 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 the **Calendar** icon to select the **MISDATE** for execution.
7. Click the **Legal Entity** 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 **RunSkey** from the drop-down list.
9. Click **Execute**.
This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

13.7.2 Creating a New Batch and a Task

To create a new Batch, follow these 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 North America Regulatory Reporting window navigate to **Operations** and then select **Batch Maintenance**.
2. To create a Batch, in the Batch Name section, click the **Add** icon.

Figure 13-15 Batch Maintenance

The screenshot shows a 'Batch Maintenance' window. At the top, there's a title bar with the text 'Batch Maintenance' and a close button. Below the title bar, there are 'Save' and 'Cancel' buttons. A dropdown menu is open, showing 'Batch Maintenance'. The main area of the window contains several fields and checkboxes: 'Batch Name' with the value 'BATCH1', 'Batch Description' (empty), 'Duplicate Batch' (checkbox), 'Sequential Batch' (checkbox), and 'Batch ID' (dropdown menu).

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

13.7.3 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 North America Regulatory Reporting window navigate to **Operations** and the select **Batch Monitor**.
2. The Batch Monitor pane appears on the right-hand side.

Figure 13-16 Batch Monitor

The screenshot shows the 'Batch Monitor' interface. At the top, there are search filters: 'Batch ID Like' with a text input containing 'DGSINFO', 'Batch Description Like' with an empty text input, 'Module' with a dropdown menu, 'Status' with a dropdown menu, 'Start Date' with a date picker, and 'End Date' with a date picker. There are also 'Search' and 'Reset' buttons. Below the filters is a section titled 'Batch Details' which contains a table with two columns: 'Batch ID' and 'Batch Description'. The table lists various batch IDs and their corresponding descriptions.

Batch ID	Batch Description
☐ DGSINFO_ACCT_MAPPER_INSERT	Account mapper insert batch
☐ DGSINFO_DGS_DQ_CTL_BATCH	DQ Control Batch
☐ DGSINFO_DGS_KI_BATCH	DG_KI_GRP_BATCH_PROCESS
☐ DGSINFO_DGS_KI_MDRM_UPDATE	Converting work mdrim to non-work mdrim
☐ DGSINFO_DGS_PM_OP_CTL_BATCH	Process Monitoring Batch
☐ DGSINFO_DYNAMIC_KI_BATCH_CREATION	DG Ki dynamic batch creation
☐ DGSINFO_FCT_KRI_DEF_UPDATE	Updating Formula, Actual Formula for fct kni def
☐ DGSINFO_KI_CONFIGURATION	Inserting data into Ki Configuration Tables
☐ DGSINFO_MAT_VIEW_CREATE	Creating Mat views for DG using Batch
☐ DGSINFO_MERGE_FCT_KRI_DEF	Merging variance and Edit checks data into Ki Tables
☐ DGSINFO_POP_DATES_DIM	Populate DIM_DATES
☐ DGSINFO_POP_EXCHANGE_RATES	Populate fsi_exchange_rates with the exchange rate information for each currency pair
☐ DGSINFO_Process_Monitoring_Batch	Process Monitoring Batch

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.

14 Plan Monitoring

This chapter explains the process of identifying the reporting plan.

User Roles and Actions

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

Table 14-1 User Group

Group Code	Group Name
DGAPPGRP	DGS App Menu Group

Table 14-2 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.

14.1 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 North America Regulatory Reporting 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 North America Regulatory Reporting.

Metadata Publish is required to publish the Run related information.

Data Governance for North America Regulatory Reporting 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, follow these steps:

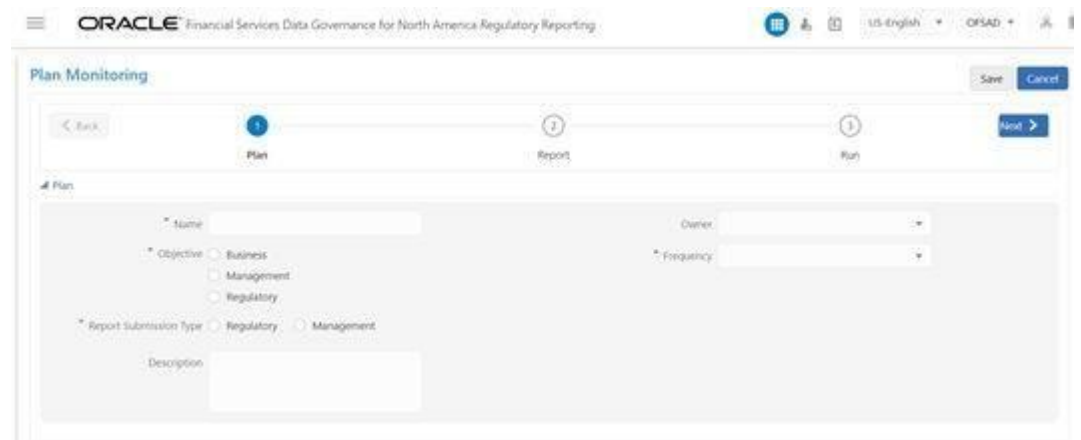
1. From the Financial Services Data Governance for North America Regulatory Reporting window navigate to Plan Monitoring.

Figure 14-1 Plan Monitoring



In the Plan Monitoring, click the **Create Plan** icon.

Figure 14-2 Plan Monitoring



2. In the **Plan Monitoring** window, enter the required information in the available fields.

Table 14-3 Plan Monitoring

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

Table 14-3 (Cont.) Plan Monitoring

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

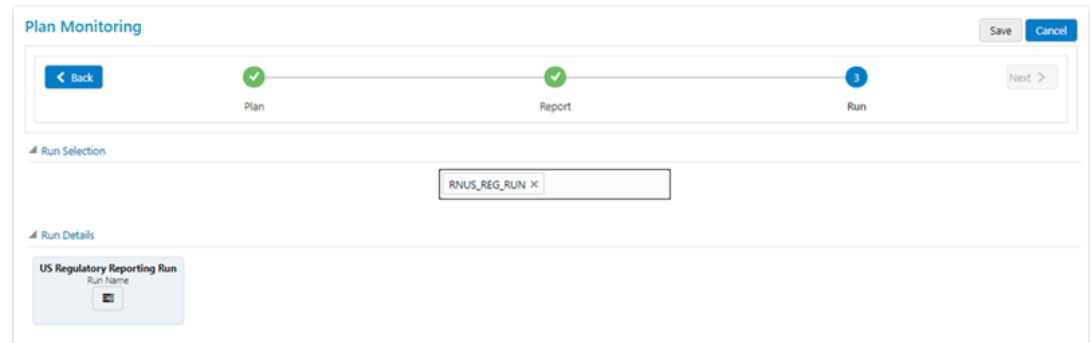
3. Click **Next**.
4. Select a **Report** from the drop-down. The reports displayed in the drop-down are the reports configured in the application.

Figure 14-3 Plan Monitoring

The screenshot displays the 'Plan Monitoring' application window. At the top, there are 'Save' and 'Cancel' buttons. Below them is a progress bar with three steps: 'Plan' (marked with a green checkmark), 'Report' (marked with a blue circle and the number 2), and 'Run' (marked with a blue circle and the number 3). Navigation buttons include '< Back' and 'Next >'. A dropdown menu is open under the 'Report' step, showing a list of reports. The report 'FRY7N' is selected and highlighted. The interface is clean and modern, with a light blue and white color scheme.

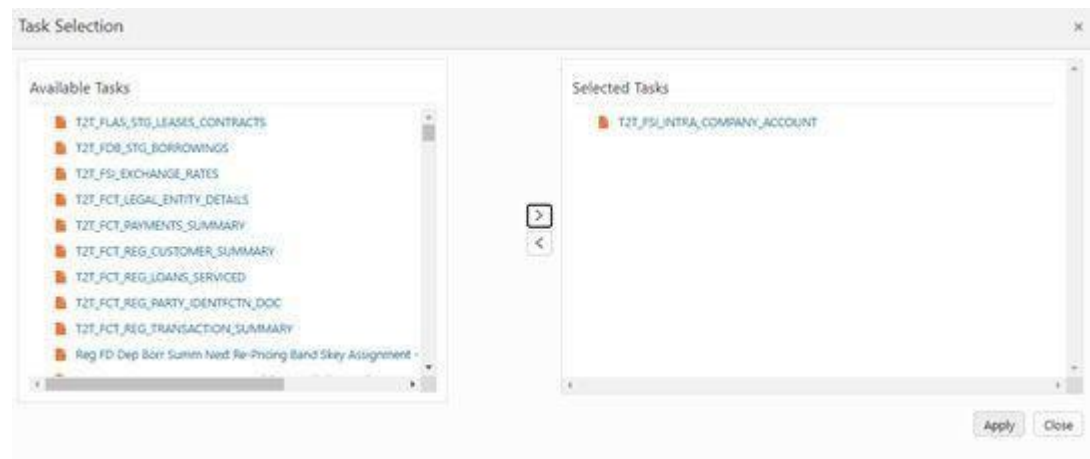
5. Click **Next**.
6. Select the **Run** from the drop-down. The selected Run is displayed under Run Details.

Figure 14-4 Plan Monitoring



7. Click **Run Name** to add a task.
The **Task Selection** window is displayed.

Figure 14-5 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 the **Add** icon 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.

14.2 Viewing and Editing a Reporting Plan

To view or edit a Reporting Plan, follow these steps:

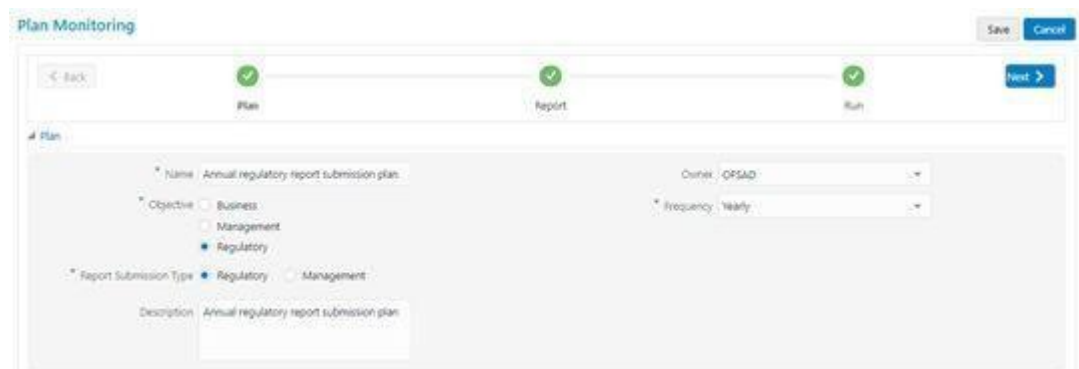
1. From the Financial Services Data Governance for North America Regulatory Reporting window navigate to **Plan Monitoring**.

Figure 14-6 Plan Monitoring - View



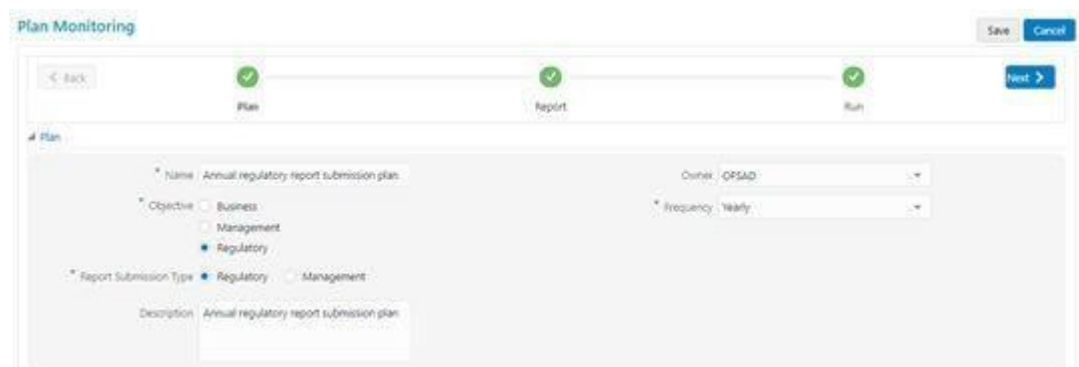
2. To view an already created Plan, in the **Plan Monitoring** summary window, click the **View** icon. The fields are not editable.

Figure 14-7 Plan Monitoring - View



3. To edit an existing plan, in the Plan Monitoring summary window, click the **Edit** icon.

Figure 14-8 Plan Monitoring - Edit



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

15 Regulatory Reporting Integration

The **Refresh Adjustments** button in the Report Publish Summary screen to refresh the adjustments value for Cell or MDRM.

