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





Oracle Financial Services Data Governance for North America Regulatory Reporting User Guide, Release 8.1.2.9.0

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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 8.1.2.9.0 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	OFSA Application Catering to the Principle
BCBS Principle Category: C	Overarching Governance and Infrastru	ıcture
Principle 1: Governance	Identification, assessment, and management of data quality risks to be a part of a bank's risk management framework.	This principle is addressed by the Data Quality Framework and OFS Model Risk Management.
	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.	

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.	This principle is addressed by OFS Data Foundation, OFS	
	Establish roles and responsibilities to ensure adequate controls.	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.	This principle is addressed by OFS Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, OFS Reconciliation Framework, OFS	
	Documentation of risk data aggregation process. Establish escalation channels	Data Foundation, and OFS Operational Risk.	
	and action plans.		
Principle 4: Completeness	Capture all material risk data by the relevant dimensions.	This principle is addressed by OFS Data Foundation, OFS	
	Any exceptions to completeness must be identified and documented.	Analytical Applications Infrastructure, OFS Enterprise Modeling Framework, and all	
	Consistent risk data aggregation capabilities.	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.	This principle is addressed by all OFS Applications with OFS Data Foundation, OFS Analytical	
	Incorporate changes related to internal and external business factors and regulatory frameworks.	Applications Infrastructure, OFS Enterprise Modeling Framework	
	Generate sub-sets of data based on specific dimensions.		
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.	This principle is addressed by all the standalone OFS BI analytics applications and dashboards of all the OFS applications.	
	Establish the reliability of approximations such as output from models, scenarios, and stress tests.		

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.	This principle is addressed by all the standalone OFS BI analytics applications and dashboards of all the OFS applications.
	Exposure and position data, concentrations, limits, risk appetite.	
Principle 9: Clarity and Usefulness		
	Customized to suit individual requirements.	all the OFS applications, and Oracle Business Intelligence Enterprise Edition (OBIEE).
Principle 10: Frequency	Produce reports at the desired frequency.	This principle is addressed by all the OFS BI analytics application,
	Timely availability of reports under stress conditions.	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: Super	rvisory Review, Tools and Coope	ration
BCBS 239 Principle	Description	OFSA Application Catering to the Principle
Principle 12: Review	Supervisors must:	This principle is addressed by
	Review bank compliance with principles 1 to 11.	OFS Data Governance for North America Regulatory Reporting.
	Examine the results of internal and external audits.	
	Test bank's data aggregation and reporting capabilities under normal and stress conditions.	
Principle 13: Remedial Actions	Use of multiple tools for:	This principle is addressed by
and Supervisory Measures	Required remedial action	OFS Data Governance for North America Regulatory Reporting.
	Increased scrutiny Independent review	
	Capital add-ons	
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.

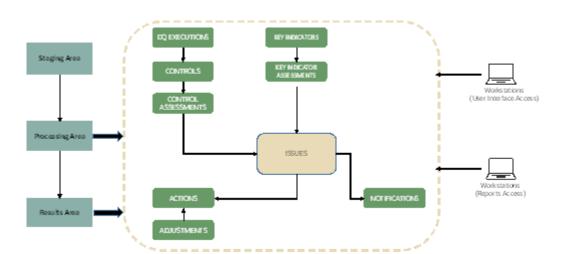


Figure 2-1 Technical Architecture

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

(i) Note

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

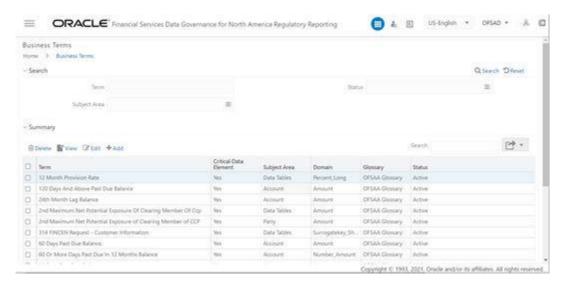
Ensure the domains in the User Domains Map must be mapped to the created group.

4.1 Viewing a Business Term

To view a Business Term, follow these steps:

 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



- In the Search section, enter the search details and click Search to view the results in the summary table.
- 3. Enter the required Business Term.
- Select the Status from the drop-down list. The status can be Draft, Pending Approval, or Active.



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



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

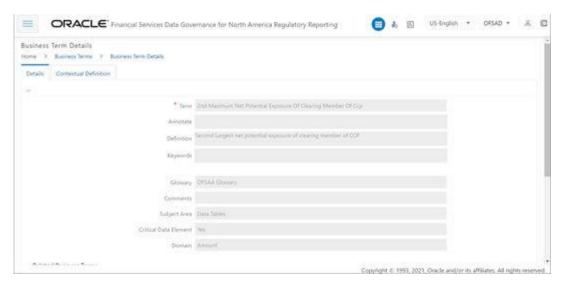
Table 4-3 Business Term Details

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



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



- In the Summary Table, you can search for a particular Business Term from the summary table.
- 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.

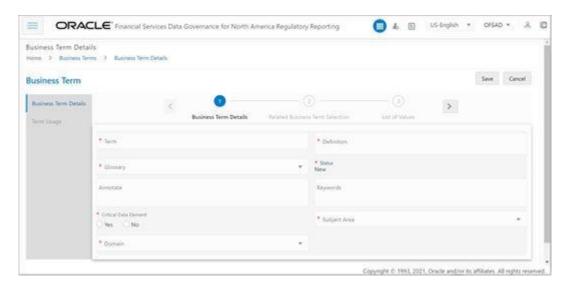


- You must have Business Term Creator or Business Term Owner rights to create a business term.
- Justification entered during rejection is not displayed in draft status.

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



- 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



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

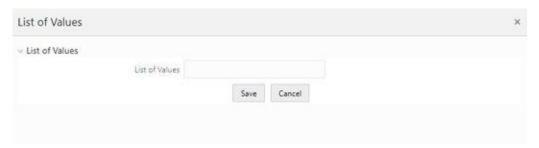
This process involves mapping a term from one glossary to another glossary. Terms in one glossary are mapped to similar or related terms in another glossary to achieve consistency and standardization. While organizations use their terminology, they need to map their terminologies to industry-standard terminologies. This ensures completeness and consistency in communication with external parties and regulators.

- 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



- **8.** Additionally, in the **Business Term** summary window, click the **Edit** icon to review and update the fields.
- Click **OK**.
 The Business Term is created and the state changes from Draft to Pending Approval.
- To edit an existing Business Term, select a row in the Business Term summary window and click Edit.
- 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.



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

To add a Usage Term, follow these steps:

- 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.
- Click Add. The Business Term page is displayed. The status of the Business Term is New.
- Enter the Business Term Details and click Save. The Term Usage section is now enabled.
- Click the Term Usage tab.
- 5. In the **Usage Term** sub-section, click the **Link** icon.

Figure 4-8 Usage Term



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.

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:

 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.

(i) 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

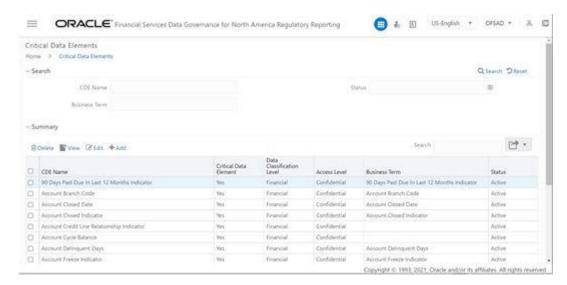
Role Code	Role Name
CDEADDR	CDE Add Role
CDEAPPREJR	CDE Approve Reject Role
CDEDELETER	CDE Delete Role
CDEEDITR	CDE Edit Role
CDEVIEWR	Critical Data Elements

5.1 Viewing Critical Data Elements

To view a Critical Data Element, follow these steps:

 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

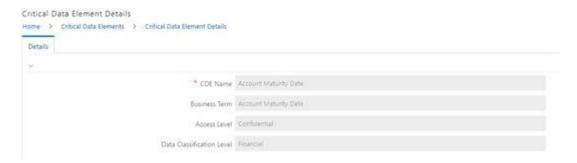


- 2. In the Search section, enter the search details and click **Search** to view the results in the Summary Table.
- 3. Enter the required CDE Name.
- Select the Status from the drop-down list. The status can be Draft, Pending Approval, or Active.
- 5. Enter the Business Term.
- 6. To view a CDE, select 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

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

Figure 5-2 Critical Data Elements Details



- 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.
- 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.

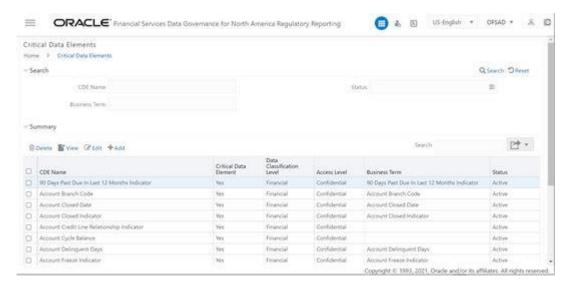
(i) Note

- 1. You must have CDE Creator rights to create a CDE.
- 2. You can only create a CDE that are in the Draft status.
- 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**.

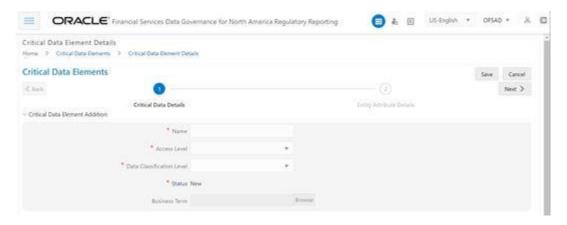
Figure 5-3 Critical Data Elements Summary



2. Click the Add icon.

The Critical Data Element section is displayed.

Figure 5-4 Critical Data Elements Details



3. Enter the data in the available fields.

Table 5-4 Critical Data Elements Details

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

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



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

- Click Save and then click Next.
- In the Entity Attribute Details section:

Figure 5-5 Entity Attribute Details Addition



- a. Click Add. The Entity Attribute Details Addition window is displayed.
- b. Enter the CDE Name.
- c. Click Browse, to select the Entity Name from the Entity Hierarchy Browser and select the Attribute Name from the Attribute Hierarchy Browser.
- d. Click Save.
- Additionally, click Edit to review and update the fields and then click Submit and then click OK.

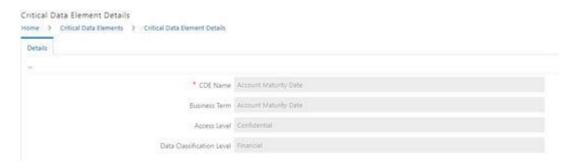
5.3 Approving or Rejecting a CDE

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

To approve a CDE, follow these steps:

 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



- 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.
- Click either Approve or Reject.
 A confirmation message is displayed, confirming that the update operation was successful.



