

Exception Process User Guide

# **Oracle Banking Credit Facilities Process Management**

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Oracle Banking Credit Facilities Process Management User Guide  
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# 1 Welcome to Oracle Banking Credit Facilities Process Management

Welcome to the Oracle Banking Credit Facilities Process Management (OBCFPM) Exception Process User Manual. This manual provides an overview on the OBCFPM Exception Process flow and guides you through the various steps involved in creating and processing Credit Exception transactions.

If you need any information, look out for the help icon.

This document helps you to conveniently create and process credit exception transactions in OBCFPM

## Overview of OBCFPM Exception Process Flow

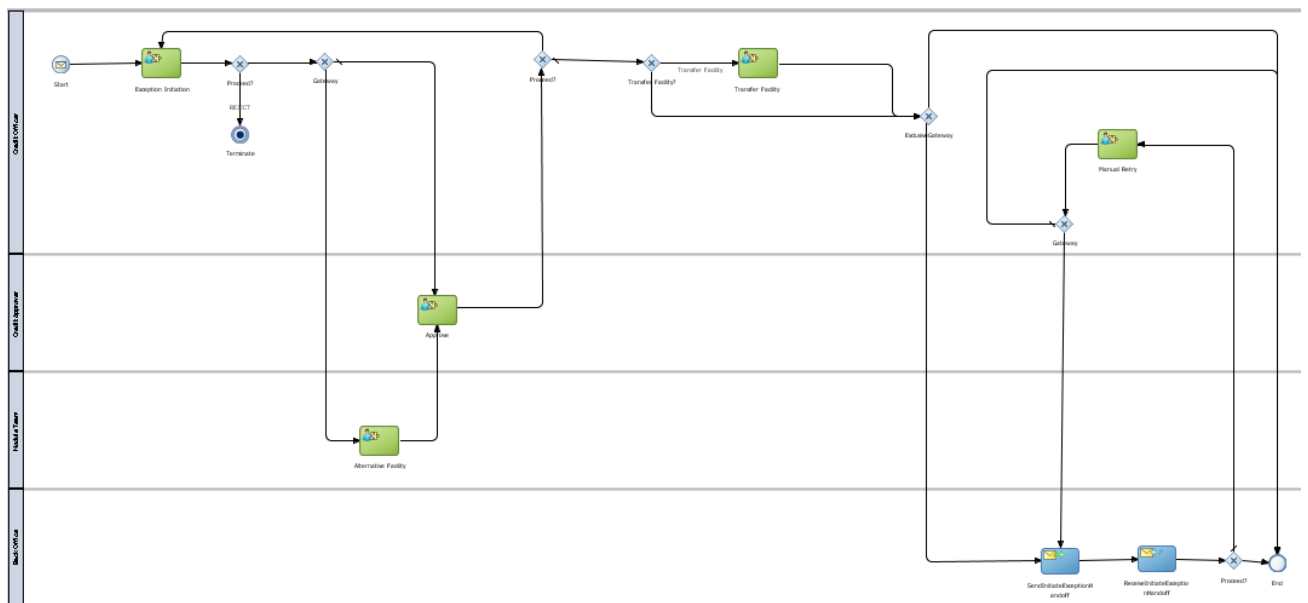
OBCFPM Exception Process flow enables to streamline the facility exceptions that arises as a part of utilization.

## 2 Credit Exception

Credit Exception process is to handle business exceptions that occurs at the time of utilization and various options that the credit officer can make use. The various activities performed for credit exception are

- Capture Exception Details
- Upload of related Mandatory and Non Mandatory documents
- Verify Documents and Capture Details
- Credit approval
- Facility Amendment (Amount/Expiry Date)
- Earmarking
- Transfer of Limits
- Receive the customer acceptance for transfer of limit

### 2.1. Credit Exception - Process Flow Diagram



The Credit Exception process has the following stages.

