

Terms and Conditions Compliance Tracking User Guide

Oracle Banking Credit Facilities Process Management

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Oracle Banking Credit Facilities Process Management User Guide
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Chapter 1 - Introduction

Preface

About this guide




This guide provides the user with all the information necessary to initiate Terms and Conditions Compliance process in OBCFPM.

Intended Audience

This document is intended for the banking personnel responsible for updating and approving the Terms and Conditions compliance status of the customer.

Conventions Used

The following table lists the conventions that are used in this document:

Convention	Description
Italic	Italic denotes a screen name
Bold	Bold indicates <ul style="list-style-type: none">• Field name• Drop down options• Other UX labels
	This icon indicates a note
	This icon indicates a tip
	This icon indicates a warning

Chapter 1 - Introduction

Common Icons in OBCFPM

The following table describes the icons that are commonly used in OBCFPM:

Icons	Icon Name
	Add icon
	Calendar icon
	Configuration / settings icon
	Delete icon
	Edit icon

Chapter 3 - Overview

Overview

The Terms and Conditions Compliance process is a simple two stage work-flow for tracking the compliance status of various Terms and Conditions set for the customer during review process. This Terms and Conditions Compliance process must be initiated by the Banks at regular intervals throughout the life-cycle of the facilities to ensure the repayment of facility on stipulated time.

The two stages available in the Terms and Conditions Compliance process are:

- Initiation
- Approval

Chapter 3 - Initiation

Terms and Conditions Compliance Initiation

In this stage, the user can update the status of customer's compliance with various Terms and Conditions and send the same for approval.

Initiation Steps

1. Login to OBCFPM.
2. Navigate to **Credit Facilities > My Portfolio**. The *My Portfolio* page appears:

The screenshot displays the 'My Portfolio' interface. At the top, it shows the user's name 'Bank Futura - Canary Whar...' and the date 'Apr 13, 2019'. A search bar with the placeholder 'Type to filter' and a '+ New Proposal' button are visible. The main content area features a table with the following data:

Customer	Customer Id	Amount Sanctioned	Balance Available	Earmarked	Annual Review Date
PT201514287	PTY201514287	\$0.00	\$0.00	NA	

Below the table, there are several summary cards and sections:

- Entities:** 1 Entity. Sanctioned: \$0.00, Available: \$0.00.
- Funded:** Sanctioned: \$0.00, Available: \$0.00.
- Non Funded:** Sanctioned: \$0.00, Available: \$0.00.
- Upcoming events:** No items to display.
- Financial Info:** No items to display.
- WIP Applications:** Facility Application, Collateral Application, Policy Exception.
- Ratings:** No items to display.

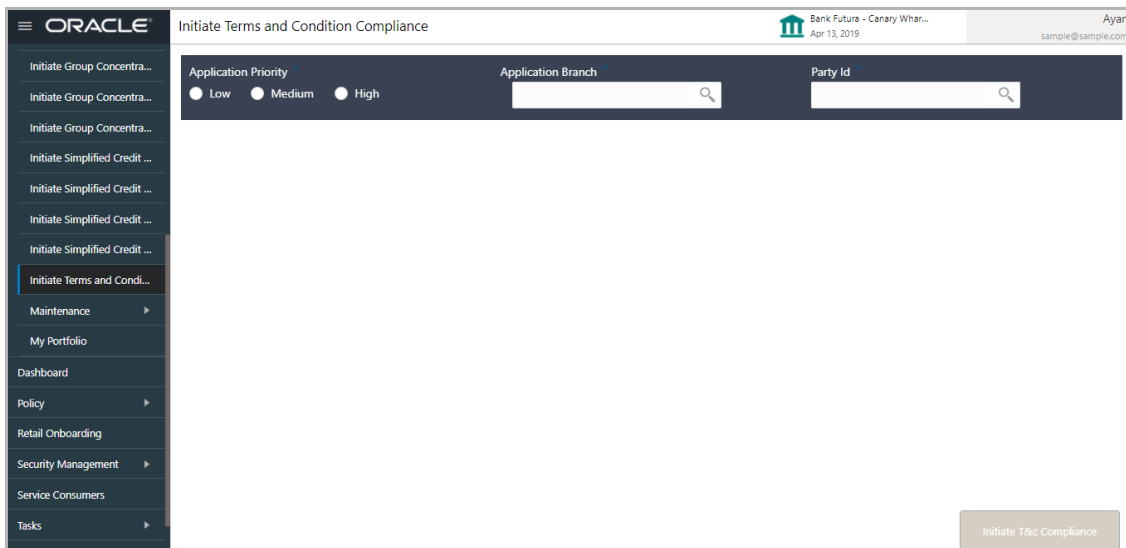
At the bottom, there is a row of buttons: Initiate Amendment, Initiate PSN, Initiate Closure, Initiate T&c Compliance, Initiate GC Amendment, Initiate GC Extension, Initiate Facility Review, and Initiate SF Credit Process.