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:

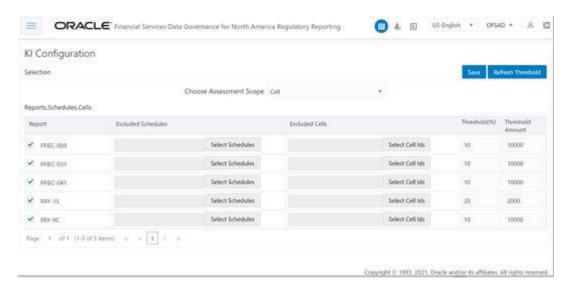


By default, all the reports are included.

 From Financial Services Data Governance for North America Regulatory Reporting window navigate to Administration and select Key Indicator Assessment Configuration.

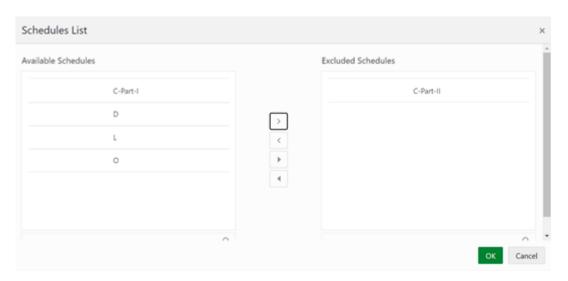
The Key Indicator Assessment Configuration window is displayed.

Figure 6-1 Key Indicator Assessment Configuration



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

Figure 6-2 Schedule List



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

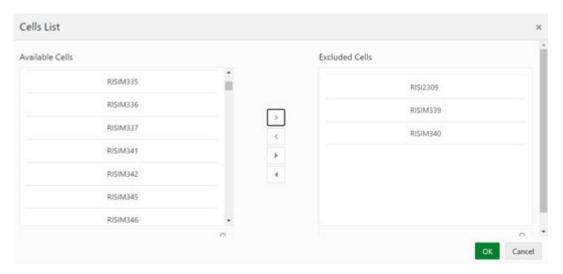


The excluded schedules appear in the **Excluded Schedules** section.

5. Click **OK**.

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

Figure 6-3 Cell List



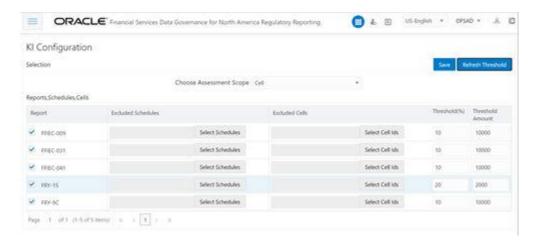
In the Cells List window, in the Available Cells section, select the available cells that you want to exclude and then click the Move Schedule icon.



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



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:

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

Validations

- The sum of the weights of all parameters must not be greater than 100.
- The value in the Threshold field must not exceed 100.

The parameters can be defined as Inference Based/Fact-Based.

8 Key Indicator Threshold

The Key Indicator Threshold Feature allows the user to define the Alert Threshold Percentage Value for individual MDRMs.

The MDRM Alert Threshold Value is used to compare with the Variance Breach Percentage Value to classify the MDRM is breached or not.

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

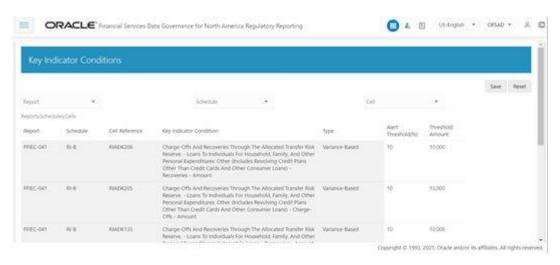
Role Code	Role Name
KITHRSLD	KI Threshold Config Role
DGADMINR	DG Administration

8.1 Configuring Key Indicator Threshold

To Control the Assessment Parameters, follow these steps:

 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





- 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.



(i) 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:

 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



- 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:
 - 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:
 - 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.

(i) 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.



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.



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
٠	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

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	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 =

[[DQ1 Error * Parameter Weight] + [DQ1 Warning * Parameter Weight] + [DQ1 Info * Parameter Weight] + [DQ1 Defaults * Parameter Weight] * DQ1 weight] + [[DQn Error * Parameter Weight] + [DQn Warning * Parameter Weight] + [DQn Info * Parameter Weight] + [DQn Defaults * Parameter Weight] * DQn weight]] / 100

Step 3:

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

Total Control Score = 100 minus (Cumulative Control Score)

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

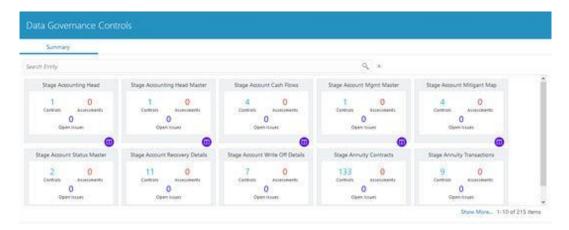
10.5 Viewing Controls

To view the controls, follow these steps:

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

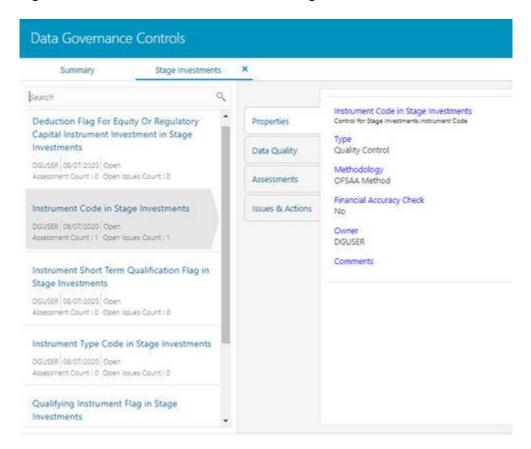
The Control summary window is displayed. After you execute the batch DGS_DQ_CTL_BATCH, the Control summary window displays the stage tables for which the controls are defined. It also displays the assessments and open issues if any.

Figure 10-2 Data Governance Controls



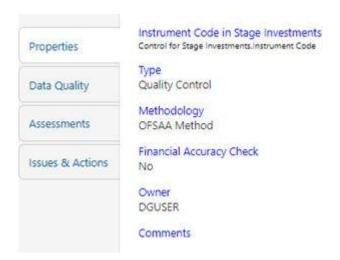
Select a stage table and then click the View Controls icon to view the details.
 For example, the stage table "Stage Investment" and control "Instrument Code in Stage Investments" is selected here.

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.

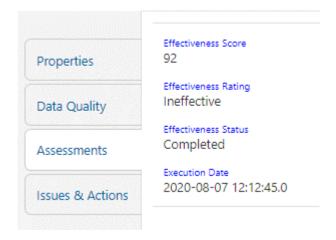
Figure 10-5 Data Governance Controls – Data Quality



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



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.
- Click Issues & Actions to view the system-generated issues created for control. To edit a system-generated issue, see section <u>Editing an Issue</u>.

Figure 10-7 Data Governance Controls – Issues & Actions



10.6 Editing an Issue

To edit an issue, follow these steps:

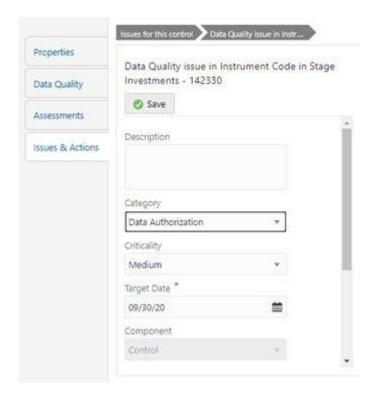
- From Financial Services Data Governance for North America Regulatory Reporting window navigate to Controls.
- 2. Select a stage table and then click **View Controls** to view the details.
- 3. Click Issues & Actions. The system-generated issues for this control are displayed.

Figure 10-8 Data Governance Controls – Issues & Actions



4. Click the required issue to edit.

Figure 10-9 Data Governance Controls – Issues & Actions



- 5. Enter the Description.
- Select the Category from the drop-down list:
 - Data Authorization
 - Data Privacy
 - Data Security
 - Data Accuracy
 - Data Availability
- 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:

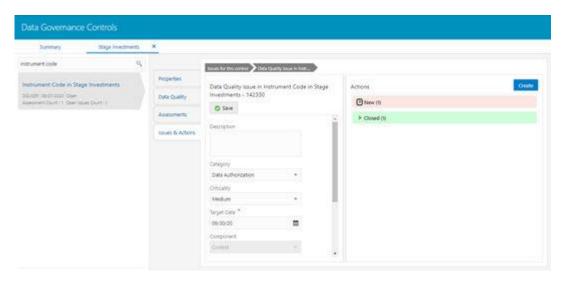
- 1. From the Financial Services Data Governance Studio window, navigate to **Controls**.
- 2. Select a stage table and then click the **View Controls** icon to view the details.
- 3. Click Issues & Actions. The Issues for this control is displayed with the details.

Figure 10-10 Data Governance Controls – Issues & Actions



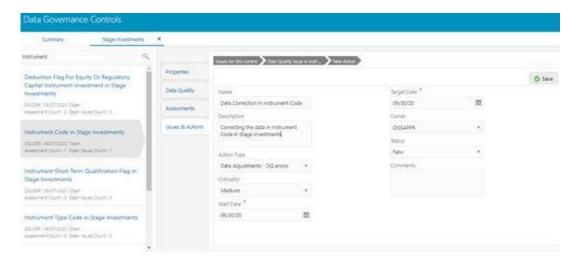
4. Click the required issue. The Actions pane is displayed.

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



- Enter the Name and Description.
- 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
- 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
- Enter Comments if any and click Save. A confirmation message is displayed: Action saved successfully. This creates an action for the particular issue.



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 <u>Data Adjustments</u> 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



(i) 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.

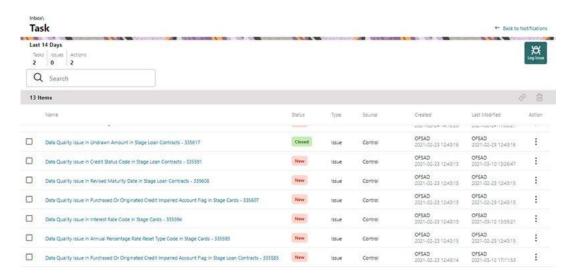
Figure 11-1 Inbox - Notifications



- 2. Click **View** to re-open or close an issue.
- 3. Click Go to Tasks.

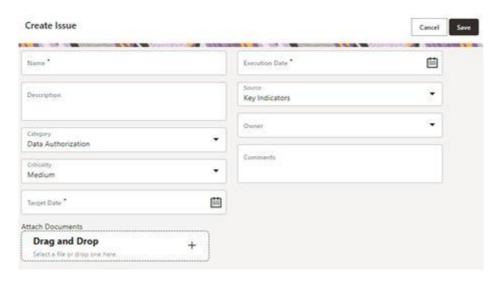
The Inbox – Task window is displayed with the list of tasks, issues, and actions.