1. Exception Initiation
2. Alternative Facility
3. Approval
4. Transfer Limit
5. Manual Retry

## 2.2. Exception Initiation

When a limit utilization/earmark request is failing due to insufficient limit, the system should initiate a request to Exception process to handle the exception. These requests will log into Exception process under the stage, Exception Initiation. The tasks will be available in the Free Tasks list. In this stage, Credit officer looks into the credit details of the customer for whom Limit utilization failed. Based on the credit history, credit officer may decide to perform one of the following actions:

1. Increase the limit amount of the facility utilized for the differential delta amount
2. Suggest transfer of limit from another existing line of the customer the line used for the transaction
3. Suggest additional cash collateral to be collected
4. Modify the limit amount or limit expiry date for the facility
5. Reject the request.

Credit officer to provide the remarks and select the desired action.

As a user, you will be able to login to the OBCFPM application with appropriate credentials. On login, you will be able to view the dashboard screen with dashboards, widgets mapped for your user profile.

### Menu→Tasks→Free Tasks

The screenshot shows a web application interface for 'Collateral Exception'. At the top, there's a breadcrumb 'Menu→Tasks→Free Tasks'. The main header is 'Collateral Exception' with a 'Documents & Checklist' button. Below the header, there's a progress bar with 'Exception Initiation' and 'Comments' stages. The 'Exception Details' section contains the following information:

- Application Number: APP201805250062
- Application Branch: 004
- Customer Id: 063001 (with a 'Facilities' button)
- Customer Type: Corporate
- Exception Request From: LN
- Application Priority: Low (selected), Medium, High
- Application Date: (empty)
- Customer Name: RELIANCE
- Branch Name: CHENNAI
- Utilization Amount: £1,000.00
- Exception Status: Over utilization (selected), Increase in Limit, Transfer of Limits, Obtain Cash Collateral, Reject
- Credit Line Code: TRADFIN
- Credit Line Serial: 1

At the bottom right, there are buttons: Submit, Documents, Back, Next, Save & Close, and Cancel.

Exception initiation happens from the calling module when limit utilization exception is trigger. Credit officer can open the task from my task after assigning it to self and proceed to capture the exception initiation details.

### 2.2.1 Exception Initiation - Details

The Credit officer can capture additional details on the exception submitted by the calling module.

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Application Priority	Select the Application Priority	Input	Toggle Button	3	Mandatory	

Exception Status	Select the applicable exception status from the options available	Input	Radio Option	22	Mandatory	Select the option from the following list: - Over Utilization - Increase In Limit - Transfer of Limits - Obtain Cash collateral - Reject
Exception Status: Over Utilization						
Credit Line Code	Input the credit line code	Input	Text Box		Mandatory	
Credit Line Serial	Input the credit line serial	Input	Text Box		Mandatory	
Block Effective date	Input the effective date for the earmarking to be done	Input	Date		Mandatory	
Block Expiry Date	Input the expiry date for the earmarking to be done	Input	Date		Mandatory	
Remarks to Core Banking System	Remarks to be passed on the CBS at the time of block creation	Input	Text Area	255	Optional	
Exception Status: Increase in Limit						
Limit Amount Changed to	Input the revised limit amount to be updated in the CBS	Input	Amount	22,3	Mandatory	
Line Expiry Date Changed To	Input the revised limit expiry date	Input	Date		Optional	
Exception Status: Transfer of Limits						
Transfer From Facility	Input From credit line	Input	Drop Down		Mandatory	
Transfer To Facility	Input To credit line	Input	Drop Down		Mandatory	
Transfer effective from	Input the date effective from when the transfer will be applicable	Input	Date		Mandatory	
Transfer effective To	Input the date effective up to when the transfer will be applicable	Input	Date		Mandatory	
Transfer Amount	Input the amount to be transferred	Input	Amount	22,3	Mandatory	

Comments	Specify the generic comments for the exception	Input	Free Text		Optional	
Documents	Upload the Exception related documents	Input	Document		Optional	

**Action Buttons on the footer**

- a. **Save & Close** – The details entered are saved and window closed.
  - a. Mandatory validation will happen to ensure mandatory fields are captured.
  