3. Click and expand the required customer.
4. Click **Initiate T&C Compliance**. The *Initiation* page appears.

Or

5. Navigate to **Credit Facilities > Initiate Terms and Conditions Compliance**. The *Initiation* page appears.

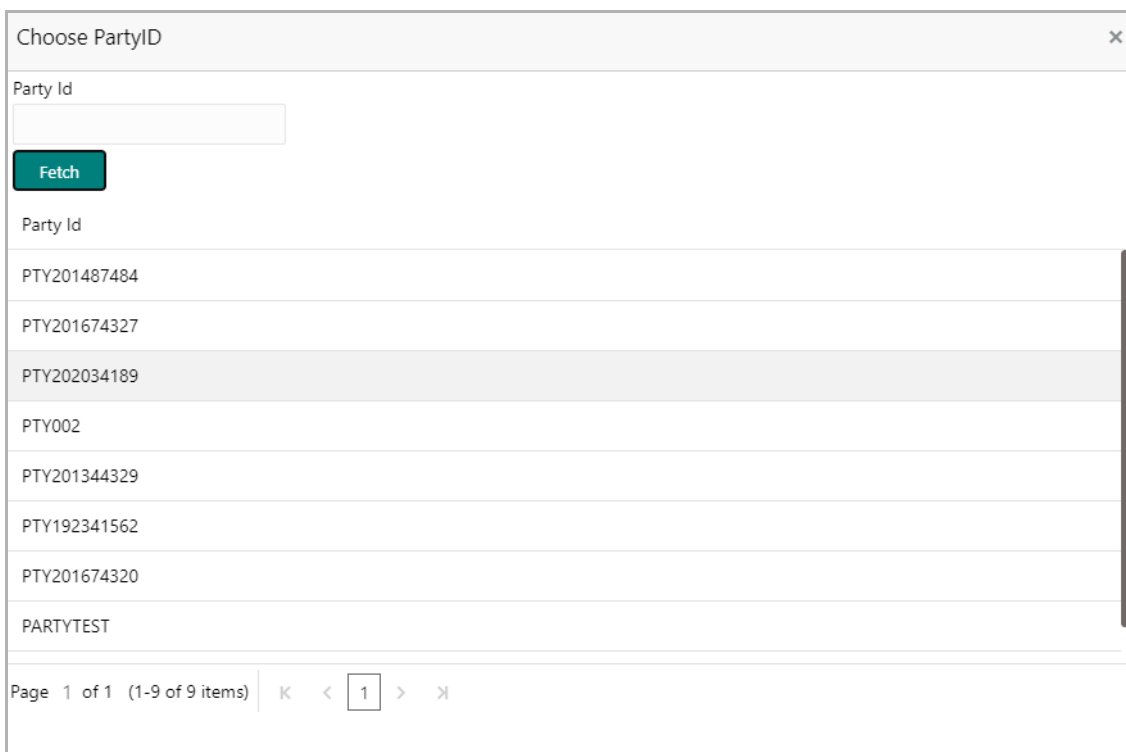
Chapter 3 - Initiation



6. Select the **Application Priority** based on requirement. The options available are **Low, Medium, and High**.

7. Search and select the **Application Branch** and **Party Id**.

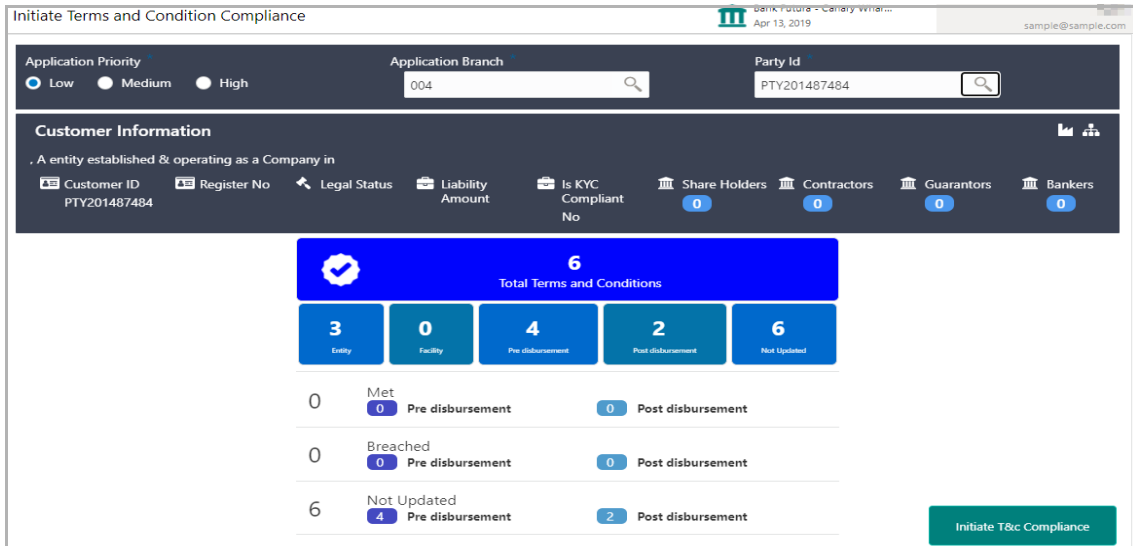
Upon clicking the search icon in **Party Id** field, the *Party Search* window appears as shown below.



8. Click **Fetch**. The Party IDs are populated.

9. Click on the Party Id. The system updates the **Party Id** field with the selected Id and displays the Terms and Conditions widget as shown below.

Chapter 3 - Initiation