Figure 11-2 Inbox Summary



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

Figure 11-3 Create Issue



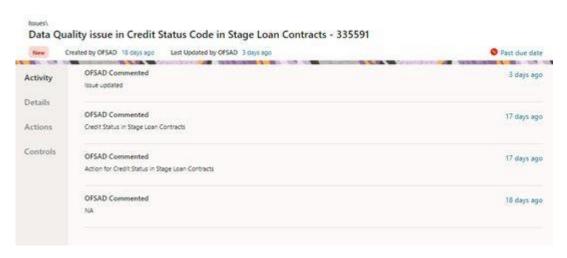
- Enter Issue Name and Description.
- 6. Select the Category from the drop-down list:
 - a. Data Authorization
 - b. Data Privacy
 - c. Data Security
 - d. Data Accuracy
 - e. Data Availability
 - f. Timeliness
- Select the Criticality:
 - a. High
 - b. Medium
 - c. Low
- 8. Choose the **Target Date** 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.

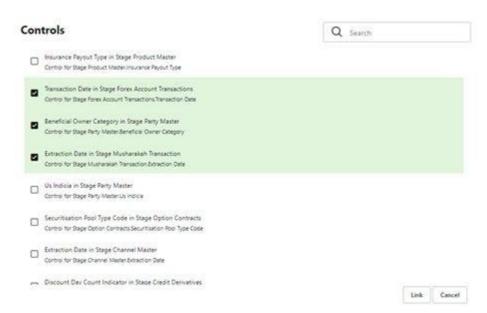
The following window is displayed.

Figure 11-4 Issues



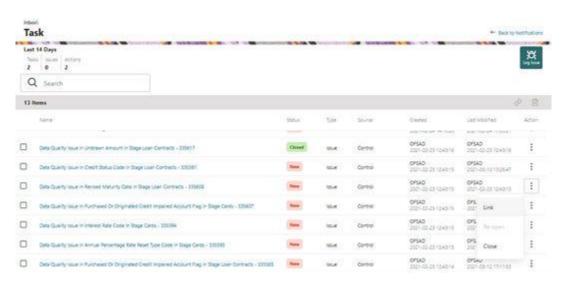
- 16. Click Activity. Any comment that gets logged for an issue is displayed here.
- 17. Click **Details**. See section Editing an Issue for information.
- 18. Click Actions. See section Creating an Action for information.
- 19. Click Controls. You can create an action for an existing issue.
- 20. Select 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



24. If an Issue is in:

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

(i) 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:

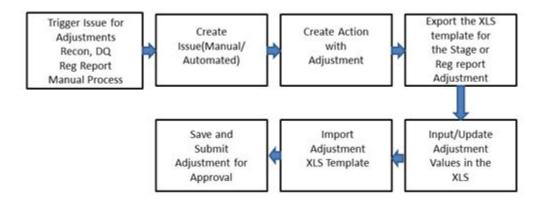
- a. New state, you can close an action.
- b. Closed state, you can close the action.
- **c. Re-open** state, you can re-open an action.

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:

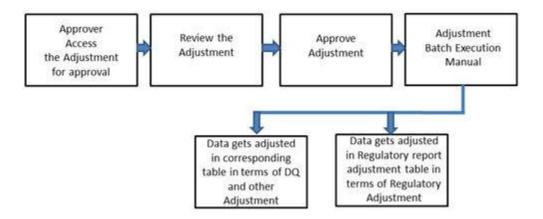
Figure 12-1 For an Adjustment Creator



- 1. The issue is triggered for adjustments.
- 2. An issue is created.
- An action is created with the adjustment.
- 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.
- 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



- 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.
- 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 Infodom. When a predefined Reconciliation rule fails, a system-generated issue is created. After the issue is updated, you can create an action.
 - Data Adjustment Others: These adjustments are set for known data issues for a set period than for scheduled executions or checks. An example of this scenario: a legacy source system that is unable to perform a transformation required by OFSAA due to

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

- Data Adjustments Regulatory Reporting: You can set the adjustments to perform at the level of a reporting attribute than within the staging area. This adjustment enables you to create last-mile data corrections at the MDRM level.
 - Others: This is used for any other online or offline action that is to be performed to resolve a specific issue. These actions are created to maintain and track all efforts made to resolve an issue. They enable you to follow an issue to its closure, for reporting purposes, etc. This action type has no impact on adjustments.

(i) 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

(i) 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).



(i) 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 subfolders 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



(i) 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.

(i) Note

If you have selected the Action Type as Others, then the Adjustments section does not appear.

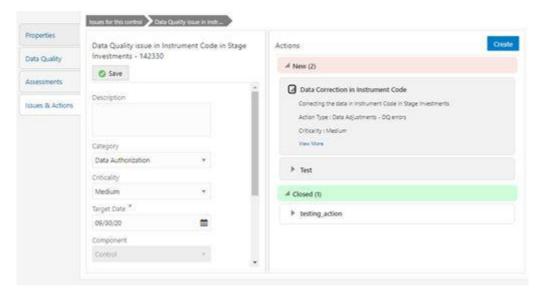
To create a Data Adjustment, follow these steps:

- 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.
- In the Issues for this control, click the required system-generated Issue ID. The Actions section is displayed.

Figure 12-3 Issues & Actions

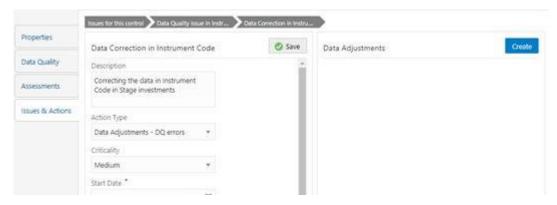


In the Actions, select the required issue to View More details.
 The Data Adjustments section is displayed.



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

Figure 12-5 Issues & Actions



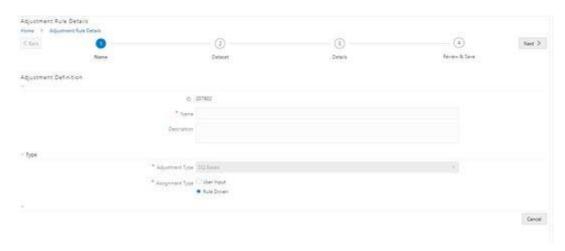
- 9. Depending on the type of adjustment, create a data adjustment. For details see, sections:
 - Create a Data Adjustment DQ Errors based Data Adjustment.
 - · Create a Data Adjustment Business based Adjustment.
 - Create a Data Adjustment Regulatory Reporting based Adjustment.

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.
- 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



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



You can ignore the Lookup section.

f. Enter values in the following fields:

Table 12-3 Add Expression Fields

Field	Description
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.

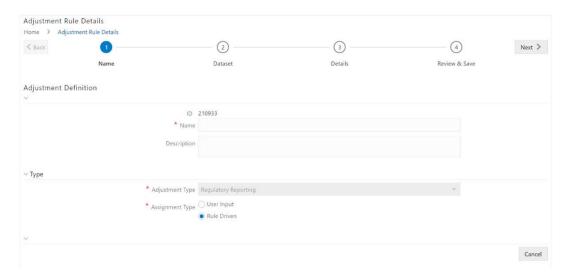
The Data Adjustment for the action is created.

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.
- 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



- 4. Select the Assignment Type as either User Input or Rule Driven.
- 5. For User Input:

- 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.
- 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.
- 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.



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.
- 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:



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.
- 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



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.
- 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.
- Click Import.
- m. In the Manual Data section, in the Id column, select the required ID.
- Click Submit if you want to send the Data Adjustment for approval or click Save.

6. For Rule Driven:

- 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**.

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

12.4.3.1 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:

- To export (download from the application) a record from the User Input type Data Adjustment, click Export.
- In the Export window, select the MIS Date for which you are downloading the record to make the data corrections.
- 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**.
- 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.

12.4.3.2 Save and Submit a Data Adjustment

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

- 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.
- 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**.
- 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**.

12.4.3.3 View the Pre and Post Adjusted Data

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

- 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.
- Select a Control that has open Issues from the LHS Menu and then select the Control.
- Click Issues & Actions.

The Issues Summary window is displayed.

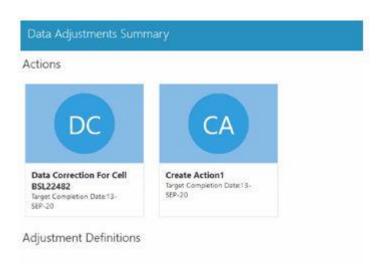
Figure 12-9 Issue Summary



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

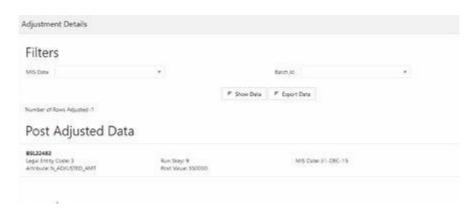


6. Click the required Action.

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



(i) 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:

- Log in to the application as the Action Owner (Data Adjustment Creator).
- 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.
- Select a Control that has open Issues from the LHS Menu and then select the Control.
- Click Issues & Actions.
- In the Issues for this control, click the required system-generated Issue ID. The Actions section is displayed.
- In the Actions section, in the ID column, click the required Action ID.
- In the Action Details page, in the Adjustments section, select the required Data Adjustment which is in the Pending Approval state.
- 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).
- 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.
- Click Issues & Actions.
- 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.
- In the Adjustment Rule Details page, in the Review & Save tab, make the required changes.
- 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.
- 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.



Only an issue owner can trigger the adjustment batch.

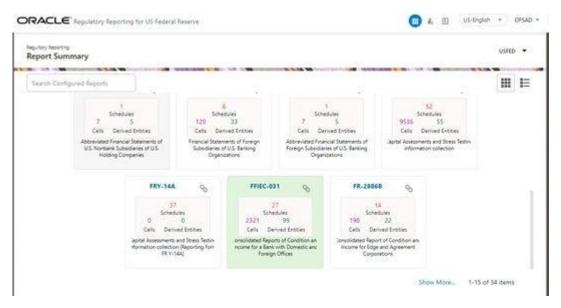
12.7.1 Regulatory Adjustments

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

 From Regulatory Reporting for US Federal Reserve window, select Metadata Management and then select Reports.

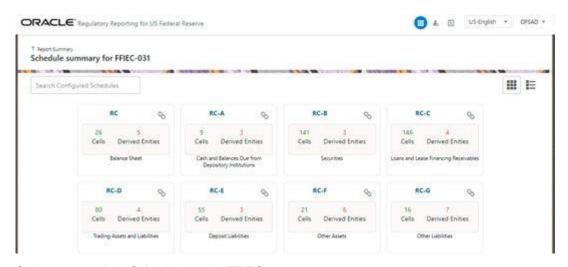
The Regulatory Reporting Report Summary window is displayed.

