Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions

User Guide

Release 8.1.1.0.0

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OFS Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions User Guide

Document Control

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04	August 18, 2021	Updated: Added Regulatory Data Extract Chapter
03	May 13, 2021	Updated: DG sections and Setup configuration section
02	April 07, 2021	Updated: Final version published
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1 Preface

Welcome to Release 8.1.1.0.0 of the Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions (OFS REG REP APME) User Guide.

This section provides a brief description of the scope, the audience, the references, concepts and the organization of the user guide and conventions incorporated into the user guide.

Topics:

1.1 What is New in This Release for OFS REG REP APME

This preface lists new features and changes in OFS REG REP APME release v8.1.1.0.0.

1.1.1 New Features

The new features introduced in this release are as follows:

- Conversion of existing Run Rule Framework to the new OFSAAI Process Modelling Framework feature.
  For more information, see the Executing Run through Process Modelling Framework in OFS REG REP APME.
- New APME-DGS Menu to access Process Execution Summary, Regulatory Reporting Deployment, Metadata Browser, and Reports (Report Summary and Data Elements Summary).
  For more information, see the Process Execution Summary, Regulatory Reporting Deployment , Metadata Browser, and Viewing Report Summary.
- Enabling the Reporting Flag for a run through the new Process Execution Summary module.
  For more information, see the Reporting Flag for Run through Process Execution Summary
- New Drill down User Interface.
  For more information see the Report Verification – Drill down from AgileREPORTER to OFSAA Results Area

1.1.1.1 Deprecated Features

This section lists the deprecated features in this manual.

1.1.1.2 Desupported Features

The desupported feature for OFS REG REP APME Release v8.1.1.0.0 is the Run Execution and Run Management features through the Run Rule Framework.

1.2 Scope of the Guide

The objective of this user guide is to provide a comprehensive working knowledge on Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions, Release 8.1.1.0.0. This user guide is intended to help you understand the key features and functionalities of Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions (Oracle Financial Services Data Foundation (OFSDF) Interface with Lombard Risk for APME) release 8.1.1.0.0 and details the process flow and methodologies used.

1.3 Intended Audience

This guide is intended for:

- Regulatory Reporting (Reg Rep) Analyst who bears the responsibility to verify and submit the results. The Reg Rep Analyst is also entrusted to maintain the dimensional values across multiple reporting requirements, maintain the results area structure of the Oracle Financial Services Data Foundation.
- Data Analysts, who clean, validate, and import data into the Oracle Financial Services Download Specification format, and ensure that data is populated in the relevant tables as per the specifications and executions required for regulatory reporting.
- System Administrator (SA), instrumental in making the application secure and operational and configures the user roles providing necessary access to users.

1.4 Access to Oracle Support

Oracle customers have access to electronic support through My Oracle Support. For information, visit http://www.oracle.com/pls/topic/lookup?ctx=acc&id=info
Or visit http://www.oracle.com/pls/topic/lookup?ctx=acc&id=trs if you are hearing impaired.

1.5 Related Information Sources

In addition to this user guide you can refer to the following documents in the OHC documentation library:

- *Oracle Financial Services Regulatory Reporting Data Sets and Governance for APAC and ME (OFS REG REP APME) User Guide Release 8.1.1.0.0*
- *Oracle Financial Services Data Foundation Installation Manual Release 8.1.1.0.0*
- *Oracle Financial Services AgileREPORTER Installation Manual Release 8.0.9.0.0*
- *Oracle Financial Services Analytical Applications Infrastructure Environment Check Utility Guide* (present in this OHC Documentation Library)

1.6 How is this Guide Organized

The Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions User Guide includes the following topics:

- Chapter 2: Introduction
- Chapter 3: Getting Started
- Chapter 4: Regulatory Reporting Deployment
- Chapter 5: Regulatory Reporting (REG REP) Solution Data Flow
- Chapter 6: OFSAA Features
- Chapter 7: Executing Run through Process Modelling Framework
- Chapter 8: Report Submission
- Chapter 9: Maintenance
- Chapter 10: Troubleshooting Guidelines

1.7 Conventions Used

Table 1 lists the conventions used in this guide.

Table 1: Conventions Used in this Guide

Conventions	Description
References to sections or chapters in the manual are indicated in *Italics*. Screen names are indicated in the following manner: **Introduction** screen Options and buttons are indicated in **Bold**. Code related text is indicated in `Monospace`.	
OFSAAI	Oracle Financial Services Analytical Applications Infrastructure
OFS AAAI	Oracle Financial Services Advanced Analytical Applications Infrastructure Application Pack
RHEL	Red Hat Enterprise Linux
Atomic Schema	Database schema where the application data model is uploaded
Config Schema	Database schema which contains setup related configurations and metadata
OFS REG REP APME	Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions (OFS REG REP APME)

2 Introduction

This chapter provides an understanding of the Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions application and its scope.

Topics:

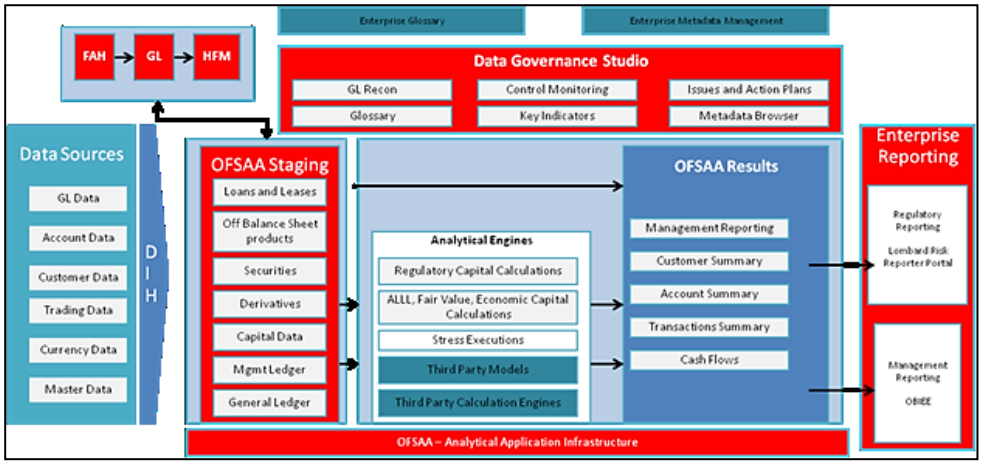
2.1 Overview

Regulatory reporting is the submission of the financial institutions data to regulators. Typically, this data originates from diverse internal systems, while the ultimate submissions are structured and need to be aligned to strict and detailed regulatory requirements. With the increasing complexity of reporting requirements from regulators around the globe, financial institutions are struggling to keep up with the constant pace of change. Asia Pacific & Middle East Jurisdictions are constantly evolving and strengthening the regulatory reporting requirement and gradually moving to a more detailed and complex reporting for all financial institutions. In Australia, the latest and most significant change being the reporting via Economic and financial statistics (EFS) or in Singapore the overhaul of MAS Notice 610 -Submission of Statistics and Returns.

The Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions delivers an integrated regulatory reporting solution to solve the biggest challenges that banks undergo such as quality, quantity and granularity of the data and transparency of the reporting ecosystem. It brings together the industry's best-in-class data foundation, complete transparency and data lineage throughout the application. The solution enables financial services organizations to manage and execute regulatory reporting in a single integrated environment. It automates end-to-end processes from data capture through submission with industry-leading solutions. It leverages Oracle Financial Services Analytical Application (OFSAA) and Oracle Financial Services Data Foundation (OFSDF) for managing analytical application data. The solution provides mechanism to integrate the generated results to a third-party end mile reporting template solution, thus helping with final submission to the respective regulator. The solution comes with pre-built integration to Vermeg Agile Reporter for end mile reporting; however, it does not restrict the customer here. The solution ensures data integrity allowing banks to focus more time on analyzing and gaining new business insight from their growing stores of data instead of preparing data and reports with the sole objective of meeting submission deadlines.

2.2 OFSAA Regulatory Reporting Architecture

Figure 1: Regulatory Reporting (REG REP) Solution Architecture



This interface connects the Oracle FSDF to Lombard Risk. As you can see in the Architecture figure above, Data flows from OFSAA to Lombard Risk.

OFSDF is an analytical data warehouse platform for the Financial Services industry which combines an industry data model for Financial Services along with a set of management and infrastructure tools that allows Financial Services Institutions to develop, deploy, and operate analytical solutions spanning key functional areas in Financial Services, including:

1. Enterprise Risk Management
2. Enterprise Performance Management
3. Customer Insight
4. Financial Crime and Compliance Management

OFSDF is a comprehensive data management platform that helps institutions to manage the analytical data life cycle from sourcing to reporting and business intelligence/BI using a unified, consistent platform and toolset.

AgileREPORTER is a form and workflow tool that enables both creation and submission of regulatory returns. AgileREPORTER addresses the financial reporting requirements of both domestic and international banks and financial institutions by automating compliance with mandated reports to central banks, regulatory agencies. AgileREPORTER works easily with multiple sources of information as it standardizes data elements and automates regulatory report production in prescribed templates with the associated workflow for automatic submission. It is a reliable and efficient infrastructure to compile, generate and submit regulatory reports. It collects data from a wide universe (not just OFSAA Results). It provides automated repeated manual adjustments, variance analysis, and validation checks. It provides features to explain and justify a number quickly, including links to OBIEE.

The solution provides a pre-built interface or integration between FSDF and AgileREPORTER. With this integration, you can automate the end-to-end reporting process covering data preparation to the last mile of reporting.

2.3 Scope

Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions covers the following regulatory reports for specified release as mentioned in the table:

Table 2: Scope of Regulatory Reports

Report	Report Name	Jurisdiction	Released Version
ARF 720_0A	ABS/RBA Statement of Financial Position (Standard)	APRA	8.1.1.0.0
ARF 720_0B	ABS/RBA Statement of Financial Position (Reduced)	APRA	8.1.1.0.0
ARF 720_1A	ABS/RBA Loans and Finance Leases (Standard)	APRA	8.1.1.0.0
ARF 720_1B	ABS/RBA Loans and Finance Leases (Reduced)	APRA	8.1.1.0.0
ARF 720_2A	ABS/RBA Deposits (Standard)	APRA	8.1.1.0.0
ARF 720_2B	ABS/RBA Deposits (Reduced)	APRA	8.1.1.0.0
ARF 720_3	ABS/RBA Intra-group Assets and Liabilities	APRA	8.1.1.0.0
ARF 720_4	ABS/RBA Debt Securities Held	APRA	8.1.1.0.0
ARF 720_5	ABS/RBA Equity Securities Held	APRA	8.1.1.0.0
ARF 720_6	ABS/RBA Securities on Issue	APRA	8.1.1.0.0
ARF 720_7	ABS/RBA Bill Acceptances and Endorsements	APRA	8.1.1.0.0
ARF 741.0	ABS/RBA Business Finance	APRA	8.1.1.0.0
ARF 742.0A	ABS/RBA Business Credit Stocks, Flows and Interest Rates (Standard)	APRA	8.1.1.0.0
ARF 742.0B	ABS/RBA Business Credit Stocks, Flows and Interest Rates (Reduced)	APRA	8.1.1.0.0
ARF 743.0	ABS/RBA Housing Finance	APRA	8.1.1.0.0
ARF 744.0A	ABS/RBA Housing Credit Stocks, Flows and Interest Rates (Standard)	APRA	8.1.1.0.0
ARF 744.0B	ABS/RBA Housing Credit Stocks, Flows and Interest Rates (Reduced)	APRA	8.1.1.0.0
ARF 745.0	ABS/RBA Personal Finance	APRA	8.1.1.0.0
ARF 746.0A	ABS/RBA Personal Finance Stocks, Flows and Interest Rates (Standard)	APRA	8.1.1.0.0
ARF 746.0B	ABS/RBA Personal Finance Stocks, Flows and Interest Rates (Reduced)	APRA	8.1.1.0.0
ARF 747.0A	ABS/RBA Deposit Stocks, Flows and Interest Rates (Standard)	APRA	8.1.1.0.0

Report	Report Name	Jurisdiction	Released Version
ARF 747.0B	ABS/RBA Deposit Stocks, Flows and Interest Rates (Reduced)	APRA	8.1.1.0.0
ARF 748.0A	ABS/RBA Wholesale Funding Stocks, Flows and Interest Rates (Standard)	APRA	8.1.1.0.0
ARF 748.0B	ABS/RBA Wholesale Funding Stocks, Flows and Interest Rates (Reduced)	APRA	8.1.1.0.0
B1	Statements of Financial Position - Assets	MAS	8.1.1.0.0
B1_1	Cash	MAS	8.1.1.0.0
B1_2	Cash and Balances, AR under Reverse Repos, NCD, Debt Securities, Equity Investments, Loans and Bills	MAS	8.1.1.0.0
B1_3	Unlisted Investments, Intangible Assets and Properties and Equipment	MAS	8.1.1.0.0
B2	Statements of Financial Position - Liabilities & Equity	MAS	8.1.1.0.0
B2_1	Deposits and Balances, Amounts Payable under Repurchase Agreements, Bills Payable, Negotiable Certificates of Deposit and Debt Securities	MAS	8.1.1.0.0
B2_2 Part I	Deposits and Balances by Type and by Source of Non-Bank customers	MAS	8.1.1.0.0
B2_2 Part II	Deposits by Size of Non-Bank Customers	MAS	8.1.1.0.0
B2_3 Part I	Adjusted Capital Funds for Banks Incorporated Outside Singapore	MAS	8.1.1.0.0
B2_3 Part II	Capital Funds and Adjusted Capital Funds for Foreign-Owned Banks Incorporated in Singapore	MAS	8.1.1.0.0
B2_4	Reserves by Type	MAS	8.1.1.0.0
B3_1	Contingent Liabilities	MAS	8.1.1.0.0
B3_2 Part I	Commitments	MAS	8.1.1.0.0
B3_2 Part II	Commitments	MAS	8.1.1.0.0
B3_4 Part I	Financial Derivatives by Type and Risk Category (trades booked in Singapore)	MAS	8.1.1.0.0
B3_4 Part II	Financial Derivatives by Type and Risk Category (Singapore as trading location)	MAS	8.1.1.0.0
B3_4 Part III	Financial Derivatives by Type and Risk Category (Standalone and Consolidated levels)	MAS	8.1.1.0.0

Report	Report Name	Jurisdiction	Released Version
B3_5	Assets Under Management and Assets Held Under Custody	MAS	8.1.1.0.0
B3_6	Assets Pledged	MAS	8.1.1.0.0
B3_7	Structured Entities	MAS	8.1.1.0.0
C1_1	Assets and Liabilities by Bank Counterparty, Related Banks and Related Corporations	MAS	8.1.1.0.0
C1_2	Interbank Indebtedness by Counterparty in Singapore	MAS	8.1.1.0.0
C1_4	Related Banks in Singapore	MAS	8.1.1.0.0
C1_5	Related Corporations in Singapore	MAS	8.1.1.0.0
C1_6 Part I	Related Banks outside Singapore	MAS	8.1.1.0.0
C1_6 Part II	Related Corporations outside Singapore	MAS	8.1.1.0.0
D1	Assets, Contingent Items and Commitments by Country/Jurisdiction and by Counterparty - All Currencies (Ultimate Risk)	MAS	8.1.1.0.0
D2_1	ASSETS, CONTINGENT ITEMS AND COMMITMENTS BY COUNTRY/JURISDICTION AND BY COUNTERPARTY - IMMEDIATE BORROWER PART 1	MAS	8.1.1.0.0
D2_2	ASSETS, CONTINGENT ITEMS AND COMMITMENTS BY COUNTRY/JURISDICTION AND BY COUNTERPARTY - IMMEDIATE BORROWER PART 2	MAS	8.1.1.0.0
D2_3	ASSETS, CONTINGENT ITEMS AND COMMITMENTS BY COUNTRY/JURISDICTION AND BY COUNTERPARTY - IMMEDIATE BORROWER PART 3	MAS	8.1.1.0.0
D3_1_1	PART I: ASSETS AND CONTINGENT ITEMS BY SECTOR (All Currencies)	MAS	8.1.1.0.0
D3_1_2	PART II: ASSETS AND CONTINGENT ITEMS BY SECTOR (BY RESIDENCY)	MAS	8.1.1.0.0
D3_1_3	PART III: ASSETS AND CONTINGENT ITEMS FOR TREASURY CENTRES (All Currencies)	MAS	8.1.1.0.0
D3_2_1_2	ASSETS AND CONTINGENT ITEMS BY PURPOSE	MAS	8.1.1.0.0
D3_2_3_4_5	ASSETS AND CONTINGENT ITEMS BY PURPOSE - PROJECT FINANCE	MAS	8.1.1.0.0

Report	Report Name	Jurisdiction	Released Version
D4_1	LIABILITIES BY COUNTRY/JURISDICTION AND BY COUNTERPARTY - PART 1	MAS	8.1.1.0.0
D4_2	LIABILITIES BY COUNTRY/JURISDICTION AND BY COUNTERPARTY - PART 2	MAS	8.1.1.0.0
D5	RMB BUSINESS ACTIVITIES	MAS	8.1.1.0.0
E_1	Classification and Fair Value Measurements of Assets and Liabilities	MAS	8.1.1.0.0
E_2	Statement of Financial Position, Contingent Liabilities, Commitments, Derivatives and Other Items (Islamic Banking)	MAS	8.1.1.0.0
E_3	Asset Ageing Analysis by Counterparty and by Purpose	MAS	8.1.1.0.0
F_1	Assets by MAS Notice 612/1005 Classification and by Country/Jurisdiction	MAS	8.1.1.0.0
F_2	Classified Assets by Sector, Purpose and Counterparty	MAS	8.1.1.0.0
F_3	Classified Assets by Sector and by Country/Jurisdiction	MAS	8.1.1.0.0
G_1	Interest Rate Repricing (All Currencies)	MAS	8.1.1.0.0
G_2	Interest Rate Repricing (one form for each material currency)	MAS	8.1.1.0.0
H	Real Property Loan to Value Ratio (For the Purchase of Real Property, and Loans Collaterised on Real Property)	MAS	8.1.1.0.0
I_Part I	Foreign Exchange Turnover - Spot, Forwards, FX Swaps, Currency Swaps, Over the counter (OTC) Options, Exchange-traded Options and Currency Futures	MAS	8.1.1.0.0
I_Part II	Interest Rate Derivatives Turnover - Forward Rate Agreements, Overnight Indexed Swaps, Other Swaps and OTC Options	MAS	8.1.1.0.0
J	Selected Statistics for Reporting Period	MAS	8.1.1.0.0
K	Deposit rate of Singapore Dollar Denominated Deposits for Non-Banks	MAS	8.1.1.0.0
L_1	Covered bonds held	MAS	8.1.1.0.0
L_2	Covered bonds issued	MAS	8.1.1.0.0
M	Notes to Reporting Forms	MAS	8.1.1.0.0

Report	Report Name	Jurisdiction	Released Version
RCA III	RWA	RBI	8.1.1.0.0
RCA III	Regulatory Capital-Basel	RBI	8.1.1.0.0
RCA III	CR On BS excl. Sec. (S)	RBI	8.1.1.0.0
RCA III	CR on BS Sec.	RBI	8.1.1.0.0
RCA III	CR Off BS Sec.	RBI	8.1.1.0.0
RCA III	CR on BS ReSec.	RBI	8.1.1.0.0
RCA III	CR NMR Off BS	RBI	8.1.1.0.0
RCA III	CR MR Off BS	RBI	8.1.1.0.0
RCA III	Failed Transaction	RBI	8.1.1.0.0
RCA III	CCR	RBI	8.1.1.0.0
RCA III	CR QCCP	RBI	8.1.1.0.0
RCA III	Market Risk	RBI	8.1.1.0.0
RCA III	Operation Risk	RBI	8.1.1.0.0

3 Getting Started

This chapter provides an understanding of the prerequisites, general and data preparation assumptions and logging into the application.

Topics:

The OFS REG REP APME application allows you to perform the following activities:

- Manage Data Loading and Transformation from various source systems to staging, processing, and results.
- Manage relevant OFSAA metadata for regulatory reporting purposes. This includes creating, modifying, and viewing the metadata used in reporting.
- View the report metadata for mapping.
- Drill down from AgileREPORTER to OFSAA results area.

3.1 Prerequisites

For prerequisites and detailed instructions on installing this release, see Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions (OFS REG REP APME) Installation Guide Release 8.1.1.0.0.

3.2 Assumptions

OFSDF interface with Lombard Risk for APME is a reporting application and it does not perform any risk or stress calculations. Following listed are the assumptions for the application:

- Textual and other related portions of reports like personal details, contact details, Yes or No choices must be updated on Report Portal directly and FSDF does not have a placeholder for it.
- Data provided is post reconciliation to ensure that the accuracy of data being reported (non-prescribed by regulators) are performed in OFSAA using various components – General Ledger (GL) reconciliation.
- Validity checks such as edit checks, cross-validation checks and so on prescribed by the regulator are performed within the AgileREPORTER.
- All monetary amounts are expected to be positive in number, except valuation outputs which can be positive or negative. There are few exceptions like Excess payments scenarios in Loans/cards where Balance loaded can be in Negative Signage. Rules are constructed assuming the negative sign of valuation amounts wherever applicable.

- The application populates a few specific dimension tables, known as seeded / sample tables as part of the installation script. Since they are used in the metadata, changes in data values have an impact on overall functioning.
- All percentage data are expected in decimal format meaning 9% must be provided as 9 and not 0.09.
- For data provided as of date, such as the last day of the quarter of the reporting year: Quarterly and Year to Date (YTD) report for the given date display the same value for those measures which are of as of the date in nature. For example, the Annual and Quarterly Balance Sheet and BASEL report generated as of 31-MAR show the same values for all measures such as Account Balance.

3.2.1 Assumptions Related to Scoped Reports

Generic assumptions related to the Scoped Reports (APRA) are as follows:

- **Domestic Books Consolidation:** EFS reports are reported based on domestic book consolidation. RRS product expects this to be handled at the data set level, so the data set with appropriate entity filters gets associated with the reports for required entities' reporting.
- **Account-level data for consolidated entities:** At a dataset level, the customer expected to provide account-level data for only those entities that are consolidated for Reg Reporting. For such entities, Dim_Org_Structure.f_regulatory_entity_ind should be Y, although dim_org_structure will hold details of all entities related to reporting entity falling under the same org structure.
- **Intra Group Party Vs Related Party:** For EFS reports, Intra Group Party and Related Party are considered the same, as EFS includes reporting of only domestic book accounts and these two terms are used interchangeably in the reporting instructions.
- **Balance Sheet Category:** All products available in table dim_product.v_balance_sheet_category must be classified as one of the following categories. The reason behind this is that many reports use Asset or Liability as Hierarchy to report overall Assets or Liabilities.

Table 3: Balance Sheet Category

v_balance_sheet_category	v_balance_sheet_category_desc
ASSET	Asset
LIABILITY	Liability
OFFBSL	Off-Balance Sheet (Contingent) Liability
OFFBSA	Off-Balance Sheet (Contingent) Asset
DERV	Derivatives

- **Housing loan Vs Mortgage Loan:** Housing loan is captured via Product Category as Housing Loan (Dim_Reg_Product_Type. v_reg_prod_cat_cd=HOUSELN), which is different from Mortgage Loan (Dim_Reg_Product_Type. v_reg_prod_cat_cd=MORLN) based on APRA definitions. All Mortgage Loans will not be Housing Loans.
- **Foreign Currency Conversion:** AUD is the reporting currency used across all reports. All exposures in Foreign currency are converted to AUD based on Spot rate on 'as of date' when data is provided.

- **Data for states:** Table DIM_LOCATION is used for capturing various states within Australia. This table is populated via SCD STG_LOCATION_MASTER. Expected values are as follows:

Table 4: Data for States

V_COUNTRY_CODE	V_COUNTRY_DESC	V_STATE_CODE	V_STATE_DESC	V_ISO_STATE_CODE	V_ISO_STATE_DESC
AU	AUSTRALIA	AU-NSW	New South Wales	AU-NSW	New South Wales
AU	AUSTRALIA	AU-VIC	Victoria	AU-VIC	Victoria
AU	AUSTRALIA	AU-QLD	Queensland	AU-QLD	Queensland
AU	AUSTRALIA	AU-SA	South Australia	AU-SA	South Australia
AU	AUSTRALIA	AU-WA	Western Australia	AU-WA	Western Australia
AU	AUSTRALIA	AU-TAS	Tasmania	AU-TAS	Tasmania
AU	AUSTRALIA	AU-NT	Northern Territory	AU-NT	Northern Territory
AU	AUSTRALIA	AU-ACT	Australian Capital Territory	AU-ACT	Australian Capital Territory
AU	AUSTRALIA	AU-OTHTER	Other Australian territories and overseas	AU-OTHTER	Other Australian territories and overseas
AU	AUSTRALIA	AU-NSW	New South Wales	AU-NSW	New South Wales
AU	AUSTRALIA	AU-VIC	Victoria	AU-VIC	Victoria
AU	AUSTRALIA	AU-QLD	Queensland	AU-QLD	Queensland
AU	AUSTRALIA	AU-SA	South Australia	AU-SA	South Australia
AU	AUSTRALIA	AU-WA	Western Australia	AU-WA	Western Australia
AU	AUSTRALIA	AU-TAS	Tasmania	AU-TAS	Tasmania
AU	AUSTRALIA	AU-NT	Northern Territory	AU-NT	Northern Territory
AU	AUSTRALIA	AU-ACT	Australian Capital Territory	AU-ACT	Australian Capital Territory
AU	AUSTRALIA	AU-OTHTER	Other Australian territories and overseas	AU-OTHTER	Other Australian territories and overseas

- **Customer Location:** When the Location of the customer is required, data is expected in the product processor tables and DIM_CUSTOMER.V_CUST_LOCATION_CODE.
- **Bills of exchange or bills accepted:** Bills has very complex reporting requirements in EFS Phase 1 reports. Our interpretation of reporting is based on individual instruction sheets(ARS), reporting practice guide (RPG 701.0) and definition sheet (ARS 701.0)
- **Exclusion of certain accounts:** Instruction sheet of some reports explicitly don't mention the exclusion of some types of accounts like
  - Written off accounts and
  - Accounts with an outstanding balance as 0
  - Accounts with related parties

  However, when we read the instructions for reconciliations across reports, we conclude that these filters need to be applied, to match the values across and within reports. Eg: Report ARF 742_0A/B, 744_0A/B (along with other reports) uses both these filters for written off and nil outstanding. ARF 746_0A/B excludes all these three. Hence, these filters have been applied according to the reconciliation sheet.
- **Day Count:** Day Count of 30 days a month and 365 days a year has been used across the reports. This is based on instructions sheets of various reports.
- **Mitigant amount adjusted for a haircut:**

  STG_ACCOUNT_MITIGANT_MAP/FCT_ACCOUNT_MITIGANT_MAP.n_mitigant_weight

  This column stores the effective % of exposure amount covered by mitigant. This % is after adjustment of haircut that should be applied to mitigant or exposure amount and data is expected accordingly post-optimization of mitigants.

Report specific assumptions related to the Scoped Reports (APRA) are as follows:

- Report ARF 720_0A/B Line 12: Total intra-group assets

  The number reported in Report ARF 720_0A/B Line 12: Total intra-group assets should match with report ARF 720_3 Line 1.1: Total intra-group assets.
- As per interpretation, these instructions are contradicting. Per instructions of ARF 720_3, Provisions must be excluded, but there is no such requirement of excluding Provision in ARF 720_0A/B.
- Report ARF 720_0B Line 3.14: Other debt securities - short term

  Lines 3.3 to 3.13 report exposures to various Party Types that are Residents. Line 3.14 reports two kinds of exposures:
  - Exposures to all party types that are Non-residents, for party types reported in lines 3.3 to 3.13
  - Exposures to all resident party types other than party types reported in lines 3.3 to 3.13
- Report ARF 720_5/6 - Stock Exchange Code:

  Equity Securities that are traded on ASX are expected to have value in DIM_INSTRUMENT_CONTRACT.V_MARKET_EXCHANGE_NAME = ASX
- Report ARF 742_0A/B: Loan accounts due to Internal refinance will have a new account open date, so they will be treated as new accounts.

- Report ARF 742_0A/B, 743:
  - In case the bank has refinanced loans in the balance sheet (both external or internal refinance), Stg_Loan_Contracts.f_refinance_flag flag should be Y).
  - Accumulated Excess repayment amount is expected as inclusive of redraw facility amount and offset account balance.
- Report ARF 742_0A/B: Loan accounts due to Internal refinance should have a new account open date, so they will be treated as new accounts.
- Reporting of averages number of facilities & sanctioned limit in Reports ARF743, ARF742_0A & ARF742_0B:
  - Reporting of averages number of facilities and sanctioned limit would more aptly reflect the actual average if we exclude accounts that have zero values for these measures. This is different from calculation of simple average mathematically where 0 values are not excluded. Though instructions sheet doesn't specifically mention about excluding such accounts from average calculation, we are excluding these to give these reporting numbers the correct functional definition. This enhancement is not part of current release. It will be accommodated in the future release. It will affect the few average reporting cells from reports ARF743, ARF742_0A & ARF742_0B.
- Reporting by loan purpose (ARF 741, ARF 743, ARF 745):
  - Loan purpose is expected as an input by bank based on Reporting Guide RPG 701.0. This should take into account all instructions mentioned in RPG 701.10, including, but not limited to below:
    - Any loan with multiple purposes needs to be reported against the predominant purpose
    - If refinanced loan has a new loan purpose, additional refinanced portion needs to be reported under new loan purpose. But if refinanced loan as existing same loan purpose as before, it needs to be reported as Internally refinanced or externally refinanced loan as per RPG 701.0.

Known issues related to the Scoped Reports (APRA) are as follows:

- **Commercial property lending:** For identification of Commercial property lending, currently, we are using V_REG_LOAN_PURPOSE_CODE = CRE. This needs to be removed. The new design will require bringing in new column f_cre_lending_flag in stg_loan_contracts and FCAS to identify Commercial property lending as per the Definition sheet. It is impacting 3 cells in report 720_1A/B, 3 cells impacted are: BSAO27773,BSAO27774,BSAO27775.
- **Net of Offset Account balance:** Some reports require loan accounts balance to be reported as net of offset or setoff account balance that these loans are linked with. Our design covers the use case of full offset which is valid for most of the accounts (100% of the offset account balance is netted off against loan account balance). Where offset percent is less than 100%, the current design doesn't handle this use case in 8.0.8 release. This will be handled in the next release. The following report are impacted- 742, 743, 744
- **Canceled Accounts:** Issue # 5. Canceled Indicator - We have to report for Cancellations of and reductions in previously committed (and accepted) credit limits during the month. The current design takes a sanctioned limit from the previous month and subtracts the current month limit. This assumes that for any account canceled, the sanctioned limit will be put as 0, and data is expected accordingly for the report to have correct reporting numbers. In the next release, we

will make changes, so we can report cancellations, even though sanctioned limit in data is not 0. This impact reports 741,743,745, 2 cells each report.

Assumptions related to the Scoped Reports (MAS)

The assumptions related to the Scoped Reports (MAS) are as follows:

- For the purposes of MAS610 reports, Intra Group Party and Related Party are considered same.
- All products available in table dim_product.v_balance_sheet_category must be classified as one of the following categories. Reason behind this is that many reports use Asset/Liability as Hierarchy to report overall Assets/Liabilities.

Table 5: Asset and Liability

Convention	Meaning
ASSET	Asset
LIABILITY	Liability
OFFBSL	Off Balance Sheet (Contingent) Liability
OFFBSA	Off Balance Sheet (Contingent) Asset
DERV	Derivatives

- Foreign Currency Conversion: SGD is the reporting currency used across all reports. All exposures in foreign currency are converted to SGD based on Spot rate on 'as of date' when data is provided except Schedule I. USD is the reporting currency for Schedule I which includes I_Part I & I_part II. All exposures related to I schedule in foreign currency are converted to SGD first & than all exposures will be converted to USD from SGD based on Spot rate on 'as of date' when data is provided.
- All Assets product balances are reported at end of period balances in B1 & B2 schedules from which stage loss allowances and impairment loss allowances are deducted to match the balances across schedules of MAS610 reports.
- There is a line item in B1 report as 'Assets held for sale' mentioned separately, to satisfy this condition and to avoid repeated reporting all other assets items of this report are reported as Not held for sale. Same assumption is being followed for other assets related schedules to match the figures across schedules of MAS610.
- As stated above there is a line item in B2 report as 'Liabilities of disposal groups held for sale' mentioned separately, to satisfy this condition and to avoid repeated reporting all other liabilities items of this report are reported as Not held for sale. Same assumption is being followed for other liabilities related schedules to match the figures across schedules of MAS610.
- B1_2 report Part II has a section on AMOUNTS RECEIVABLE UNDER REVERSE REPURCHASE AGREEMENTS wherein the balances have to be reported for different underlying securities of reverse repurchase agreements. Mapping for 'Loans and advances' as one of the underlying securities is not being done due to insufficient instruction of loans being considered as one of the underlying of reverse repurchase agreement.
- Held for Sale filter is being given across B1 & B2 schedules to make data consistent across reports.
- There is a line item in B3_22 report as 'unrated eligible liquidity facilities. Mapping is not given for the unrated portion of this cell as the requirement is not clear and lack of instructions.

- Held for Sale filter is being given across C & D set of schedules to make data consistent with B1 & B2 schedules.
- Only balances being considered in Cash & Balances section in C schedule due to insufficient instructions.
- Fiduciary flag exclusion is being given across all reports to exclude fiduciary related exposures for MAS610.
- Only balances being considered in Cash & Balances section in D1 & D2 schedule across all counterparties, Cash is being taken against other counterparty only. Also prominent country data is being considered for cases where one currency is qualifying for multiple countries. There is one processing table named as FSI_JUR_COUNTRY_CURR_MAP wherein currencies are mapped against prominent countries against which Cash is being reported in respective currencies in D1 & D2 schedules.
- Credit Facility amount in D3 section is being based on revocable status of the facility. If the facility is revocable than measure is considered as outstanding balance and if the facility is irrevocable which is also a default case, measure is considered as outstanding plus undrawn balance.
- There is a line item in E1 report as 'Assets held for sale' mentioned separately, to satisfy this condition and to avoid repeated reporting all other assets items of this report are reported as Not held for sale. Same assumption is being followed for other assets related schedules to match the figures across schedules of MAS610.
- As stated above there is a line item in E1 report as 'Liabilities of disposal groups held for sale' mentioned separately, to satisfy this condition and to avoid repeated reporting all other liabilities items of this report are reported as Not held for sale. Same assumption is being followed for other liabilities related schedules to match the figures across schedules of MAS610.
- Data is not provided for few Cell IDs in E1 due to insufficient instructions around it. These cell IDs are E1R1C1, E1R2C1, E1R2C4, E1R3C1, E1R19C1, E1R19C4, E1R21C1, E1R21C4, E1R27C1, E1R27C4, E1R28C1, E1R29C1, E1R29C4, E1R30C4, E1R31C4, E1R33C1 and E1R33C4.
- Held for Sale filter is being given across E schedules to make data consistent across reports.
- Islamic banking is being considered as one of the line of business category & accordingly mapping is provided across cells for E_2 schedule in line with B1 & B2 Schedules.
- Corporate Counterparty in F1 is inclusive of Financial & Non-Financial Corporates so it also includes Non-Bank Financial Institutions counterparty.
- Only balances being considered in Cash & Balances section in E_1 schedule due to insufficient instructions.
- Fiduciary flag exclusion is being given across all reports to exclude fiduciary related exposures for MAS610.
- Mapping for International organizations in F_3 is not being provides as instructions are not clear, as specific counterparty data is being asked in each column of this schedule as Corporate & Unincorporated which is clashing with International organizations counterparty.
- Only balances being considered in Cash & Balances section in G schedule due to insufficient instructions.
- Mappings are not provided for General ledger items in G Schedule as this schedule is based on interest rate repricing & instructions are not clear for general ledger line items.
- Held for Sale filter is being given across G & H schedules to make data consistent across reports.

- Mappings for part I in J schedule are not provided as it is assumed as descriptive fields.
- Mappings for part III, IV, V & VIII in J schedule are not provided due to insufficient instructions.
- Mappings for part I in L_2 schedule are not provided due to insufficient instructions.
- Mappings for part II & III in M schedule are not provided as it is assumed as descriptive fields.

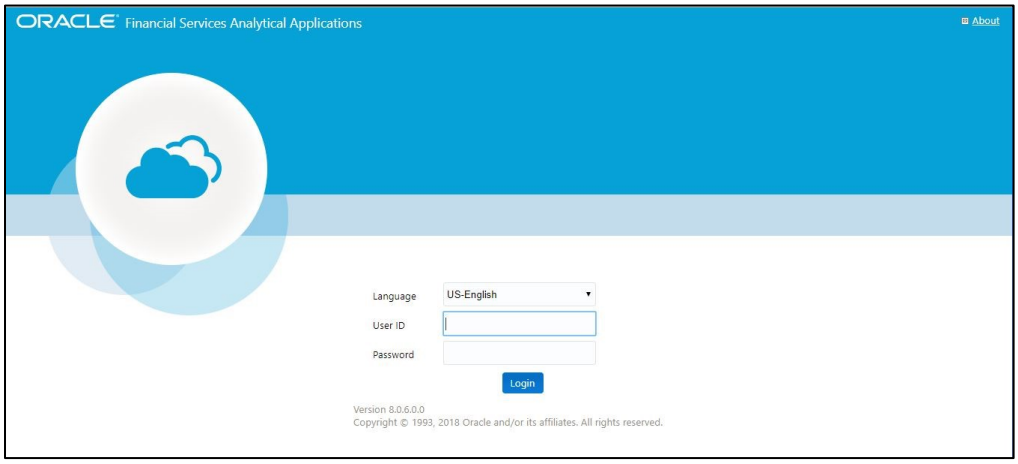
3.3 Accessing the OFSDF Interface or OFS REG REP APME Interface

After the application is installed and configured, to access the OFSDF Interface with Lombard Risk for OFS REG REP APME application, you must log in to the OFSAAI environment using the OFSAAI login page.

To access the application, follow these steps:

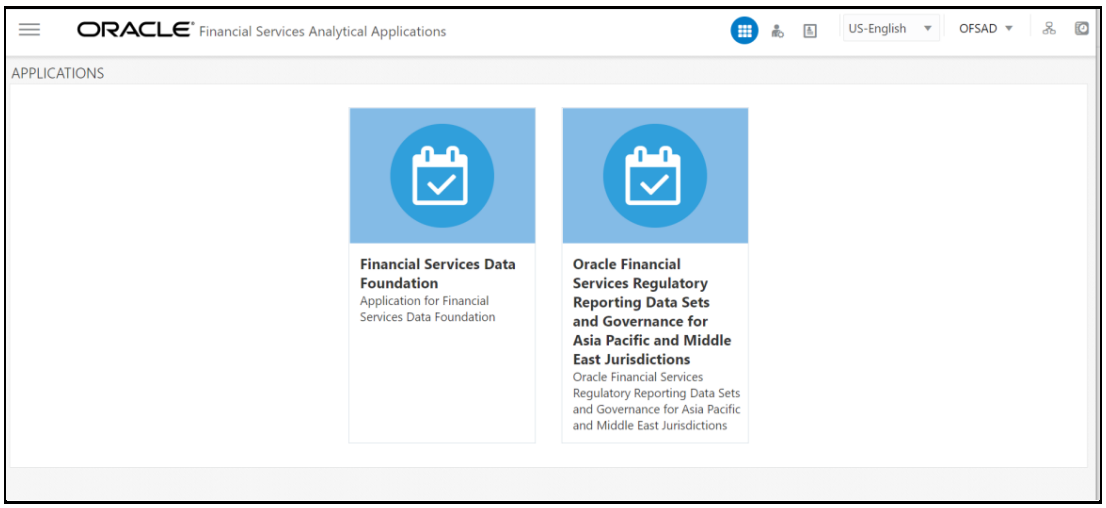
1. Enter the OFSAAI URL in your browser. The OFSAAI login page is displayed.

Figure 2: OFSAAI Log In



2. Select the desired language from the **Language** drop-down list.
3. Enter your **User ID** and **Password**. When you log into OFSAAI, the OFSAAI Applications page is displayed. Select **Financial Services Data Foundation**.

Figure 3: OFSAAI Application Page



4. Select the **Financial Services Data Foundation** option to navigate to the **FSDF** application or select the **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** to navigate to the **OFS REG REP APME** application.

3.4 Organization of Interface for User Roles

This section explains the various features used by an analyst. It describes the organization of the user interface and provides step-by-step instructions for navigating through the application to carry out these activities.

To access the Process Execution Summary, the following roles must be assigned to the user:

1. Modify Run Parameters
2. Approve Reporting Flag
3. Override Reporting Flag
4. Request Reporting Flag
5. Run Reporting Flag
6. View Run Details

Data Analysts are expected to perform the following activities:

1. Executing Batch to Refresh Derived Entities
2. Drill down from AgileREPORTER to OFSDF

Regulatory Report Analysts are expected to perform the following activities:

1. Drill down from AgileREPORTER to OFSDF
2. Using Metadata Browser to check schedule wise metadata
3. Using Metadata Browser to check metadata usage across schedules

Topics:

- Process Execution Summary

- Marking Run as Final
- Reporting Flag for Run through Process Execution Summary
- Executing Batch to Resave Derived Entities
- Retrieving the Returns from AgileREPORTER
- Report Verification - Drill Down from AgileREPORTER to OFSAA Results Area

3.4.1 Process Execution Summary

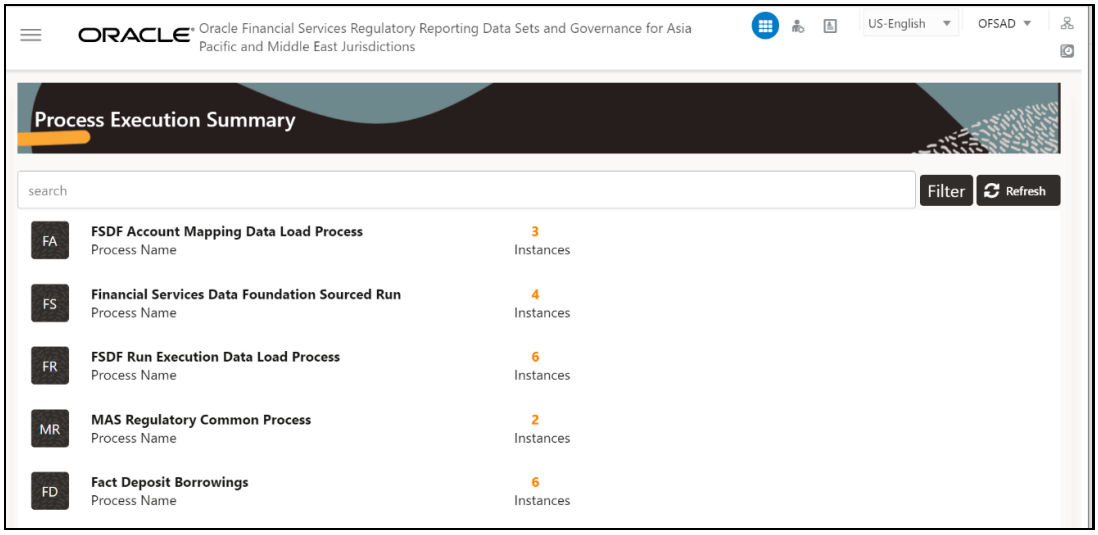
This section provides information on the Runs that are applicable for APME. The Process Execution Summary is launched once the Runs are executed from the Processing Modelling Framework. The following figure displays the Process Execution Summary with the data that is retrieved from the Process Modeler.

3.4.2 Marking Run as Final

Various applications provide the data for regulatory reporting. You must mark specific executions for regulatory reporting as the final run.

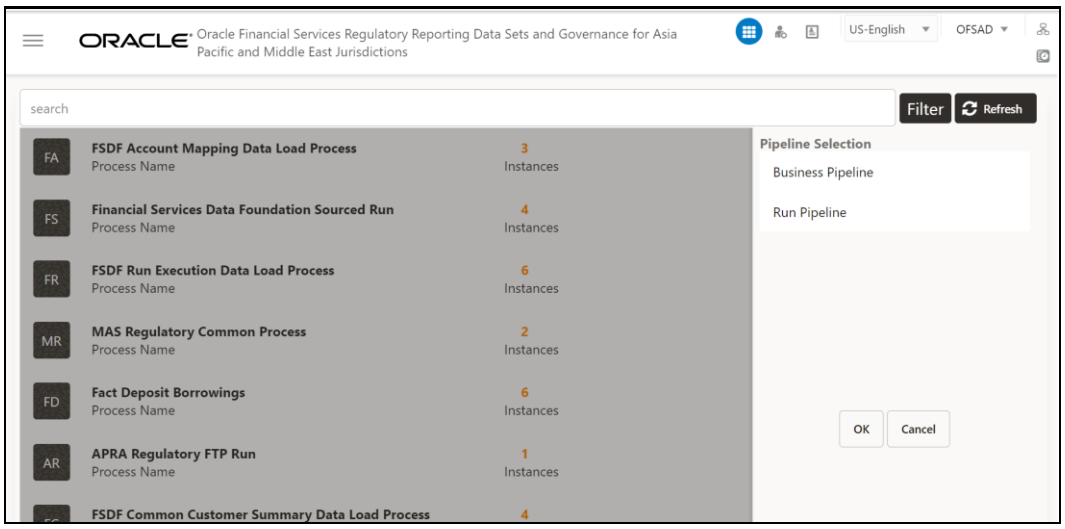
1. After logging into OFSAAI applications page, navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** and select **Process Execution Summary.**

Figure 4: Process Execution Summary Screen



2. Scroll towards the right and click **Filter**, select the **Run Pipeline** from the available pipeline selection list. Click **OK**.

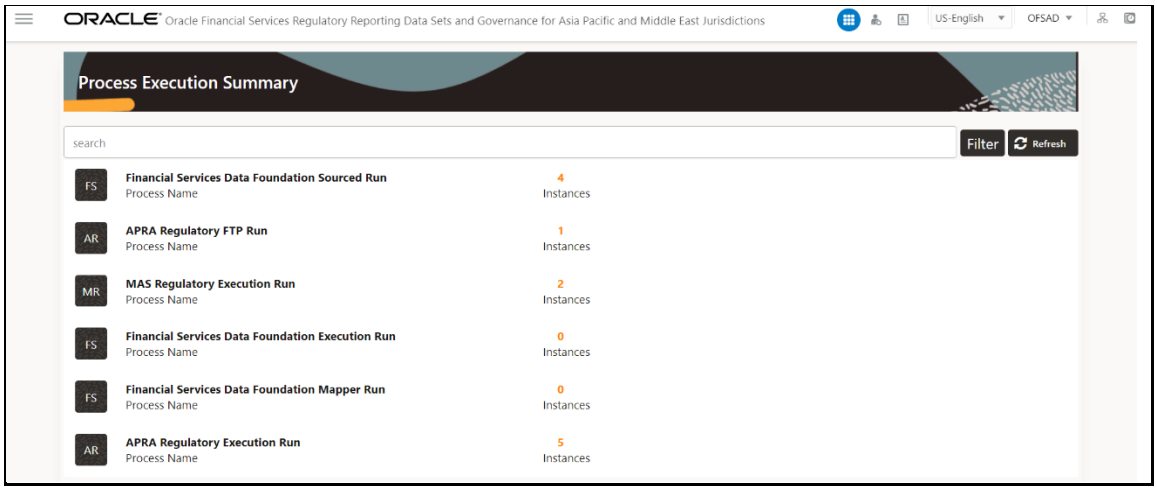
Figure 5: Pipeline Selection Screen



3. After the Run execution, the Process Execution Summary is generated in the list format as illustrated in the following steps. The summary page displays the **Process Names** for which the **Run Parameters** are generated.

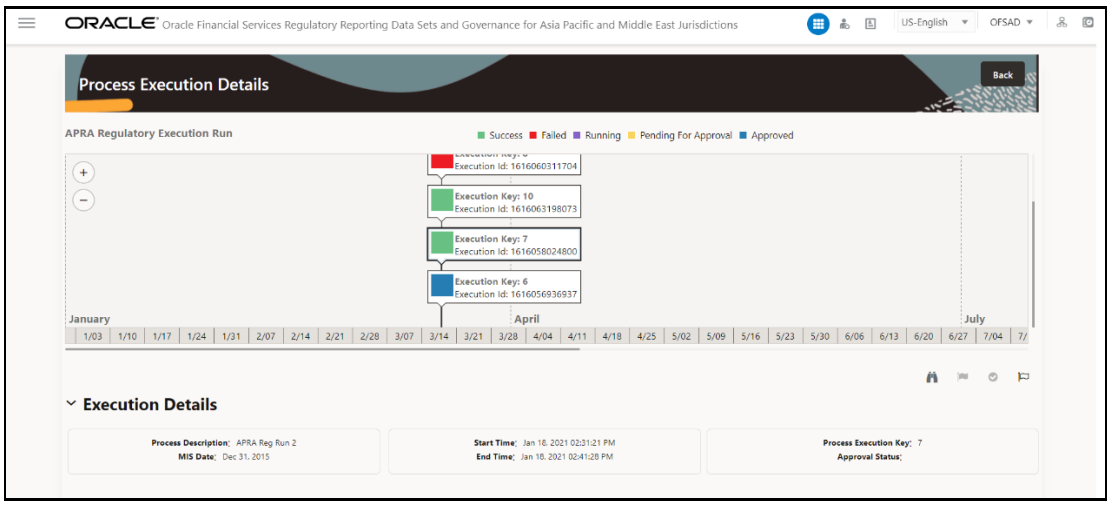
4. Scroll towards the right and click **View**  in the **Process Name** row.

Figure 6: Process Execution Summary View Screen



You can view the detailed definition of a Run on a read-only mode. The **Process Execution Details** page displays the execution details for the selected Execution Key with the color band displaying the status of each Execution Key.

Figure 7: Process Execution Details Screen



The execution keys and the corresponding execution details are as follows:

- **Process Description**: The MAS or APRA Regulatory Common Process Run appears as the process description when the user executes the Regulatory Run.
- **MIS Date**: The extraction date is displayed in this field.
- **Start Time**: It displays the Execution Date and the Execution Time when the Execution Run starts.
- **End Time**: It displays the End Execution Date and Execution Time.
- **Process Execution Key**: Unique identifier assigned to each Process Execution.
- **Approval Status**: It displays the Approval status of the Execution as Completed, Failed, or Ongoing.
- **Process Monitor**: This helps to show the run definition as defined in the process modeling framework. There are four icons in the Process Monitor as follows:
  - **PMF Launch**: Click **View** to view the Process flow associated with the selected run.
  - **Request Report Flag**: To request for a Reporting Run, select an Execution ID in the **Process Execution Summary** page and click the **Request Report Flag**. A dialog box will appear for you to input your comments. Click **Submit** and the status of this Run is displayed in the **Reporting Flag** section. Only a successful execution can be requested for reporting. For the selected Run and Execution date, there can be only one reporting flag.
  - **Approve Report Flag**: After submitting the Reporting Run in the earlier section, the **Approve Report Flag** is enabled. When you click the **Approve Report Flag**, a dialog box is displayed with User Comments and Approver Comments. The Approver can update the comments in the **Approver Comments** field and then click **Approve** or **Reject**.

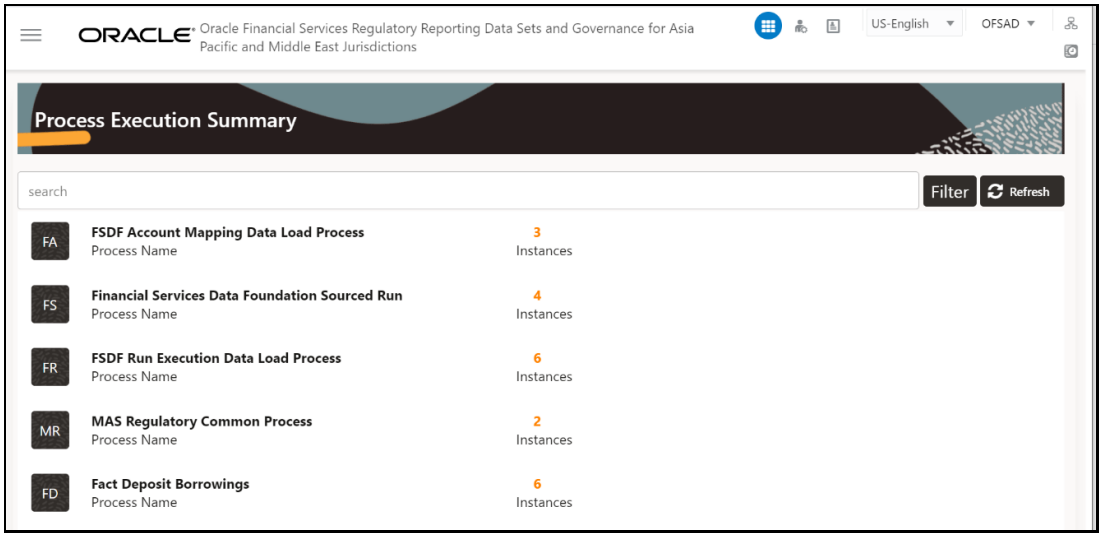
- **Override Report Flag**: Any reporting execution can be overwritten with another execution. Select a successfully triggered batch in the **Process Execution Summary** page. The **Override Report Flag** is enabled if an execution is already marked as a Reporting Flag. You can override the execution by updating your comments. This must be approved by the approver and the procedure is similar to the procedure detailed in the Approve Report Flag for a Run section.

3.4.3 Reporting Flag for Run through Process Execution Summary

To request, approve, and override a flag for the process execution, perform the following steps:

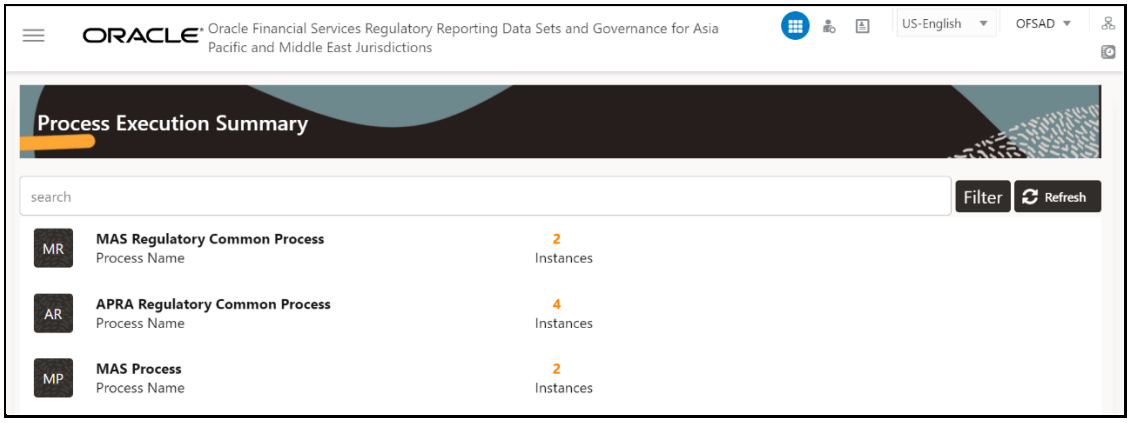
1. Navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** and select **Process Execution Summary**.

Figure 8: Process Execution Summary Page



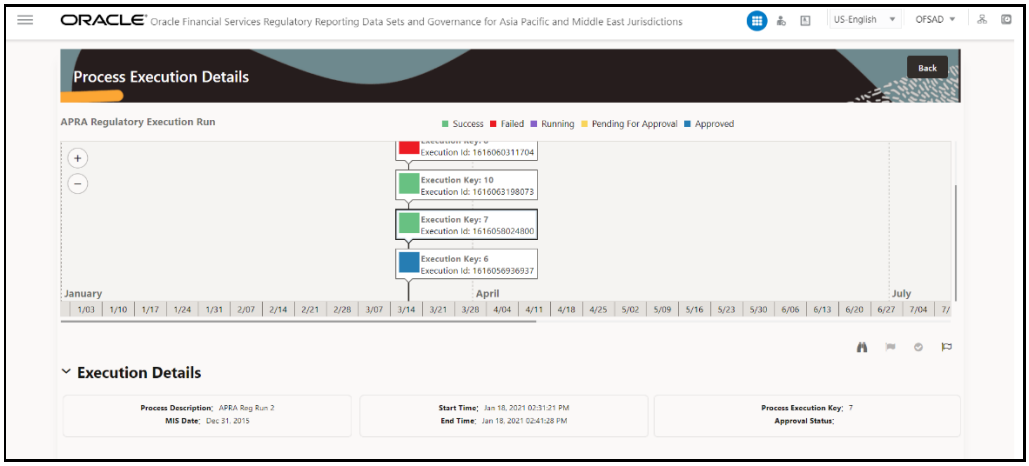
2. Scroll towards the right and click **Filter**, select the **Run Pipeline** from the available pipeline selection list. Click **OK**.

Figure 9: Process Execution Summary Filter Search Result Pane



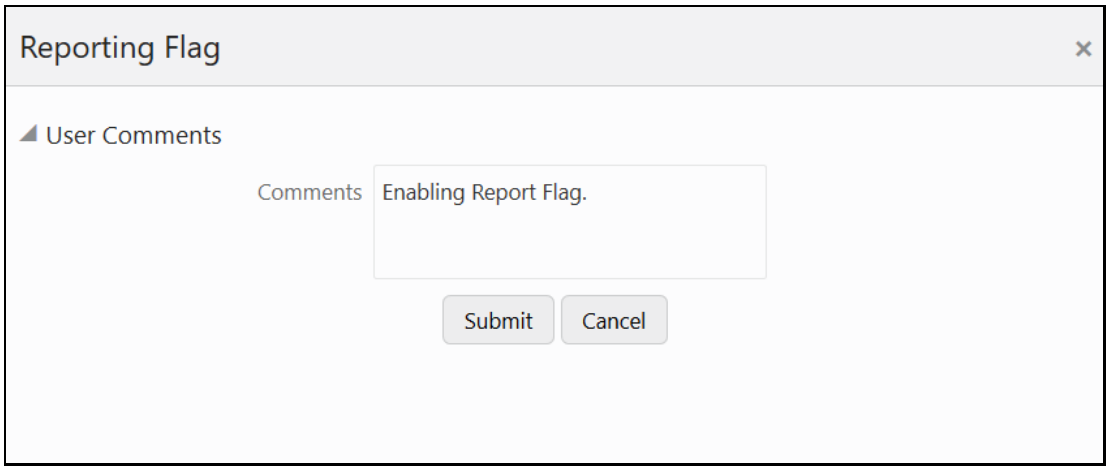
3. Scroll towards the right and click **View** in the **Process Name** row.

Figure 10: Process Execution Details Page



4. Select **Request Report Flag** to request a report flag for the selected run execution.

Figure 11: Request Report Flag Window



5. Enter information in the **Comments** field and click **Submit**. The request report flag for a run is saved successfully.

3.4.3.1 Approve Report Flag for a Run

To approve the report flag, perform the following steps:

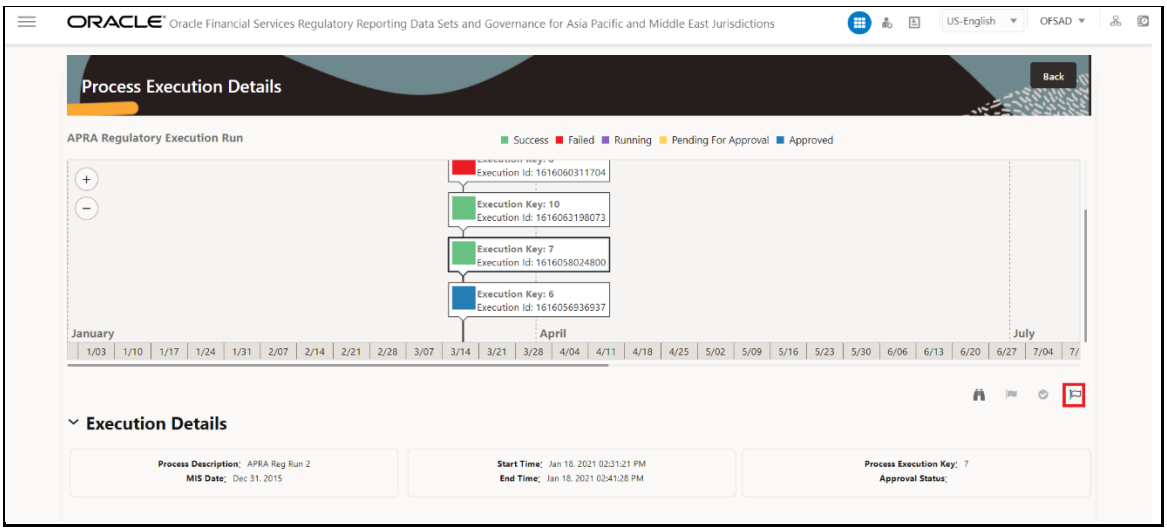
1. Navigate to the **Process Execution Summary** page and select the process name for which the report flag must be approved.
2. Click **Approve** to approve the request.
3. Enter the information in the **Approve Request Flag** page.
4. Click **Approve** to approve the requested report flag.

3.4.3.2 Override Report Flag for a Run

To override the report flag for a successful run, perform the following steps:

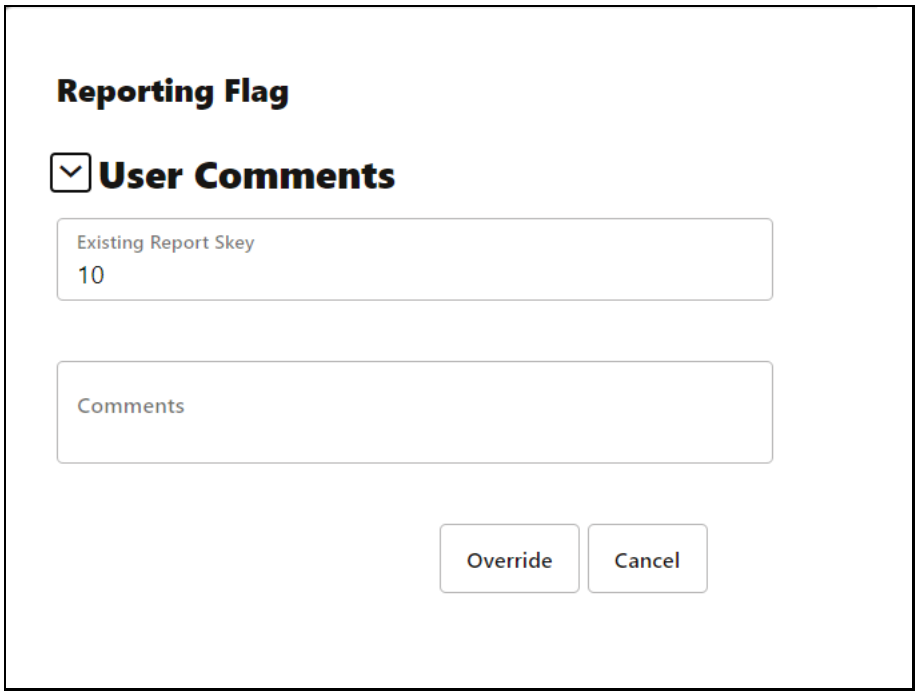
1. Navigate to the **Process Execution Summary** page and select the process name for which the report flag must be overridden.
2. Click **Override Report Flag** to override the report flag.

Figure 12: Override Request Report Flag



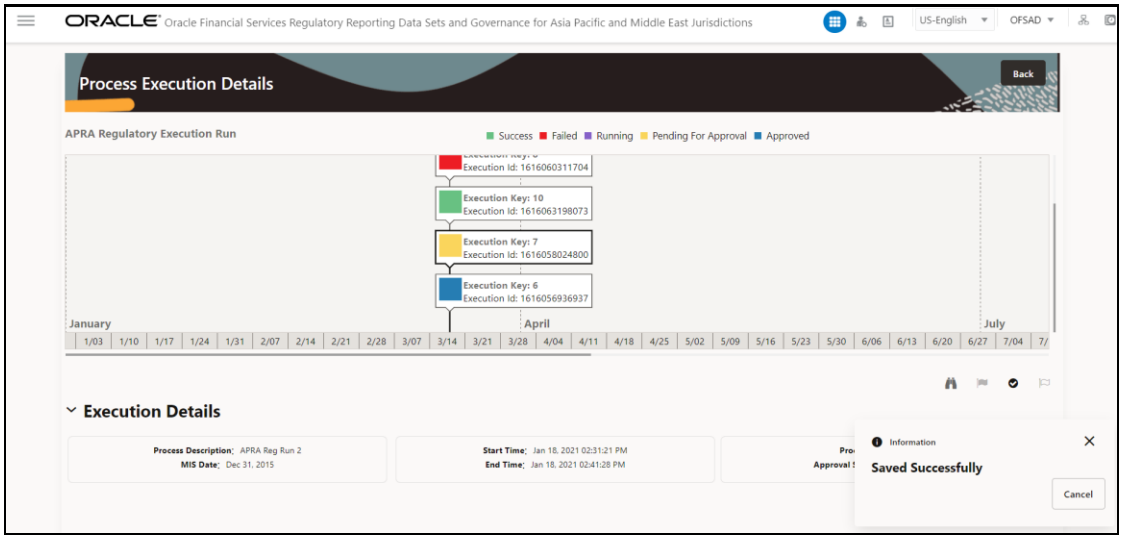
3. Enter the information in the **Override Report Flag** window.

Figure 13: Override Report Flag Details Window



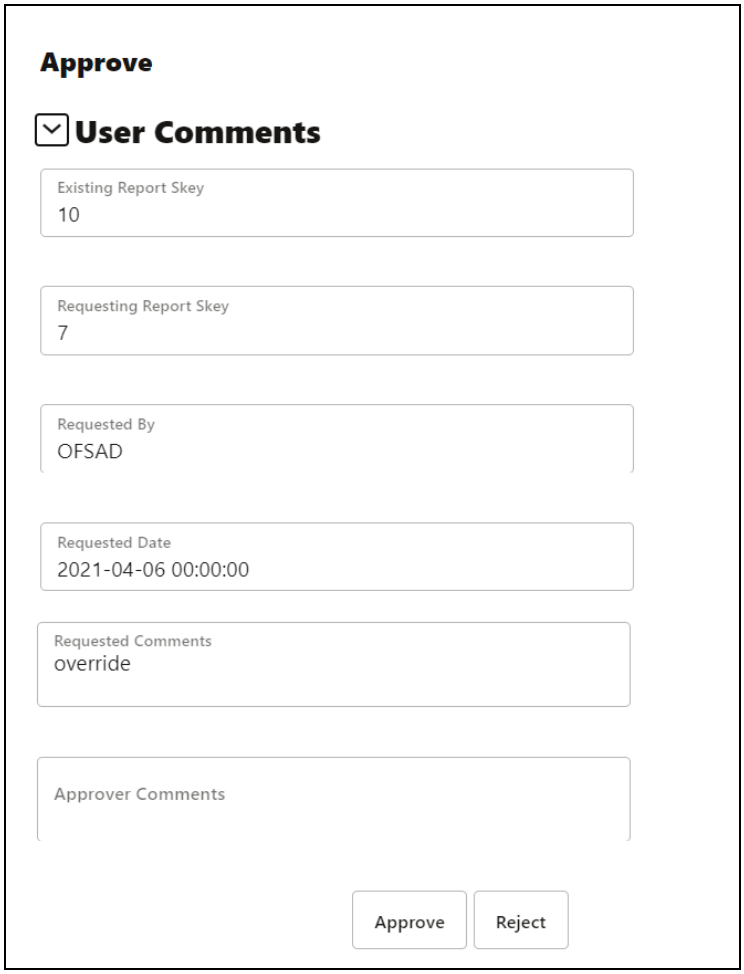
4. Click **Override** to override the requested report flag.

Figure 14: Report Flag Pending for Approval page



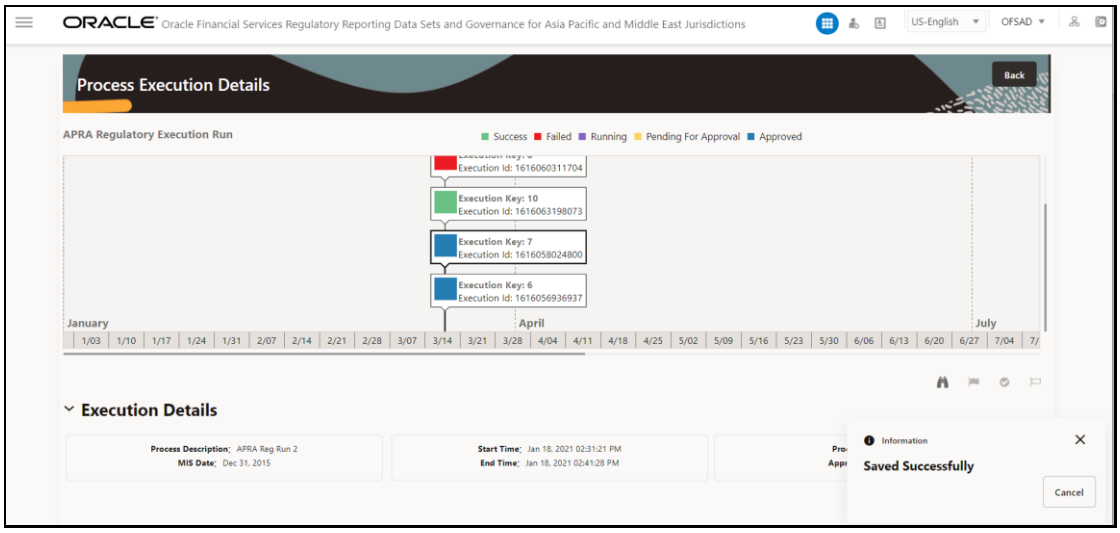
5. Click **Approve Report Flag** to approve the override report flag request.

Figure 15: Approve Override Report Flag Window



6. Enter the information in the **Approver Comments** field and click **Approve** and the report flag is overridden successfully.