In the above screen, the following information are displayed:

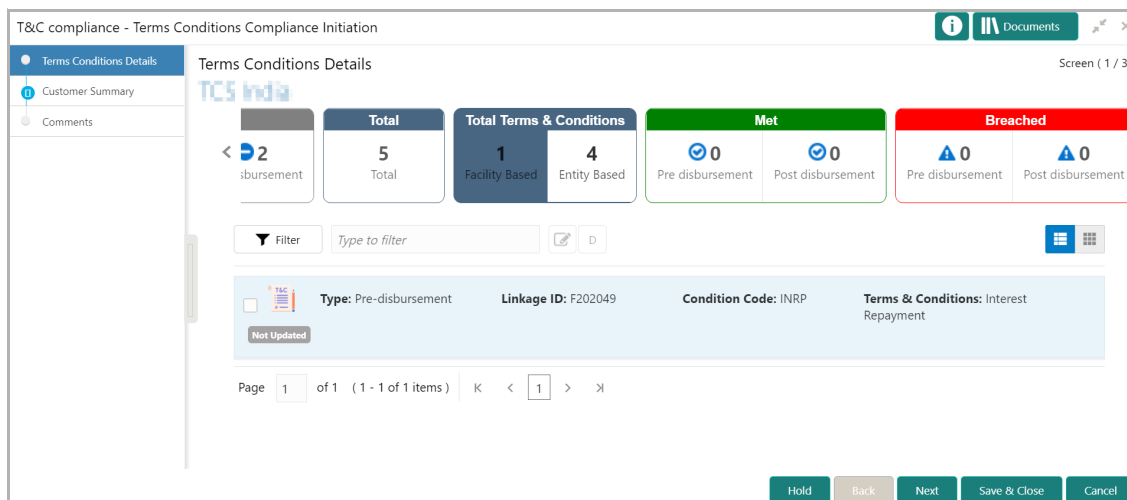
- Customer Information
- T&C Widget with the following details
 - Total numbers of terms and conditions available for the customer
 - Number of terms and conditions directly linked to the customer
 - Number of terms and conditions linked to the facilities availed by the customer
 - Number of terms and conditions which must be satisfied before disbursement
 - Number of terms and conditions which must be satisfied after disbursement
 - Number of terms and conditions for which status is not yet updated
 - Met - Number of pre and post disbursement terms and conditions that are already met
 - Breached - Number of pre and post disbursement terms and conditions that are already breached
 - Not updated - Number of pre and post disbursement terms and conditions for which status is not updated yet