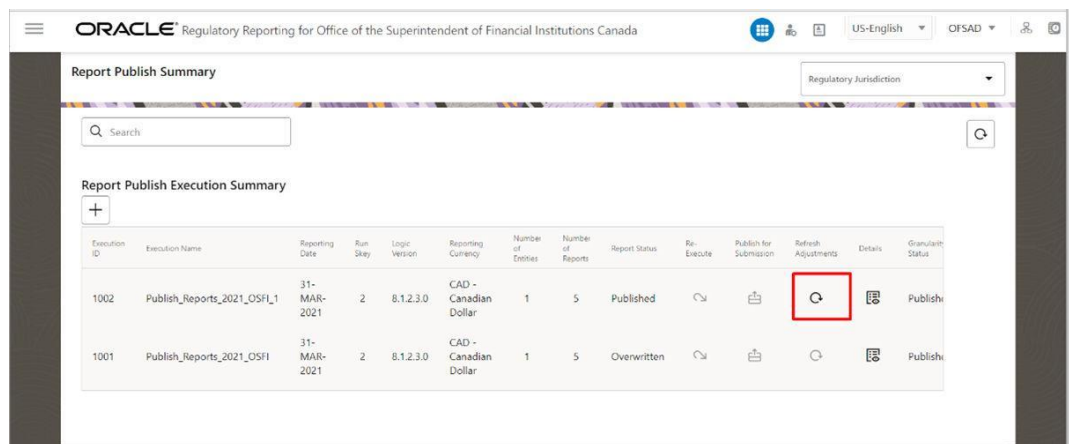
Whenever an Adjustment is posted from using DGS Adjustment framework, the users have to refresh the adjustment using this button.

15.1 Refresh Adjustments

To refresh the adjustments, follow these steps:

1. From Oracle Financial Services Regulatory Reporting for Office of Superintendent of Financial Institutes Canada Applications Pack window navigate to **Regulatory Reports**, and then select **Report Publish** screen.
2. Click the **Refresh Adjustments** button to refresh the adjustments value for Cell or MDRM.

Figure 15-1 Report Publish Summary



Execution ID	Execution Name	Reporting Date	Run Key	Logic Version	Reporting Currency	Number of Entries	Number of Reports	Report Status	Re-Execute	Publish for Submission	Refresh Adjustments	Details	Granular Status
1002	Publish_Reports_2021_OSFI_1	31-MAR-2021	2	8.1.2.3.0	CAD - Canadian Dollar	1	5	Published					Publish
1001	Publish_Reports_2021_OSFI	31-MAR-2021	2	8.1.2.3.0	CAD - Canadian Dollar	1	5	Overwritten					Publish

15.2 Deploy to DGS

To deploy the DG content for each report, click the **Deploy to DGS** button (as highlighted in the following screenshot).

This deploys the DGS content for each report. Whenever the users modify alternate mapping in the Report Mapping screen, they have to redo this operation.

Figure 15-2 Regulatory Report Summary

ORACLE® Regulatory Reporting for Office of the Superintendent of Financial Institutions Canada

US-EnglishOFSAD

Regulatory Report Summary

Regulatory Jurisdiction

Search

E2 Mortgage Loans Report	17 Schedules	671 Cells	647 Seeded Paths	5 Seeded Path Datasets	1 Alternate Paths	1 Alternate Path Datasets	
J2 Home Equity Lines of Credit (HELOCs)	3 Schedules	309 Cells	265 Seeded Paths	2 Seeded Path Datasets	0 Alternate Paths	0 Alternate Path Datasets	
A4 Report on New and Existing Lending	6 Schedules	442 Cells	430 Seeded Paths	2 Seeded Path Datasets	0 Alternate Paths	0 Alternate Path Datasets	
B2 Securities	5 Schedules	135 Cells	165 Seeded Paths	2 Seeded Path Datasets	0 Alternate Paths	0 Alternate Path Datasets	
N3 Loans in Arrears	4 Schedules	234 Cells	225 Seeded Paths	2 Seeded Path Datasets	0 Alternate Paths	0 Alternate Path Datasets	

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16 Dashboards

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

It is recommended to navigate from 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

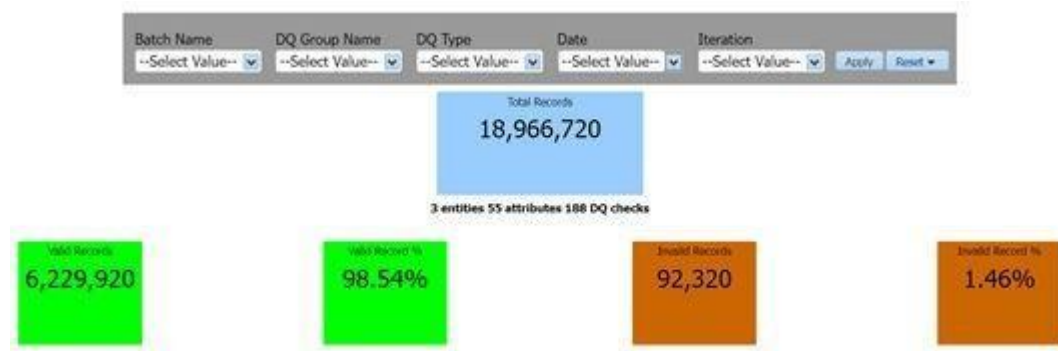
Click **Apply** to generate the reports.

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

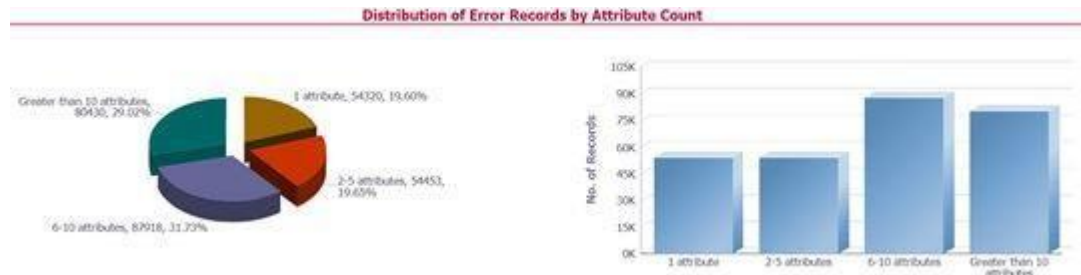
Figure 16-1 Data Quality Dashboard



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 16-2 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 16-3 Data Profile



- 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 16-4 Trend of Data Profile



- 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

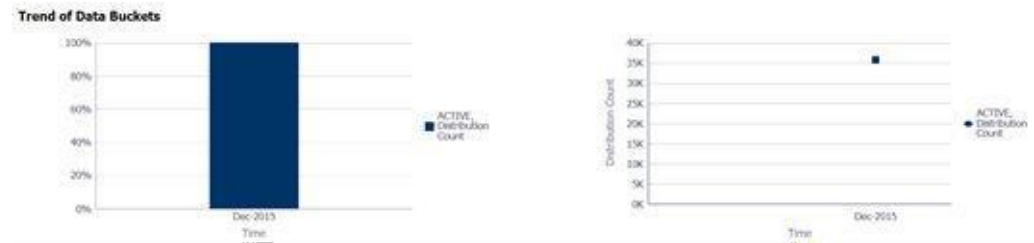
Figure 16-5 Data Buckets



- 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

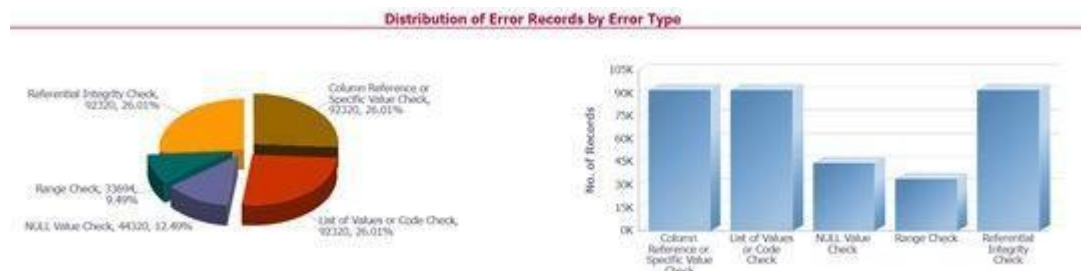
Figure 16-6 Trend of Data Buckets



16.1.2 Distribution of Error Records by Error Type

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

Figure 16-7 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 16-8 Data Profile



- 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 analyses:
 - Data Bucket: The tabular representation of the following data based on the Dimension Table:
 - * Node Code
 - * Distribution Count

Figure 16-9 Data Bucket

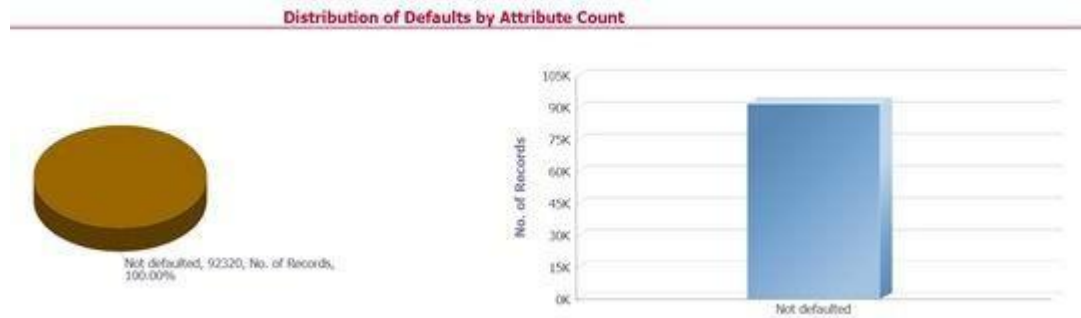


- Trend of Data Bucket: Graphical representation of the Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
 - * Bar Graph
 - * Line Graph

16.1.3 Distribution of Defaults by Attribute Count

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

Figure 16-10 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:

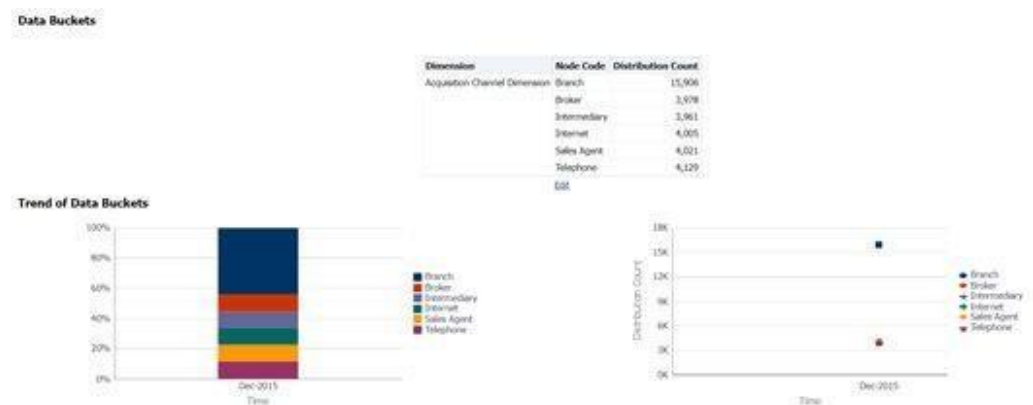
- Data Profile: It displays two analyses:
 - Data Profile: A tabular representation of the following data based on Entity-Attribute Name:
 - * Count Distinct values
 - * Count Null Values
 - * Max Value
 - * Mean Value
 - * Minimum Value
 - * Outliers – Greater than 2x mean
 - * Outliers – Less than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

Figure 16-11 Data Profile



- 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 analyses:
 - Data Bucket: The tabular representation of the following data based on the Dimension Table:
 - * Node Code
 - * Distribution Count

Figure 16-12 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** and select **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 DGS_RR_KI_BATCH is executed before you execute the DGS_DQ_CTL_BATCH.

It consists of the following columns.

Table 16-1 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 16-2 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
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

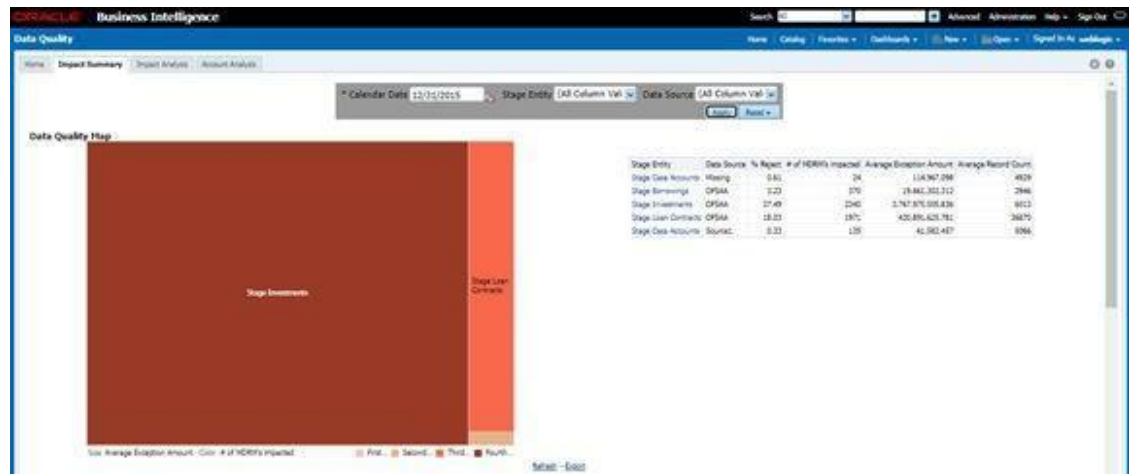
Before running the DGS_DQ_CTL_BATCH, ensure the required configuration details are updated and available in the FSI_DGS_DQ_BALANCE_COL_MAP table.