Figure 16: Overridden Report Flag page

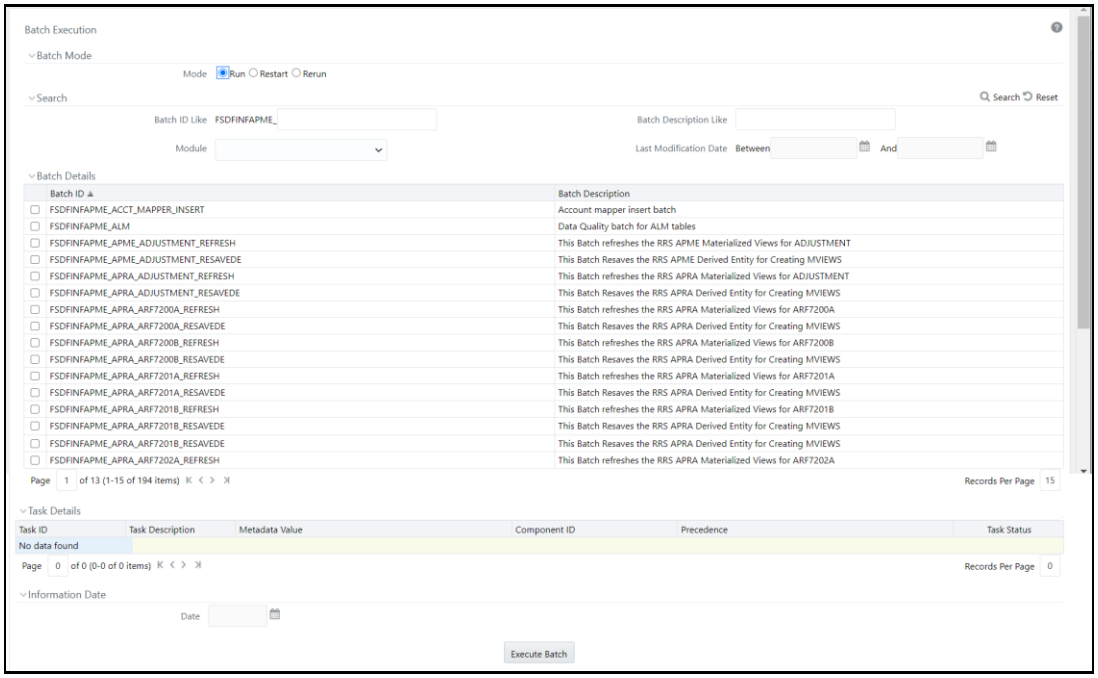


3.4.4 Executing Batch to Resave Derived Entities

To execute the batch to resave derived entities, follow these steps:

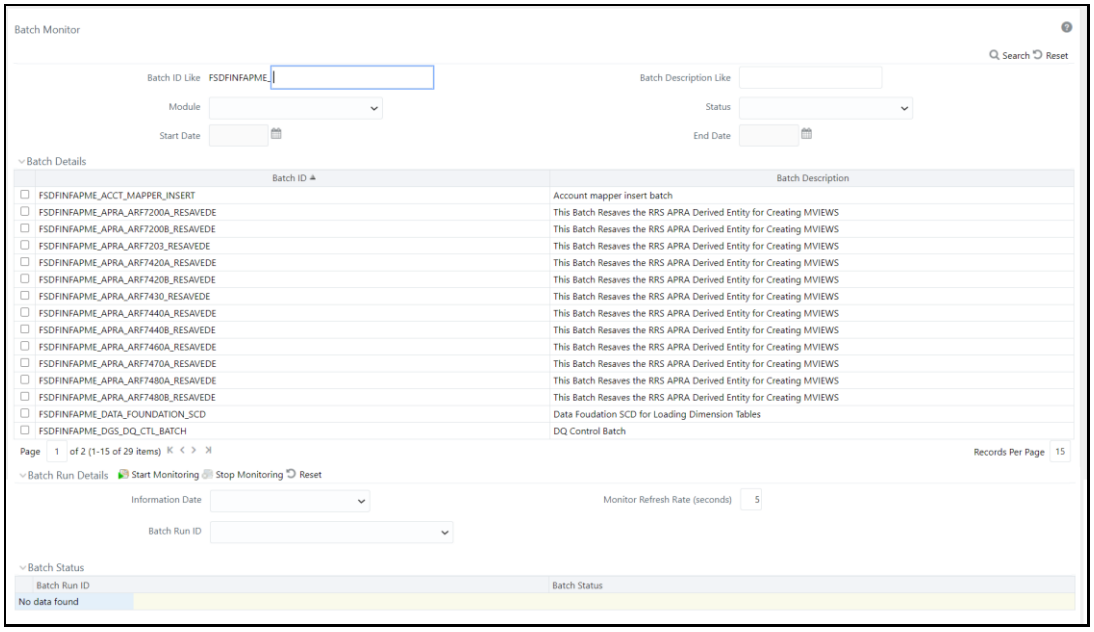
1. After logging into the OFSAAI applications page, navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** select **Operations**, and then select **Batch Execution**
2. Select the batch **<<INFODOM>>_APRA_<<REPORT NAME>>_RESAVEDE** to resave all the DEs used in that <<REPORT NAME>>.

Figure 17: Batch Maintenance Screen



3. Monitor the status of the batch using the **Batch Monitor** link (Navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** select **Operations,** and then select **Batch Monitor**).

Figure 18: Batch Monitor Screen



4. The batches available for resaving DE in this release for APRA, MAS and RBI are as follows:
   - batch_resave_de_apme_adjustments
   - <<INFODOM>>_APRA_<REPORT>_RESAVEDE

- <<INFODOM>>_MAS_<REPORT>_RESAVEDE
- <<INFODOM>>_RBI_RCAIII_RESAVEDE

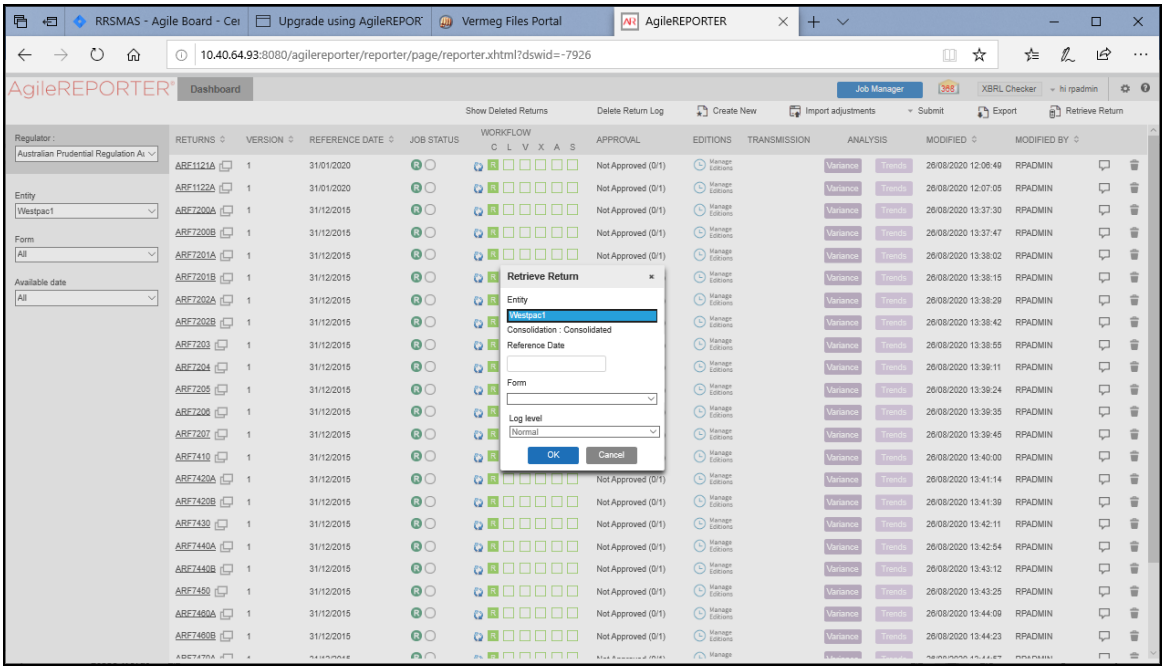
The batches available for refreshing DE in this release for APRA, MAS and RBI are as follows:

- batch_refresh_de_apme_adjustments.sql
- <<INFODOM>>_APRA_<REPORT>_REFRESH
- <<INFODOM>>_MAS_<REPORT>_REFRESH
- <<INFODOM>>_RBI_RCAIII_REFRESH

3.4.5 Retrieving the Returns from AgileREPORTER

The Retrieve Return functionality in AgileREPORTER fetches data from OFSAA derived entities and embeds them on AgileREPORTER templates. This runs the decision table process in Lombard Risk. You can view the relevant OFSAA data on various schedules of the AgileREPORTER using this functionality.

Figure 19: Retrieve Returns Page



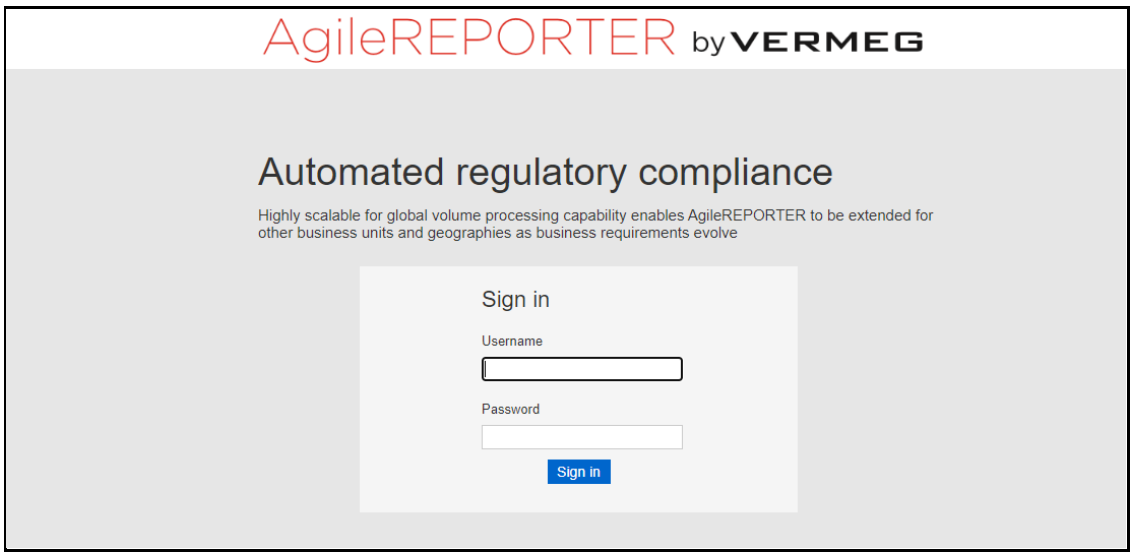
3.4.6 Report Verification - Drill Down from AgileREPORTER to OFSAA Results Area

Drill-down functionality enables you to view the accounts included in the aggregation. Following these steps to drill-down from AgileREPORTER to OFSAA:

> **NOTE** OFSAA user must be assigned to the RPTANALST group.

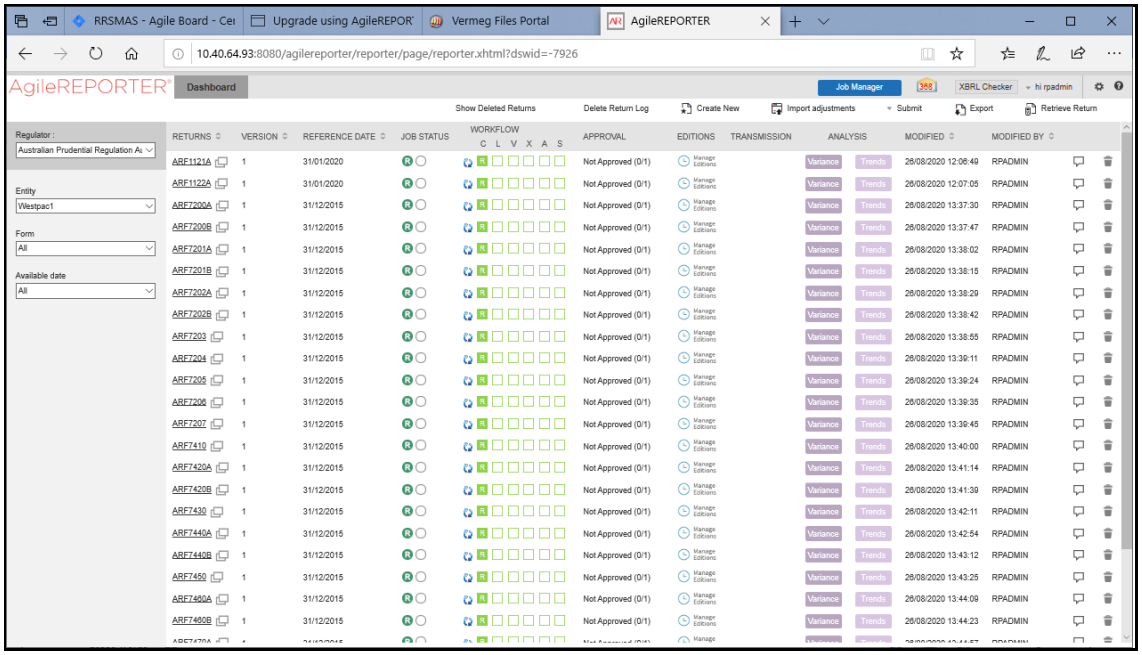
1. Log in to the AgileREPORTER.

Figure 20: AgileREPORTER Login Page



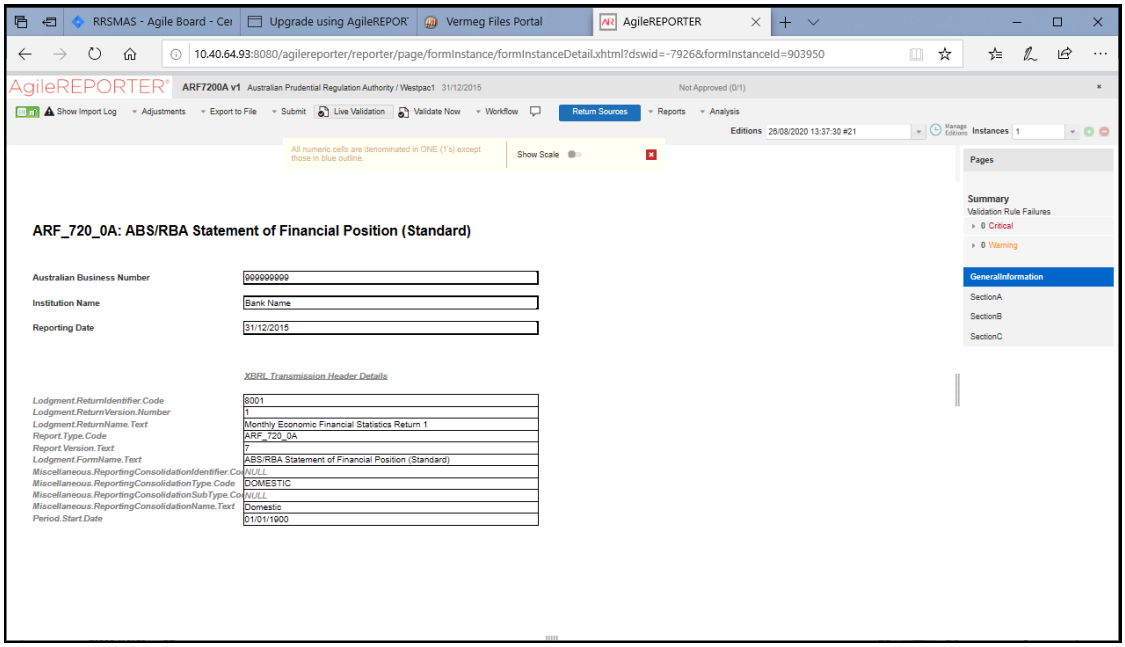
You can view the list of reports on the main page.

Figure 21: AgileREPORTER Main Page



2. Select any report name in the Returns column, for example, **ARF720_0A**.

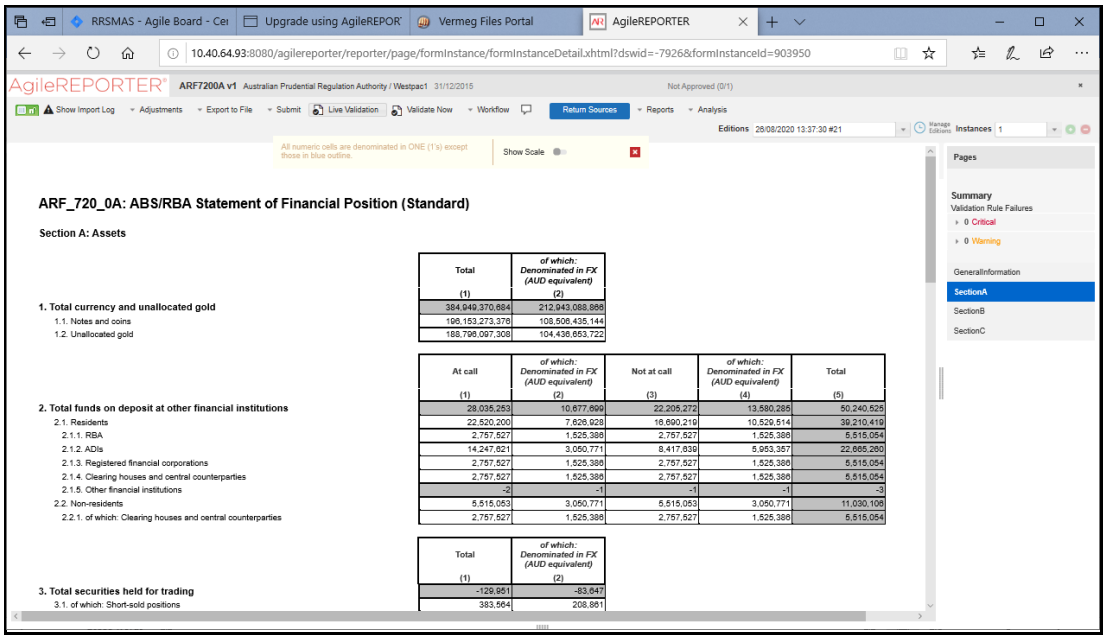
Figure 22: AgileREPORTER Page Displaying List of Schedules



The schedule list is displayed on the right-hand side.

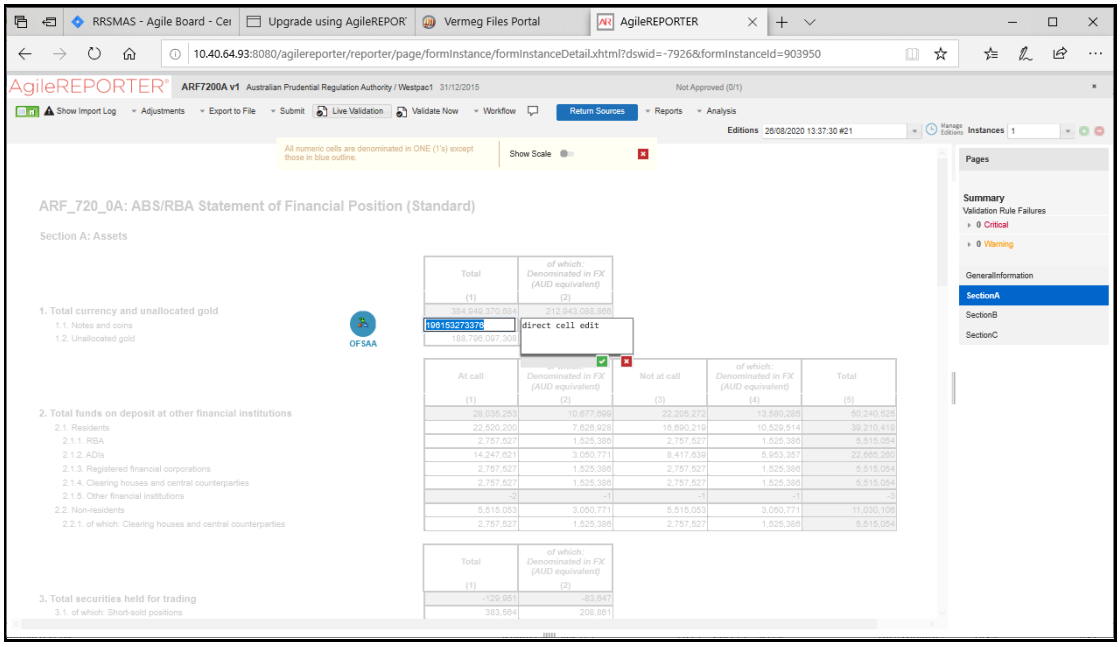
3. Select any schedule name, for example, **Section A**.

Figure 23: AgileREPORTER Schedule Details Page



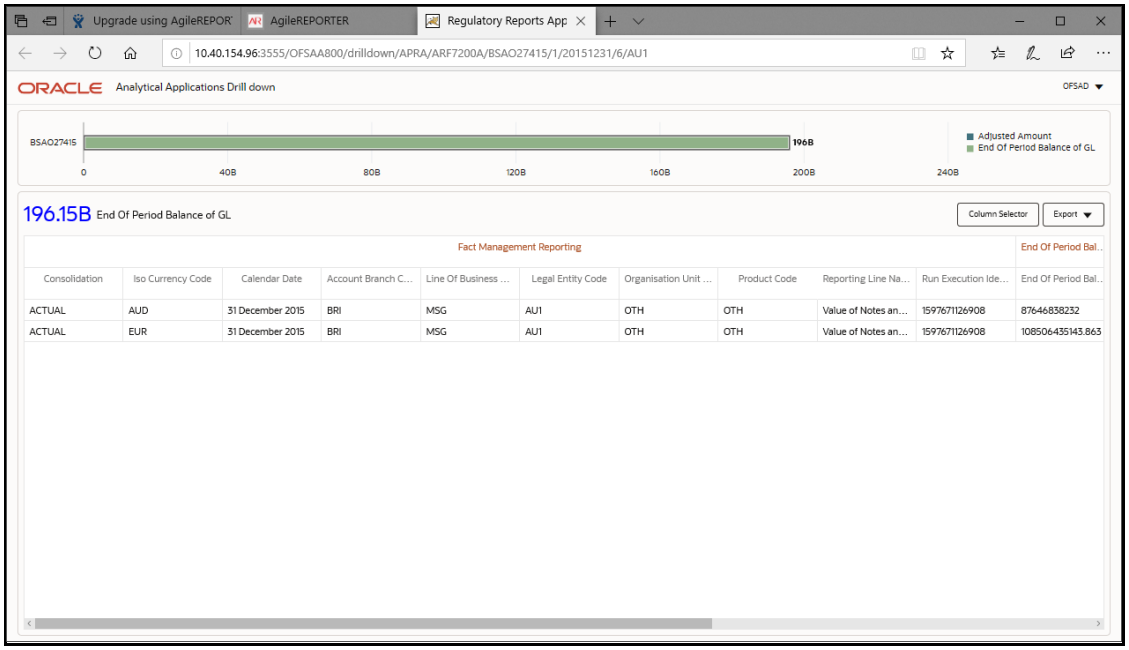
4. Click any cell to drill down. Figure 24 displays Drill down for the cell. The **OFSAA icon** is displayed

Figure 24: AgileREPORTER Schedule Drill Down page



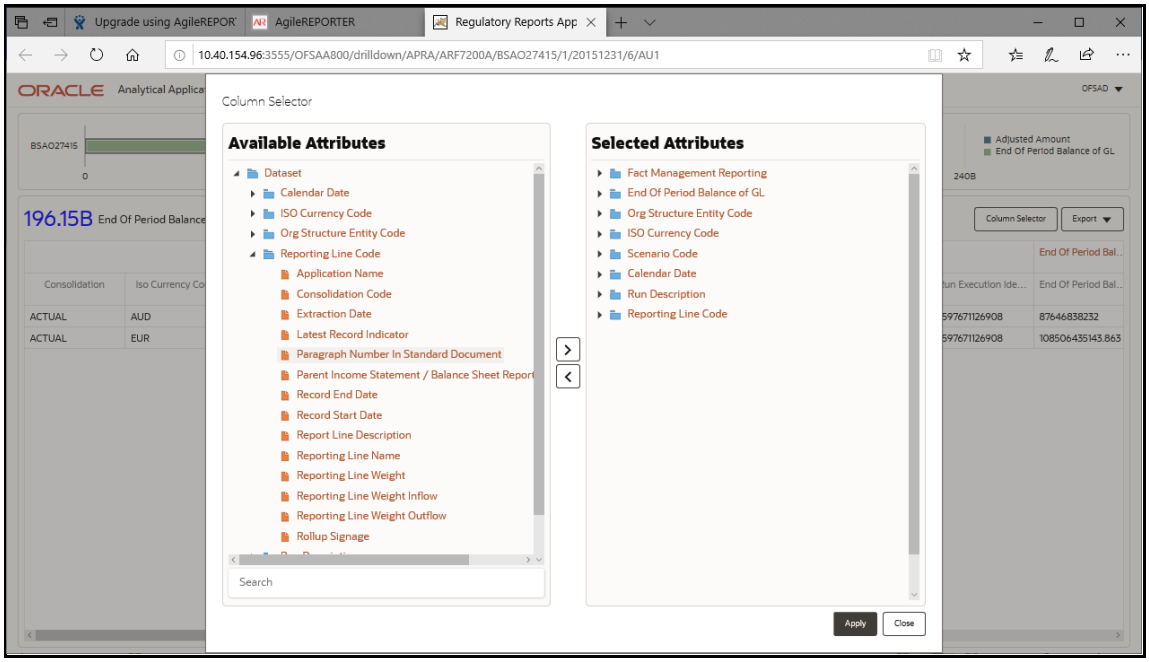
5. Click the OFSAA icon, to view how this cell was populated (provides information about the amounts reported in a cell) from OFSAA results. You are redirected to the OFSAA Drill down page.

Figure 25: AgileREPORTER Drill down Page



6. Click the **Column Selector** button on the header of the second table.

Figure 26: Drill down Attribute Selector



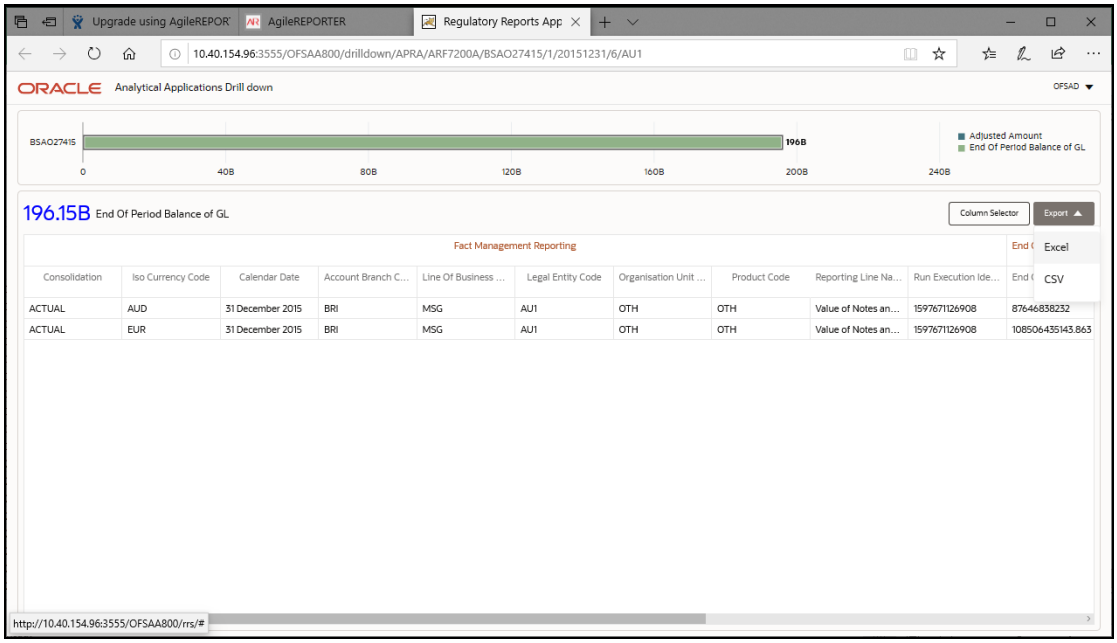
NOTE

Select the required Data Source, from the Available Attributes list and click **Move** . You can press the **Ctrl** key and click **Move** for multiple selections to map all the listed Data Sources to the application.

Select the required Data Source, from the Selected Attributes list and click **Remove** to remove the mapped Data Source from the application.

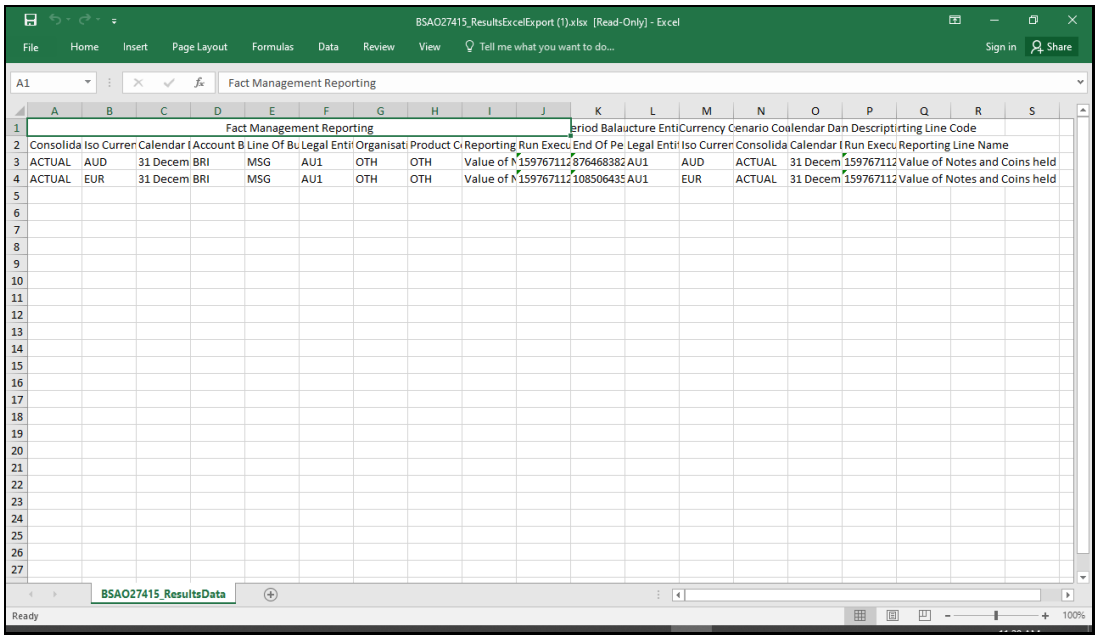
7. Expand **Dataset** and select the **Attribute** to be shown in the Drill down. Click **Apply.**

Figure 27: Drill down Columns



8. Click **Export** to export the report details.

Figure 28: Exported Report Details



3.5 Metadata Browser

This section helps you to navigate through the Metadata Browser and guides you in tracing the source of the metadata. The Metadata Browser function allows you to view and analyze all aspects of the metadata used in the OFSAAI. It provides extensive browsing capabilities of metadata, helps in tracking the impact of changes to metadata, and trace through to the source of originating data.

Metadata Browser (Object and Application View) provides a common repository of metadata objects created in OFSAAI and applications hosted in OFSAAI. Using this view, you can identify the usage of base objects in higher-level objects and the mapping of Objects to Application, thus enabling traceability. It also allows you to view the data flow and the workflow of the application and understand the usage of objects within the application.

The new visualization of Metadata Browser (MDB) supports the Application view and Object view. In the Application view, you can browse through the metadata created using the applications hosted in OFSAAI. In the Object view, you can view the metadata created in OFSAAI.

To access the Metadata Browser (Object and Application Views), your role must be mapped to the SCR_MDB function.

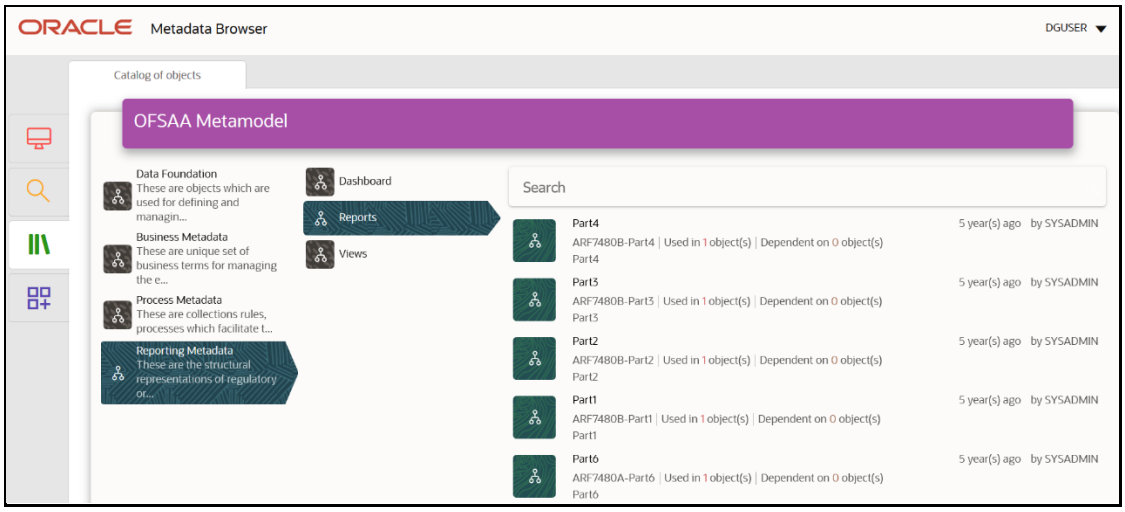
Analysts review the metadata used for a particular report schedule to verify the data. Data verification may require looking for metadata used in a given schedule or it can be scheduled in which particular metadata is used. Data Analysts and Reporting Analysts perform the report verification. Metadata refers to business measures, hierarchies, Datasets, derived entities used for a given schedule.

3.5.1 Reporting Metadata

To use MDB for schedule-wise metadata, and to use MDB for metadata wise schedule, identify the metadata used, perform the following steps:

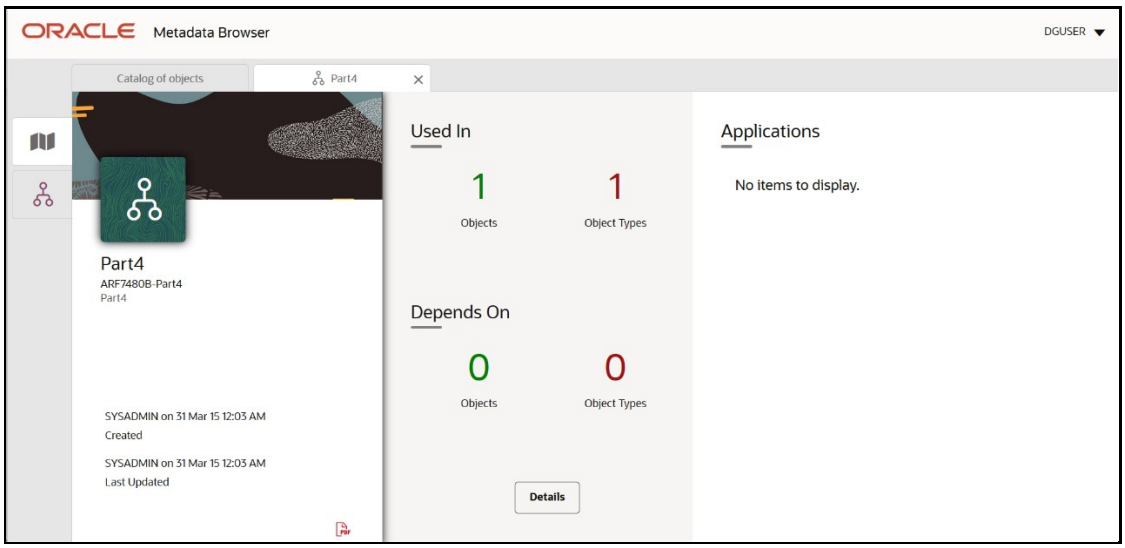
1. You can verify the data for related data elements in results using this information. Navigate to **Catalog of Objects,** select **OFSAA Metamodel,** select **Reporting Metadata,** and then select **Reports**. The MDB Reporting Metadata screen is displayed.

Figure 29: MDB - Reporting Metadata Page



2. Click the object view ARF7480B to view the list of schedules. The **Reporting Metadata Schedule View** page is displayed.

Figure 30: MDB - Reporting Metadata - Schedule View

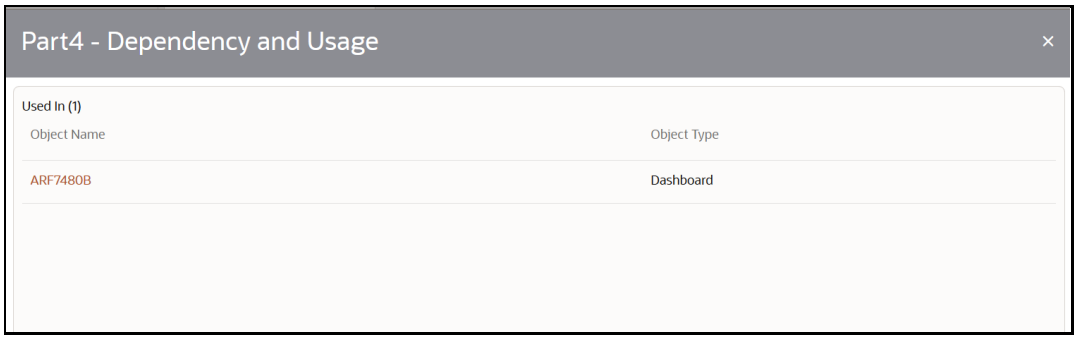


You can view the following information in the **Schedule Details** page:

- **Depends On**: This section displays the metadata used in a given schedule.
- **Used In**: This section displays the Reports in which this schedule is used.
- **Applications**: This section displays the applications in which this schedule is used.

3. Click **Details** to view the dependency and usage information such as the **Object Name** and the **Object Type**.

Figure 31: MDB - Reporting Metadata - Schedule View 1



4. From the **Schedule View** page, click the **Dependency** tab to view the report tree structure.

Figure 32: MDB - Reporting Metadata Tree Structure Page

Starting from common metadata used across the application, you may want to know the list of reports or derived entities this metadata has used. Let us take an example of a measure. To identify how value is computed, perform the following steps to trace it back to the metadata.

3.5.2 Business Metadata

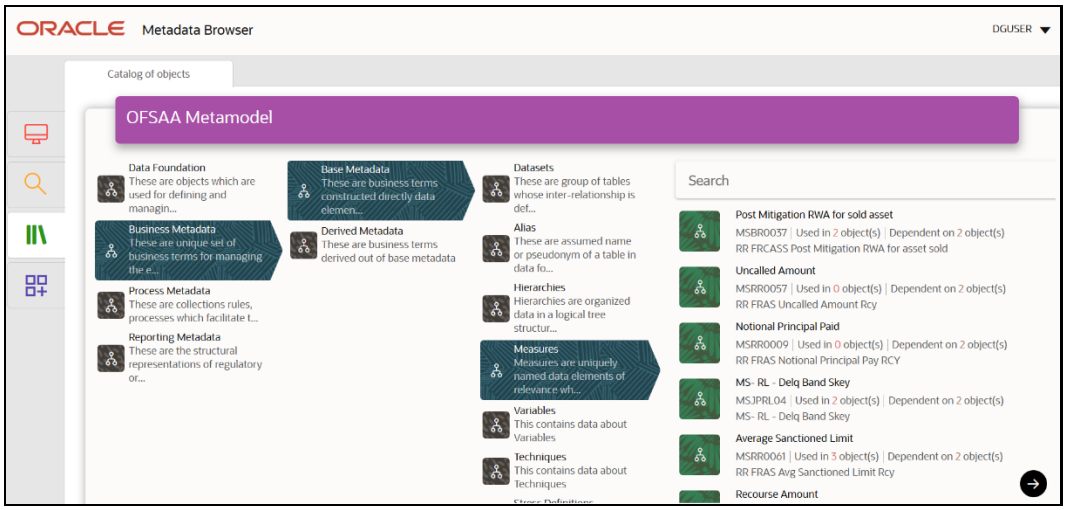
This section provides information on the Business metadata objects which include Base Metadata and Derived Metadata.

3.5.2.1 Base Metadata

The following are the steps to perform to view the Base metadata details. For example, Measures.

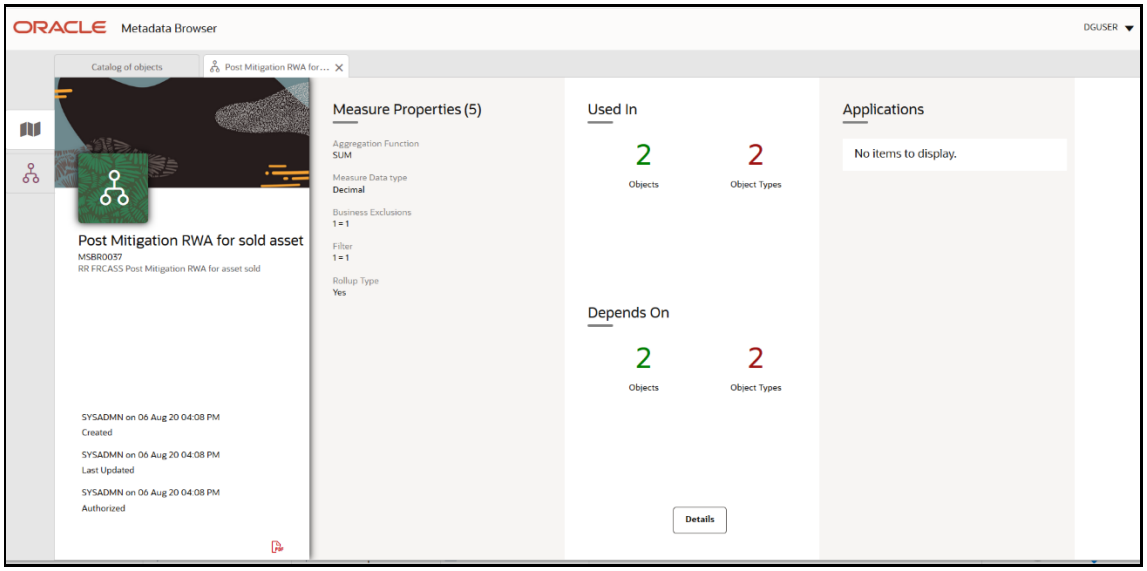
1. To view the measures, navigate to **Catalog of Objects,** select **OFSAA Metamodel,** select **Business Metadata,** select **Base Metadata,** and then select **Measures**. The **MDB Business Metadata** page is displayed.

Figure 33: MDB - Business Metadata - Measure View Page



2. Click the **Measure** that you wish to view. The **MDB Business Metadata Measure Details** page is displayed.

Figure 34: MDB - Business Metadata Measure Details Page

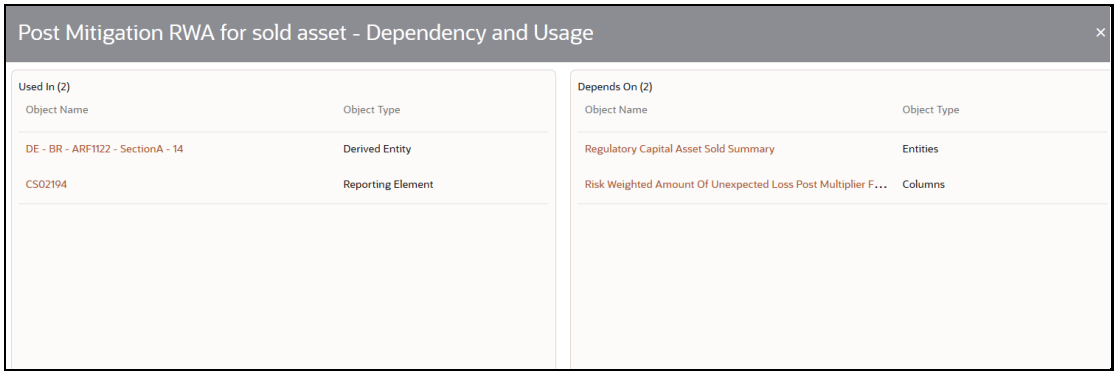


You can view the following information on this page:

- **Measure Properties**: It provides information on the properties of Business measures. For example, aggregation function, Measure Data Type, Business Exclusions, Filter, and Rollup Type.
- **It depends on**: This section displays all the object names and their types, such as Entities, Columns, and so on.
- **Used In**: This section displays the Objects in which this schedule is used.
- **Applications**: This section displays the applications in which this schedule is used.

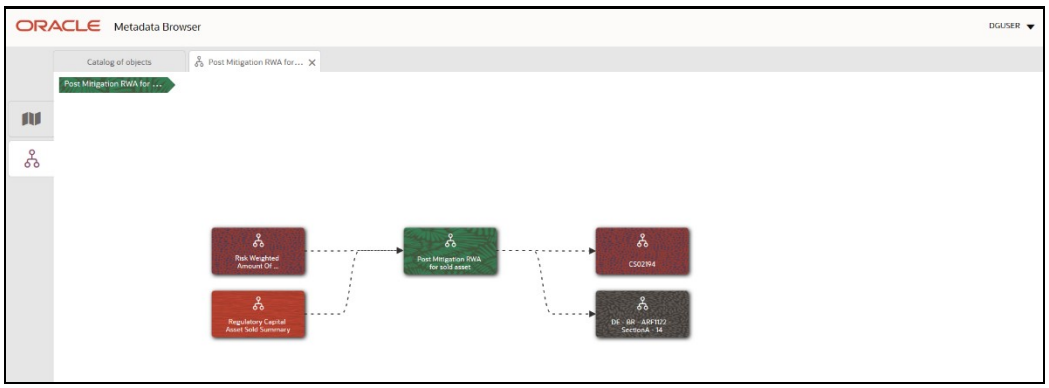
3. Click **Details** to view the measure dependency and usage information.

Figure 35: Measure Dependency and Usage Details Page



4. From the **Measure Details** page, click the **Dependency** tab to view the measure tree structure.

Figure 36: Business Metadata Measure Tree Page



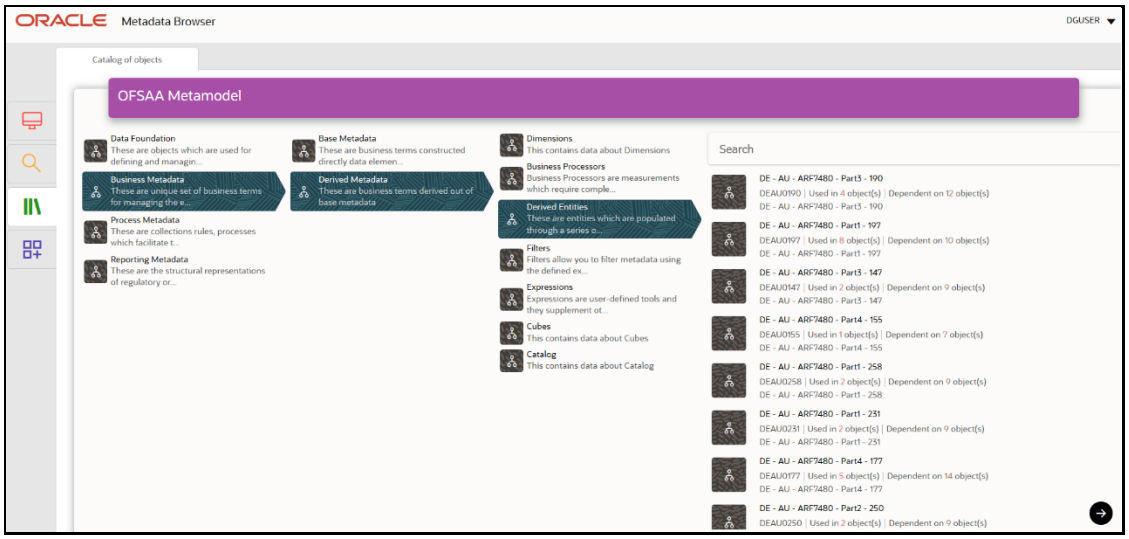
NOTE The similar steps as mentioned in this section are applicable for other metadata such as Business Metadata (Hierarchies, Measures, Variables, and so on) and Derived Metadata (Dimensions, Filters, and so on), Process Metadata (Process, Rules, and so on) and Data Foundation (Target Model, Sources, Connectors, and so on).

3.5.2.2 Derived Metadata

The following are the steps to perform to view the Derived Metadata details. For example, Derived Entities.

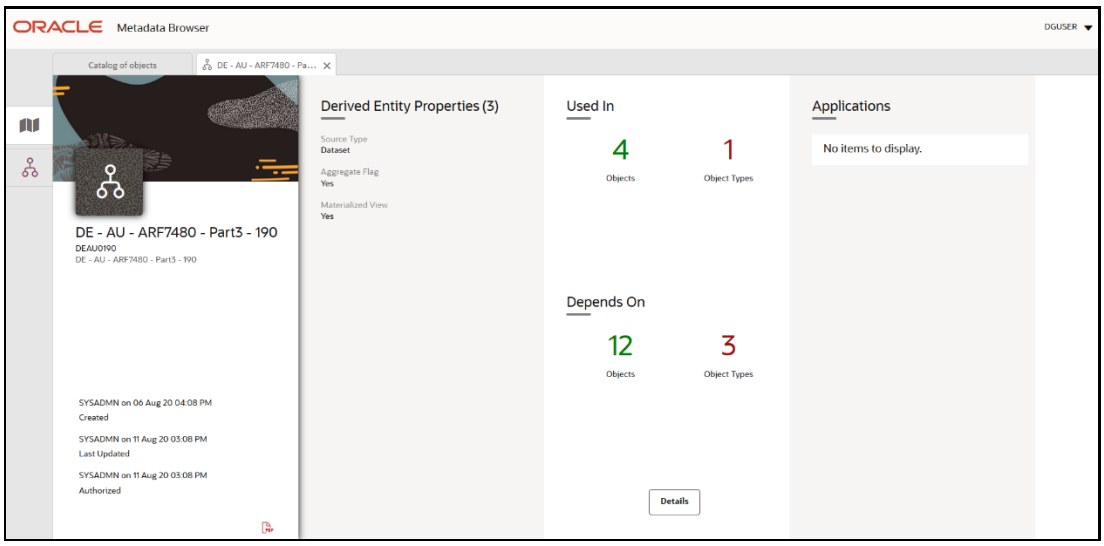
1. To view the schedule-wise derived entities, navigate to Catalog of **Objects,** select **OFSAA Metamodel,** select **Business Metadata,** select **Derived Metadata,** and then select **Derived Entities**.

Figure 37: MDB - Business Metadata – Derived Entity Page



2. Click the **Derived Entity** that you wish to view. The **Derived Entity Details** page is displayed.

Figure 38: Derived Entity Details Page

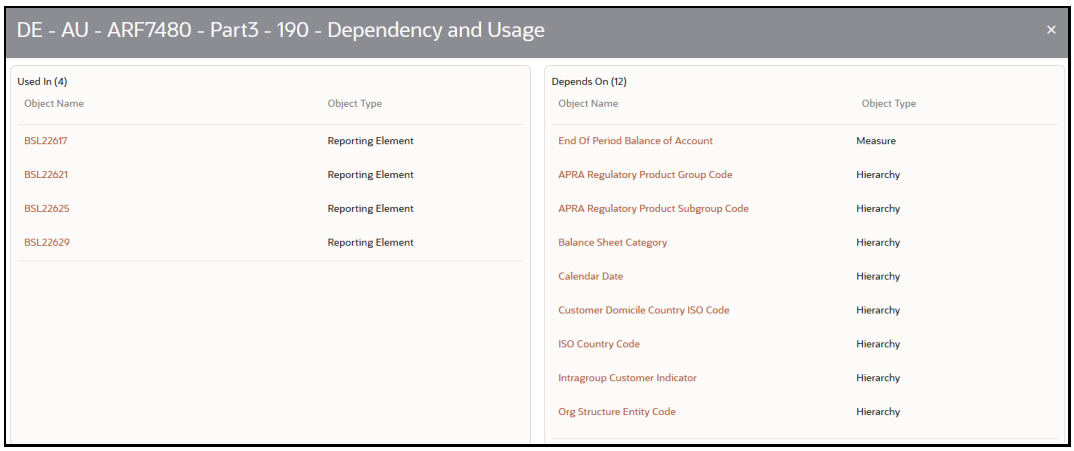


You can view the following information on this page:

- **Derived Entity Properties**: It provides information on properties of derived entities, such as Source Type, Aggregate Flag, and Materialized View.
- **It depends on**: This section displays all the object names and their types, such as Dataset, Hierarchy, and so on.
- **Used In**: This section displays the Objects in which this schedule is used.
- **Applications**: This section displays the applications in which this schedule is used.

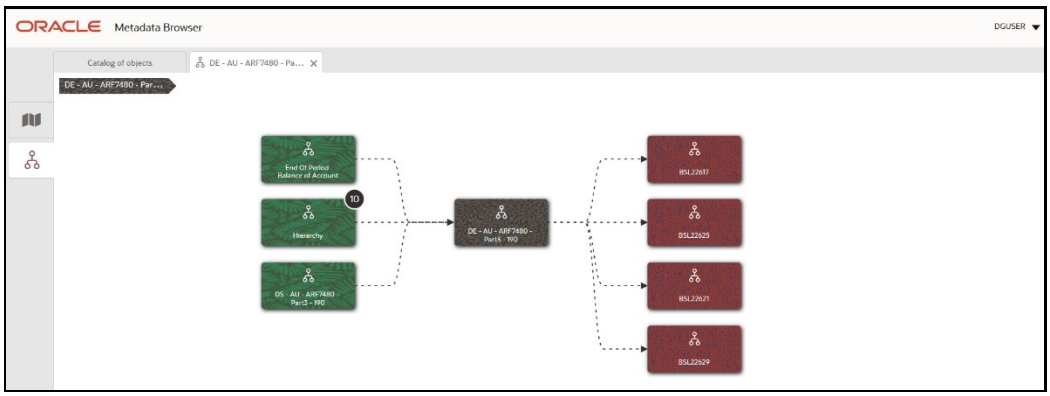
3. Click **Details** to view the derived entity dependency and usage information.

Figure 39: Derived Entity Dependency and Usage Page



4. From the **Derived Entity Details** page, click the **Dependency** tab to view the Derived Entity tree structure.

Figure 40: Derived Entity Tree Structure Page



For more information about the Metadata and its usage, see the OFSAA Metadata Browser User Guide.

3.6 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.

3.6.1 User Roles and Actions

All users are required to be mapped to the **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP** groups along with their respective groups.

The following is the user role for Business Terms:

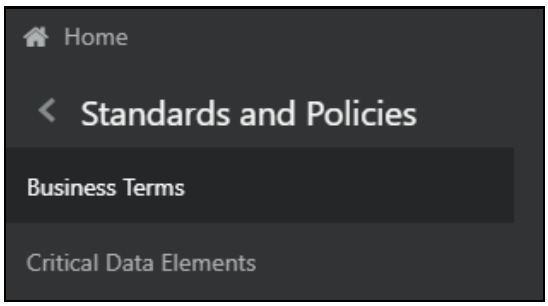
- **Business Term Viewer**: Permits the user to view the Business Terms.

3.6.2 Viewing a Business Term

To view a Business Term, follow these steps:

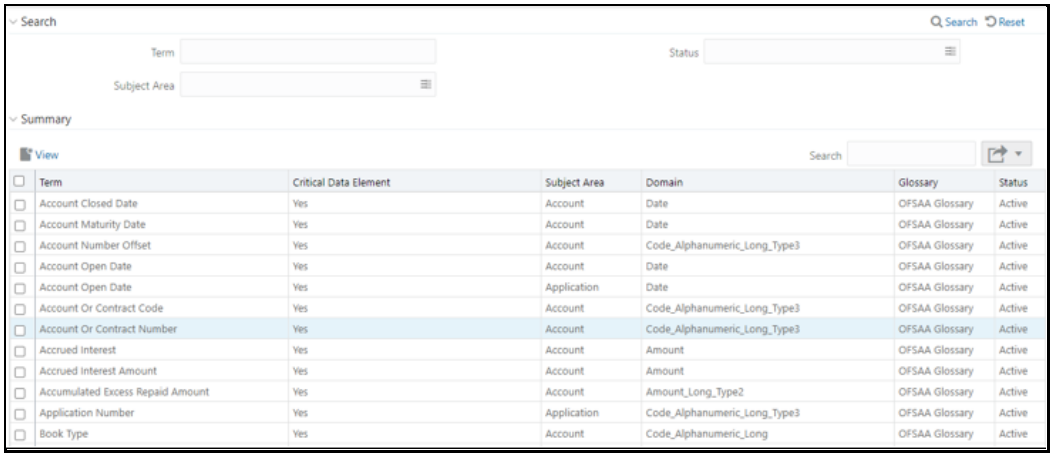
1. From the **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Standards and Policies** and select **Business Terms**.

Figure 41: Standards and Policies – Business Terms



The **Business Terms** window is displayed.

Figure 42: Business Terms



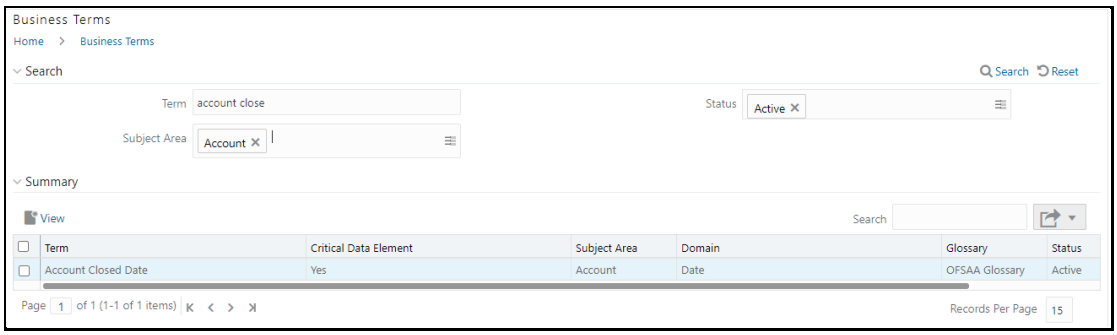
2. In the **Search** section, enter the search details and click Search to view the results in the summary table.

    a. Enter the required Business **Term**.

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

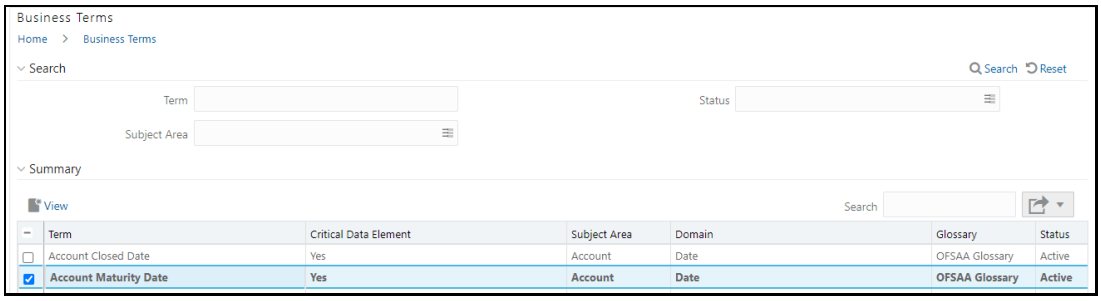
    c. Select the **Subject Area** from the drop-down list.

Figure 43: Business Terms Search



3. To view a Business Term, select a Business Term from the Summary table and click View icon.

Figure 44: Business Terms - View

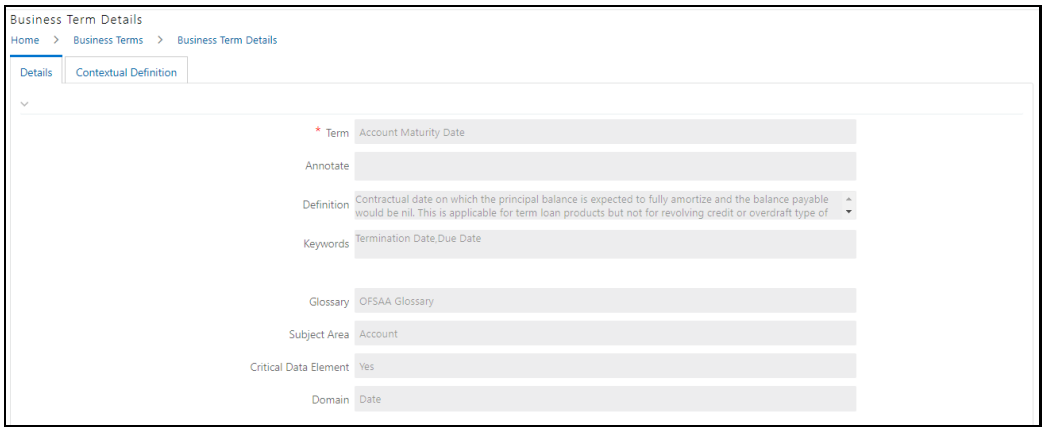


4. In the **Business Term Details** window, you can view the following **Details:**

Table 6: Business Term Details

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

Figure 45: Business Term Details

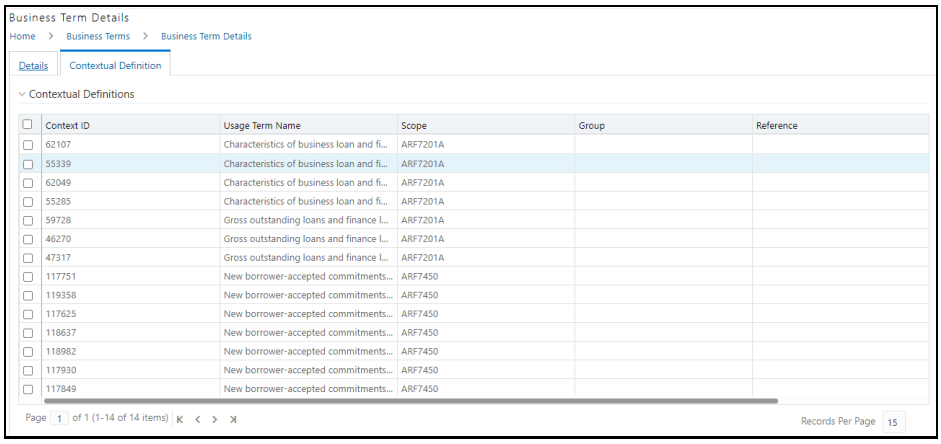


5. In the **Contextual Definition** window, you can view the following details:

Table 7: 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 46: Business Term Contextual Definition

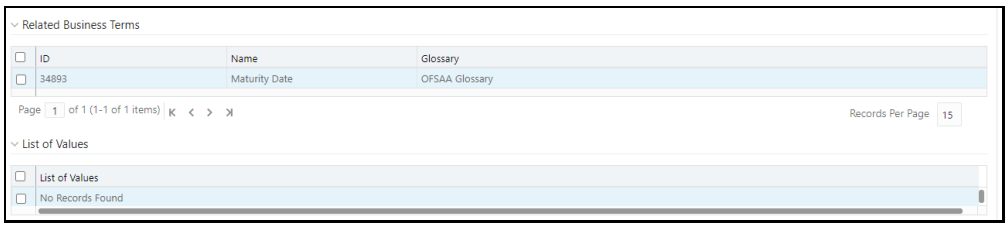


6. You can also view the **Related Business Terms** and **List of Values** associated with the Business Term.

   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.

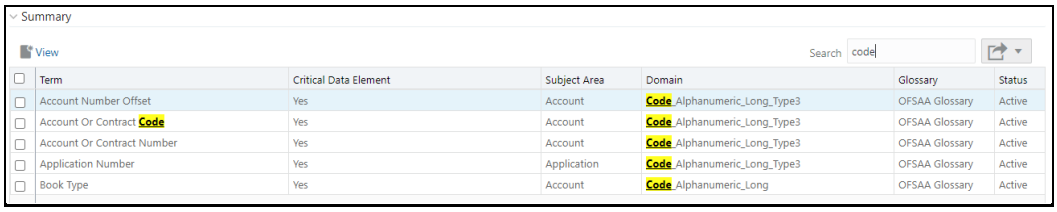
Figure 47: Related Business Terms and List of Values



7. 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.

Figure 48: Business Terms Search



8. 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.

3.7 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. DGAPRA 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 and is stored in the FSI_GL_CDE_DETAILS table. These elements are monitored for accuracy and consistency of data within the Key Indicator and Control section.

3.7.1 User Roles and Actions

All the users are required to be mapped to the **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP** groups along with their respective following groups.

The following is the user role for critical data elements:

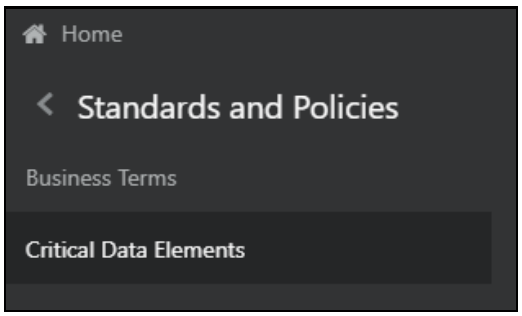
- **Critical Data Elements**: Permits the user to view the critical data elements.

3.7.2 Viewing Critical Data Elements

To view a **Critical Data Element,** follow these steps:

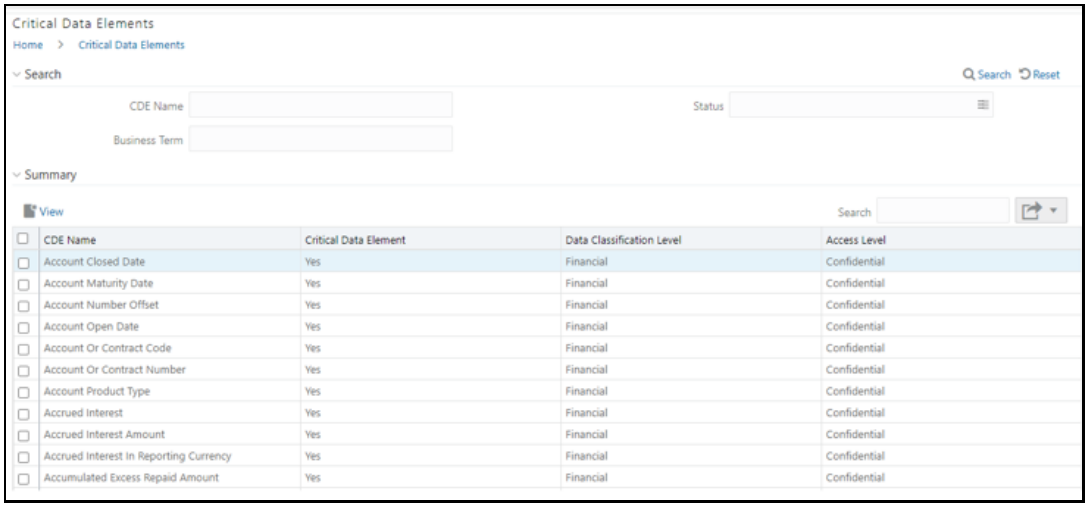
1. From the **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** window navigate to **Standards and Policies** and select **Critical Data Element**.

Figure 49: Standards and Policies - Critical Data Element



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

Figure 50: Critical Data Element



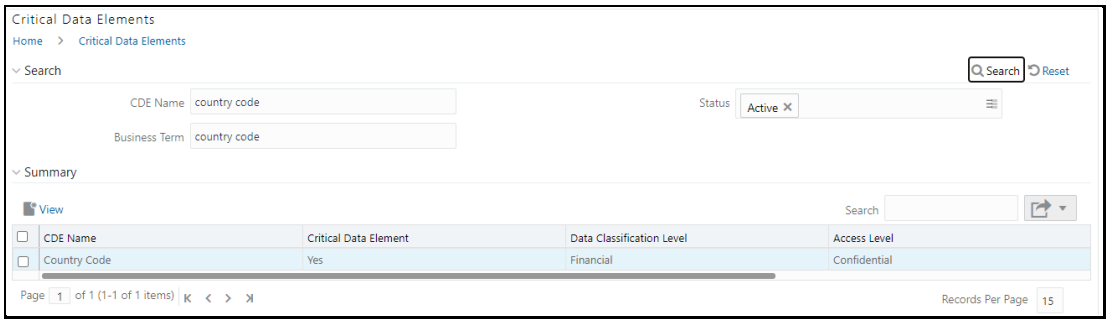
2. In the **Search** section, enter the search details and click Search to view the results in the summary table.

    a. Enter the required **CDE Name**.

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

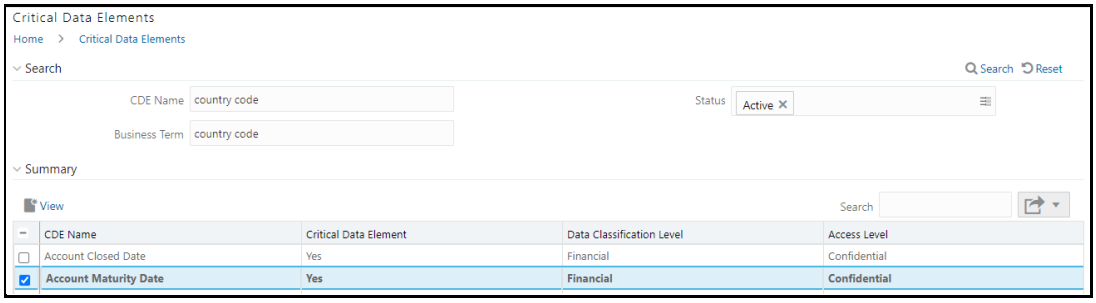
    c. Enter the **Business Term**.

Figure 51: Critical Data Element Search



3. To view a CDE, select a CDE Name and click View icon.

Figure 52: Critical Data Element View

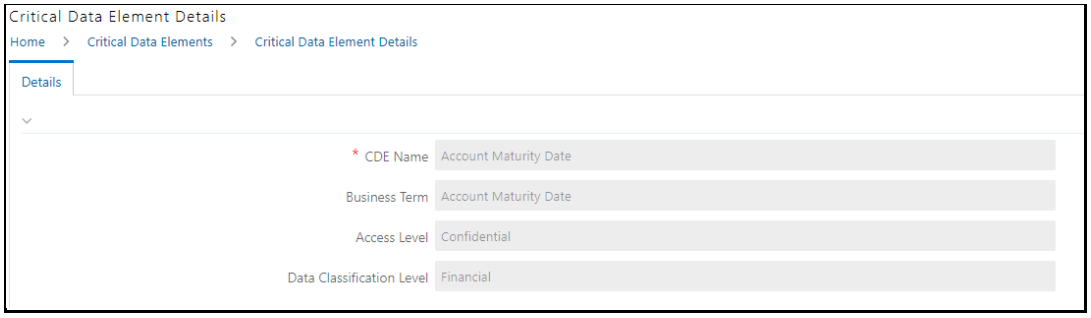


4. In the **Critical Data Elements Details** window, you can view the following details:

Table 8: Critical Data Elements Details

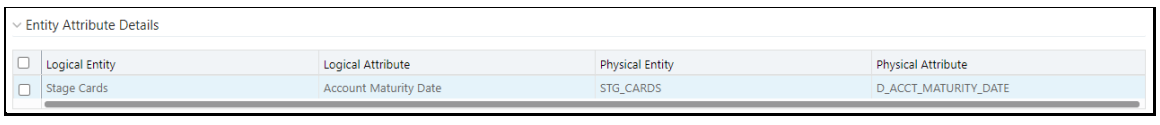
Fields	Description
CDE Name*	CDE Name.
Business Term*	Business Term Name.
Access Level*	Access level: **Public** **Confidential** **Restricted**
Data Classification Level*	Data classification level from the drop-down list: **Legal** **Financial** **PHI** **PII**

Figure 53: Critical Data Elements Details



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

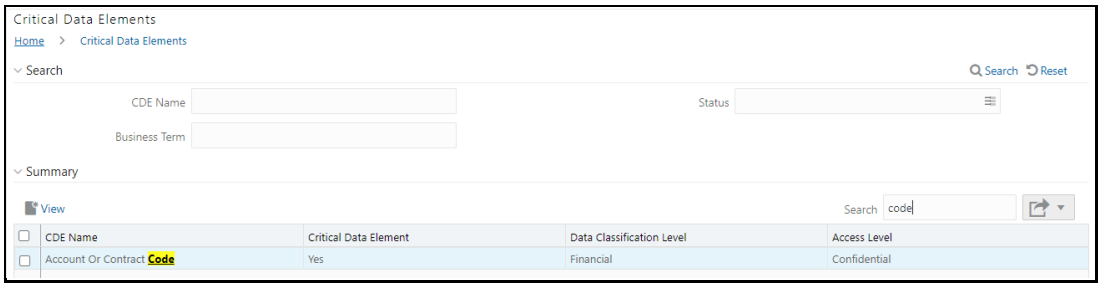
Figure 54: Entity Attribute Details



6. 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.