Figure 12-12 Regulatory Reporting Report Summary



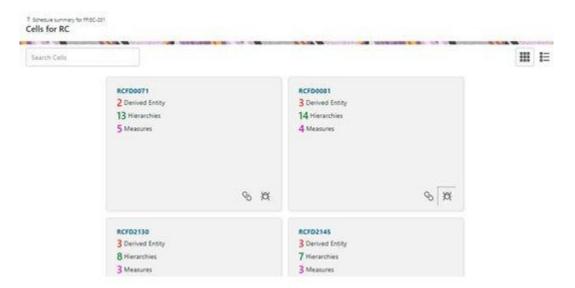
Select the required report. For example, here FFIEC-031 report is selected. The Schedule summary for FFIEC-031 window is displayed.

Figure 12-13 Schedule summary for FFIEC-031



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

Figure 12-14 Cells for RC



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

Figure 12-15 Issues Summary



- 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.
- Click the Calendar icon to select the MISDATE for execution.
- Click the Legal Entity icon to select the Legal Entity Code from the list of hierarchy.



- 8. Select the RunSkey from the drop-down list.
- 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.

- 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.



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

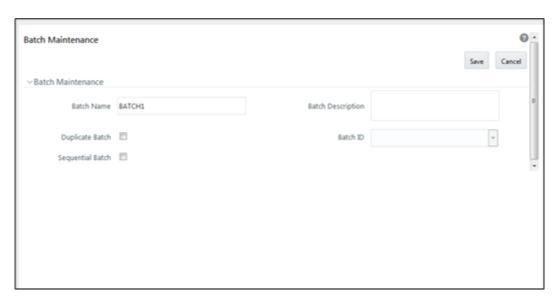
To create a new Batch, follow these steps:

(i) 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 12-16 Batch Maintenance



- 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.
- In the Task Definition window In the Components drop-down box, select the RUN EXECUTABLE value.
- The values are automatically generated for the Datastore Type, Datastore Name, and IP Address fields.
- In the Executable field, enter the value DataAdjustment.sh, <ISSUE NAME>, <USER>,
 <RUNSKEY>, <LEGAL ENTITY>.

(i) 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.

(i) Note

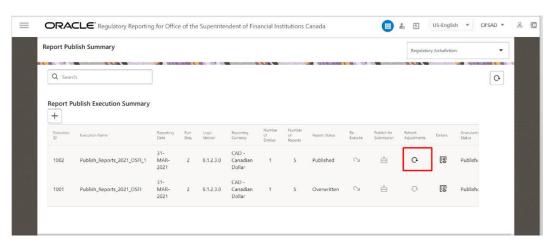
Before executing the Adjustment batch, ensure that all the adjustments are approved. None of them should be in draft state. Also, ensure that the Batch Execution is before the target date of corresponding issue and action.

12.9 Refresh Adjustments

To refresh the adjustments, follow these steps:

- 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.



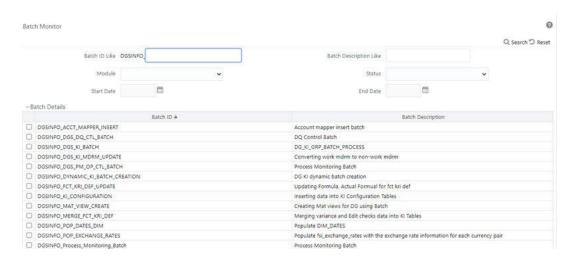


12.10 Monitoring the Data Adjustment Batch through the Batch Monitor Pane

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

- 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 12-18 Batch Monitor



- 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.
- 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.



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

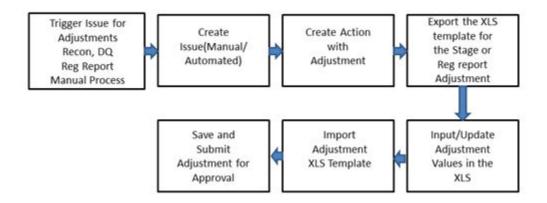
13 Data Adjustments from Inbox

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:

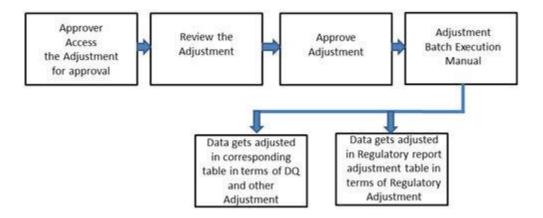
Figure 13-1 Data Adjustment Process



- 1. The issue is triggered for adjustments.
- 2. An issue is created.
- 3. An action is created with the adjustment.
- 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.
- The adjustment is saved and submitted for approval to the Data Adjustment Approver.

For an Adjustment Approver:

Figure 13-2 Data Adjustment Process



- 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.
- 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 Infodom.
 When a predefined Reconciliation rule fails, a system-generated issue is created. After the
 issue is updated, you can create an action.
- Data Adjustment Others: These adjustments are set for known data issues for a set period than for scheduled executions or checks. An example of this scenario: a legacy source system that is unable to perform a transformation required by OFSAA due to cost

or any other reasons. It is easier to adjust the data within OFSAA rather than in the source system.

- Data Adjustments Regulatory Reporting: You can set the adjustments to perform at the level of a reporting attribute than within the staging area. This adjustment enables you to create last-mile data corrections at the MDRM level.
- Others: This is used for any other online or offline action that is to be performed to resolve
 a specific issue. These actions are created to maintain and track all efforts made to resolve
 an issue. They enable you to follow an issue to its closure, for reporting purposes, etc. This
 action type has no impact on adjustments.

(i) 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

(i) 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 Assigned to the Issue Owner. the system.	
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).

(i) 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.

(i) 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 <u>Creating an</u>
 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



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.

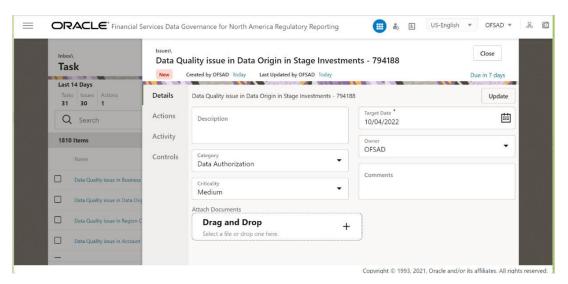
(i) Note

If you have selected the Action Type as Others, then the Adjustments section does not appear.

To create a Data Adjustment, follow these steps:

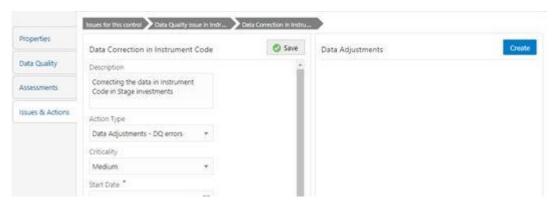
- 1. Log in to the application as the Action Owner (Data Adjustment Creator).
- From Financial Services Data Governance for North America Regulatory Reporting window navigate to Inbox.
- 3. Click Go to Tasks.
- 4. Select the **Issue** or click on the Issue hyperlink.

Figure 13-3 Issue Details



- 5. Click the **Actions** tab and if an action is already present, then click **View More**.
- 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



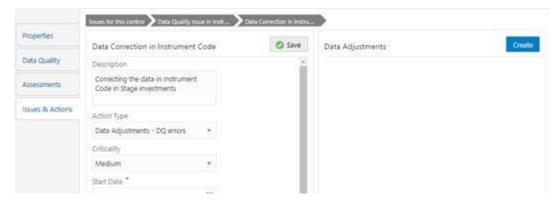
- 7. Depending on the type of adjustment, create a data adjustment. For details see, sections:
 - Create a Data Adjustment DQ Errors based Data Adjustment.
 - Create a Data Adjustment Business based Adjustment.
 - · Create a Data Adjustment Regulatory Reporting based Adjustment.

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.
- 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



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



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.

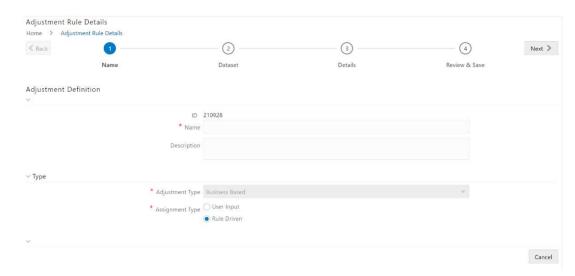
The Data Adjustment for the action is created.

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.
- 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



- 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.
- I. 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:
 - 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.



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.
- 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:

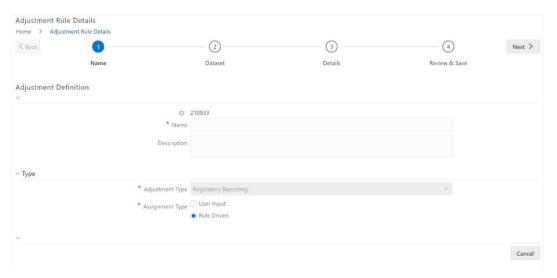


(i) Note

You can create a data adjustment for a regulatory reporting-based adjustment, only if the actions are in a new status.

- From the Issues & Actions page, under an action created, click View More.
- In the Data Adjustment page, click Create. The Adjustments Rule Details window is displayed.
- In the Adjustment Rule Details window, enter values in the Name and Description fields.

Figure 13-7 Adjustment Rule Details



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

5. For User Input:

- a. In the Select Report section, in the Report and Schedule drop-downs, select the required report and schedule.
- b. Click Next.
- c. In the Data Update section, select Add Line Item.
- d. In the Add Line Item window, in the Line Item drop-down, select a value, and then click OK.
- 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.
- Save the Excel file to your system.
- 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.
- Click Import.
- m. In the Manual Data section, in the Id column, select the required ID.
- Click Submit if you want to send the Data Adjustment for approval or click Save.

6. For Rule Driven:

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

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:

- To export (download from the application) a record from the User Input type Data Adjustment, click Export.
- In the Export window, select the MIS Date for which you are downloading the record to make the data corrections.
- 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**.
- 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:

- 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.
- 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

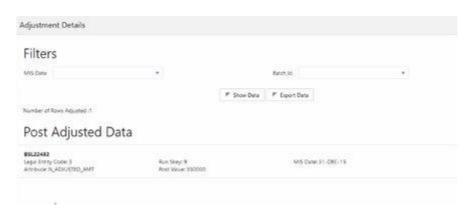


Click the required Action.

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



(i) 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:

- Log in to the application as the Action Owner (Data Adjustment Creator).
- From Financial Services Data Governance for North America Regulatory Reporting window, navigate to Controls.
- Select a stage table and then click View Controls to view the details.
- Select a Control that has open Issues from the LHS Menu and then select the Control.
- 5. Click Issues & Actions.
- 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**.
- In the Action Details page In the Adjustments section, select the required Data Adjustment which is in the Pending Approval state.
- To open this Data Adjustment details, click View.
- 10. In the Adjustment Rule Details window, click the Review & Save tab.
- 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).
- From Financial Services Data Governance for North America Regulatory Reporting window navigate to Controls.
- 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.
- 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.
- 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:

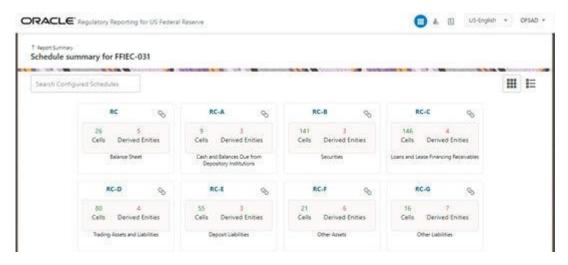
 From Regulatory Reporting for US Federal Reserve window, select Metadata Management and then select Reports.
 The Regulatory Reporting Report Summary window is displayed.