10. To initiate the Terms and Conditions Compliance process, click **Initiate T&C Compliance**. The *Terms and Conditions Details* page appears.

Terms and Conditions Details

This data segments lists all the Terms and Conditions directly or indirectly associated with the selected customer. The user can select the required Terms and Conditions and modify the status of the same.

Chapter 3 - Initiation

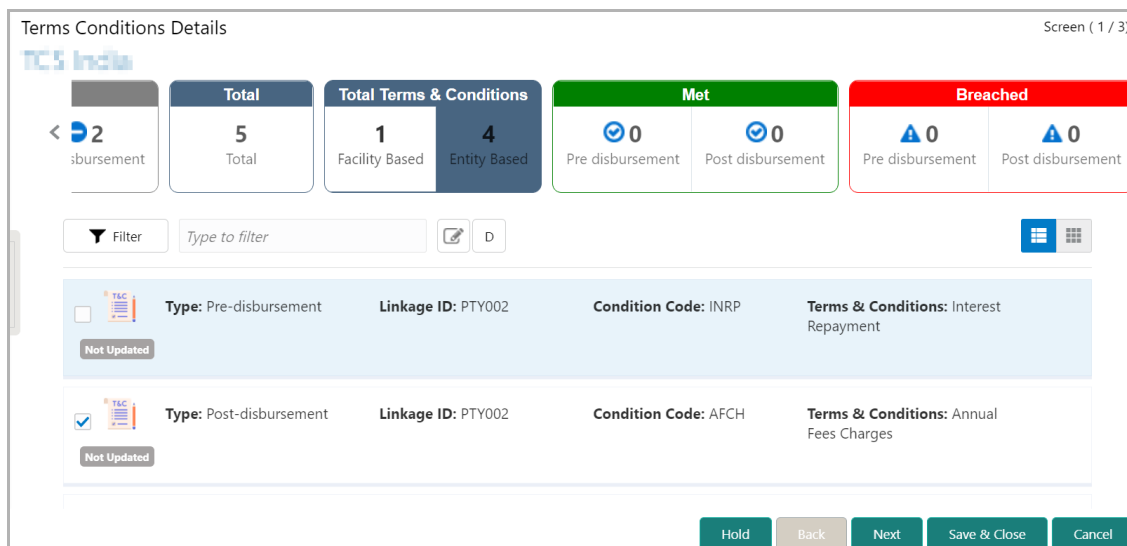


In the above screen, the following widgets are displayed:

- Not Updated
- Total
- Met
- Breached

11. Click on the count on any of the required widget. The system displays Terms and Conditions of the selected category.

12. To filter the required Terms and Conditions, click the **Filter** icon and specify the search parameters or directly type the Terms and Conditions detail in the **Type to filter** text box.



13. To update the Terms and Conditions status, select the required Terms and Conditions from the list and click the edit icon. The *Edit Terms And Conditions* window appears.

Chapter 3 - Initiation

The screenshot shows a window titled "Edit Terms And Conditions" with a close button (X) in the top right corner. The form contains the following elements:

- Customer Linkage:** A toggle switch that is currently turned off.
- T&C Type:** A field with two radio button options: "Pre-disbursement" (selected) and "Post-disbursement".
- Compliance Status:** A field with two radio button options: "Met" and "Breached".
- Facility Id:** A dropdown menu with "Facility Id" selected.
- Compliance Remarks:** A large, empty text area.
- Condition Code:** A text input field.
- Condition Description:** A text input field.
- Buttons:** "Save" (green) and "Cancel" (grey) buttons at the bottom right.