- b. **Cancel** – On Click, the system will ask for confirmation and on confirming the task will be closed without saving the data.
  
- d. **Next** – On click of Next, the details of the captured will be saved and then system will move to the Next Screen.
  - b. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.

**Comments**

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Comments	Specify the comments for the stage. This will be visible in all the stages	Input	FreeText	600	Mandatory	

**Action Buttons**

After providing required data, you will be able to perform one of the below actions –

- a) **Submit** – On Submit, the details entered will be saved, checklist popup will open to verify checklist and system will trigger Exception initiation task with the exception details and the Task will be available in the Free Task queue for the operations user to acquire and process. If mandatory fields are not been captured, system will display an error until the mandatory fields have been captured.
- b) **Save & Close** – On click of Save & Close, the details of the captured will be saved.
  - a. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.
- c) **Cancel** – On Click the system will ask for confirmation and on confirming the task will be closed without saving the data.
- d) **Back** – On Click of Back, the previous screen will be opened.



## 2.3. Exception Approval

Credit approver will approve the exception transaction before it is effected in the CBS. Credit officer will have a view of the exception details logged and credit officer's suggestion to handle the exception by verifying the exception status selected by the credit officer. Credit Approver can choose to approve the exception or send it back to the credit officer to re-work on the exception request.

Credit approver to provide the remarks and select the desired action.

### Menu→Tasks→Free Tasks

Acquire the task pending for Approval.

### 2.3.1 Exception Approval - Details

The Credit Approver can view the details on the exception submitted.

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Application Priority	Selected the Application Priority	Display	Toggle Button	3	Mandatory	
Exception Status	Select the applicable exception status from the options available	Display	Radio Option	22	Mandatory	Select the option from the following list: - Over Utilization - Increase In Limit - Transfer of Limits - Obtain Cash collateral - Reject

Exception Status: Over Utilization						
Credit Line Code	Input the credit line code	Display	Text Box		Mandatory	
Credit Line Serial	Input the credit line serial	Display	Text Box		Mandatory	
Block Effective date	Input the effective date for the ear-marking to be done	Display	Date		Mandatory	
Block Expiry Date	Input the expiry date for the ear-marking to be done	Display	Date		Mandatory	
Remarks to Core Banking System	Remarks to be passed on the CBS at the time of block creation	Display	Text Area	255	Optional	
Exception Status: Increase in Limit						
Limit Amount Changed to	Input the revised limit amount to be updated in the CBS	Display	Amount	22,3	Mandatory	
Line Expiry Date Changed To	Input the revised limit expiry date	Display	Date		Optional	
Exception Status: Transfer of Limits						
Transfer From Facility	Input From credit line	Display	Drop Down		Mandatory	
Transfer To Facility	Input To credit line	Display	Drop Down		Mandatory	
Transfer effective from	Input the date effective from when the transfer will be applicable	Display	Date		Mandatory	
Transfer effective To	Input the date effective up to when the transfer will be applicable	Display	Date		Mandatory	
Transfer Amount	Input the amount to be transferred	Display	Amount	22,3	Mandatory	
Comments	Specify the generic comments for the exception	Input	Free Text		Optional	
Documents	Upload the Exception related documents	Input	Document		Optional	

**Action Buttons on the footer**

- b. **Save & Close** – The details entered are saved and window closed.
  - a. Mandatory validation will happen to ensure mandatory fields are captured.

b. **Cancel** – On Click, the system will ask for confirmation and on confirming the task will be closed without saving the data.

d. **Next** – On click of Next, the details of the captured will be saved and then system will move to the Next Screen.

- b. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.