Figure 55: Critical Data Element Search



7. To export the summary table into an **Excel** or **CSV** file, in the Summary Table, click the **Export** drop-down  . This downloads the CDE Summary details.

3.8 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 alongside.

3.8.1 User Roles and Actions

All the users are required to be mapped to the **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP** groups along with their respective following groups.

The following is the user role for key indicators:

- **DG Administration:** Permits the user to view and edit the key indicator assessment configuration.

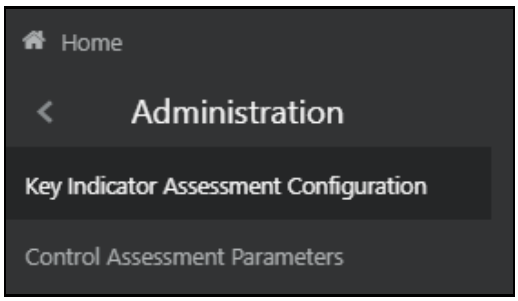
3.8.2 Configuring Key Indicators

To configure the key indicator, follow these steps:

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

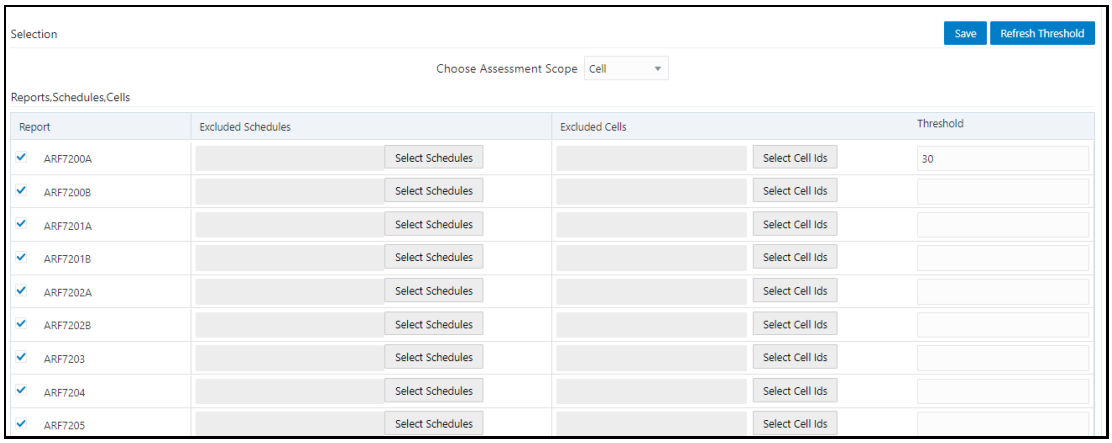
1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** window navigate to **Administration** and select **Key Indicator Assessment Configuration**.

Figure 56: Key Indicator Assessment Configuration



The **Key Indicator Assessment Configuration** window is displayed.

Figure 57: Key Indicator Assessment Configuration

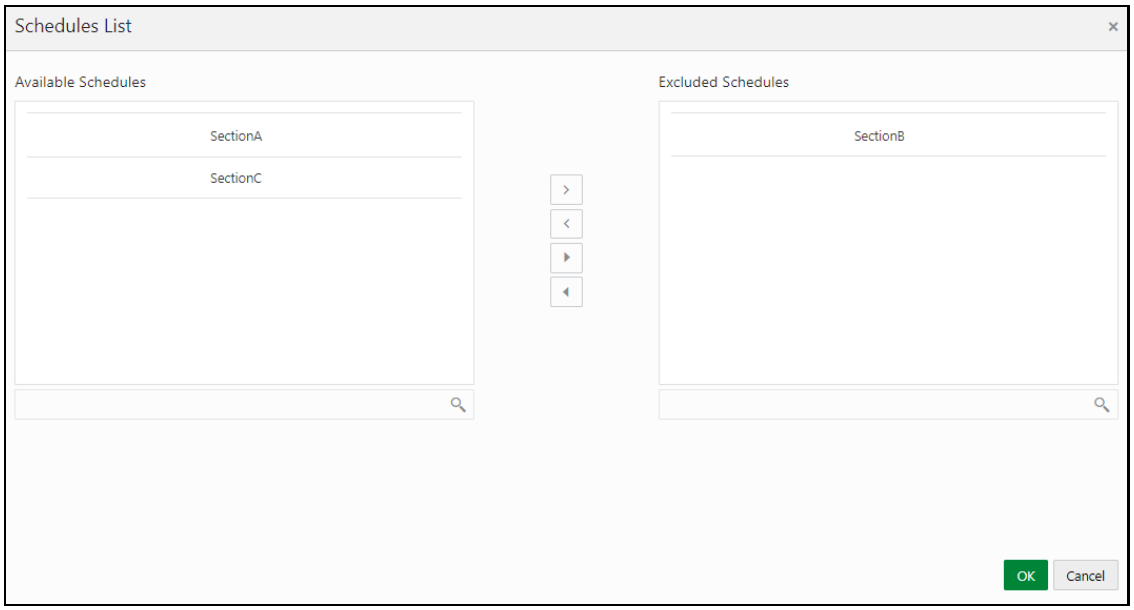


2. In the KI Assessment Configuration section, in the Report column, select the checkboxes for the reports whose schedules and cell IDs you want to exclude.

   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 58: Schedule List



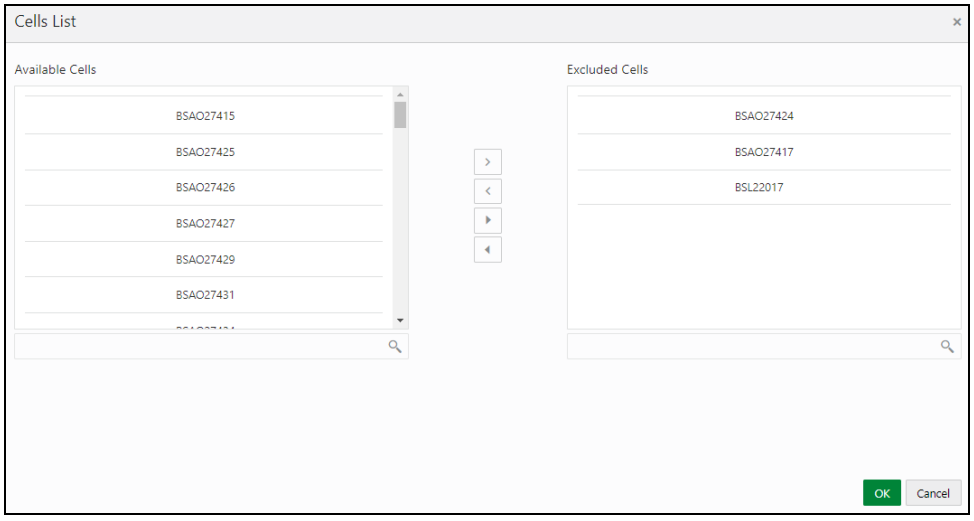
4. In the **Schedules List** window, in the **Available Schedules** section, select the available schedules that you want to exclude and then click the  icon.

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

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

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

Figure 59: Cell List



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

   NOTE The groupings appear based on your configuration.

   The excluded schedules appear in the **Excluded Cells** section.
8. Click **OK.**
9. **To set the** Alert Threshold Values at the Individual Report Level,
   a. Select the report that you want to set the threshold for.
   b. In the **Threshold** field, enter a value.
   c. Click the **Refresh Threshold** button.

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

3.9 Control Assessment Parameters

The maintenance has a list of seeded parameters that are dependent on the Data Quality Framework of OFSAAI. The outputs associated with these parameters are derived at the run time based on the Data Quality Profiling information within the Data Governance for APME Regulatory Reporting. The screen also enables a user to define new Assessment Parameters that can participate in the Score and Rating calculation of Assessment. The assessments for a particular control depend on the Parameter Type and Score Methodology.

3.9.1 User Roles and Actions

All the users are required to be mapped to the **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP** groups along with their respective following groups.

The following is the user role for control assessment parameters:

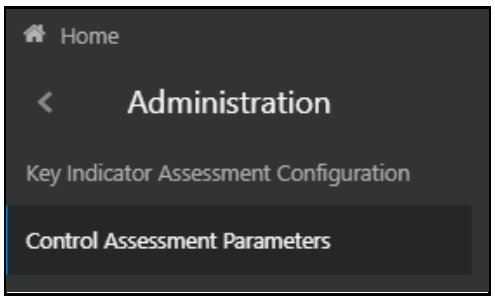
- **DG Administration:** Permits the user to view and edit the control assessment parameters.

3.9.2 Configuring Control Assessment Parameters

To Control the Assessment Parameters, follow these steps:

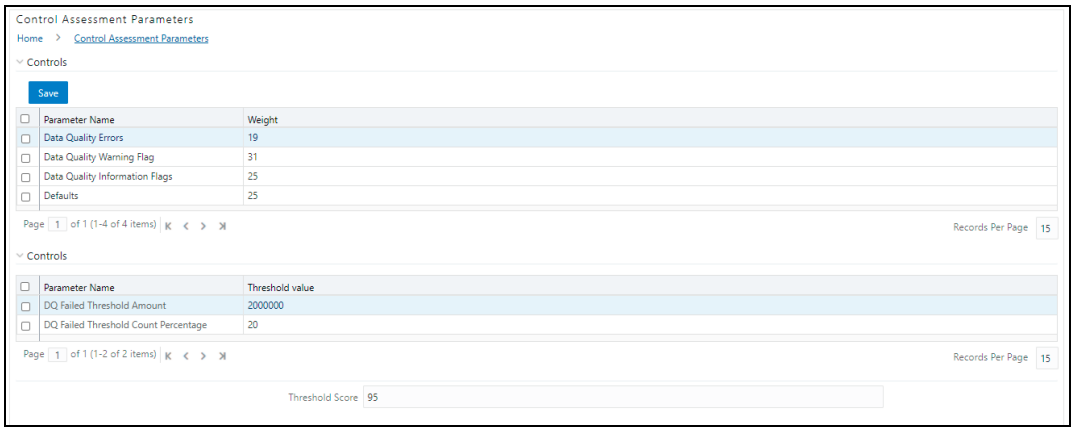
1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Administration** and select **Control Assessment Parameters**.

Figure 60: Administration



The Control Assessment Parameters window is displayed.

Figure 61: Control Assessment Parameters



2. In the **Controls** section, to edit the **Weight** of the Parameters, run the Control Assessment Parameters.sql script in the atomic schema.

   The weight is altered in the Control Assessment Parameters window.

3.10 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 also 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.

3.10.1 Data Quality Checks and Controls

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

> **NOTE** To view an issue and create an action, the user must be mapped to the following issue and action groups **ACTNANLST, IAVWR, ISSUEADMN, ISSUEANLST** in addition to other Control related groups.

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

Table 9: Data Quality Checks

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

> **NOTE** The Data Quality rules are defined based on the Stage Table and Column mapped to a particular report.

3.10.2 User Roles and Actions

All the users are required to be mapped to **DGSAUTHGRP**, **DGSADMINGRP**, and **DGSANALYSTGRP** groups along with their respective individual groups.

The following is the user role for control viewer:

- **Control Viewer**: Allows the user to view an issue and create an action.

3.10.3 Control Creation through Batches

Perform the following steps to create a Control through Batches:

1. For control creation, the FSI_DGS_CONFIGURATION table has to be seeded first.

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

Figure 62: Control Creation through Batches

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

2. Execute the batch DGS_DQ_CTL_BATCH, this batch contains the entire task that needs to be executed for control. See the APME (APRA/RBI/MAS) Run Chart.

3.10.4 Quality Control Assessment

Pre-Requisites

- For doing Control Assessment, the Control Execution Details must be present.
- Execution Details can be Data Quality or User Defined Parameters related.
- The Data Quality related parameters are available by default if Data Quality executions are done for that control.

Generate Assessments

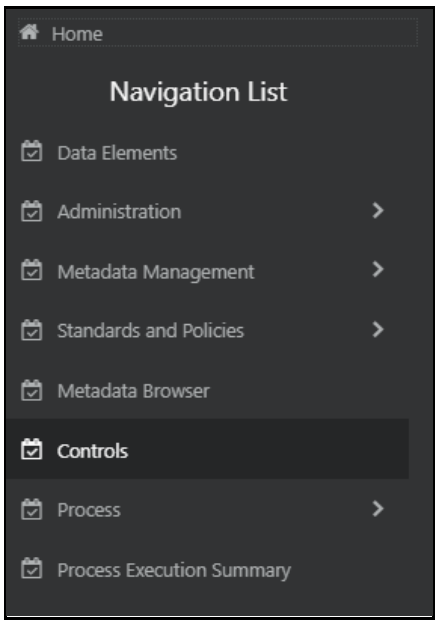
Execute the batch DGS_CONTROL_BATCH, this batch has all the task which needs to be executed for control. Refer to the APME (APRA/RBI/MAS) Run Chart.

3.10.5 Viewing Controls

To view the controls, follow these steps:

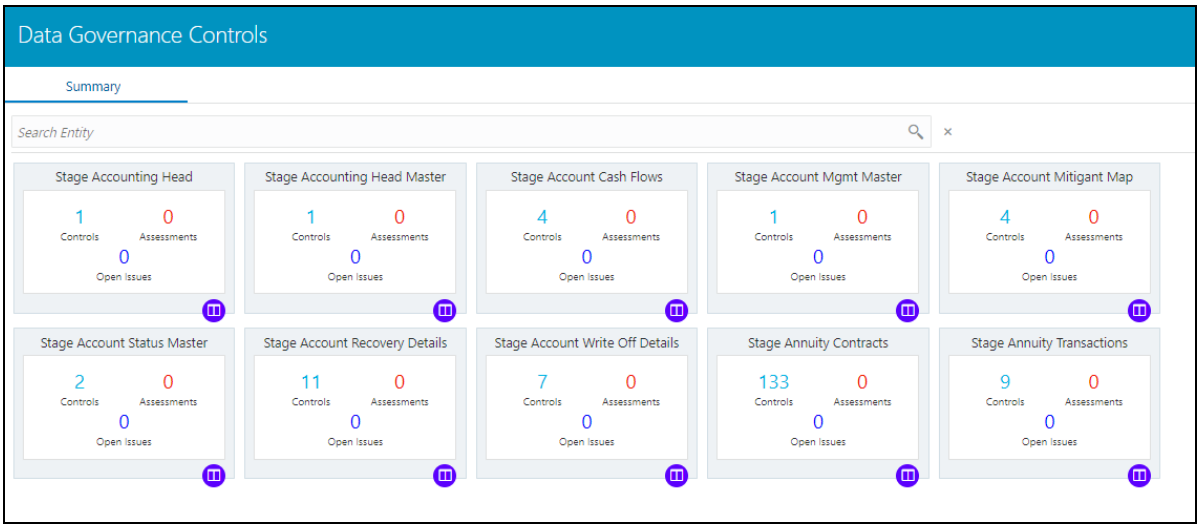
1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Controls**.

Figure 63: Controls



The **Control** summary window is displayed. After you execute the batch DGS_CONTROL_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.

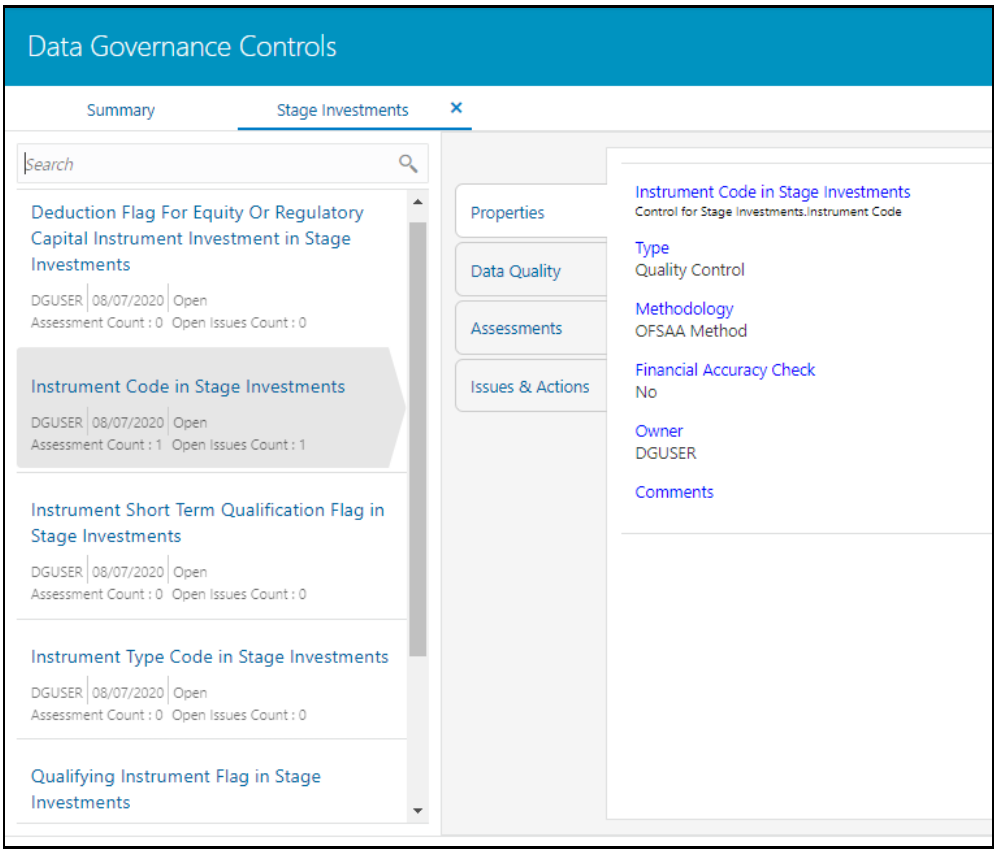
Figure 64: Data Governance Controls



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

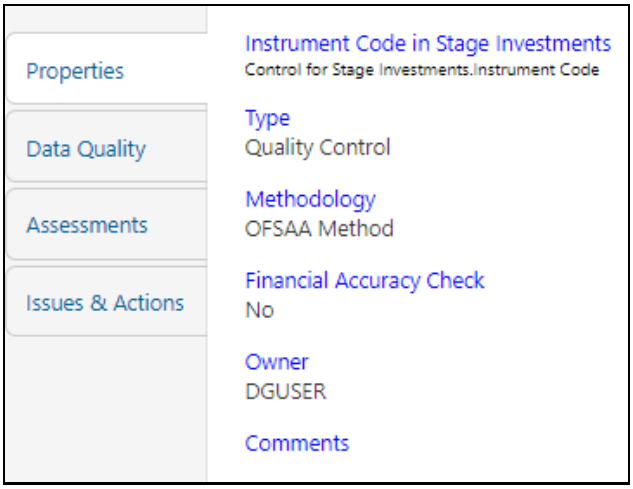
   For example, the stage table “Stage Investment” and control “Instrument Code in Stage Investments” is selected here.

Figure 65: Data Governance Controls – Stage investments



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

Figure 66: Data Governance Controls – Properties



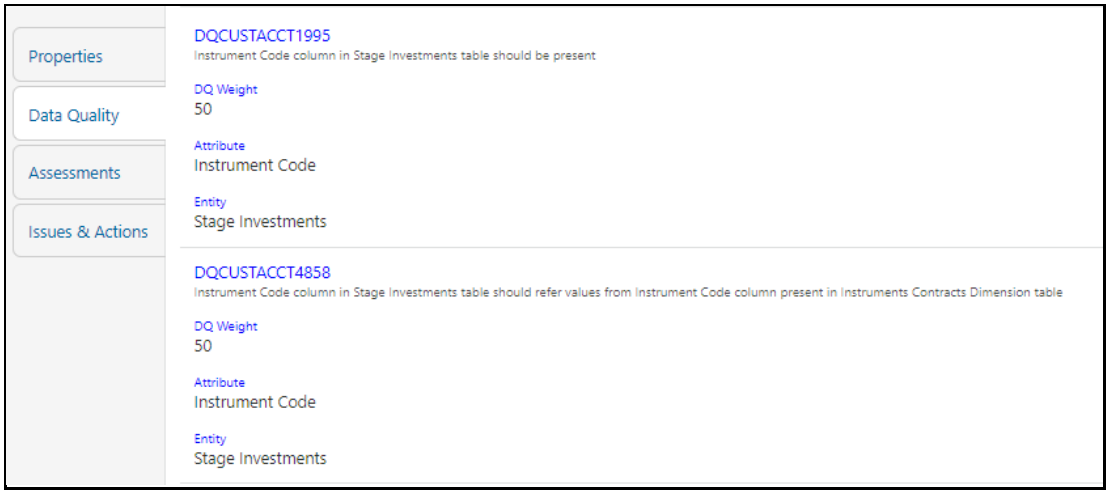
The Control Information is displayed:

- **Name**: Name of the control
- **Type**: Type of 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 Data Quality information on which the control is created.

Figure 67: Data Governance Controls – Data Quality



The Data Quality information is displayed:

- **Data Quality Name**: Name of the Data Quality contributing to the control.
- **Data Quality Weight**: Weight of the Data Quality contributing to the control. In case there is one Data Quality the number is 100. If there is more than one the number is divided to make it 100.
- **Attribute**: Name of the attribute on the entity column where the Data Quality is defined.
- **Entity**: Name of the stage table name.

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

Figure 68: 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

6. Click **Issues & Actions** to view the system-generated issues created for control.

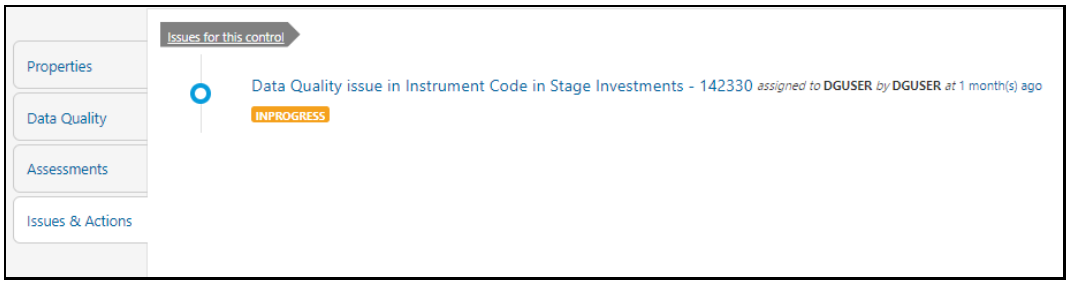
Figure 69: Data Governance Controls – Issues & Actions

3.10.5.1 Editing an Issue

To edit an issue, follow these steps:

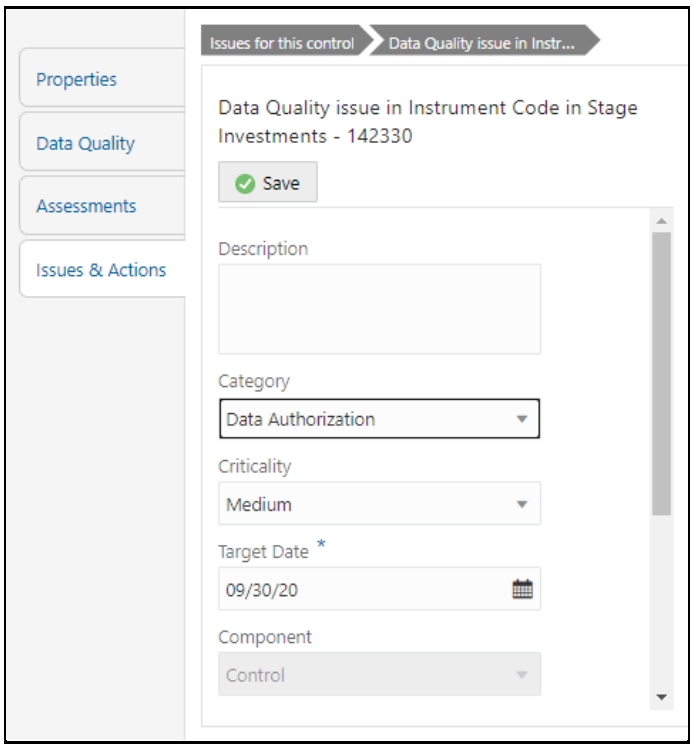
1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** window navigate to **Controls.**
2. Select a stage table and then click **View Controls** to view the details.
3. Click **Issues & Actions**.
   The system-generated issues for this control are displayed.

Figure 70: Data Governance Controls – Issues & Actions



4. Click the required issue to edit.

Figure 71: Data Governance Controls – Issues & Actions



5. You are allowed to modify the following parameters or fields:
    a. **Description**: Enter the description.
    b. **Category**: Select the Category from the drop-down list.
    c. **Criticality**: Select the criticality of the issue.
    d. **Target Date**: Select the target date from the Date Calendar.
    e. **Component**: Component module for which the issue is created.
    f. **Owner**: Name of the Owner.
    g. **Status**: Status of the Issue.
    h. **Comments**: Add comments if any for the issue.
6. After editing the required fields, click **Save**.

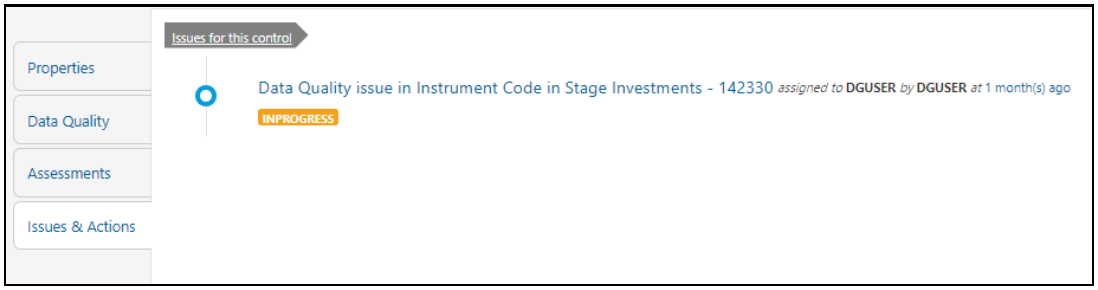
3.10.5.2 Creating an Action

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

To create a new action for the system generated Issue, follow these steps:

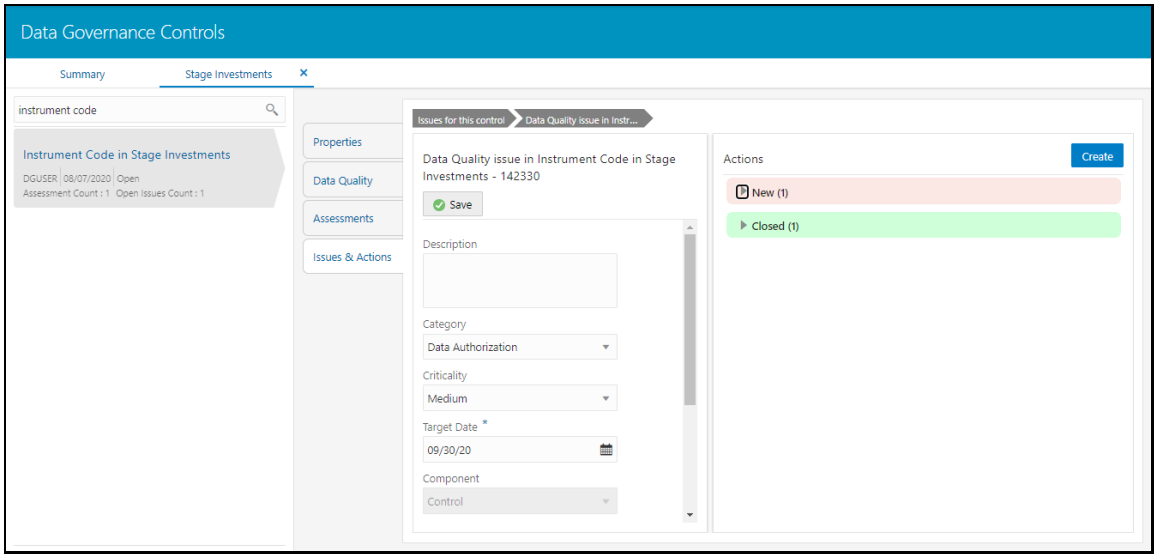
1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** window navigate to **Controls.**
2. Select a stage table and then click **View Controls** to view the details.
3. Click **Issues & Actions**. The Issus for this control is displayed with the details.

Figure 72: Data Governance Controls – Issues & Actions



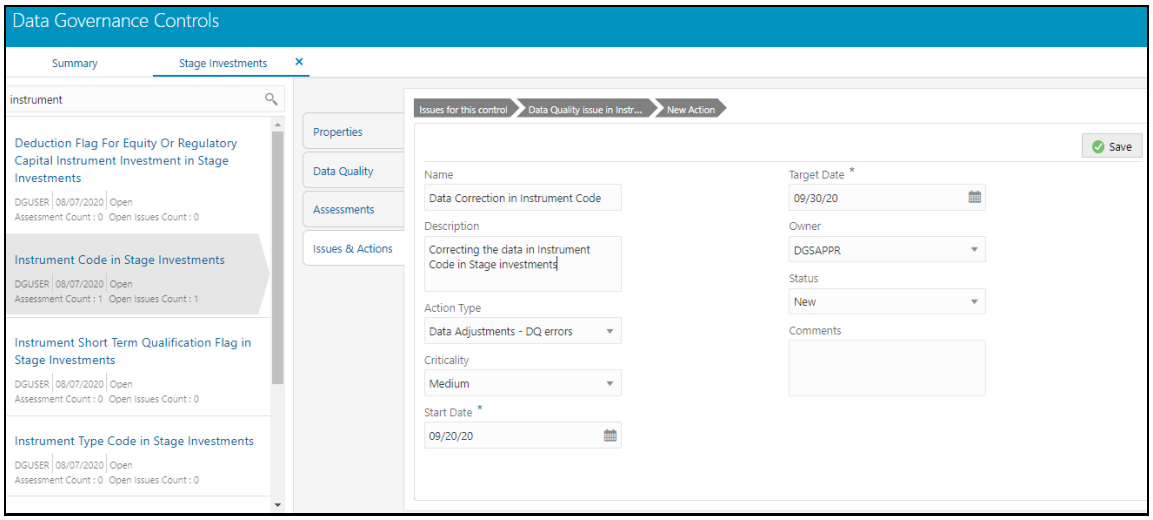
4. Click the required issue.
   The **Actions** pane is displayed.

Figure 73: Data Governance Controls – Actions



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

Figure 74: Data Governance Controls – New Actions



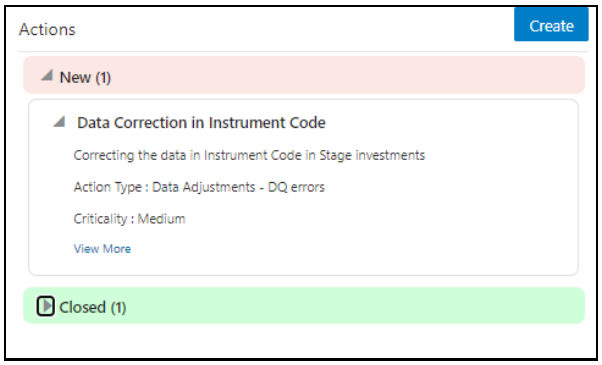
6. Enter the **Name** and **Description**.

7. Select the **Action Type** from the drop-down list:
   - Data Adjustments - Data Quality errors
   - Data Adjustments - Others
   - Data Adjustments - Regulatory Reporting
   - Reconciliation Adjustments
   - Others
8. Select the **Criticality**:
   - High
   - Medium
   - Low
9. Choose the **Start Date** and **Target Date** from the Calendar . Action start and target date must be within the Issue target date.
10. Select the action **Owner** name from the drop-down list.
11. Select the **Status** from the drop-down list:
    a. New
    b. InProgress
    c. Closed
12. Enter **Comments** if any and click **Save**. A confirmation message is displayed *Action saved successfully*. This creates an action for a particular issue.

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

13. When a new action is created it is listed under the **Actions** section under the **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 75: Data Governance Controls – New Actions



14. After an action is created, it is possible to create Data Adjustments.

3.10.6 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 three 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: Threshold Score

Sl No.	Threshold Configuration	Weight
1	Threshold Score	50

DQ Weight Percentage

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

Table 11: DQ Weight Percentage

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

Parameter Weight Percentage

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

Table 12: Parameter Weight Percentage

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

Step 1.

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

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

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

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

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

Step 2.

Compute the Cumulative Control Score

Control Score is the sum of **DQ Failure * Parameter Weight** for a DQ for each of the DQ Type multiplied into **DQ Weight Parameter**, likewise, compute for each DQ 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 13: Data Quality Control Evaluation with GL Recon Validation

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

3.11 Inbox

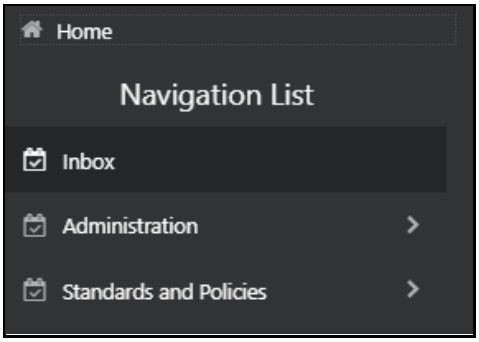
It is possible to log an issue and view the tasks, issues, and actions created in the application under the Inbox menu. Inbox displays the summary of issues and actions performed over the last 14 days.

3.11.1 Logging an Issue

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

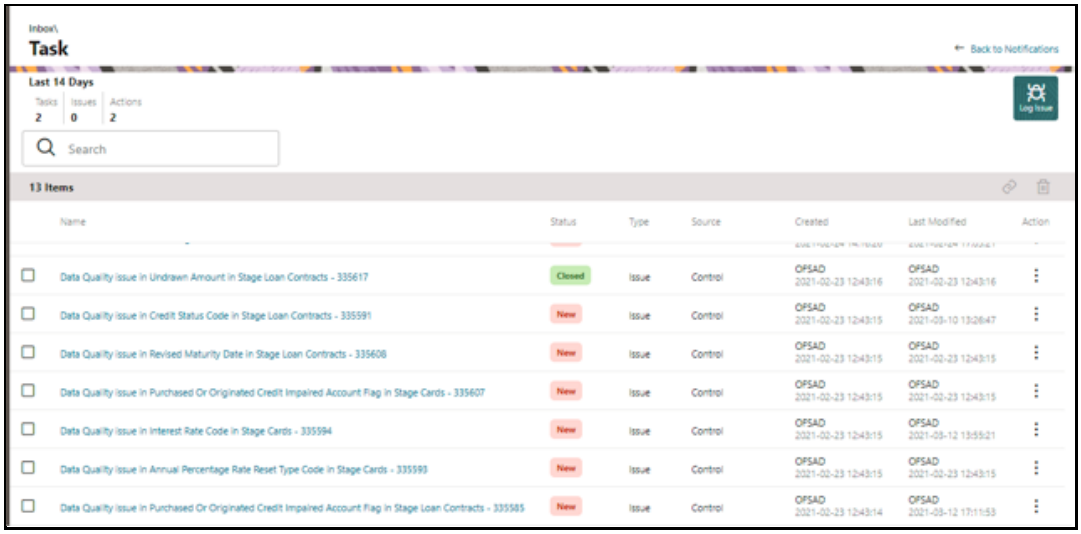
1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** and then click **Go To Tasks**.

Figure 76: Inbox



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

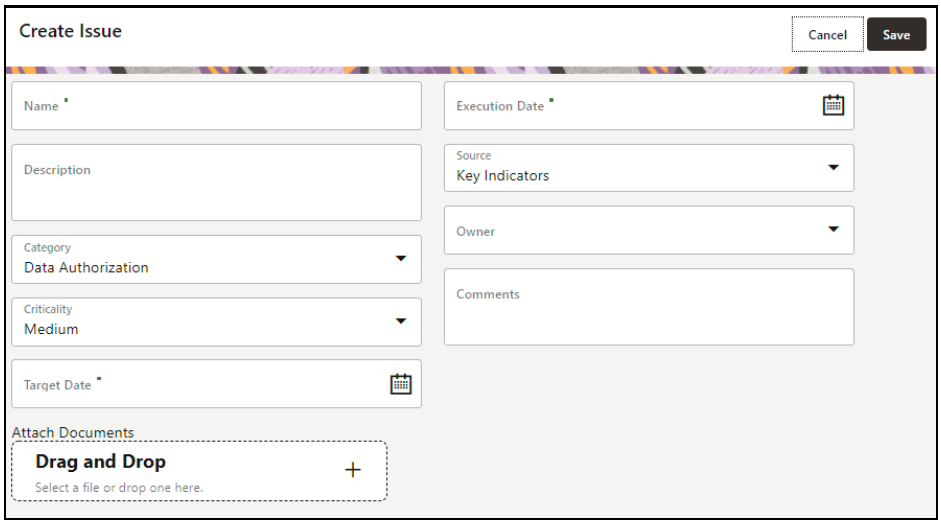
Figure 77: Inbox Summary



2. Click 

icon to log an issue. The create window is displayed.

Figure 78: Create Issue



a. Enter Issue **Name** and **Description**.

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

   i. **Data Authorization**

   ii. **Data Privacy**

   iii. **Data Security**

   iv. **Data Accuracy**

   v. **Data Availability**

   vi. **Timeliness**

c. Select the Criticality:

   i. **High**

   ii. **Medium**

   iii. **Low**

d. Choose the **Target Date** from the Calendar .

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

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

   i. **Key Indicators**

   ii. **Controls**

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

h. Enter **Comments** if any.

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

j. Click **Save**.
   A new issue is created and is displayed under the inbox summary screen.

3. Click an existing issue.

The following window is displayed.

Figure 79: Issues

a. Click **Activity**. Any comment that gets logged for an issue is displayed here.

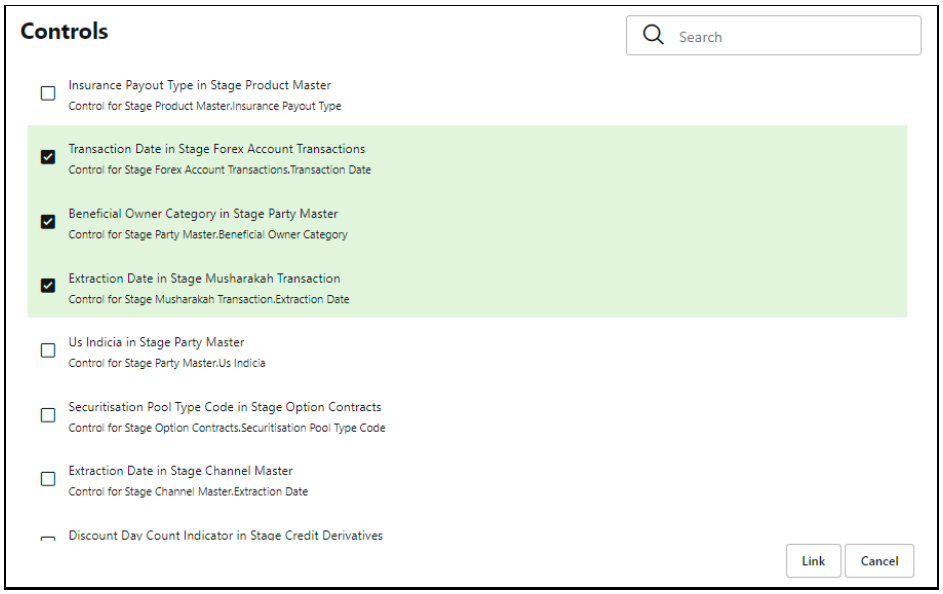
b. Click **Details**. See section Editing an Issue for information.

c. Click **Actions**. See section Creating an Action for information.

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

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

Figure 80: Controls



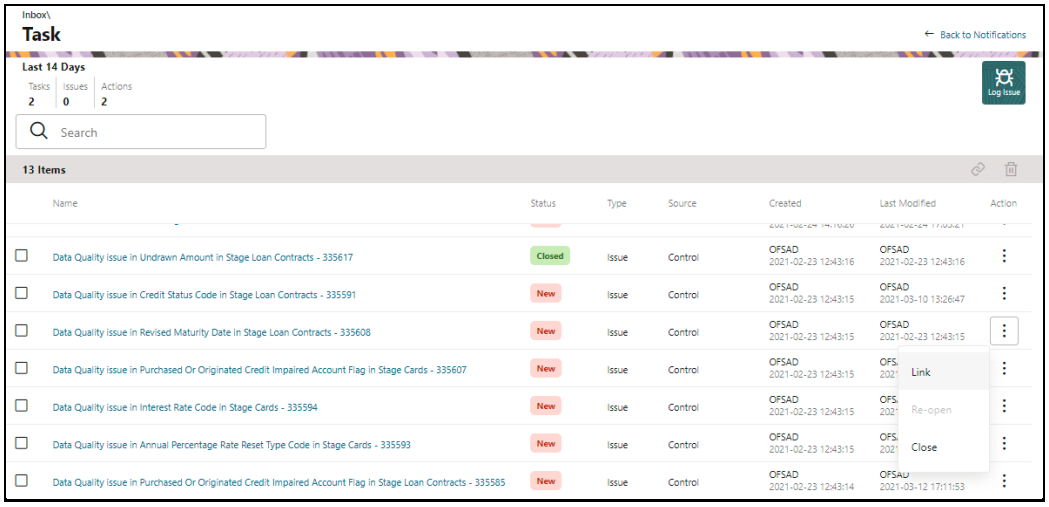
5. Select the controls and click **Link**. At any point in time, you can search for control in the search field.

6. Select an issue or an action and click  . 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.

7. Click ⋮ against the required issue or an action to perform one of the following.

Figure 81: Task



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

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

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

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

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

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

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

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

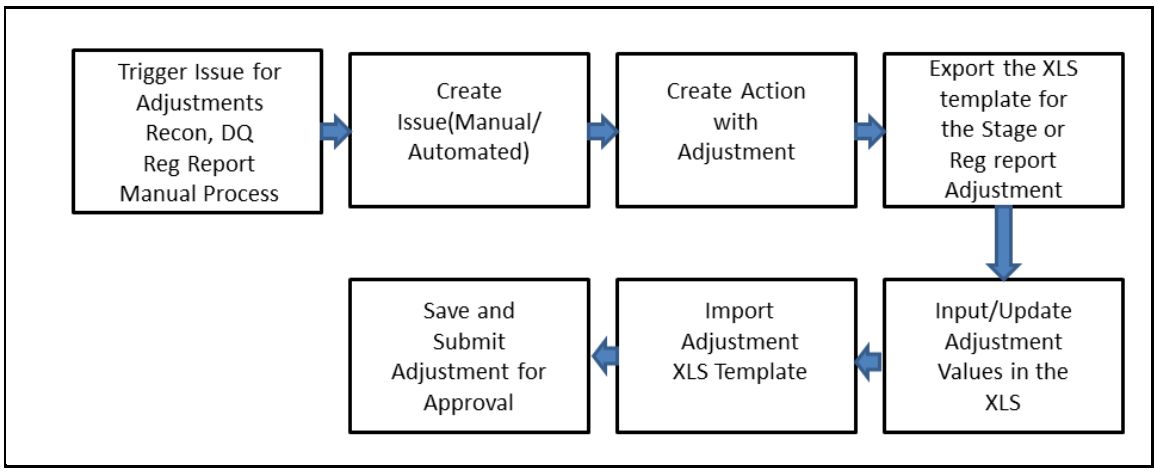
3.12 Data Adjustments

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

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

For an Adjustment Creator

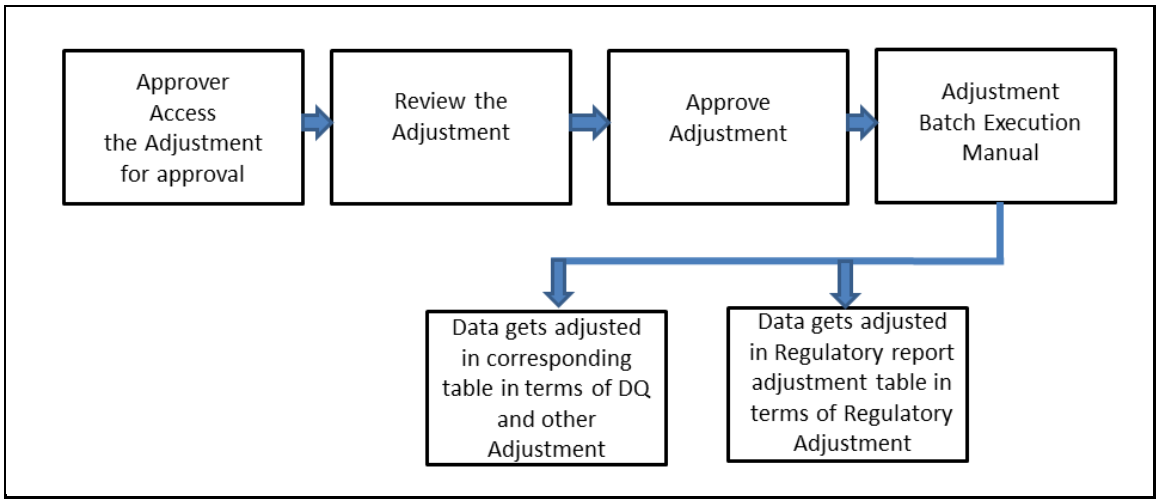
Figure 82: Data Adjustment Process



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

For an Adjustment Approver:

Figure 83: Data Adjustment Process



1. The data adjustment Approver accesses the saved adjustment.
2. The data adjustment is reviewed.
3. The data adjustment is approved.

4. The batch is executed manually for the data adjustment.
5. If the data adjustment type is regulatory reporting, then the data is adjusted in the regulatory report adjustment table as per the data present in the regulatory reporting data adjustment.

   Or

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

Types of Data Adjustments

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

- **Data Adjustments – Data Quality Errors**

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

  Reconciliation Adjustments

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

  Data Adjustment – Others

  These adjustments are set for known data issues for a set period than for scheduled executions or checks. An example of this scenario: a legacy source system that is unable to perform a transformation required by OFSAA due to cost or any other reasons. It is easier to adjust the data within OFSAA rather than in the source system.

- **Data Adjustments – Regulatory Reporting**

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

  Others

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

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

3.12.1 User Roles and Actions for Data Adjustments

3.12.1.1 User Roles

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

Table 14: User Roles

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

3.12.1.2 Actions Performed by Users

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

Table 15: Actions Performed by Users

Action Performed	User Role
In the automated process, an Issue is generated by the system.	Assigned to the Issue Owner.
Creating Action for the system-generated Issue.	By the Issue Owner.
Creating Data Adjustment.	By the Action Owner.
Submitting Data Adjustment.	By the Action Owner (must contain the Adjustment creator role).
Data Adjustment Approval.	By the Issue Owner (must contain the Adjustment approver role).

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

3.12.2 Settings for Data Adjustments

The Issue Owner (Action Creator) may change ownership when required. The Issue Owner creates an Action of type Data Adjustment for this system generated Issue and assigns it to the Action Owner. As a result, in Actions, the Data Adjustment grid appears. The Action Owner (Adjustment Creator) then creates the required Data Adjustment and makes data corrections for the failed Data Quality.

The Adjustment Creator submits Data Adjustment to the Adjustment Approver (Issue Owner). After the Issue Owner approves all the Data Adjustment definitions, the Data Adjustments are grouped in a Batch and executed at the level of that Issue. After the successful execution of these Data

Adjustments, the Action Owners must mark the Action progress to 100% or mark the Action as completed.

3.12.2.1 Prerequisites for Data Adjustments

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

- Set the N_lookup_value ='Y' against v_lookup_code=' PRE_POST_ADJ_AUDIT_LOG' in the table fsi_dgs_configuration. This enables the **Show Data** button in the **Issue** screen, where you can view the pre- and post-adjustment data.
- An Action must be created for the system-generated Issues.

3.12.3 Creating a Data Adjustment

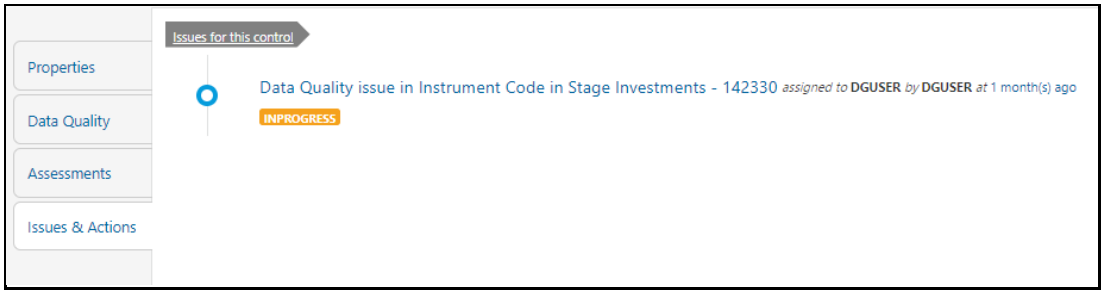
The Action Owner is the Data Adjustment Creator. The Actions are of type Data Adjustment. Therefore, the Data Adjustment grid appears in this section.

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

To create a Data Adjustment, follow these steps:

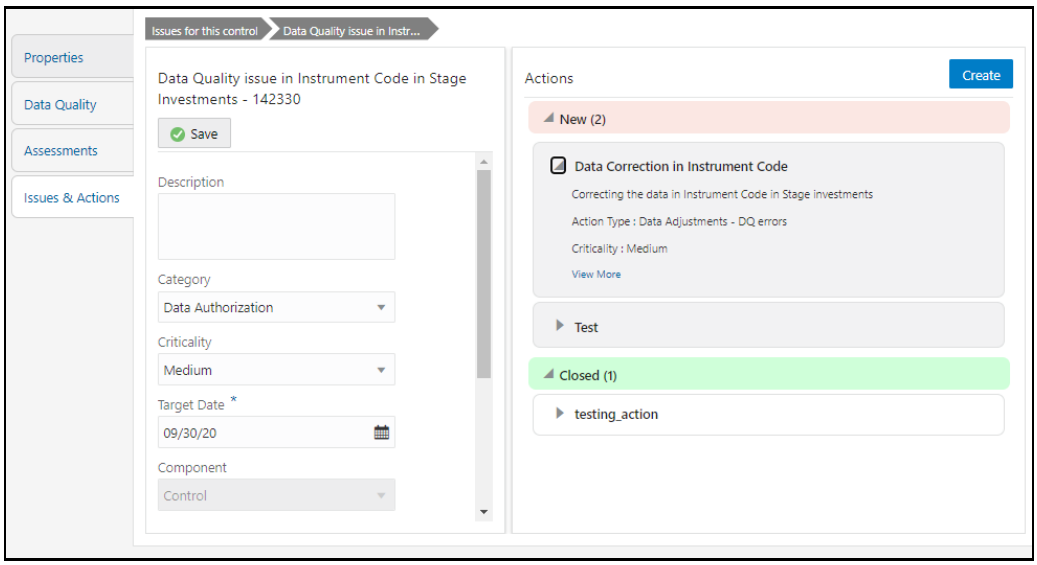
1. Log in to the application as the Action Owner (Data Adjustment Creator).
2. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Controls.**
3. Select a stage table and then click  **View Controls** to view the details.
4. Click **Issues & Actions**.
5. In the **Issues** for this control, click the required system-generated Issue **ID**. The **Actions** section is displayed.

Figure 84: Issues & Actions



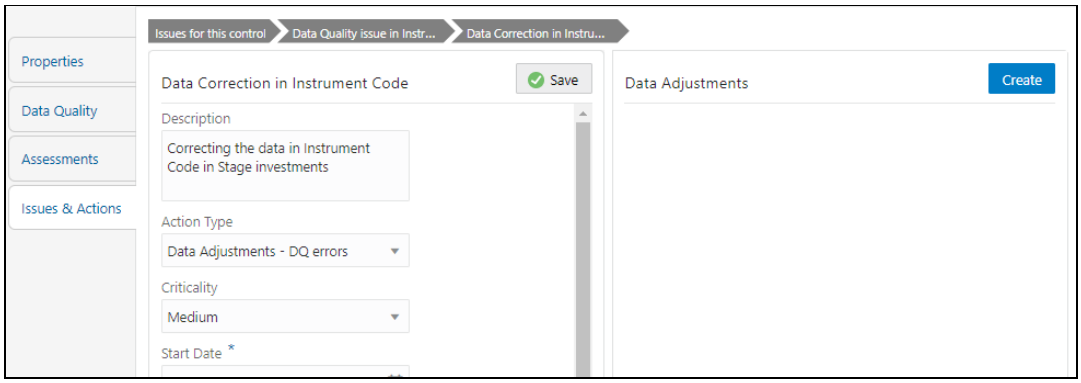
6. In the **Actions**, select the required issue to **View More** details. The **Data Adjustments** section is displayed.

Figure 85: Issues & Actions



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

Figure 86: Issues & Actions



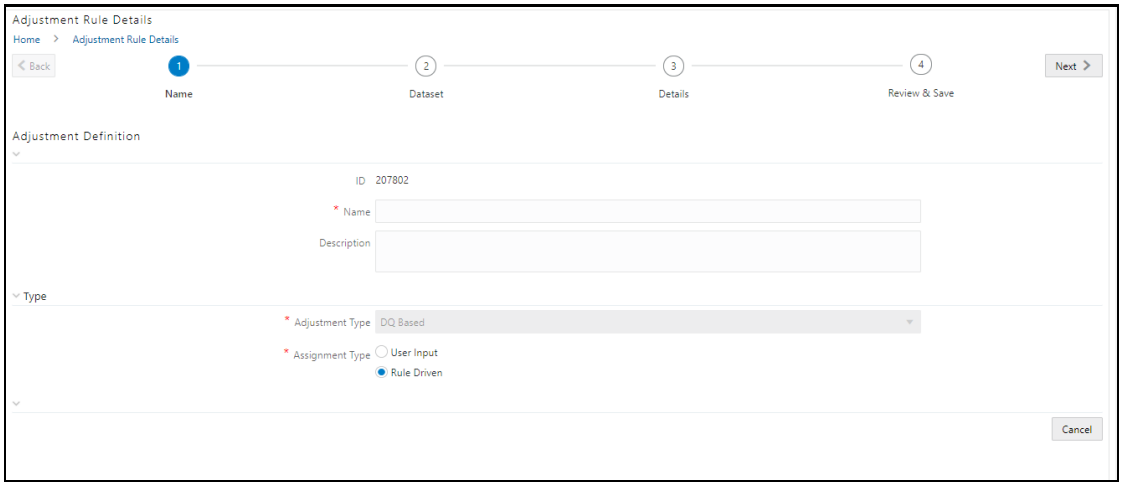
8. Depending on the type of adjustment, create a data adjustment.

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

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

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

Figure 87: Issues & Actions



4. Select the Assignment Type as either **User Input** or **Rule Driven**.
5. For **User Input**:
   a. In the **Adjustment Entity** drop-down, select a value.
   b. In the **Select Filter** section, enter values in the following fields:

Table 16: 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 **Next**.
   d. Select **Add Expression**.
   e. In the **Add Expression** window, in the Line Item, Business Processor drop-downs, select the required values.
   f. In the **Expression** field, enter the expression, and then select **OK**.
   g. Click **Next**, and then click **Save**.
   h. In the **Manual Data** section, select **Export**.
   i. In the **Export** window, in the **MIS Date** section, select a date for which the data is available, and then click **Export**.
   j. Save the Excel file to your system.
   k. Enter values in the required rows and then save the Excel.
   l. In the **Manual Data** section, in the **ID** column, select the required ID and then click **Import**.

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

n. Click **Import**.

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

6. For **Rule Driven**:

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

b. In the **Select Data Quality** 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. In the **Add Expression** window, enter values in the following fields:

Table 17: 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.

f. Click **OK**.

g. Click **Next**.

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

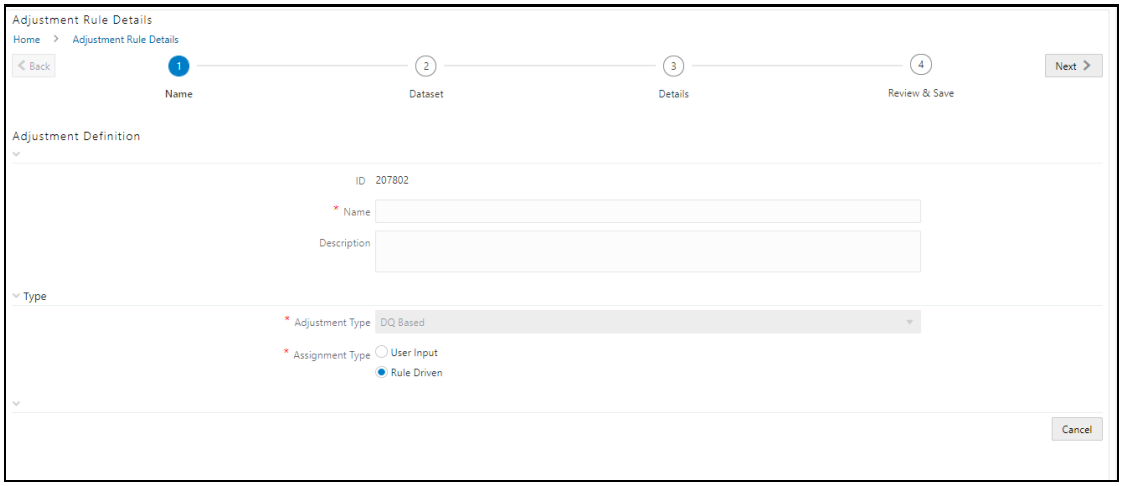
The Data Adjustment for the action has been created.

3.12.3.2 Create a Data Adjustment - Business based Adjustment

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

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

Figure 88: Adjustment Rule Details



4. Select the Assignment Type as either **User Input** or **Rule Driven**.
5. For User Input:
   a. In the **Adjustment Entity** drop-down, select the entity or table for which the adjustment must be performed.
   b. In the **Select Filter** section, enter values in the following fields:

Table 18: 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 **Next**.
   d. Select **Add Attribute**.
   e. In the **Add Column** window, in the **Target Attribute** drop-down, select a value and then click **OK**. The target attribute displays the columns based on the selected entity.
   f. Click **Next**, and then click **Save**.
   g. In the **Manual Data** section, select **Export**.
   h. In the **Export** window, in the **MIS Date** section, select a date the entity has data, and then click **Export**.
   i. Save the Excel file to your system.
   j. Enter values in the specific columns as per the selected target attribute, and then save the Excel.
   k. In the **Manual Data** section, in the **ID** column, select the required ID and then click **Import**.

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

m. Click **Import**.

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

6. For **Rule Driven**:

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

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

c. Click **Next**.

d. Click **Add Expression**.

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

Table 19: Add Expression Fields

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

f. Click **OK**.

g. Click **Next**.

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

The Data Adjustment for the action has been created.

3.12.3.3 Create a Data Adjustment - Regulatory Reporting based Adjustment

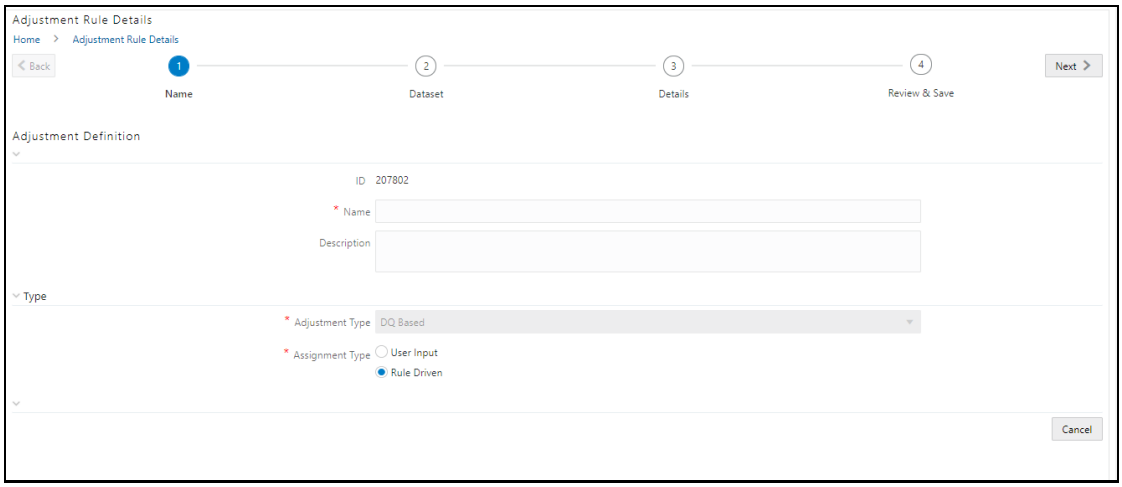
To create a data adjustment for the action type Data Adjustments - Regulatory Reporting, perform the following steps:

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

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

2. In the **Data Adjustment** page, click **Create**. The **Adjustments Rule Details** window is displayed.
3. In the **Adjustment Rule Details** window, enter values in the **Name** and **Description** fields.

Figure 89: Adjustment Rule Details



4. Select the Assignment Type as either **User Input** or **Rule Driven**.
5. For **User Input**:
   a. In the Select Report section, in the **Report** and **Schedule** drop-downs, select the required report and schedule.
   b. Click **Next**.
   c. In the **Data Update** section, select **Add Line Item**.
   d. In the **Add Line Item** window, in the **Line Item** drop-down, select a value, and then click **OK**.
   e. Click **Next**, and then click **Save**.
   f. In the **Manual Data** section, select **Export**.
   g. In the **Export** window, in the **MIS Date** section, select the date for which the assessment has been performed, and then click **Export**.
   h. Save the Excel file to your system.
   i. Enter the adjustment amount in the column **N_ADJUSTED_AMT**, and then save the Excel.
   j. In the **Manual Data** section, in the **Id** column, select the required ID and then click **Import**.
   k. In the **Import** window, attach the Excel that you added data to, and then click **Upload**.
   l. Click **Import**.
   m. Click **Submit** if you want to send the **Data Adjustment** for approval or click **Save**.
6. For **Rule Driven**:
   a. To go to the next section, click **Next** or click **Dataset**.
   b. In the **Adjustment Entity**, **Report**, **Schedule**, and **Dataset** drop-down boxes select a value.

c. Click **Next**.

d. Click **Add Expression**.

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

Table 20: 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*.

Field	Description
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**.
8. Click **Next**.
9. In the **Review and Save** section, click **Save**. The Data Adjustment for the action is created.

3.12.3.3.1 Export and Import Data Updates

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

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

1. To export (download from the application) a record from the User Input type Data Adjustment, click **Export**.
2. In the **Export** window, select the **MIS Date** for which you are downloading the record to make the data corrections.
3. Click **Export**, and then close the **Export** window.
   An excel file is downloaded to your system.
4. In the downloaded (exported) excel file, you can make the required data corrections.
5. Save the changes made to the file.

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

6. To import (upload to the application) the updated excel file for the User Input type Data Adjustment, select the Manual Data **ID** of the required record, and then click **Import**.
7. To search for the updated, excel file, open and attach it, click **Attach**.
8. To upload this, excel file, click **Upload**.
   After a successful upload, an acknowledgment message is displayed.
9. To import the uploaded Excel file into the application, click **Import**.

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

3.12.3.3.2 Save and Submit a Data Adjustment

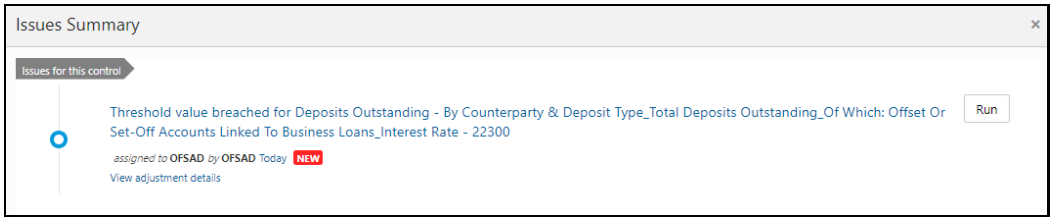
1. To save this Data Adjustment record, select the checkbox against the imported record, and then click **Save**. A confirmation message is displayed, confirming that the adjustment details were successfully saved.
2. Click **OK**.
3. To submit this Data Adjustment for approval to the Adjustment Approver, click **Submit**. A confirmation message is displayed, confirming that the adjustment details are saved successfully.
4. Click **OK**. The **Adjustment Rules Details** page automatically closes.
5. For user input, to send the imported file for approval to the Approver, you must select the checkbox against the record and then click **Save**.
6. In the **View Adjustment Details** page, click **Refresh**. The newly created Data Adjustment is in the Pending Approval state.
7. After you click **Save,** if do not submit the Data Adjustment for approval, the Status of the Data Adjustment is in the Draft state. To move the Status from *Draft* to *Pending Approval*, open the Data Adjustment, and click **Submit**.

3.12.3.3.3 View the Pre and Post Adjusted Data

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

1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Controls.**
2. Select a stage table and then click  **View Controls** to view the details.
3. Click **Issues & Actions**.
   The **Issues Summary** window is displayed.

Figure 90: Issue Summary

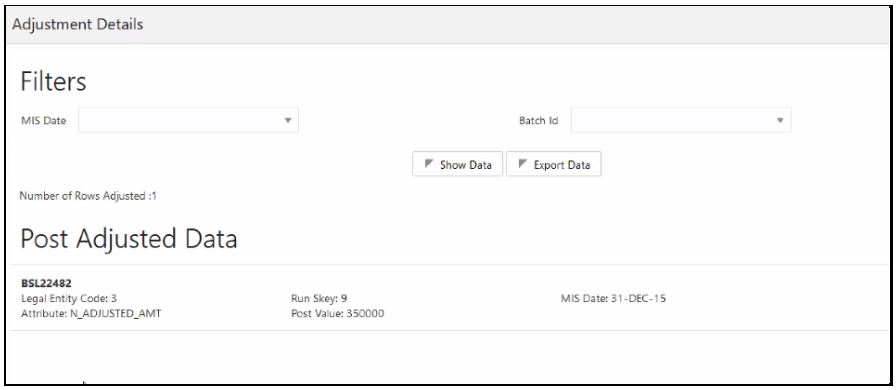


4. Click **View Adjustment Details**.
   The Data Adjustment Summary window is displayed. In the **Actions** window, the action that was created for the issue is displayed.

Figure 91: Data Adjustment Summary

5. Click the required Action.
   The adjustments that are defined for the actions are displayed.
6. Click the required adjustment. The pre and post-adjusted data is displayed.

Figure 92: Adjustment Details



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

3.12.4 Approve or Reject Data Adjustments

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

1. Log in to the application as the Action Owner (Data Adjustment Creator).
2. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window, navigate to **Controls.**
3. Select a stage table and then click  **View Controls** to view the details.
4. Click **Issues & Actions**.

5. In the **Issues** for this control, click the required system-generated Issue **ID**.
   The **Actions** section is displayed.
6. In the **Actions** section, in the **ID** column, click the required Action ID.
7. In the **Action Details** page In the **Adjustments** section, select the required **Data Adjustment** which is in the Pending Approval state.
8. To open this Data Adjustment details, click **View**.
9. In the **Adjustment Rule Details** window, click the **Review & Save** tab.
10. 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.
11. Verify the data records and in the **Comments** field, type the required comments.
12. To approve the Data Adjustment, in the Comment field, enter a comment, and click **Approve**.

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

    Or

    To reject the Data Adjustment, in the Comment field, enter a comment and click **Reject**. The **Adjustment Rule Details** window automatically closes.
14. In the **Action Details** page, in the **Adjustments** section, click **Refresh**.

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

3.12.5 Modify a Rejected Data Adjustment

If the Data Adjustment is rejected perform the following steps:

1. Log in to the application as the Action Owner (Data Adjustment Creator).
2. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Controls.**
3. Select a stage table and then click  **View Controls** to view the details.
4. Click **Issues & Actions**.
5. In the **Issues** for this control, click the required system-generated Issue **ID**.
   The **Actions** section is displayed.
6. In the **Actions** section, in the **ID** column, click the required Action ID.
7. In the **Adjustment Rule Details** page, in the **Review & Save** tab, make the required changes.
8. To save this Data Adjustment record, click **Save**.
   A confirmation message appears, confirming that the adjustment details are saved successfully.
9. Click **OK**.
10. 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.

11. Click **OK**.

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

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

3.12.6 Executing a Data Adjustment Batch

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

Execution of Adjustments

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

3.12.6.1 Triggering the Adjustment Batch

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

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

1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** 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.
4. 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.
5. Click  to select the **MISDATE** for execution.
   The RunSkey is automatically selected based on the MIS date.
6. Click  to select the **Legal Entity** Code from the list of hierarchy.

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

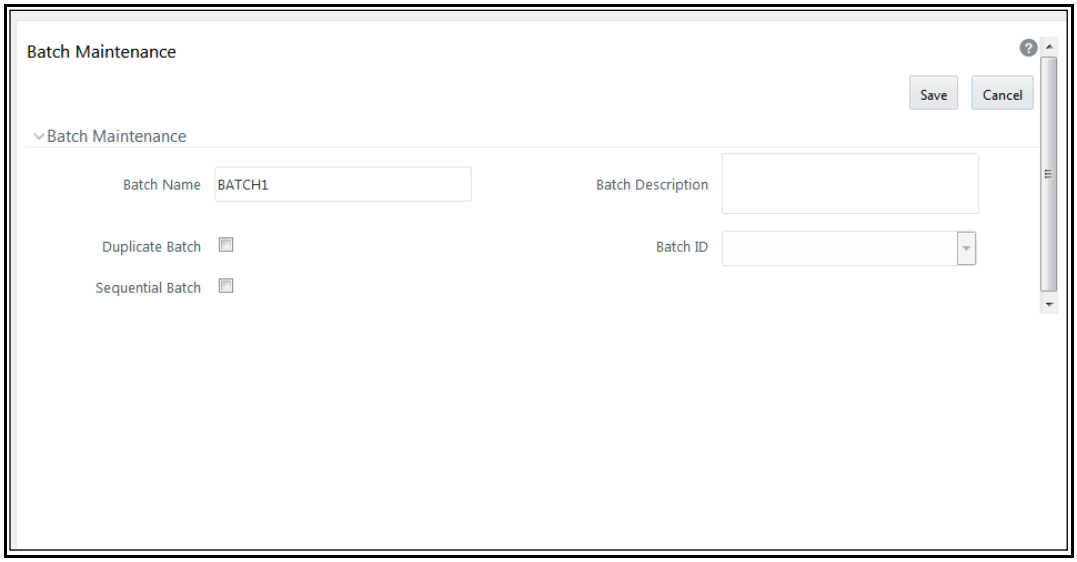
7. Click **Execute**.
   This automatically creates a batch and is executed. The Batch Monitor status displays as successful.