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 16-13 Impact Summary



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

Figure 16-14 Data Quality Impact Detail



Figure 16-15 Impact Analysis

Figure 16-16 Account Analysis

Figure 16-17 Account Details

ORACLE Business Intelligence

Account Details

Search All | Advanced | Information | Help | Sign Out

Home | Catalog | Favorites | Dashboard | New | Open | Signed In As | Settings

Account Details for Data Quality Rule Exceptions Date : 12/31/2015 Cell : RCF00071 DQ : DQCUSTADCT0102

117,809,329,482.00

Product Name Data Source Line Of Business Description Account Status

Product Name Account Number Data Source Exception Amount Final Value

Product Name	Account Number	Data Source	Exception Amount	Final Value
Grand Total			117,809,329,482.00	117,809,329,482.00
PRODUC				
	INVE171589	OF SAA	28,702,425,454.00	28,702,425,454.00
	INVE171630	OF SAA	30,201,238,277.00	30,201,238,277.00
	INVE171631	OF SAA	28,702,425,454.00	28,702,425,454.00
	INVE171632	OF SAA	30,201,238,277.00	30,201,238,277.00

Invoice | Network | Email

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

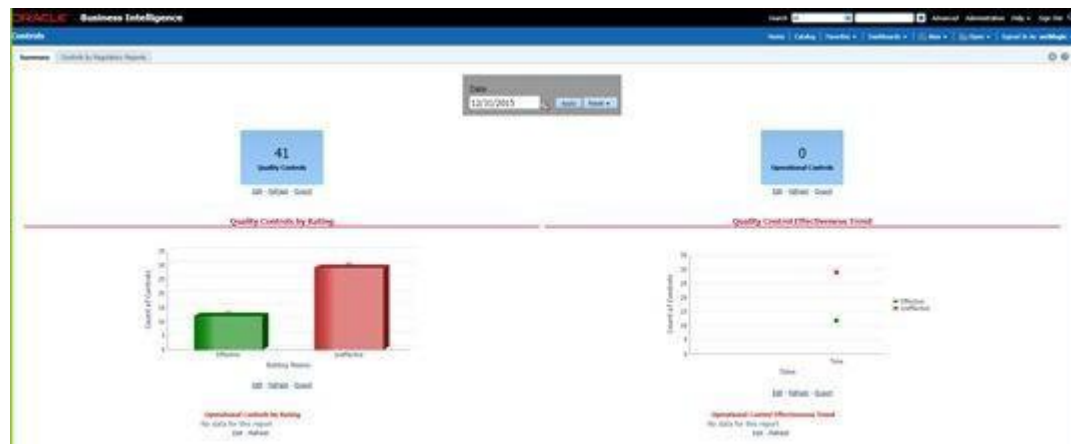
16.2.1 Summary

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 16-18 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 16-19 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 16-20 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 16-21 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 16-22 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 16-23 Control DQ

Control DQ

Control ID	DQ ID	Data Source	Total Records	Error Records	Information Records	Warning Records	Defaults
474550	DQCUSTACCT3845	Others	50180	50180	0	0	0

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

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 16-24 Controls by Regulatory Reports

Summary Controls by Regulatory Reports

* Report Code: PFIEC-041 Schedule Code: --Select Value-- Cell ID: --Select Value-- Plan: (All Column Va Date: 12/31/2015 Apply Reset

Control Assessment Analysis

Reporting Line Item	Rating Name	Effective
RCOR0070		3
RCOR0071		3
RCOR0081		3
RCOR0082		3
RCOR0090		2
RCOR0211		4
RCOR0213		4
RCOR0240		5
RCOR1248		4
RCOR1249		4
RCOR1250		4
RCOR1254		4
RCOR1255		4
RCOR1256		4
RCOR1286		4
RCOR1287		4
RCOR1288		4
RCOR1420		4
RCOR1460		4

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.

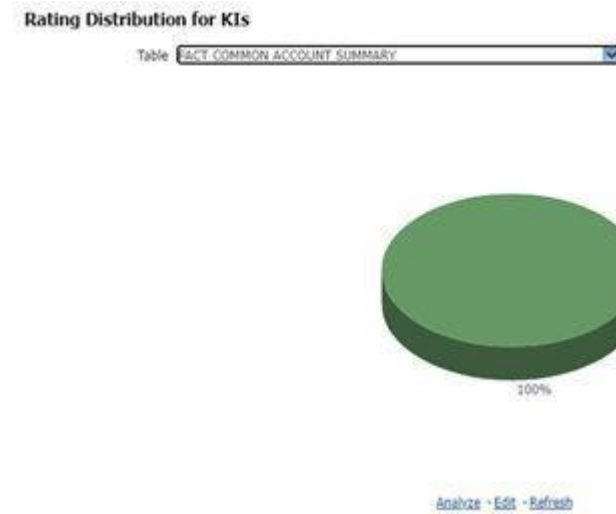
Figure 16-25 Key Indicators



These are the KI Summary dashboard sections:

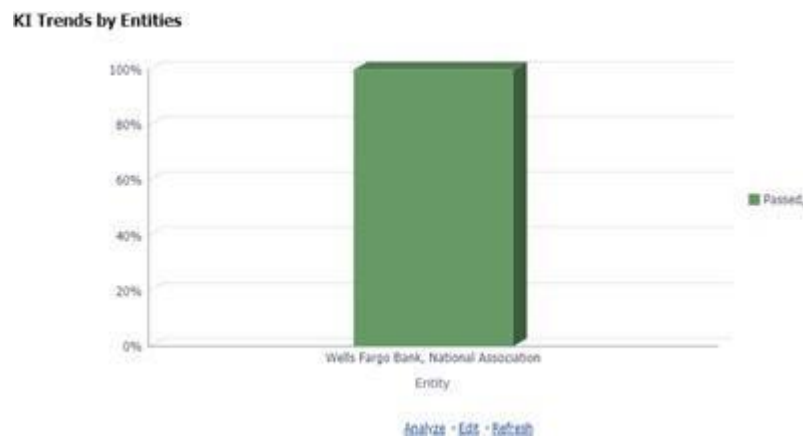
- Rating Distribution for KIs: Displays the latest rating distribution for the assessed Key Indicators.

Figure 16-26 Rating Distribution for KIs



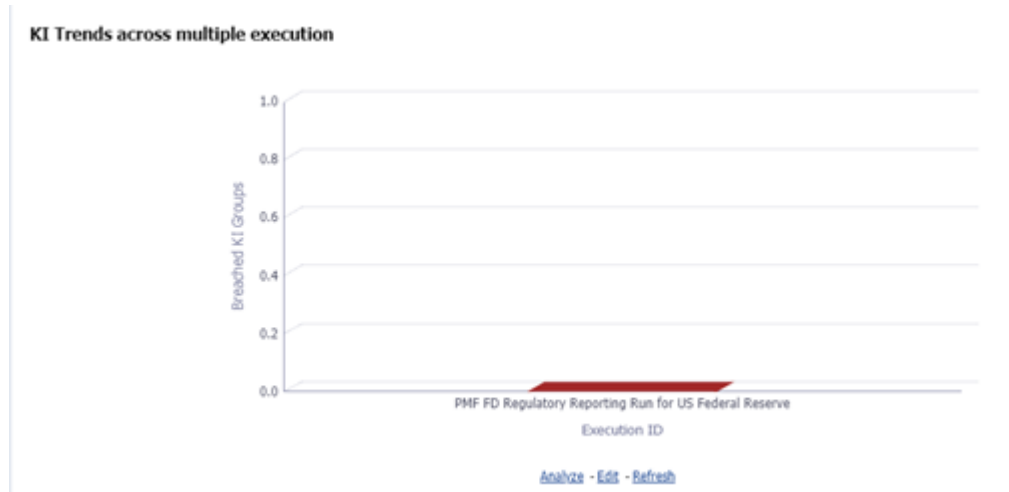
- KI Trends by Entities: Displays the trend of the latest entities for the assessed Key Indicators.

Figure 16-27 KI Trends by Entities



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

Figure 16-28 KI across multiple executions



- Issues and Actions

Figure 16-29 Issues and Actions

Issue Name	Created By	Target Date	Issue Status
issue for RCFD3817	OFSAD	5/31/2022	New
issue for RCON0070	OFSAD	5/31/2022	New
issue for RCON2130	OFSAD	5/31/2022	New
issue for RCON3230	OFSAD	5/31/2022	New
issue for RCONK223	OFSAD	5/31/2022	New

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

Action Name	Created By	Target Date
action for RCFD3817	OFSAD	5/31/2022
action for RCON2130	OFSAD	5/31/2022

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

16.3.1.1 Viewing 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 16-30 Breached Key Indicator Details

Key Indicator Group ID	Key Indicator Name	Key Indicator Description	Entity	Attribute
71	Book Value In Reporting Currency In Fact Key Fixed Assets	This Column Shows The Book Value Of The Exposure In Reporting Currency. Book value is similar to the Cost Basis And Doesnt Reflect The Market Value.	FACT KEY FIXED ASSETS	BOOK VALUE IN REPORTING CURRENCY
46	Charge Recovery Amount In Reporting Currency In Fact Account Recovery Details	This Indicates The Amount Of Charge That has been Recovered In Reporting Currency.	FACT ACCOUNT RECOVERY DETAILS	CHARGE RECOVERY AMOUNT IN REPORTING CURRENCY
51	Charges Written Off Amount In Reporting Currency In Fact Account Write Off Details	This Indicates The Amount Charges That has been Written. Charged Off In Reporting Currency.	FACT ACCOUNT WRITE OFF DETAILS	CHARGES WRITTEN AMOUNT IN REPORTING CURRENCY
64	Accrued Interest In Reporting Currency In Fact Regulatory Assets Sold	This Shows The Accrued Interest Of The Exposure In The Reporting Currency. This Is The Interest Accrued As Of Date, not which is Not Yet Paid To The Exposure holder.	FACT REGULATORY ASSETS SOLD	ACCURED INTEREST IN REPORTING CURRENCY
65	Accrued Interest In Reporting Currency In Regulatory Account Summary	This Shows The Accrued Interest Of The Exposure In The Reporting Currency. This Is The Interest Accrued As Of Date, not which is Not Yet Paid To The Exposure holder.	REGULATORY ACCOUNT SUMMARY	ACCURED INTEREST IN REPORTING CURRENCY
42	Amortized Cost In Reporting Currency In Regulatory Account Summary	This Column Shows Amortized Cost Of Account In Reporting Currency.	REGULATORY ACCOUNT SUMMARY	AMORTIZED COST IN REPORTING CURRENCY
140	Deferred Call Balance In Reporting Currency In Fact Regulatory Assets Sold	Deferred Current Balance Refers To Current Non-Amortized Deferred Balance Representing Future Income Or Expense Such As Premium, Discount, Fees, And Costs. Deferred Current Balance adds The Discount Or Premium (Net Or Cost) Associated With An Instrument.	FACT REGULATORY ASSETS SOLD	DEFERRED CALL BALANCE IN REPORTING CURRENCY
141	Deferred Call Balance In Reporting Currency In Regulatory Account Summary	Deferred Current Balance Refers To Current Non-Amortized Deferred Balance Representing Future Income Or Expense Such As Premium, Discount, Fees, And Costs. Deferred Current Balance Adds The Discount Or Premium (Net Or Cost) Associated With An Instrument.	REGULATORY ACCOUNT SUMMARY	DEFERRED CALL BALANCE IN REPORTING CURRENCY
152	Collateral Fair Value In Reporting Currency In Fact Regulatory Assets Sold	This Column Shows Collateral Fair value In Reporting Currency.	FACT PMS REPORTS SUMMARY	COLLATERAL FAIR VALUE IN REPORTING CURRENCY
140	Commitment Fee In Reporting Currency In Regulatory Account Summary	This Column Shows The Fee Amount Charged By The Financial Institution To Obtain The Facility In Reporting Currency. This Is The Fee Charged By The Financial Institution For An Unsecured Credit Line Or Undisbursed Loan, A Commitment Fee Is Generally Specified As A Fixed Percentage Of The Undisbursed Loan Amount. The Lender Charges A Commitment Fee As Compensation For Keeping A Line Of Credit Open Or To Guarantee A Loan At A Specific Date In Future. The Borrower Pays The Fee In Return For The Assurance That The Lender will Supply The Loan Anytime At The Specified Future Date And At The Contracted Interest Rate, Regardless Of Conditions In The Financial And Credit Markets.	REGULATORY ACCOUNT SUMMARY	COMMITMENT FEE IN REPORTING CURRENCY
233	Current Fees In Reporting Currency In Regulatory Account Summary	This Column Shows The Amount Of Fees Charged To The Borrower In Reporting Currency. Current Fees May Include Annual Fee, One-Time Link Fees, Wire Transfer Fees, Check Book Fees, Bankers Draft Etc.	REGULATORY ACCOUNT SUMMARY	CURRENT FEES IN REPORTING CURRENCY
235	Encumbrance Percentage In Fact Commitment Account Summary	This Column Shows The Percentage Of Security Incumbered In Case Of Partial Incumbrance Cans.	FACT COMMITMENT ACCOUNT SUMMARY	ENCUMBRANCE PERCENTAGE
156	End Of Period Allowance Balance In Reporting Currency In Fact Loan Loss Provisions And Non-credit Assets	This Attribute Refers To The Allowance Amount At The End Of Period Converted In Reporting Currency.	FACT LOAN LOSS PROVISIONS AND NON-CREDIT ASSETS	END OF PERIOD ALLOWANCE BALANCE IN REPORTING CURRENCY

To view the Key Indicator Conditions details for a Key Indicator, click the required Key Indicator ID.