Figure 13-11 Regulatory Reporting Report Summary



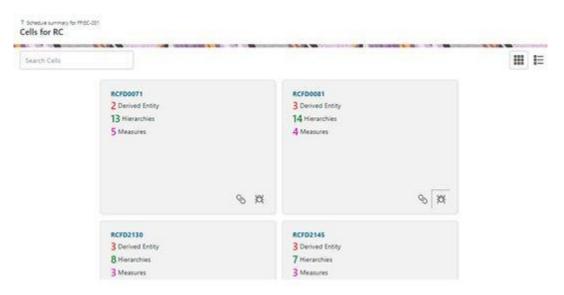
Select the required report. For example, here FFIEC-031 report is selected. The Schedule summary for FFIEC-031 window is displayed.

Figure 13-12 Schedule summary for FFIEC-031



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

Figure 13-13 Cells for RC

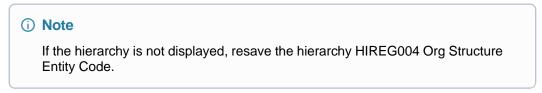


Click Issue icon to view the issue. The system-generated issues for this Key Indicator Condition are displayed.

Figure 13-14 Issues Summary



- 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.
- Click the Legal Entity icon to select the Legal Entity Code from the list of hierarchy.



- 8. Select the RunSkey from the drop-down list.
- 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.
- Click the Legal Entity icon to select the Legal Entity Code from the list of hierarchy.

(i) Note

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

- 8. Select the RunSkey from the drop-down list.
- 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:

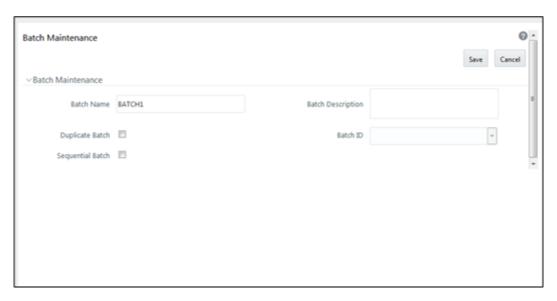


(i) Note

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

Figure 13-15 Batch Maintenance



- 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.
- In the Task Definition window In the Components dropdown box, select the RUN EXECUTABLE value.
- The values are automatically generated for the Datastore Type, Datastore Name, and IP Address fields.
- 8. In the Executable field, enter the value **DataAdjustment.sh**, <ISSUE NAME>, <USER>, <RUNSKEY>, <LEGAL ENTITY>.

(i) 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.

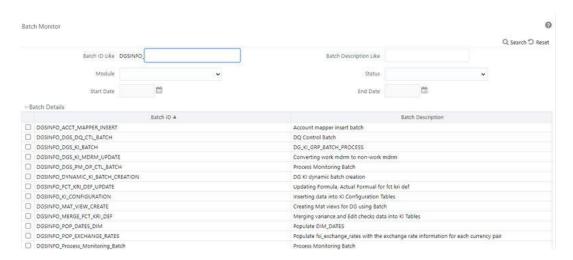
A new Task for the new Batch is created. You can run this Batch in the Batch Execution section.

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:

- 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



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



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

(i) 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.

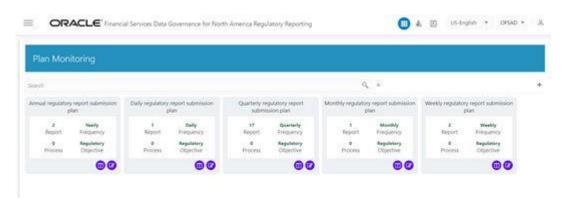
Data Governance for North America Regulatory Reporting facilitates the mapping of Tasks to Runs in the Plan section. Click the Run. This allows you to select the tasks. The Task Selection

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:

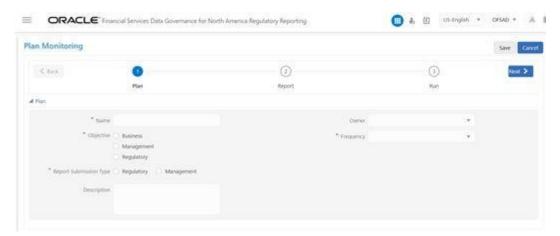
 From the Financial Services Data Governance for North America Regulatory Reporting window navigate to Plan Monitoring.

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

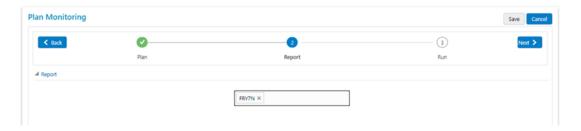
Fields	Description Fields marked in blue asterisk(*) are mandatory
Name*	Provide a short description of the plan.

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
	BusinessManagement
	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

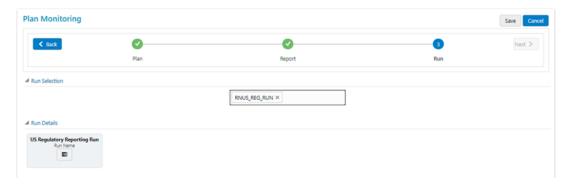
- 3. Click Next.
- 4. Select a **Report** from the drop-down. The reports displayed in the drop-down are the reports configured in the application.

Figure 14-3 Plan Monitoring



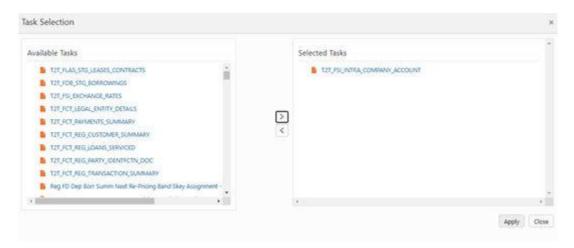
- 5. Click Next.
- Select the Run from the drop-down. The selected Run is displayed under Run Details.

Figure 14-4 Plan Monitoring



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

Figure 14-5 Task Selection



- 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.

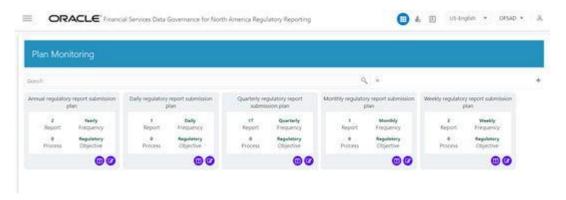
The newly created plan appears under the Plan Monitoring summary window. A confirmation message is displayed: Monitoring a Reporting Plan. After submission, the reporting plan is monitored for the completion of individual tasks.

14.2 Viewing and Editing a Reporting Plan

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

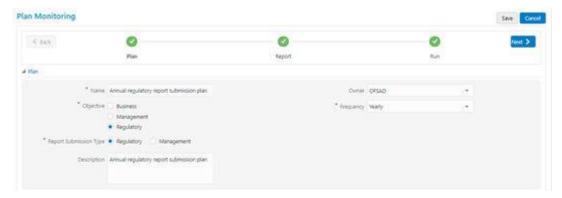
 From the Financial Services Data Governance for North America Regulatory Reporting window navigate to Plan Monitoring.

Figure 14-6 Plan Monitoring - View



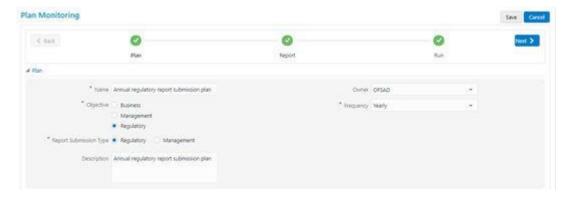
2. To view an already created Plan, in the **Plan Monitoring** summary window, click the **View** icon. The fields are not editable.

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.
- Click the Refresh Adjustments button to refresh the adjustments value for Cell or MDRM.

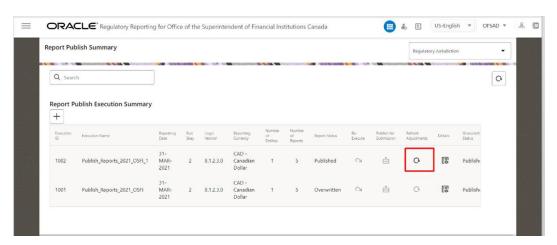


Figure 15-1 Report Publish Summary

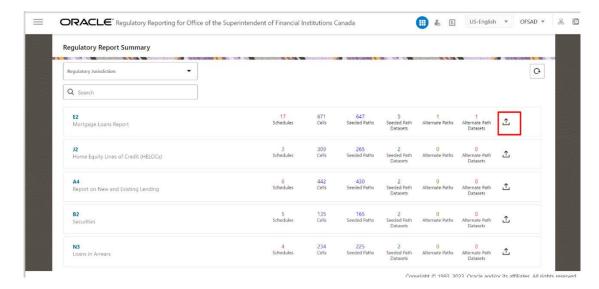
15.2 Deploy to DGS

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



16 Dashboards

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

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

16.1 Data Quality Dashboards

The Data Quality Rules for Dashboards must be executed through batches only and not through the DQ screen. For Data Quality refer to the OFS Data Governance Run Chart and execute the batch DGS_DQ_CTL_BATCH, Data Profile for the date on which the data quality check needs to be executed. Refer to the OFS Data Governance Run Chart for further details.

Based on the Data Quality check defined in the DQ framework of AAAI, the dashboard generates the reports. These are predefined values. The dashboard also generates the reports based on the check type the user wants to analyze the data with.

The Data Quality Dashboard homepage displays data based on selecting the desired Date and the following list of drop-downs:

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

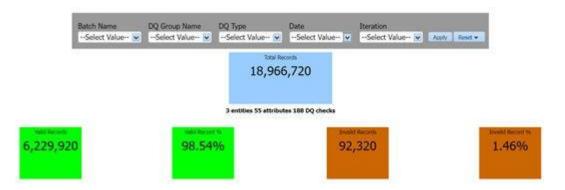
Click **Apply** to generate the reports.

Click Reset to reset the values.