14. Enable the **Customer Linkage** flag to directly link the terms and conditions to the customer.

The **T&C Type** is automatically populated by the system and it cannot be modified.

15. Select the **Compliance Status** for the Terms and Conditions. The options available are **Met** and **Breached**.

16. Select the Facility Id from the drop down list. If the Customer Linkage flag is enabled, the user cannot select the Facility Id and link it with the Terms and Conditions.

17. Type the **Compliance Remarks**. The user can capture more details about the compliance status in this field.

The **Condition Code** is the predefined code of terms and conditions maintained by the bank. The user cannot change this code.

18. Type the name of Terms and Conditions in the **Condition Description** field.

19. Provide the full details of terms and conditions in the Terms and Conditions field.

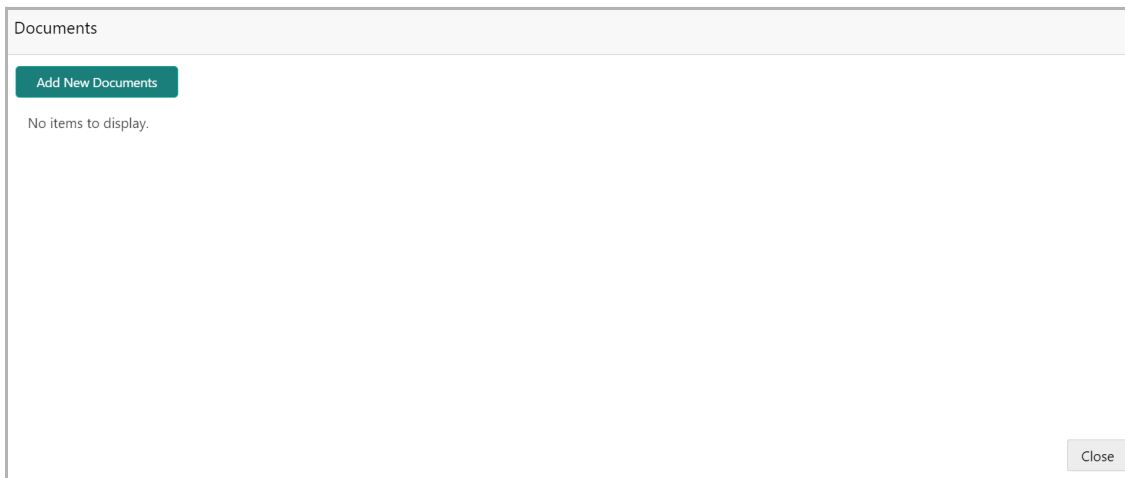
20. To save the compliance status, click **Save**.

21. To exit the Edit Terms And Conditions window without saving the information, click **Cancel**.

Upon clicking **Save**, the compliance status of the terms and conditions is updated and displayed in the *Terms and Condition Details* page.

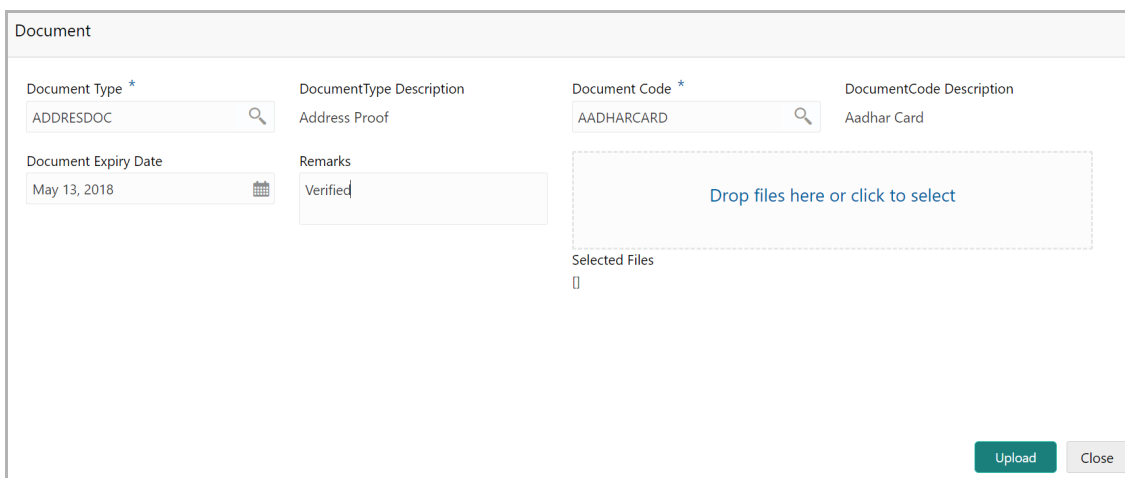
Chapter 3 - Initiation

22. To link documents associated with the terms and conditions compliance, select the terms and conditions from the list and click the Documents (D) icon.