## Comments

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Comments	Specify the comments for the stage. This will be visible in all the stages	Input	FreeText	600	Mandatory	

### Action Buttons

After providing required data, you will be able to perform one of the below actions –

- e) **Submit** – On Submit, the details entered will be saved, checklist popup will open to verify checklist and system will trigger Exception initiation task with the exception details and the Task will be available in the Free Task queue for the operations user to acquire and process. If mandatory fields are not been captured, system will display an error until the mandatory fields have been captured.
- f) **Save & Close** – On click of Save & Close, the details of the captured will be saved.
  - a. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.
- g) **Cancel** – On Click the system will ask for confirmation and on confirming the task will be closed without saving the data.
- h) **Back** – On Click of Back, the previous screen will be opened.

## 2.4. Alternate Facility

Credit officer will suggest the facility from where required amount can be transferred to the line that is utilized. This will be made available for the Module team to review, discuss with customer and provide acceptance. The task will flow into the approval queue for the Credit officer to approve the request once it is accepted by the module team.

Module team officer to provide the remarks and select the desired action.

**Menu→Tasks→Free Tasks**

Acquire the task pending for Approval.

The screenshot shows a web application window titled 'Collateral Exception'. At the top right, there is a 'Documents & Checklist' button. Below the title bar, a progress bar indicates the current step is 'Exception Initiation'. The form contains the following fields and controls:

- Customer Type:** Corporate
- Exception Request From:** LN
- Exception Status:** Radio buttons for Over utilization, Increase in Limit, **Transfer of Limits** (selected), Obtain Cash Collateral, and Reject.
- Transfer From Facility:** Drop-down menu with 'TRADELN1' selected.
- Transfer Effective From:** Date field with '05/25/18' and a calendar icon.
- Transfer Amount:** Text field with '£50.00'.
- Transfer To Facility:** Drop-down menu with 'FAC1' selected.
- Transfer Effective To:** Date field with '05/31/18' and a calendar icon.
- Utilization Amount:** £1,000.00
- Branch Name:** CHENNAI
- RELIANCE** (text label)
- Facilities** (button)
- Uploaded files** (text label)
- Drop files here or click to select** (text label)
- Navigation buttons:** Submit, Documents, Back, Next, Save & Close, Cancel.

**2.4.1 Alternate Facility - Details**

The Module Team officer can view the details on the exception submitted.

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Application Priority	Selected the Application Priority	Display	Toggle Button	3	Mandatory	
Exception Status	Select the applicable exception status from the options available	Display	Radio Option	22	Mandatory	Select the option from the following list: - Over Utilization - Increase In Limit - Transfer of Limits - Obtain Cash collateral - Reject
Exception Status: Transfer of Limits						
Transfer From Facility	Input From credit line	Display	Drop Down		Mandatory	
Transfer To Facility	Input To credit line	Display	Drop Down		Mandatory	
Transfer effective from	Input the date effective from when the transfer will be applicable	Display	Date		Mandatory	

Transfer effective To	Input the date effective up to when the transfer will be applicable	Display	Date		Mandatory	
Transfer Amount	Input the amount to be transferred	Display	Amount	22,3	Mandatory	
Comments	Specify the generic comments for the exception	Input	Free Text		Optional	
Documents	Upload the Exception related documents	Input	Document		Optional	

**Action Buttons on the footer**

- a. **Save & Close** – The details entered are saved and window closed.
  - a. Mandatory validation will happen to ensure mandatory fields are captured.
  
- b. **Cancel** – On Click, the system will ask for confirmation and on confirming the task will be closed without saving the data.
  
- d. **Next** – On click of Next, the details of the captured will be saved and then system will move to the Next Screen.
  - b. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.

**Comments**

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Comments	Specify the comments for the stage. This will be visible in all the stages	Input	FreeText	600	Mandatory	

**Action Buttons**

After providing required data, you will be able to perform one of the below actions –

- a) **Submit** – On Submit, the details entered will be saved, checklist popup will open to verify checklist and system will trigger Exception initiation task with the exception details and the Task will be available in the Free Task queue for the operations user to acquire and process. If mandatory fields are not been captured, system will display an error until the mandatory fields have been captured.
- b) **Save & Close** – On click of Save & Close, the details of the captured will be saved.
  - a. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.
- c) **Cancel** – On Click the system will ask for confirmation and on confirming the task will be closed without saving the data.

d) **Back** – On Click of Back, the previous screen will be opened.