The Key Indicator Conditions page with dashboards appears.

Figure 16-31 Key Indicator Conditions

Summary

KI Summary

KIs by Regulatory Reports

Report Code

Schedule Code

Cell ID

Legal Entity

* Date

--Select Value--

--Select Value--

--Select Value--

(All Column Va

12/31/2015

Apply

Reset

KI Group Name : Amortized Cost In Reporting Currency In Fact Regulatory Funding Lending Details

Total Key Indicators

Value Based Key Indicators

Variance Key Indicators

Breached Key Indicators

127

0

127

0

Activate

Full

Refresh

16.3.1.2 Viewing Key Indicator Conditions Details

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

The following are the sections of the Key Indicator Conditions dashboards:

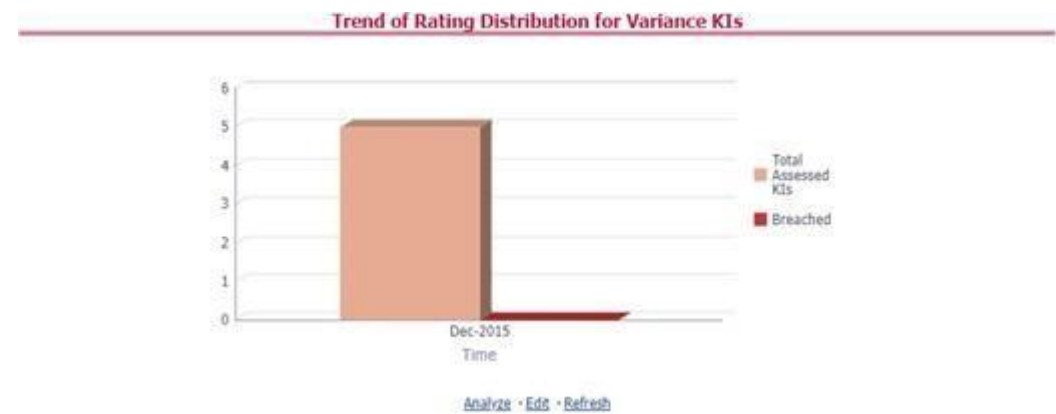
- Rating Distribution for Variance KIs:** This report displays the latest rating distribution for the assessed Variance Key Indicators.

Figure 16-32 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 16-33 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** dropdown box. Click **Apply**. A list of KI Group Details appears.

Figure 16-34 KIs by Regulatory Reporting

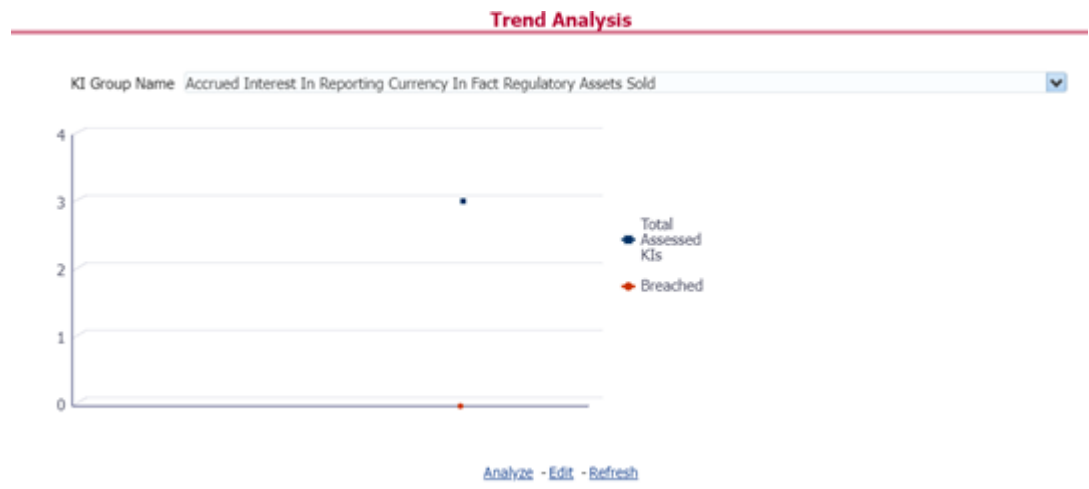
The screenshot shows the 'Key Indicators' application interface. At the top, there is a filter bar with the following fields: Report Code (dropdown), Schedule Code (dropdown), Cell ID (dropdown), Plan (dropdown), Legal Entity (dropdown), and Date (text input with a calendar icon). Below the filter bar, there is a section titled 'KI Group Details'. This section contains a table with the following columns: Key Indicator Group ID, Key Indicator Name, Owner, and Status. The table lists several key indicators, each with a green status icon.

Key Indicator Group ID	Key Indicator Name	Owner	Status
3	Allocated Transfer Risk Reserve In Reporting Currency In Regulatory Account Summary	OP&AD	Green
7	Amortized Cost In Reporting Currency In Fact Regulatory Assets Sold	OP&AD	Green
8	Amortized Cost In Reporting Currency In Fact Regulatory Funding Lending Details	OP&AD	Green
9	Amortized Cost In Reporting Currency In Regulatory Account Summary	OP&AD	Green
15	Amount P&L In Reporting Currency In Fact Regulatory General Ledger Data	OP&AD	Green
16	Amount Post Regulatory Adjustments In Fact Regulatory Legal Entity Capital Summary	OP&AD	Green
21	Average Balance Amount In Reporting Currency In Fact General Ledger Average	OP&AD	Green
32	Balance Amortization Amount In Reporting Currency In Regulatory Account Summary	OP&AD	Green
36	Charge Recovery Amount In Reporting Currency In Fact Account Recovery Details	OP&AD	Green
47	Provision Amount In Reporting Currency In Fact Account Recovery Details	OP&AD	Green

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 16-35 Trend Analysis



16.4 Regulatory Report Monitoring

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

The following values appear in terms of Performance Tiles:

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

Regulatory Report Monitoring dashboard displays the following grids:

Figure 16-36 Regulatory Report Monitoring



Schedule	Cell Reference	Current Value	Previous Value	Key Indicator Name	Success	Breached	Variance	KI	Breached Value	Based KI	Ineffective Control
FF2EC-041 RC	RCONW631	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 16-39 Create a New Issue

Issue and Action Tracking for Control

Issue Name	Issue Owner	Target Completion Date	Issue Status	
Data Quality issue in Amortization Type Code in St	DGSUSER	26-Apr-2022	N	Create Action
Data Quality issue in Encumbrance Status Code in S	DGSUSER	26-Apr-2022	N	Create Action
Data Quality issue in General Ledger Account Code	DGSUSER	26-Apr-2022	N	Create Action
Data Quality issue in Organisation Unit Code in St	DGSUSER	26-Apr-2022	N	Create Action
Data Quality issue in Issuer Code in Stage Investm	DGSUSER	26-Apr-2022	N	Create Action
Data Quality issue in Amortization Type Code in St	DGSUSER	26-Apr-2022	N	Create Action
Data Quality issue in General Ledger Account Code	DGSUSER	26-Apr-2022	N	Create Action

Analyze - Edit - Refresh

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 16-40 Create Action

Issues:

DQ_CHECK_STG_CARDS_ACTION

New

Created by OPSAD - Today

Last Updated by OPSAD - Today

Due in 18 days

Details

Actions

Activity

New Action

Name *

Start Date *

Description

Target Date *

Action Type

Owner

Criticality

Comments

Attach Documents

Drag and Drop

Cancel

Save

16.4.4 Data Origin Analysis

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

Figure 16-41 Data Origin Analysis

Report Code	Schedule Code	Cell Identifier	Cell line item	Legal Entity	GL	Account	Final Value
					GL	Others	Missing
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	RCFD8130	RC-26c	Wells Fargo Bank, National Association	54,966.00		54,966.00
FFIEC-031	RC	RCFD8528	RC-4b	Wells Fargo Bank, National Association		128,318,024,792.67	128,318,024,792.67
FFIEC-031	RC	RCFD8530	RC-26b	Wells Fargo Bank, National Association	22,699.00		22,699.00
FFIEC-031	RC	RCFD8989	RC-3b	Wells Fargo Bank, National Association		24,285,868,130.06	24,285,868,130.06
FFIEC-031	RC	RCFD8995	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	RCON8987	RC-3a	Wells Fargo Bank, National Association		30,824,228,264.68	30,824,228,264.68
FFIEC-031	RC	RCON8993	RC-14a	Wells Fargo Bank, National Association		35,035,859,282.72	35,035,859,282.72

16.5 Variance Mapping Analysis Dashboard

Variance Mapping Analysis is 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.

Note

This Dashboard is for OSFI Reports.

Variance Mapping 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:

The Indicator assessment must be performed before verifying the Variance Gain Analysis dashboard. Execute the batch DGS_RR_KI_BATCH for the date on which the data needs to be analyzed. For more details, see the OFS Data Governance Run Chart.

16.5.1 Current Period Report

The Variance Mapping 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

- ***Current Date:** Select a Date on which the assessment has been done.
 - **RunSKey:** Select the RunSKey from the drop-down list.
 - **Entity Name:** Select an Entity Name.
 - **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.
 - **Variance %:** Select a variance %
 - **Variance Amount Between:** Enter the Variance Amount Range.
 - **Breached:** Select 'Yes' or 'No' or both.
1. Ensure you have configured the Key Indicators. Refer to the [Configuring Key Indicator](#) Section.
 2. Click **Apply** to generate the reports.
 3. Click **Reset** to reset the values. The generated report contains the following details:
 - ***Current Date:** Select a Date on which the assessment has been done.
 - **RunSKey:** Select the RunSKey from the drop-down list.
 - **Entity:** The entity for which the assessment was done.
 - **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.
 - **Variance %:** Provides the percentage value of the variance.
 - **Variance Amount:** Provides the difference between the current and previous values.
 - **Breached:** Select 'Yes' or 'No' or both.

Variance Mapping Analysis											
* Current Date Run Key Entity Name Reports Schedule Cell Identifier Variance% Variance Amount * Breached 12/31/2017 --Select Value-- --Select Value-- --Select Value-- --Select Value-- --Select Value-- --Select Value-- Between (All Column Va) Apply Reset											
Reporting Currency : British Pound											
Export Code	Schedule Code	Cell Line Item	Cell Description	Cell Identifier	Entity	Frequency	Current Value	Previous Value	Variance %	Variance %	Issues Actions Trend Create Issue
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Agriculture, hunting and forestry_Licenses and Advances by original maturity Up to and including 12 months maturity_Sterling	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	15,995,900.00		0	0 View Trends	Create Issue
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Agriculture, hunting and forestry_Licenses and Advances by original maturity Up to and including 12 months maturity_Euro	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	1,818,719.31		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Agriculture, hunting and forestry_Licenses and Advances by original maturity Up to and including 12 months maturity_Other currencies	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	6,665,619.78		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Agriculture, hunting and forestry_Licenses and Advances by original maturity Over 12 months maturity_Sterling	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	382,541,281.00		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Agriculture, hunting and forestry_Licenses and Advances by original maturity Over 12 months maturity_Euro	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	62,675,940.94		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Agriculture, hunting and forestry_Licenses and Advances by original maturity Over 12 months maturity_Other currencies	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	231,261,558.74		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Fishing Licenses and Advances by original maturity Up to and including 12 months maturity_Sterling	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	5,405,900.00		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Fishing Licenses and Advances by original maturity Up to and including 12 months maturity_Euro	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	298,064.42		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Fishing Licenses and Advances by original maturity Up to and including 12 months maturity_Other currencies	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	673,295.29		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Fishing Licenses and Advances by original maturity Over 12 months maturity_Sterling	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	91,821,962.00		0	0 View Trends	
AL	AL00000000000000000000000000000000	-Line Item R0000 - Column C000	Fishing Licenses and Advances by original maturity Over 12 months maturity_Euro	AL00000000000000000000000000000000	BOL - Bank of London	Monthly	18,594,280.20		0	0 View Trends	

- ### Figure 16-43 Variance Analysis – Issue Details



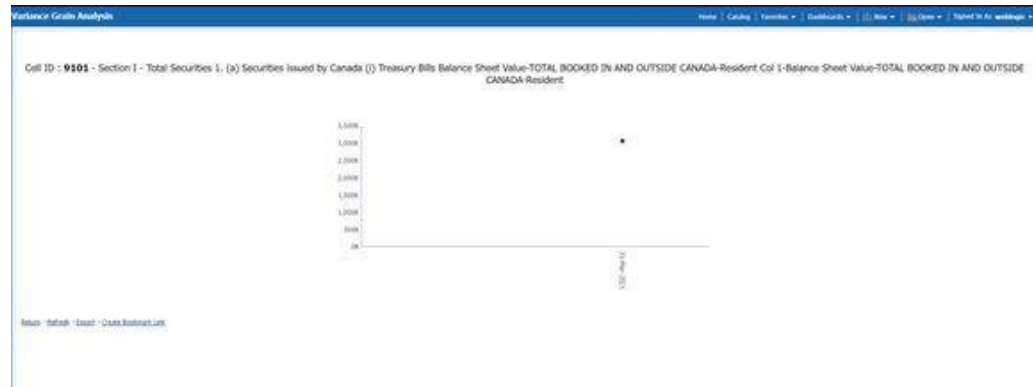
- Figure 16-44 Variance Analysis – Action Details**



- Note**

Trend graphs can be exported to PDF and Excel.