The screenshot shows a modal window titled "Documents". At the top left, there is a green button labeled "Add New Documents". Below this button, the text "No items to display." is centered. In the bottom right corner, there is a grey button labeled "Close".

23. Click **Add New Documents**.



The screenshot shows a "Document" form with several fields and a file upload area. The fields are arranged in a grid:

- Document Type ***: A dropdown menu with "ADDRESDOC" selected and a search icon.
- DocumentType Description**: A text field containing "Address Proof".
- Document Code ***: A dropdown menu with "AADHARCARD" selected and a search icon.
- DocumentCode Description**: A text field containing "Aadhar Card".
- Document Expiry Date**: A date picker showing "May 13, 2018".
- Remarks**: A text area containing "Verified".
- File Upload Area**: A dashed box with the text "Drop files here or click to select". Below it, a "Selected Files" section is empty.

At the bottom right, there are two buttons: a green "Upload" button and a grey "Close" button.



Refer Document Upload chapter for information on uploading documents.

24. To change the layout of *Terms and Conditions Details* page to table view, click the Table View icon.

25. After updating the status of all the terms and conditions, click **Next**. The *Customer Summary* page appears.

Customer Summary

This data segment is the graphical representation of the customer information. The Terms & Conditions tile in this page is updated based on the actions performed in the Terms and Conditions Details data segment.

Chapter 3 - Initiation

Terms Conditions Details
Customer Summary
Screen (2 / 3)

- Terms Conditions Details
- Customer Summary
- Comments

Customer Information

Customer ID: PTY002 | Register No: | Legal Status: Proprietorship | Liability Amount: \$2,000.00 | Is KYC Compliant: No

Share Holders: 0 | Contractors: 0 | Guarantors: 0 | Bankers: 0

Facility Summary

Liability Sanctioned Amount: \$2,000.00 | Liability Utilized Amount: \$1,000.00 | Liability OverUtilized Amount: \$0.00

\$2,000.00 (ffin) | \$2,000.00 (TESTTL)

2.0K (ffin) | 1.0K (TESTTL)

Collateral summary

\$0.00

Total collateral value

0%

Customer LTV

No data to display

Ratings

No items to display.

Covenants

0 Total Covenants

0 Entity Wise

0 Facility Wise

0 Financial

0 Non Financial

0 Newly Added
 Financial Non Financial

0 Met
 Financial Non Financial

0 Breached
 Financial Non Financial

Terms & conditions

5 Total Terms and Conditions

4 Entity

1 Facility

3 Pre disbursement

2 Post disbursement

0 Newly added
 Pre disbursement Post disbursement

0 Met
 Pre disbursement Post disbursement

0 Breached
 Pre disbursement Post disbursement

Financial Profile View all

Show results for: Previous 3 years

Category	2017-2018	Variance %	2018-2019	Variance %	2019-2020
No data to display.					

Projections View all

Show results for: Next 3 years

Category	2020-2021	Variance %	2021-2022	Variance %	2022-2023
No data to display.					

Upcoming events View all

< September 2020 > 14-September-2020

WK	S	M	T	W	T	F	S
35			1	2	3	4	5
36	6	7	8	9	10	11	12
37	13	14	15	16	17	18	19
38	20	21	22	23	24	25	26
39	27	28	29	30			

No items to display.

Hold
Back
Next
Save & Close
Cancel

Chapter 3 - Initiation



For information on the actions that can be performed in this *Customer Summary* page, refer Credit 360 User Manual.