## 2.5. Transfer Limit

In this stage, credit officer will manually perform the transfer event in the CBS.

Module team officer to provide the remarks and select the desired action.

### Menu→Tasks→Free Tasks

Acquire the task pending for Approval.

### 2.5.1 Transfer Limit - Details

The Credit officer can view the details on the exception submitted.

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Application Priority	Selected the Application Priority	Display	Toggle Button	3	Mandatory	
Exception Status	Select the applicable exception status from the options available	Display	Radio Option	22	Mandatory	Select the option from the following list: - Over Utilization - Increase In Limit - Transfer of Limits - Obtain Cash collateral - Reject

Exception Status: Transfer of Limits						
Transfer From Facility	Input From credit line	Display	Drop Down		Mandatory	
Transfer To Facility	Input To credit line	Display	Drop Down		Mandatory	
Transfer effective from	Input the date effective from when the transfer will be applicable	Display	Date		Mandatory	
Transfer effective To	Input the date effective up to when the transfer will be applicable	Display	Date		Mandatory	
Transfer Amount	Input the amount to be transferred	Display	Amount	22,3	Mandatory	
Comments	Specify the generic comments for the exception	Input	Free Text		Optional	
Documents	Upload the Exception related documents	Input	Document		Optional	

### Action Buttons on the footer

- a. **Save & Close** – The details entered are saved and window closed.
  - a. Mandatory validation will happen to ensure mandatory fields are captured.
  
- b. **Cancel** – On Click, the system will ask for confirmation and on confirming the task will be closed without saving the data.
  
- d. **Next** – On click of Next, the details of the captured will be saved and then system will move to the Next Screen.
  - a. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.

## Comments

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Comments	Specify the comments for the stage. This will be visible in all the stages	Input	FreeText	600	Mandatory	

### Action Buttons

After providing required data, you will be able to perform one of the below actions –

- a) **Submit** – On Submit, the details entered will be saved, checklist popup will open to verify checklist and system will trigger Exception initiation task with the exception details and the Task will be available in the Free Task queue for the operations user to acquire and process. If mandatory fields are not been captured, system will display an error until the mandatory fields have been captured.
- b) **Save & Close** – On click of Save & Close, the details of the captured will be saved.
  - a. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.
- c) **Cancel** – On Click the system will ask for confirmation and on confirming the task will be closed without saving the data.
- d) **Back** – On Click of Back, the previous screen will be opened.

## 2.6. Manual Retry

When interface with CBS fails, the task will be routed to Manual Retry stage. In this stage, credit officer has to perform the action manually in the CBS.

Module team officer to provide the remarks and select the desired action.

### Menu→Tasks→Free Tasks

Acquire the task pending for Approval.

The screenshot displays the 'Collateral Exception' form in the 'Exception Initiation' stage. The form is divided into two columns. The left column contains: '063001' (ID), 'Facilities' button, 'Customer Type: Corporate', 'Exception Request From: LN', 'Exception Status' (radio buttons: Over utilization, Increase in Limit, **Transfer of Limits**, Obtain Cash Collateral, Reject), 'Transfer From Facility: TRADELN1', 'Transfer Effective From: 05/25/18', and 'Transfer Amount: £50.00'. The right column contains: 'RELIANCE' (Branch Name), 'CHENNAI' (Branch Name), 'Utilization Amount: £1,000.00', 'Transfer To Facility: FAC1', and 'Transfer Effective To: 05/31/18'. Below the right column is an 'Uploaded files' section. A progress bar at the top shows 'Exception Initiation' (active) and 'Comments'. A 'Documents & Checklist' popup is in the top right. At the bottom, buttons for 'Submit', 'Documents', 'Back', 'Next', 'Save & Close', and 'Cancel' are visible.