Figure 16-45 Trend

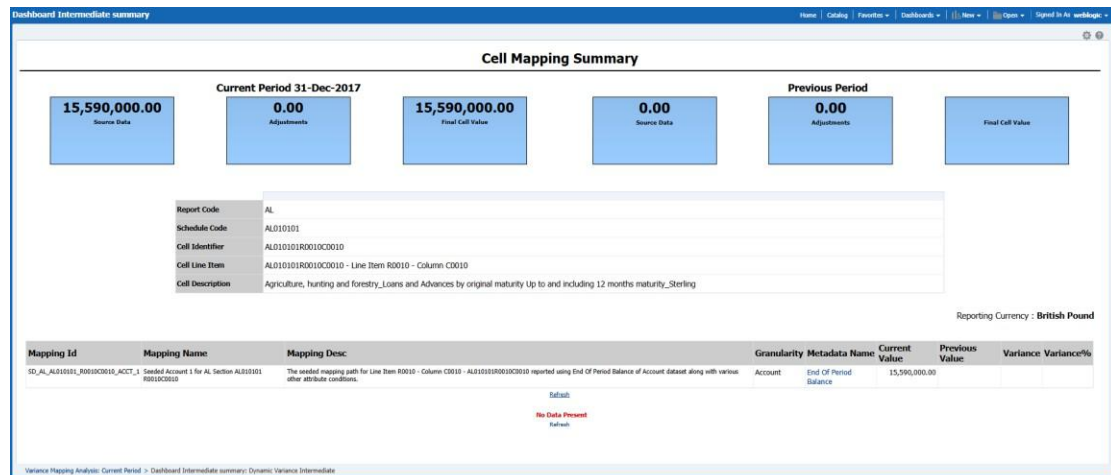


- **Create Issue:** Create an issue from the dashboard itself against any cell irrespective of whether it has been breached or not. This issue can be modified on the DG Issues page. After you create an issue through this method, you can view the number of created issues in the OBI Dashboard. For more information, see section [Creating an Issue through the Dashboard](#) section.

16.5.1.1 Cell Mapping Summary

The Cell Mapping Summary dashboard provides data based on Cell mapping level information. In the Cell Identifier Column, click the Cell IDs. You can view the following information:

Figure 16-46 Cell Mapping Summary



This Dashboard displays the following details:

- **Mapping ID:** Provides the Mapping ID information.
- **Mapping Name:** Provides the Mapping name.
- **Mapping Description:** Provides the detailed description of the Mapping.
- **Granularity:** Provides the Granularity name.
- **Metadata Name:** Provides the Metadata information.

- **Current Value:** Provides the current period value for the respective Reporting line item.
- **Previous Value:** Provides the previous value of the assessment.
- **Variance:** Provides the difference between the current and previous values.
- **Variance %:** Displays the percentage of Variance based on Previous Value.

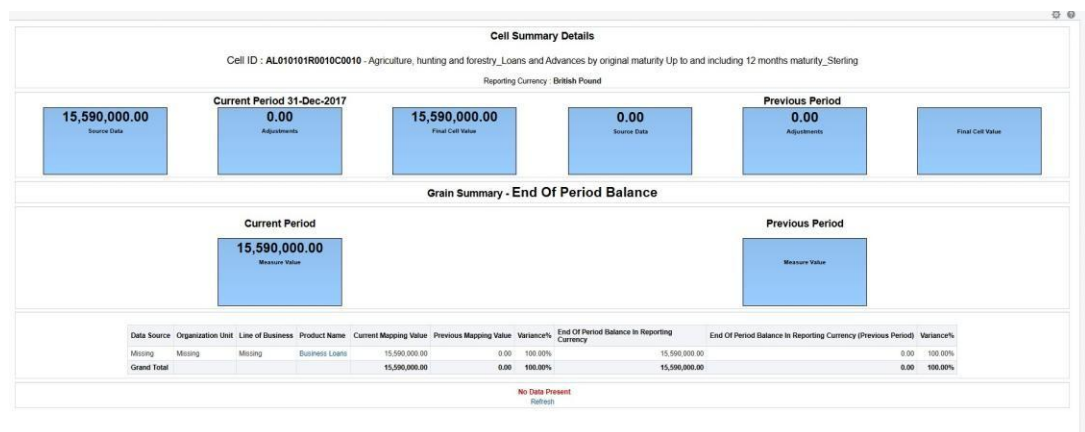
16.5.1.2 Drill Down Report

In the Cell Identifier Column, on the click of Metadata Name, click the Metadata.

You can view the following information:

- **Product Details:** Provides the product details along with the cell ID and Metadata.

Figure 16-47 Product Details



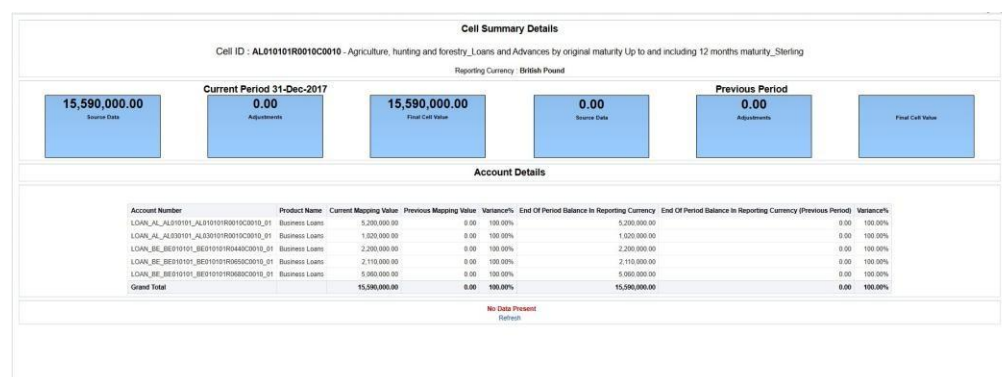
- The current and previous Period Values for the Source Data, adjustment, and Final Cell Value. The data in the final cell is a combination of the Source and Adjustment Data.

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 16-48 Account Details



16.5.1.2.1 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

16.6 Open Y Dashboard

Variance Mapping 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.

Note

This Dashboard for Open Y Reports for OSFI930(OSFI), FR2590(USFED).

Variance Mapping Analysis helps users identify threshold breaches set at the Report/Row Index/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

The Indicator assessment must be performed before verifying the Variance Gain Analysis dashboard. Execute the batch DGS_RR_KI_BATCH for the date on which the data needs to be analyzed. For more details, see the OFS Data Governance Run Chart.

16.6.1 Current Period Report

The Variance Mapping 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

- ***Current Date:** Select a Date on which the assessment has been done.
 - **RunSKey:** Select the RunSKey from the drop-down list.
 - **Entity Name:** Select an Entity Name.
 - **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.
 - **Row Index:** Based on the KI Configuration this drop-down populates, select a Row Index.
 - **Cell Identifier:** Based on the KI Configuration this drop-down populates, select a Cell Identifier.
 - **Variance %:** Select a variance %
 - **Variance Amount Between:** Enter the Variance Amount Range.
 - **Breached:** Select 'Yes' or 'No' or both.
1. Ensure you have configured the Key Indicators. Refer to the [Configuring Key Indicator](#) Section.
 2. Click **Apply** to generate the reports.
 3. Click **Reset** to reset the values. The generated report contains the following details:
 - ***Current Date:** Select a Date on which the assessment has been done.
 - **RunSKey:** Select the RunSKey from the drop-down list.
 - **Entity:** The entity for which the assessment was done.
 - **Report Code:** Provides report code of the cell.
 - **Schedule Code:** Provides schedule code of the cell.
 - **Row Index:** Provides Row Index of the cell.

- **Cell Identifier:** Provides the MDRM code of the cell.
- **Variance %:** Provides the percentage value of the variance.
- **Variance Amount:** Provides the difference between the current and previous values.
- **Breached:** Select 'Yes' or 'No' or both.

Figure 16-49 Variance Mapping Analysis Open Y Dashboard

Report Code	Schedule Date	Cell Line Item	Cell Description	Risk Indicator	Cell Identifier	Entity	Frequency	Current Ranking	Previous Ranking	Current Value	Previous Value	Variance Amount	Variance %	Issues	Actions	Trend	Create Issue
QF988	CONNECTED	QF988ETG0CCB0B0B0E - Column ETG0CCB0B0B0E	Exposure To Group Of Connected Counterparties - Before OMI - Banking book - On-balance sheet exposure	QF988T0K	QF988ETG0CCB0B0B0E	DEVENTITY - US Development Entity	Quarterly	0		6734,403,766.00				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0F - Column ETG0CCB0B0B0F	Exposure To Group Of Connected Counterparties - Before OMI - Banking book - Off-balance sheet exposure	QF988T0K	QF988ETG0CCB0B0B0F	DEVENTITY - US Development Entity	Quarterly	0		22,777,691,138.00				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0C - Column ETG0CCB0B0B0C	Exposure To Group Of Connected Counterparties - Off-balance sheet exposure to Central Counterparty	QF988T0K	QF988ETG0CCB0B0B0C	DEVENTITY - US Development Entity	Quarterly	0		3,228,396,896.00				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0A - Column ETG0CCB0B0B0A	Exposure To Group Of Connected Counterparties - Exposure arising from the common risk name acting as a credit risk mitigation provider	QF988T0K	QF988ETG0CCB0B0B0A	DEVENTITY - US Development Entity	Quarterly	0		26,703,430,056.75				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0H - Column ETG0CCB0B0B0H	Exposure To Group Of Connected Counterparties - Eligible Credit Risk Mitigation - Other (comprehensive approach)	QF988T0K	QF988ETG0CCB0B0B0H	DEVENTITY - US Development Entity	Quarterly	0		26,703,430,056.75				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0P - Column ETG0CCB0B0B0P	Exposure To Group Of Connected Counterparties - Eligible Credit Risk Mitigation - SPN (comprehensive approach)	QF988T0K	QF988ETG0CCB0B0B0P	DEVENTITY - US Development Entity	Quarterly	0		0.00				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0M - Column ETG0CCB0B0B0M	Exposure To Group Of Connected Counterparties - Exempted exposure - After OMI	QF988T0K	QF988ETG0CCB0B0B0M	DEVENTITY - US Development Entity	Quarterly	0		0.00				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0P - Column ETG0CCB0B0B0P	Exposure To Group Of Connected Counterparties - Exempted exposure - common risk acting as OMI provider	QF988T0K	QF988ETG0CCB0B0B0P	DEVENTITY - US Development Entity	Quarterly	0		76,297,360,038.00				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0E - Column ETG0CCB0B0B0E	Exposure To Group Of Connected Counterparties - Gross GPT exposure	QF988T0K	QF988ETG0CCB0B0B0E	DEVENTITY - US Development Entity	Quarterly	0						0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0C - Column ETG0CCB0B0B0C	Exposure To Group Of Connected Counterparties - Instruments with counterparty credit risk (using ECL according to IAS39)	QF988T0K	QF988ETG0CCB0B0B0C	DEVENTITY - US Development Entity	Quarterly	0		96,946,838.00				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0A - Column ETG0CCB0B0B0A	Exposure To Group Of Connected Counterparties - Securitisation vehicles and other structures	QF988T0K	QF988ETG0CCB0B0B0A	DEVENTITY - US Development Entity	Quarterly	0		6,528,612,885.00				0	0	View Trends	
QF988	CONNECTED	QF988ETG0CCB0B0B0T - Column ETG0CCB0B0B0T	Exposure To Group Of Connected Counterparties - Trading book (after offsetting)	QF988T0K	QF988ETG0CCB0B0B0T	DEVENTITY - US Development Entity	Quarterly	0		9,537,865,038.00				0	0	View Trends	
QF988	INDIVIDUAL	QF988ETG0CCB0B0B0C - Column ETG0CCB0B0B0C	Exposure To Individual Counterparties - Eligible Credit Risk Mitigation - SPN (comprehensive approach)	QF988T0K	QF988ETG0CCB0B0B0C	DEVENTITY - US Development Entity	Quarterly	0						0	0	View Trends	
QF988	INDIVIDUAL	QF988ETG0CCB0B0B0E - Column ETG0CCB0B0B0E	Exposure To Individual Counterparties - Before OMI - Banking book - On-balance sheet	QF988T0K	QF988ETG0CCB0B0B0E	DEVENTITY - US Development Entity	Quarterly	0		23,978,765,050.00				0	0	View Trends	