26. View the customer summary and click **Next**. The *Comments* page appears.

Comments

This data segment allows to capture overall comments for the Terms and Conditions Compliance initiation stage. Posting comments allows the senior officers to identify the actions performed in this stage.

Comments Screen (3 / 3)

Enter text here...

Post

14 Sep '20 Terms Conditions Compliance Approval
Approved Terms and Conditions Compliance

Hold Back Next Save & Close Submit Cancel

27. **Post** comments about the customer's overall terms and conditions compliance. Comments are displayed below the Comments text box.

28. To hold the Compliance Initiation task, click **Hold**.

29. To go back to the previous page, click **Back**.

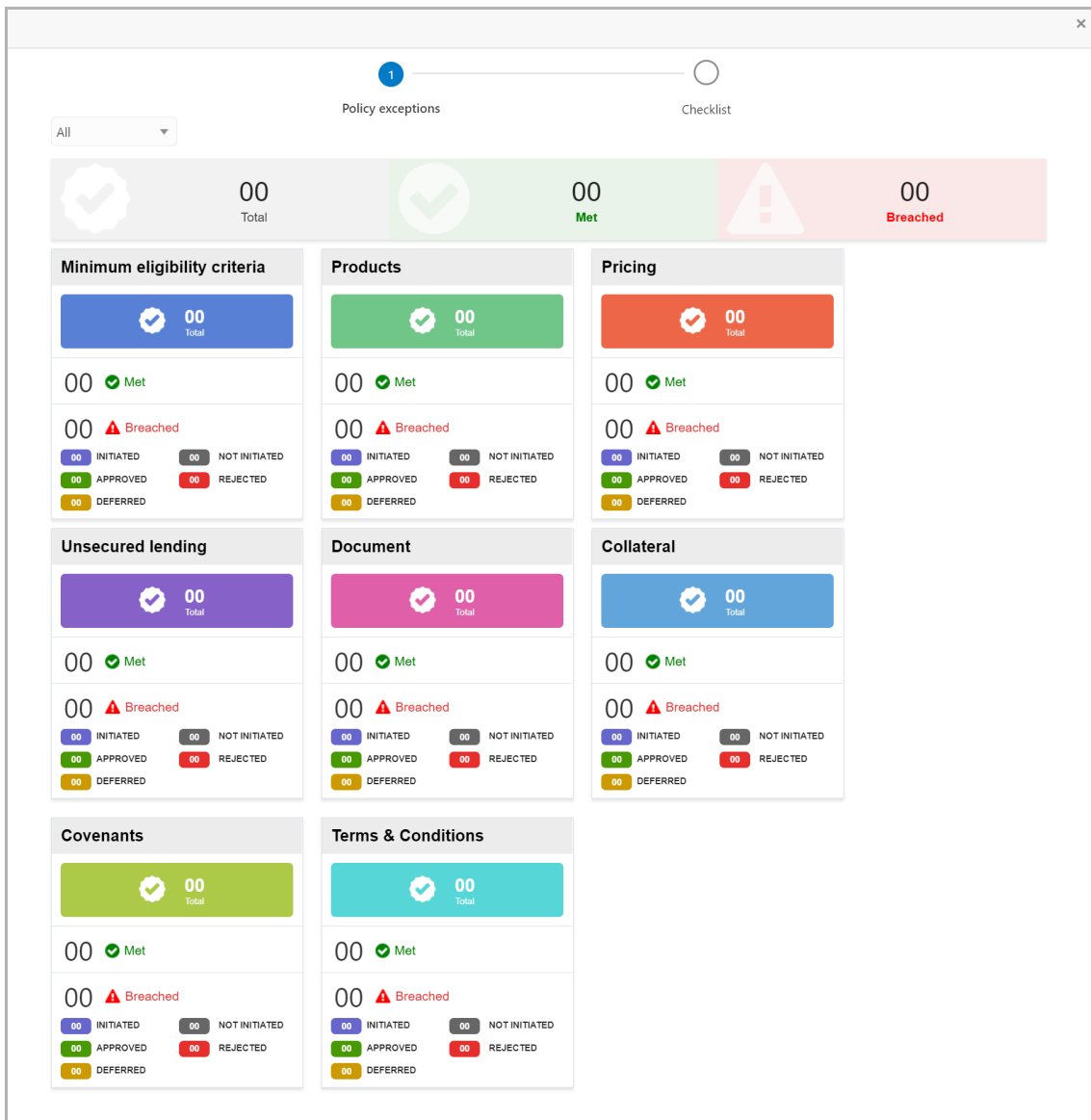
30. To save and exit the window, click **Save & Close**.