The first grid displays the following data:

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

Figure 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

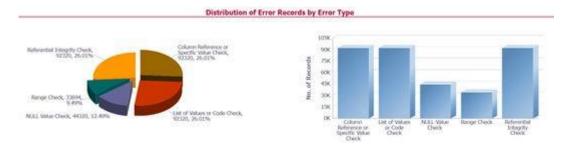
Figure 16-6 Trend of Data Buckets



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

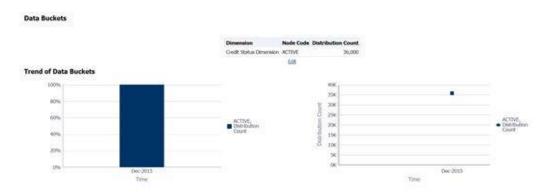
- Outliers Less than 2x mean
- * Total Row Count

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

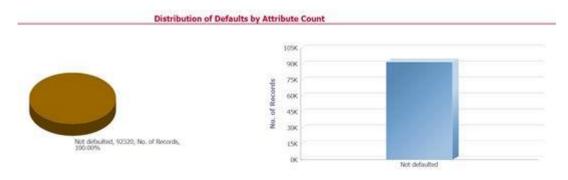


- Trend of Data Bucket: Graphical representation of the Distribution Count and Node
 Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
 - Bar Graph
 - Line Graph

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:

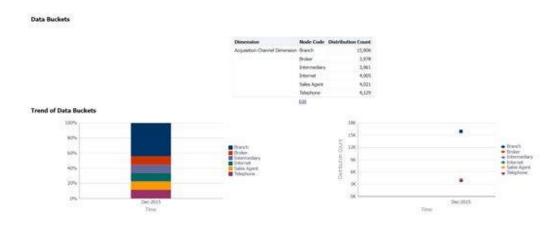
- Data Profile: It displays two analyses:
 - Data Profile: A tabular representation of the following data based on Entity-Attribute Name:
 - Count Distinct values
 - Count Null Values
 - * Max Value
 - Mean Value
 - Minimum Value
 - * Outliers Greater than 2x mean
 - * Outliers Less than 2x mean □Total 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 <u>OFS Data Governance Run Chart</u> for more details.



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_CONTRAC TS	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

(i) 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



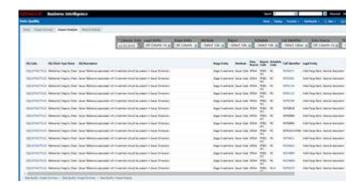
Or, click the DQ Code under Data Quality Impact Detail to view the Impact Analysis.

Figure 16-14 Data Quality Impact Detail



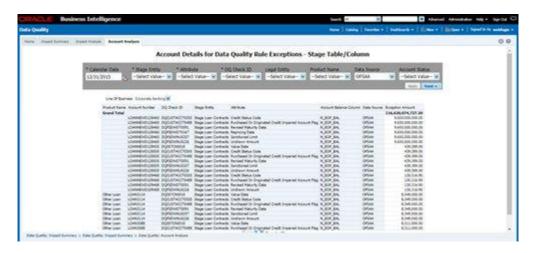
Impact Analysis - Summary Drill-Down Report: For the Stage, Table selected the DQ Codes, Cell Identifiers, Legal Entity, DQ details, Threshold Breach, Impacted Exception Amount, Final Cell value, and Impacted Cell Value are displayed.

Figure 16-15 Impact Analysis



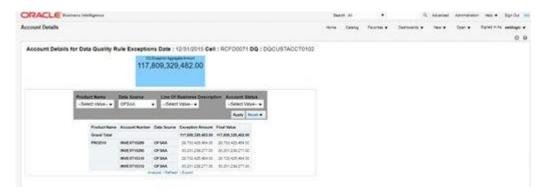
Account Analysis Drill-Down Report: Click the DQ Code link in Impact Analysis to view the Account Analysis Report. This report displays the Account Number associated and the Exception Amount for the Account Balance based on the Data Source.

Figure 16-16 Account Analysis



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

Figure 16-17 Account Details



16.2 Controls Dashboard

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

Refer to the OFS Data Governance Run Chart for further details.

This section displays two dashboard pages:

- Summary
- Controls by Regulatory Reports

16.2.1 Summary

Select the date to generate the dashboard reports.

The following are the types of Controls that appear as the Performance Tiles in the Controls module:

- Total Controls: Provides the number of total controls present in the system.
- Quality Control: Provides the number of Quality controls present in the system.
- Operational Control: Provides the number of operational controls present in the system.
- Ineffective Controls: Provides the number of ineffective controls present in the system.
- **Issues**: Provides the number of issues present in the system.
- **Action**: Provides the number of actions present in the system.



Figure 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

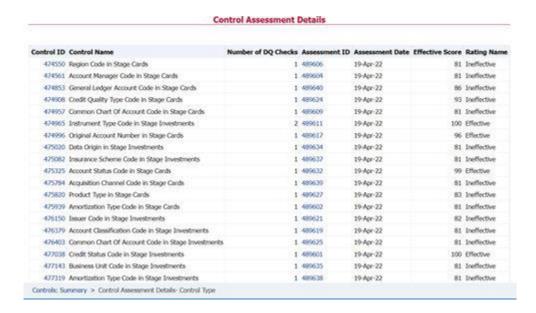
Figure 16-19 Quality Controls by Rating



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



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

Figure 16-21 Control Parameter Score



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**.
- 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



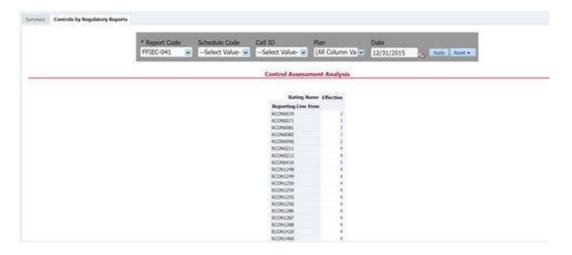
16.2.2 Controls by Regulatory Reports

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



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.



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.

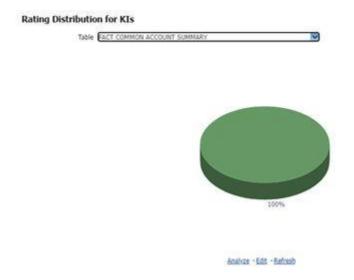
Figure 16-25 Key Indicators



These are the KI Summary dashboard sections:

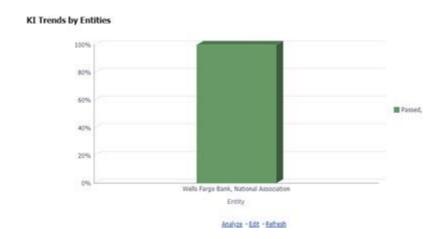
 Rating Distribution for KIs: Displays the latest rating distribution for the assessed Key Indicators.

Figure 16-26 Rating Distribution for Kls



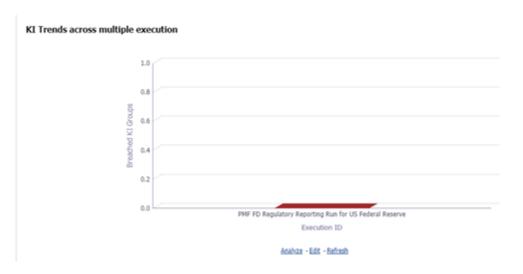
 KI Trends by Entities: Displays the trend of the latest entities for the assessed Key Indicators.

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



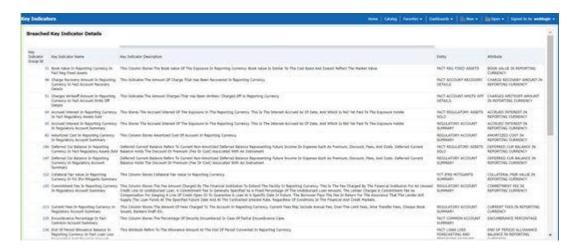
16.3.1.1 Viewing Key Indicator Details

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



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



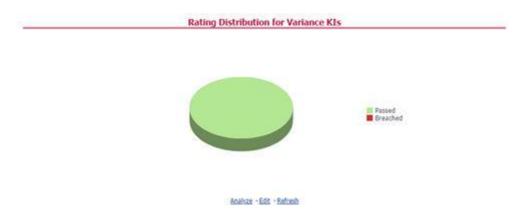
16.3.1.2 Viewing Key Indicator Conditions Details

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 Kls



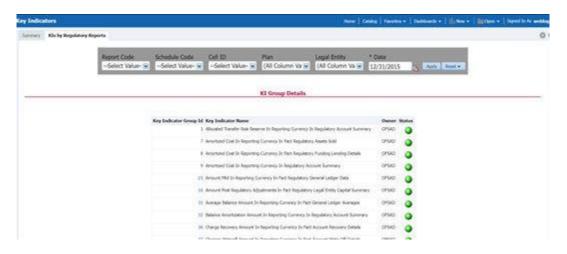
16.3.2 KIs by Regulatory Reports

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.

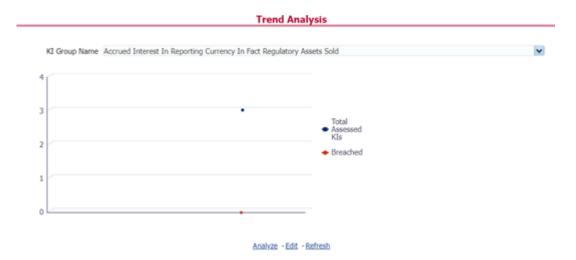
Figure 16-34 KIs by Regulatory Reporting



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 Kl.
- Outstanding Issues: Displays the total number of open issues.

Regulatory Report Monitoring dashboard displays the following grids:

Figure 16-36 Regulatory Report Monitoring



- Plan Analysis by Report
- Issue and Action Tracking

16.4.1 Plan Analysis by Report

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

- 1. Select the Report Name from the drop-down to view the following data:
 - Report/Schedule Name: Displays the name of the report/schedule.
 - Total: Displays the number of reporting elements linked to a schedule.
 - No Errors: Displays the number of reporting elements without errors.
 - Variance Indicator Breach: Displays the number of reporting elements linked to the breached Variance Indicators.
 - KI Breach: Displays the number of reporting elements linked to the breached Value-Based Key Indicators.
 - Control Failure: Displays the number of reporting elements linked to failed controls.

Figure 16-37 Plan Analysis by Report



- Click Total associated with each schedule to display the Reporting Element drill-down Report. The following details appear:
 - Schedule: Displays the name of the schedule.
 - Cell Reference: Displays the reporting elements associated with the schedule.
 - Breached Variance KI: Displays if there are any Breached Variance KIs.
 - Breached Value-Based KI: Displays if there are any Breached Value-Based KIs.
 - Ineffective Control: Displays if there are any Ineffective Controls.