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

Figure 16-50 Variance Analysis – Issue Details

ID	Name	Comment	Status	Target Date
1106	Threshold value breached for Total Transaction Accounts - Deposits Of States And Political Subdivisions In The U.S.	1106 - NA	New	01-Mar-22

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

Figure 16-51 Variance Analysis – Action Details

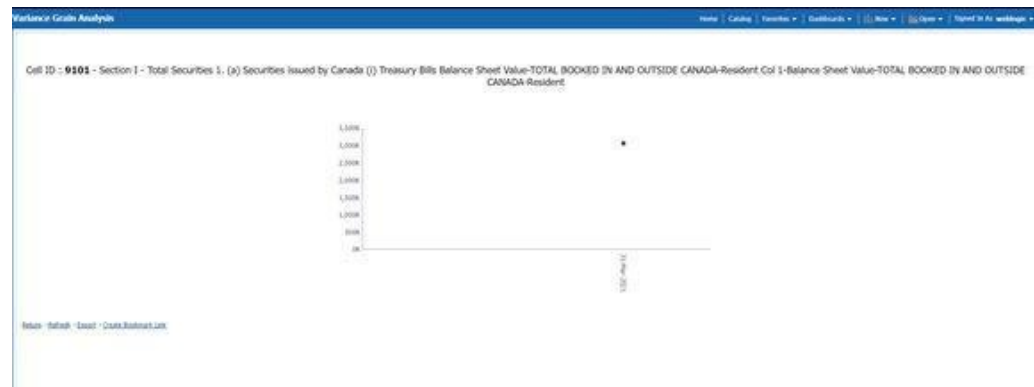
ID	Name	Comment	Status	Target Completion Date
140	action for adjustment	Issue for RCON2168	N	27-Jan-22

- **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 16-52 Trend

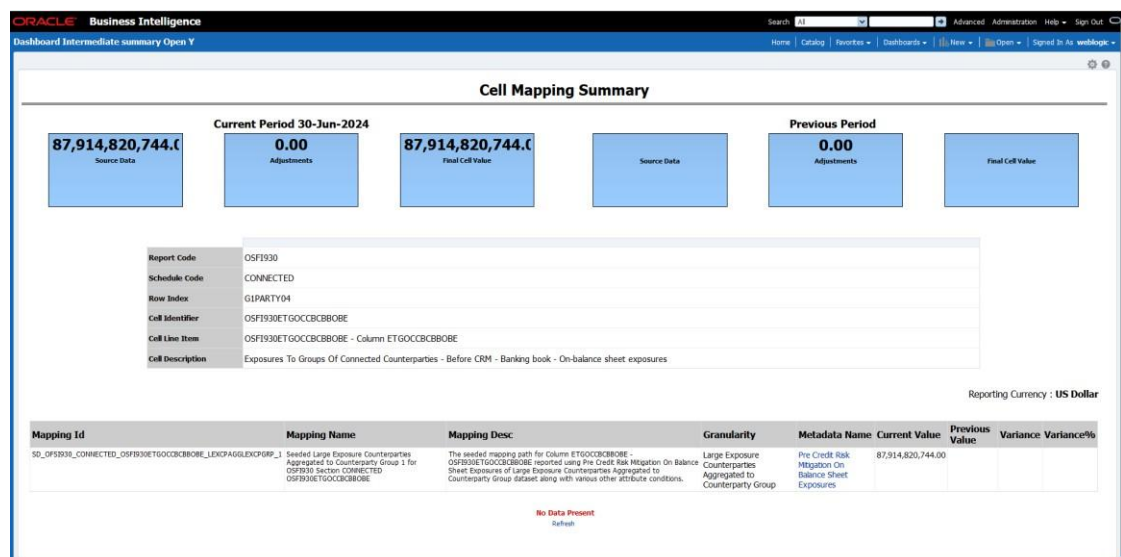


- **Create Issue:** Create an issue from the dashboard itself against any cell irrespective of whether it has been breached or not. This issue can be modified on the DG Issues page. After you create an issue through this method, you can view the number of created issues in the OBI Dashboard. For more information, see section [Creating an Issue through the Dashboard](#) section.

16.6.1.1 Cell Mapping Summary

The Cell Mapping Summary dashboard provides data based on Cell mapping level information.

Figure 16-53 Cell Mapping Summary



This Dashboard displays the following details:

- **Mapping ID:** Provides the Mapping ID information.
- **Mapping Name:** Provides the Mapping name.
- **Mapping Description:** Provides the detailed description of the Mapping.
- **Granularity:** Provides the Granularity name.
- **Metadata Name:** Provides the Metadata information.
- **Current Value:** Provides the current period value for the respective Reporting line item.
- **Previous Value:** Provides the previous value of the assessment.
- **Variance:** Provides the difference between the current and previous values.
- **Variance %:** Displays the percentage of Variance based on Previous Value.

16.6.1.2 Drill Down Report

In the Cell Identifier Column, on the click of Metadata Name, click the Metadata.

You can view the following information:

- **Party Details:** Provides the Party details along with the cell ID and row index.
 - 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 **Party** details 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 16-54 Party /Party Group Details

Cell Summary Details

Cell ID : OSF930ETGCCBCBBOFSE - Exposures To Groups Of Connected Counterparties - Before CRM - Banking book - Off-balance sheet exposures

Reporting Currency : Canadian Dollar

20,916,028,979.43

Source Data

Current Period 30-Sep-2024

0.00

Adjustments

20,916,028,979.43

Final Cell Value

Source Data

Previous Period

0.00

Adjustments

Final Cell Value

Account Details

Party Group : G1PARTY03 - Noble Resources

Party Name	Current Mapping Value	Previous Mapping Value	Variance%	Pre Credit Risk Mitigation Loan Commitments Exposure At Default Amount In Reporting Currency	Pre Credit Risk Mitigation Loan Commitments Exposure At Default Amount In Reporting Currency (Previous Period)	Variance%	Pre Credit Risk Mitigation L.C. and Guarantees Exposure At Default Amount In Reporting Currency	Pre Credit Risk Mitigation L.C. and Guarantees Exposure At Default Amount In Reporting Currency (Previous Period)	Variance%	Pre Credit Risk Mitigation Other Commitments Exposure At Default Amount In Reporting Currency	Pre Credit Risk Mitigation Other Commitments Exposure At Default Amount In Reporting Currency (Previous Period)	Variance%
Noble Resources	20,916,028,979.43	0.00	100.00%	8,166,231,996.04	0.00	100.00%	5,651,045,131.67	0.00	100.00%	7,087,851,850.82	0.00	100.00%
Grand Total	20,916,028,979.43	0.00	100.00%	8,166,231,996.04	0.00	100.00%	5,651,045,131.67	0.00	100.00%	7,087,851,850.82	0.00	100.00%

No Data Present

Refresh

16.6.1.2.1 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

16.6.2 Creating an Issue through the Dashboard

To create an issue through the Dashboards page, follow these steps:

Note

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

From the Dashboards, select **Variance Mapping Analysis/Variance Mapping Analysis Open Y**.

Figure 16-55 Variance Mapping Analysis

Variance Mapping Analysis												
Current Date Run Key Entity Name Reports Schedule Cell Identifier Variance% Variance Amount Breached 12/31/2017 --Select Value-- --Select Value-- --Select Value-- --Select Value-- --Select Value-- --Select Value-- Between (All Column Va) Apply Reset												
Report Code	Schedule Code	Cell Line Item	Cell Description	Cell Identifier	Entity	Frequency	Current Value	Previous Value	Variance	Variance %	Issues	Actions
AL	AL010101	AL010101R001C0010 - Line Item R0010 - Column C0010	Agriculture, hunting and forestry_Loans and Advances by original maturity Up to and including 12 months maturity_Sterling	AL010101R001C0010	BOL - Bank of London	Monthly	15,596,000.00				0	0 View Trends
AL	AL010101	AL010101R001C0020 - Line Item R0010 - Column C0020	Agriculture, hunting and forestry_Loans and Advances by original maturity Up to and including 12 months maturity_Euro	AL010101R001C0020	BOL - Bank of London	Monthly	1,825,718.21				0	0 View Trends
AL	AL010101	AL010101R001C0030 - Line Item R0010 - Column C0030	Agriculture, hunting and forestry_Loans and Advances by original maturity Up to and including 12 months maturity_Other currencies	AL010101R001C0030	BOL - Bank of London	Monthly	4,667,679.78				0	0 View Trends
AL	AL010101	AL010101R001C0040 - Line Item R0010 - Column C0040	Agriculture, hunting and forestry_Loans and Advances by original maturity Over 12 months maturity_Sterling	AL010101R001C0040	BOL - Bank of London	Monthly	382,547,281.00				0	0 View Trends
AL	AL010101	AL010101R001C0050 - Line Item R0010 - Column C0050	Agriculture, hunting and forestry_Loans and Advances by original maturity Over 12 months maturity_Euro	AL010101R001C0050	BOL - Bank of London	Monthly	62,675,940.84				0	0 View Trends
AL	AL010101	AL010101R001C0060 - Line Item R0010 - Column C0060	Agriculture, hunting and forestry_Loans and Advances by original maturity Over 12 months maturity_Other currencies	AL010101R001C0060	BOL - Bank of London	Monthly	251,261,008.74				0	0 View Trends
AL	AL010101	AL010101R002C0010 - Line Item R0020 - Column C0010	Fishing_Loans and Advances by original maturity Up to and including 12 months maturity_Sterling	AL010101R002C0010	BOL - Bank of London	Monthly	5,400,000.00				0	0 View Trends
AL	AL010101	AL010101R002C0020 - Line Item R0020 - Column C0020	Fishing_Loans and Advances by original maturity Up to and including 12 months maturity_Euro	AL010101R002C0020	BOL - Bank of London	Monthly	390,064.62				0	0 View Trends
AL	AL010101	AL010101R002C0030 - Line Item R0020 - Column C0030	Fishing_Loans and Advances by original maturity Up to and including 12 months maturity_Other currencies	AL010101R002C0030	BOL - Bank of London	Monthly	675,285.29				0	0 View Trends
AL	AL010101	AL010101R002C0040 - Line Item R0020 - Column C0040	Fishing_Loans and Advances by original maturity Over 12 months maturity_Sterling	AL010101R002C0040	BOL - Bank of London	Monthly	99,822,962.00				0	0 View Trends
AL	AL010101	AL010101R002C0050 - Line Item R0020 - Column C0050	Fishing_Loans and Advances by original maturity Over 12 months maturity_Euro	AL010101R002C0050	BOL - Bank of London	Monthly	18,594,286.20				0	0 View Trends

1. In the Create Issue Column, click the **Create Issue** icon.
The Create Issue page is displayed.

Figure 16-56 Create Issue

Create Issue

Name

Description

Criticality
Medium

Target Date

Owner
DIGAPPR

Category
Data Authorization

Comments

Attach Documents
Drag and Drop
Select a file or drop one here.

Submit

2. In the **Issue Details** page, enter the following values:
 - a. **Name:** Enter the Issue Name.
 - b. **Description:** Enter the Issue Description.
 - c. **Criticality:** Select the criticality of the issue.
 - d. **Target Date:** Select the target date.
 - e. **Owner:** Select the owner.
 - f. **Category:** Select the category from the list.
 - g. **Comments:** Enter comments if any.
3. Click **Submit**.

16.7 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.

16.8 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.

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

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

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

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

16.9 Validation Rules Dashboard

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

- Date
- Run SKey

- Entity Name
- Reports
- Rule Type
- Status

Click **Apply** to generate the reports.

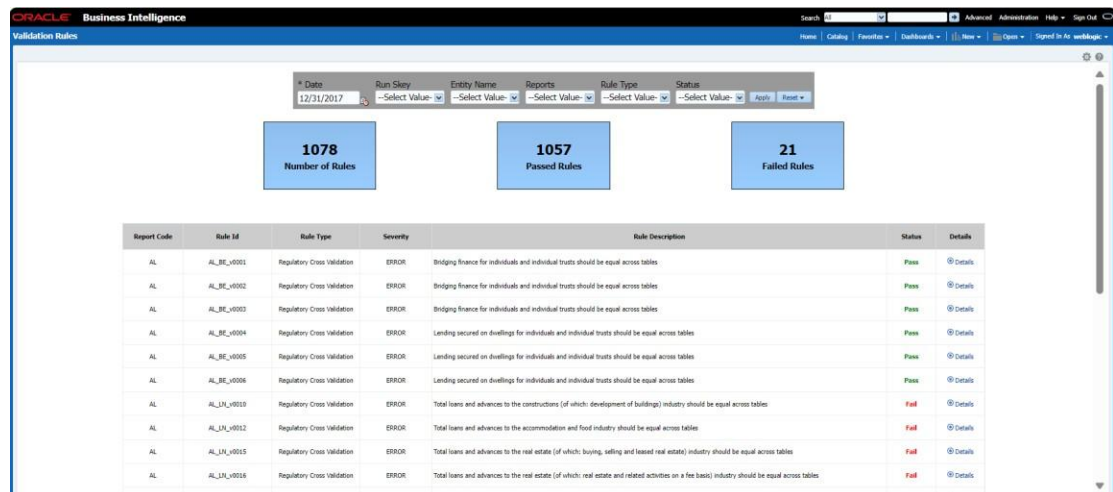
Click **Reset** to reset the values.