3.12.6.2 Creating a New Batch and a Task

For all other types of adjustments, create a new Batch, perform the following steps:

1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Operations** and then select **Batch Maintenance.**
2. To create a Batch, in the Batch Name section, click the + Add icon.

Figure 93: Batch Maintenance



3. In the **Add Batch Definition** window, enter the batch name and the batch description, and then click **Save**.
4. In the **Batch Maintenance** pane, in the **Batch Name** section, select the Batch Name checkbox associated with the newly created batch. The **Task Details** section appears which lists the tasks corresponding to the selected Batch Name.
5. To add a new task to the newly created batch, click the **Add** icon.
6. In the **Task Definition** window In the **Components** dropdown box, select the **RUN EXECUTABLE** value.

   The values are automatically generated for the **Datastore Type**, **Datastore Name**, and **IP Address** fields.
7. In the **Executable** field, enter the value **DataAdjustment.sh**, <ISSUE NAME>, <USER>, <RUNSKEY>, <LEGAL ENTITY>.

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

8. For the **Wait** field, select either **Y** or **N** as required.
9. For the **Batch Parameter** field, select **Y**.
10. Enter the required details in all the other fields.
11. Click **Save**.

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

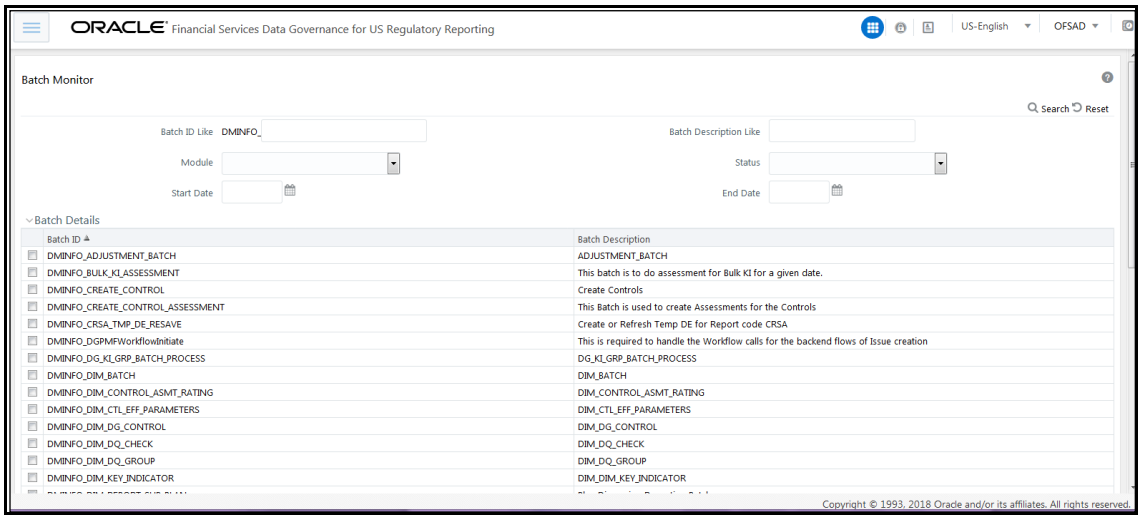
3.12.6.3 Monitoring the Data Adjustment Batch through the Batch Monitor Pane

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

1. From **Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Operations** and the select **Batch Monitor.**

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

   Figure 94: Batch Monitor



2. In the **Batch Details** section, select the Batch ID which was executed during the Batch Execution.
3. In the **Batch, Run Details** section, click the **Information Date** drop-down and then select the MIS Date. This is the date on which the Data Quality had failed at the staging.
4. Click the **Batch Run ID** dropdown box and select the required value.
5. Click the **Start Monitoring** icon.

   The **Batch Status**, **Task Details**, and **Event Log** sections appear in addition to the existing details in the **Batch Monitor** pane.
6. Select any task in the **Task Details** section to view its Event Log details.

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

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

3.13 Dashboards

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

3.13.1 Data Quality Dashboards

The Data Quality Rules for Dashboards must be executed through batches only and not through the DQ screen.

For Data Quality refer to the APME (APRA/RBI/MAS) Run Chart and execute the batch DGS_DQ_CTL_BATCH, DataProfile for the date on which the data quality check needs to be executed. Refer to the APME (APRA/RBI/MAS) Run Chart for further details.

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

The Data Quality Dashboard provides data based on selecting the desired Date and the following list of dropdowns:

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

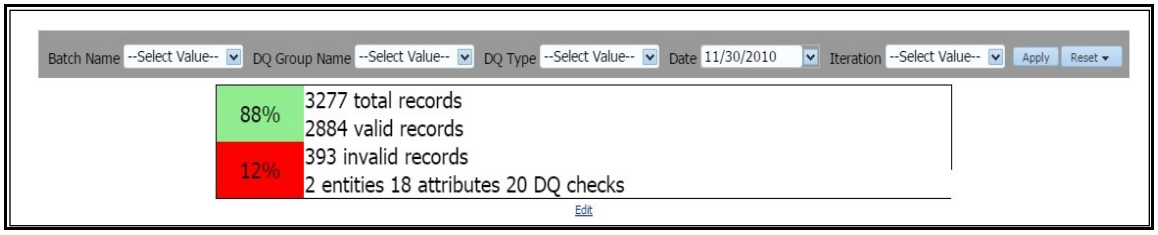
Click **Apply** to generate the reports.

Click **Reset** to reset the values.

The first grid displays the following data:

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

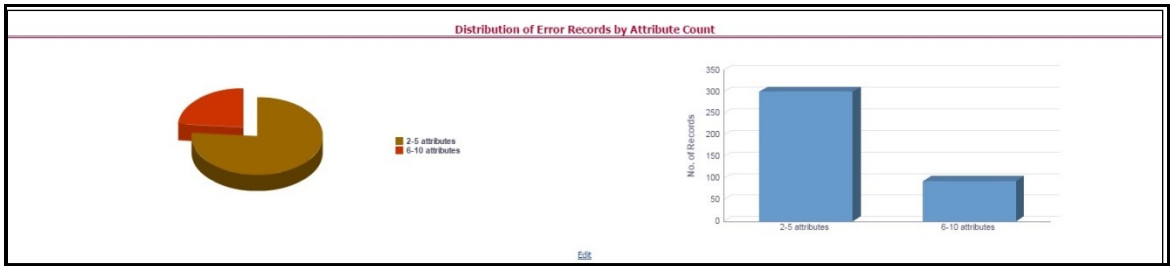
Figure 95: Data Quality Dashboard



3.13.1.1 Distribution of Error Records by the Attribute Count

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

Figure 96: Distribution of Error Records by the Attribute Count



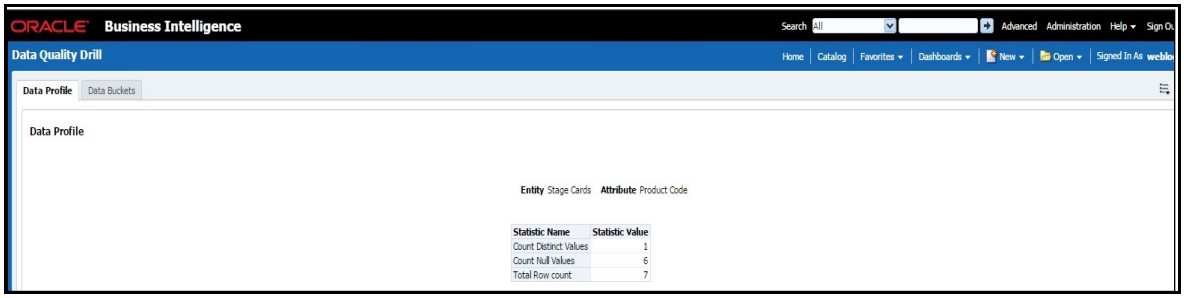
Click either on the pie chart or bar graph to drill down to view the following details:

- Entity
- Attributes
- DQ Check Type Name
- Percentage of Rejected Records Count

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

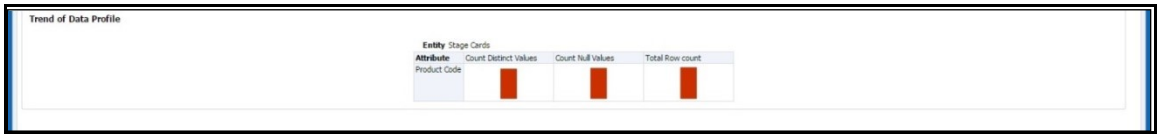
Figure 97: Data Profile



  - 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 98: Trend of Data Profile

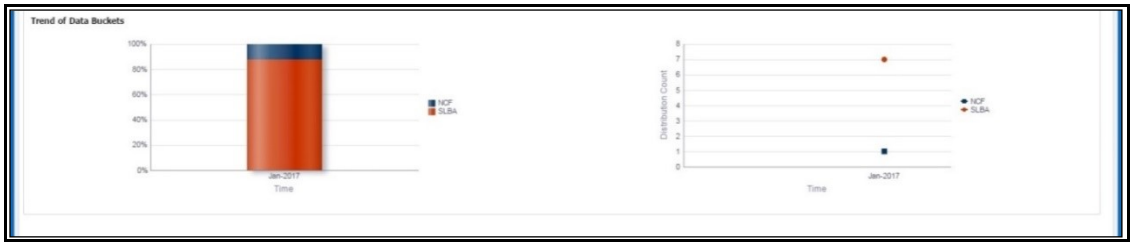


- Data Bucket: It displays 2 analyses:
  - Data Bucket: This is the tabular representation of the following data based on Dimension Table:
    - Node Code
    - Distribution Count

Figure 99: 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

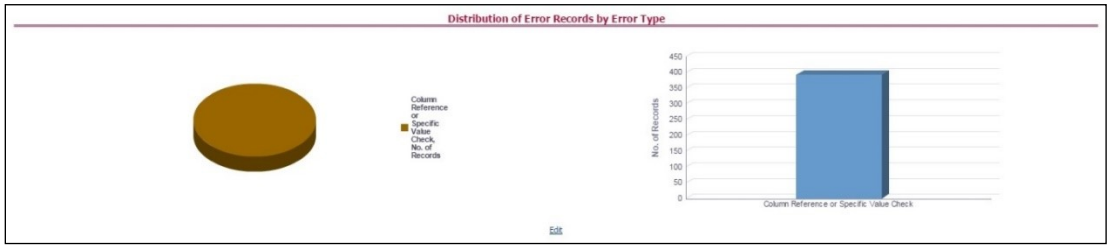
Figure 100: Trend of Data Buckets



3.13.1.2 Distribution of Error Records by Error Type

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

Figure 101: Distribution of Error Records by Error Type



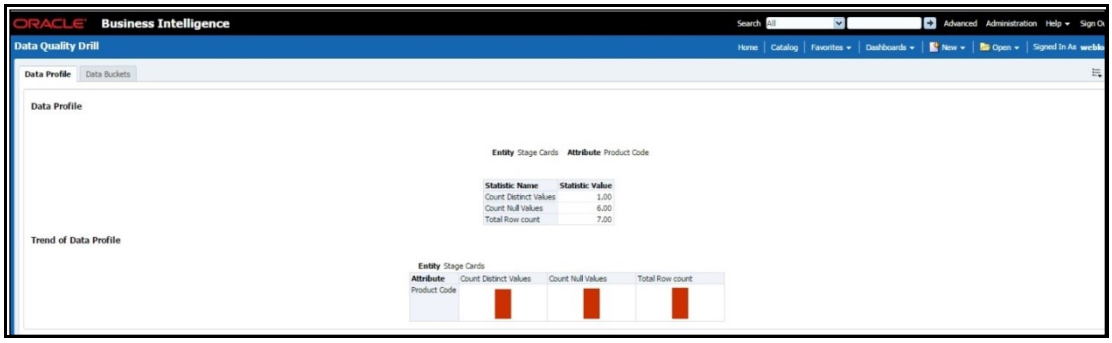
Click either the pie chart or the bar graph to get a drill down to view the following details:

- 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 102: Data Profile

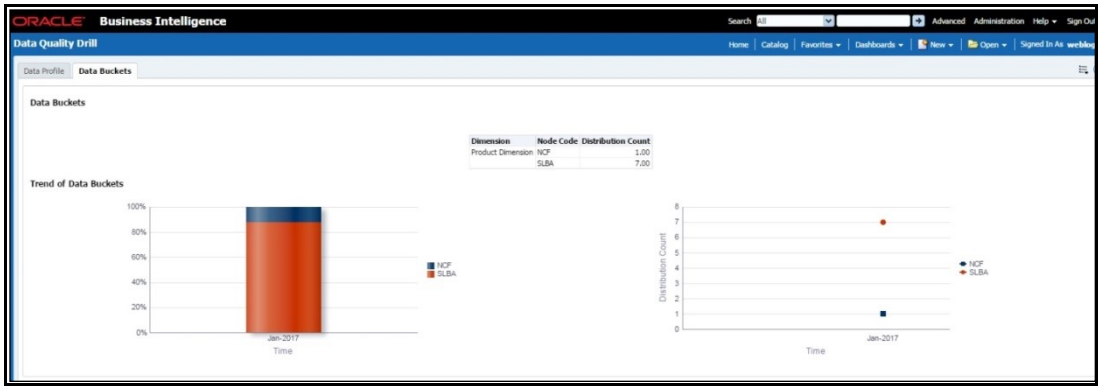


  - Trend of Data Profile: A graphical representation of the following data based on the Entity-Attribute Name:
    - Count Distinct values

- Count Null Values
- Total Row Count

- Data Bucket: It displays two analysis:
  - Data Bucket: The tabular representation of the following data based on the Dimension Table:
    - Node Code
    - Distribution Count

Figure 103: Data Bucket

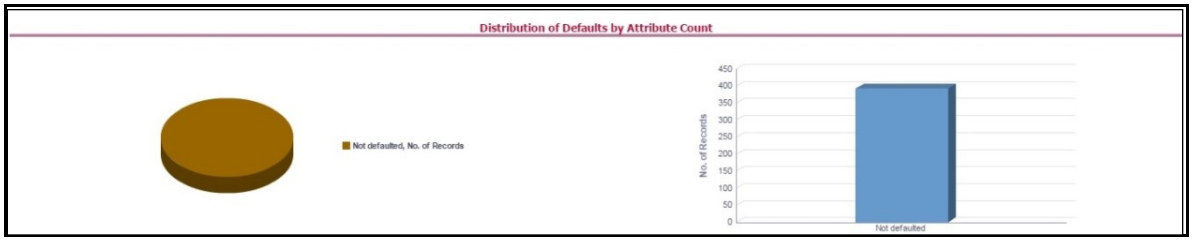


  - Trend of Data Bucket: Graphical representation of the Distribution Count and Node Codes against time intervals. The Trend of Data Buckets includes two types of graphs:
    - Bar Graph
    - Line Graph

3.13.1.3 Distribution of Defaults by Attribute Count

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

Figure 104: 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

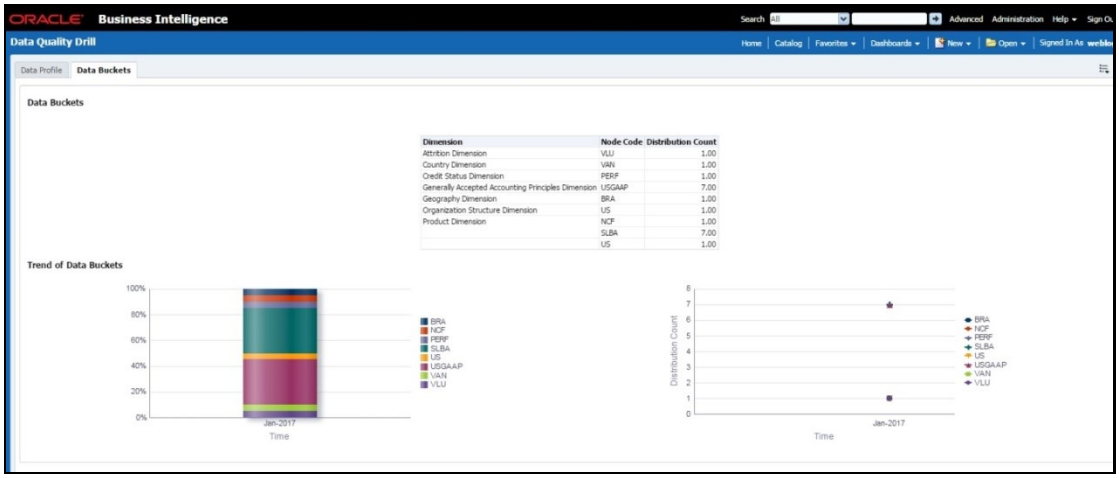
Click **Attributes** to display the following:

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

Figure 105: 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 analysis:
  - Data Bucket: The tabular representation of the following data based on the Dimension Table:
    - Node Code
    - Distribution Count

Figure 106: 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

3.13.1.4 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 **Common Tasks** > **Operations** > **Batch Maintenance**.
2. Select the DGS_DQ_CTL_BATCH batch. See OFS Data Governance Run Chart for more details.

> **NOTE** The FSI_DGS_DQ_BALANCE_COL_MAP table will have the configuration details required for DQ-Exception amount calculations.

It consists of the following columns.

Table 21: 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 22: Data Quality Exception Report

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

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

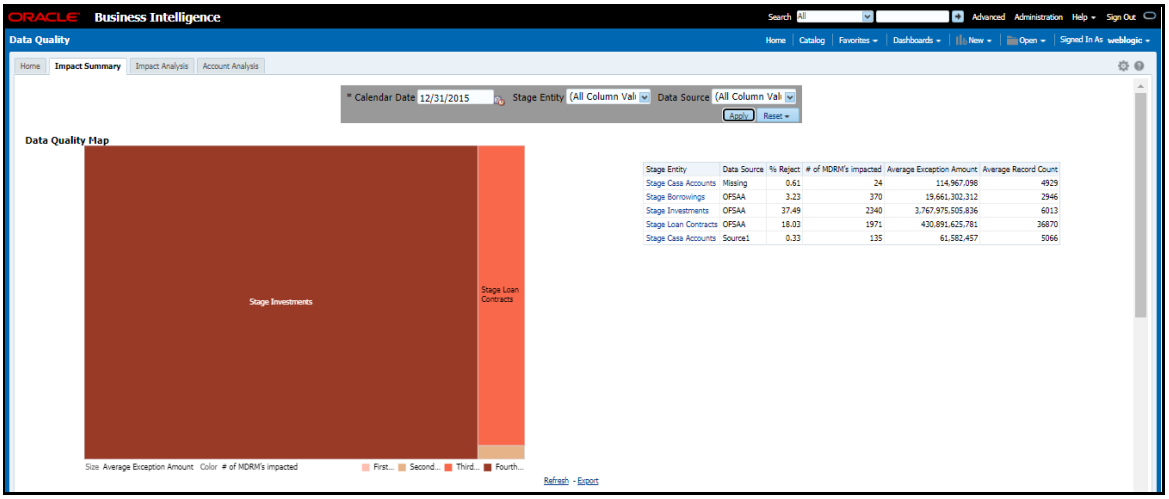
The enhanced Data Quality Control functionality analyzes the impact of Data Quality failure on Regulatory Reporting based on Data Source. The report helps analyze the impact of Data Quality failure on a Cell value, and there is an option to drill down to account granularity to identify failed accounts.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

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

- Impact Summary – Data Quality Impact Detail

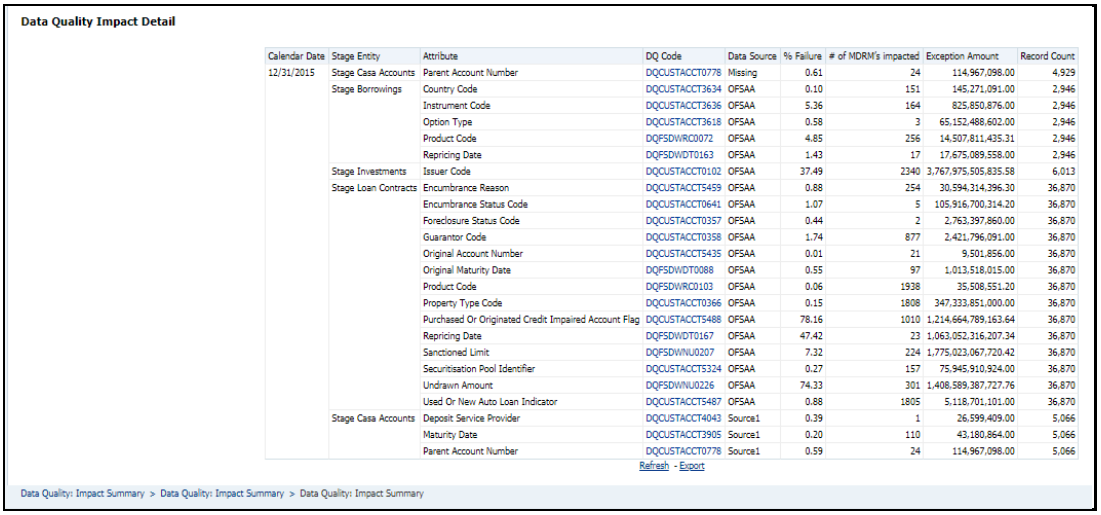
  Click the Data Quality Map or the Stage Entity, to view the Impact Analysis.

Figure 107: Impact Summary



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

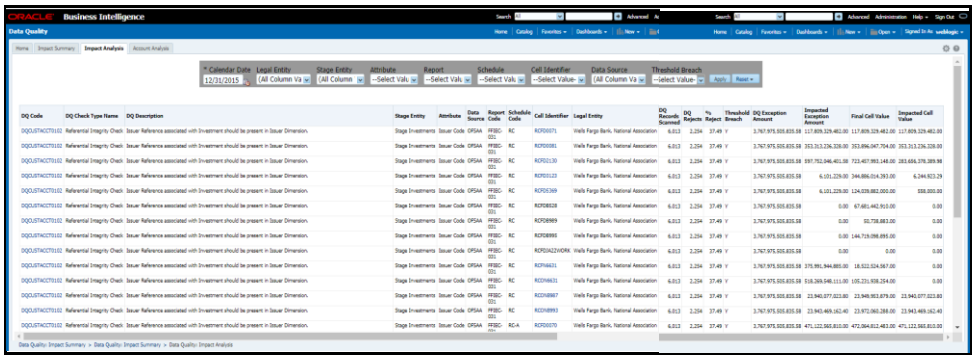
Figure 108: Data Quality Impact Detail



- **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.

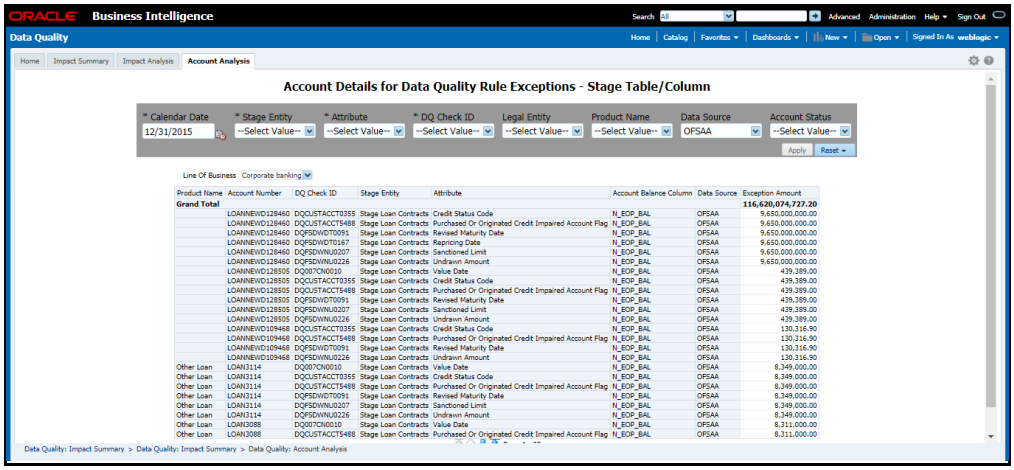
Figure 109: Impact Analysis



- **Account Analysis Drill-Down Report**

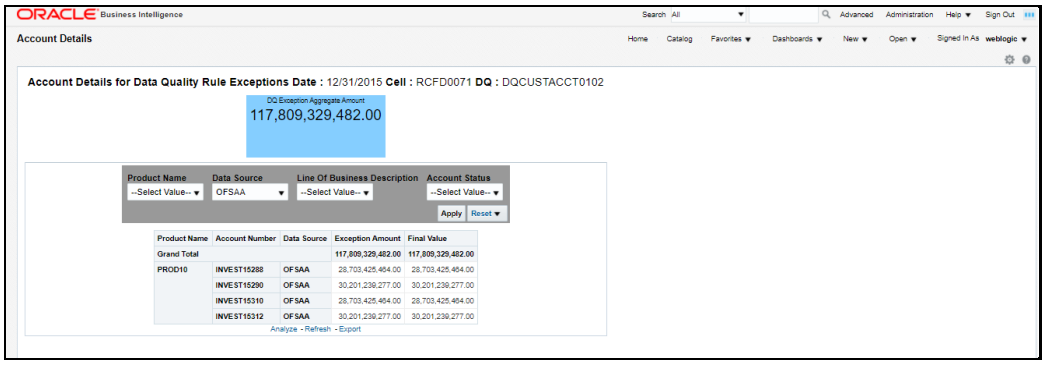
  Click the **DQ Code** link in **Impact Analysis** to view the **Account Analysis Report**. This report displays the Account Number associated and the Exception Amount for the Account Balance based on the Data Source.

Figure 110: Account Analysis



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

Figure 111: Account Details



3.13.2 Controls Dashboard

Execute the batches corresponding to Controls to view the Controls dashboards. For Controls Dashboard refer to the APME (APRA/RBI/MAS) 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 APME (APRA/RBI/MAS) Run Chart for further details.

This section displays two dashboard pages:

- Summary
- Controls by Regulatory Reports

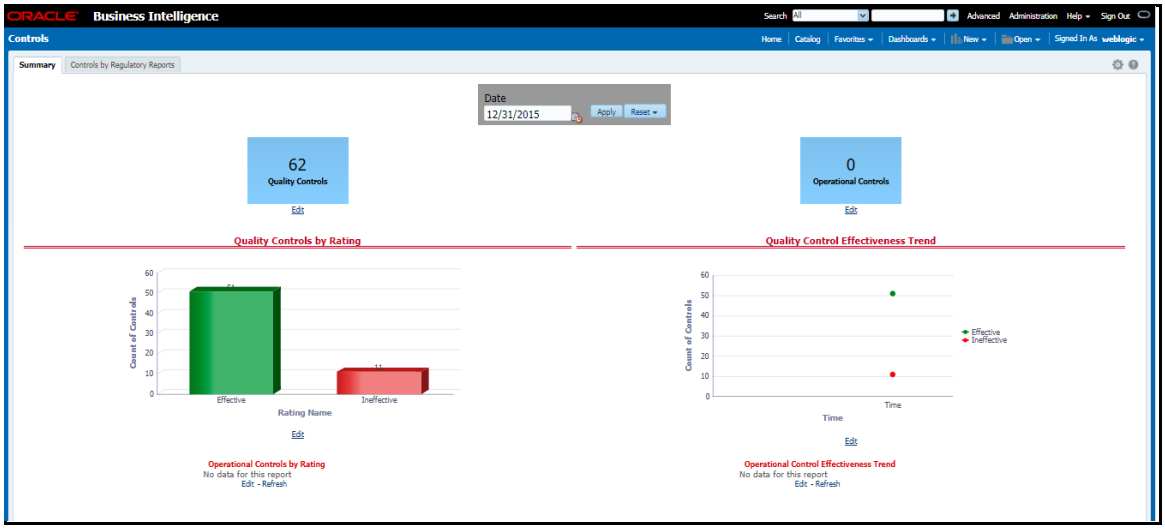
3.13.2.1 Summary

Select the date to generate the dashboard reports.

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

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

Figure 112: Summary



3.13.2.1.1 Quality Controls by Rating

This section provides the graphical representation of the Number of Controls against Quality Controls. The following are the types of Rating Names:

- Effective
- Ineffective

Figure 113: Quality Controls by Rating

1. 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 114: Control Assessment Details

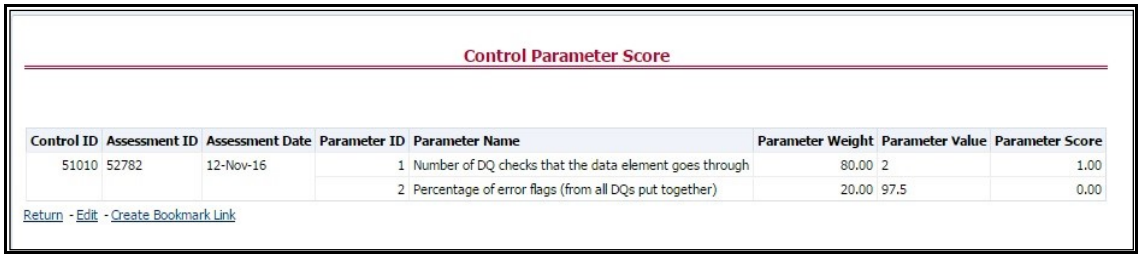
Control Assessment Details

Control ID	Control Name	Number of DQ checks	Assessment ID	Assessment Date	Effective Score	Rating Name
51010	Original Term in Original Term	2	52782	12-Nov-16	80.00	Ineffective
51020	Interest Provision Amount MTD in Interest Provision Amount MTD	1	52785	12-Nov-16	80.00	Ineffective
51029	Account Write-off Date in Account Write-off Date	1	52772	12-Nov-16	80.00	Ineffective
51080	Card Renewal Date in Card Renewal Date	1	52784	12-Nov-16	80.00	Ineffective
51113	Next Payment Date in Next Payment Date	1	52777	12-Nov-16	100.00	Ineffective
51114	Account Open Date in Account Open Date	1	52786	12-Nov-16	80.00	Ineffective
51139	Account Writeback Date in Account Writeback Date	1	52778	12-Nov-16	80.00	Ineffective
51180	Next Payment Date in Next Payment Date	1	52773	12-Nov-16	80.00	Ineffective
51226	Adjustment Effective Date in Adjustment Effective Date	2	52787	12-Nov-16	100.00	Ineffective
51278	Last Repriced Date in Last Repriced Date	1	52788	12-Nov-16	80.00	Ineffective
51293	End Of Period Balance in End Of Period Balance	1	52781	12-Nov-16	80.00	Ineffective
51305	Billing Cycle Date in Billing Cycle Date	1	52783	12-Nov-16	80.00	Ineffective
51395	Last Activity Date in Last Activity Date	1	52771	12-Nov-16	80.00	Ineffective
51415	Last Card Status Update Date in Last Card Status Update Date	1	52775	12-Nov-16	80.00	Ineffective
51444	Last Payment Date in Last Payment Date	1	52776	12-Nov-16	80.00	Ineffective
51517	Number Of Times Delinquent Throughout Life in Number Of Times Delinquent Throughout Life	1	52789	12-Nov-16	80.00	Ineffective
51540	Last Credit Limit Change Date in Last Credit Limit Change Date	1	52779	12-Nov-16	80.00	Ineffective
51583	Next Reprice Date in Next Reprice Date	1	52780	12-Nov-16	80.00	Ineffective
51839	Revised Renewal Date in Revised Renewal Date	1	52774	12-Nov-16	100.00	Ineffective

Return - Edit - Create Bookmark Link

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

Figure 115: Control Parameter Score



3.13.2.1.2 Quality Control Effectiveness Trend

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

Figure 116: Quality Control Effectiveness Trend

1. 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

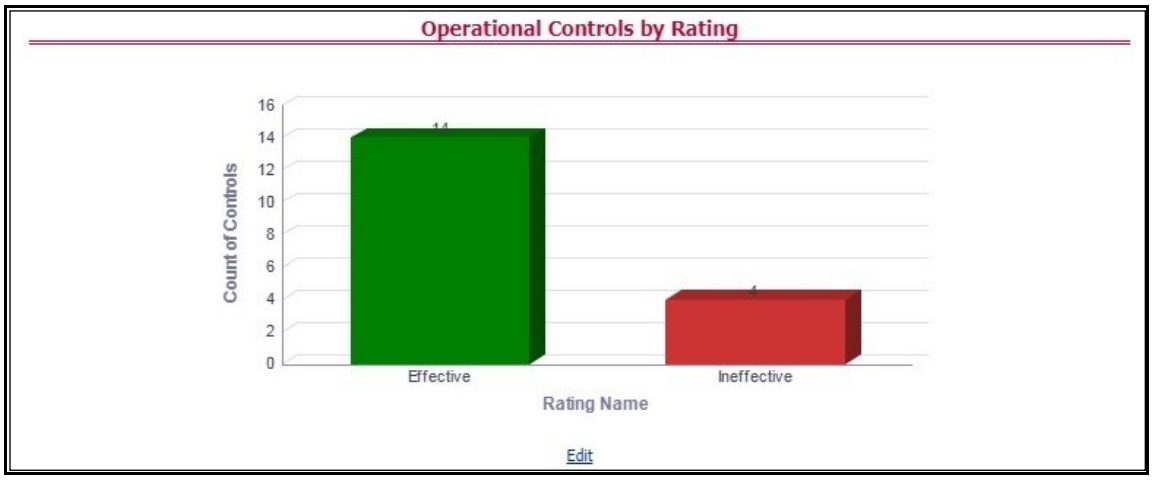
2. Click Assessment ID to view the drill-down Control Parameter Score.

3.13.2.1.3 Operational Controls by Rating

This section provides the graphical representation of the Number of Controls against Operational Controls. The following are the types of Rating Names:

- Effective
- Ineffective

Figure 117: Operational Controls by Rating



1. 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

2. Click Assessment ID to view the drill-down Control Parameter Score.

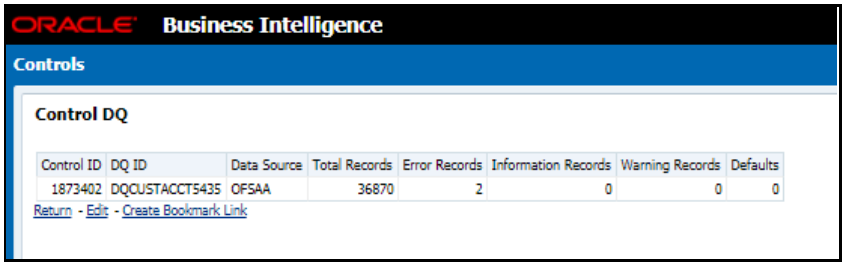
3.13.2.1.4 Data Quality Controls

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

To open this report, follow these steps:

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

Figure 118: Control DQ



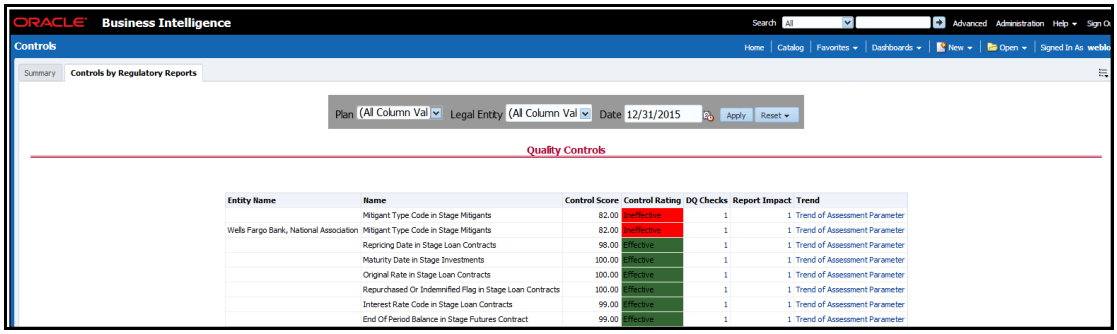
3.13.2.2 Controls by Regulatory Reports

Select the desired Regulatory Report and Date and then click **Apply** to view the **Control Assessment Analysis** dashboard.

The following details are listed in the Control Assessment Analysis report:

- Rating Name
- Reporting Line Item

Figure 119: Controls by Regulatory Reports



3.13.3 Key Indicators Dashboards

Key Indicators dashboard displays the various types of reports based on the analysis of the Key Indicators in the system. For the Key Indicators, Dashboards refer to the APME (APRA/RBI/MAS) Run Chart and execute the batch DGS_KI_BATCH for the date on which the Key Indicator needs to be executed. Refer to the APME (APRA/RBI/MAS) Run Chart for further details.

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

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

- Jurisdiction
- Report Code
- Schedule Code

- Cell ID
- Legal Entity
- Date

Click **Apply** to generate the reports.

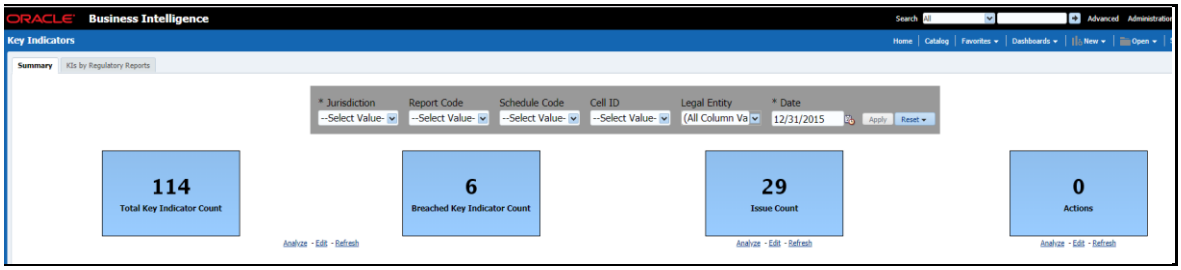
Click **Reset** to reset the values.

3.13.3.1 Key Indicators - Summary

The **Summary** tab consists of these performance tiles:

- **Total Key Indicator Count:** Displays the total number of Key Indicators.
- **Breached Key Indicator Count:** Displays the total number of Breached Key Indicators.
- **Issue Count:** Displays the total number of Issue-based Key Indicators.
- **Actions:** Displays the total number of Action based Key Indicators.

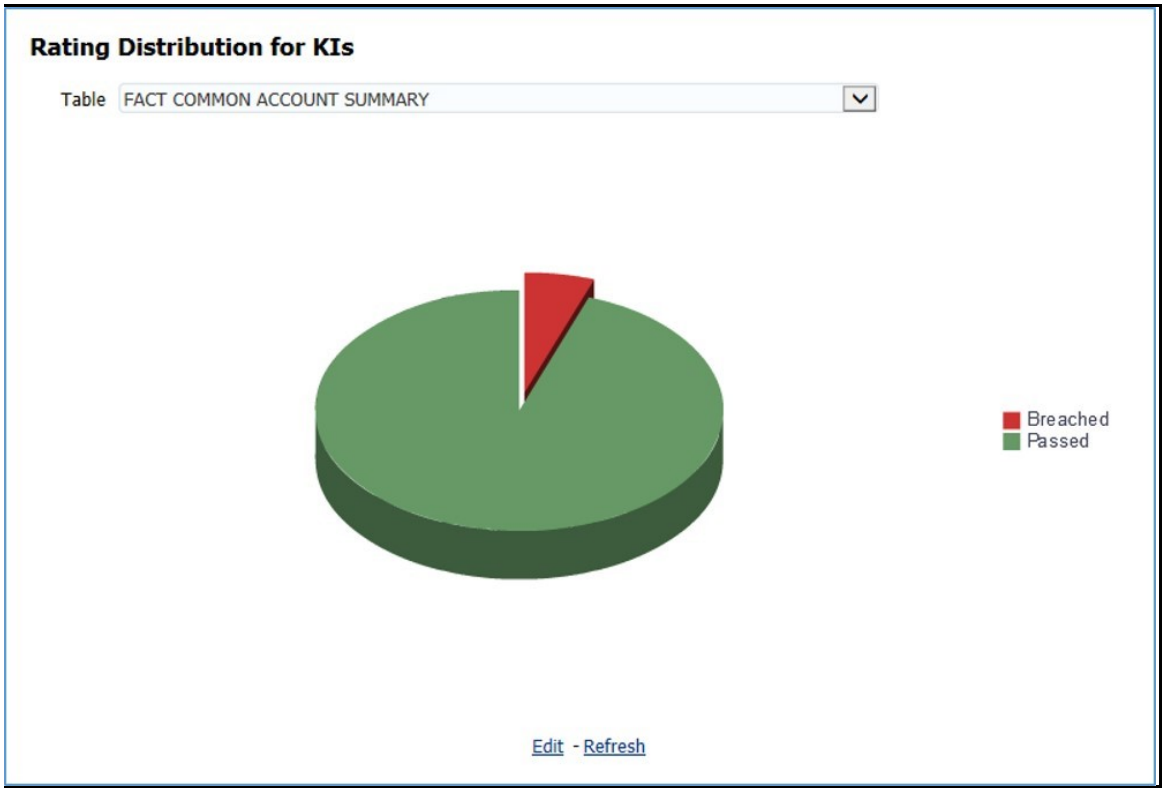
Figure 120: Key Indicators



These are the KI Summary dashboard sections:

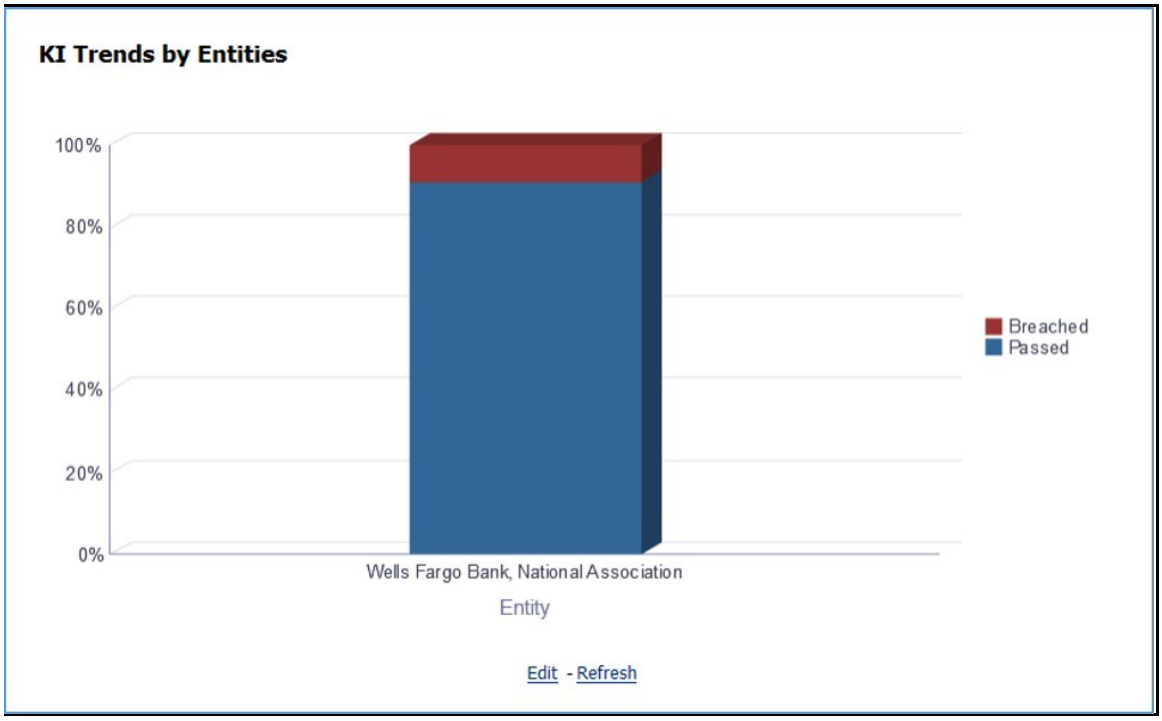
- **Rating Distribution for KIs:** Displays the latest rating distribution for the assessed Key Indicators.

Figure 121: Rating Distribution for KIs



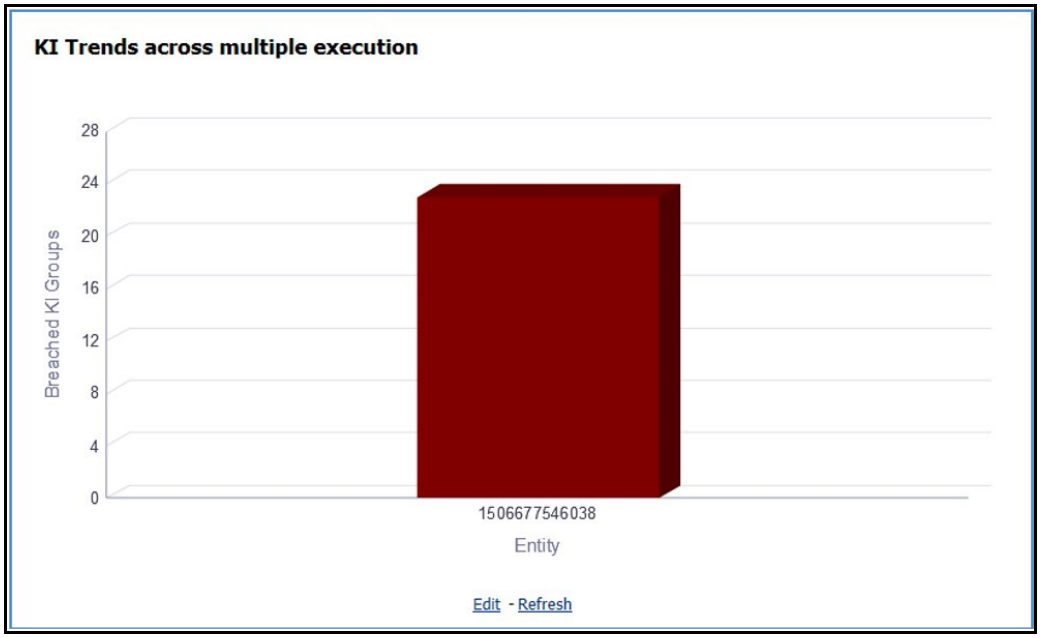
KI Trends by Entities: Displays the trend of the latest entities for the assessed Key Indicators.

Figure 122: KI Trends by Entities



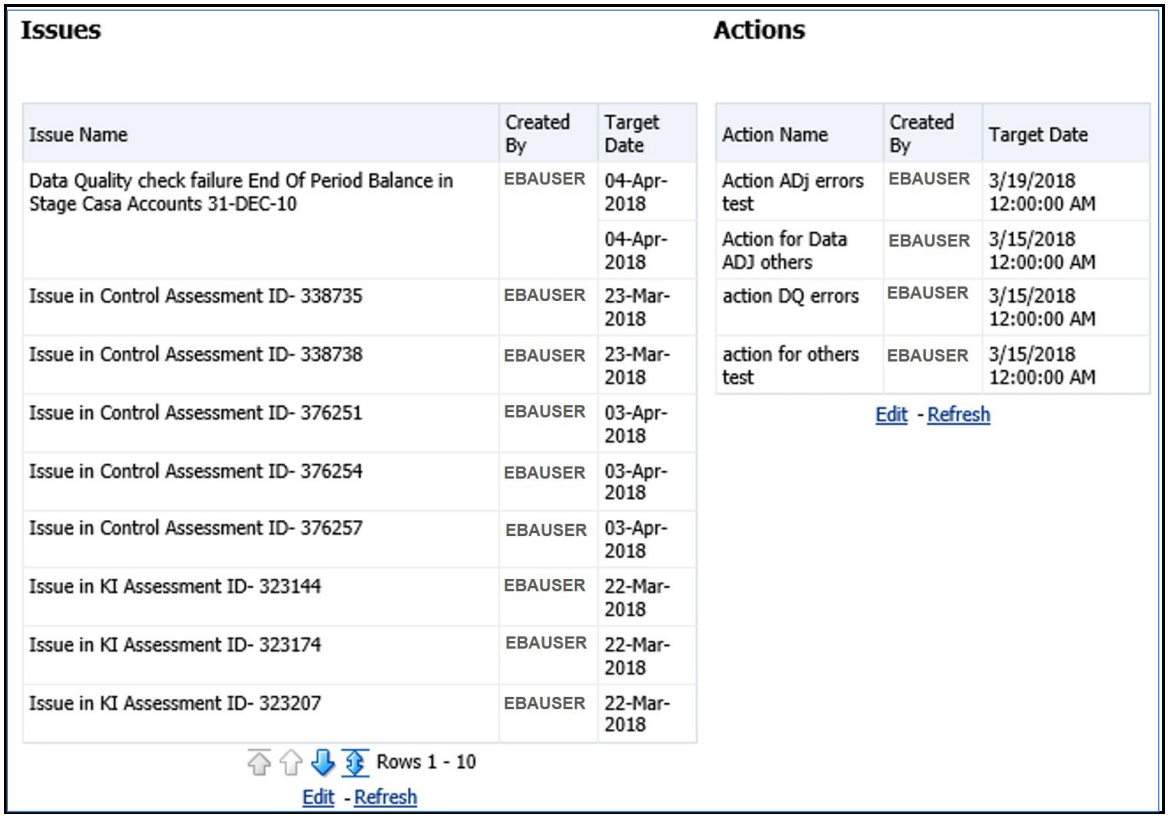
KI Trends across multiple executions: Displays the latest trend across multiple executions for the assessed Key Indicators.

Figure 123: KI across multiple executions



Issues and Actions:

Figure 124: Issues and Actions



Issues

Issue Name	Created By	Target Date
Data Quality check failure End Of Period Balance in Stage Casa Accounts 31-DEC-10	EBAUSER	04-Apr-2018
		04-Apr-2018
Issue in Control Assessment ID- 338735	EBAUSER	23-Mar-2018
Issue in Control Assessment ID- 338738	EBAUSER	23-Mar-2018
Issue in Control Assessment ID- 376251	EBAUSER	03-Apr-2018
Issue in Control Assessment ID- 376254	EBAUSER	03-Apr-2018
Issue in Control Assessment ID- 376257	EBAUSER	03-Apr-2018
Issue in KI Assessment ID- 323144	EBAUSER	22-Mar-2018
Issue in KI Assessment ID- 323174	EBAUSER	22-Mar-2018
Issue in KI Assessment ID- 323207	EBAUSER	22-Mar-2018

Rows 1 - 10

Edit - Refresh

Actions

Action Name	Created By	Target Date
Action ADj errors test	EBAUSER	3/19/2018 12:00:00 AM
Action for Data ADJ others	EBAUSER	3/15/2018 12:00:00 AM
action DQ errors	EBAUSER	3/15/2018 12:00:00 AM
action for others test	EBAUSER	3/15/2018 12:00:00 AM

Edit - Refresh

3.13.3.1.1 Viewing Key Indicator Details

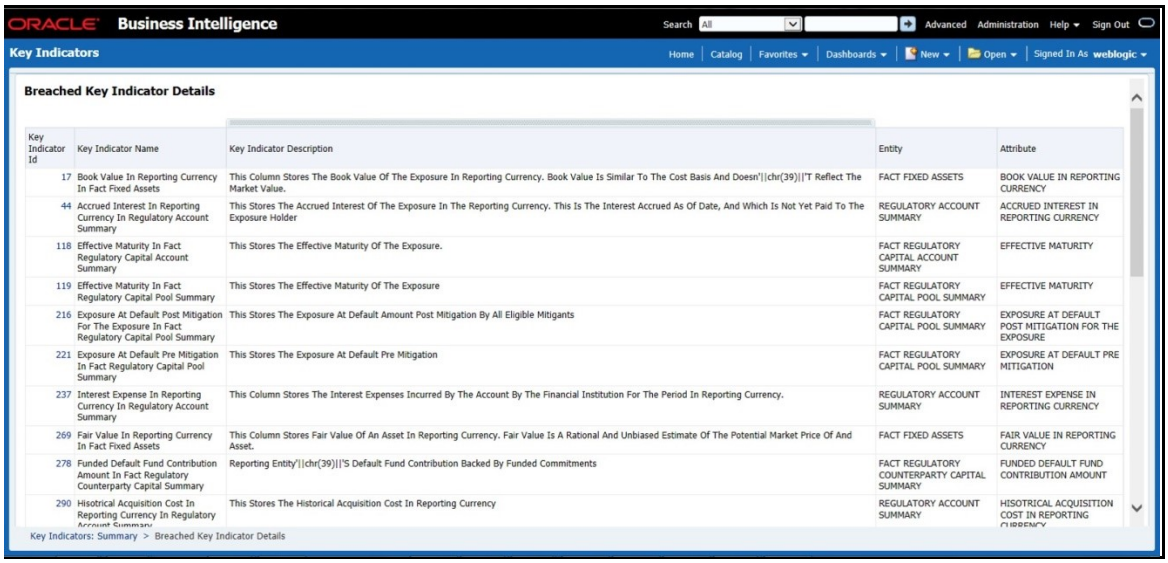
- To view the Key Indicator details:

To view the Key Indicator details for a performance tile, click that performance tile.

The following Key Indicator details appear:

- Key Indicator ID
- Key Indicator Name
- Key Indicator Description
- Entity
- Attribute

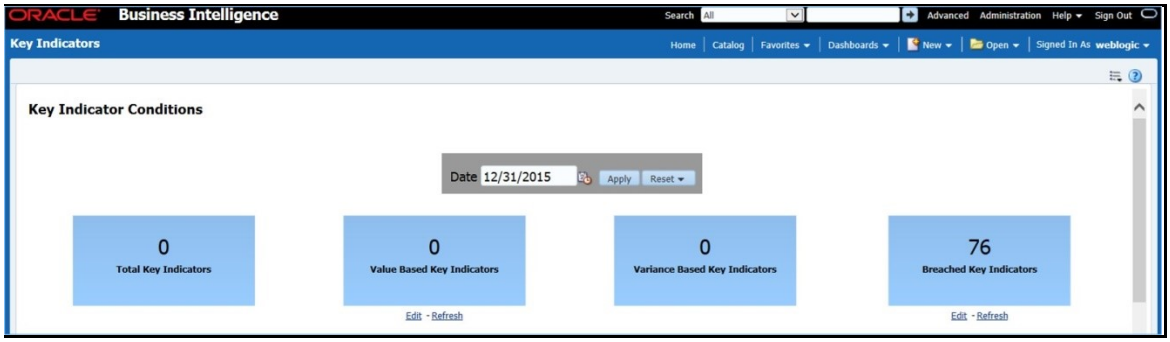
Figure 125: Breached Key Indicator Details



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 126: Key Indicator Conditions



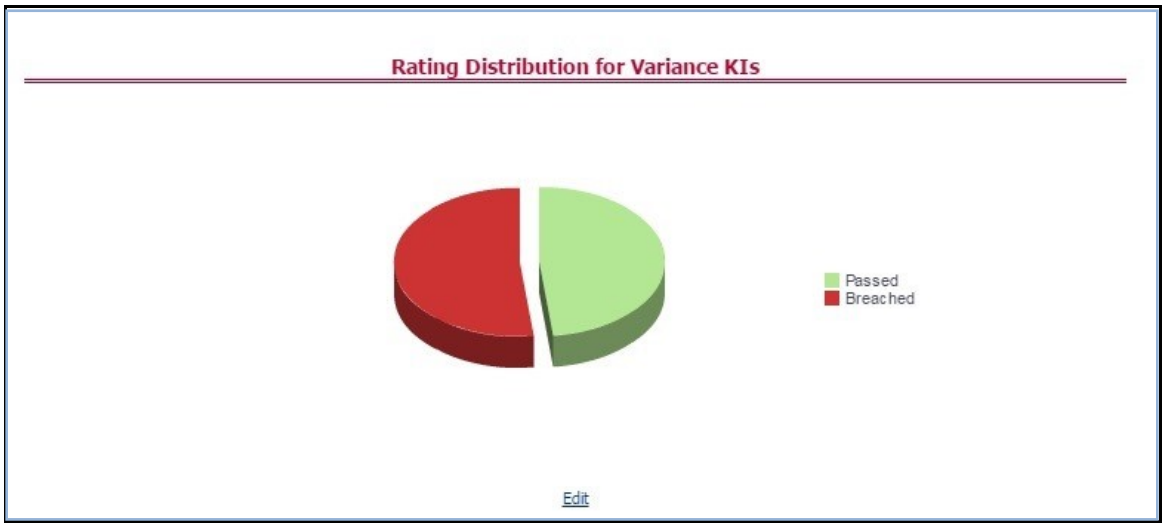
3.13.3.1.2 Viewing Key Indicator Conditions Details

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

These are the sections of the Key Indicator Conditions dashboards:

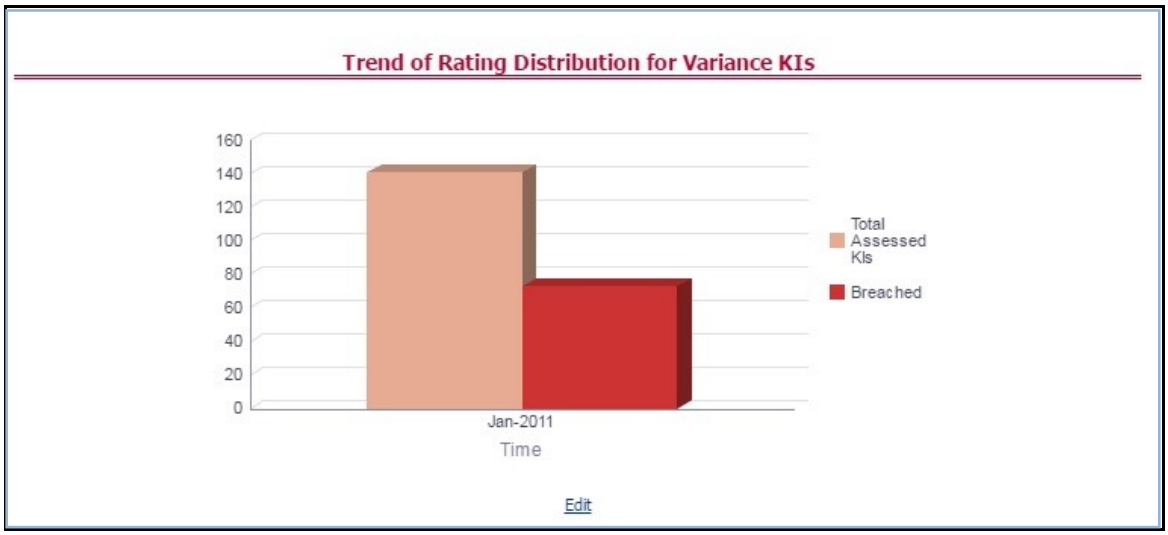
Rating Distribution for Variance KIs: This report displays the latest rating distribution for the assessed Variance Key Indicators.

Figure 127: Rating Distribution for Variance KIs



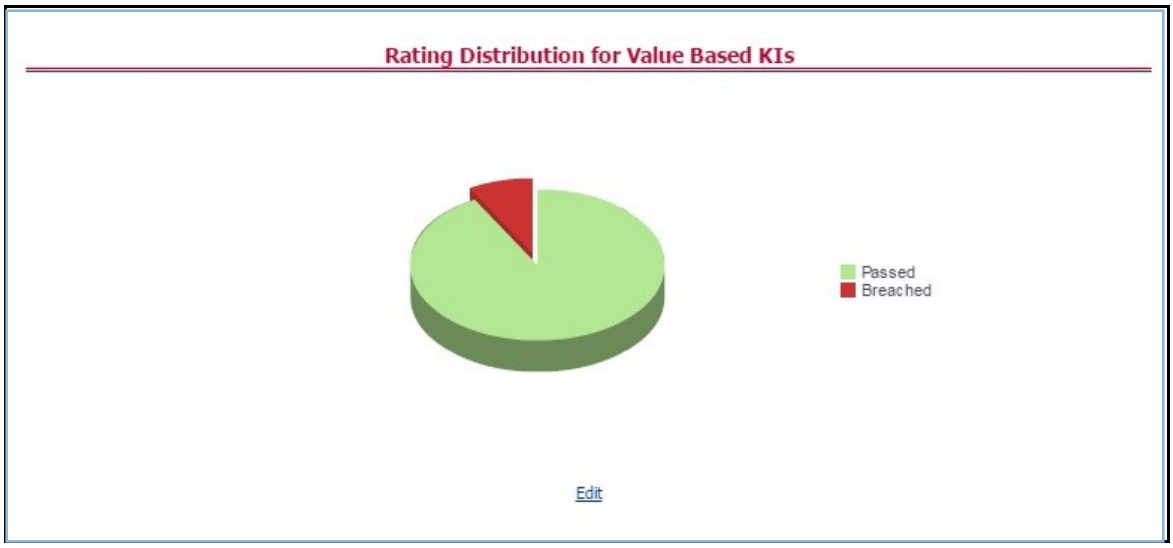
Trend of Rating Distribution for Variance KIs: For the assessed Variance Key Indicators, this report displays the trend of the latest rating distribution.

Figure 128: Trend of Rating Distribution for Variance KIs



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

Figure 129: Rating Distribution for Value-Based KIs



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

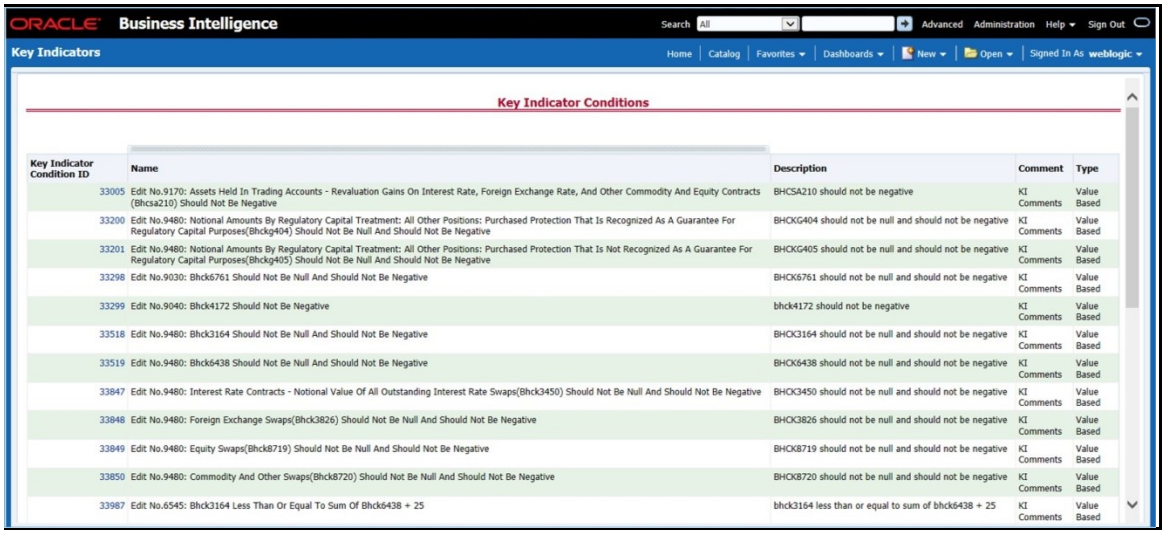
Figure 130: Trend of Rating Distribution for Value-Based KIs

To view the Key Indicator Conditions details:

To view the Key Indicator Conditions details for a performance tile, click that performance tile. The following Key Indicator Conditions details appear:

- Key Indicator Condition ID
- Name
- Description
- Comment
- Type

Figure 131: Key Indicator Conditions



To view the **Assessment Details** page for a required Key Indicator Condition, click the corresponding **Key Indicator Condition ID**.

The **Assessment Details** page appears with the following details:

- **Assessment ID**: This is the Assessment ID corresponding to the selected Key Indicator ID.
- **Key Indicator ID**: This is the selected Key Indicator ID.

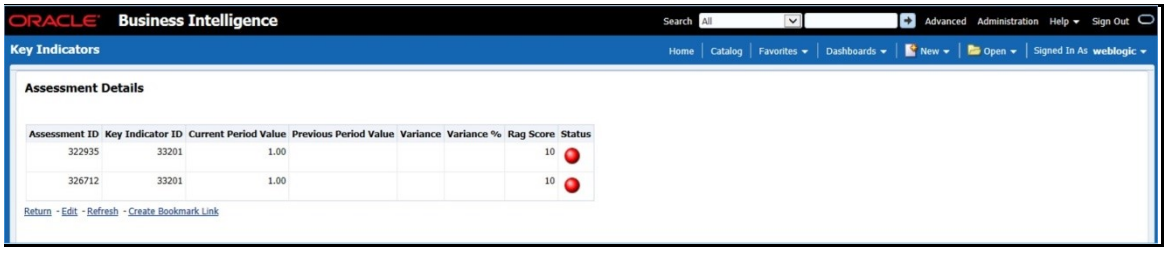
Current Period Value: The current period value for the selected Key Indicator ID.

- **Previous Period Value**: The previous period value for the selected Key Indicator ID.
- **Variance**: The difference in Current and Previous Period Value for the selected Key Indicator ID.

Variance %: The percentage of Variance based on the Previous Period value.

- **RAG Score**: The RAG value of the selected Key Indicator depending on the various values.
- **Status**: The status of the selected Key Indicators depending on the various values.

Figure 132: Assessment Details



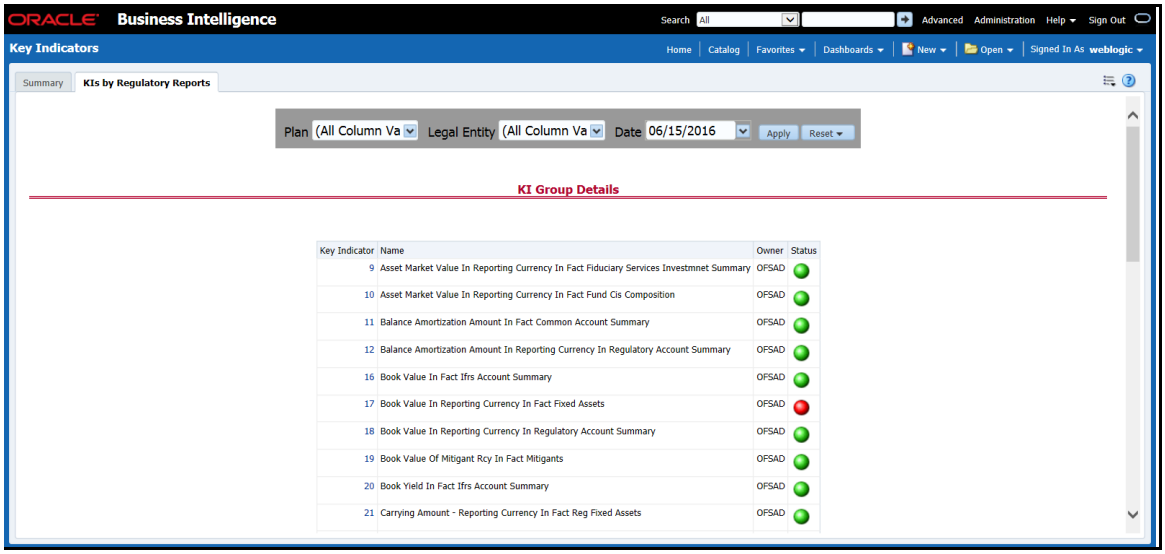
3.13.3.2 KIs by Regulatory Reports

The **KIs by Regulatory Reporting** page displays the Key Indicator Group Details with the following columns:

- Key Indicator
- Name
- Owner
- Status

To view the above-mentioned column values for a particular report, select the required report name in the **Plan** dropdown box, and column name in the **Legal Entity** dropdown box. Click **Apply**. A list of KI Group Details appears.

Figure 133: 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.

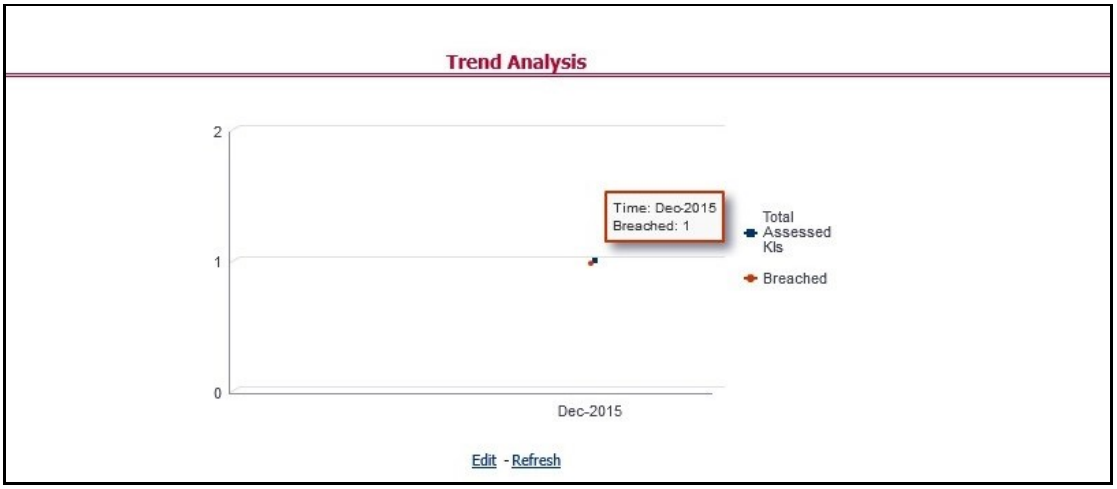
- **Cell Reference**: This displays the cell ID for the respective reporting line item.
- **KI Condition**: Displays the KI condition name.

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.

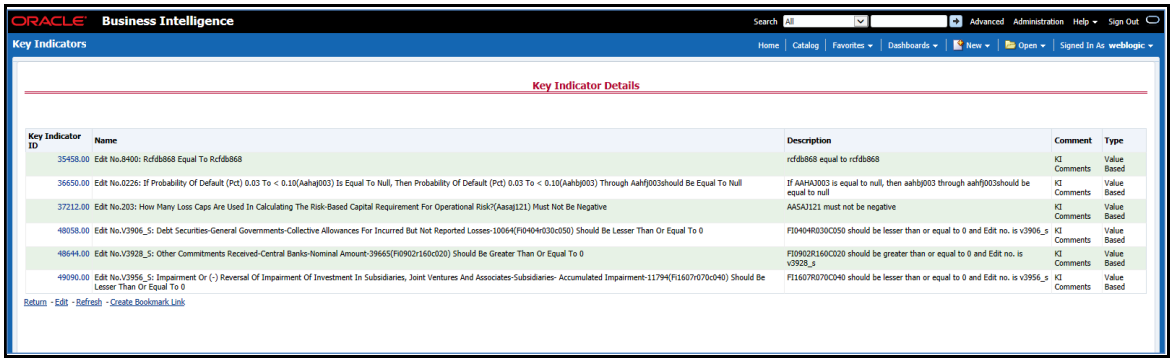
- **Trend Analysis:** Displays the trend of total assessed Key Indicators and breached Key Indicators for a particular time interval.