Figure 16-38 Regulatory Report Monitoring

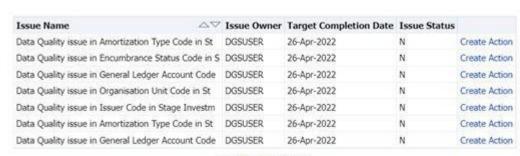


16.4.2 Create a New Issue

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

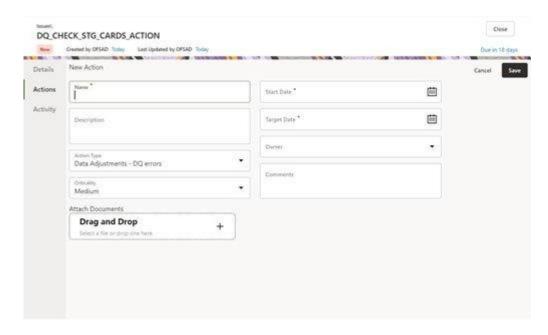


Analyze - Edit - Refresh

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



16.4.4 Data Origin Analysis

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

gulatory Reports Issues Data Origin Analysis * Calendar Date * Legal Entity * Report Code * Schedule Cell Identifier 12/31/2015 (All Column Va 🐷 --Select Value- W -- Select Valu 🔻 --Select Value- W Report Code Schedule Code Cell Identifier Cell line item Legal Entity GL Others FFIEC-031 RCFD0081 Wells Fargo Bank, National Association: 13,590,546,895.00 13,590,546,895.00 RC-1a FF1EC-031 RCFD2130 RC-8 Wells Fargo Bank, National Association 10,080.00 10,080.00 FF1EC-031 RCF02145 RC-6 Wells Fargo Bank, National Association 12,943.00 12,943.00 PFIEC-031 **RCFD3000** RC-27b Wells Fargo Bank, National Association 28,245.00 FF1EC-031 RCFD3123 RC-4c Wells Fargo Bank, National Association 99,372.00 909,957,292,935.07 909,957,392,307.07 FFIEC-031 RCFD3230 RC-24 Wells Fargo Bank, National Association 103,123.00 103,123.00 FFIEC-031 RCF03632 Wells Fargo Bank, National Association 66,484.00 RC-9 FF1EC-031 RCFD3656 Wells Fargo Bank, National Association 54,513.00 54,513.00 FFIEC-031 RCFD3838 RC-23 Wells Fargo Bank, National Association 91,832.00 91,832.00 ACFD3839 Wells Fargo Bank, National Association 52,176.00 PFIEC-031 RCF05369 90.4s Wells Fargo Bank, National Association 127,111,742,649,74 127,111,742,649.74 FF1EC-031 54,966.00 54,966.00 RCFDA130 RC-26c Wells Pargo Bank, National Association FFIEC-031 Wells Fargo Bank, National Association 128,318,024,792.67 128,318,024,792.67 22 699 00 FE1EC-031 **BCF08530** RC-26b Wells Fargo Bank, National Association 22,699.00 FFIEC-031 24,285,868,130.06 Wells Fargo Bank, National Association 24,285,868,130.06 RCFD8989 RC-3b RCFD8995 FF1EC-031 Wells Fargo Bank, National Association 30,976,799,701.55 30,976,799,701.55 FFIEC-031 RCFN6631 RC-13b1 Wells Fargo Bank, National Association 64,657,507,067,19 64,657,507,067,19 FFIEC-031 RCFN6636 RC-1362 Wells Fargo Bank, National Association 23,007,062,443.85 23,007,062,443.85 FFIEC-031 RCON6631 RC-13a1 Wells Fargo Bank, National Association 847,434.00 437,732,255,475.04 437,733,102,909.04 FFIEC-031 RC0N6636 RC-13a2 Wells Fargo Bank, National Association 206,422,782,242,20 206,422,782,242.20 Wells Fargo Bank, National Association 30.824.228.264.68 30,824,228,264.68 FFIEC-031 RCONB993 RC-14a Wells Fargo Bank, National Association 35,035,859,282.72 35,035,859,282.72

Figure 16-41 Data Origin Analysis

16.5 Variance Mapping Analysis 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.



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:

(i) Note

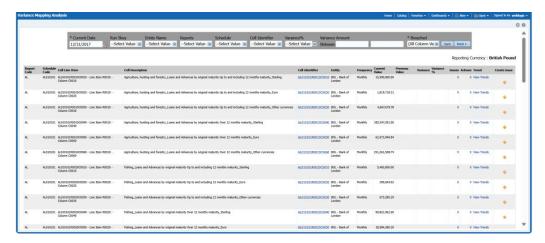
You must manually select the reports and then click Continue.

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.

Figure 16-42 Variance Mapping Analysis Dashboard



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

Figure 16-43 Variance Analysis – Issue Details



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

Figure 16-44 Variance Analysis – Action Details

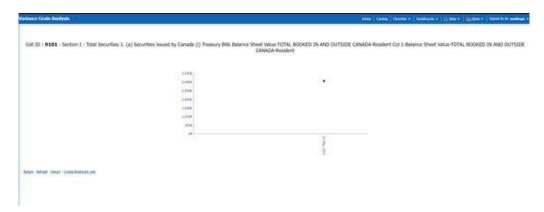


- Trend: Displays the graphical representation of the assessment across time. You can select between:
 - Trend for All Dates
 - Trend for Date Range



Trend graphs can be exported to PDF and Excel.

Figure 16-45 Trend

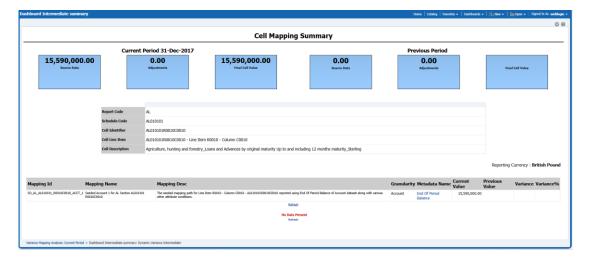


Create Issue: Create an issue from the dashboard itself against any cell irrespective
of whether it has been breached or not. This issue can be modified on the DG Issues
page. After you create an issue through this method, you can view the number of
created issues in the OBI Dashboard. For more information,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

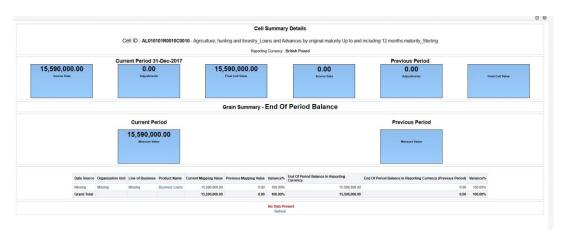
16.5.1.2 Drill Down Report

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



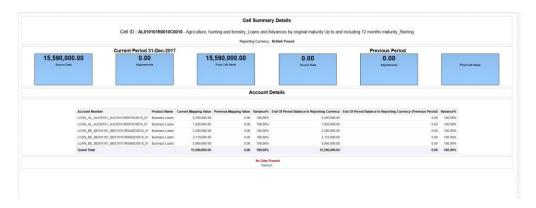
 The current and previous Period Values for the Source Data, adjustment, and Final Cell Value. The data in the final cell is a combination of the Source and Adjustment Data.



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.



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:



(i) Note

You must manually select the reports and then click Continue.

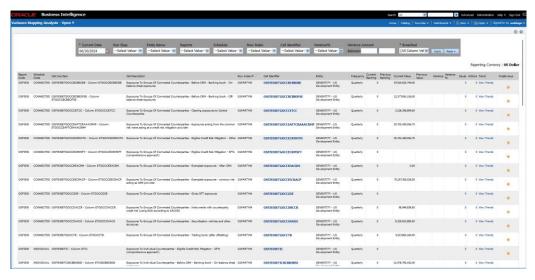
The Variance % is calculated with the following formula:

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.
- 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



• **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



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

Figure 16-51 Variance Analysis – Action Details



- Trend: Displays the graphical representation of the assessment across time. You can select between:
 - Trend for All Dates
 - Trend for Date Range

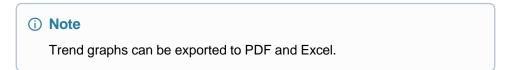
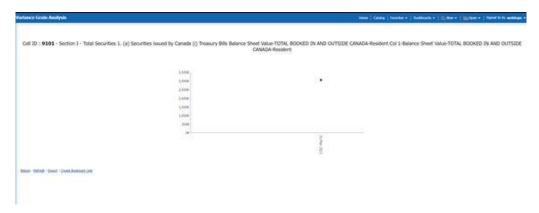


Figure 16-52 Trend

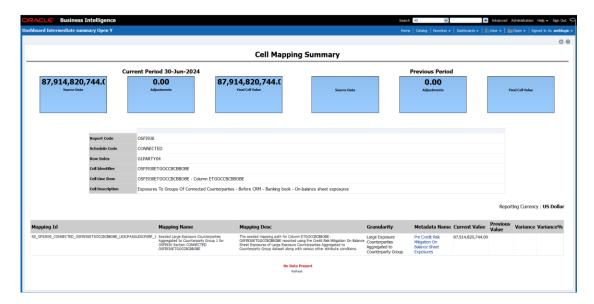


Create Issue: Create an issue from the dashboard itself against any cell irrespective
of whether it has been breached or not. This issue can be modified on the DG Issues
page. After you create an issue through this method, you can view the number of
created issues in the OBI Dashboard. For more information,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



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



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

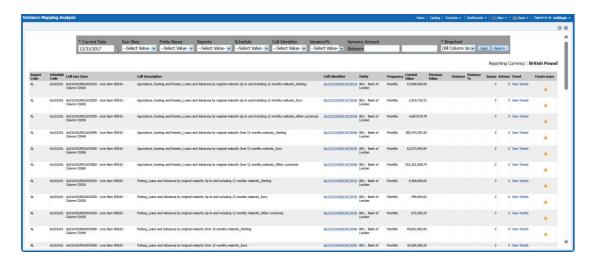
To create an issue through the Dashboards page, follow these steps:

(i) Note

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

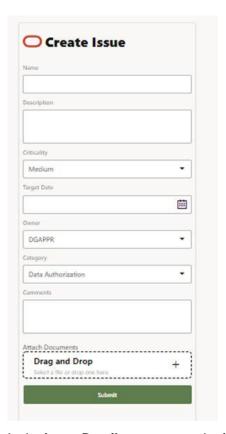
From the Dashboards, select **Variance Mapping Analysis/Variance Mapping Analysis Open Y**.

Figure 16-55 Variance Mapping Analysis



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

Figure 16-56 Create Issue



- 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:

- Log in to Agile Reporter with valid credentials.
- Click the Dashboard tab and then click the retrieved report link.
- 3. Under Pages, select any schedule.
- Click the cell value and then click OFSAA Current Analysis.
- This opens the Variance Analysis Summary Agile Reporter window with the details of the selected cell.

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

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:

- Log in to Agile Reporter with valid credentials.
- 2. Under Select Return, enter the required details and then click Create.
- 3. Under Cell Reference, click Name and then click OFSAA Variance Analysis.
- This opens the Variance Analysis Summary Agile Reporter window with the details of the selected cell.

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

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.

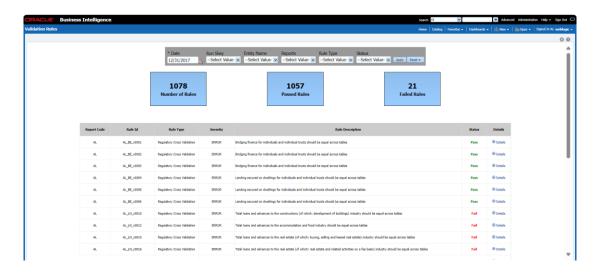
Click **Reset** to reset the values.