### 2.6.1 Manual Retry - Details

The Credit officer can view the details on the exception submitted.



Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Application Priority	Selected the Application Priority	Display	Toggle Button	3	Mandatory	
Exception Status	Select the applicable exception status from the options available	Display	Radio Option	22	Mandatory	Select the option from the following list: - Over Utilization - Increase In Limit - Transfer of Limits - Obtain Cash collateral - Reject
Exception Status: Transfer of Limits						
Transfer From Facility	Input From credit line	Display	Drop Down		Mandatory	
Transfer To Facility	Input To credit line	Display	Drop Down		Mandatory	
Transfer effective from	Input the date effective from when the transfer will be applicable	Display	Date		Mandatory	
Transfer effective To	Input the date effective up to when the transfer will be applicable	Display	Date		Mandatory	
Transfer Amount	Input the amount to be transferred	Display	Amount	22,3	Mandatory	
Comments	Specify the generic comments for the exception	Input	Free Text		Optional	
Documents	Upload the Exception related documents	Input	Document		Optional	

### **Action Buttons on the footer**

- a. **Save & Close** – The details entered are saved and window closed.
  - a. Mandatory validation will happen to ensure mandatory fields are captured.
  
- b. **Cancel** – On Click, the system will ask for confirmation and on confirming the task will be closed without saving the data.
  
- d. **Next** – On click of Next, the details of the captured will be saved and then system will move to the Next Screen.
  - a. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.

## Comments

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Comments	Specify the comments for the stage. This will be visible in all the stages	Input	FreeText	600	Mandatory	

### Action Buttons

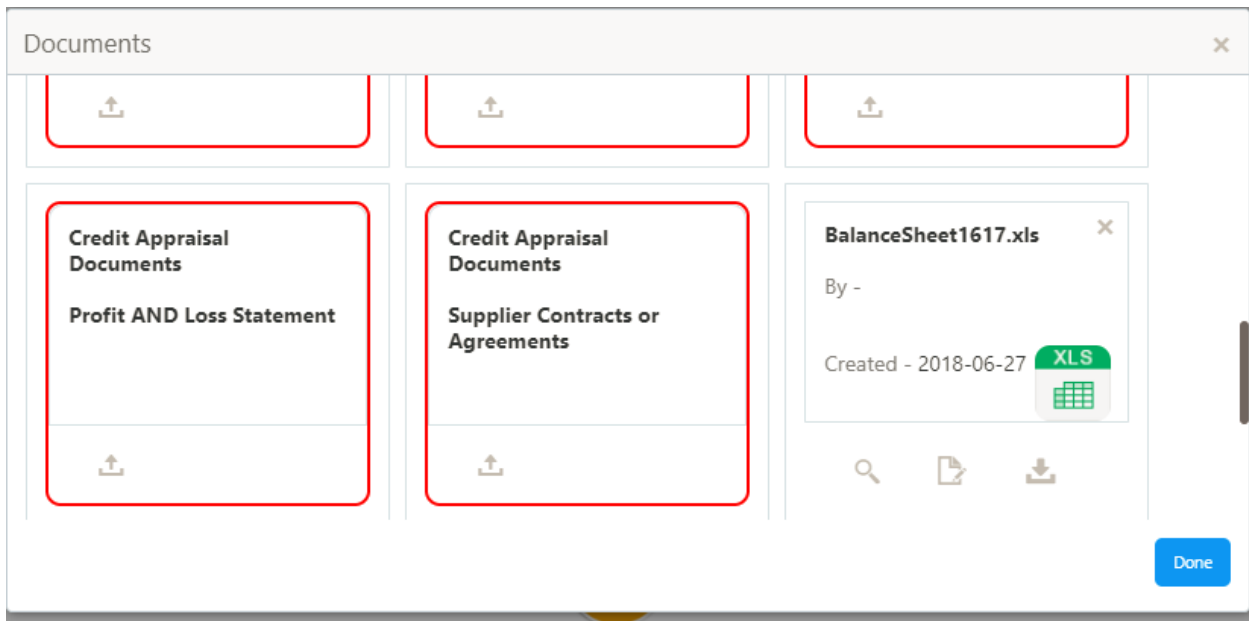
After providing required data, you will be able to perform one of the below actions –