Figure 134: Trend Analysis



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

Figure 135: Key Indicator Details



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

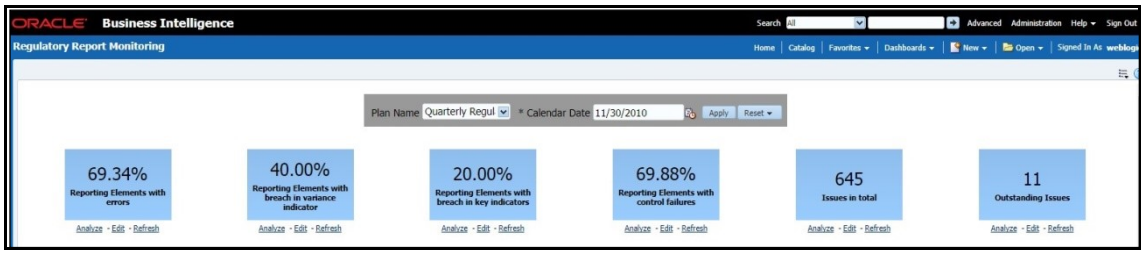
3.13.4 Regulatory Report Monitoring

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

The following values appear in terms of Performance Tiles:

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

Figure 136: Regulatory Report Monitoring



Regulatory Report Monitoring dashboard displays the following grids:

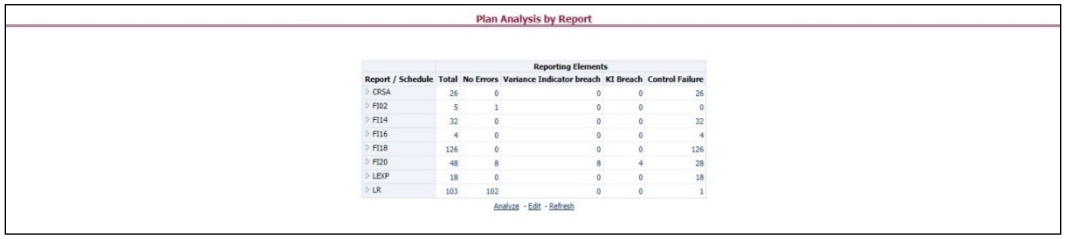
- Plan Analysis by Report
- Issue and Action Tracking

3.13.4.1 Plan Analysis by Report

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

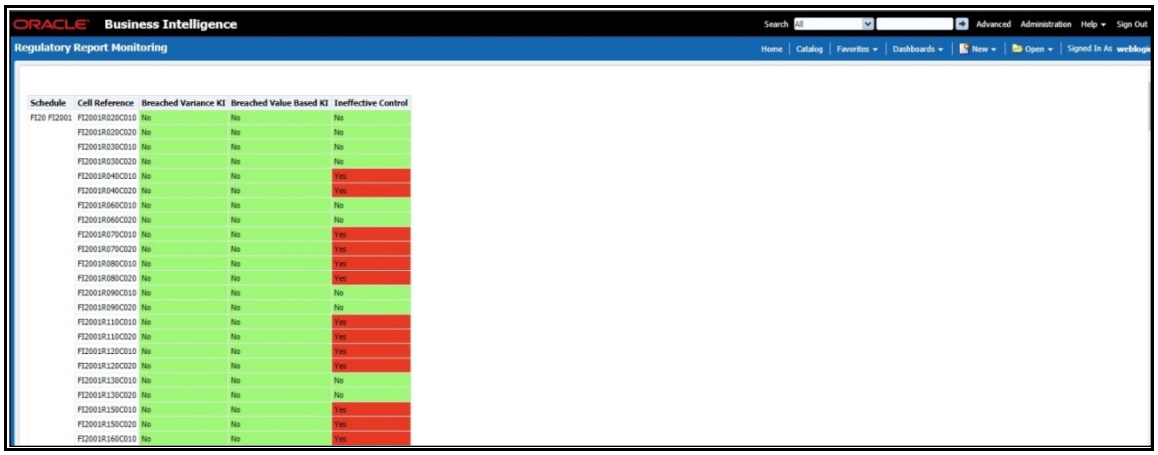
1. Select the **Report Name** from the drop-down to view the following data:
   - **Report/Schedule Name:** Displays the name of the report/schedule.
   - **Total:** Displays the number of reporting elements linked to a schedule.
   - **No Errors:** Displays the number of reporting elements without errors.
   - **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 137: Plan Analysis by Report



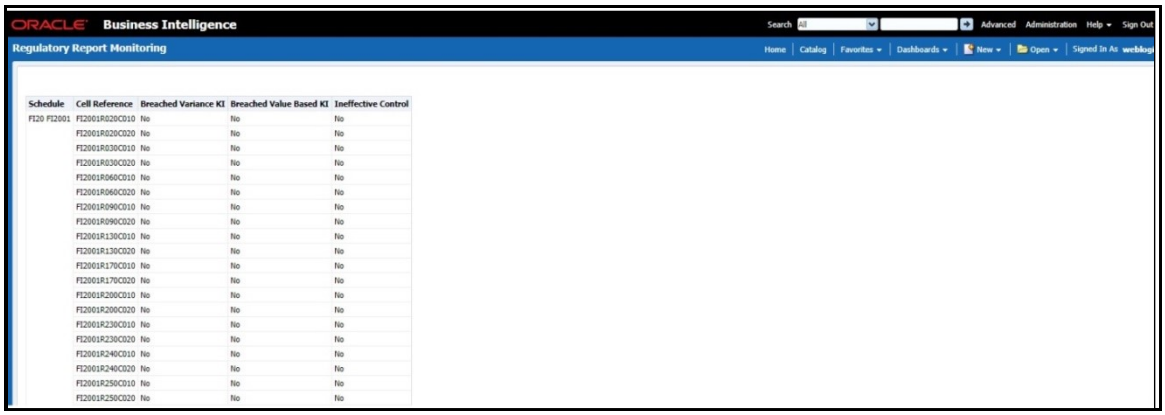
2. Click **Total** associated with each schedule to display the Reporting Element drill-down Report. The following details appear:
    - **Schedule:** Displays the name of the schedule.
    - **Cell Reference:** Displays the reporting elements associated with the schedule.
    - **Breached Variance KI:**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

Figure 138: Regulatory Report Monitoring



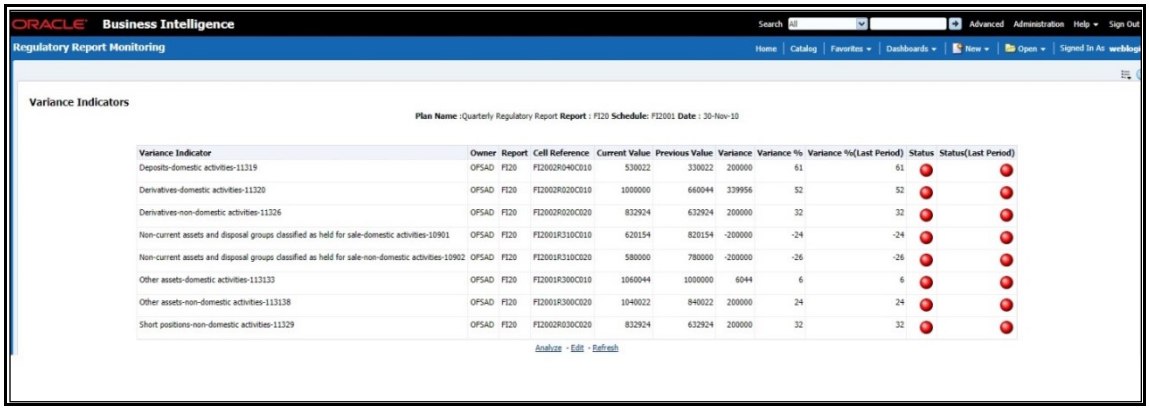
3. Click **No Errors** associated with each schedule to display the Reporting Element drill-down Report. The following details appear:
    - **Schedule:** Displays the name of the schedule.
    - **Cell Reference:** Displays the reporting elements associated with the schedule.
    - **Breached Variance KI:** Displays if there are any Breached Variance KIs.
    - **Breached Value-Based KI:** Displays if there are any Breached Value-Based KIs.
    - **Ineffective Control:** Displays if there are any Ineffective Controls.

Figure 139: Regulatory Report Monitoring



4. Click **Variance Indicator Breach** associated with each schedule to display the Variance Indicators and Issue Details – Variance Based Indicators drill-down Report. The following details appear in Variance Based Indicators:
    - Plan Name
    - Report Name
    - Schedule
    - Date
    - Variance Indicator
    - Owner
    - Report
    - Cell Reference
    - Current Value
    - Previous Value
    - Variance
    - Variance %
    - Variance % (Last Period)
    - Status
    - Status (Last Period)

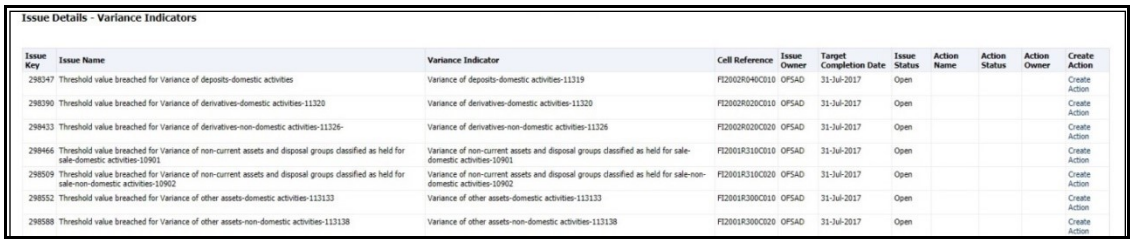
Figure 140: Variance Indicators



The following details appear in Issue Details-Variance Based Indicators:

- Issue Key
- Issue Name
- Variance Indicator
- Cell Reference
- Issue Owner
- Target Completion Date
- Issue Status
- Action Name
- Action Status
- Action Owner
- Create Action

Figure 141: Issue Details-Variance Based Indicators

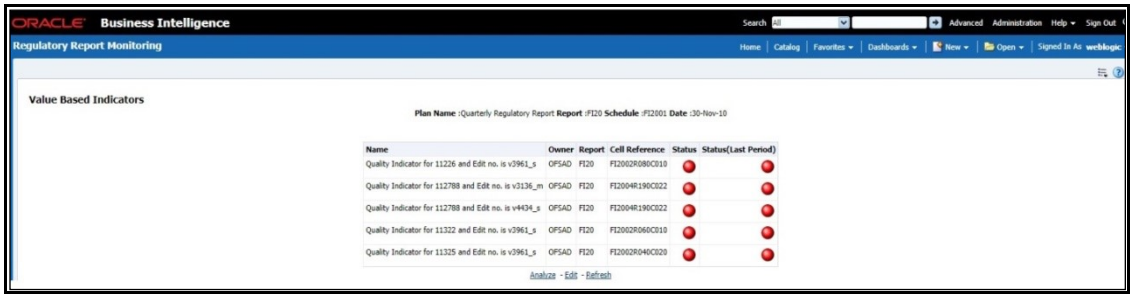


5. Click **KI Breach** associated with each schedule to display Value-Based Indicators and Issue Details – Value-Based Indicators drill-down Report. The following details appear in Value-Based Indicators:

   - Plan Name
   - Report
   - Schedule
   - Date

- Name
- Owner
- Report
- Cell Reference
- Status
- Status (Last Period)

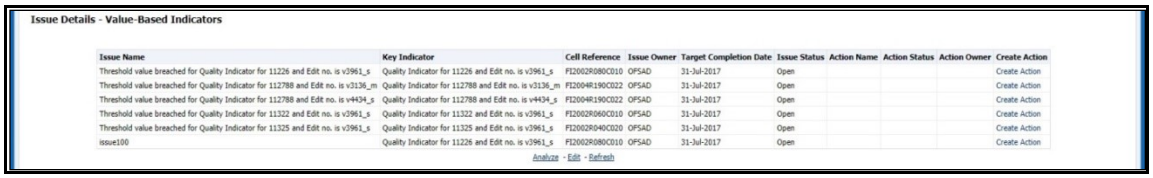
Figure 142: Value Based Indicators



The following details appear in Issue Details - Value-Based Indicators:

- Issue Name
- Key Indicator
- Cell Reference
- Issue Owner
- Target Completion Date
- Issue Status
- Action Name
- Action Status
- Action Owner
- Create Action

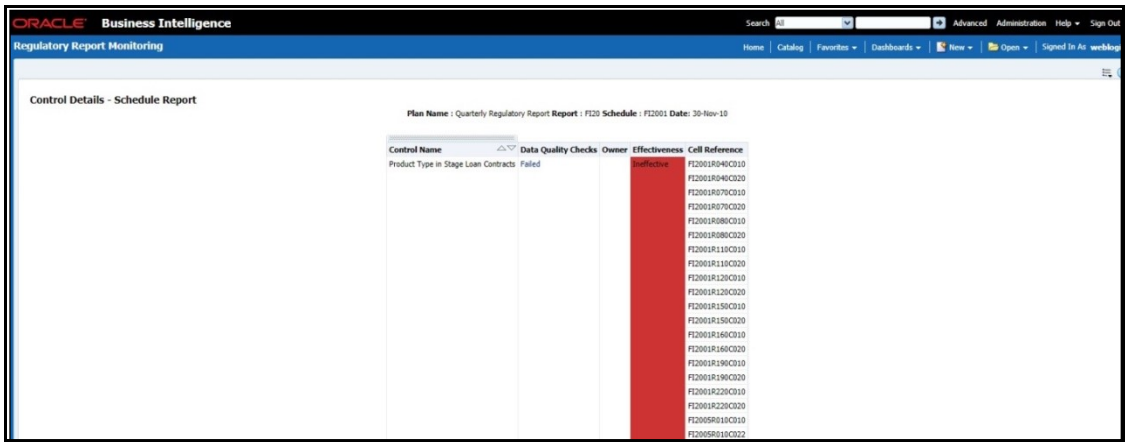
Figure 143: Value Based Indicators



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

- Control Name
- Data Quality Checks
- Owner
- Effectiveness
- Cell Reference

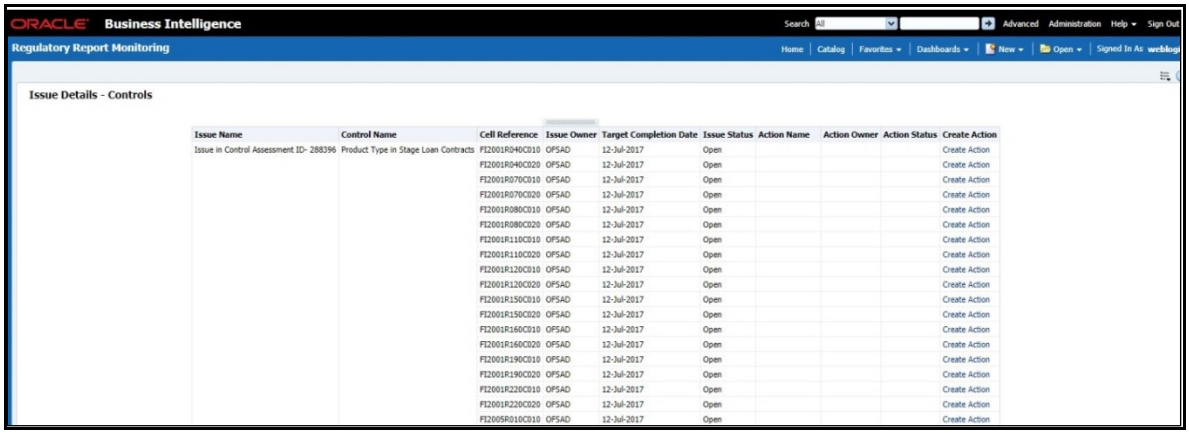
Figure 144: Control Details – Schedule Report



The following details appear in Issue Details - Controls:

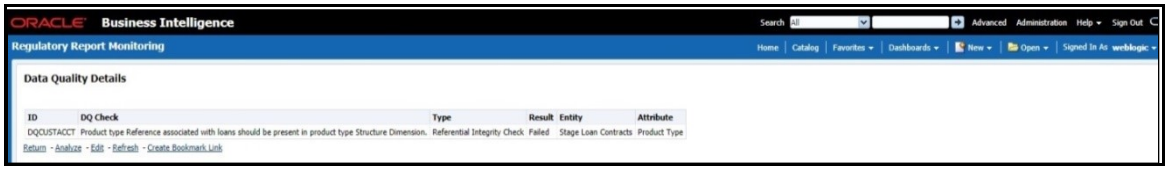
- Issue Name
- Control Name
- Cell Reference
- Issue Owner
- Target Completion Date
- Issue Status
- Action Name
- Action Status
- Action Owner
- Create Action

Figure 145: Issue Details – Controls



7. Click **Data Quality Checks** associated with each Control to display the following Data Quality Details:
   - ID
   - DQ Check
   - Type
   - Result
   - Entity
   - Attribute

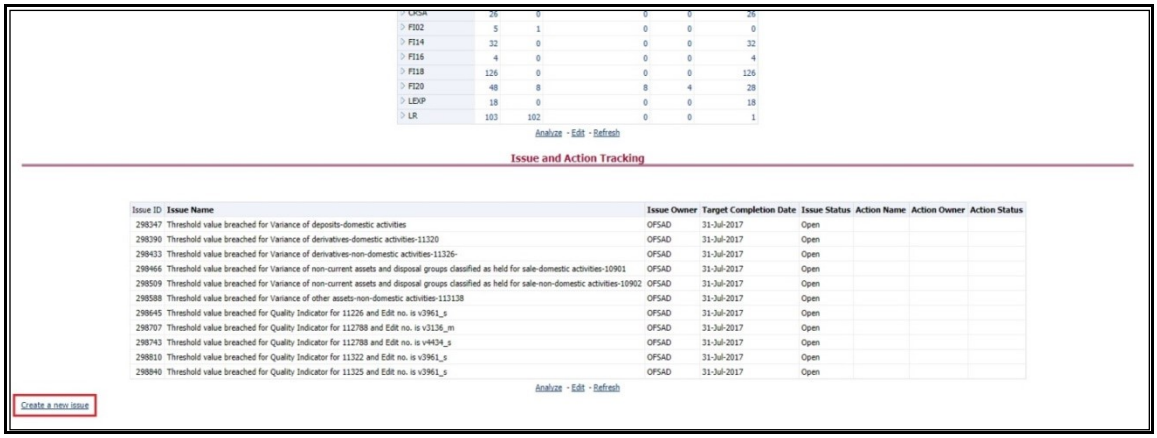
Figure 146: Data Quality Checks



3.13.4.2 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.

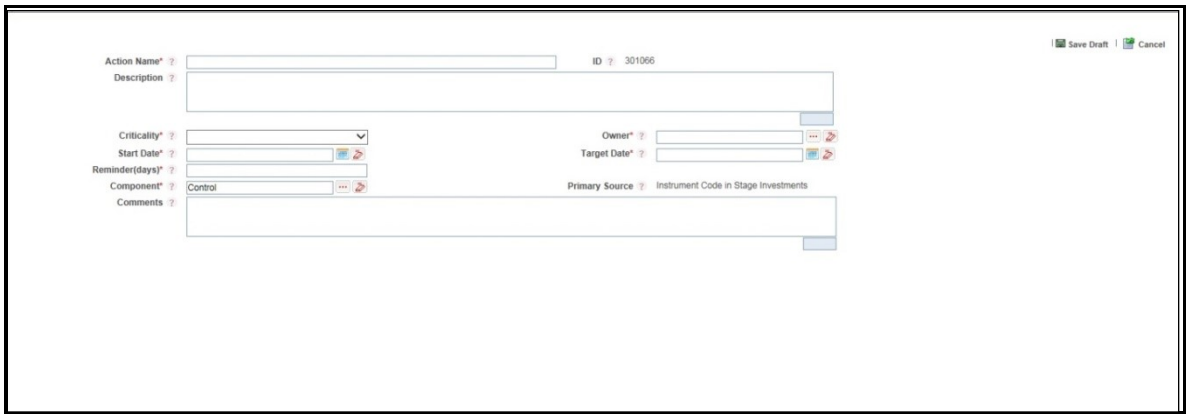
Figure 147: Create a New Issue



3.13.4.3 Create Action

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

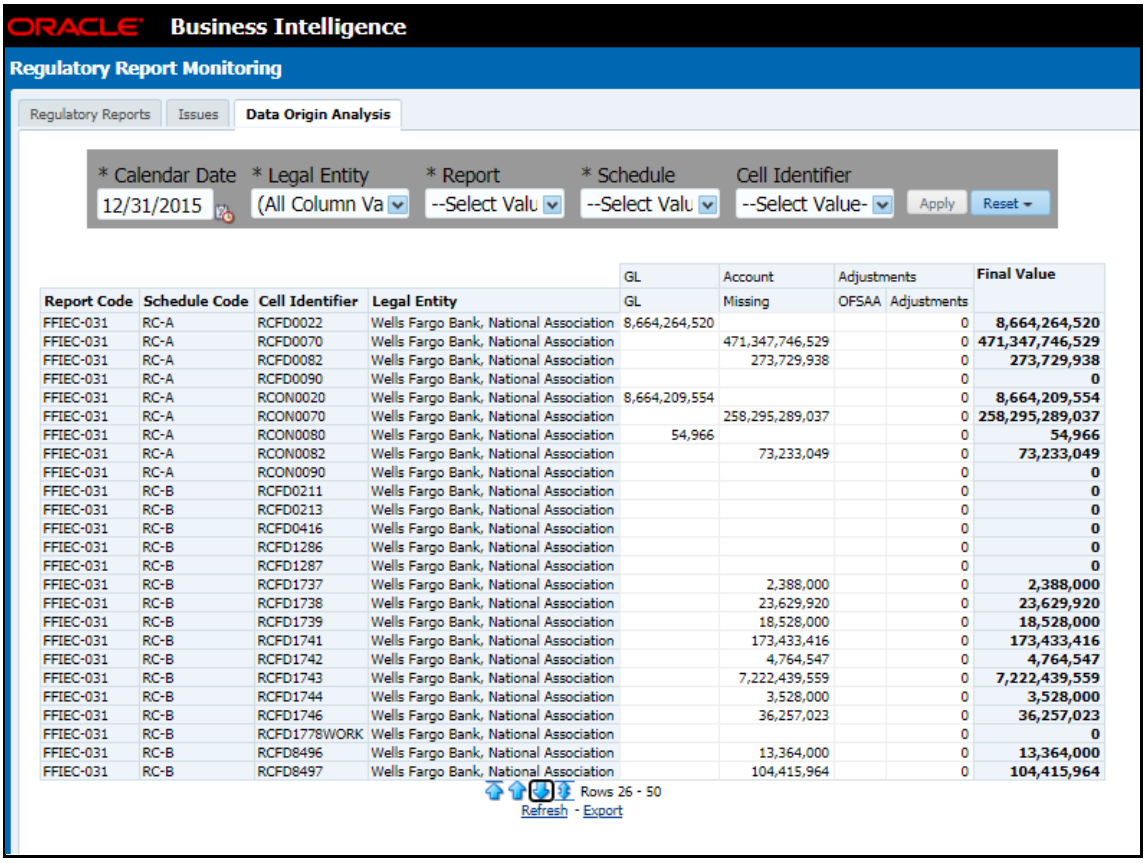
Figure 148: Create Action



3.13.4.4 Data Origin Analysis

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

Figure 149: Data Origin Analysis



				GL	Account	Adjustments		Final Value
Report Code	Schedule Code	Cell Identifier	Legal Entity	GL	Missing	OFSAA	Adjustments	
FFIEC-031	RC-A	RCFD0022	Wells Fargo Bank, National Association	8,664,264,520			0	8,664,264,520
FFIEC-031	RC-A	RCFD0070	Wells Fargo Bank, National Association		471,347,746,529		0	471,347,746,529
FFIEC-031	RC-A	RCFD0082	Wells Fargo Bank, National Association		273,729,938		0	273,729,938
FFIEC-031	RC-A	RCFD0090	Wells Fargo Bank, National Association				0	0
FFIEC-031	RC-A	RCON0020	Wells Fargo Bank, National Association	8,664,209,554			0	8,664,209,554
FFIEC-031	RC-A	RCON0070	Wells Fargo Bank, National Association		258,295,289,037		0	258,295,289,037
FFIEC-031	RC-A	RCON0080	Wells Fargo Bank, National Association	54,966			0	54,966
FFIEC-031	RC-A	RCON0082	Wells Fargo Bank, National Association		73,233,049		0	73,233,049
FFIEC-031	RC-A	RCON0090	Wells Fargo Bank, National Association				0	0
FFIEC-031	RC-B	RCFD0211	Wells Fargo Bank, National Association				0	0
FFIEC-031	RC-B	RCFD0213	Wells Fargo Bank, National Association				0	0
FFIEC-031	RC-B	RCFD0416	Wells Fargo Bank, National Association				0	0
FFIEC-031	RC-B	RCFD1286	Wells Fargo Bank, National Association				0	0
FFIEC-031	RC-B	RCFD1287	Wells Fargo Bank, National Association				0	0
FFIEC-031	RC-B	RCFD1737	Wells Fargo Bank, National Association		2,388,000		0	2,388,000
FFIEC-031	RC-B	RCFD1738	Wells Fargo Bank, National Association		23,629,920		0	23,629,920
FFIEC-031	RC-B	RCFD1739	Wells Fargo Bank, National Association		18,528,000		0	18,528,000
FFIEC-031	RC-B	RCFD1741	Wells Fargo Bank, National Association		173,433,416		0	173,433,416
FFIEC-031	RC-B	RCFD1742	Wells Fargo Bank, National Association		4,764,547		0	4,764,547
FFIEC-031	RC-B	RCFD1743	Wells Fargo Bank, National Association		7,222,439,559		0	7,222,439,559
FFIEC-031	RC-B	RCFD1744	Wells Fargo Bank, National Association		3,528,000		0	3,528,000
FFIEC-031	RC-B	RCFD1746	Wells Fargo Bank, National Association		36,257,023		0	36,257,023
FFIEC-031	RC-B	RCFD1778WORK	Wells Fargo Bank, National Association				0	0
FFIEC-031	RC-B	RCFD8496	Wells Fargo Bank, National Association		13,364,000		0	13,364,000
FFIEC-031	RC-B	RCFD8497	Wells Fargo Bank, National Association		104,415,964		0	104,415,964

3.13.5 Variance Analysis Dashboard

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

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

Prerequisites

1. The Indicator assessment must be performed before verifying the variance analysis dashboard. Execute the batch DGS_KI_BATCH for the date on which the data needs to be analyzed. See the KI assessment section for more details.
2. Execute the account granularity batch ACCT_MAPPER_INSERT for generating Accounts, Accounts Writeoff, and Accounts Recovery. For more details on the parameter to be passed for generating the account level granularity, refer to the section Populating Data for Account Drill down Granularity (Variance Analysis dashboard).
3. Execute the Account and Party granularity batch ACCT_MAPPER_INSERT for generating the account and party. The account and party granularity are for the report ARF7200A. For more details on the parameter to be passed for generating the account and party level granularity,

refer to the section Populating Data for Account Drill down Granularity (Variance Analysis dashboard).

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

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

NOTE Note the following:

- Account and Party granularity generation are only for the report (ARF7200A).
- Variance analysis drill-down feature is not enabled for the cells which are count-based.

1. Navigate to **Common Tasks > Operations > Batch Maintenance**.
2. Select the required batch. See the APME (APRA/MAS/RBI) Run Chart MOS for more details.

NOTE

- The batch ACCT_MAPPER_INSERT is used to load data from inter-mediatory tables of Account drill down with the matching Account number.
- The data must be available in the fct_gl_data for the Repline granularity. The data must be moved to the fct_gl_data by executing the T2T as a part of the FSDFF run.

3.13.5.2 Viewing the Variance Analysis Dashboard

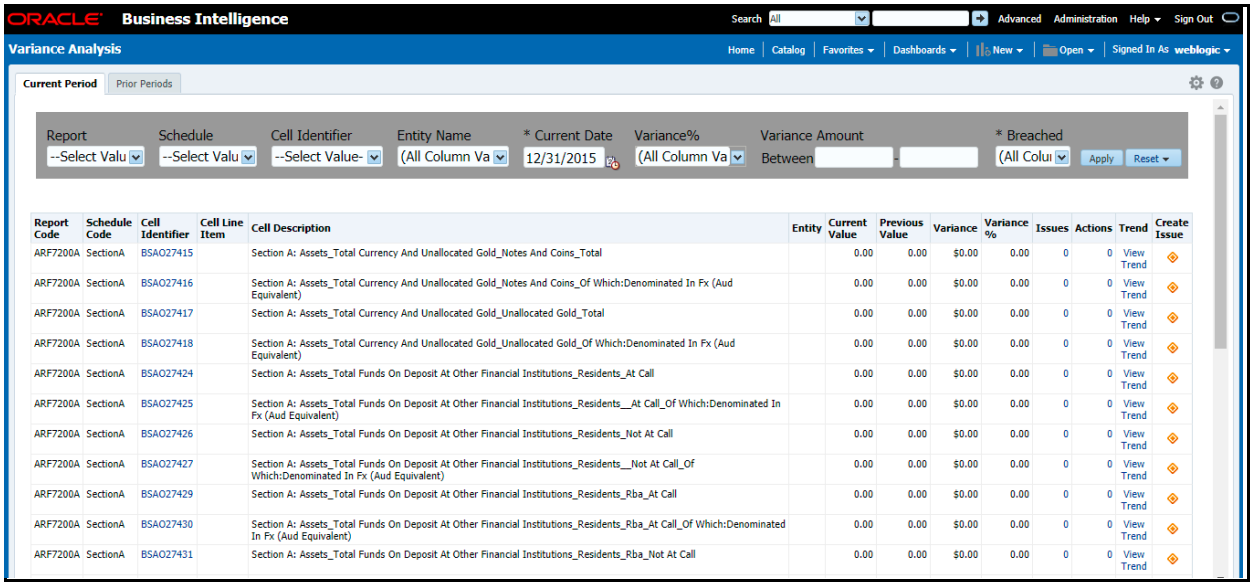
The Variance Analysis Dashboard provides data based on selecting the values from the following list of dropdowns:

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

NOTE Ensure you have configured the Key Indicators. Refer to the Configure Key Indicators section.

1. Click **Apply** to generate the reports.
2. Click **Reset** to reset the values. The generated report contains the following details:
   - **Report Code: Provides report code of the cell.**
   - **Schedule Code: Provides schedule code of the cell.**
   - **Key indicatorCell Identifier:** Provides the MDRM code of the cell.
   - **Cell Line Item: Provides line item of the cell.**
   - **Cell Description:** Provides the description of the code.
   - **Entity:** The entity for which the assessment was done.
   - **Current Value:** Provides the current value of the assessment.
   - **Previous Value:** Provides the previous value of the assessment.
   - **Variance:** Provides the difference between the current and previous values.
   - **Variance %:** Provides the percentage value of the variance.

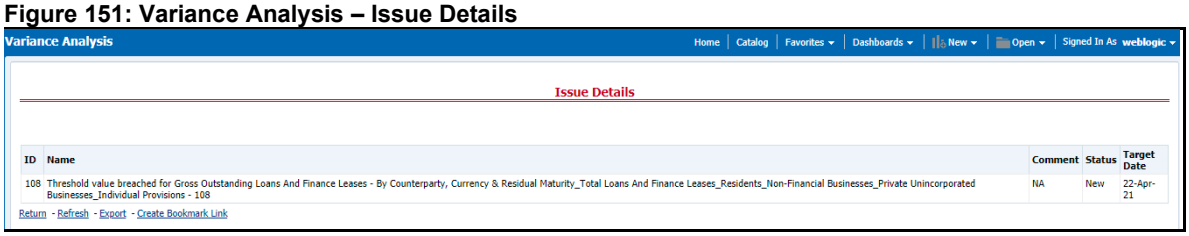
Figure 150: Variance Analysis Dashboard



Report Code	Schedule Code	Cell Identifier	Cell Line Item	Cell Description	Entity	Current Value	Previous Value	Variance	Variance %	Issues	Actions	Trend	Create Issue
ARF7200A	SectionA	BSAO27415		Section A: Assets_Total Currency And Unallocated Gold_Notes And Coins_Total		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27416		Section A: Assets_Total Currency And Unallocated Gold_Notes And Coins_Of Which:Denominated In Fx (Aud Equivalent)		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27417		Section A: Assets_Total Currency And Unallocated Gold_Unallocated Gold_Total		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27418		Section A: Assets_Total Currency And Unallocated Gold_Unallocated Gold_Of Which:Denominated In Fx (Aud Equivalent)		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27424		Section A: Assets_Total Funds On Deposit At Other Financial Institutions_Residents_At Call		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27425		Section A: Assets_Total Funds On Deposit At Other Financial Institutions_Residents__At Call_Of Which:Denominated In Fx (Aud Equivalent)		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27426		Section A: Assets_Total Funds On Deposit At Other Financial Institutions_Residents_Not At Call		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27427		Section A: Assets_Total Funds On Deposit At Other Financial Institutions_Residents__Not At Call_Of Which:Denominated In Fx (Aud Equivalent)		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27429		Section A: Assets_Total Funds On Deposit At Other Financial Institutions_Residents_Rba_At Call		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27430		Section A: Assets_Total Funds On Deposit At Other Financial Institutions_Residents_Rba_At Call_Of Which:Denominated In Fx (Aud Equivalent)		0.00	0.00	$0.00	0.00	0	0	View Trend	
ARF7200A	SectionA	BSAO27431		Section A: Assets_Total Funds On Deposit At Other Financial Institutions_Residents_Rba_Not At Call		0.00	0.00	$0.00	0.00	0	0	View Trend	

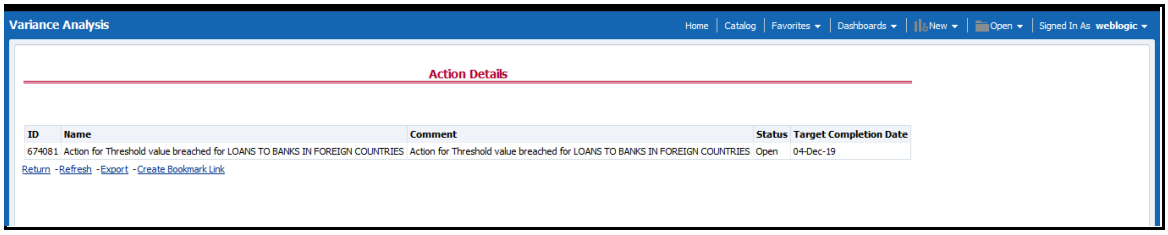
- **Issues:** Provides the count of issues against each cell. There is a drill-down that displays the details of the issues.

Figure 151: Variance Analysis – Issue Details



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

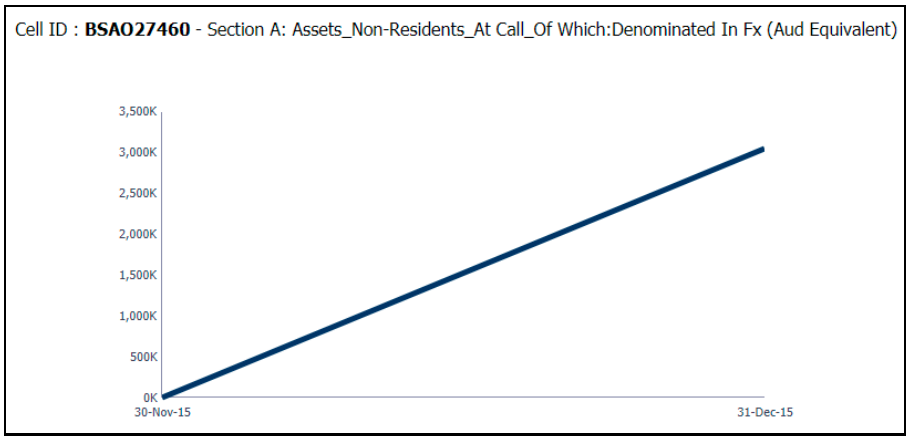
Figure 152: Variance Analysis – Action Details



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

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

Figure 153: 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.

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

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

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

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

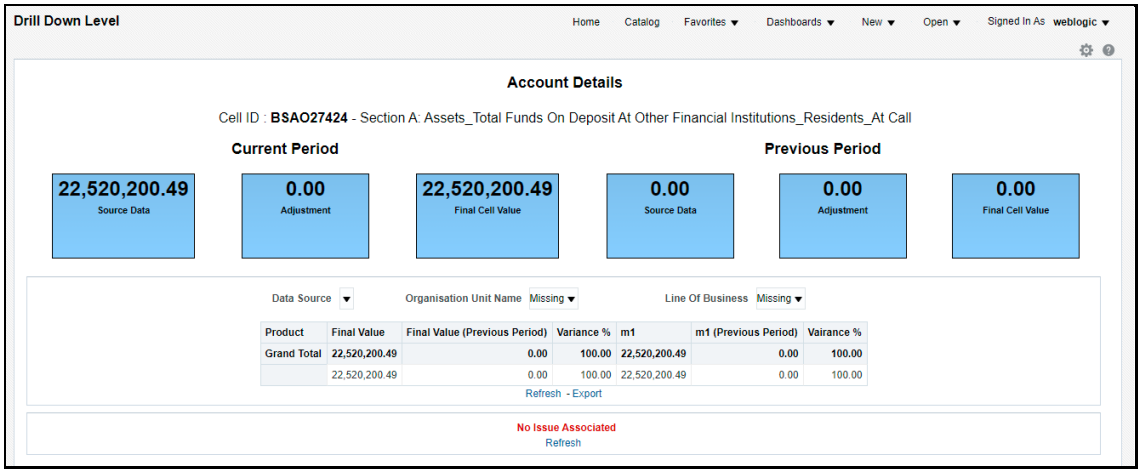
c. Click **Save Draft**.

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

You can view the following information:

- Account Details: Provides the Account details along with the cell ID.
- The current and previous period values for the source data, adjustment, and final cell value. The data in the final cell is a combination of the source and adjustment data.

Figure 154: Account Details



> **NOTE** Measure the value displayed at the product level is the variance amount.

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

3.13.5.3 Dimensions Supported in Variance Analysis drill-down

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

- Account Name
- Account Country Name
- Currency Name
- Data Source
- Issuer Name
- Entity Name
- Line of Business
- Organization Unit Name
- Party Name
- Product

- Product Type
- Region Description
- Regulatory Instrument Classification
- Regulatory Party Name
- Regulatory Product Classification

4 Regulatory Reporting Deployment

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

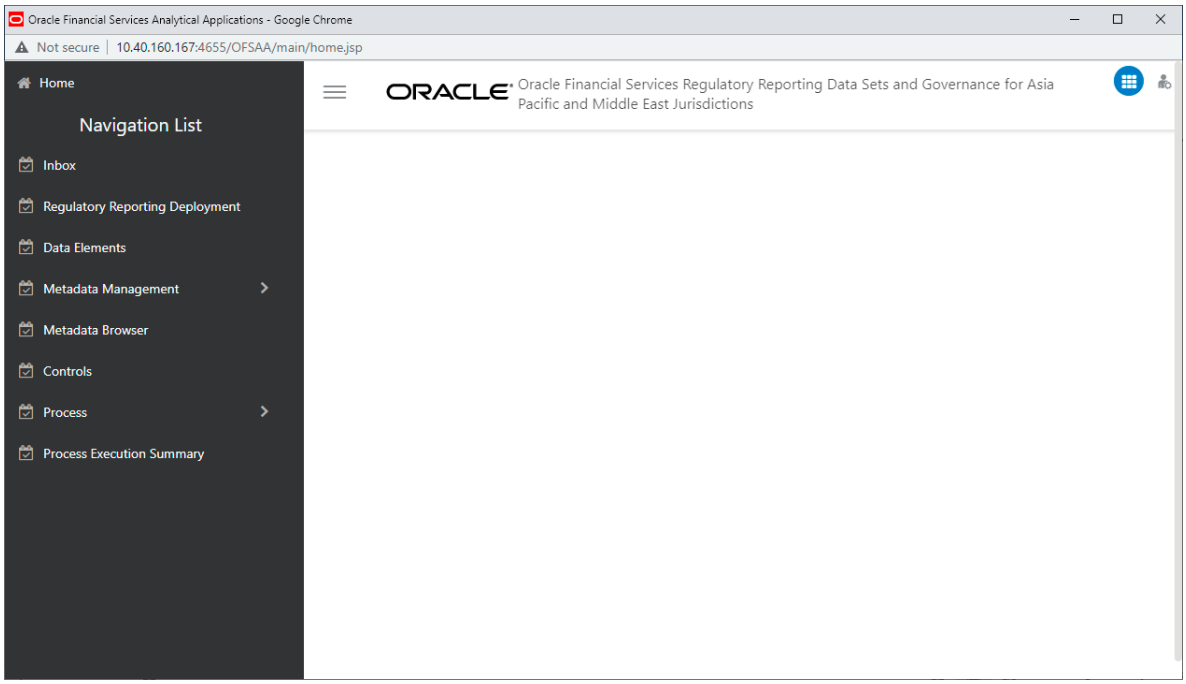
> **NOTE** The user must be part of the SYSTEMADMIN group to perform the regulatory reporting deployment.

4.1 Deploying Regulatory Report Based on Various Jurisdictions

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

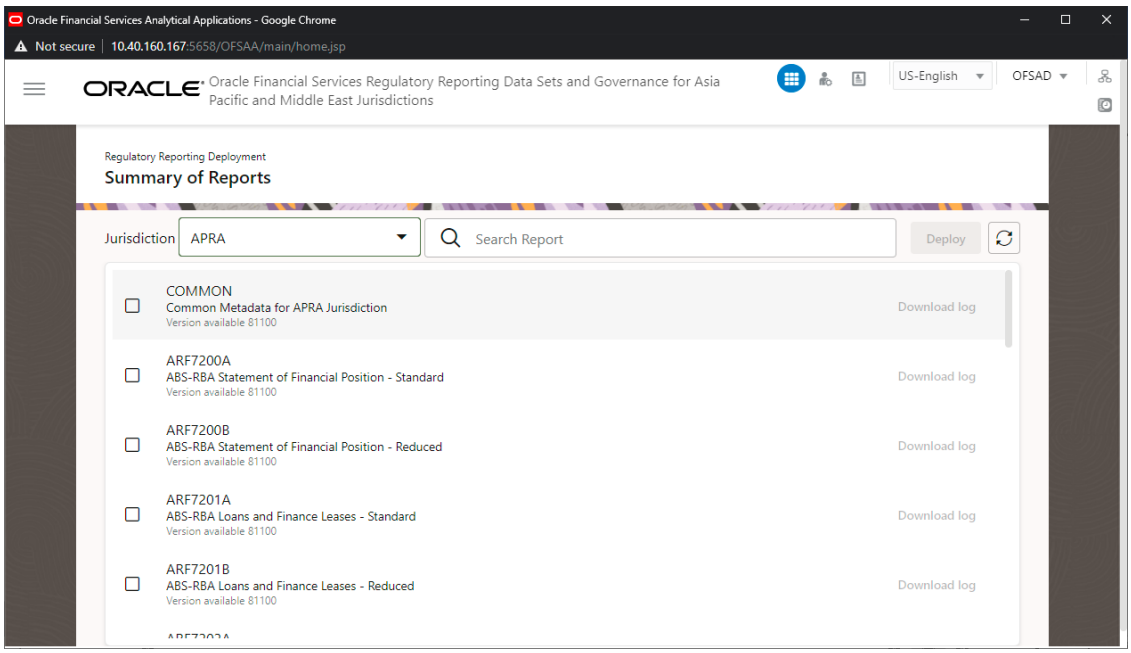
1. Login to OFSAA and select **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions**.

Figure 155: Regulatory Reporting Deployment Navigation Page



2. Click on **Regulatory Reporting Deployment** menu.

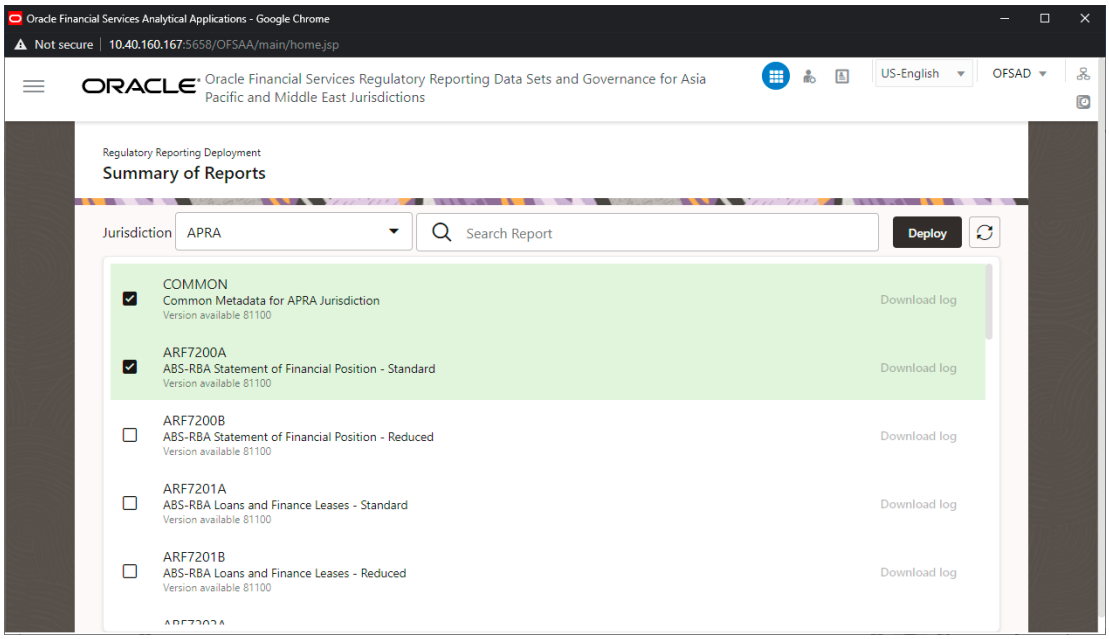
Figure 156: Summary of Reports Page



3. Select the required jurisdiction from the drop-down list.

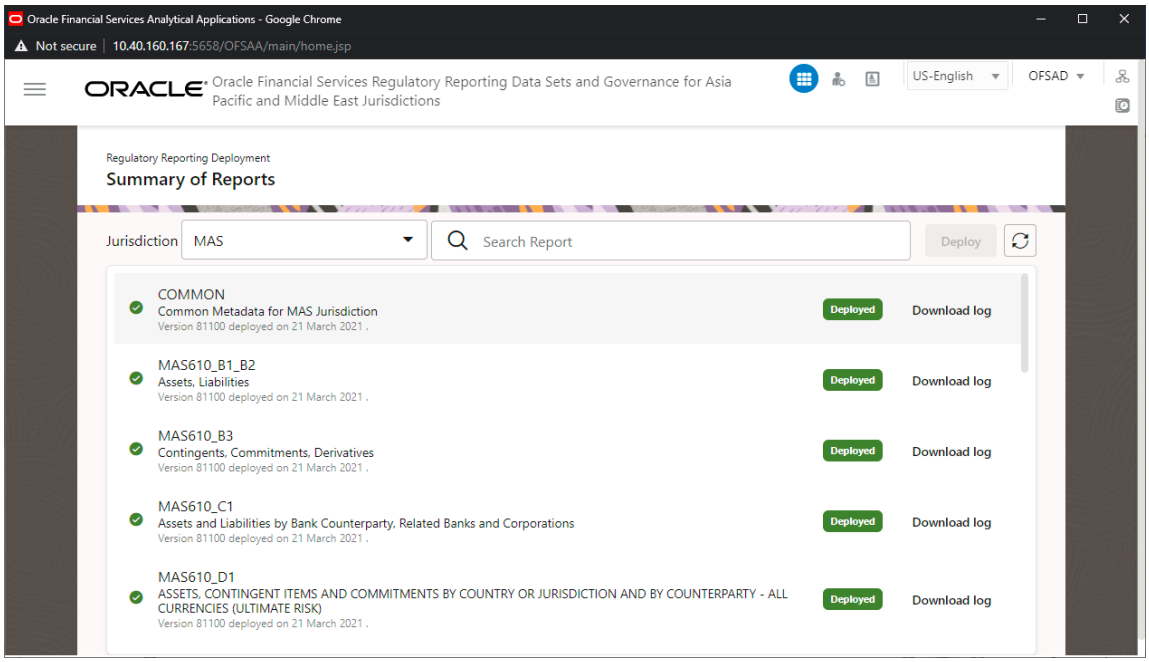
   Select the required reports from the available list or search for a specific report using the **Search pane**.
   The report **COMMON** is automatically selected when a report in jurisdiction is deployed for first time. It includes all the common metadata such as Rules, Process, Run, Batches and so on required for the selected jurisdiction.

Figure 157: Report Selection Page



4. Click **Deploy** button to trigger the deployment of reports.
The deployment of report occurs in a sequential manner. The status of the report is **Deployed** on successful deployment of the report.

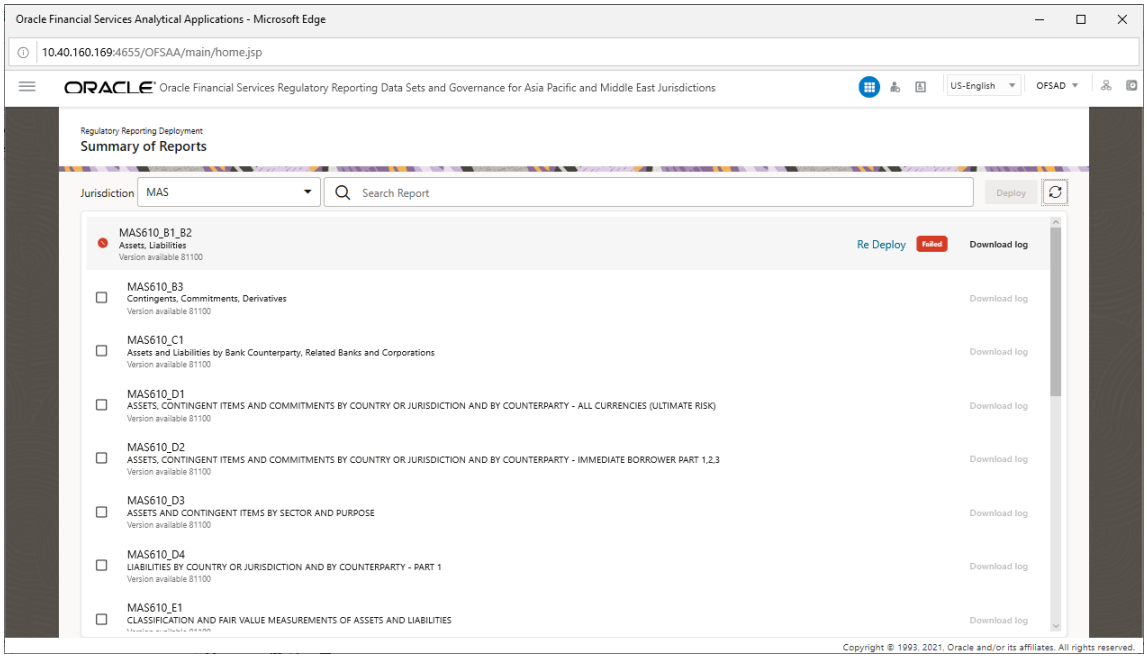
Figure 158: Successful Deployment of Regulatory Report Page



5. Click **Download log** button to download the log for the deployed report.

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

Figure 159: Report Deployment Unsuccessful Page



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

5 Regulatory Data Extract

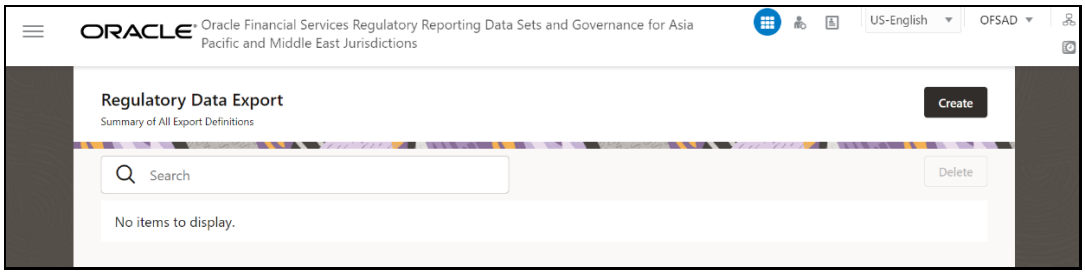
This chapter provides information on creating and executing data extract definitions to export the regulatory reporting data into .csv files. It allows you to export data for a specific report, or cells and schedules. You can also export the data from a Derived Entity.

5.1 Create an Export Definition

To create an export definition, perform the following steps:

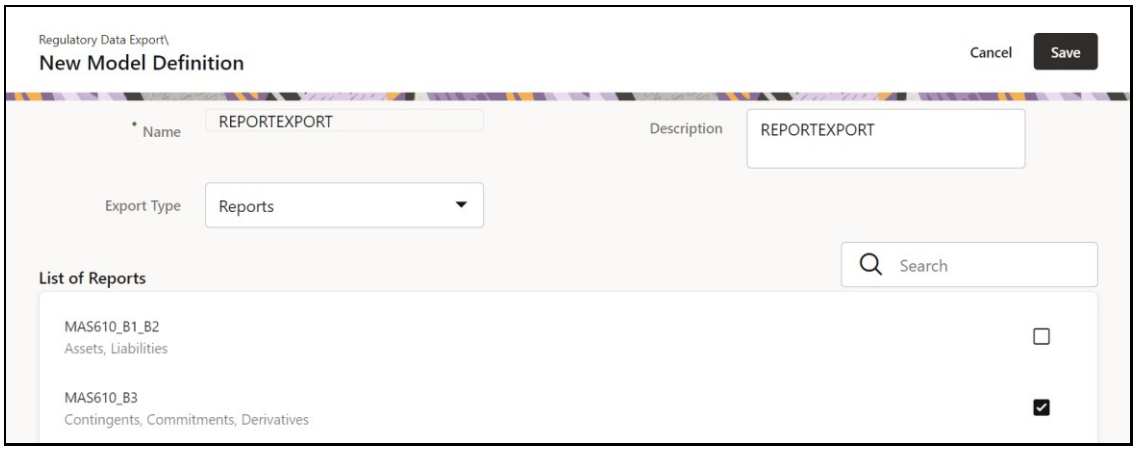
1. After logging into the OFSAAI applications page, navigate **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions**, and then select **Regulatory Data Extracts.**

Figure 160: Regulatory Data Export page



2. Click **Create**. The New Model Definition page is displayed.

Figure 161: New Model Definition page



3. Select or enter the required values for each field as follows.

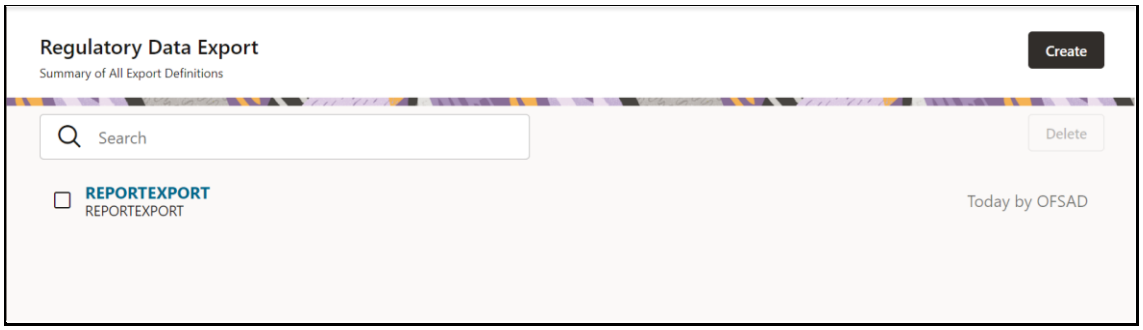
Table 23: Model Export Definition Fields and Descriptions

Field Name	Description or Instruction
Name	Enter the name of the new model definition.

Field Name	Description or Instruction
Description	Enter the new model definition description.
Export Type	Select the Export Type of the model from the dropdown list.
Report	This field is displayed only when the Export Type is either Schedule or Reporting Lines. Select the appropriate report from the drop-down list.
Search	Search for a specific object from the available list.

4. Select the required objects from the list by marking the checkbox.
5. Click **Save** to complete the Export definition creation.
   On successful creation of the Export Definition, the Regulatory Data Export Definitions Summary page is displayed.

Figure 162: Regulatory Data Export Definitions Summary page



5.2 Edit and View an Export Definition

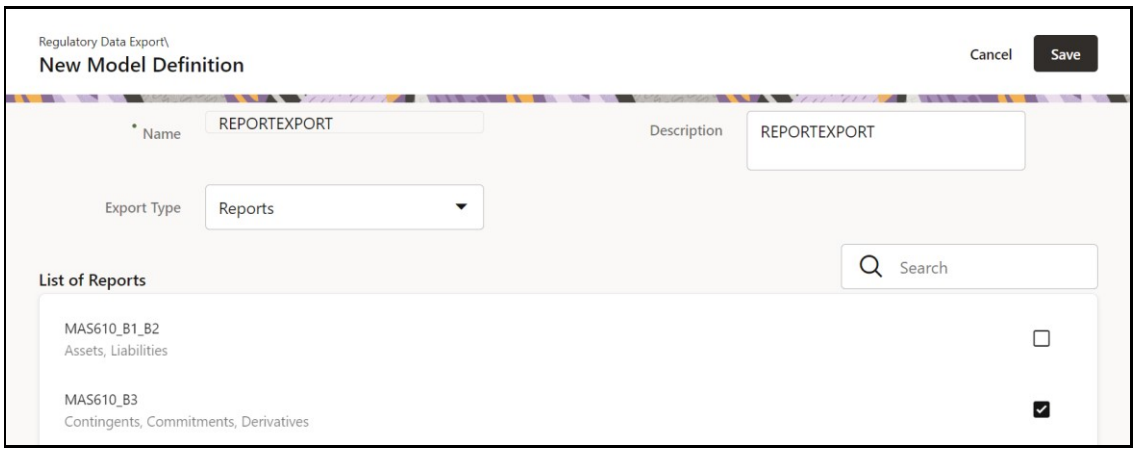
To edit and view an export definition, perform the following steps:

1. Click on the **Export Definition** that you wish to edit or view from the Export Definitions Summary page.

Figure 163: Regulatory Data Export Definitions Summary page

The Edit or View Export Definition page appears.

Figure 164: Edit or View Export Definition page



2. You can update the existing information if required and click **Save** to save the changes in the Export Definition or click **Cancel** to cancel if there is no modification in the Export Definition.

5.3 Delete an Export Definition

To delete an export definition, perform the following steps:

1. Select a **Model Export Definition** from the Export Definitions Summary page.

Figure 165: Delete Regulatory Data Export Definition page

2. Click **Delete** to delete the Export Definition.

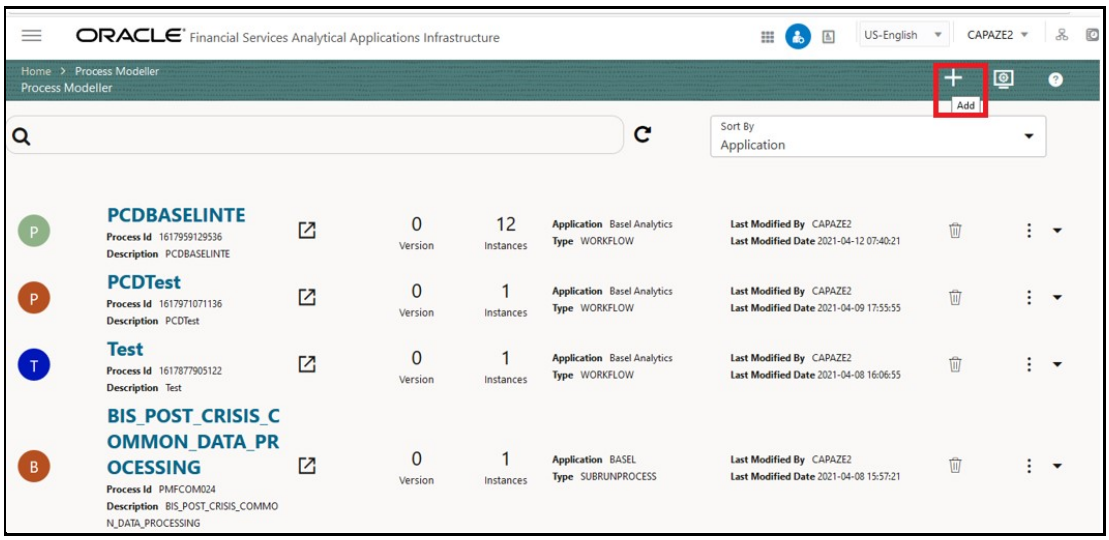
5.4 Executing the Regulatory Data Export Definition through Process Modelling Framework

After the Export Definition has been created, a process must be created in the Run Pipeline and must be executed through the Process Modelling Framework.

To execute the Data export through Process Modelling Framework, perform the following steps:

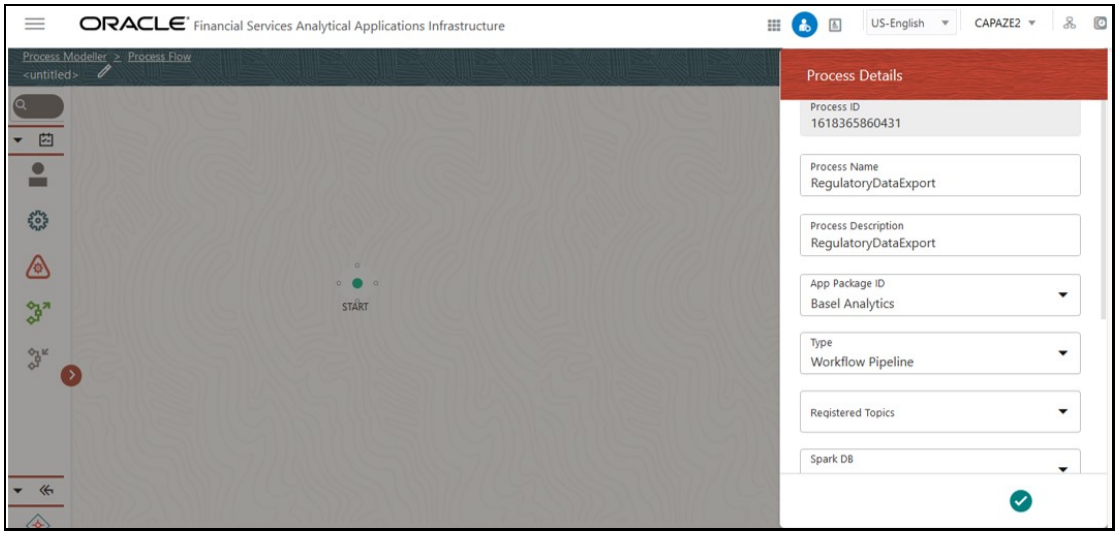
1. After logging into the OFSAAI applications page, navigate **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions**, select **Process Modelling Framework**, and then select **Process Modeller.**

Figure 166: Process Modeller Summary Page



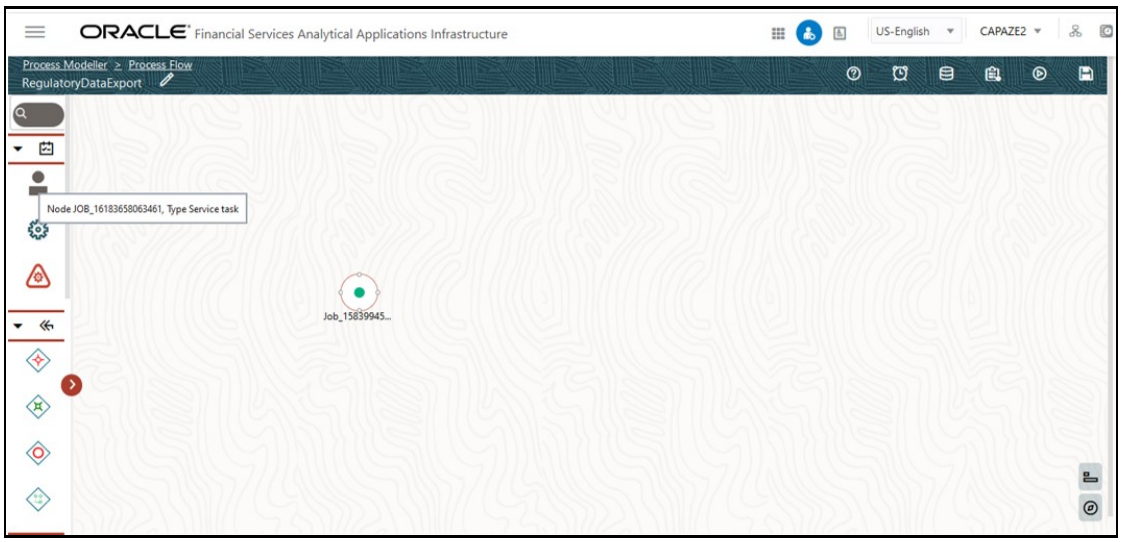
2. To create a process, click **Add**.

Figure 167: Add Process Details Page



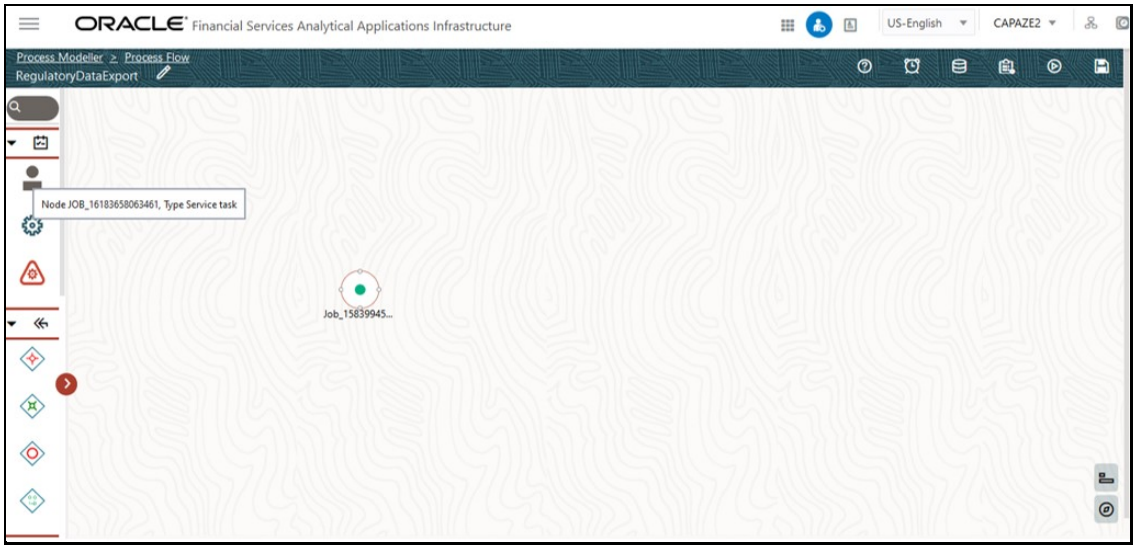
3. Enter the required details and the application package ID based on your application. Click **OK** icon. A new process has been created.

Figure 168: Process Workflow Page



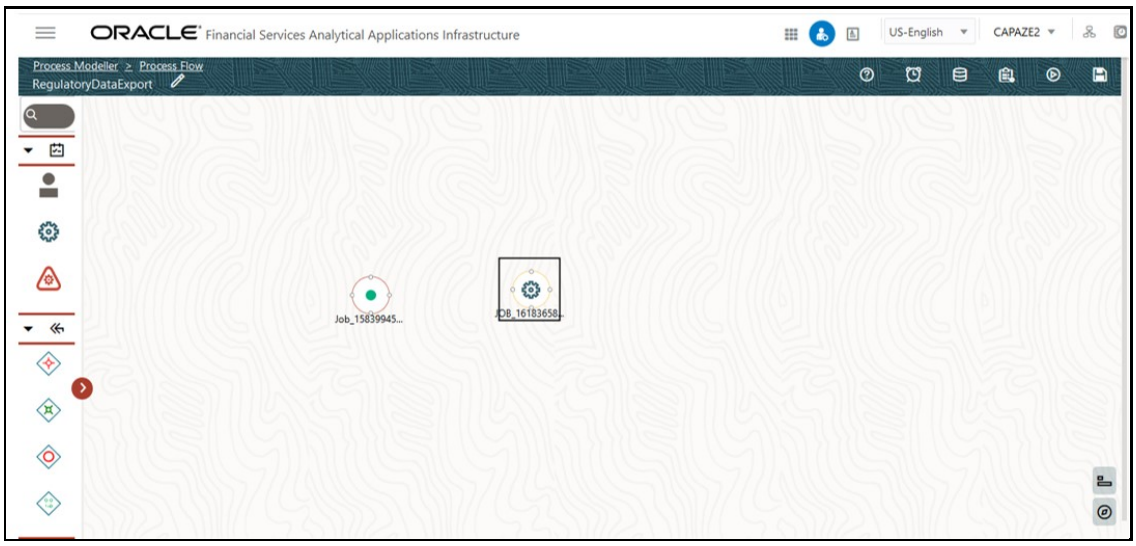
4. From the Process Workflow page, select the **Service Task**.

Figure 169: Add Service Task Page



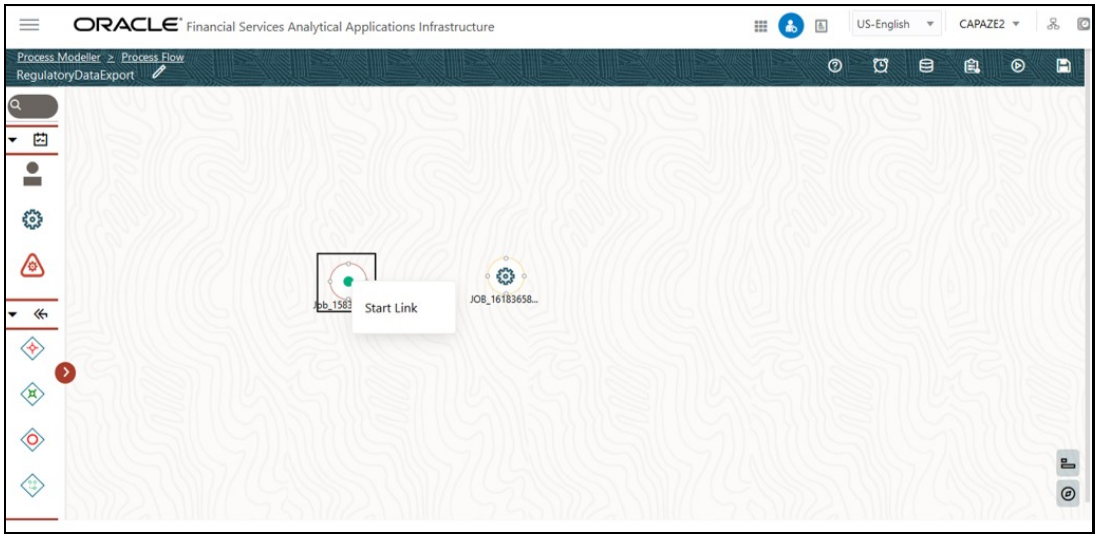
5. Drag the Service Task from the left pane and place it in the workflow area.