The generated report contains the following details:

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

- **Rule ID:** Provides the Rule ID details.
- **Rule Type:** Provides the value that you selected in the Rule Type drop-down box.
- **Severity:** Provides the configured severity details of the rule (for example, Error, Warning, etc.)
- **Rule Description:** Provides the rule description.
- **Status:** Provides the status of the rule in terms of Pass or Fail.

Figure 16-73 Validation Rules Dashboard



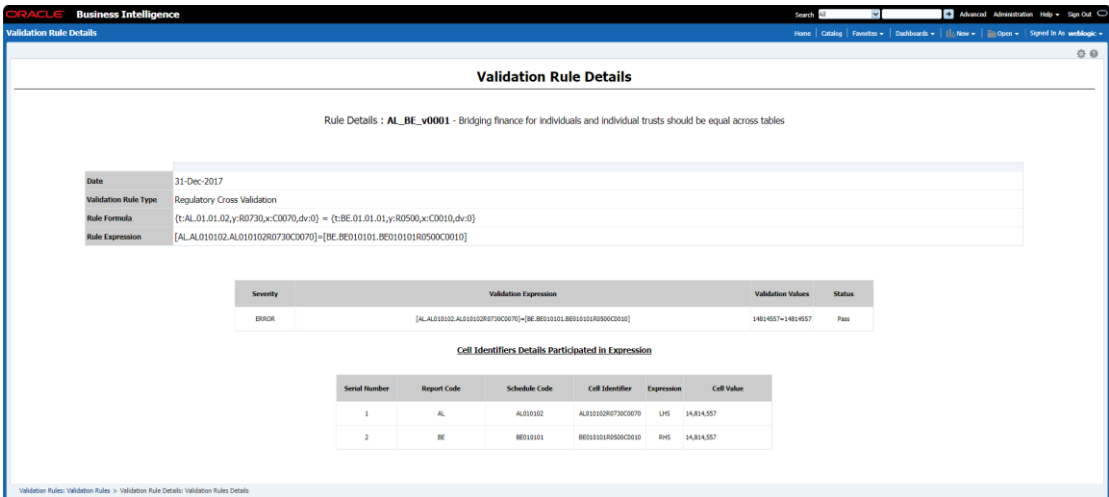
Note

- The rule for **Divisible by Zero** is to be classified under **Failed Rules** rather than **Error Rules**.
- All rule value comparisons are conducted by **up to two decimal places** after the precision point.

To view the detailed information of the rule, click **Details**.

- **Validation Rule Type:** Provides the selected Rule Type.
- **Rule Formula:** Provides the selected Rule Formula.
- **Rule Expression:** Provides the selected Rule Expression.

Figure 16-74 Validation Rule Details



The Validation Rule Details report also displays the **Cell Identification Details Participated in Expression**.

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.

User Roles and Actions

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

Table 17-1 User Groups

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.

17.1 Prerequisites

The following executions must be 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 the USERS tablespace have a minimum of 150 GB available.
- ii. Ensure that the TEMP tablespace is a minimum of 45 GB available.

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

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

- i. Config Schema:

- AAI_OBJECT_B
- AAI_OBJECT_TL

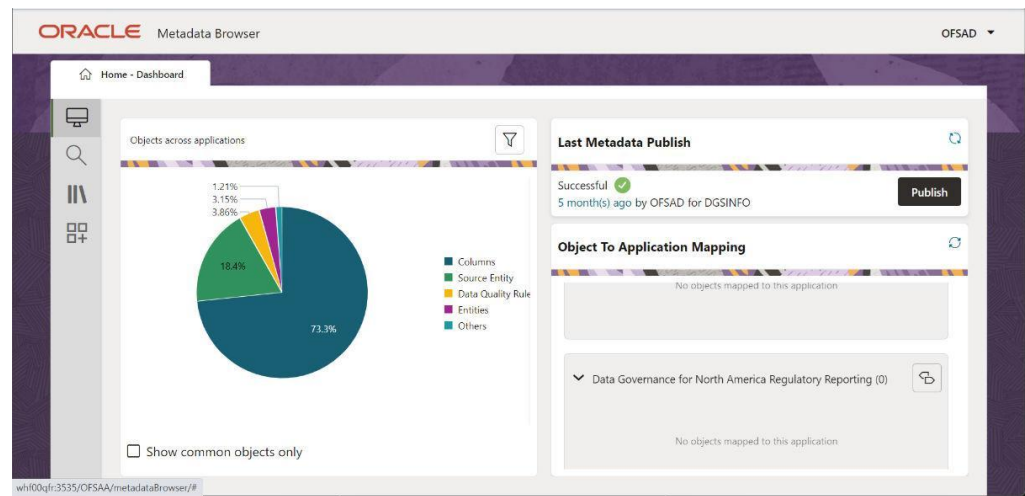
- AAI_DMT_DEFINITION
- AAI_DMT_DEF_SOURCE_ENTITY
- AAI_DMT_MAPPING_DETAILS
- PR2_RULE_B
- PR2_RULE_MAP
- PR2_RULE_OBJECT
- PR2_RULE_OBJECT_MEMBER
- PR2_OBJECT_TL
- PR2_OBJECT_TRACE
- BATCH_MASTER
- BATCH_TASK_MASTER
- BATCH_PARAMETER_MASTER
- METADATA_MASTER
- METADATA_ELEMENT_MASTER
- METADATA_LOCALE_MASTER
- METADATA_TYPE_MASTER
- METADATA_ATTRIBUTE_MASTER
- AAI_WF_PROCESS_B
- AAI_WF_PROCESS_TL
- AAI_WF_ACTIVITY_B
- AAI_WF_ACTIVITY_TL
- AAI_WF_APPLICATION_API_B
- AAI_WF_APPLICATION_API_TL
- AAI_WF_ACTIVITY_TASK_TL
- AAI_WF_TRANSITION_B
- AAI_WF_TRANSITION_TL
- AAI_WF_ACTIVITY_TASK_USER_MAP
- AAI_WF_ACTUAL_PARAMS
- AAI_WF_ACTIVITY_SUBPROCESS
- AAI_WF_ATTR_COMPONENT
- AAI_WF_ATTR_COMP_VAR_MAPPING
- AAI_WF_PROCESS_DETAIL_FILTER
- AAI_WF_PROCESS_FILTER

2. MDB Publish: To publish the MDB, follow these steps:

- a. Log in to Oracle Financial Services Analytical Applications interface with your credentials.
- b. From the LHS Menu, click **Financial Services Data Foundation**, and then click **Metadata Browser**.

- c. Click the **Publish** button on the Metadata Browser screen.

Figure 17-1 Metadata Browser



- d. Click **OK**.
- e. Click the **Refresh** button to view the latest status.
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_RUN_LINEAGE_METADATA
```

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_DGS
```

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

- a. Parameters used in <INFODOM>_POP_DATA_ELEMENTS_DGS Batch
The default parameters used in the <INFODOM>_POP_DATA_ELEMENTS_DGS batch are:

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 these Data Flow from Lineage Reports as an exclusion by inputting the same in the FSI_DE_RUN_FLOW_REMOVAL table.

Enabling Reports for REPORT Parsing: Every execution for REPORT Parsing requires a minimum of one Report to be enabled in the FSI_DE_POP_REPORT_LIST table

in the Atomic Schema. By default, the following Reports are enabled for US FED Jurisdiction.

Table 17-2 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 wish to parse particular Dashboards, modify the FSI_DE_POP_REPORT_LIST table in the Atomic Schema by enabling/disabling the “Include Report Column”.

17.1.1 Verifying Logs

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

Table 17-3 FSI_MESSAGE_LOGS table

Tasks	Batch Run ID	Indication
Task1 (METADATA Parsing)	REGISTER_ELEMENTS_<Batch_Run_ID>	Processes Metadata Parsing. The message “Completed REGISTER_ELEMENTS” indicates that the Metadata parsing is completed with Registration.