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



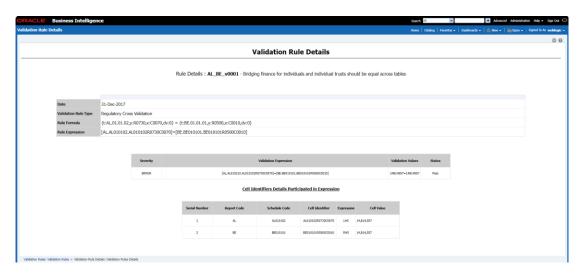
(i) Note

- 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

(i) 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:

- 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;

- 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.
 - From the LHS Menu, click Financial Services Data Foundation, and then click Metadata Browser.

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

ORACLE Metadata Browser OFSAD A Home - Dashboard 0 V Last Metadata Publish Q Successful 🕝 III 5 month(s) ago by OFSAD for DGSINFO 믥 C **Object To Application Mapping** Source Entity

Data Quality Rule ➤ Data Governance for North America Regulatory Reporting (0)

Figure 17-1 Metadata Browser

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

☐ Show common objects only

- 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;

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	Υ
2	USFED	FRY-9LP	Υ
3	USFED	FRY-11	Υ
4	USFED	FRY-11s	Υ
5	USFED	FR-2314	Υ
6	USFED	FR-2314s	Υ
7	USFED	FFIEC-031	Υ
8	USFED	FFIEC-041	Υ
9	USFED	FRY-7N	Υ
10	USFED	FRY-7NS	Υ

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< td=""><td>Processes Metadata Parsing.</td></batch<>	Processes Metadata Parsing.
	_Run_ID>	The message "Completed REISTER_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:

- 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.

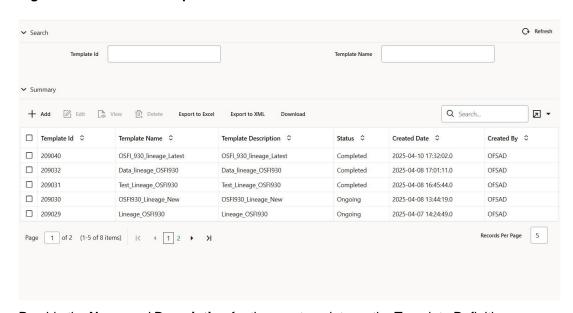
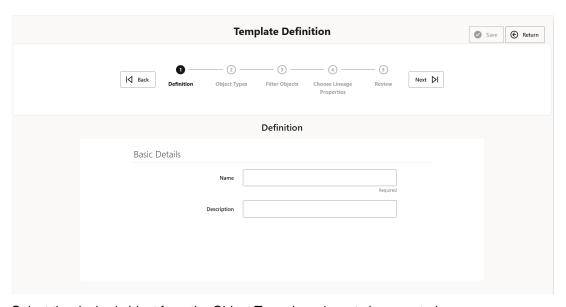


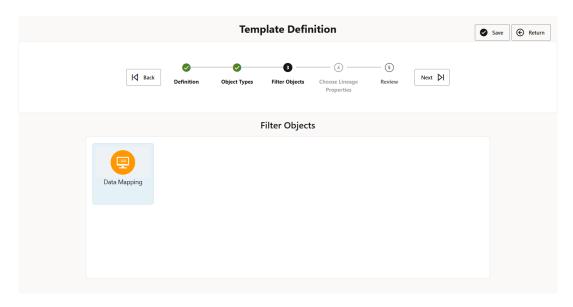
Figure 17-2 Metadata Report

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



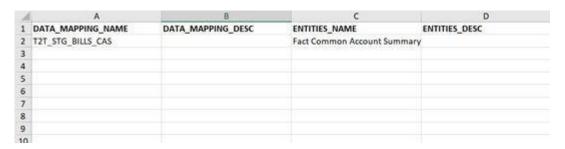
- 4. Select the desired object from the Object Type drop-down to be exported.
- 5. The individual report generates only the basic properties of the object selected, that is, name and description. The relational report generates detailed information up to the Entities level if Dependencies is chosen, 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.
- For Individual Report: In the Export Options, do not select **Dependencies** or **Data Lineage**.

Figure 17-4 Metadata Selection



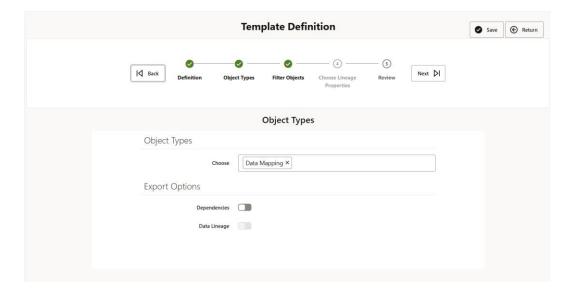
The exported sample report for Individual is as follows:

Figure 17-5 Exported Sample Report



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

Figure 17-6 Object Types



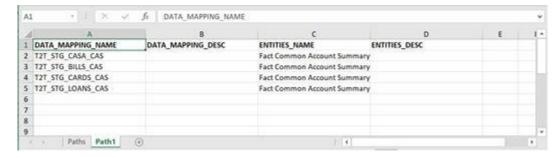
The exported sample report for Relational is as follows:

Figure 17-7 Exported Sample Report

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

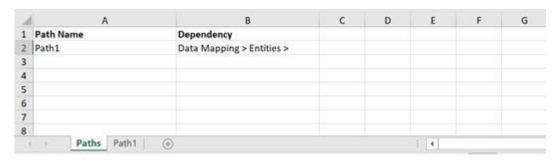
- 8. The first sheet shows the different Paths and their Dependencies up to the Entities level. Select the required Path sheet at the bottom to view the dependencies. Each path tells how the dependency/usage is derived from dashboard to entity or vice versa involving various OFSAA object types like Derived 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



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

Figure 17-9 Exported Sample Report



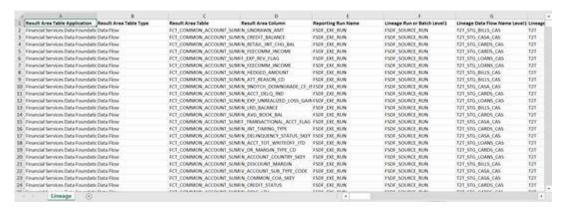
13. Select Data Lineage in Template Definition, and then Choose Object Type to export the lineage details up to the Staging Columns level.



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".

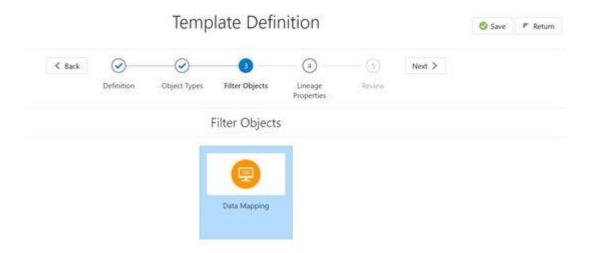
14. Data Lineage is generated as a separate sheet in the generated Relational report along with the Dependencies. Select the Lineage sheet to view the Data Lineage (up to Staging column level).

Figure 17-10 Exported Sample Report



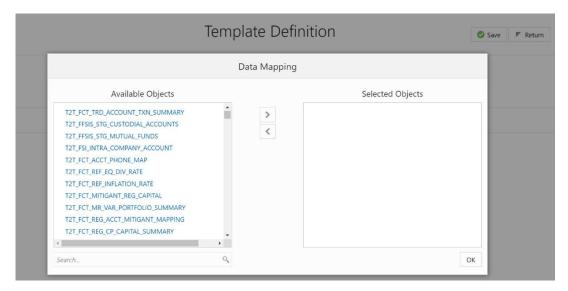
15. Select Filter Objects to see the selected objects.

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.

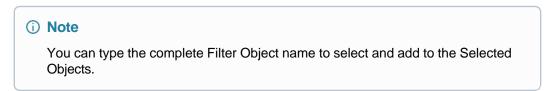
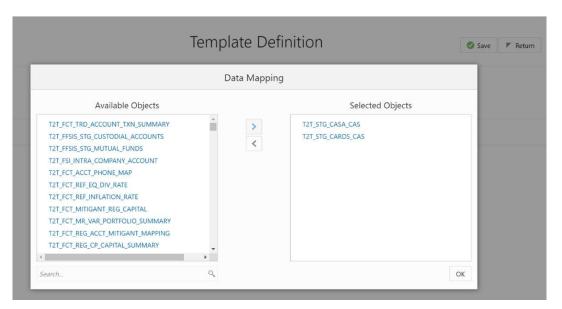


Figure 17-13 Data Mapping



- **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

SI. 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

SI. 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

SI. 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

SI. 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

SI. 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

SI. 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.

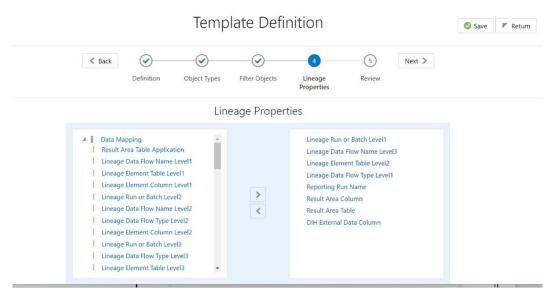
Table 17-4 (Cont.) Lineage Properties

SI. 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

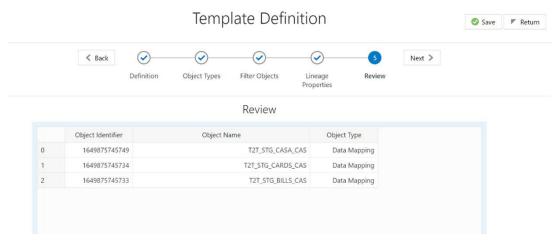
SI. No.	Lineage Property	Property Description
74	Data Element Table Application	Stores the Ultimate Source Table Application of Lineage Report generated for populating the Results Area Table and Column. The application is responsible for sourcing the data.
75	Data Element Table Type	Stores the Ultimate 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



20. Review the Template Definition and click Save.

Figure 17-15 Template Definition



- 21. Click Return to go to the Summary page.
- 22. 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.



- 23. 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

(i) 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.

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



(i) Note

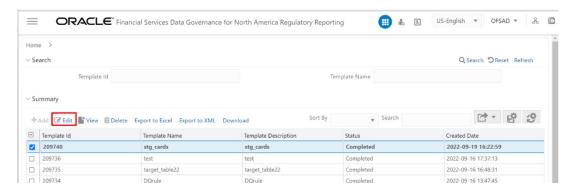
The Metadata Report Template's excel report is opened in View-Only mode.

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.
- 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



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.
- Click the **Delete** icon to delete the Metadata Report Templates.



Figure 17-18 Metadata Report