Figure 170: Service Task Added Page



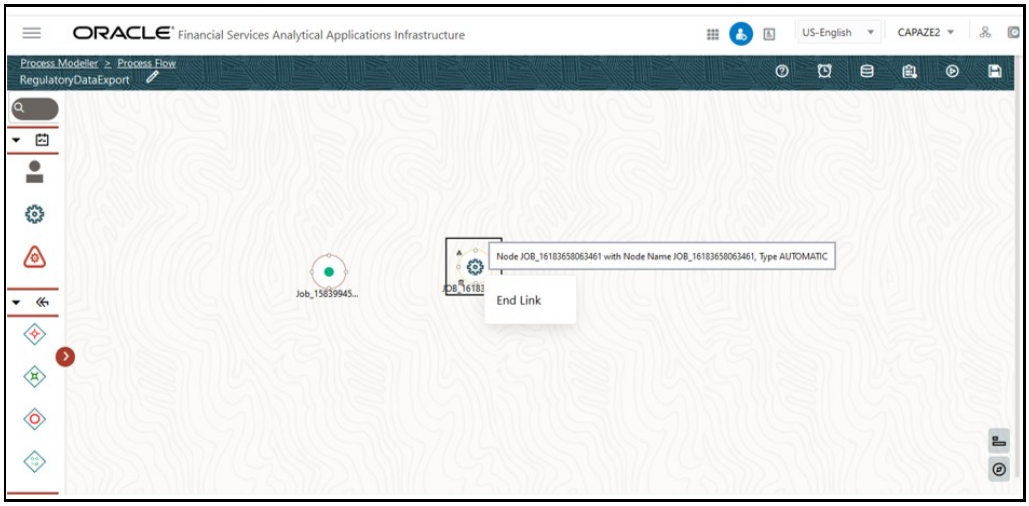
6. Create a link between the **Start** node and the **Service Task**. Select the **Start** node and right click, click on the **Start link** option.

Figure 171: Service Task Start Link Page



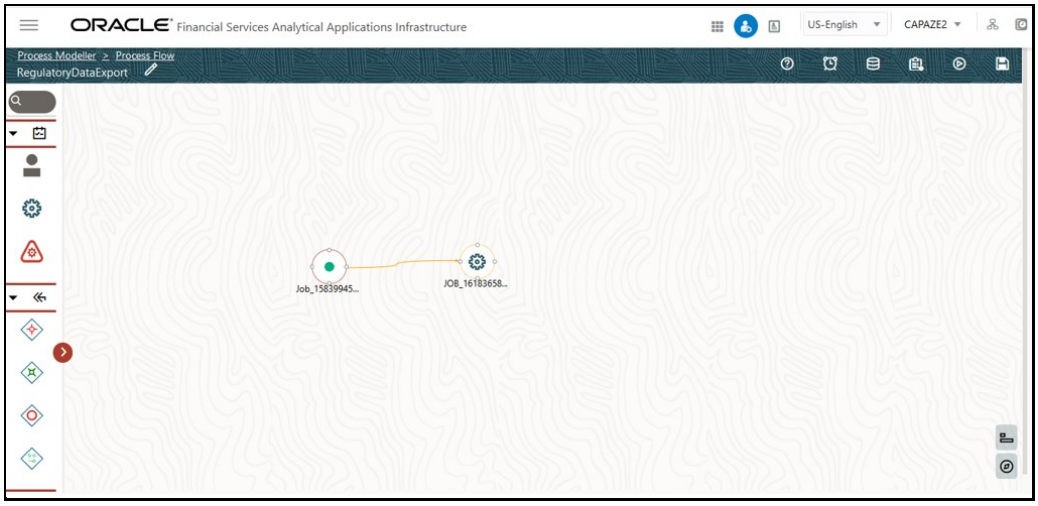
7. Select the Service Task and right click, click on the **End link** option.

Figure 172: Service Task End Link Page



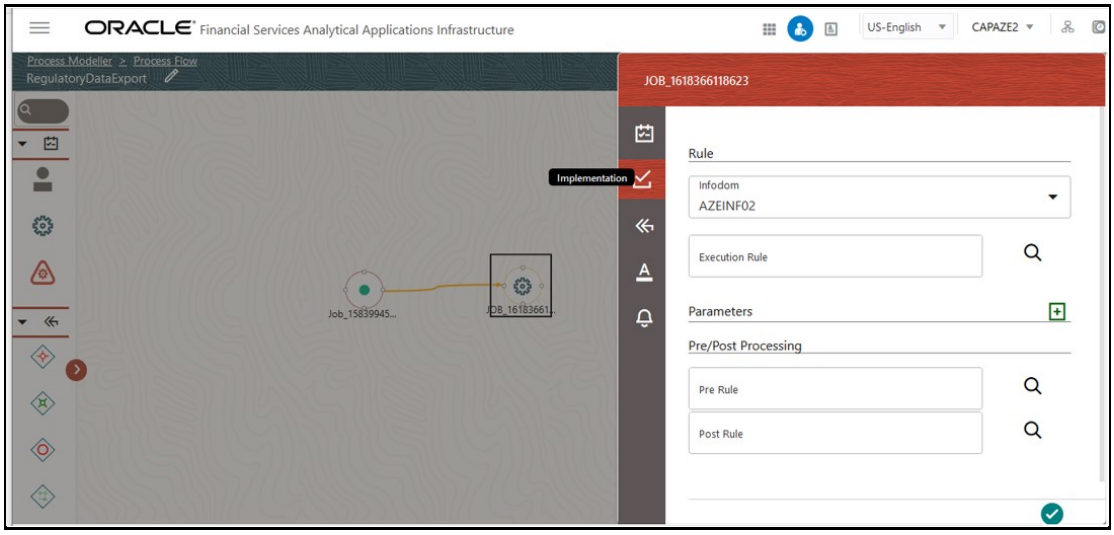
You can view the connection between two tasks.

Figure 173: Connection Between Tasks page



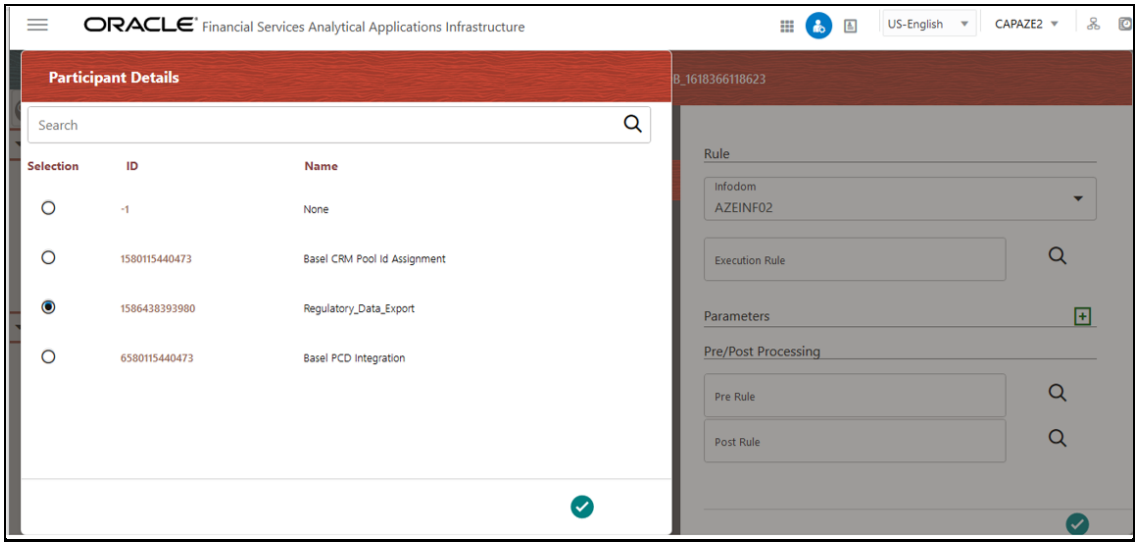
8. Double click the **Service Task** and a popup window appears. Click the **Implementation** icon .

Figure 174: Service Task Details page



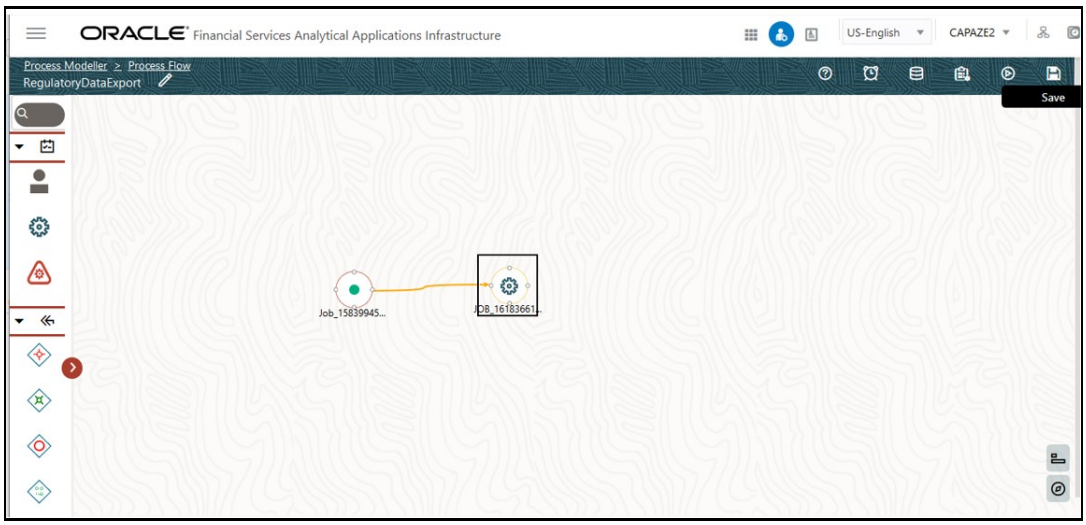
9. Select the Execution Rule and a new window appears. Select the **Regulatory_Data_Export**, and click **OK** icon.

Figure 175: Regulatory Data Export Details Page



10. Click **Save** to save the Regulatory data Extract process details.

Figure 176: Regulatory Data Export Process Save Page



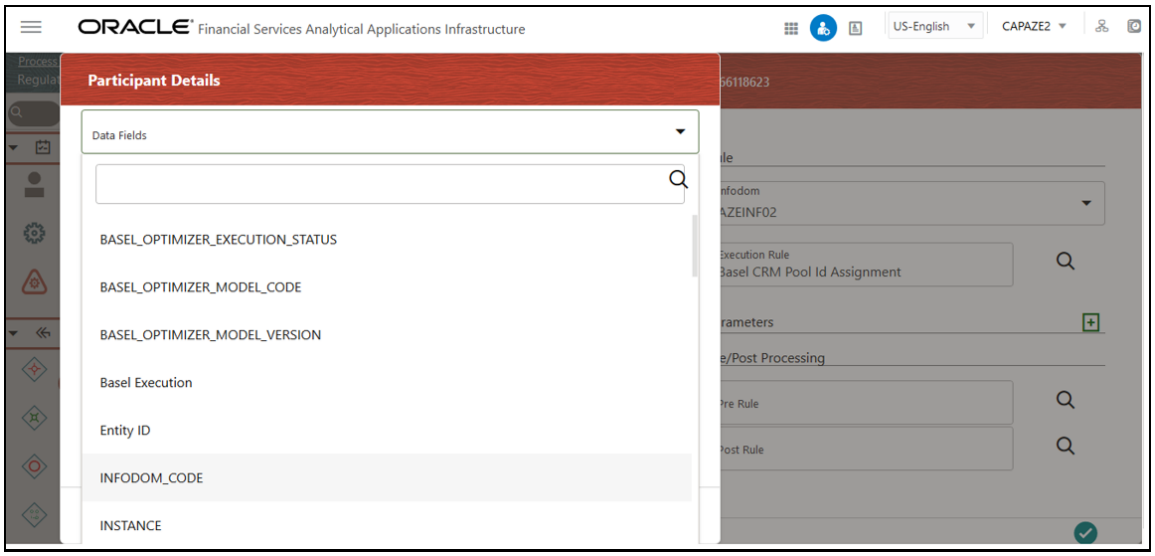
5.4.1 Types of Regulatory Data Export Execution

This section provides the step-by-step procedure to execute the data extract through Process Modelling Framework.

Execution Type 1

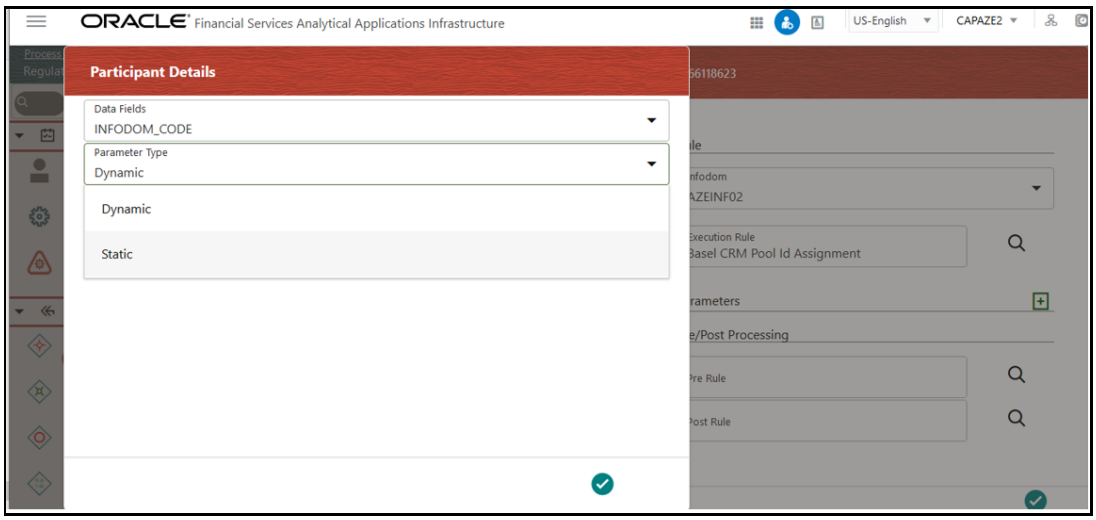
1. Set the required parameters in the **Service Task**, double click on it. Select and add the required parameters. A new popup window appears.

Figure 177: Parameter Selection Page



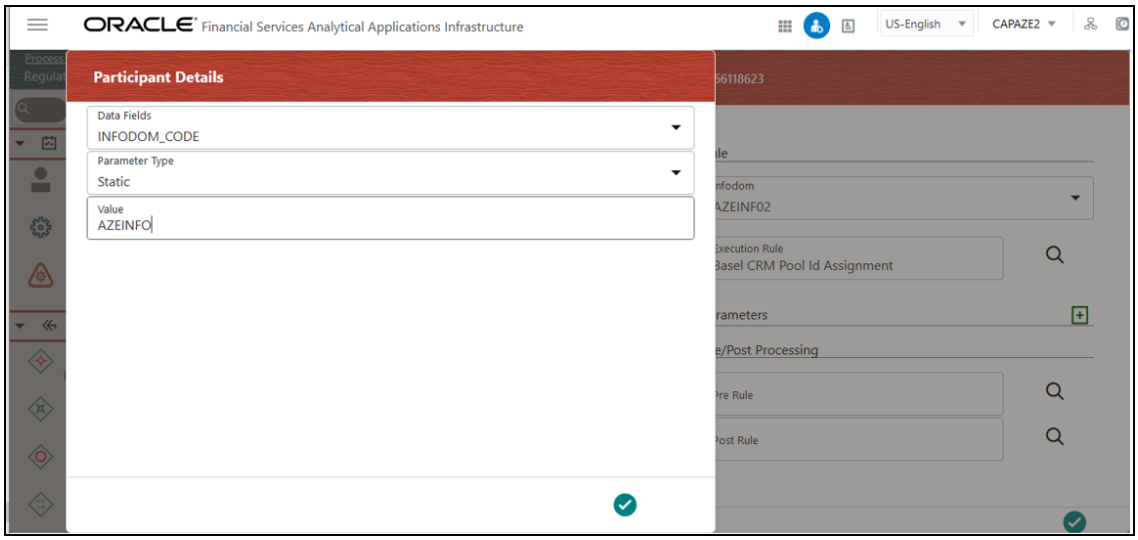
2. Select the data field and then select the Parameter Type as **Static**.

Figure 178: Parameter Type Selection Page



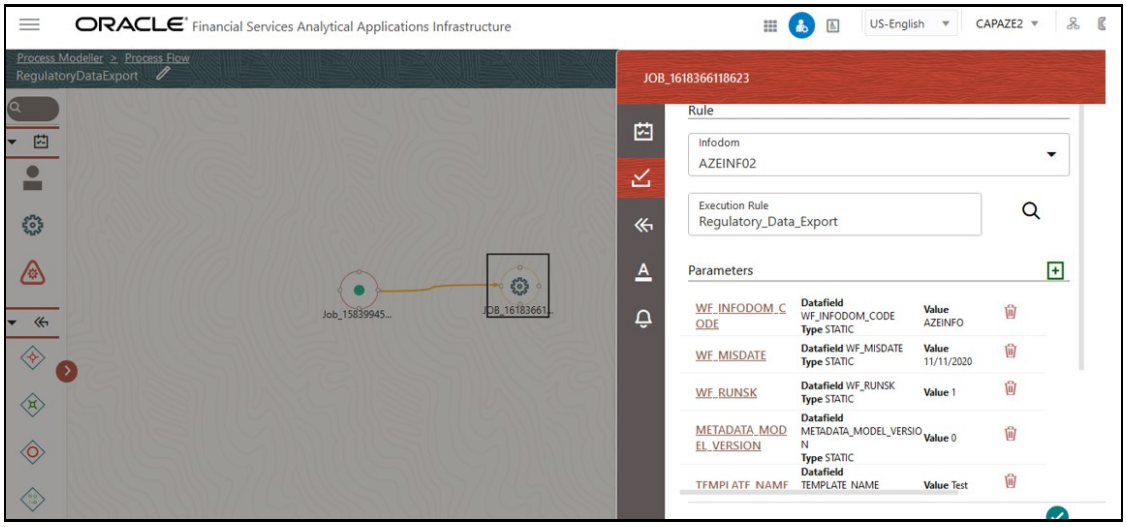
3. Enter the parameter value and click **OK** icon.

Figure 179: Parameters Selected Page



4. Enter all the required parameters.
Required parameters are WF_INFODOM_CODE(infodom, METADATA_MODEL_VERSION, WF_MISDATE(fic mis date), WF_RUNSK(runskey), TEMPLATE_NAME(Name of the template where you created from screen).

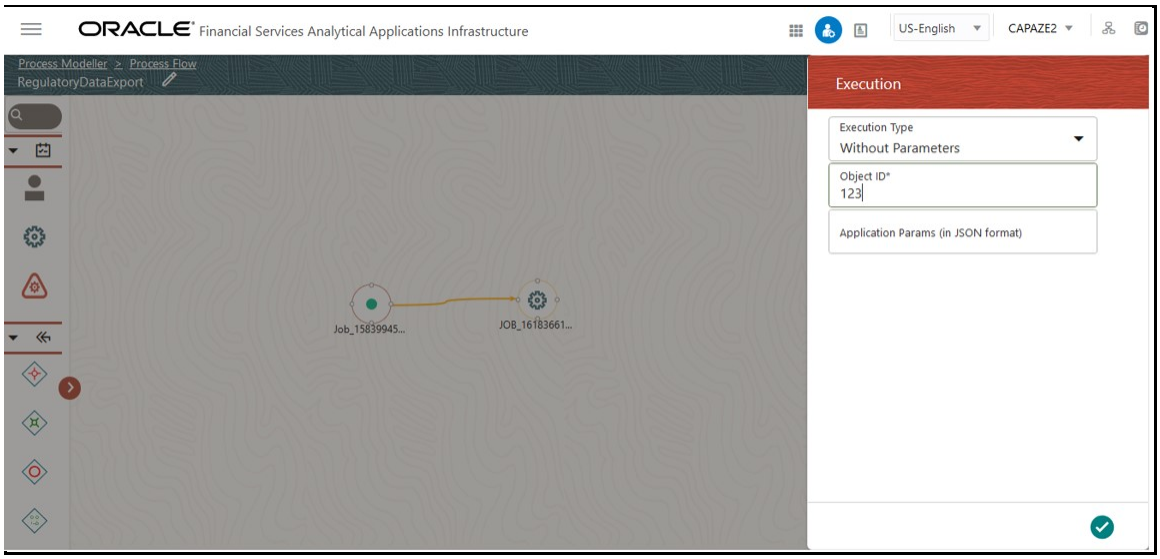
Figure 180: Parameters Added Page



5. Click **Save**. Navigate to the **Process Modeller**, select the specific process, then click the **More** icon, and then Click **Execute Run** .

   A popup window appears.

Figure 181: Execution Page

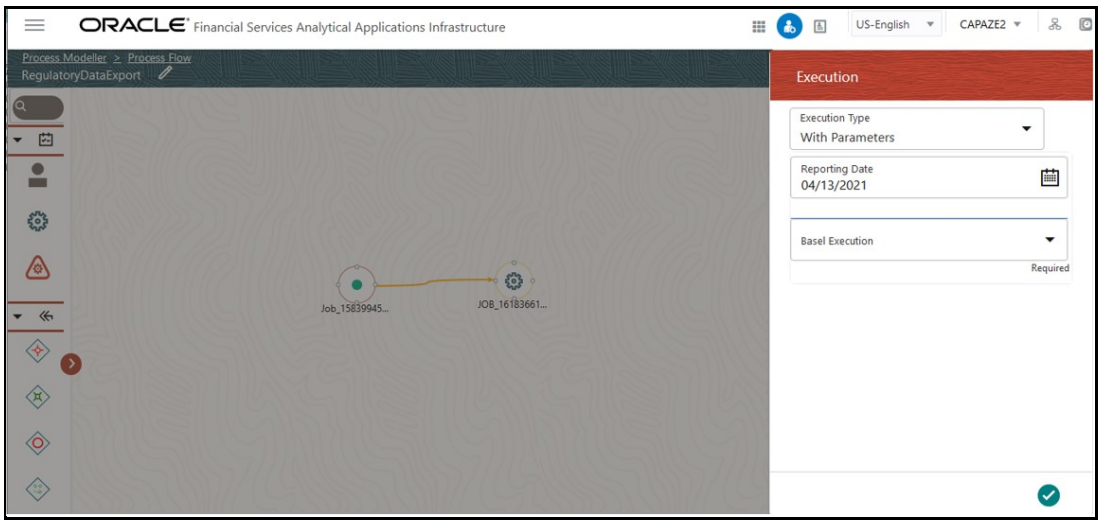


6. Select the **Execution Type** as **Without Parameters**, then enter the Object ID. Click **OK** icon. Now the process is executed

Execution Type 2

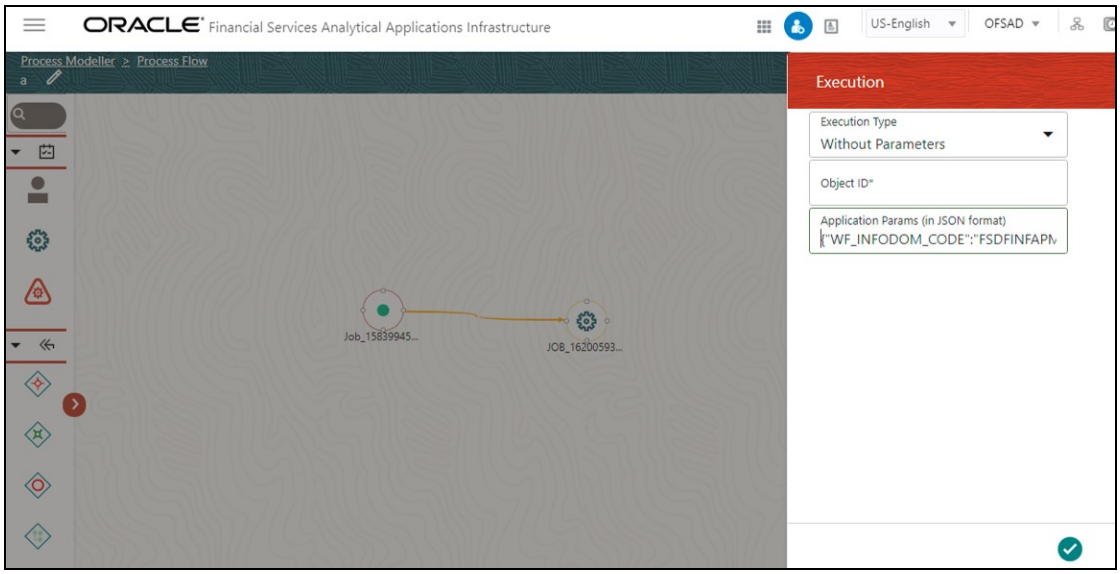
1. Enter the required parameters in the execution window and run.

Figure 182: Execution Type as With Parameters Page



Execution Type 3- JSON option

Figure 183: Execution Type with JSON Format Page



6 Regulatory Reporting (REG REP) Solution Data Flow

This chapter provides an understanding of the data flow. It explains what happens within data flow and how various processing aspects are integrated with the overall data flow.

Topics:

6.1 Data Preparation

This section explains the input data preparation from OFSAA.

Topics:

6.1.1 Assumptions for Data Preparation

2. REG REP is a reporting solution, which uses data from underlying fact tables directly for reporting. You are expected to prepare the load for the required data in the reporting area accordingly. Although this has a thin processing layer to reclassify to regulatory dimensions and bands, all the processing measures are expected to be from respective applications and provide as required.

3. It is integrated with the results area of the respective processing application, and any change in the underlying processing can disturb the REG REP data sourcing.
4. Baseline and stress data must be populated with appropriate codes. Inaccurate mappings lead to inaccurate results.
5. For usage of consolidation dimension (which has values like Actual, Budget, Forecast, and so on), all historical data is expected to be tagged as actual to report vintage data, as per report requirements. For projection data, for a given run and Projection Period (quarter/year), only one set of data is expected to be stored.

6.1.2 APME RUN CHART

Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions Pack provides the APME (APRA/MAS/RBI) RUN Chart listing the tasks required for the population of data for APME Reports. This covers the following tasks:

- Setup Table Population
- Stage Dimension Load
- Seeded Dimension Data Population
- Common Data Population
- Common Tasks like Exchange Rate Population
- APRA Specific Data Population and Transformation
- Derived Entity Refresh

Download the **8.1.1.0.0 RUN Chart for APME (APRA/MAS/RBI)** from the MOS.

6.1.3 Reclassification of Regulatory Dimensions

This section provides information about Regulatory Dimension Tables in the Regulatory Reporting for Australian Prudential Regulation Authority (OFS REG REP APME) application and step-by-step instructions to use this section.

This section includes the following topics:

- Overview of Reclassification of Regulatory Dimensions
- Overview of Reclassification of Regulatory Dimensions Population
- Dimension Data Expectations through SCD
- Overview of Mappers for Reclassification of Regulatory Dimensions
- Maintenance of Mappers for Reclassification of Regulatory Dimensions
- Loading Mapper Maintenance through Backend
- Usage of Mapper Tables in Data Flow and Reports

Topics:

- Overview of Reclassification of Regulatory Dimensions
- Dimension Data Expectations through SCD

6.1.3.1 Overview of Reclassification of Regulatory Dimensions

There are certain Regulatory Dimensions in OFS REG REP APME, which are pre-populated with a standard set of values. These values are used by downstream applications for various reporting requirements. There are equivalent customer-specific dimension tables that are populated using a Slowly Changing Dimension (SCD) process. It is required to reclassify these user-specific values to standard / regulatory specific values as the reporting expects these standard set of values. The reclassification is done using out of the box Mapper Definitions under the Mapper Maintenance screen.

6.1.3.2 Dimension Data Expectations through SCD

By default, all standard dimensions are pre-populated with seeded data. It is mandatory to have data in user-specific dimensions and then maintain the reclassifications. Therefore, you must execute the SCDs and then map the reclassification codes under Mapper Maintenance.

6.1.3.3 Overview of Mappers for Reclassification of Regulatory Dimensions

These are out of the box mappers that are available in Oracle Financial Services Data Foundation (OFSDF) for the regulatory dimension reclassifications:

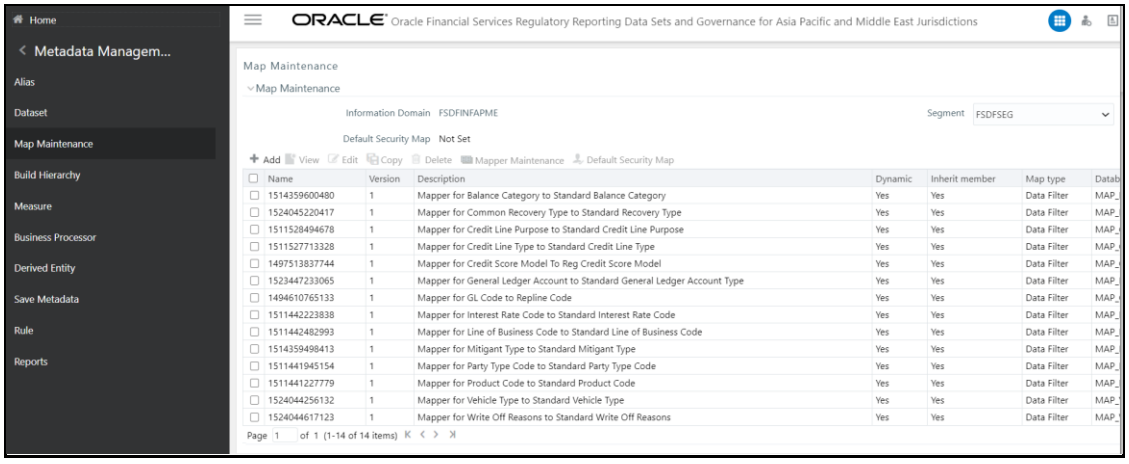
- MAP_GL_CODE_REP_LINE: Mapper for GL Code to Reply Code

6.1.3.4 Maintenance of Mappers for Reclassification of Regulatory Dimensions

The mapper can be maintained under OFSAAI.

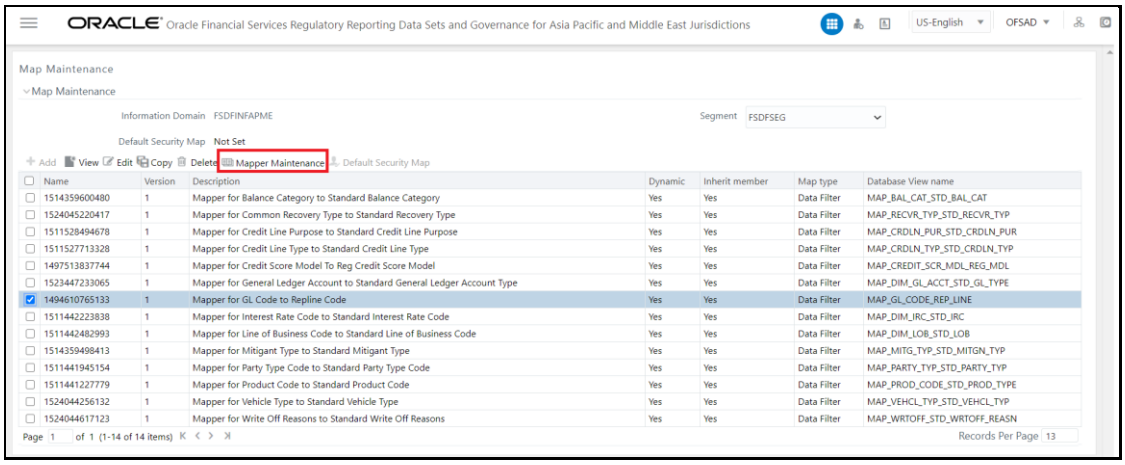
1. Login to **OFSAA**, navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** select **Metadata Management** and then select **Map Maintenance**.

Figure 184: Map Maintenance Page



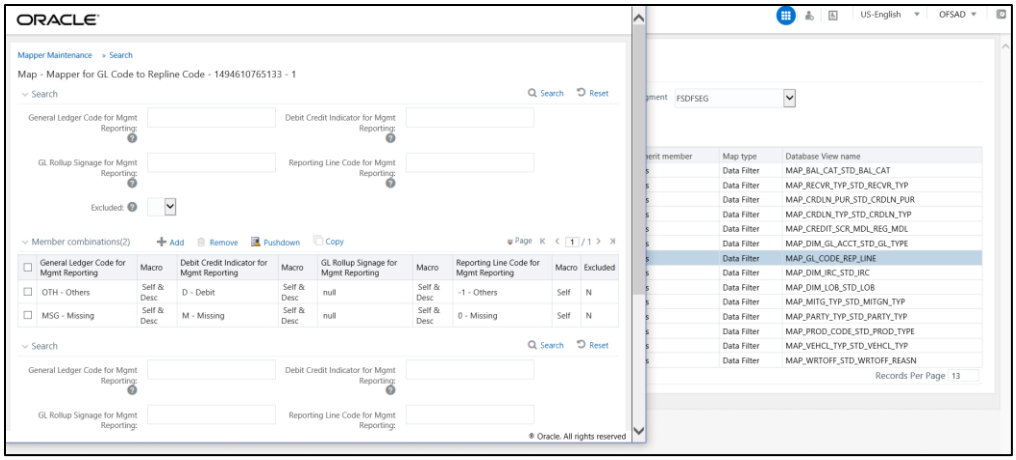
2. For illustration, we have selected Mapper for GL Code to Repline Code. Click **Mapper Maintenance**.

Figure 185: Mapper Maintenance Page



OFS REG REP APME maps OTH and MSG out-of-the-box for this mapper. The remaining mappings can be maintained by the user according to user-specific values.

Figure 186:Mapper Maintenance Search Result Page

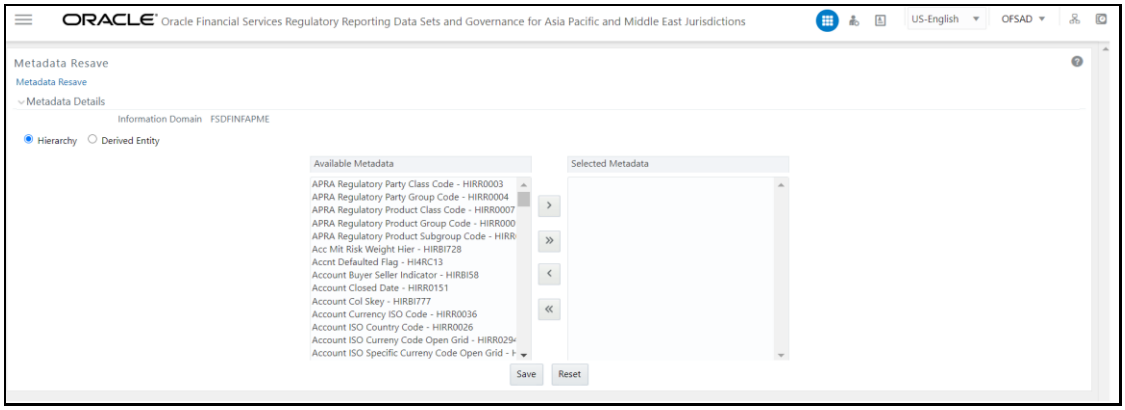


Prerequisites for Mapper Maintenance

3. Login to **OFSAA**, navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** select **Metadata Management** and then select **Map Maintenance**. Load all the required user-specific dimensions using SCD.
4. To Resave these hierarchies, select these hierarchies and click **Save**
   - HCMDF001 - Hier - Map Common Product
   - HCMDF002 - Hier - Map Common Standard Product Type
   - HCMDF003 - Hier - Map Common Party Type
   - HCMDF004 - Hier - Map Common Standard Party Type
   - HCMDF005 - Hier - Map Common Interest Rate Curve
   - HCMDF006 - Hier - Map Common Standard Interest Rate Curve

- HCMDF007 - Hier - Map Common Line of Business
- HCMDF008 - Hier - Map Common Standard Line of Business
- HCMDF009 - Hier - Map Common Credit Line Type
- HCMDF010 - Hier - Map Common Standard Credit Line Type
- HCMDF011 - Hier - Map Common Credit Line Purpose
- HCMDF012 - Hier - Map Common Standard Credit Line Purpose
- HCMDF013 - Hier - Map Common Mitigant Type
- HCMDF014 - Hier - Map Common Standard Mitigant Type
- HCMDF015 - Hier - Map Common Balance Category
- HCMDF016 - Hier - Map Common Standard Balance Category
- HCMDF017 - Hier - Map Common General Ledger Code
- HCMDF018 - Hier - Map Common Standard General Ledger Type
- HCMDF019 - Hier - Map Common Vehicle Type
- HCMDF020 - Hier - Map Common Standard Vehicle Type
- HCMDF021 - Hier - Map Common Write Off Reasons
- HCMDF022 - Hier - Map Common Standard Write Off Reasons
- HCMDF023 - Hier - Map Common Recovery Type
- HCMDF024 - Hier - Map Common Standard Recovery Type

Figure 187: Metadata Resave page



Possible Mapping Combinations

One Standard Dimension table in the source can be mapped only to one Standard Dimension table. One to Many or Many to Many mapping leads to error in T2T as the records are duplicated. From the illustration, the possible combinations for Mitigant Type to Standard Mitigant Type mapping are One to One and Many to One mappings.

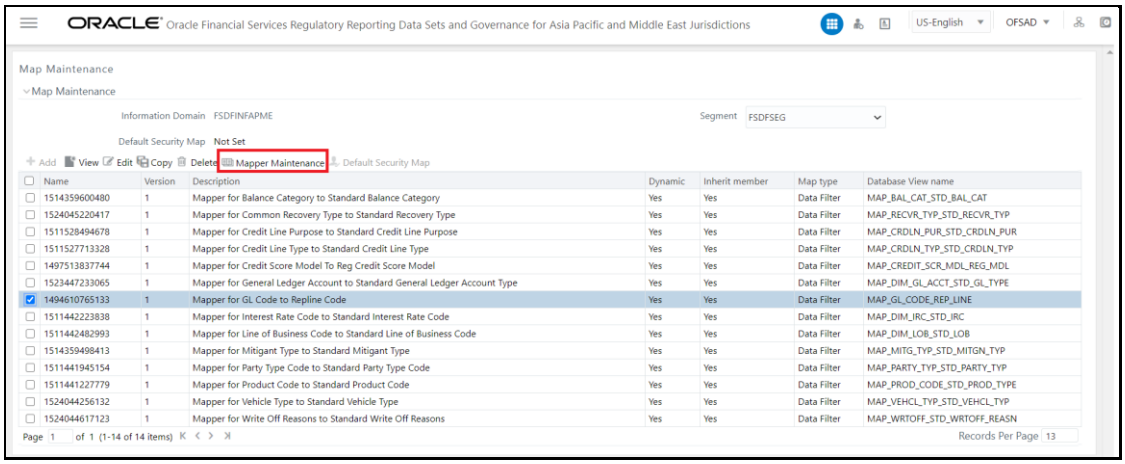
- **One to One Mapping**: You can map one Mitigant Type data model to one Standard Mitigant Type data model using the Mapper Maintenance screen. Here, you must select one value in the Mitigant Type data model and one value in the Standard Mitigant Type data model.

- **Many to One Mapping**: You can map many values in the Mitigant Type data model to one value in the Standard Mitigant Type data model using the Mapper Maintenance screen.

To conduct One to One or Many to One mapping:

5. Login to **OFSAA**, navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** select **Metadata Management** and then select **Map Maintenance**.

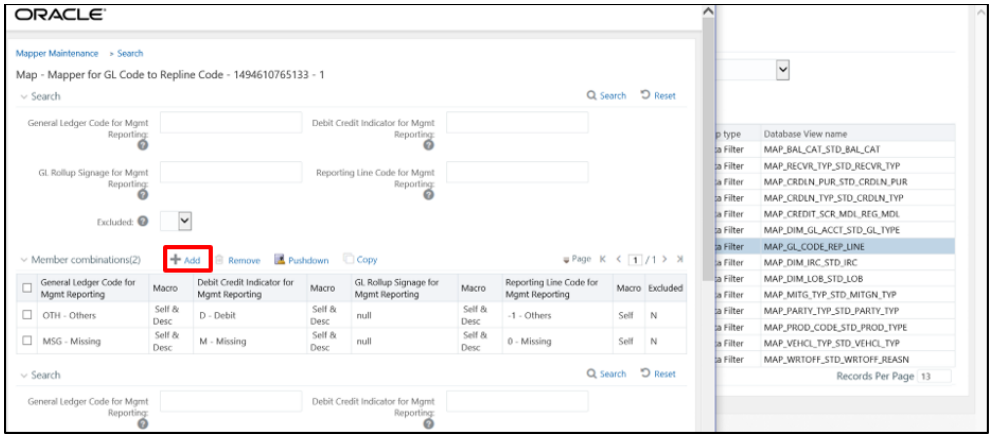
Figure 188: Map Maintenance Page



6. Select an existing Map. For illustration, **Mapper for GL Code to Repline Code** value is selected. Select the **Mapper Maintenance** icon.

7. The **Mapper Maintenance** window opens (in this illustration, the **Map - Mapper for GL Code to Repline Code** window opens). To conduct One to One or Many to One mapping, in the Member Combinations section, click **Add**.

Figure 189: Map Maintenance Add page

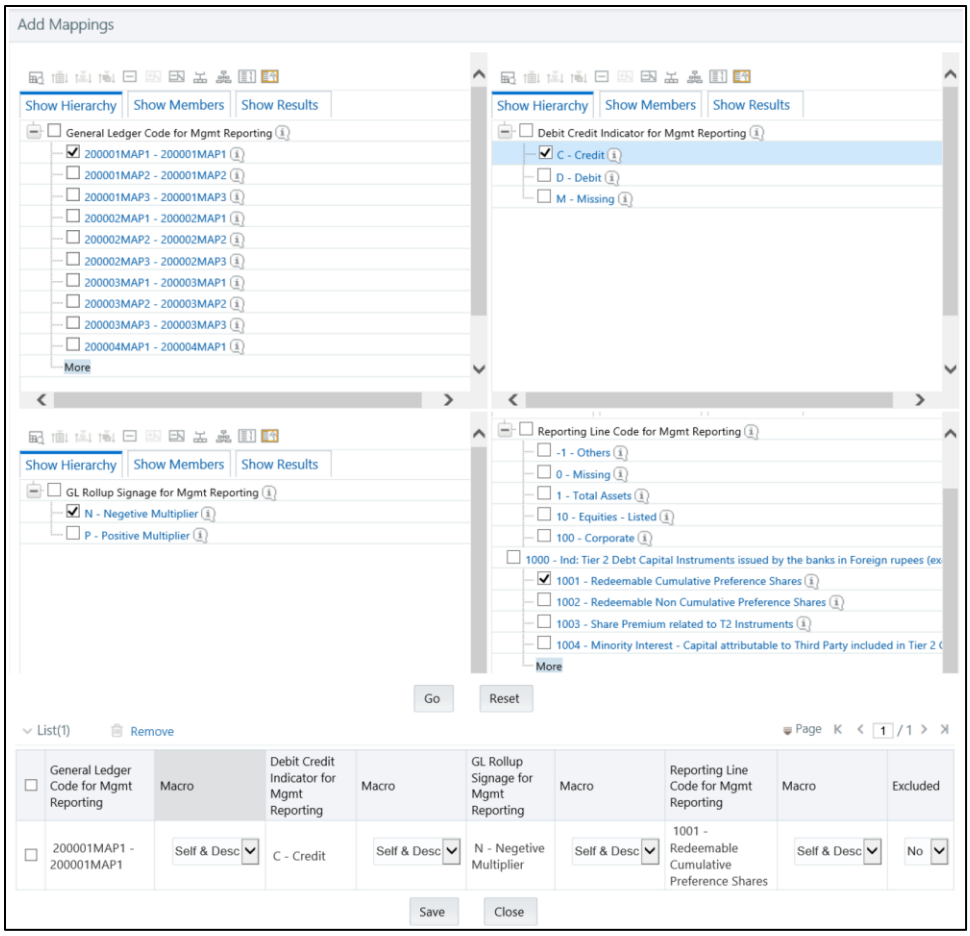


8. The **Add Mappings** pop-up window opens. In this illustration:

   - To map One to One: select one value each in General Ledger Code for Mgmt Reporting data model, Debit Credit Indicator for Mgmt Reporting data model, GL Rollup Signage for Mgmt Reporting data model, and one value in Reporting Line Code for Mgmt Reporting data model, and click Go. Repeat this step for each One to One data model mapping, and then click Save.

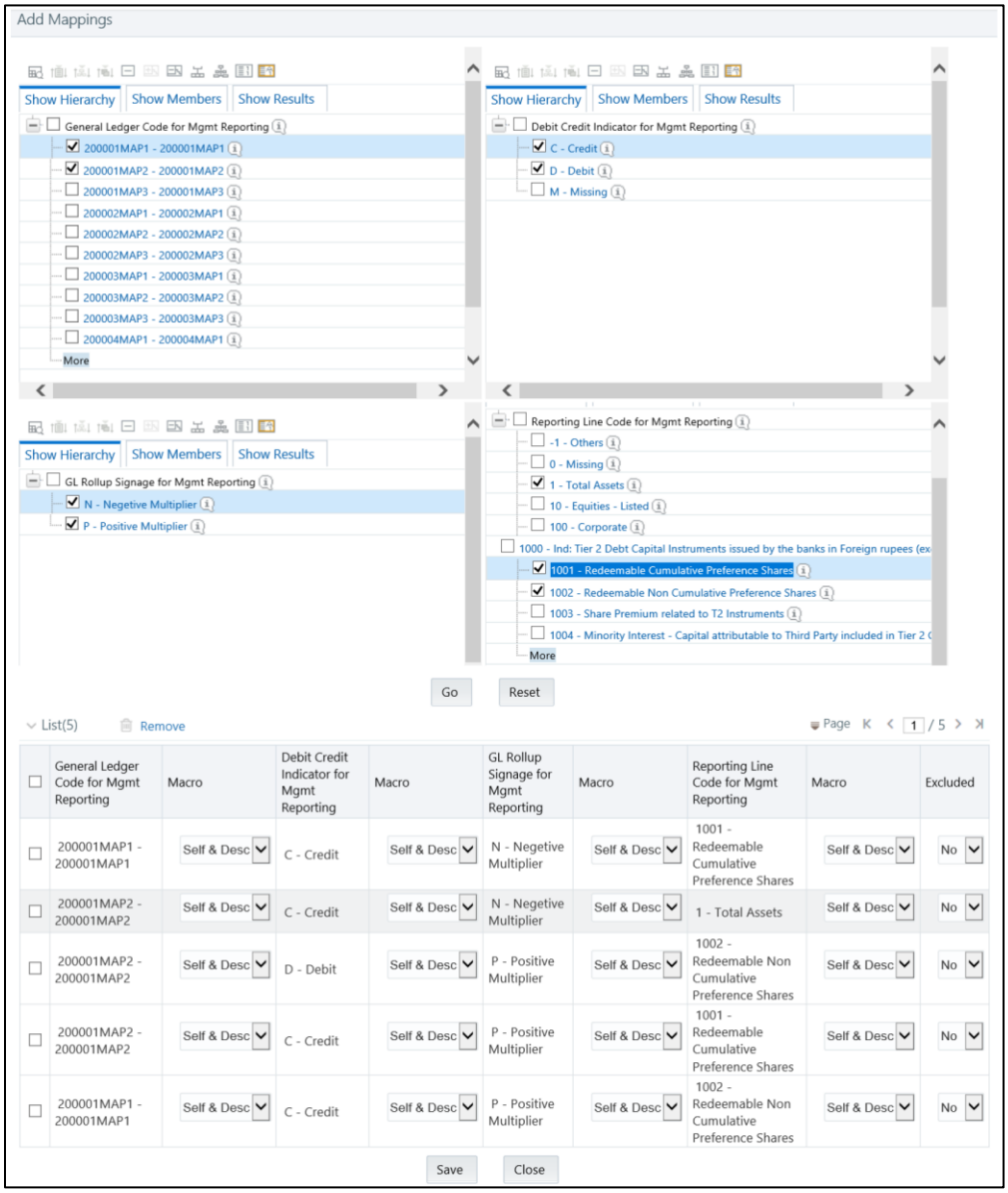
In this illustration, **200001MAP1 - 200001MAP1** is mapped to **C – Credit, N – Negative Multiplier**, and **1001 - Redeemable Cumulative Preference Shares**.

Figure 190: One to One Mapping window



- To map Many to One: select more than one value each in General Ledger Code for Mgmt Reporting data model, one or more value in Debit Credit Indicator for Mgmt Reporting data model, GL Rollup Signage for Mgmt Reporting data model, Reporting Line Code for Mgmt Reporting data model, and click Go. Repeat this step for each Many to One data model mapping, and then click Save.
- In this illustration:
- **200001MAP1 - 200001MAP1** is mapped to C – Credit and D – Debit, N – Negative Multiplier and P – Positive Multiplier, 1 – Total Assets, and 1001 - Redeemable Cumulative Preference Shares and 1002 - Redeemable Non-Cumulative Preference Shares.
- **200001MAP2 - 200001MAP2** is mapped to C – Credit and D – Debit, N – Negative Multiplier and P – Positive Multiplier, 1 – Total Assets, and 1001 - Redeemable Cumulative Preference Shares and 1002 - Redeemable Non-Cumulative Preference Shares

Figure 191: One to Many Mapping window



9. An acknowledgment is displayed: *Confirm Save?* To confirm and save data, click **Yes**. In the **Mapper Maintenance** window, in the Mapped combinations and the Mapped member's sections, you can see the newly conducted mapping.

6.1.3.5 Loading Mapper Maintenance through Backend

Load each Physical table in Atomic Schema with V_MAP_ID as mentioned against each mapper,

V_MEMBER_1 => Customer Specific Value Dimension's Member Code, V_MEMBER_2 => Standard Dimension's Member Code.

This following Mapper Physical Table is required details:

Table 24: Mapper Physical table

PHYSICAL TABLE	V_MAP_ID
MAP_GL_CODE_REP_LINE	1494610765133

6.1.3.6 Usage of Mapper Tables in Data Flow and Reports

The mapper maintenance output is always physically stored in underlying tables. These tables are registered in OFSAA as an object. Therefore, these tables can be used, without any restrictions, in any of the metadata that requires reclassification. OFS REG REP APME Data Flows (T2Ts and Rules) make use of this information to populate the Standard Dimension Surrogate Keys of Results area tables.

6.1.4 Configuring Setup Tables for Standard Set of Values

The following are the setup configurations that are required to be done before executing the APME Regulatory Reporting Run.

Topics:

6.1.4.1 SETUP_MASTER Table

The SETUP_MASTER table in an atomic schema must be modified with the required values for APME.

Table 25: Setup Master

V_COMPONENT_ CODE	V_COMPONENT_ DESC	V_COMPONENT_ VALUE	Description
DEFAULT_FINANCIAL_ ELEMENT	Default Financial Element	DEFAULT	Component Value to be updated according to the values used in STG_GL_DATA.V_FINANCIAL_ELEMENT_CODE. This is used for Fact Management Reporting T2T.
DEFAULT_FX_RATE_SRC	Default FX Rate Source	DEFAULT	Component Value to be updated according to the values used in STG_FORWARD_EXCHG_RATES.V_RATE_DATA_SOURCE_CD. This is used for Calculating the Reporting Currency.
DEFAULT_GAAP	DEFAULT_GAAP	Same as mentioned in the description	AUGAAP for APRA, SGGAAP for MAS and INGAAP for RBI.

6.1.5 Run or Execution Expectations

Run refers to execution. It is assumed that at different periods, different combinations of parameters, and different data require different executions. From a reporting perspective, as required by regulators, RRDF application requires data for the following executions:

1. Current Data or Execution
   a. Reporting month-end data
   b. Projection Data
2. Historical (trend or vintage) Data
   a. Yearly
   b. Quarterly
3. Stressed Data

6.1.6 Projection Data

The following points provide information on the projection data:

1. Baseline run also populates projected date data.
2. This application requires projected data at two levels - Quarterly and Annual.
3. The **DIM_CONSOLIDATION** table is used to identify the projections. It contains the codes for projected quarters and years as required by the templates.
4. In the Fact tables, projection data is referred to with the respective Consolidation codes (scenario code for **FCT_MGMT_REPORTING**). BHC must populate the data accordingly.
5. In the following example, FQ1 means Financial Quarter 1, FY1 means Financial Year 1 and so on.

Table 26: Projection Data Example 1

Consolidation Code	Consolidation Description	Reporting Line	Scenario	EOP Balance
100	Actual	100	BSL	426,367
400	FQ1	100	BSL	608,618
401	FQ2	100	BSL	870,502
402	FQ3	100	BSL	567,736
403	FQ4	100	BSL	846,196
404	FQ5	100	BSL	775,027
410	FY1	100	BSL	470,092
411	FY2	100	BSL	473,880
412	FY3	100	BSL	942,034
413	FY4	100	BSL	497,889
414	FY5	100	BSL	807,813

NOTE

For Movement measures data is not carried from one reporting period to another. For example, Profit or Loss. Where General ledger balances such as loan outstanding are carried forward from one year to another, profit and loss are period specific.

Therefore, unlike End of Period (EoP) balance, movement values for quarter actuals must be derived for reporting. For historical data, net sales for quarter 3 is the difference between the sales figure as of the end of quarters 2 and 3. You need not provide this difference as a download. Movement data for actual is identified through different runs and respective values are summed up.

Only those records, whose corresponding runs fall between the fiscal month start date and end date of the reporting quarter are selected for summation. Each Run has an associated date, and runs can be performed daily. Assuming that runs are performed daily in a given quarter (90 days), REG REP sums up data points across all 90 days to arrive at a quarter-end movement figure.

Table 27: Projection Data Example 2

Code	Projected Period	Reporting Line	Scenario	Run ID	Date	Projected Amount	Movement
100	Actual	100	BSL	RUNID001	10-Oct-13	300,000	900,000
100	Actual	100	BSL	RUNID002	15-Nov-13	100,000	
100	Actual	100	BSL	RUNID003	20-Nov-13	300,000	
100	Actual	100	BSL	RUNID004	30-Dec-13	200,000	
400	FQ1	100	BSL	--	--	--	608,618
401	FQ2	100	BSL	--	--	--	870,503
402	FQ3	100	BSL	--	--	--	567,736
410	FY1	100	BSL	--	--	--	470,093
411	FY2	100	BSL	--	--	--	473,881
412	FY3	100	BSL	--	--	--	942,035

However, when the projection of net sales for quarter 2 next year is to be performed, no derivation is required. Projections data for the said quarter can be directly downloaded in the respective Fact table(s) for reporting.

6.1.7 Data Flow from Source Systems to Staging Area

The staging area is populated with data from various data sources, such as GL data, Account data, Customer data, Trading data, Currency data, and Master data. See *Data Integration Hub (DIH) User*

Guide in OHC Documentation Library for details. DIH enables to load the data from the source systems to the OFSAA staging tables, through logical interfaces, known as Application Data Interfaces (ADI). DIH provides a set of User Interfaces (UI), which is used to define and maintain External Data Descriptor (EDD), Application Data Interfaces, and map the EDDs and ADIs through connectors.

6.1.8 Data Flow from Staging to Results Area

This section details the pass-through data, transformed data, and classification.

Topics:

6.1.8.1 Pass-Through Data

Pass-through data refers to the static data that is pre-processed and flows to the results area directly. The Common Staging Area (CSA) model represents the data entry point into the FSDF. CSA provides a simplified, unified data sourcing area for inputs required by analytical applications and engines. It consists of over 400 tables and nearly 9000 columns organized into distinct subjects.

The staging area is a physical data model, which is deployed using the Analytical Application Infrastructure, which manages it. The design of the staging area data model is to allow efficient data loading for analytics. It thus has crucial differences from a general-purpose repository of operational/transactional data across a bank.

The staging area acts as the single source of data and contains unified data requirements for various banking areas such as Loans and Losses, Off-balance Sheet products, Securities, Derivatives, Capital Data, Management Ledger and General Ledger. A common example of this category includes various monetary amounts, dates and so on.

6.1.8.2 Reclassified to Regulatory Classifications

After transformation, the regulatory data is reclassified as follows:

Table 28: Data Reclassification Example

Source	Target
DIM PARTY TYPE	DIM REG PARTY CATEGORY
High Net Worth Individual	Individual
Individual	Individual
Retail	Individual
Household	Household

The sample reclassifications performed to transform the existing hierarchies to regulatory specific hierarchies are:

- Party Category Classification
- Product Category Classification
- Interest Type Classification

- Intra Group Indicator
- Regulatory Loan Purpose

The additional transformations that are performed are:

- Original Maturity Band
- Residual Maturity Band
- Delinquency Band

See Business Metadata for details of these reclassifications.

6.1.9 Data Flow from Staging to Processing Area

The staging area of the FSDF serves as a container for analytical processing from sourcing to consumption. Such processing is usually delivered in the form of discrete units called analytical applications, spanning different analytical use cases ranging from Finance to Risk to Compliance.

These applications consist of custom-built computational engines and numerical libraries and can execute processes on the data that range from simple aggregations to complex, multi-step stochastic processes such as Monte-Carlo simulation.

Hence, analytical applications place varying demands on the data infrastructure in terms of volumes and speed and hence place different demands on the data architecture. In practice, the normalized (3NF) design favored for enterprise data warehouses often fails to be efficient or performant when it comes to analytical processing across a wide range of use cases.

Therefore, the OFSDF recognizes the need for distinct application-specific working stores, separate from the staging and reporting area. For example, the OFSAA Asset and Liability Management (ALM) application has a distinct set of ALM-specific tables, as does the Market Risk solution.

> **NOTE** The structure of these processing area stores is decided by the actual analytical application and engine used. The OFSAA suite of applications is organized this way, with each application managing a specific set of tables/schemas within the processing area.

The processing area tables/schemas are not part of the OFSDF. This is because OFSDF is intended to be an open platform. Other analytical applications and engines can equally provision data out of OFSDF by mapping their input requirements appropriately to the OFSDF staging area model.

6.1.10 Data Flow from Processing to Results Area

This step is similar to Data Flow from Staging to Results Area. It involves either pass through data from processing to results or loading directly to results (see Section 5.1.11). This is mostly due to processing measures such as Fair Value, Risk-Weighted Assets, and so on.

6.1.11 Guidelines for Data Loading to Result Area Tables in Data Foundation for Regulatory Reporting Implementations

Regulatory reports make use of data available across several fact tables in the OFSAA data foundation model and these result tables are either loaded from the raw data sourced from source systems via out of the box T2Ts or processed data output from various OFSAA applications.
For example, FACT FTP Account Summary and FACT REG FTP Account Summary which stores account level measures computed by FTP application.
FACT FTP Account Summary table needs to be populated manually if OFS FTP application is not available.
APRA provides a PMF Run that can be executed to populate FACT REG FTP Account Summary from FACT FTP Account Summary.

For more information, see *APRA RUN CHART*.

From the OFSAA technical infrastructure standpoint, the mentioned options are available to the customer to design and implement the custom ETL process explained above. OFSAA strongly recommends the below options to maintain consistency in terms of data lineage in Metadata browser as the configured metadata can be made available in the meta-model via MDB publish:

- Data Integration Hub (DIH) Connectors
- Data Mapping (T2T) option in Application Infrastructure
- Data File Mapping (F2T) option in Application Infrastructure

Topics:

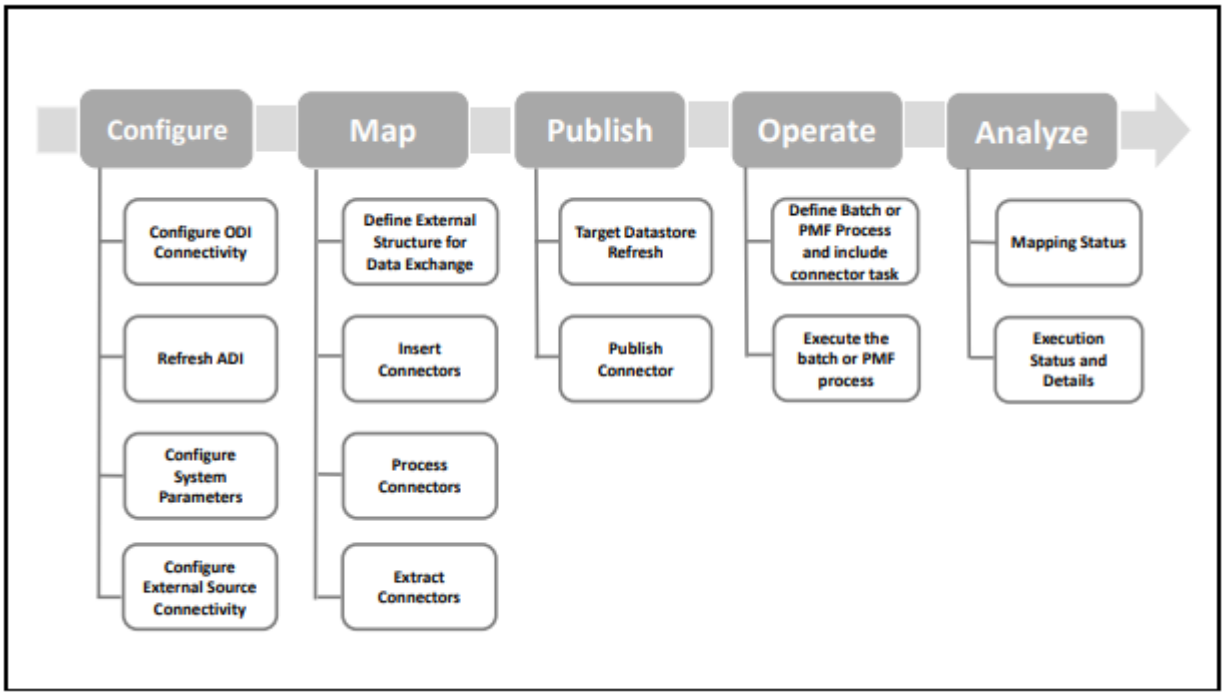
- DIH Connectors
- Data Mapping (T2T)
- Data File Mapping (Flat File to RDBMS Target - F2T)

6.1.11.1 DIH Connectors

If you have a licensed DIH to source the data from the external systems into OFSAA, a DIH connector is the recommended approach to load the data into results. The Source data could either reside in a relational structure or a file structure. The mappings maintained in DIH are logical and they abstract the physical references including the Dimensional lookups seamlessly without the need for any additional join or configuration.

See the Data Integration Hub (DIH) User Guide, for more information about loading the data into a result area table.

Figure 192: DIH Connectors



6.1.11.2 Data Mapping (T2T)

Data Mapping refers to the process of retrieving unstructured data from data sources for further data processing, storage, or migration. This feature is commonly known as RDBMS source to RDBMS target (T2T) framework in the OFSAA world and can be leveraged when source data is available in the Oracle database. Dimensional lookups must be handled via the T2T's join condition and expressions. See *Oracle Financial Services Advanced Analytical Applications Infrastructure Application Pack User Guide* for more details on configuring a T2T.

6.1.11.3 Data File Mapping (Flat File to RDBMS Target - F2T)

If the source data is available in file structures, the OFSAA F2T component can be used to bring the data in the OFSAA ecosystem. As lookups cannot be configured in an F2T, this component must be used in conjunction with the T2T component, that is, data is first loaded from the file to an interim staging structure using the F2T component followed by data load to the target result area table using the T2T component. This is the least recommended approach as there is a need for interim table structure in the data model and involves multiple data hops that add to the overhead.

See the *Oracle Financial Services Advanced Analytical Applications Infrastructure Application Pack User Guide* on OHC for more details on configuring an F2T.

6.1.12 FSDF Entity Information

The FSDF entity information is given in the Dimension Tables and Data Elements documents available on the MOS page.

6.1.12.1 Dimension Tables or Entities

Table 29: Dimension Tables or Entities

Sl. No.	List of Dimension Tables	Table/Entity Logical Names	Table/Entity Descriptions	Table/ Entity Type
1	DIM_ACCOUNT_PURPOSE	Account Purpose Dimension	This table stores the purpose for which the bank has initiated the account.	SCD
2	DIM_BANDS	Bands Dimension	This table stores the list of band dimensions. Information on the table name, columns containing the band codes, upper and lower bound values are stored in the setup table and a generic code is executed to populate the band codes in the respective fact tables.	Seeded
3	DIM_BOOLEAN_FLAGS	Boolean Flag Dimension	This table stores the list of the Boolean Flags.	Seeded
4	DIM_CONSOLIDATION	Consolidation Dimension	This entity stores the details of various values to be analyzed like actual or budget.	Seeded
5	DIM_COUNTRY	Country Dimension	This table stores the master list of countries.	Seeded
6	DIM_CREDIT_PARTCPTION_TYPE	Credit Participation Contract Type Dimension	This table stores the type of the contract identifiers for the main participation or syndication contract.	Seeded
7	DIM_CURRENCY	Currency Dimension	The table stores the currency information. ISO currency codes is a standard published by the International Organization for Standardization 4217, which delineates currency designators and country codes (alpha and numeric).	Seeded
8	DIM_CUSTOMER	Customer Dimension	This entity stores the list of the organization's customers and counterparties and their attributes.	SCD
9	DIM_DATES	Date Dimension	This table stores the list of dates generated between any two dates typically covering extraction dates and cash flow dates.	Seeded

10	DIM_INDICATOR_VALUES	Indicator Values Dimension	This table stores the indicator values used in various columns for identifying the Boolean or indicator values. This is a seeded dimension table from OFSAA products.	Seeded
11	DIM_INSTRUMENT_CONTRACT	Instruments Contracts Dimension	This entity stores the contracts and instruments in the Market and their details like Effective Date, Maturity Date, Face Value, Day Convention, Strike, and so on.	Seeded
12	DIM_INTEREST_TYPE	Interest Type Dimension	This table stores the interest type.	Seeded
13	DIM_LOCATION	Location Dimension	This table stores the location dimension.	SCD
14	DIM_ORG_STRUCTURE	Organization Structure Dimension	This entity stores the Organization Structure of the Financial Institution.	SCD
15	DIM_PARTY	Party Dimension	This table stores the history of the party. Party here can be customer, issuer, guarantor, and so on.	SCD
16	DIM_PARTY_TYPE	Party Type Dimension	This table stores the party type. Party here could be Individual, Banks, Corporate - Small, Corporate - Medium, State Government, Sovereign, and so on.	SCD
17	DIM_PRODUCT	Product Dimension	This table stores the details of all the products (existing/stopped) offered by the Financial Institution.	SCD
18	DIM_PRODUCT_TYPE	Product Type Dimension	This table stores the loan product type information.	SCD
19	DIM_REG_INTEREST_TYPE	Regulatory Interest Type Dimension	This table stores the list of indices that are designed to store the regulatory based interest type code as designated by the regulator for an account at the account level or group of accounts at a credit line level. For example FIXED, FLOATING, MIXED, and so on.	Seeded
20	DIM_REG_LOAN_PURPOSE	Regulatory Loan Purpose Dimension	This table stores the description for the regulatory loan purpose/utilization of the loan amount. Values expected are:	Seeded

			1 = Purchase 4 = Rate / Term Refinance 5 = Cash-Out Refinance 6 = Other Refinance 7 = Home Improvement 8 = Debt Consolidation 9 = Education A = Medical Y = Other U = Unknown"	
21	DIM_REG_PARTY_CATEGORY	Regulatory Party Category Dimension	This entity stores the reclassified regulatory party categories.	Seeded
22	DIM_REG_PRODUCT_CATEGORY	Regulatory Product Category Dimension	This entity stores the reclassified regulatory product categories.	Seeded
23	DIM_REG_REPORT_CELL	Regulatory Reporting Cell Dimension	This table stores the cell IDs / MDRM codes as provided by the AgileREPORTER templates.	Seeded
24	DIM_REP_LINE	Reporting Line Dimension	This table stores the list of all computed reporting line items.	Seeded
25	DIM_RUN	Run Dimension	The entity stores the baseline and simulation runs.	
26	DIM_STD_MITIGANT_TYPE	Standard Mitigant Type Dimension	This entity stores the standard mitigant type.	SCD

6.1.13 Fact Tables or Entities

For all tables with data flow type tagged as a Processing, it is recommended that you map data directly to the result area if processing application is not part of the OFSAA product suite. For example, Basel computations, RWA Numbers, and Capital Ratio are taken from the processing area which is populated by OFSAA or other Basel applications.

For processed tables, you can look for the following options:

- OFSAA Data Integration Hub (DIH) product
- Flat File
- Table-to-Table Transformation with the source being processing application

Table 30: Fact Tables/Entities

Sl. No.	List of Fact Tables	Table/Entity Logical Names	Table/Entity Descriptions	Table/ Entity Type

1	FCT_ACCOUNT_MITIGANT_MAP	Fact Account Mitigant Map	This entity stores the account to mitigant mapping. It supports more than one mitigant to be mapped to an account.	FACT
2	FCT_ACCT_PLACED_COLL_MAP	Fact Account Placed Collateral Map	This table stores the account to placed collateral mapping. It is an intersection table to denote that a placed collateral can be used in multiple accounts and an account contains multiple collaterals.	FACT
3	FCT_COMMON_ACCOUNT_SUMMARY	Fact Common Account Summary	This table stores the common account level information that usually comes as an input through staging.	FACT
4	FCT_IFRS_ACCOUNT_SUMMARY	Fact IFRS Account Summary	This table stores the measures related to an account that are computed by IFRS application.	FACT
5	FCT_MGMT_REPORTING	Fact Management Reporting	This table stores the management reporting data related to organization and product profitability/income statement/balance sheet.	FACT
6	FCT_MITIGANTS	Fact Mitigants	This entity stores the mitigants and their details.	FACT
7	FCT_PLACED_COLLATERAL	Fact Placed Collateral	This table stores the details of collateral that are placed against an account.	FACT
8	FCT_REG_ACCOUNT_SUMMARY	Regulatory Account Summary	This table stores the regulatory reclassifications and other information as required for regulatory reporting.	FACT
9	FCT_REG_REPORT_ADJUSTMENTS	Fact Regulatory Report Adjustments	This table stores the adjusted amount against a particular cell ID / MDRM code for a regulatory report.	FACT
10	FCT_REG_RUN_LEGAL_ENTITY_MAP	Fact Regulatory Legal Entity Run Map	This table stores a reporting entity identifier for every regulatory reporting run.	FACT
11	FCT_REG_CAP_ACCOUNT_SUMMARY	Fact Regulatory capital account Summary	This table stores the processed data for capital adequacy reporting.	FACT

12	FCT_MARKET_RISK_REPORTING	Fact Market Risk Capital	This table stores the capital available for market risk	FACT
13	FCT_REG_LE_CAPITAL_SUMMARY	Fact Regulatory Legal Entity Capital Summary	This table stores the regulatory capital related information for the legal entity. This table stores all information from the GL related to the capital structure processing as well as the various levels of capital computations processed and computed by the application.	FACT
14	FCT_REG_CAP_PLCD_COLL_SUMMARY	Fact Regulatory Capital Placed Collateral Summary	This table stores the information of all exposures to a bank which are placed collateral. The placed collateral are collateral placed by the bank for either default fund contribution or for other OTC transactions, with a central counterparty. It is generally used for Cleared transactions and Default fund contributions	FACT
15	FCT_MR_CAPITAL_SUMMARY	Fact Market Risk Capital Summary	This table stores the information of the market risk capital calculations at a portfolio level.	FACT
16	FCT_REG_CP_CAPITAL_SUMMARY	Fact Market Risk Capital Summary	This table stores the information of the market risk capital calculations at a portfolio level.	FACT
17	FCT_REG_MARKET_RISK_EXPOSURES	Fact Regulatory Market Risk Exposures	This table stores Basel Processing output for Market Risk Exposures for Regulatory Reporting	FACT

6.1.14 Inclusion of GL Recon Reconciled Accounts in Reporting

By default, the Regulatory Reporting expects reconciliation data in the staging area for all the reports. For OFS Data Management (OFSDM) pack (OFS General Ledger Reconciliation Application (GL Recon)) installed in the same Infodom as Regulatory Reporting is installed, the results area tables will have accounts with account numbers (having prefixes defined in REVELEUS_PARAMETER_MASTER.V_PARAM_VALUE column for the REVELEUS_PARAMETER_MASTER.V_PARAM_CODE = 'ADJUSTMENT_EXP_PREFIX' used in GL Recon application).