- a) **Submit** – On Submit, the details entered will be saved, checklist popup will open to verify checklist and system will trigger Exception initiation task with the exception details and the Task will be available in the Free Task queue for the operations user to acquire and process. If mandatory fields are not been captured, system will display an error until the mandatory fields have been captured.
- b) **Save & Close** – On click of Save & Close, the details of the captured will be saved.
  - a. If mandatory fields have not been captured, system will display error until the mandatory fields have been captured.
- c) **Cancel** – On Click the system will ask for confirmation and on confirming the task will be closed without saving the data.
- d) **Back** – On Click of Back, the previous screen will be opened.

## 3 Document Upload and Checklist

### 3.1 Document Upload

Documents to be uploaded and the checklist of verified for each stage of the process can be maintained. Click on the Documents button to view /upload the documents that has to be uploaded for the stage or to view/ upload the documents which are uploaded for the task.



#### Action Buttons

After providing required data, you will be able to perform one of the below actions –

- a) **Upload** – On click of Upload, the Document upload screen will be opened and the user can specify the document title, description, remarks, expiry date and select the document to be uploaded. This button will be visible only for the documents which are not yet uploaded.
- b) **View** – On click of View button the document will be either downloaded or opened based on the browser capability. This button will be visible only for the documents which are already uploaded.
- c) **Edit** – On Click of Edit the Document upload screen will be opened and the user can specify the document title, description, remarks, expiry date and select the document to be re-uploaded. This button will be visible only for the documents which are already uploaded.
- d) **Download** – On Click of Download the document will be downloaded. This button will be visible only for the documents which are already uploaded.
- e) **Delete** – This button will be visible only for the documents which are already uploaded. Click on the X button to delete the uploaded document.

User can click on the upload button to upload the documents

Document
✕

Document Type \*

Document Title \*

Remarks

Document Code \*

Document Description

Document Expiry Date

Drop files here or click to select

Current selected files: []

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Document Type	System displays the document type	Display	Free Text		NA	
Document Code	System displays the document Code	Display	Free Text		NA	
Document Title	Specify the Document Title	Input	Free Text	30	Mandatory	
Document Description	Specify the short description of the document	Input	Free Text	150		
Remarks	Specify the remarks if any	Input	Free Text	150		
Document Expiry	Specify the Document Expiry Date	Input	Date			
Document	Drag and Drop or click to select the	Input	Document			

Upload	file to be uploaded		Up-load			
--------	---------------------	--	---------	--	--	--

### 3.2 Checklist

On click of the submit button the checklist for the stage of the process will be displayed. User can confirm each of the check list by clicking on the checkbox and can capture the remarks by clicking on the remarks button.

The screenshot shows a 'Checklist' window with the following elements:

- Title:** Checklist (with a close button 'x')
- Section:** Proposal Enrichment
- Item 1:**  Company Registration document Uploaded. Remarks button.
- Item 2:**  Incorporation document Uploaded. Remarks button.
- Item 3:**  Collateral document Uploaded. Remarks button.
- Footer:** \* Outcome: Proceed (dropdown menu). Submit button.

Field Name	Description	Attribute Type	Object Type	Size	Mandatory/Optional	Field Validation
Checklist Description	System displays the checklists maintained for the stage	Display	Free Text		Mandatory	Verify the entire checklist before clicking the submit button.
Remarks	Specify the remarks	Input	Button/Text		NA	

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## 4 Reference and Feedback

### 4.1 References

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

- Oracle Banking Getting Started User Guide
- Security Management System User Guide
- Common Core User Guide
- Process Maintenance Worklist User Guide
- Oracle Banking Credit Facilities Process Management Installation Guides

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