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_DATA_FLOW_MAPPINGS
- FSI_DE_RUN_FLOW_MAPPINGS

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
ON mdb_object_dependencies(parent_object_def_id,child_object_def_id)
COMPUTE STATISTICS
/
```

17.2 Create and Export Metadata Report Templates for XML and Excel

To create and export the Metadata Report Templates, follow these steps:

1. Navigate to Financial Services Data Governance for North America Regulatory Reporting and select **Metadata Report**.
2. Click the **Add** icon, in the Summary screen, to create a new Metadata Report Template.

Figure 17-2 Metadata Report

Search

Refresh

Template Id

Template Name

Summary

+ Add

Edit

View

Delete

Export to Excel

Export to XML

Download

Search...

☐	Template Id	Template Name	Template Description	Status	Created Date	Created By
☐	209040	OSFI_930_Lineage_Latest	OSFI_930_Lineage_Latest	Completed	2025-04-10 17:32:02.0	OFSAD
☐	209032	Data_lineage_OSFI930	Data_lineage_OSFI930	Completed	2025-04-08 17:01:11.0	OFSAD
☐	209031	Test_Lineage_OSFI930	Test_Lineage_OSFI930	Completed	2025-04-08 16:45:44.0	OFSAD
☐	209030	OSFI930_Lineage_New	OSFI930_Lineage_New	Ongoing	2025-04-08 13:44:19.0	OFSAD
☐	209029	Lineage_OSFI930	Lineage_OSFI930	Ongoing	2025-04-07 14:24:49.0	OFSAD

Page 1 of 2 (1-5 of 8 items)

< 1 2 >

Records Per Page 5

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

Template Definition

Save

Return

Back

12345

Definition
Object Types
Filter Objects
Choose Lineage Properties
Review

Next

Definition

Basic Details

Name

Required

Description

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

Figure 17-4 Metadata Selection

Template Definition [Save] [Return]

Back Definition Object Types **Filter Objects** Choose Lineage Properties Review Next

Filter Objects

Data Mapping

The exported sample report for Individual is as follows:

Figure 17-5 Exported Sample Report

	A	B	C	D
1	DATA_MAPPING_NAME	DATA_MAPPING_DESC	ENTITIES_NAME	ENTITIES_DESC
2	T2T_STG_BILLS_CAS		Fact Common Account Summary	
3				
4				
5				
6				
7				
8				
9				
10				

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

Figure 17-6 Object Types

Template Definition [Save] [Return]

Back Definition Object Types **Filter Objects** Choose Lineage Properties Review Next

Object Types

Object Types

Choose Data Mapping X

Export Options

Dependencies ☐

Data Lineage ☐

The exported sample report for Relational is as follows:

Figure 17-7 Exported Sample Report

	A	B	
1	Path Name	Dependency	
2	Path1	Data Mapping > Entities >	
3			
4			
5			
6			
7			
8			
9			
10			

8. 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.
9. These paths are generated by the system using data already published in MDB dependency tables as part of the OFSAA MDB object publish.
10. 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)
11. For example, In Path1, Data Mapping Name is the first Object type, the dependencies generated are Data Mapping Name and Data Mapping Description.

Figure 17-8 Exported Sample Report

	A	B	C	D	E	F
1	DATA_MAPPING_NAME	DATA_MAPPING_DESC	ENTITIES_NAME	ENTITIES_DESC		
2	T2T_STG_CASA_CAS		Fact Common Account Summary			
3	T2T_STG_BILLS_CAS		Fact Common Account Summary			
4	T2T_STG_CARDS_CAS		Fact Common Account Summary			
5	T2T_STG_LOANS_CAS		Fact Common Account Summary			
6						
7						
8						
9						

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

Figure 17-9 Exported Sample Report

	A	B	C	D	E	F	G
1	Path Name	Dependency					
2	Path1	Data Mapping > Entities >					
3							
4							
5							
6							
7							
8							

13. Select Data Lineage in Template Definition, and then 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"`.

14. 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 17-10 Exported Sample Report

	A	B	C	D	E	F	G
1	Result Area Table Application	Result Area Table Type	Result Area Table	Result Area Column	Reporting Run Name	Lineage Run or Batch Level	Lineage Data Flow Name Level
2	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_UNDRAWN_AMT	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_BILLS_CAS	T2T
3	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_CREDIT_BALANCE	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CASA_CAS	T2T
4	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_RETAIL_INT_CHG_BAL	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
5	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_FEECOMM_INCOME	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
6	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_EXP_REV_FLAG	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_LOANS_CAS	T2T
7	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_FEECOMM_INCOME	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_LOANS_CAS	T2T
8	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_HEDGED_AMOUNT	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_BILLS_CAS	T2T
9	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_ATT_REASON_CD	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_BILLS_CAS	T2T
10	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_SWITCH_DOWNGRADE_CD_IF	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CASA_CAS	T2T
11	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_ACCT_DELQ_IND	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
12	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_EXP_UNREALIZED_LOSS_GAIN	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_LOANS_CAS	T2T
13	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_LRD_BALANCE	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_BILLS_CAS	T2T
14	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_AVD_BOOK_BAL	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
15	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_TRANSACTIONAL_ACCT_FLAG	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CASA_CAS	T2T
16	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_INT_TIMING_TYPE	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
17	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_DELINQUENCY_STATUS_KEY	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CASA_CAS	T2T
18	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_ACCT_TOT_WRITEOFF_ITD	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_LOANS_CAS	T2T
19	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_OIL_MARGIN_TYPE_CD	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T
20	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_ACCOUNT_COUNTRY_KEY	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_LOANS_CAS	T2T
21	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_DISCOUNT_MARGIN	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_BILLS_CAS	T2T
22	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_ACCOUNT_SUB_TYPE_CODE	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CASA_CAS	T2T
23	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_COMMON_COA_KEY	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CASA_CAS	T2T
24	Financial Services Data Foundation Data Flow		FCT_COMMON_ACCOUNT_SUMIN_CREDIT_STATUS	FSOI_EXE_RUN	FSOI_SOURCE_RUN	T2T_STG_CARDS_CAS	T2T

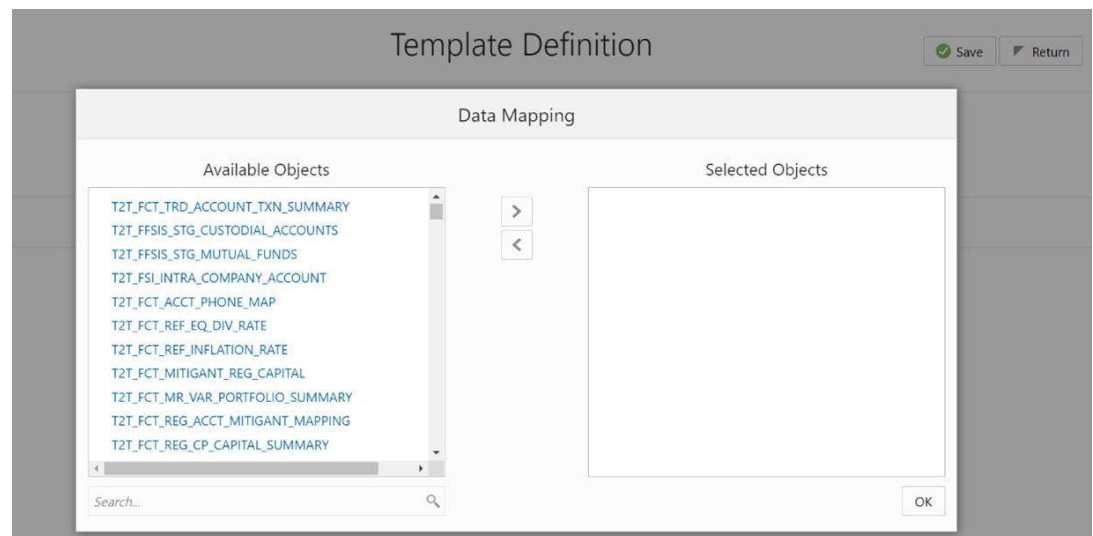
15. Select Filter Objects to see the selected objects.

Figure 17-11 Filter Objects



16. Select one Filter Object from the Available Objects and click the **Move Entities** icon to add a Selected Object. Select one Selected Object from the Available Objects and click the **Remove Entities** icon to remove a Filter Object.

Figure 17-12 Data Mapping

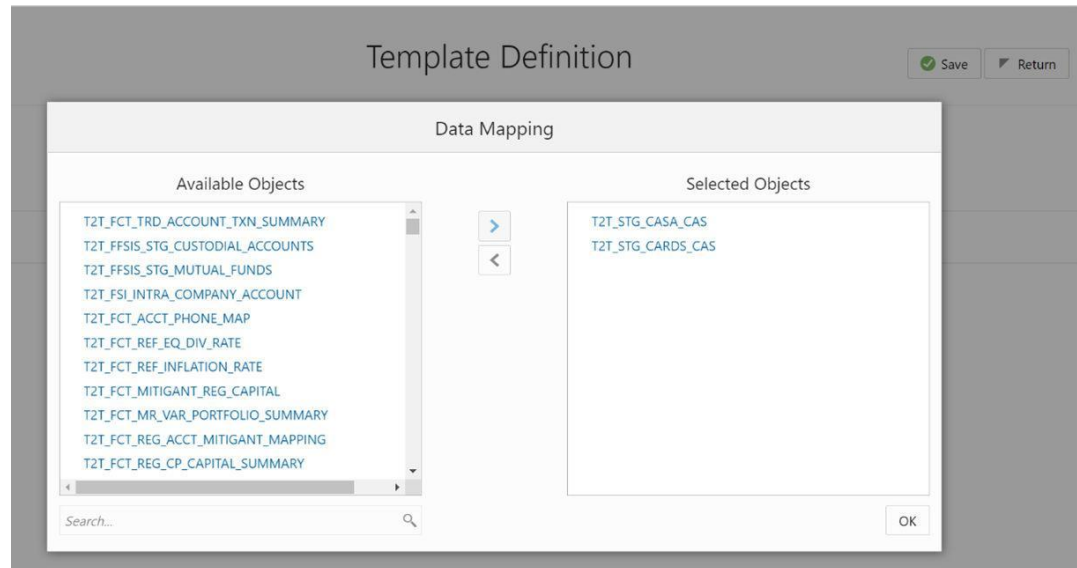


17. When the object list is huge, use the Search option as shown above. Type first three letters of the Filter Object name and the relevant Filter Objects appear.

Note

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

Figure 17-13 Data Mapping



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

Table 17-4 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.

Table 17-4 (Cont.) Lineage Properties

Sl. No.	Lineage Property	Property Description
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.
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.

Table 17-4 (Cont.) Lineage Properties

SI. No.	Lineage Property	Property Description
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.

Table 17-4 (Cont.) Lineage Properties

Sl. No.	Lineage Property	Property Description
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.
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.

Table 17-4 (Cont.) Lineage Properties

Sl. No.	Lineage Property	Property Description
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.

Table 17-4 (Cont.) Lineage Properties

Sl. No.	Lineage Property	Property Description
41	Lineage Data Flow Type Level4	Stores the Level4 Data Flow Type of Lineage Report generated for populating the Level3 Source Table and Column.
42	Lineage Element Table Level4	Stores the Level4 Source Table of Lineage Report generated for populating the Level3 Source Table and Column.
43	Lineage Element Column Level4	Stores the Level4 Source Column of Lineage Report generated for populating the Level3 Source Table and Column.
44	Lineage Run or Batch Level5	Stores the Level5 Run Name or Batch Name of Lineage Report generated for populating the Level4 Source Table and Column.
45	Lineage Data Flow Name Level5	Stores the Level5 Data Flow Name of Lineage Report generated for populating the Level4 Source Table and Column.
46	Lineage Data Flow Type Level5	Stores the Level5 Data Flow Type of Lineage Report generated for populating the Level4 Source Table and Column.
47	Lineage Element Table Level5	Stores the Level5 Source Table of Lineage Report generated for populating the Level4 Source Table and Column.
48	Lineage Element Column Level5	Stores the Level5 Source Column of Lineage Report generated for populating the Level4 Source Table and Column.
49	Lineage Run or Batch Level6	Stores the Level6 Run Name or Batch Name of Lineage Report generated for populating the Level5 Source Table and Column.
50	Lineage Data Flow Name Level6	Stores the Level6 Data Flow Name of Lineage Report generated for populating the Level5 Source Table and Column.
51	Lineage Data Flow Type Level6	Stores the Level6 Data Flow Type of Lineage Report generated for populating the Level5 Source Table and Column.

Table 17-4 (Cont.) Lineage Properties

Sl. No.	Lineage Property	Property Description
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.

Table 17-4 (Cont.) Lineage Properties

Sl. No.	Lineage Property	Property Description
63	Lineage Element Column Level8	Stores the Level8 Source Column of Lineage Report generated for populating the Level7 Source Table and Column.
64	Lineage Run or Batch Level9	Stores the Level9 Run Name or Batch Name of Lineage Report generated for populating the Level8 Source Table and Column.
65	Lineage Data Flow Name Level9	Stores the Level9 Data Flow Name of Lineage Report generated for populating the Level8 Source Table and Column.
66	Lineage Data Flow Type Level9	Stores the Level9 Data Flow Type of Lineage Report generated for populating the Level8 Source Table and Column.
67	Lineage Element Table Level9	Stores the Level9 Source Table of Lineage Report generated for populating the Level8 Source Table and Column.
68	Lineage Element Column Level9	Stores the Level9 Source Column of Lineage Report generated for populating the Level8 Source Table and Column.
69	Lineage Run or Batch Level10	Stores the Level10 Run Name or Batch Name of Lineage Report generated for populating the Level9 Source Table and Column.
70	Lineage Data Flow Name Level10	Stores the Level10 Data Flow Name of Lineage Report generated for populating the Level9 Source Table and Column.
71	Lineage Data Flow Type Level10	Stores the Level10 Data Flow Type of Lineage Report generated for populating the Level9 Source Table and Column.
72	Lineage Element Table Level10	Stores the Level10 Source Table of Lineage Report generated for populating the Level9 Source Table and Column.
73	Lineage Element Column Level10	Stores the Level10 Source Column of Lineage Report generated for populating the Level9 Source Table and Column.

Table 17-4 (Cont.) Lineage Properties

Sl. No.	Lineage Property	Property Description
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 17-14 Template Definition

Template Definition

Save Return

Back Definition Object Types Filter Objects Lineage Properties Review Next

Lineage Properties

Data Mapping

- Result Area Table Application
- Lineage Data Flow Name Level1
- Lineage Element Table Level1
- Lineage Element Column Level1
- Lineage Run or Batch Level2
- Lineage Data Flow Name Level2
- Lineage Data Flow Type Level2
- Lineage Element Column Level2
- Lineage Run or Batch Level3
- Lineage Data Flow Type Level3
- Lineage Element Table Level3

Lineage Run or Batch Level1

Lineage Data Flow Name Level3

Lineage Element Table Level2

Lineage Data Flow Type Level1

Reporting Run Name

Result Area Column

Result Area Table

DIH External Data Column

- Review the Template Definition and click **Save**.

Figure 17-15 Template Definition

Template Definition

Save Return

Back Definition Object Types Filter Objects Lineage Properties Review Next

Review

	Object Identifier	Object Name	Object Type
0	1649875745749	T2T_STG_CASA_CAS	Data Mapping
1	1649875745734	T2T_STG_CARDS_CAS	Data Mapping
2	1649875745733	T2T_STG_BILLS_CAS	Data Mapping

- Click Return to go to the Summary page.
- 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.

- 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.
- The export logs are generated and placed in the path /Context_Name/logs/MDB.log.
Log files give the following information:
 - a. All Paths query
 - b. Query for each path and if data present for this path
 - c. Lineage query
 - d. Status of excel output creation
 - e. Exceptions and errors if any
- For XML Export:
 - * Not Started
 - * Check the Metadata Export folder in the server

Note

This is to distinguish the XML extract from the Excel export. XML cannot be downloaded from the UI.

24. 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.

17.3 View Metadata Report Templates

To view the Metadata Report Templates, follow these steps:

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).

Template Id	Template Name	Template Description	Status	Created Date
209740	stg_cards	stg_cards	Completed	2022-09-19 16:22:59
209736	test	test	Completed	2022-09-16 17:37:13
209735	target_table22	target_table22	Completed	2022-09-16 16:48:31
209734	DQrule	DQrule	Completed	2022-09-16 13:47:45

Note

The Metadata Report Template's excel report is opened in View-Only mode.

17.4 Modify or Edit Metadata Report Templates

To edit or modify the Metadata Report Templates, follow these steps:

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 17-17 Metadata Report

Template Id	Template Name	Template Description	Status	Created Date
209740	stg_cards	stg_cards	Completed	2022-09-19 16:22:59
209736	test	test	Completed	2022-09-16 17:37:13
209735	target_table22	target_table22	Completed	2022-09-16 16:48:31
209734	DQrule	DQrule	Completed	2022-09-16 13:47:45

17.5 Delete Metadata Report Templates

To delete the Metadata Report Templates, follow these steps:

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

Figure 17-18 Metadata Report

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Summary

+

Add

Edit

View

DeleteExport to ExcelExport to XMLDownload

Sort BySearch

Template Id	Template Name	Template Description	Status	Created Date
☒ 209740	stg_cards	stg_cards	Completed	2022-09-19 16:22:59
☐ 209736	test	test	Completed	2022-09-16 17:37:13
☐ 209735	test table	test table	Completed	2022-09-16 16:40:34