Report-specific treatment for such accounts is handled in Regulatory Reporting application for cases like a number of accounts that must be reported.

For example: ARF7200A – Section A and Section B.

6.2 Overview of OFS REG REP APME User Interface

This section provides details to log in to the OFSAA application, view report summary, view schedule summary, view cells, and map data schedules. It includes:

- Logging in to OFS REG REP APME UI
- Viewing Report Summary
- Viewing Schedule Summary
- Viewing Data Elements
- Viewing Data Elements Summary
- Viewing Cell Summary
- Viewing the Pre and Post Adjusted Data
- Creating an Action

6.2.1 Logging in to OFS REG REP APME UI

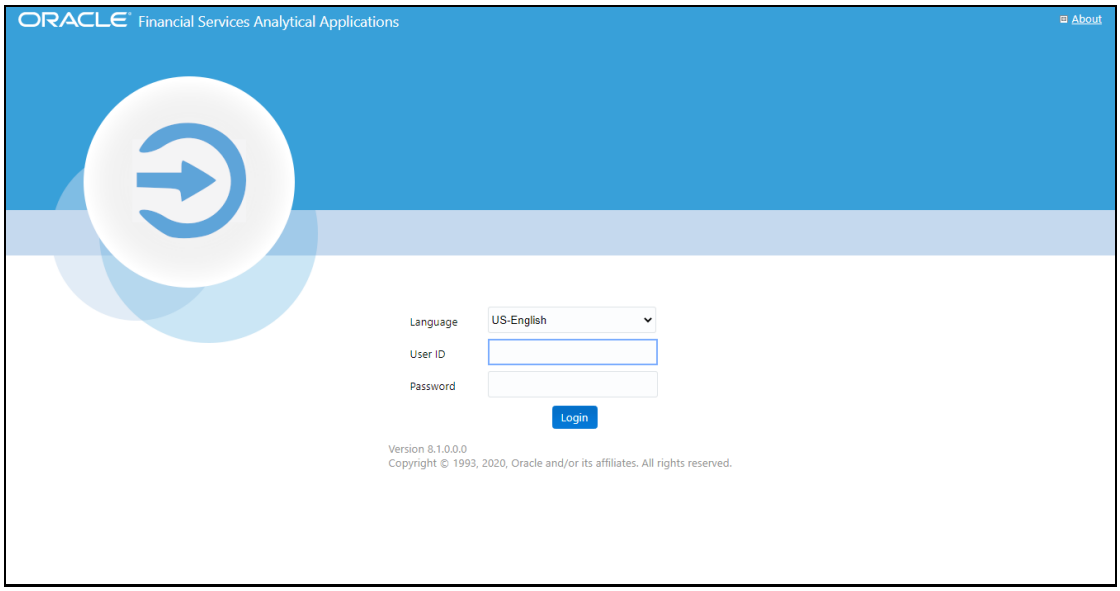
After the applications are installed and configured, to access the OFS REG REP APME UI you must log in to the OFSAAI environment using the OFSAAI login page.

> **NOTE** The built-in security system ensures that you are permitted to access the window and actions based on the authorization only.

To access the OFS REG REP APME UI, follow these steps:

1. Enter the OFSAAI URL in your browser. The OFSAAI login page is displayed.

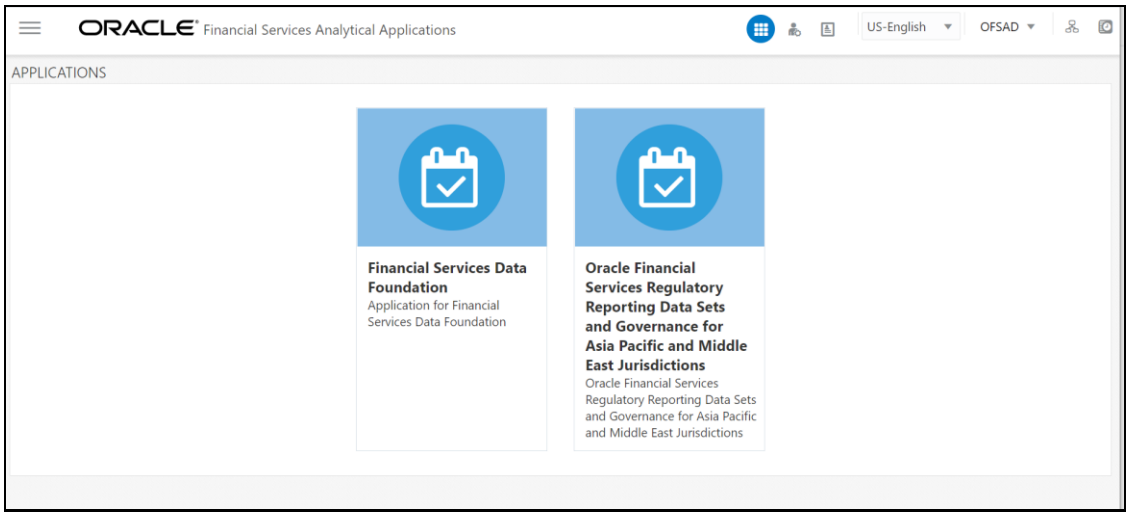
Figure 193: OFSAAI Log In



2. Select the desired language from the **Language** drop-down list.

3. Enter your **User ID** and **Password**. When you log into OFSAAI, the **OFSAA Applications** page is displayed.

Figure 194: OFSAA Applications Screen

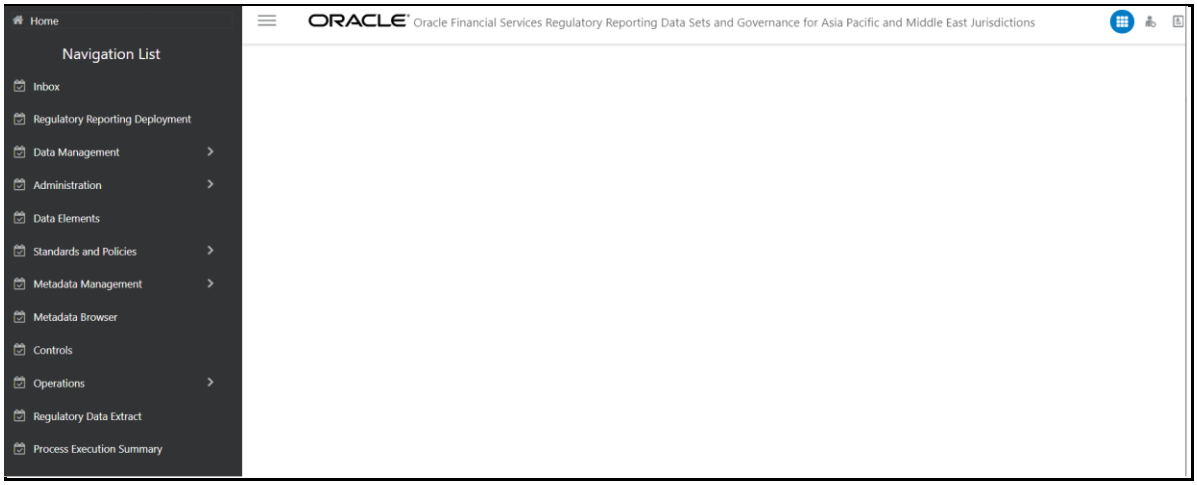


4. Select the **Financial Services Data Foundation.** The FSDF landing page is displayed.

Figure 195: Financial Services Data Foundation Landing Page

Or select the **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions**. The Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions landing page is displayed.

Figure 196: Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions Page



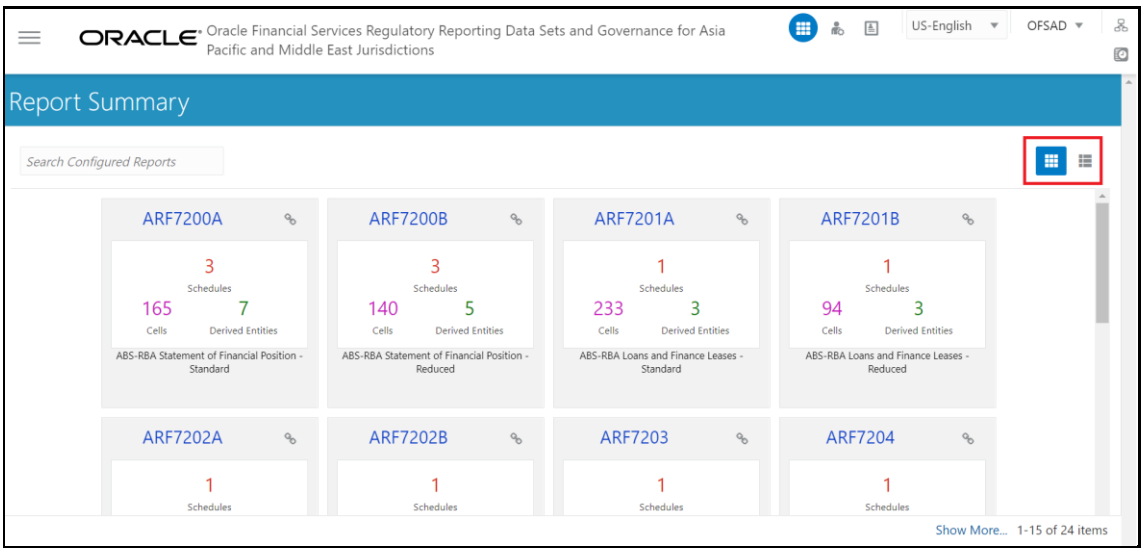
5. Select the Navigation Menu  in the OFS REG REP APME UI to access the following windows:
   a. Home
   b. Inbox
   c. Regulatory Reporting Deployment
   d. Administration
      i. Key Indicator Assessment Configuration
      ii. Control Assessment Parameters
   e. Data Elements
   f. Standards and Policies
      i. Business Terms
      ii. Critical Data Elements
   g. Metadata Management
      i. Dataset
      ii. Map Maintenance
      iii. Build Hierarchy
      iv. Measure
      v. Business Processor
      vi. Derived Entity
      vii. Save Metadata
      viii. Reports
   h. Metadata Browser
   i. Controls
   j. Operations
      i. Process Modeller
      ii. Process Monitor
      iii. Batch Execution
      iv. Batch Monitor
   k. Process Execution Summary

6.2.2 Viewing Report Summary

The Report Summary data comes pre-seeded based on the applications that are installed. The Report Summary enables you to view all the configured reports for the jurisdiction.

After logging into the OFS REG REP APME UI, navigate to **Metadata Management** and select **Reports** to view **Reports Summary** window.

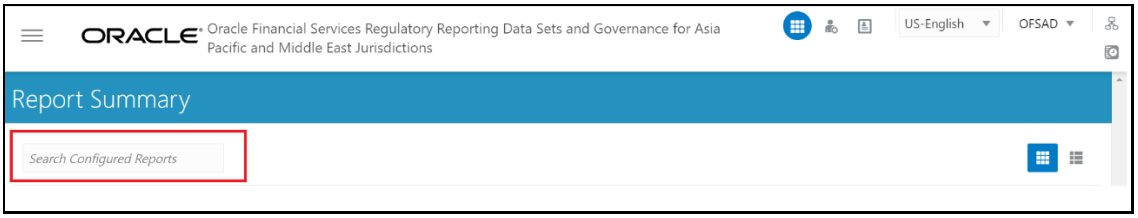
Figure 197: Report Summary Screen



NOTE You can view the summary of all the configured reports in the Tile view or List view .

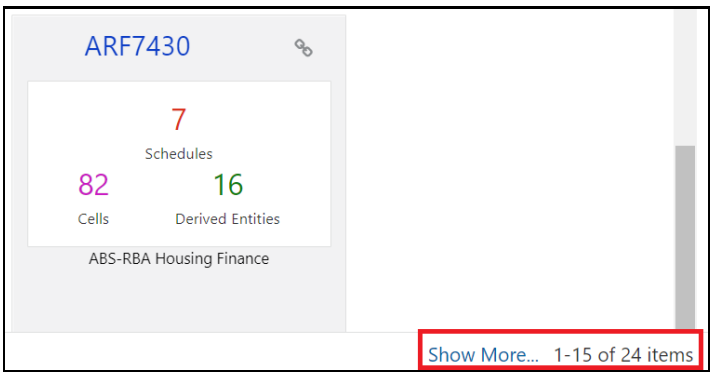
The Search Bar helps you to find the required information from the database. You can enter the nearest matching keywords to search and filter the results by entering information on the search box. You can search for a Report using either the name or description.

Figure 198: Report Summary Search Bar



The Paging option at the bottom right corner allows you to see more reports than the ones currently displayed on the window.

Figure 199: Report Summary Paging Option



6.2.2.1 Report Information

Each tile or list on the Report Summary window corresponds to one report. For each report, you can view the report code, report description, number of schedules within the report, the number of configured non-derived cells, and count of utilized derived entities.

For example, the CRSA report in the tile or list view is displayed as follows:

Figure 200: Report in Tile View

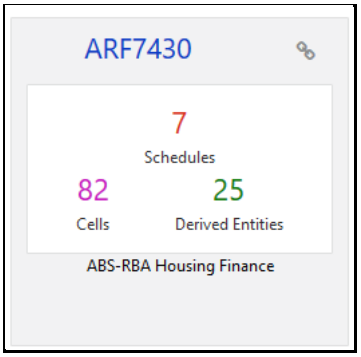
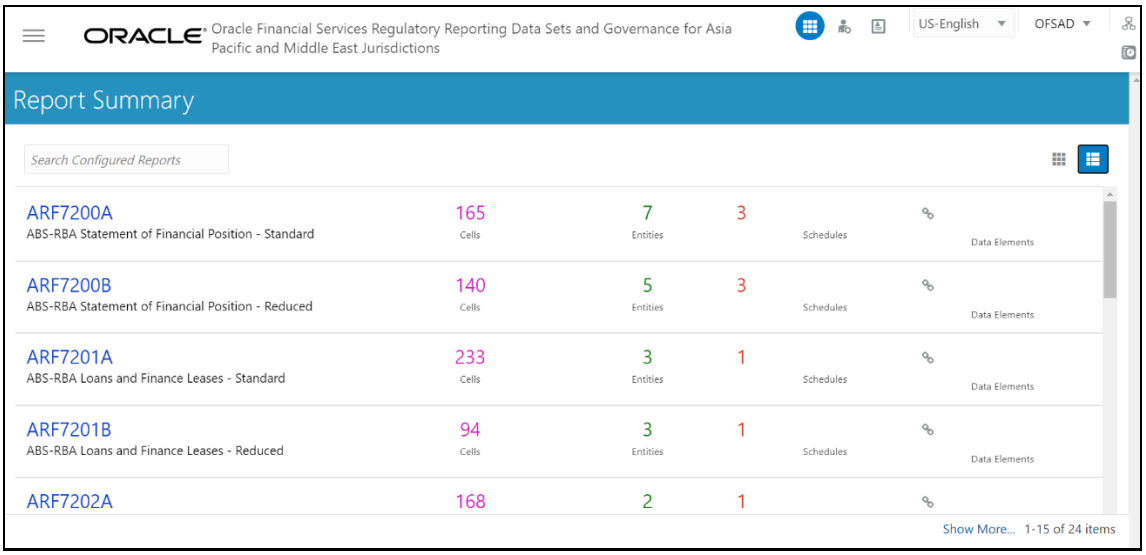
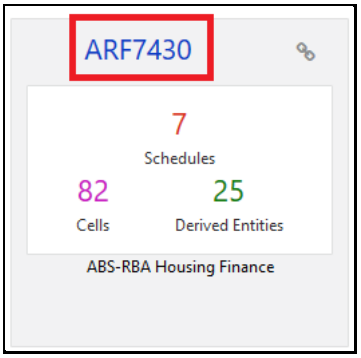


Figure 201: Report in List View



Select the **Report Code** to navigate to the **Schedule Summary** window.

Figure 202: Report Information

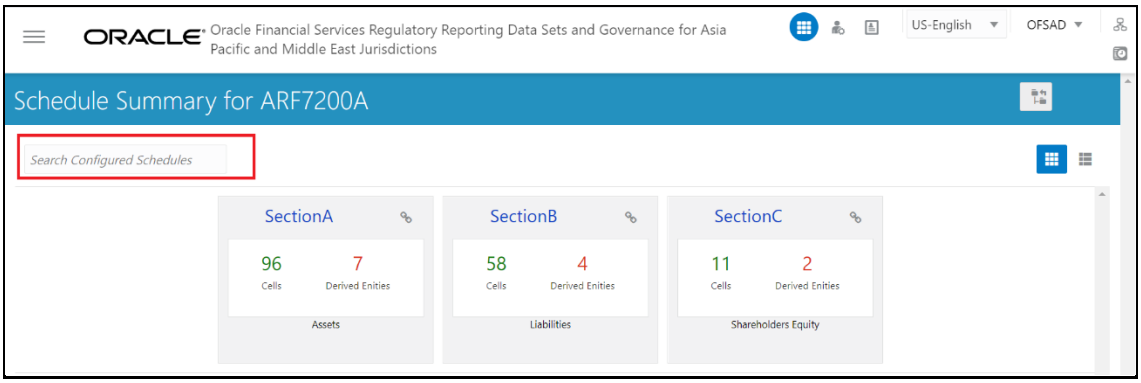


6.2.3 Viewing Schedule Summary

The Schedule Summary window provides the component schedules for the corresponding report. Select the Report Code in the Report Summary window to navigate to the Schedule Summary window (as shown in Figure 66).

For example, the Schedule Summary window for the ARF7200A report is displayed as follows.

Figure 203: Schedule Summary Screen



NOTE You can view the summary of all the configured reports in the Tile view or List view .

The Search Bar helps you to find the required information from the database. You can enter the nearest matching keywords to search and filter the results by entering information on the search box. You can search for a Schedule using either the name or description.

The Paging option (**Error! Reference source not found.**) at the bottom right corner allows you to see more reports than the ones currently displayed on the window.

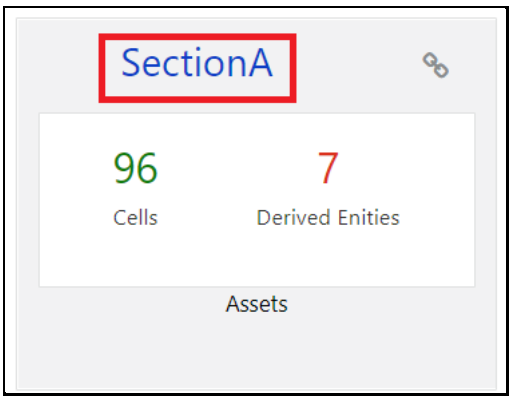
NOTE Select the icon on the top right corner to return to the Report Summary window.

6.2.3.1 Schedule Information

Each tile or list on the Schedule Summary window corresponds to one schedule under the report. For each schedule, you can view the schedule code and the description, the number of configured non-derived cells for the schedule and count of utilized derived entities.

For example, the Schedule Page3 tile is displayed as follows. Select the Schedule Code to navigate to the Cell Information window.

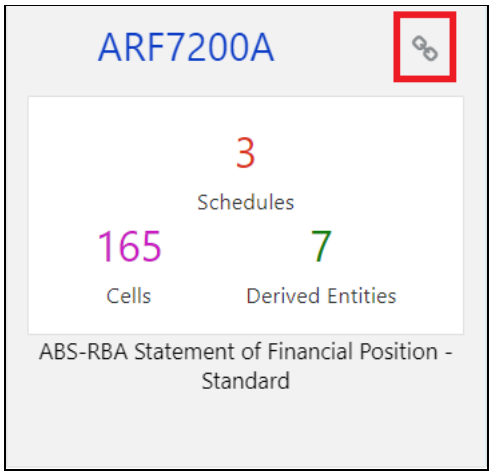
Figure 204: Schedule Information



6.2.4 Viewing Data Elements

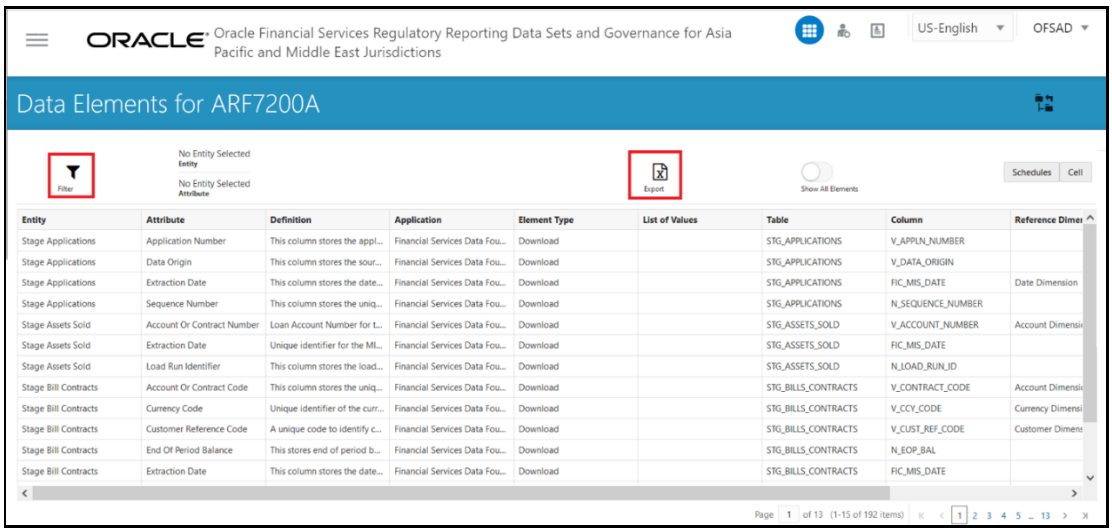
Each tile or list on the Report Summary window corresponds to one report. For each report, you can view the report code, report description, number of schedules within the report, the number of configured non-derived cells, and count of utilized derived entities.

Figure 205: Report Information



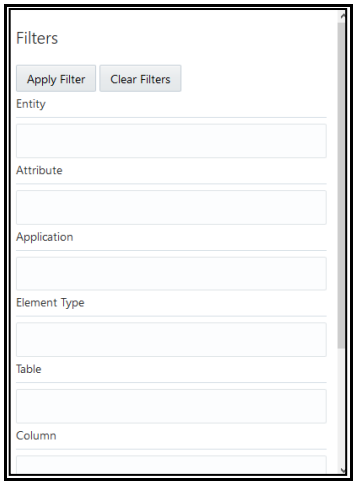
1. Click the chain icon on the right top corner to display the data elements for the respective item. The data elements view option is available at the report schedule and cell level.

Figure 206: Data Elements Screen



2. Select **Filter** to apply filters on the selected data. The filter pane allows filtering data on specific columns.

Figure 207: Filters



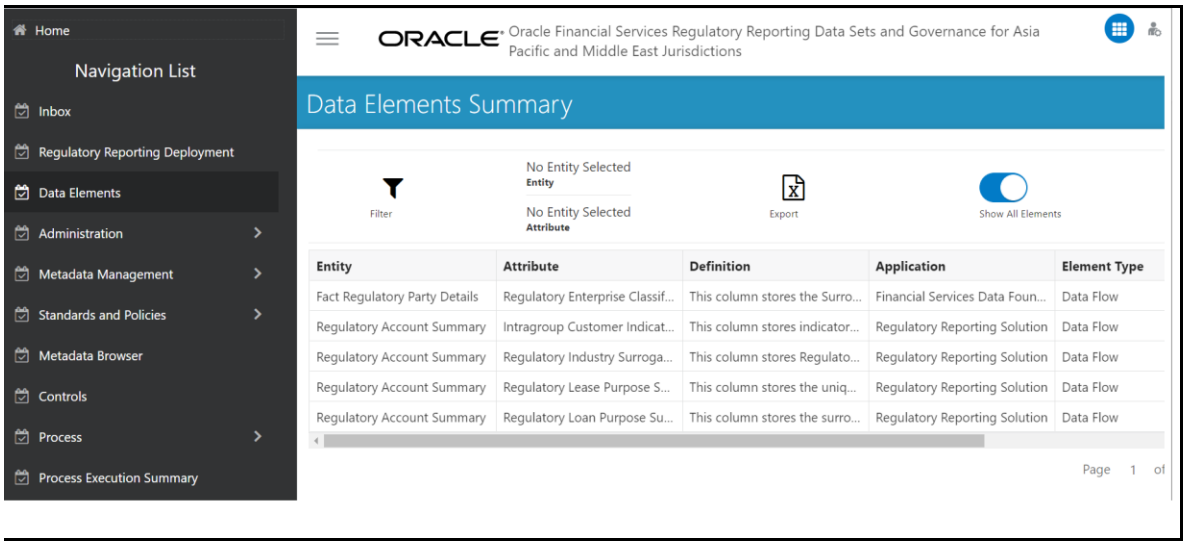
3. Select **Apply Filter** to apply the required filters on the selected data.
4. Select **Clear Filter** to clear the applied filters and display all records for the component.
5. Select **Export to CSV** to export the data displayed in the window.

6.2.5 Viewing Data Elements Summary

The following are the steps to perform to view the data elements summary.

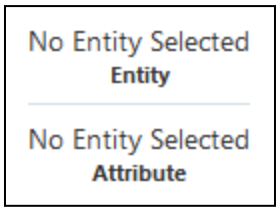
1. After logging into OFS REG REP APME UI, from the main navigation menu select **Data Elements** to view all the Data Elements.

Figure 208: Data Elements Summary



By default, the page displays all the data elements.

Figure 209: Selection Panel

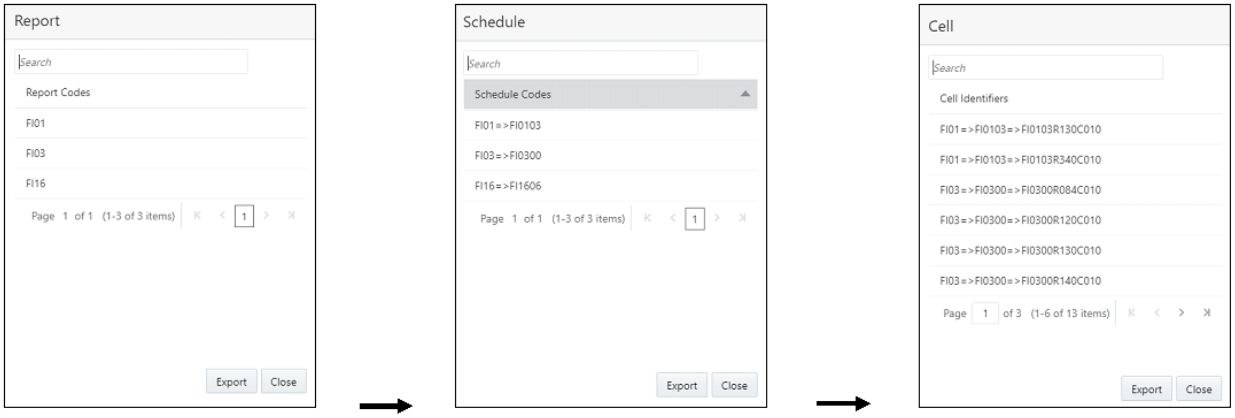


2. Click a row and the selection panel displays the selected entity and attribute.

Figure 210: Selected Entity

The tabs on the right can be used to view reports, schedules, and cells as shown in Figure 210, which are utilized for the selected data element.

Figure 211: Report or Schedule or Cell View



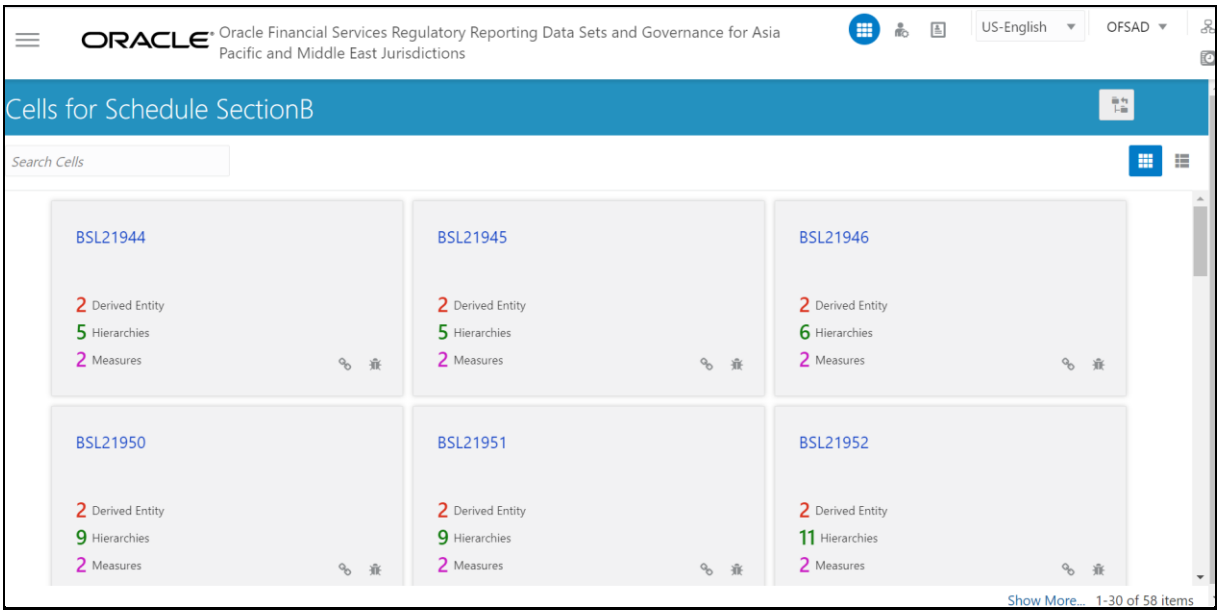
NOTE For Viewing Data Elements and Viewing Data Elements Summary, Data Elements batch execution is required for the screen to function.

6.2.6 Viewing Cell Summary

The Cell Summary window provides the non-derived cells or MDRMs configured as a part of the solution for the corresponding schedule under a report. Select the Schedule Code in the Schedule Summary window to navigate to the Cell Summary window (as shown in **Error! Reference source not found.**).

For example, the **Cells for Schedule Part7** summary window under the CRSA report is displayed as follows.

Figure 212: Cell Summary Window



NOTE You can view the summary of all the configured reports in the Tile view or List view .

The Search Bar helps you to find the required information from the database. You can enter the nearest matching keywords to search and filter the results by entering information on the search box. You can search for a Cell using either the name or description.

The Paging option (**Error! Reference source not found.**) at the bottom right corner allows you to see more reports than the ones currently displayed on the window.

NOTE Select the icon on the top right corner to return to the Report Summary window.

Topics:

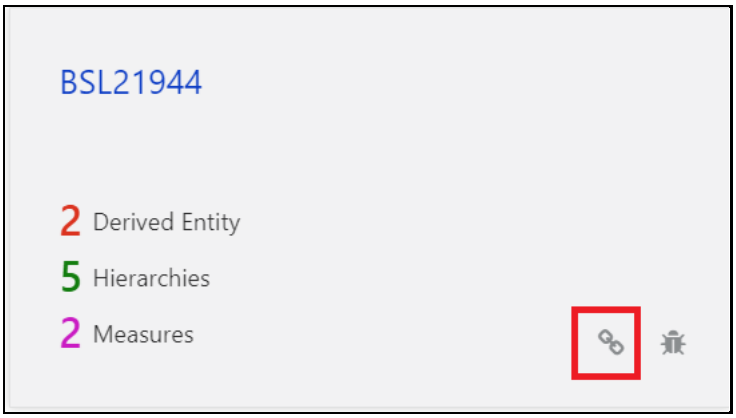
- Cell Information
- Derived Entity
- Measure
- Filters

6.2.6.1 Cell Information

Each tile or list on the Cell Summary window corresponds to one cell or MDRM under the schedule. For each cell, you can view the MDRM name, count of utilized derived entities, count of utilized OFSAA hierarchies, and measures for that cell.

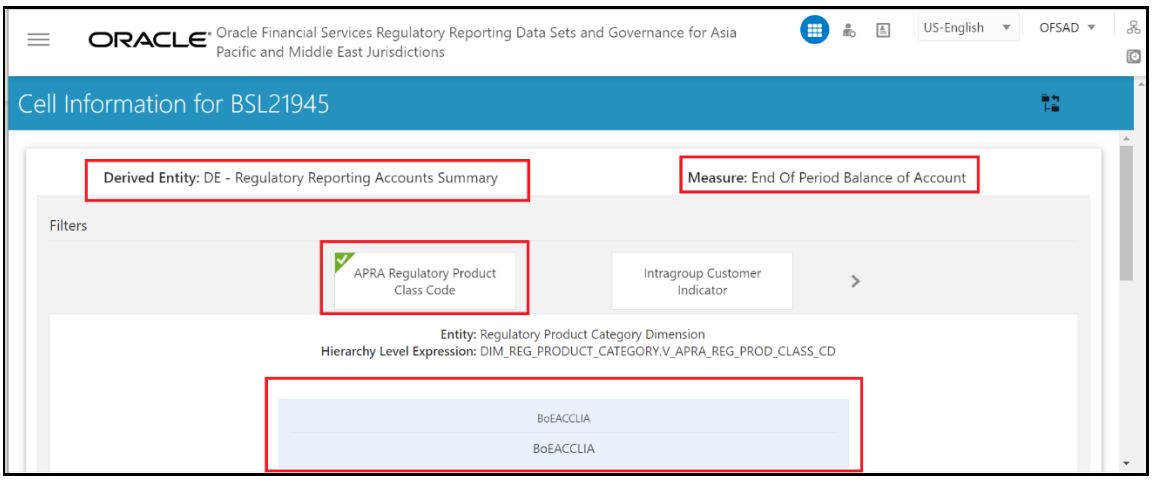
For example, the cell CRSAR040C180 tile is displayed as follows. Select the cell or MDRM Code to navigate to the Cell Information window.

Figure 213: Cell Information



The Cell Information window is displayed as follows.

Figure 214: Cell Information Window



Each section in the Cell Information window displays the relevant OFSAA Metadata and filters used for the cell.

6.2.6.2 Derived Entity

This displays the name of the OFSAA Materialized View or View that contributes to the Cell.

6.2.6.3 Measure

This displays the name of the OFSAA Measure that is reported for the particular Cell.

6.2.6.4 Filters

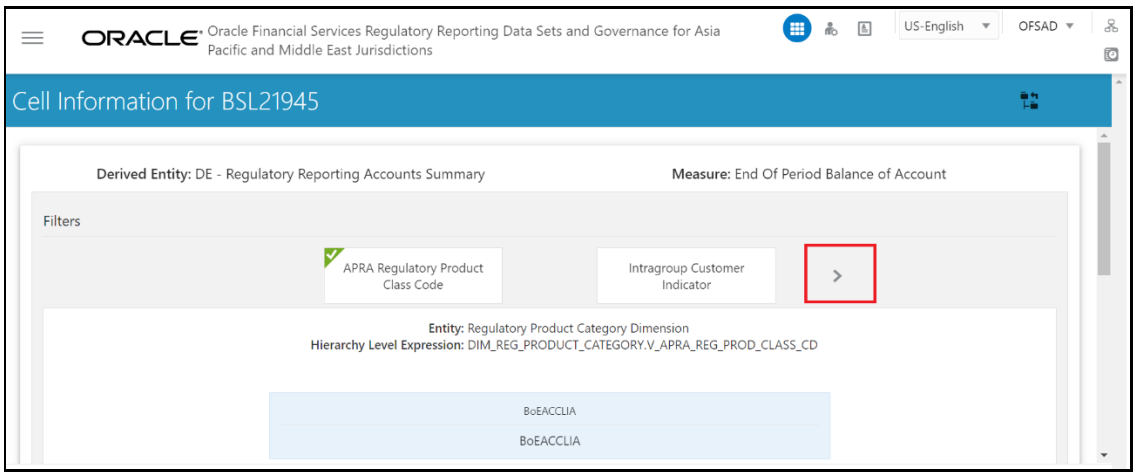
The Filter conditions are as follows:

1. All filters that are applied to the cell are displayed under the filter section. It displays all the applied filters as their OFSAA description.
2. On selection, the filter is marked by a  sign on the top left corner of the selected filter.
3. The section that follows displays the entity or table on top of which the filter is based and the OFSAA Level Description for the selected filter.
4. All filter values that apply to the particular MDRM are available as a ribbon. Each filter value is in a separate box.

   For example, in the previous case for MDRM CRSAR040C180, the applied filters are Consolidation Code and Reporting Line Code. Currently, the Consolidation Code filter is selected and the required filter values for the same are *100*.

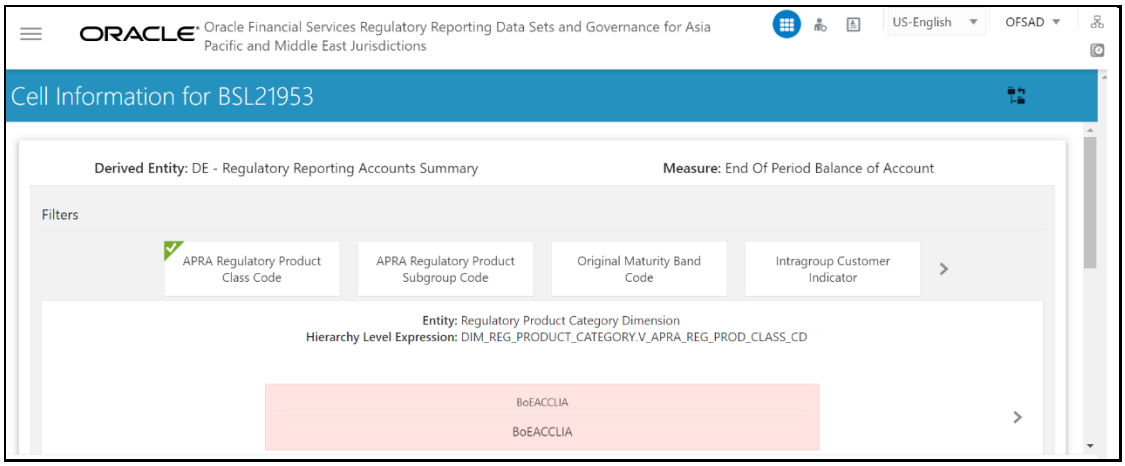
   In the case of multiple values, the filters are displayed as follows with an arrow mark.

Figure 215: Multiple Filter Values



The filters in case of not in condition are highlighted in red are displayed as follows.

Figure 216: Not in Condition Filters

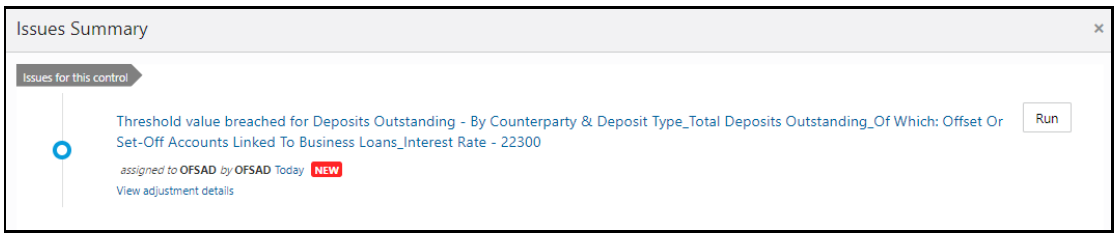


6.2.7 Viewing the Pre and Post Adjusted Data

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

1. From the **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Metadata Management** and then select **Reports**. The Report Summary window is displayed.
2. Select the required **Report Name** and then select a **Schedule**. The Schedule Summary for the selected report is displayed.
3. Select the required **Cell ID**. The Cells for the selected Schedule are displayed.
4. Click **Issue** icon on the Cell Details tile. The **Issues Summary** window is displayed.

Figure 217: Issue Summary Window

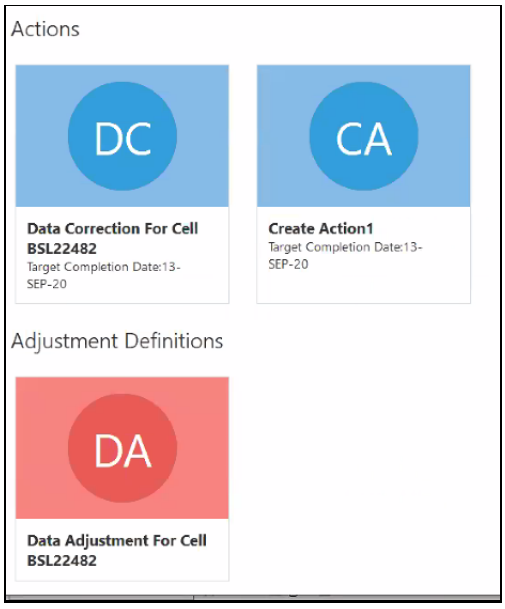


5. Click **View Adjustment Details**. The Data Adjustment Summary window is displayed. In the **Actions** window, the action that was created for the issue is displayed.

Figure 218: Data Adjustment Summary Window

6. Click the required Action. The adjustments that are defined for the actions are displayed.

Figure 219: Adjustments and Actions Window



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

Figure 220: Pre and Post Adjusted Data Window

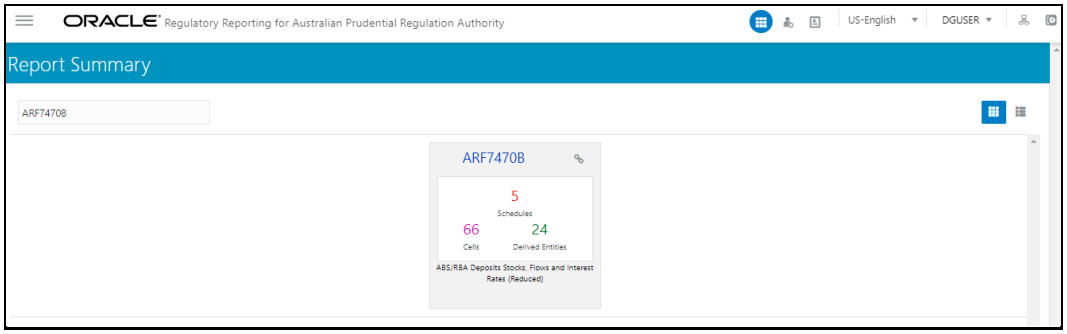
> **NOTE** For the Data Adjustment - Regulatory Reporting, only the adjusted data appears.

6.2.8 Creating an Action

To create a new action for the system generated Issue, follow these steps:

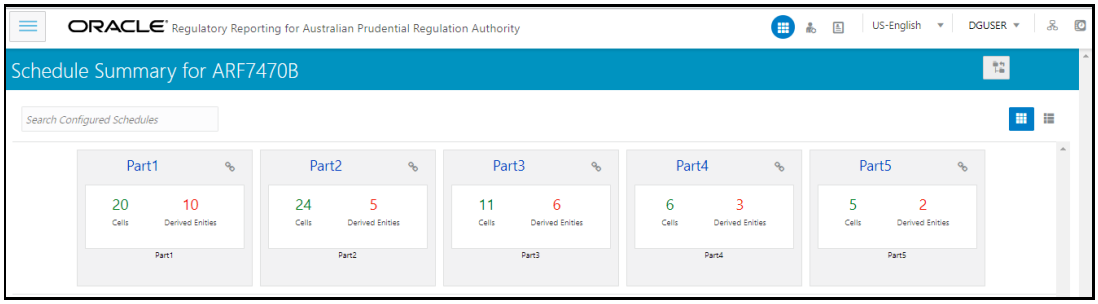
1. From the **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions** window navigate to **Metadata Management** and then select **Reports**. The Report Summary window is displayed.

Figure 221: Report Summary Page



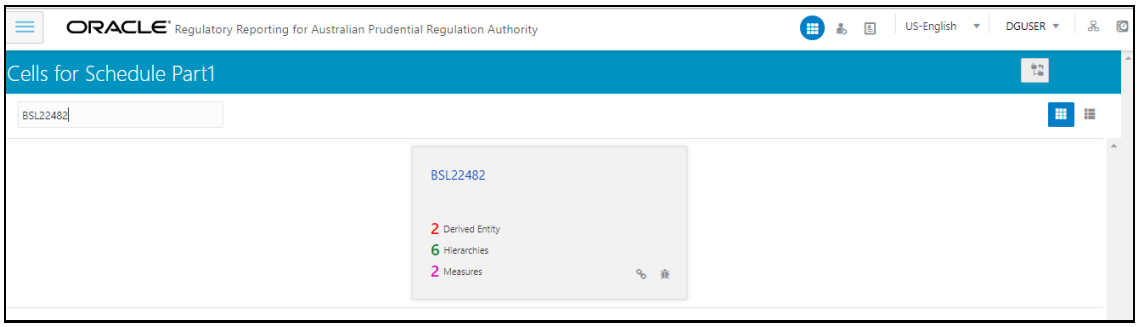
2. Select the required **Report Name** and then select a **Schedule**. The Schedule Summary for the selected report is displayed.

Figure 222: Schedule Summary Page



3. Select the required **Cell ID**. The Cells for the selected Schedule are displayed.

Figure 223: Cell Summary Page



4. Click  **Issue** icon on the Cell Details tile. The **Issues Summary** window is displayed. Here, you can edit an issue and create an action for system-generated issues for a Cell. See section Editing an Issue and Creating an Action for more information.

6.3 Adjustment Feature for Template-based Reports

The adjustments feature is a new enhancement to adjust the differing values of the report systems. The Adjustments Derived Entity derives its values from the Adjustments Fact table (FCT_REG_REPORT_ADJUSTMENTS) that specifies the adjustment value and the seeded table (DIM_REG_REPORT_CELL) that specifies the Cell ID or MDRM Code and the Report Code to which the MDRM belongs to. This ensures that there can be direct adjustments made to MDRM(s) such that the values from both the derived entities are traceable and efficiently reported.

6.3.1 Implementing the Adjustment Feature

To implement the Adjustment feature, identify the Cell ID for the report and the line item where adjustment must be implemented.

For example: ARF7200A v1 Report

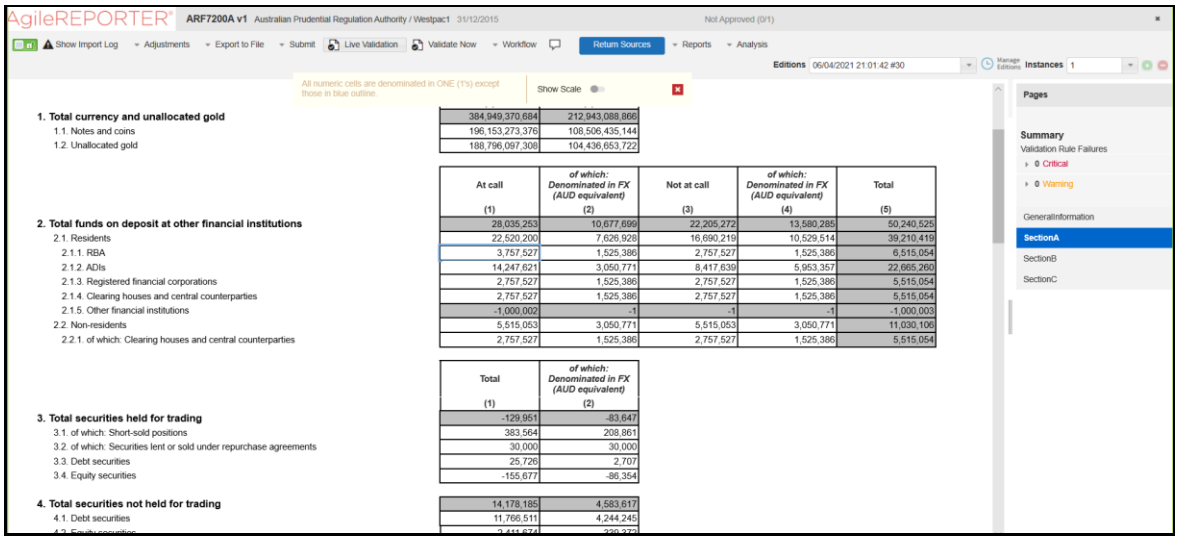
070 Line Item: On balance sheet exposures subject to credit risk

Cell ID: BSAO27429

> **NOTE** The Adjustment feature works only for fixed table cells (Open Y cells are not supported).

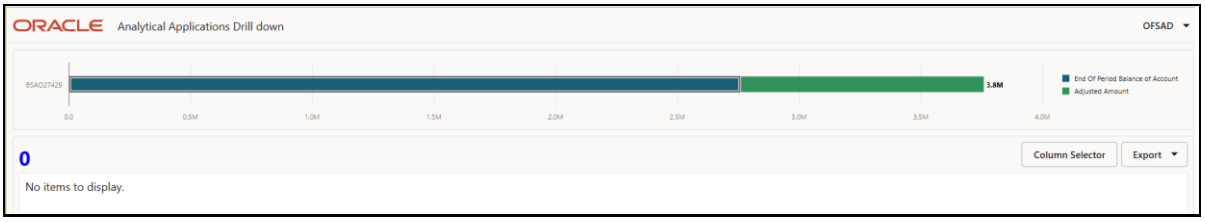
The report currently displays a Total value = 3.758 M for the identified cell as shown in the following figure.

Figure 224: Adjustment Feature



Now, the requirement is to adjust this amount to 2.758M+1 M=3.758 M

Figure 225: Drill down for Total Value



For example, with the page instance, identify the Cell ID for the report and the line item where adjustment must be implemented.

For example: ARF7200A v1 Report

2.12 ADIs Line Item: On balance sheet exposures subject to credit risk

Cell ID: BSAO27429

> **NOTE** The Adjustment feature works only for fixed table cells (Open Y cells are not supported).
>
> The drill-down will always show the total page instance value but not the individual page instance.

The report currently displays a Total value = 3,757,527 for the identified cell.

Topics:

- Populating Base Tables
- Refreshing Adjustment Derived Entity

- Adjustment Verification

6.3.1.1 Populating Base Tables

FCT_REG_REPORT_ADJUSTMENTS: This table must be populated with the requisite *Adjustment Amount* and other related columns.

For example:

N_ADJUSTED_AMT = 3,757,527

The corresponding **N_CELL_SKEY** value must be picked from DIM_REG_REPORT_CELL for the respective **CELL_ID**. The DIM_REG_REPORT_CELL table is pre-seeded with cell IDs for reports supported for this feature.

The following columns must also be updated accordingly:

5. N_ENTITY_SKEY
6. N_RUN_SKEY
7. N_MIS_DATE_SKEY

6.3.1.2 Refreshing Adjustment Derived Entity

Execute the resave batch for Adjustments (<<INFODOM>>_REG_ADJUSTMENT_RESAVE), to save the Adjustment derived entity - DEADJ001.

This ensures that the adjustment amount is reflected in the adjustment derived entity DEADJ001.

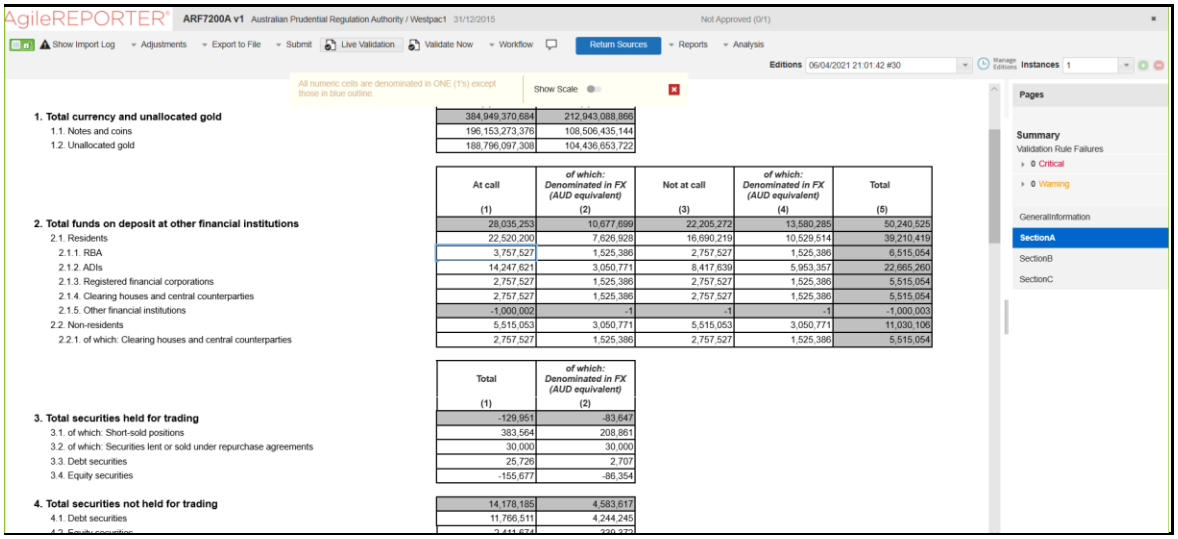
6.3.1.3 Adjustment Verification

Post adjustments, the retrieved report should reflect the amount that is coming from the sourced systems and the adjusted amount.

The retrieved report should reflect the amount after adjustments as shown in the following figure.

(2.578 M+1 M) = 3,757,527

Figure 226: Adjustment Verification

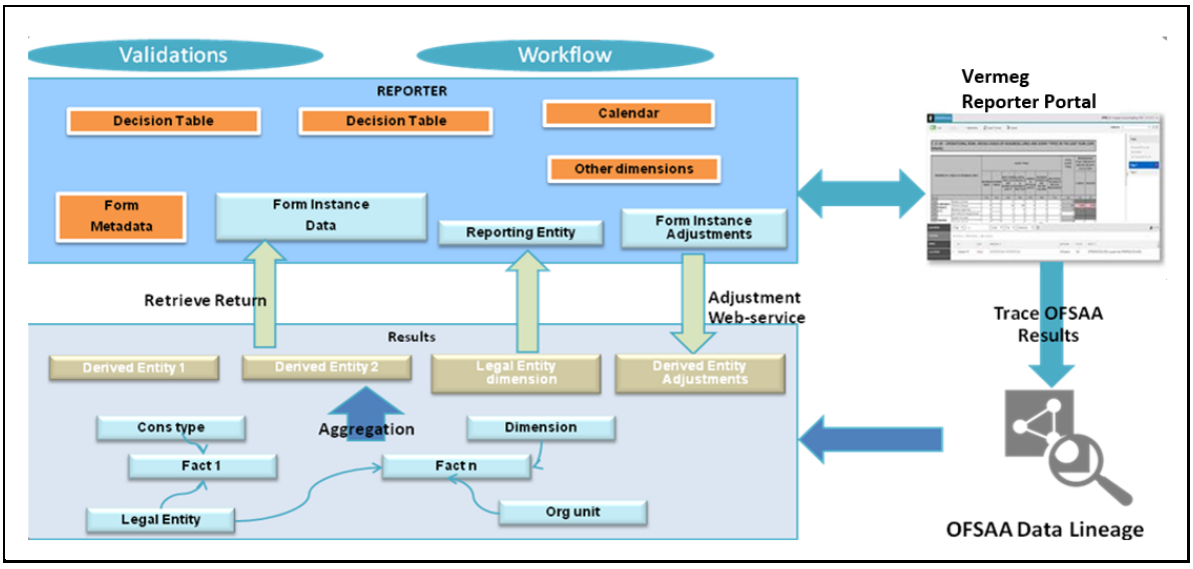


NOTE The Adjustment amount can be negative to achieve a subtracted amount.

6.4 Mapping of Results to Reporting Requirements of Lombard Risk

Figure 227 explains the flow of data between OFSAA and AgileREPORTER:

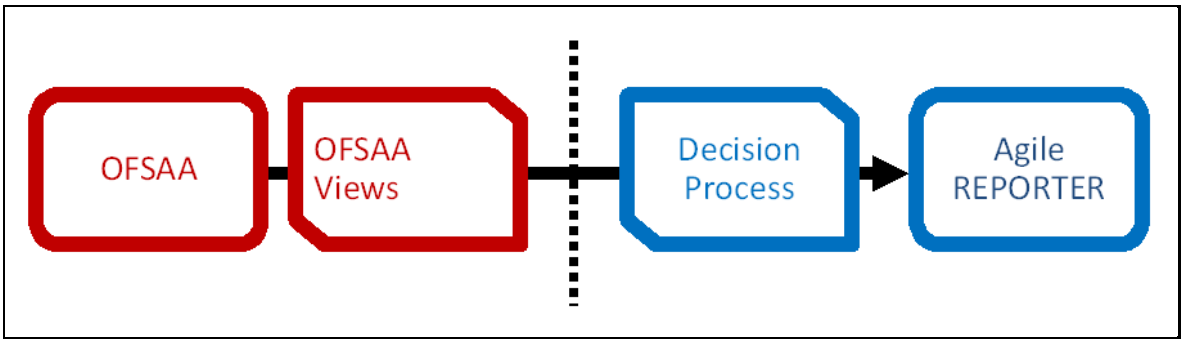
Figure 227: Data Flow between OFSAA and AgileREPORTER



OFSAA provides the data to AgileREPORTER in the form of derived entities. The derived entity is an existing OFSAA higher-order metadata object and can be physicalized as a materialized view in the database. Derived entities store aggregated data from base fact entities specified in the dataset and have the necessary dimensions and measures.

Dimensional and measure combination stored within the derived entity is mapped to cells within the report. This mapping is maintained within the 'Dimensional mapping' template. 'Decision Process' within AgileREPORTER reads the derived entities and dimension mapping information to derive the data for reporting. Derived entities are created based on measures, hierarchies, and datasets.

Figure 228: Decision Process in AgileREPORTER



Some cells in the schedule can be derived as per the logic provided by the regulator. Derivation can be an expression built using values from other cells. Examples of derivation are ratio, node-level rollup, a direct reference to cells in other schedules within the report. These derivations are performed within the AgileREPORTER. OFSAA provides data only for the cells that are not derived.

NOTE Metadata for data transformation is available as part of the data warehouse configuration pack provided Out-of-Box / pre-configured from OFSAA. You need not perform any mapping for the reports. However, this information can be useful for maintenance or extensions when Out-of-Box pack is not available.

6.5 AgileREPORTER: Submission

The AgileREPORTER is a web-based regulatory reporting tool provided by Lombard Risk. It provides necessary features to address e-filing workflow, validation and submission process and supports reports (called as forms or returns) for various jurisdictions. AgileREPORTER provides a reliable and efficient infrastructure to compile, generate, and submit regulatory reports.

7 OFSAA Features

This chapter provides an understanding of the AAI components used in the solution and dimensional mapping.

Topics:

Regulatory Reporting (REG REP) Solution configures the data handoff structure to Lombard using metadata. The following sections provide details on datasets, measures, hierarchies, and Derived Entities. Multiple derived entities are linked to a specific regulatory schedule. You can modify the configuration using the OFSAA infrastructure. Additionally, the metadata route provides traceability from reporting elements to the data elements used.

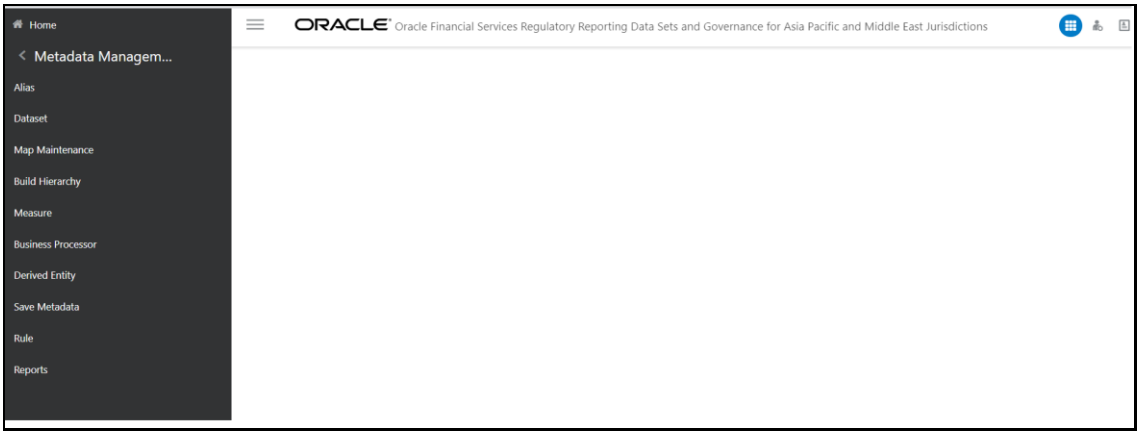
7.1 OFSAA Infrastructure

OFSAA Infrastructure includes the facilities for creating and maintaining dimensional reference data, interest rate, and currency exchange rate data, and process tuning data. Additionally, OFSAA Infrastructure includes functionality for building and maintaining rules that can be used by any Oracle Financial Services Analytical Application. These common rule objects include:

- Expressions
- Hierarchies
- Filters

The analytical applications that you see on the Left-Hand Side (LHS) of the Financial Services Applications home page are depending on your logon privileges and on the OFSAA modules that are installed for your environment.

Figure 229: Metadata Management Landing Page



7.2 Business Metadata

In addition to Derived Entity, REG REP uses the following OFSAA features to create the business metadata. For details on the features, see the OFS Analytical Applications Infrastructure User Guide.

- **Hierarchies**: Some OFSAA dimensions support hierarchies. Hierarchies can be used to provide sophisticated stratification for either processing or reporting purposes. For example, an organizational hierarchy can start with a Division level containing Western Region, Eastern Region, and Southern Region; the next level down within the hierarchy can be state or county. A product hierarchy can begin with branches for Asset vs. Liability vs. Service products; under the Asset branch, you can define additional branches for Mortgage Lending, Commercial Lending, Consumer Lending, and so on.
- **Measures**: Business Measure refers to a uniquely named data element of relevance that can be used to define views within the data warehouse. It typically implies aggregated information as opposed to information at a detailed granular level that is available before adequate transformations.
- **Business Processor**: It refers to a uniquely named data element of relevance that can be used to define views within the data warehouse. It typically implies aggregated information as opposed to information at a detailed granular level that is available before adequate transformations.
- **Datasets**: It refers to a group of tables whose inter-relationship is defined by specifying a join condition between the various tables. It is a basic building block to create a query and execute a data warehouse for a large number of functions and to generate reports.

7.3 Derived Entity

It is the primary component of OFSAA used for OFSDF Interface with Lombard Risk for APRA/MAS/RBI. Regulatory Reporting (REG REP) Solution uses Derived Entity to create a physical materialized view, which is then queried by Lombard using pre-set data hand-off templates. An Entity refers to a table in which data is stored. Derived Entity within the infrastructure system facilitates you to define entities that are populated through a series of data transformation processes resulting from an existing Data Set or a Source Application. An Entity can be used to define other Business Metadata such as measures, hierarchies, dimensions, data sets, and cubes.

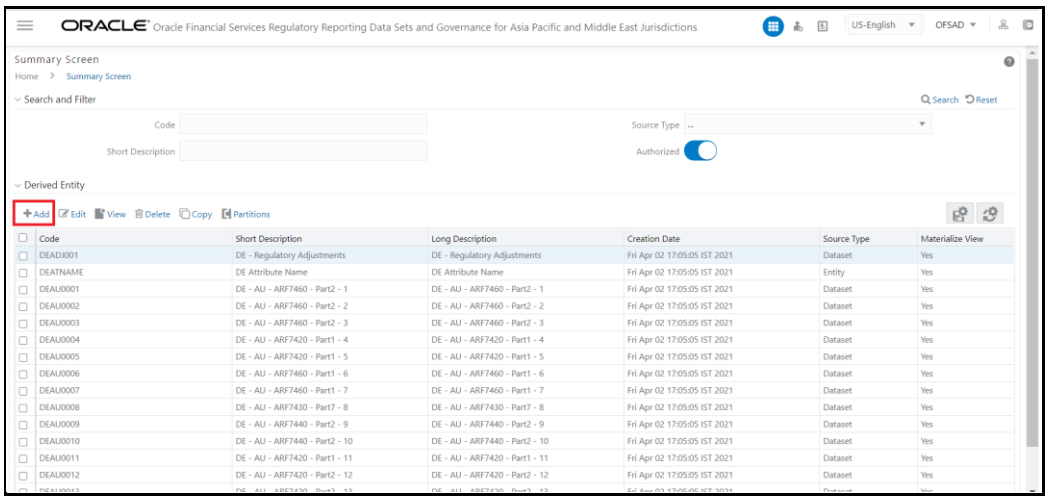
Derived Entities comprise the following:

- Measures
- Hierarchies
- Datasets

Ensure to define the above components within OFSAA before configuring the derived entity and select **Materialized View** property in Derived Entity. This property creates the derived entity as materialized views.

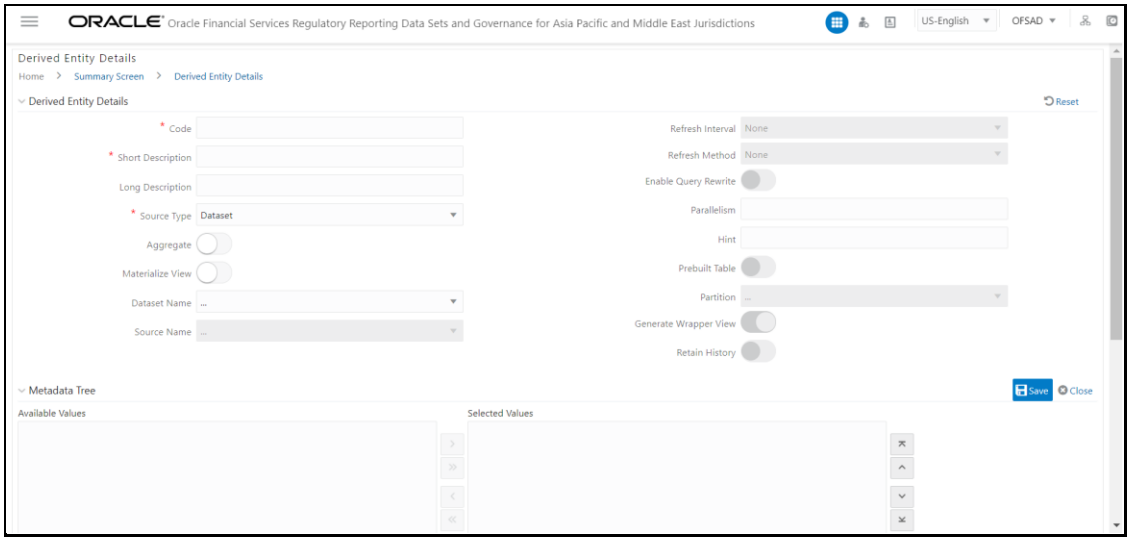
1. Navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions,** select **Metadata Management,** and then select **Derived Entity**. The existing derived entities summary screen is displayed. You can Add a new derived entity and Edit, View, Delete, or Copy an existing derived entity.

Figure 230: Derived Entity Summary Page



2. Click the **Add** button to create a new Derived Entity.

Figure 231: Derived Entity User Interface



7.3.1 Creating Derived Entity

Derived Entities must have **Code**, **Short Description** and **Source Type** mandatory dimensions as shown in **Error! Reference source not found.**. The rest of the structure of the derived entity can vary depending on the dimensions present. A metadata configuration table is present in AgileREPORTER to link the name of the column in the derived entity and dimension that is referred to in the dimension mapping process.

Derived entities have data for the 'Final Reporting Run' only, which is reported to the Regulatory, and are refreshed for the latest hand-off date.

A metadata configuration table is maintained within AgileREPORTER to capture the derived entities that supply data for each schedule.

For more information on creating a Derived Entity, see the OFS Analytical Applications Infrastructure User Guide.

7.4 Rules Framework Features

OFSDF Interface with Lombard Risk for APRA/MAS/RBI uses the following Rules Framework of OFSAA. For more information about the features, see the OFS Analytical Applications Infrastructure User Guide.

- **Rules**: Financial institutions require constant monitoring and measurement of risk to conform to prevalent regulatory and supervisory standards. Such measurement often entails significant computations and validations with an organization's data. Data must be transformed to support such measurements and calculations. The data transformation is achieved through a set of defined rules.

  Regulatory Reporting Solution uses Rules for reclassification of dimensions.

7.5 Dimension Mapping

Each cell reference is mapped to a set of dimensions and measures. This mapping is documented in excel and then converted to a Decision table through an offline utility provided by AgileREPORTER. A decision table is a metadata object within AgileREPORTER that stores the criteria for deriving value for each cell reference. The metadata is packaged for the regulatory report as part of the OFS Risk Regulatory Solution. The decision table process within AgileREPORTER reads the metadata and derived entity published by OFSAA to populate data required for returns for the specified date and legal entity.

The following table is an example of dimension mapping. Each cell reference is mapped to a set of dimension members and measures. If a dimension is left empty for a cell reference, it indicates that it is not participating in the mapping process. If there are multiple mappings for a cell reference, then the value of this cell can come from any of these criteria.

The decision-mapping table is processed against the contents of the derived entity to reporting data. Each record of the derived entity is matched against the criteria specified in the decision table to identify the cell reference and derive return data (such as cell reference and cell value).

The following table is derived after converting the dimension member and measure names into corresponding dimension member codes (not surrogate keys) and measure codes. This decision table mapping is provided for each decision table in excel format as per the template. AgileREPORTER converts the decision table mapping present in excel into configuration entries within their schema.

Table 31: Dimension Mapping Example

Item/Table Code	Is Derived?	Cell Value Measure	ISO Country Code	Intragroup Customer Indicator	Customer Domicile Country ISO Code	Original Maturity Band Code	Financial Entity Flag	APRA Regulatory Product Group Code	APRA Regulatory Party Group Code	APRA Regulatory Party Class Code
BSAO27797	NO	Fair Value	AU	N	AU	9;10;11;12;13;14		DEBTSECINV		NFINCORP-REGGOV
BSAO27799	NO	Fair Value	AU	N		1;2;3;4;5;6;7;8	N	DEBTSECINV	NOT GENGOVT-CEN; GENGOVT-SEMIGOV;	NOT NFINCORP-REGGOV
BSAO27799	NO	Fair Value	AU	N	AU	1;2;3;4;5;6;7;8		DEBTSECINV		NFINCORP-REGGOV
BSAO27799	NO	Fair Value	AU	N	AU	1;2;3;4;5;6;7;8		DEBTSECINV	GENGOVT-CEN; GENGOVT-SEMIGOV;	

NOTE All the dimension member codes that are used in the decision table are preceded by OFSAA and cannot be modified. Therefore, if you have other member codes in the dimension, then you must re-classify them by using re-classification rule post load, or value-code mapping during load.

Decision tables must be prepared closer to the report submission period. In some cases, reclassification of multiple dimensions that result in a single unified reporting dimension must be performed in order to address the complexity of the decision table. Reclassification rule is defined in OFSAA and packaged as part of the OFSAA Risk Regulatory Reporting (REG REP) Solution.

In some cases, certain sections of the schedule or the entire schedule can be a list of data rows without any mapping to a fixed set of dimension members. For example, Top 20 counterparties, List of Available for Sale (AFS) - securities. In such cases, since there are no cell references, decision table mapping specifies the names of dimensions and measures of derived entities in the 'sheet' column or 'row' column of the template.

NOTE As a part of the solution, metadata exists as ready-to-use or pre-configured with the installer.

8 Executing Run through Process Modelling Framework in OFS REG REP APME

Process Modeling Framework (PMF) is a design and execution framework that enables the Process Pipeline developers to implement various Pipelines modeled by the Business Analysts. The Process Pipeline developers use the framework to orchestrate the Business Pipelines and the Run Pipelines within OFSAA and to design the artifacts that participate in the Pipelines to complete their implementation.

This chapter provides information about the usage of the Process Modeling Framework (PMF) feature in the Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions (OFS REG REP APME) application.

> **NOTE** For detailed information about the Process Modeling Framework (PMF) feature in OFSAA, see the Process Modelling Framework Orchestration Guide.

This chapter includes the following topics:

8.1 Overview

In OFS REG REP APME, Process Modelling Framework (PMF) is used to create a Run definition in a Run process. The visual representation of the Run is enabled through PMF by the construction of a Run Pipeline. PMF is a feature in parallel to the Run Management feature. Through the PMF, you can execute the following Ready-to-use Runs for data loading:

- Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions (OFS REG REP APME) Sourced Run
- Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions (OFS REG REP APME) Execution Run

8.2 Designing a Pipeline in OFS REG REP APME

You can design the process flow diagrams for both the processes (Business Process Pipeline and Run Pipeline). This is an example of a process flow diagram for a Run Pipeline (for OFS REG REP APME Sourced Run).

After you create, design, and define the process in the process flow diagram, you must assign values to the Run parameters, and execute the Run. You can execute a Run Pipeline from the UI or using a command-line utility called `wfExecExternal.sh`.

This section includes the following topics that describe the Run Pipeline execution from the UI:

- Selecting the Run Parameters and Executing the Run
- Verifying the Run Execution
- Verifying the Execution Logs

> **NOTE** For information about executing the Run Pipeline using a command-line utility, see the section *Using Command Line Utility* in the Process Modelling Framework Orchestration Guide.

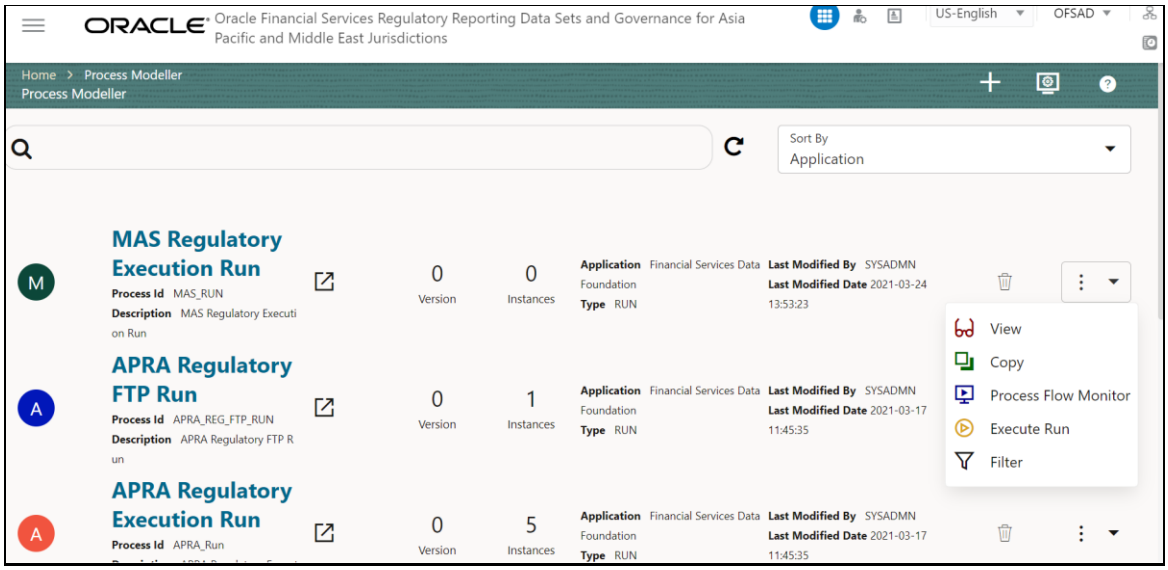
8.2.1 Selecting the Run Parameters and Executing the Run

After designing and saving the process flow diagram, the Process is listed in the *Process Modeller* page.

To select the Run parameters and execute the Run, follow this procedure:

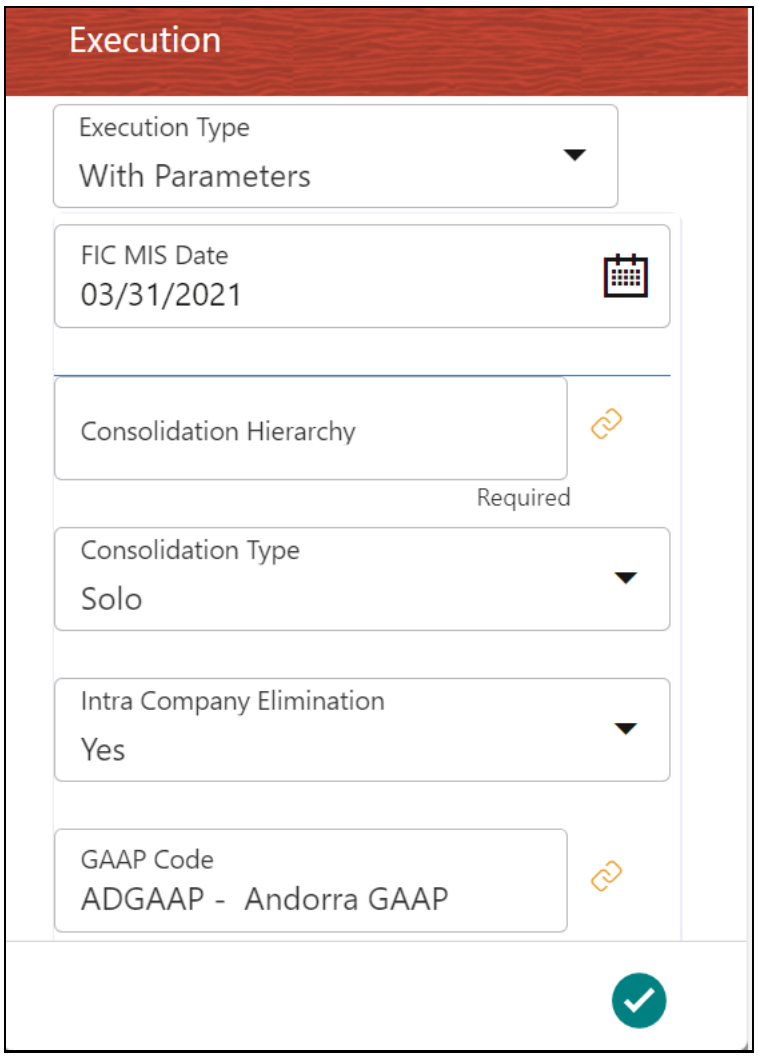
1. After logging into OFSAAI applications page, navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions**, select **Process** and then select **Process Modeller**.
2. In the **Process Modeller** page, click **More** corresponding to the Run Pipeline that must be executed.

Figure 232: Process Modeler Page



3. When you click **Execute Run**, the **Select Run Params** window is displayed.

Figure 233: Select Run Parameter Screen



4. Select the **Execution Type** as **With Parameters** from the dropdown list.
5. Select or enter the required values for each field as follows.

Table 32: Run Parameter Fields and Descriptions

Field Name	Description or Instruction
TEMPLATE_NAME	Enter the template name of the run.
Reporting Currency	Enter the Reporting Currency Code used to calculate the amount during the data population in the target table.
Legal Entity	Select the Legal Entity Code to identify the legal entity used for the Run.
Consolidation Type	Select the Consolidation Type of legal entities on a solo or consolidation basis. In a Solo Run, only the selected legal entity is used. In a Consolidated Run, along with the selected legal entity, all its child legal entities are also used.

Field Name	Description or Instruction
Intra Company Elimination	Select the Intra Company Elimination type to eliminate (YES) or skip the elimination (NO) of Intra Company Accounts during a Consolidated Run.
Consolidation Hierarchy	Enter the Legal Entity Hierarchy used for the consolidated run. This parameter is not required for the Solo Run.
GAAP Code	Enter the required accounting standard.
FIC MIS Date	Select the extraction date.
Run Execution Description	Enter a longer description of the Run.

6. When you click **OK** button, the Run execution begins. The **Select Run Params** window closes.

> **NOTE** The execution of the Run Pipeline is triggered using the selected FIC MIS DATE. The Run SKey is generated and inserted into the DIM_RUN table. For the Run SKey generated, the corresponding user-selected Run parameters are inserted into the RUN_EXE_PARAMETERS table.

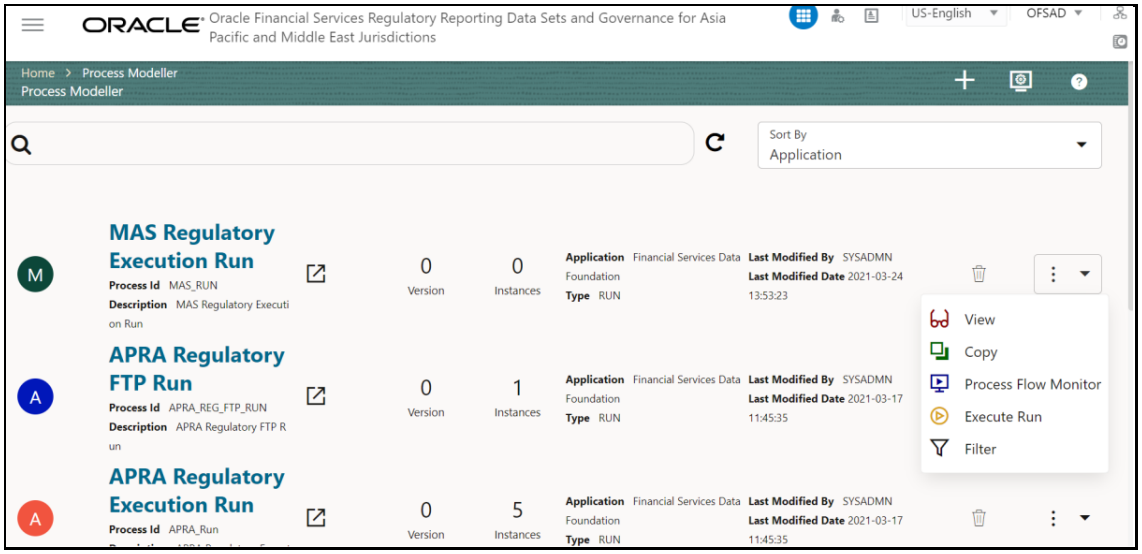
8.2.2 Verifying the Run Execution

After selecting the Run parameters and beginning the Run execution, verify the progress of the Run.

To verify the Run execution progress, follow this procedure:

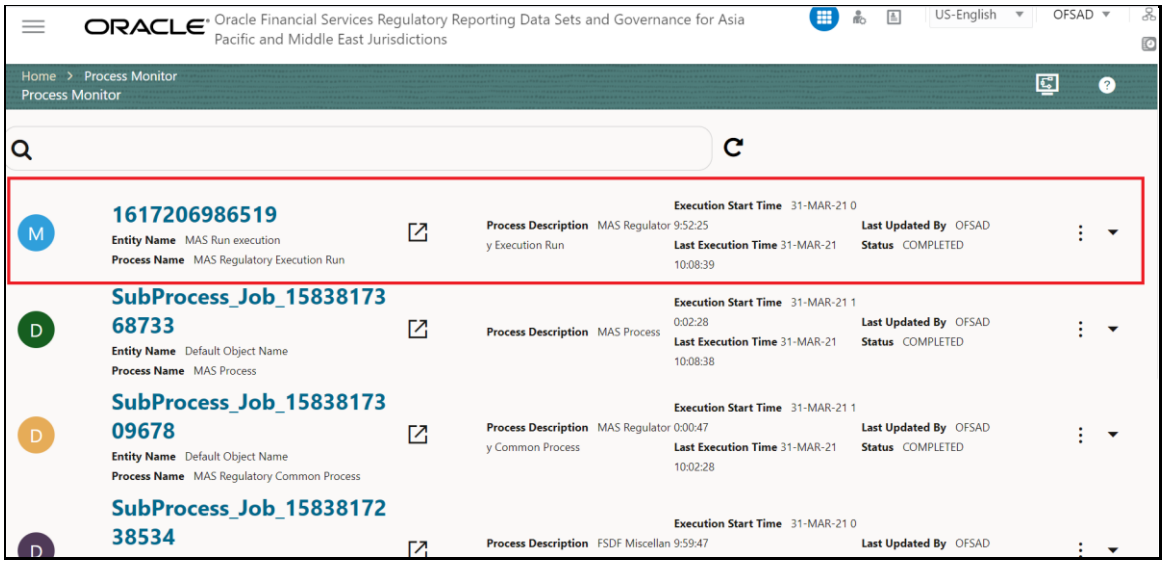
1. In the **Process Modeler** page, click **More** corresponding to the Run Pipeline that must be verified. Click **Process Flow Monitor**.

Figure 234: Process Modeler Run Execution Screen



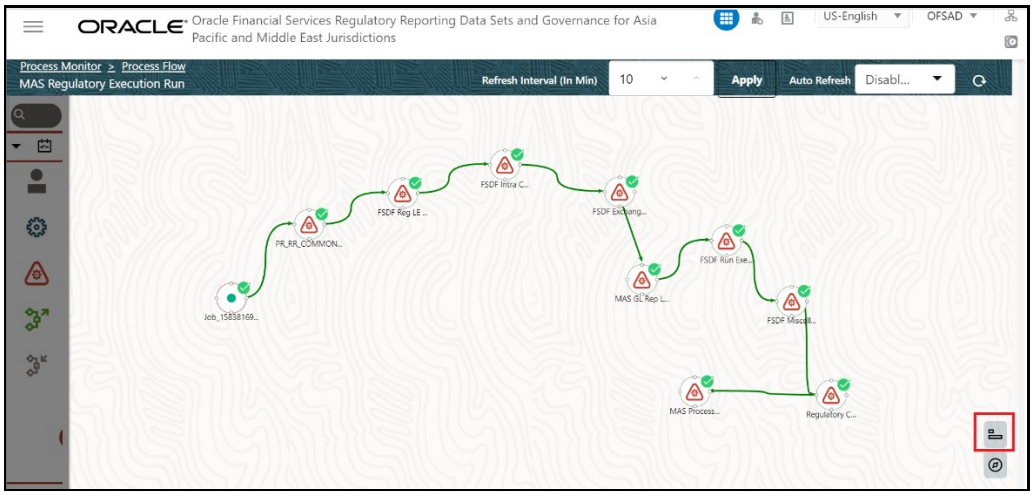
2. Select the **Process Flow Monitor** option from the drop-down list. The **Process Monitor** window is displayed. You can see the generated process flow ID, the Run execution timestamp, and the status of the Run execution. To verify the Run execution status at the Pipeline level, click the corresponding process flow ID.

Figure 235: Process Monitor Screen



The process flow diagram window is displayed. The  icon at each Sub Pipeline indicates that the Run execution is successful.

Figure 236: Run Pipeline Process Flow Diagram



NOTE The  icon shows the entire label of the nodes in the Process Flow Diagram and the  icon shows the nodes navigation in the diagram.

8.2.3 Verifying the Execution Logs

You can access the execution logs to verify the details of the Run.

To verify the execution log, follow these steps:

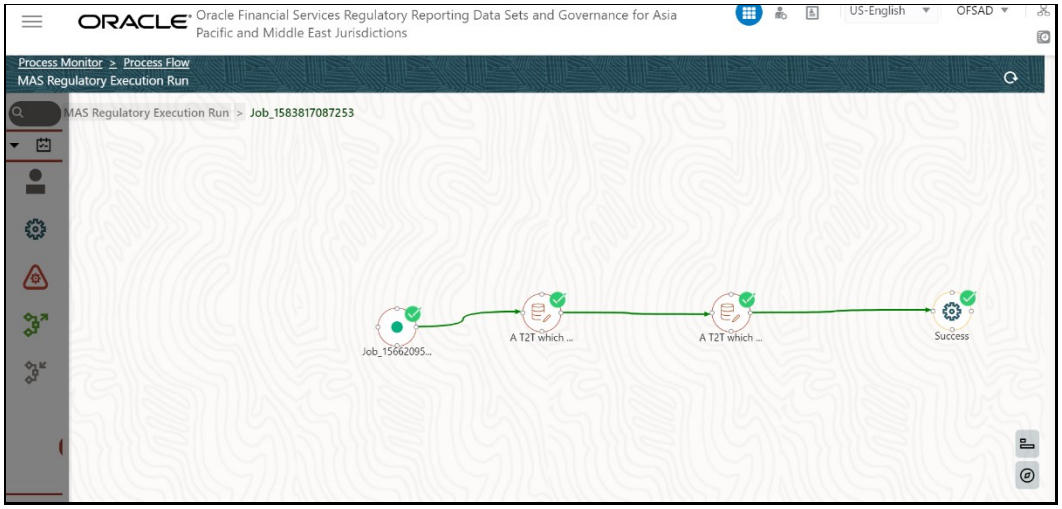
1. After logging into OFSAAI applications page, navigate to **Oracle Financial Services Regulatory Reporting Data Sets and Governance for Asia Pacific and Middle East Jurisdictions**, select **Process** and then select **Process Monitor**.
2. In the **Process Monitor** window, click the required process flow ID.
   The process flow diagram is displayed in a new window.

   Figure 237: Sub Pipeline

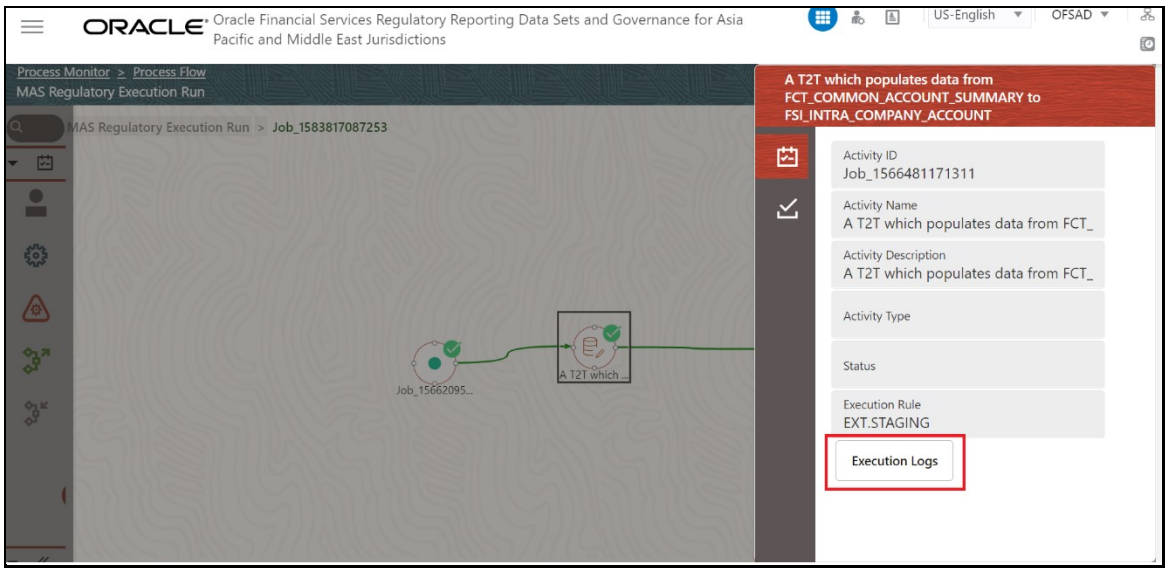
3. Click the required metadata to verify the execution log.

   Figure 238: Execution Logs

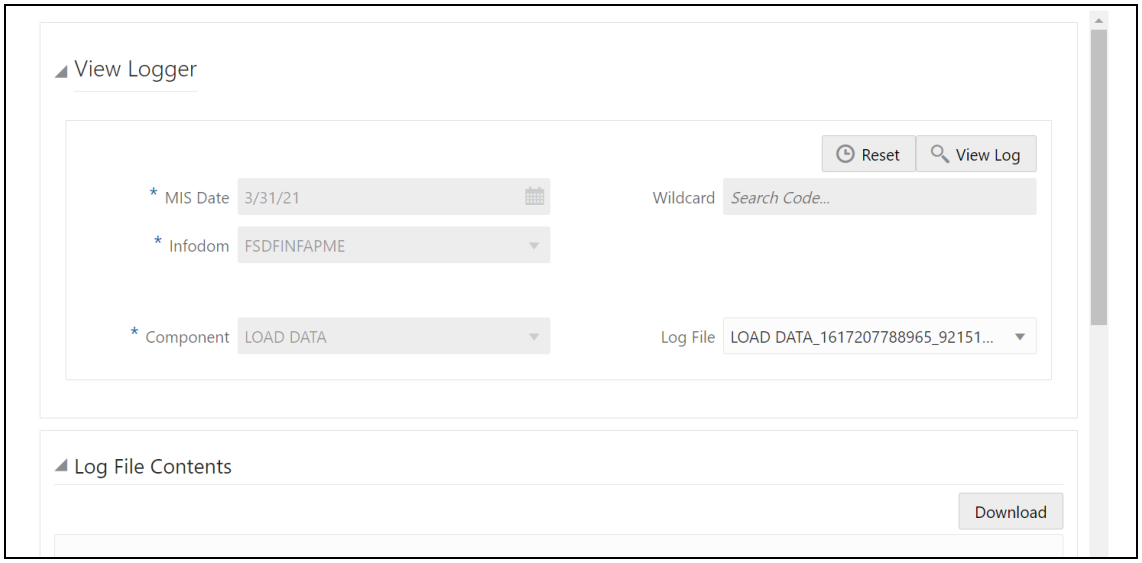
   

4. Click the required node and the Activity window is displayed.

Figure 239: Activity Logs

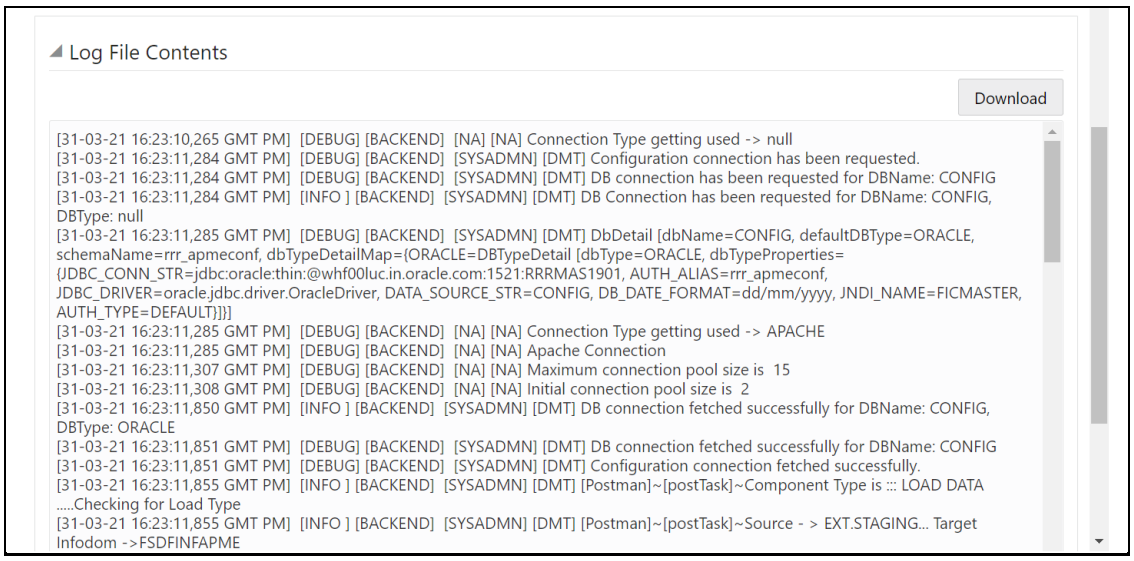


5. Click **Execution Logs**. The Log File details page is displayed.



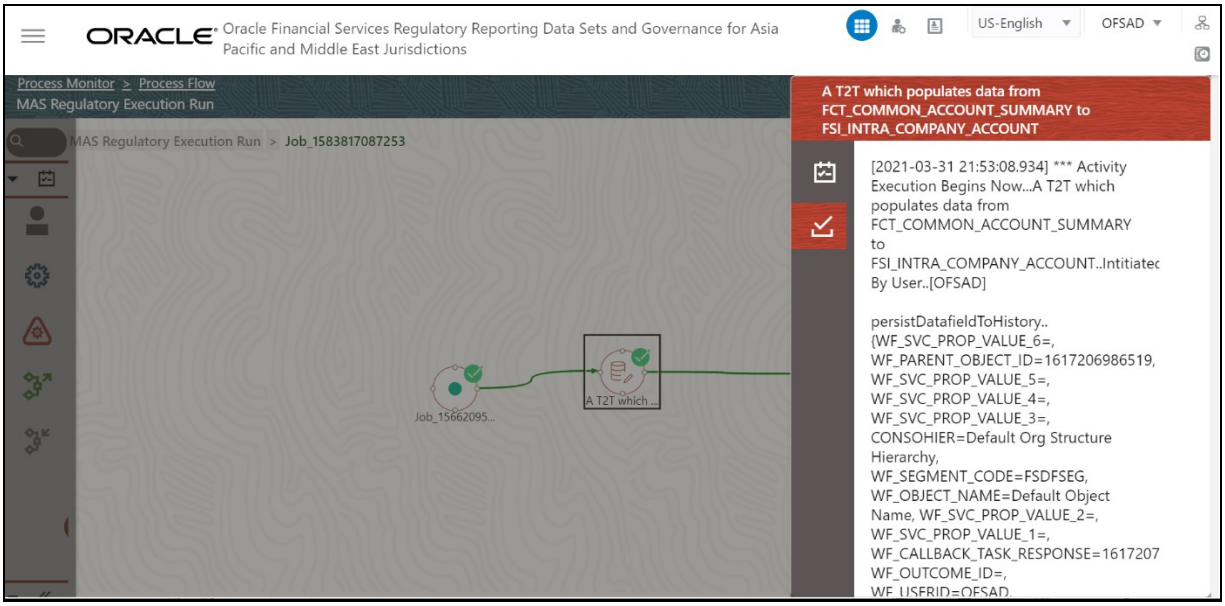
6. Select the **Log File** that you wish to view from the drop-down list and click **View Log**. The Run execution log details are displayed.

Figure 240: View Run Execution Log window



Alternatively, to verify the execution logs, click the  icon in the Process flow diagram window. The log details of the Run execution are displayed in a new window.

Figure 241: Run Execution Logs



For detailed information about the complete functioning of the PMF, see the Process Modelling Framework Orchestration Guide.

9 Report Submission

This chapter provides an understanding of the report submission process.

Topics:

9.1 Report Submission: AgileREPORTER to Regulator

After OFSAA has prepared and hands off the data as required to Lombard Risk, the subsequent activities are performed within the AgileREPORTER.

Lombard takes care of the report format as per the regulatory requirement, which may be eXtensible Business Reporting Language (XBRL)/ XML/ Excel/.Data/ XML and so on.

9.2 Edit Checks or Validity Check or Quality Checks

The AgileREPORTER carries out the report level or submission check comprising Edit Checks or Validity Checks, or Quality Checks as provided by the regulator.

> **NOTE** See the AgileREPORTER user documentation provided by Lombard Risk, for details of activities within the AgileREPORTER.

9.3 Report Templates to be used in AgileREPORTER

The latest report templates including previous versions available in AgileREPORTER are listed as follows.

Table 33: Report Names or Templates

Report Name	Report Template
ARF7200A_V1	ARF7200A_V1
ARF7200B_V1	ARF7200B_V1
ARF7201A_V1	ARF7201A_V1
ARF7201B_V1	ARF7201B_V1
ARF7202A_V1	ARF7202A_V1
ARF7202B_V1	ARF7202B_V1
ARF7203_V1	ARF7203_V1

Report Name	Report Template
ARF7204_V1	ARF7204_V1
ARF7205_V1	ARF7205_V1
ARF7206_V1	ARF7206_V1
ARF7207_V1	ARF7207_V1
ARF7210A_V1	ARF7210A_V1
ARF7210B_V1	ARF7210B_V1
ARF7230_V1	ARF7230_V1
ARF7300_V1	ARF7300_V1
ARF7301_V1	ARF7301_V1
ARF7410_V1	ARF7410_V1
ARF7420A_V1	ARF7420A_V1
ARF7420B_V1	ARF7420B_V1
ARF7430_V1	ARF7430_V1
ARF7440A_V1	ARF7440A_V1
ARF7440B_V1	ARF7440B_V1
ARF7450_V1	ARF7450_V1
ARF7460A_V1	ARF7460A_V1
ARF7460B_V1	ARF7460B_V1
ARF7470A_V1	ARF7470A_V1
ARF7470B_V1	ARF7470B_V1
ARF7480A_V1	ARF7480A_V1
ARF7480B_V1	ARF7480B_V1

9.4 Supported Report Template Version and Activation Date

The AgileREPORTER contains the details of the Report template version and the activation date of the same. This can be accessed by selecting the Entity setup option in the Settings menu which enables you to Add, Modify, and Delete Entities. Click on an existing Entity to access report templates according to version and the activation date, and assign the necessary privileges as required.

Figure 242: AgileREPORTER Entity Setup for APRA

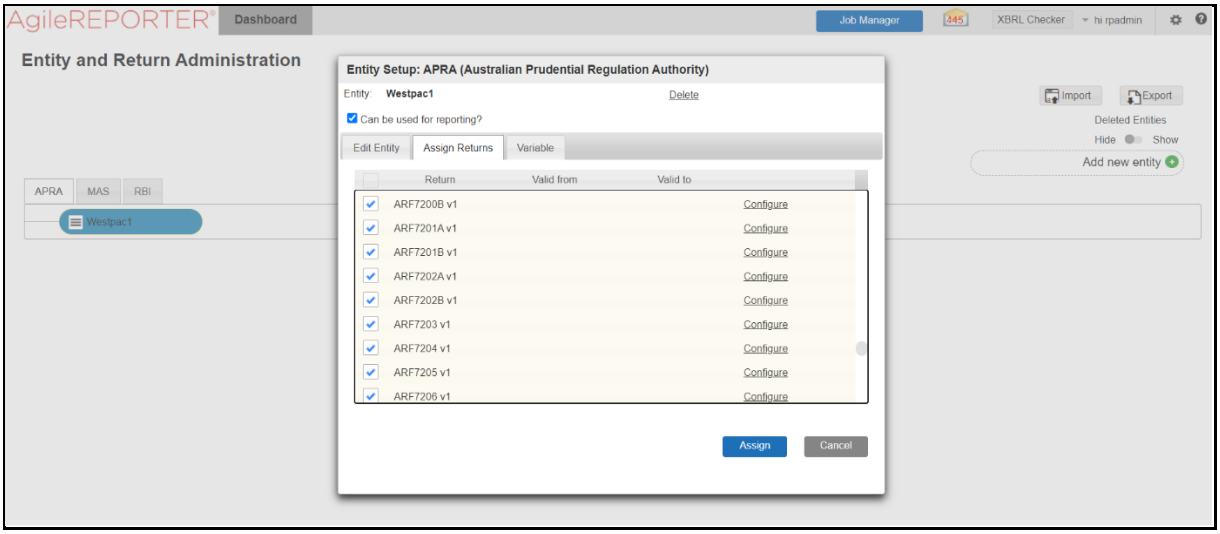


Figure 243: AgileREPORTER Entity Setup for MAS

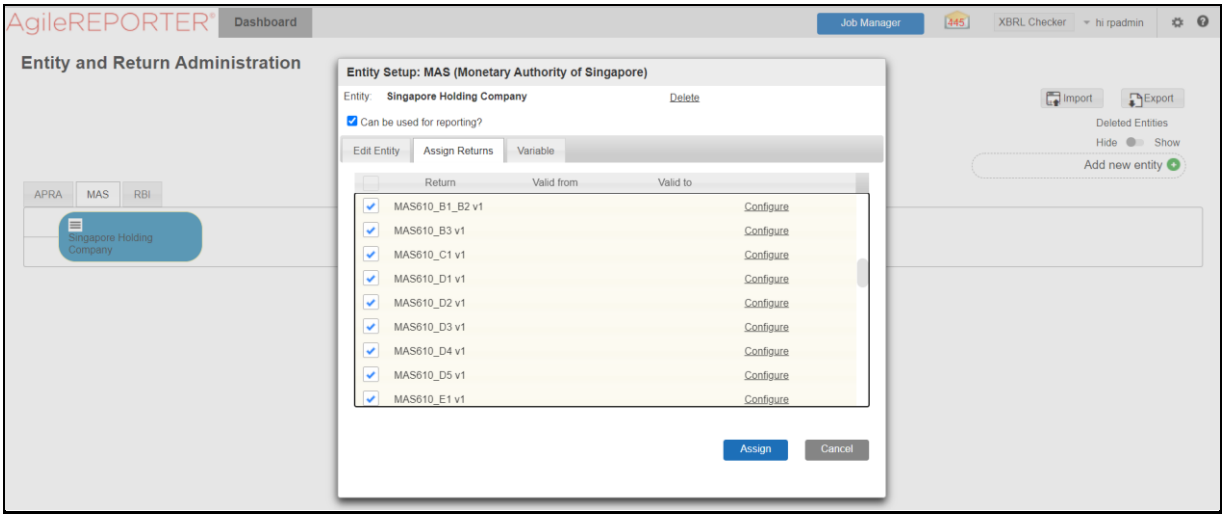
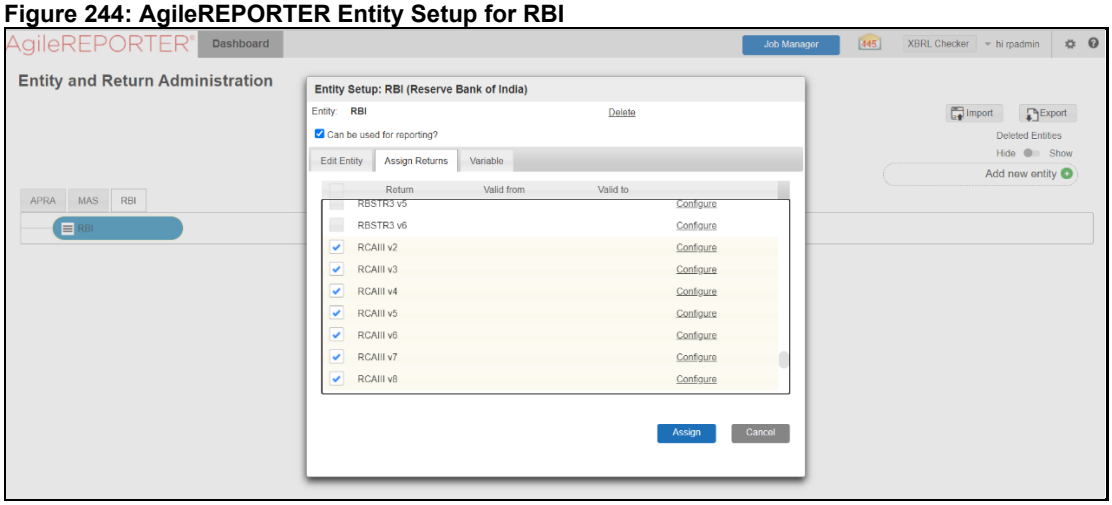


Figure 244: AgileREPORTER Entity Setup for RBI



10 Maintenance

This chapter provides an understanding of the maintenance process for the regulatory templates.

Changes to the regulatory template are one of the most common and continuous activity. The following steps help to assess the impact (You can replace the measure, dimension for existing data warehousing configuration pack using the below process):

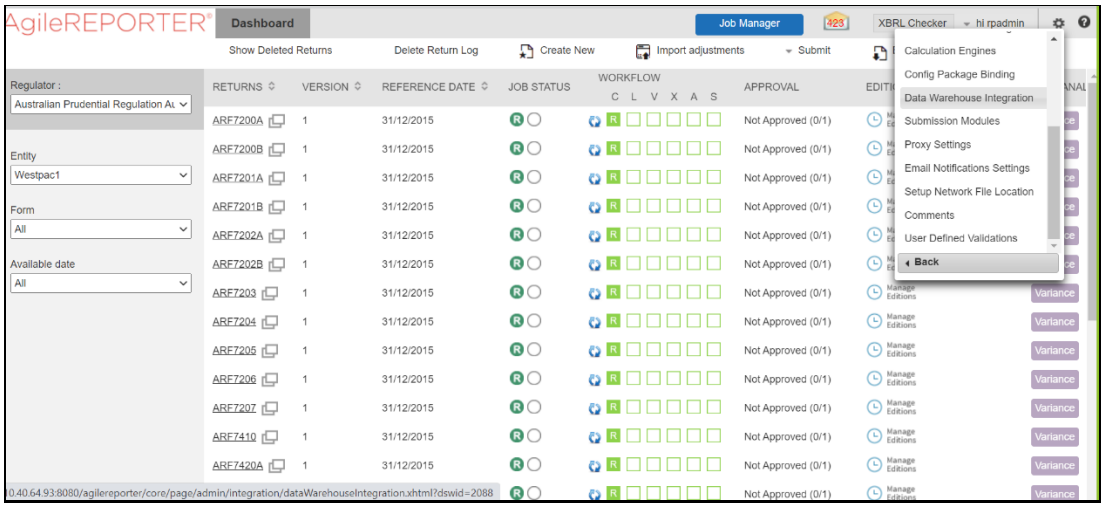
- Choosing different execution as a final. After report verification, if the requirement is to change the execution, then you must visit **Error! Reference source not found.** section. After making these changes you must refresh Derived Entities (Executing Batch to Resave Derived Entities). Then AgileREPORTER also must retrieve returns so that revised data is reflected on AgileREPORTER.

1. If Executing Batch to Resave Derived Entities is not working, you can look for Batch Operation Log files. For file path, see the OFS Analytical Applications Infrastructure Installation and Configuration Guide.

- To update the revised data warehouse configuration pack, perform the following instructions.

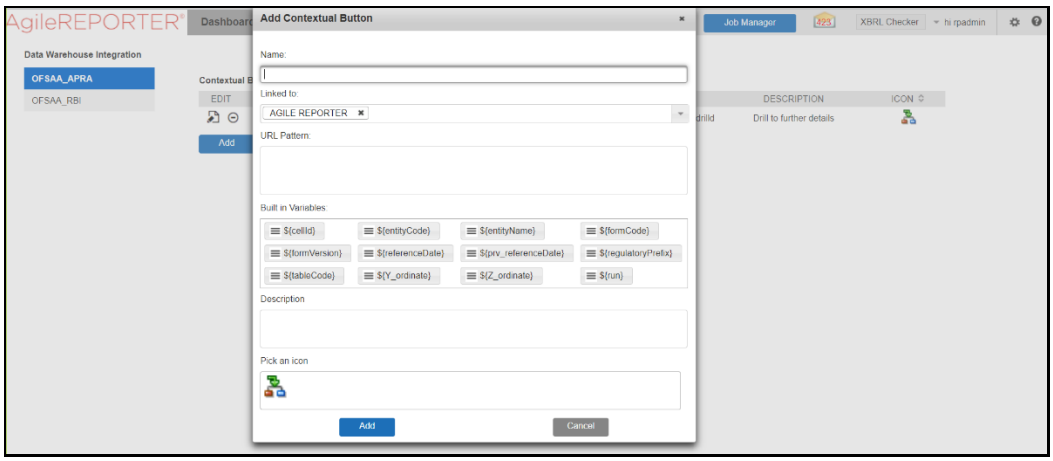
   a. Click *Settings → Administration → Data Warehouse Integration*.

   Figure 245: Data Warehouse Integration page



   b. Click **Add** to add a contextual button.

Figure 246: Adding Contextual Button window



c. Enter details of the contextual button.

Name: It is the text that must be displayed in the contextual button.

URL Pattern: Replace `<<OFSAA_HOST>>`, `<<OFSAA_PORT>>` and `<<OFSAA_CONTEXT>>` with host, port and web context of the environment where OFSAA is installed. Replace `<<OFSAA_HOST>>` with the name of information domain.

`http://<<host:port>>/OFSAA/drilldown/${regulatoryPrefix}/${formCode}/${cellId}/${formVersion}/${referenceDate}/${run}/${entityCode}`

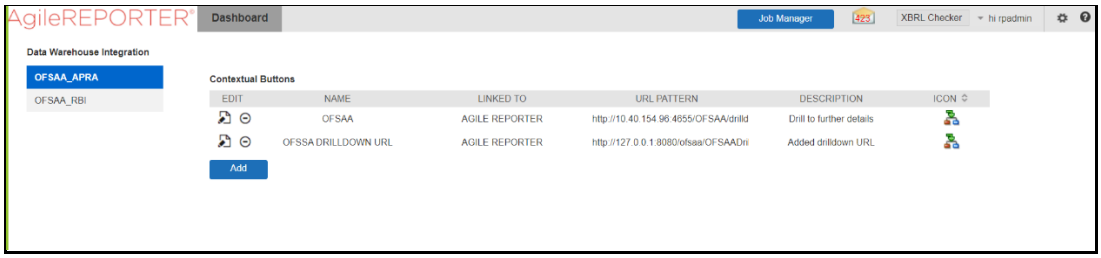
Example:
http://127.0.0.1:8080/ofsaa/OFSAADrilldown/drilldown.jsp?cellid=${cellId}&infodom=OFSFSDFINFO&legalentity=${entityCode}&run=${run}&date=${referenceDate}&regulator=${regulatoryPrefix}&report=${formCode}

i. Use http or https depending on the protocol configured for OFSAA.

ii. Pick an icon.

d. Click **Add** to save the details.

Figure 247: Contextual Button Added page



- After the data ware configuration pack is updated, the Lombard Configuration pack must reflect this.

> **NOTE** See AgileREPORTER user documentation for details.

11 Troubleshooting Guidelines

This section covers troubleshooting guidelines to the use of Oracle Financial Services Regulatory Reporting Integration with AgileREPORTER, hereafter called Integration.

Integration users provide the data inputs through the OFSDF where data is loaded, processed and results are made available for reporting purposes. The integration package then makes this data available in required formats to AgileREPORTER. In AgileREPORTER, this data is then aggregated according to the reporting requirements and you can view this from AgileREPORTER User Interfaces designed for the Viewing or Editing of this aggregated data.

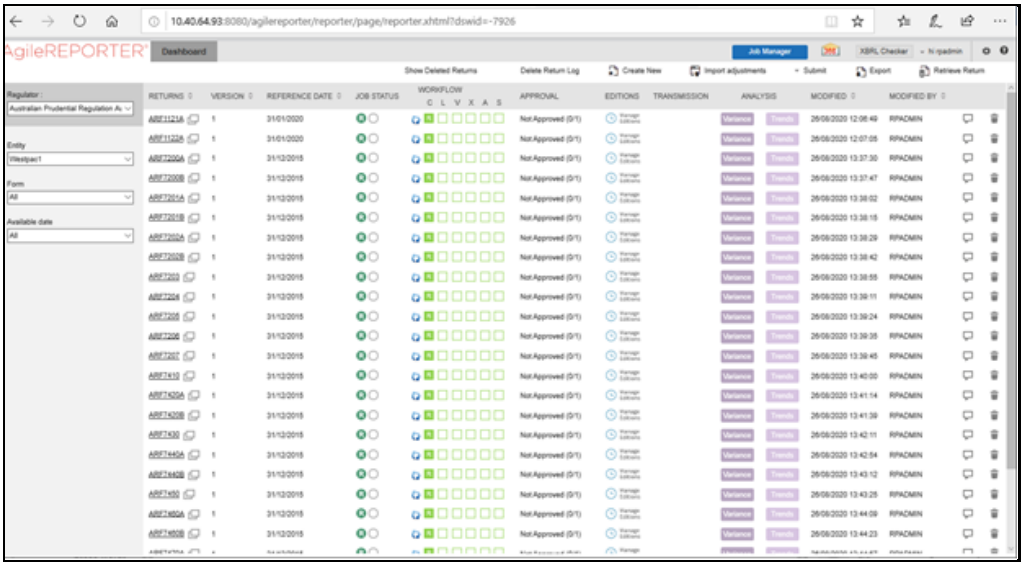
This section provides detailed guidelines on how to troubleshoot the data issues tracing back the data flow from AgileREPORTER.

Topics:

11.1 Prerequisites

It is assumed that you can log in and see the following menus and respective reports in AgileREPORTER.

Figure 248: AgileREPORTER



This means configurations activities for the AgileREPORTER and OFSAA are completed. Set up activities for Entity is done and reports templates, as shown above, are available for viewing. Report Names shown in the figure are for illustration purpose and the actual name depends on the integration pack licensed.

11.2 Troubleshooting Use Cases

The use cases described for swift troubleshooting are as follows.

Topics:

11.2.1 Unable to Generate Report

If you are unable to generate reports, meaning none of the derived entities referred to in the report has rows for the LE/date combination, then you must refer to Installation Manuals of AgileREPORTER or OFSAA Integration pack for further instructions and steps to be followed.

If the process mentioned in Installation Manual is correctly followed and still report list is not available then you are requested to log in the bug/service request with Lombard Risk.

11.2.2 Data Unavailable in AgileREPORTER

This is a use case where you are logged in to AgileREPORTER and selected a particular regulatory report for the appropriate entity and As of Date, but unable to generate the report.

11.2.2.1 Fetching Null or Zero Values

AgileREPORTER is showing either Zero or Null values. It indicates that Derived Entities has data (however, all required filer conditions are not matching and resulting in zero value output) or Derived Entity does not have data at all.

Figure 249: Fetching Null Values

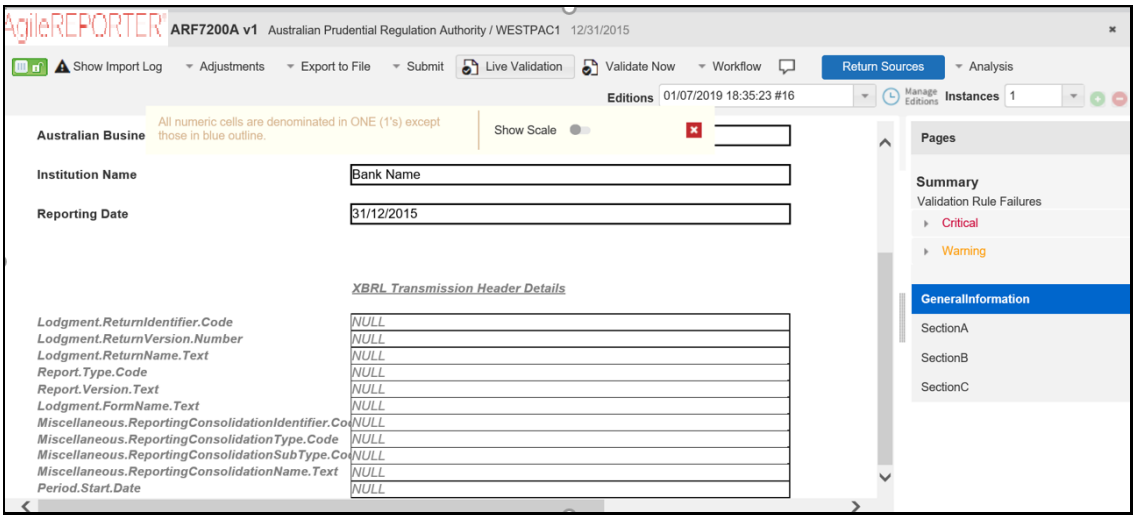
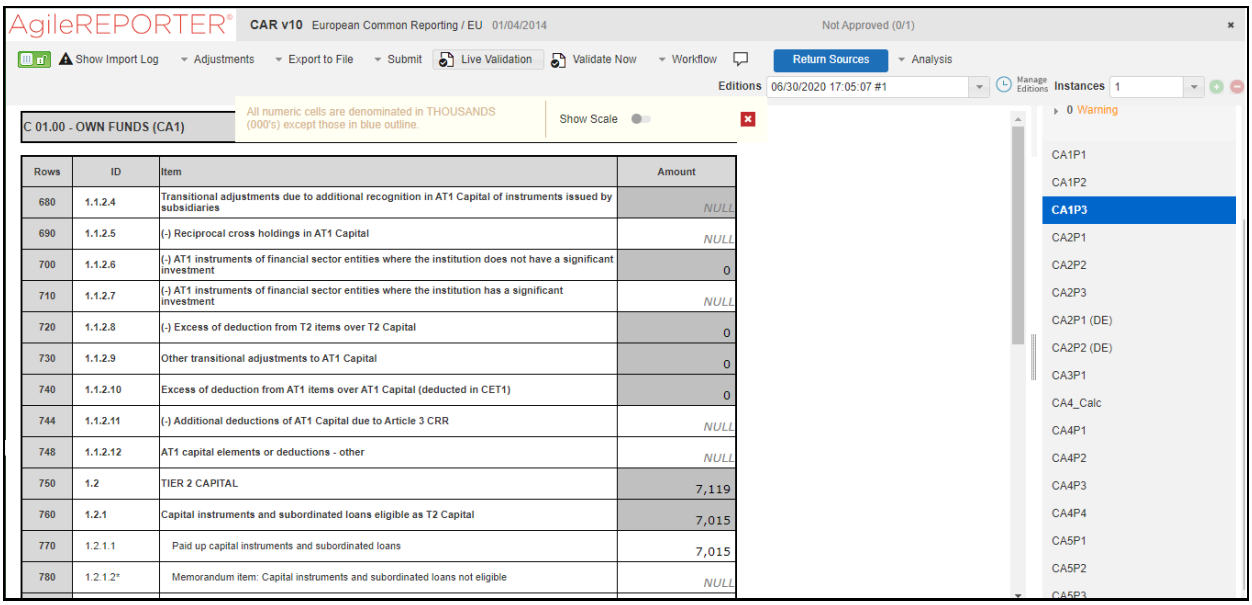


Figure 250: Fetching Zero Values



Rows	ID	Item	Amount
680	1.1.2.4	Transitional adjustments due to additional recognition in AT1 Capital of instruments issued by subsidiaries	NULL
690	1.1.2.5	(-) Reciprocal cross holdings in AT1 Capital	NULL
700	1.1.2.6	(-) AT1 instruments of financial sector entities where the institution does not have a significant investment	0
710	1.1.2.7	(-) AT1 instruments of financial sector entities where the institution has a significant investment	NULL
720	1.1.2.8	(-) Excess of deduction from T2 items over T2 Capital	0
730	1.1.2.9	Other transitional adjustments to AT1 Capital	0
740	1.1.2.10	Excess of deduction from AT1 items over AT1 Capital (deducted in CET1)	0
744	1.1.2.11	(-) Additional deductions of AT1 Capital due to Article 3 CRR	NULL
748	1.1.2.12	AT1 capital elements or deductions - other	NULL
750	1.2	TIER 2 CAPITAL	7,119
760	1.2.1	Capital instruments and subordinated loans eligible as T2 Capital	7,015
770	1.2.1.1	Paid up capital instruments and subordinated loans	7,015
780	1.2.1.2*	Memorandum item: Capital instruments and subordinated loans not eligible	NULL

You must validate as:

1. Derived Entity has data:
   a. Execute the Derived Entity / Materialized views to check if Derived Entity has data or not.
   b. If Derived Entity / materialized view has data but not showing in AgileREPORTER, you must log a Bug / Service Request with Lombard Risk.
2. Derived Entity does not have data:
   a. Execute the Derived Entity / Materialized views to check if Derived Entity has data or not.
   b. If Derived Entity does not have data, then check the Business Metadata excel for a given schedule.
   c. Check Worksheet titled *Derived Entity* in Business Metadata excel. Get all the derived entities for a given schedule.
   d. Get dataset for each derived entity.
   e. Execute datasets in OFSAA FSDF Atomic Schema to check if data is available for a given dataset joins.
   f. If data is available in dataset queries, you must log a Bug / Service Request with AgileREPORTER.
   g. If data is not available in the dataset, then check if a selection of Entity, Available Date (as of date) is appropriate and required executions are available. If Entity, As of Date and Run executions are correct and still data is not available, then you must log a Bug / Service Request with My Oracle Support.

11.2.3 Data Available in AgileREPORTER but Not as Expected

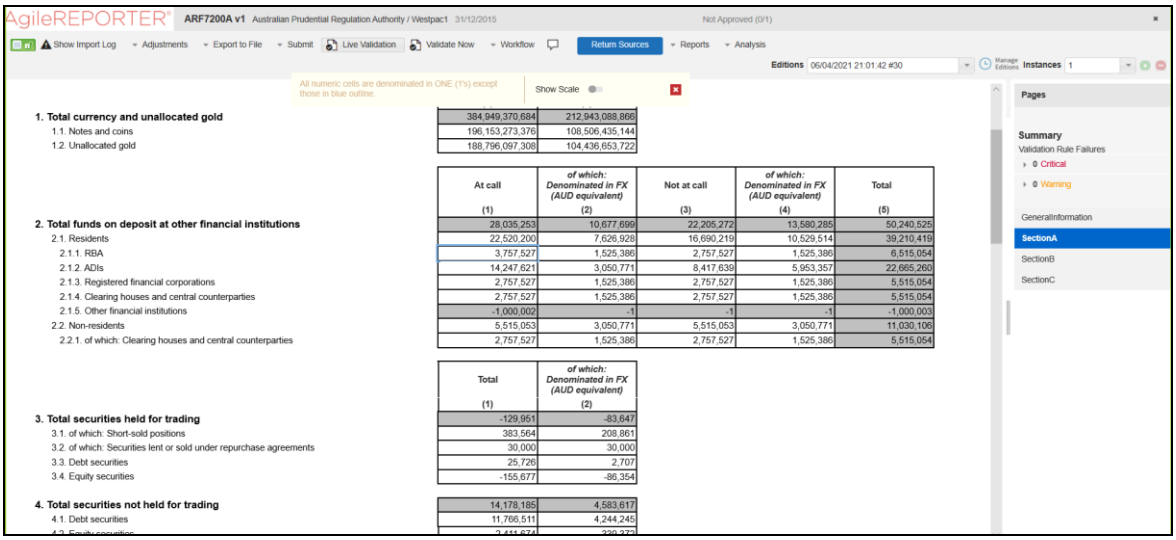
This use case where you can reference data for a required cell of a schedule in AgileREPORTER; however, the value shown differs from the expected value.

Let us take the following example to illustrate the steps to be followed. This refers to Section A from ARF720_0A report. Particular cell referred here is BSAO27424:

2. Total funds on deposit at other financial institutions:

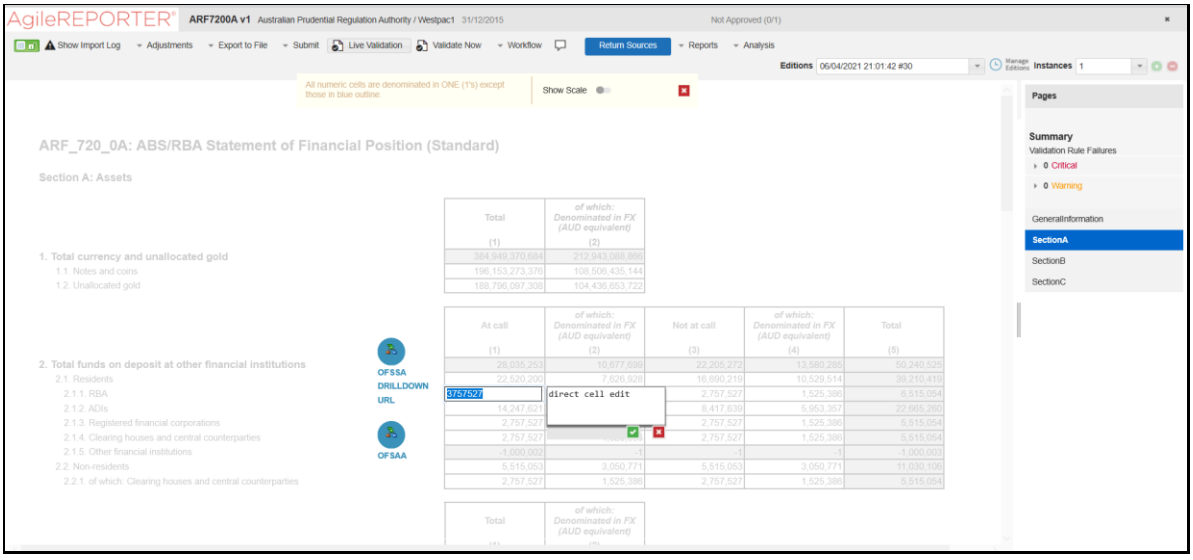
(2.1) Residents:

Figure 251: Section A from ARF7200A Report



You can drill down for each cell to check the details of data as to what is included in the aggregation. To drill down, click the value of a particular cell and it is shown highlighted. It shows the OFSAA data lineage icon on clicking as shown in **Error! Reference source not found.**.

Figure 252: Drill down OFSAA Icon

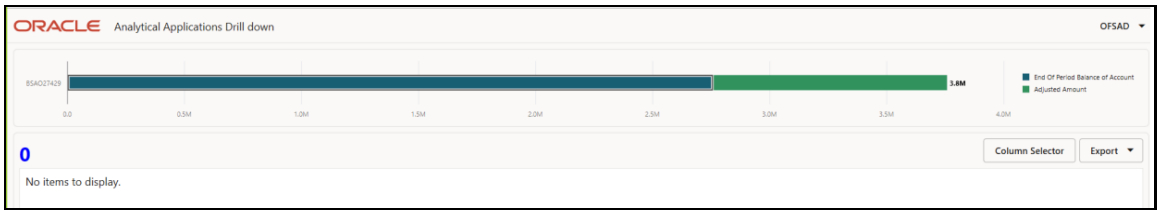


Ensure that you are logged into the OFSAA infrastructure before clicking the **Drill down** icon.

- If you are not already logged in, clicking here opens the OFSAA infrastructure login window. Log in using appropriate credentials and come back to Report Portal and click the same **Data Lineage** icon again.

- If you are already logged in to OFSAA Infrastructure, the Data Lineage first page opens as shown in **Error! Reference source not found.**.

Figure 253: AgileREPORTER Drill-down



- The upper pane of this screen shows the following information which helps to connect the AgileREPORTER aggregated data to OFSAA references.

  a. Run Execution ID: This refers to the OFSAA Execution ID chosen for a given report.

  b. Date: This refers to AS OF DATE selected for a given report.

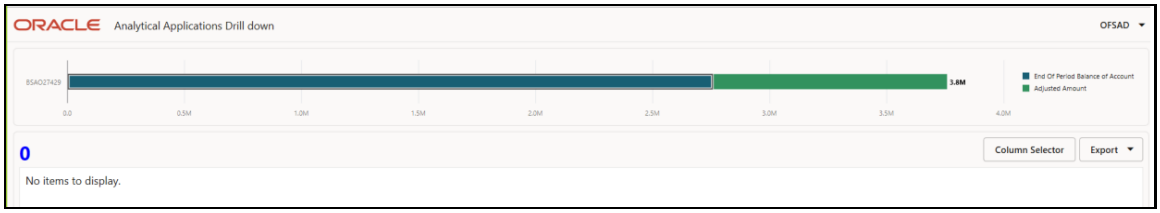
  c. Legal Entity: This refers to the OFSAA Legal Entity for whom the report is generated.

  d. Reference Identifier: This is the cell reference for which data drill down / lineage is being checked.

  The lower pane displays all hierarchies with values used in a given Derived Entity and measures aggregated for a given combination of hierarchy values.

  To refer the measure values, scroll rightwards using the horizontal scroll bar at bottom of the lower pane. On the extreme right, measures are displayed as shown in **Error! Reference source not found.**:

Figure 254: Measure Values



Only measure values are hyperlinked indicating that they can be drilled down further. On clicking the amount, second-level drill-down shows the lowest granularity data available for a given cell reference.

Topics:

- Using Drill Down with Data Lineage View
- Drill down View is Unavailable

11.2.3.1 Using Drill Down with Data Lineage View

Data Analysts or you can then compare these accounts and their respective monetary amounts with expected values. One can check the following:

1. All required accounts are shown in the aggregation
2. Unwanted accounts are not included in the aggregation
3. Measures / Monetary amounts at account granularity are as expected.

Any deviation from expectations can be then checked back for:

4. If the measure is stage pass through, then validate using T2T to verify if stage data is as expected or must be corrected.
5. If a measure is processed, then validate using T2T to verify processing measure is correctly moved to the result area.
6. If reclassified hierarchies are showing unexpected values, check Rules and source hierarchies of rules. This use case needs close verification to ensure that all source hierarchies have required values or Rule sequence which can lead to overwriting the values.
7. If all the source data is as expected and the result area is now showing unexpected output, then log a Bug or Service Request with My Oracle Support.

11.2.3.2 Drill down View is Unavailable

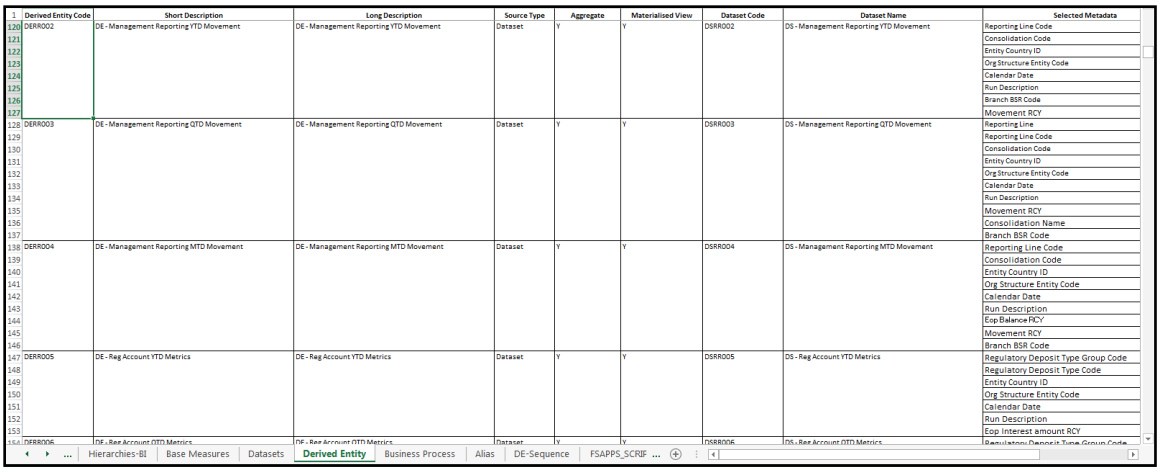
If the second block does not show any data, then data analysts or you are advised to see the Dataset worksheet of Business Metadata.

Figure 255: Drill down Data Unavailable

There can be a few reasons why the drill down screen does not show the data:

1. Internet connection is timed out or broken down - in this case clicking Data Lineage on AgileREPORTER results in a drill down page. To rectify this, re-login to OFSAA infrastructure and AgileREPORTER.
2. Drill down data view works after Metadata is published using OFSAA Infrastructure to validate if Metadata is properly published or not.
3. If Metadata is published and the drill down screen still does not show the data, then start with Derived Entity code shown at the beginning of the drill down screen. This Derived Entity code is available even if data is unavailable.
4. Using this Derived Entity code, data analysts are advised to see the OFSAA Business Metadata document with the worksheet name as *Derived Entity*. Sample Business Metadata excel is shown in the following **Error! Reference source not found.**:

Figure 256: Business Metadata-1

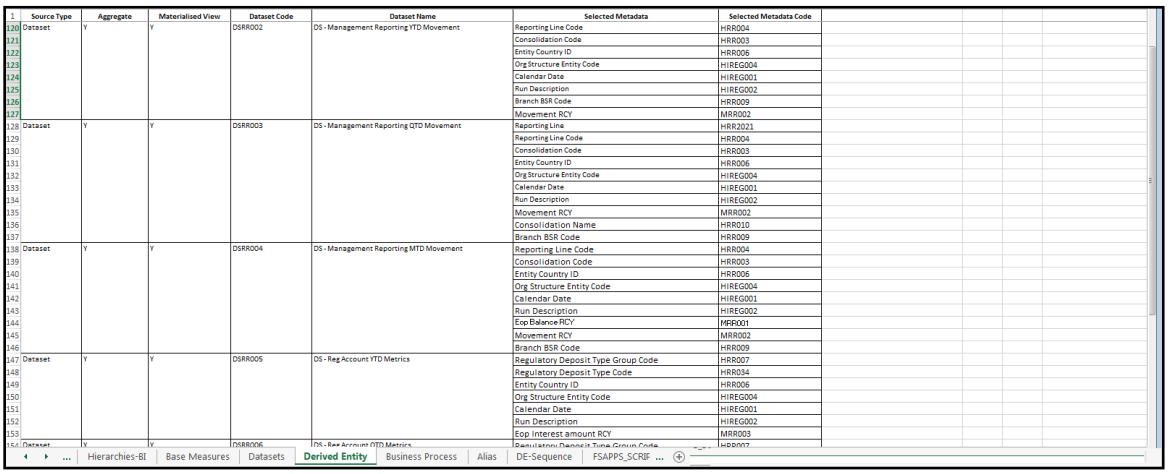


Derived Entity Code	Short Description	Long Description	Source Type	Aggregate	Materialised View	Dataset Code	Dataset Name	Selected Metadata
DERR002	DE - Management Reporting YTD Movement	DE - Management Reporting YTD Movement	Dataset	Y	Y	DSRR002	DS - Management Reporting YTD Movement	Reporting Line Code
								Consolidation Code
								Entity Country ID
								Org Structure Entity Code
								Calendar Date
								Run Description
								Branch BSR Code
								Movement RCY
DERR003	DE - Management Reporting QTD Movement	DE - Management Reporting QTD Movement	Dataset	Y	Y	DSRR003	DS - Management Reporting QTD Movement	Reporting Line
								Reporting Line Code
								Consolidation Code
								Entity Country ID
								Org Structure Entity Code
								Calendar Date
								Run Description
								Movement RCY
								Consolidation Name
								Branch BSR Code
DERR004	DE - Management Reporting MTD Movement	DE - Management Reporting MTD Movement	Dataset	Y	Y	DSRR004	DS - Management Reporting MTD Movement	Reporting Line Code
								Consolidation Code
								Entity Country ID
								Org Structure Entity Code
								Calendar Date
								Run Description
								Eop Balance RCY
								Movement RCY
								Branch BSR Code
DERR005	DE - Reg Account YTD Metrics	DE - Reg Account YTD Metrics	Dataset	Y	Y	DSRR005	DS - Reg Account YTD Metrics	Regulatory Deposit Type Group Code
								Regulatory Deposit Type Code
								Entity Country ID
								Org Structure Entity Code
								Calendar Date
								Run Description
								Eop Interest amount RCY
DERR006	DE - Reg Account QTD Metrics	DE - Reg Account QTD Metrics	Dataset	Y	Y	DSRR006	DS - Reg Account QTD Metrics	Regulatory Deposit Type Group Code

Hierarchies-BI | Base Measures | Datasets | Derived Entity | Business Process | Alias | DE-Sequence | FSAPPS_SCRIF ...

5. By referring to the Business Metadata document, you can get complete information on Derived Entity such as dataset, Fact tables, measures, hierarchies defined under particular Derived Entity.

Figure 257: Business Metadata-2



Source Type	Aggregate	Materialised View	Dataset Code	Dataset Name	Selected Metadata	Selected Metadata Code
Dataset	Y	Y	DSRR002	DS - Management Reporting YTD Movement	Reporting Line Code	HRR004
					Consolidation Code	HRR003
					Entity Country ID	HRR006
					Org Structure Entity Code	HIREG004
					Calendar Date	HIREG001
					Run Description	HIREG002
					Branch BSR Code	HRR009
					Movement RCY	MRR002
Dataset	Y	Y	DSRR003	DS - Management Reporting QTD Movement	Reporting Line	HRR2021
					Reporting Line Code	HRR004
					Consolidation Code	HRR003
					Entity Country ID	HRR006
					Org Structure Entity Code	HIREG004
					Calendar Date	HIREG001
					Run Description	HIREG002
					Movement RCY	MRR002
					Consolidation Name	HRR010
					Branch BSR Code	HRR009
Dataset	Y	Y	DSRR004	DS - Management Reporting MTD Movement	Reporting Line Code	HRR004
					Consolidation Code	HRR003
					Entity Country ID	HRR006
					Org Structure Entity Code	HIREG004
					Calendar Date	HIREG001
					Run Description	HIREG002
					Eop Balance RCY	MRR001
					Movement RCY	MRR002
					Branch BSR Code	HRR009
Dataset	Y	Y	DSRR005	DS - Reg Account YTD Metrics	Regulatory Deposit Type Group Code	HRR007
					Regulatory Deposit Type Code	HRR034
					Entity Country ID	HRR006
					Org Structure Entity Code	HIREG004
					Calendar Date	HIREG001
					Run Description	HIREG002
					Eop Interest amount RCY	MRR003
Dataset	Y	Y	DSRR006	DS - Reg Account QTD Metrics	Regulatory Deposit Type Group Code	HRR007

Hierarchies-BI | Base Measures | Datasets | Derived Entity | Business Process | Alias | DE-Sequence | FSAPPS_SCRIF ...

The Dataset ANSI Joins provides valuable information on how various entities are joined or linked together. By executing these Joins, you can confirm if data is available for given filters and conditions. If data is fetched using Dataset Joins and Data Lineage does not show data, you must log a Bug or Service Request with My Oracle Support.

OFSAA Support

Raise a Service Request (SR) in My Oracle Support (MOS) for queries related to the OFSAA applications.

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- Are the examples correct? Do you need more examples?
- What features did you like most about this manual?

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