31. To submit the Compliance Initiation task, click **Submit**.

32. To cancel the operation, click **Cancel**.

Upon clicking **Submit**, the *Policy Exception* window appears.

Chapter 3 - Initiation



By default, policy exceptions are displayed for both the party and child parties. To view the policy exceptions for particular party / child party, select the required party / child party from the drop down list at top left corner.

33. View the policy exceptions and make necessary actions, if required.
34. Click the **Checklist** data segment.

Chapter 3 - Initiation

The screenshot shows a web form for compliance initiation. At the top, there is a progress bar with two steps: 'Policy exceptions' (indicated by a white circle) and 'Checklist' (indicated by a blue circle with the number '2'). Below the progress bar, there is a message box that says 'No items to display.' At the bottom right of the form, there is a dropdown menu labeled '* Outcome' with 'Proceed' selected, and a green 'Submit' button.

35. Select the **Outcome** as 'Proceed' and click **Submit**. The Terms and Conditions Compliance initiation task will be submitted for approval.

Chapter 3 - Approval

Terms and Conditions Compliance Approval

In this stage, the Approver can view the Terms and Conditions Compliance status modified in the Initiation stage and approve / reject the same.

Approval Steps

1. In OBCFPM, navigate to **Tasks > Free Tasks** from the left navigation menu. The *Free Tasks* page appears.

Action	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date	Branch	
<input type="checkbox"/> Acquire & Edit	Low	T&C compliance	APP202507546	APP202507546	Approval	20-09-06	004	P
<input type="checkbox"/> Acquire & Edit	Medium	Short Form Credit Proce...	APP202487518	APP202487518	Approval	20-09-04	004	P
<input type="checkbox"/> Acquire & Edit	Low	Credit Origination	APP202487517	APP202487517	Proposal Initiation	20-09-04	004	J
<input type="checkbox"/> Acquire & Edit	High	Credit Origination	APP202487515	APP202487515	Proposal Initiation	20-09-04	004	J
<input type="checkbox"/> Acquire & Edit	Low	Group Concentration Li...	APP202477502	APP202477502	Manual Retry	20-09-03	004	T
<input type="checkbox"/> Acquire & Edit	Low	Group Concentration Li...	APP202477501	APP202477501	Group Concentration Initiation	20-09-03	004	D
<input type="checkbox"/> Acquire & Edit	Low	Group Concentration A...	APP202477498	APP202477498	Group Concentration Amend...	20-09-03	004	
<input type="checkbox"/> Acquire & Edit	Low	Group Concentration Li...	APP202477497	APP202477497	Manual Retry	20-09-03	004	G
<input type="checkbox"/> Acquire & Edit	Low	Group Concentration Li...	APP202477489	APP202477489	Group Concentration Docum...	20-09-03	004	C
<input type="checkbox"/> Acquire & Edit		Collateral Perfection	APP202457469	APP202457469	Initiation		004	
<input type="checkbox"/> Acquire & Edit		Collateral Review	APP202457468	APP202457468	DataEnrichment		004	
<input type="checkbox"/> Acquire & Edit		Collateral Perfection	APP202457467	APP202457467	Initiation		000	
<input type="checkbox"/> Acquire & Edit		Collateral Review	APP202457466	APP202457466	DataEnrichment		004	

Page 1 of 27 (1 - 20 of 535 items) | K < 1 2 3 4 5 ... 27 > X

2. **Acquire & Edit** the required 'Approval' task. The *Customer Summary* page appears.

Customer Summary

This data segment is the graphical representation of the customer information. The Terms & Conditions tile in this page is updated based on the actions performed in the Initiation stage.

Chapter 3 - Approval

TC Compliance - Terms Conditions Compliance Approval
Documents

- Customer Summary
- Terms Conditions Details
- Comments

Customer Summary

TCS India

Screen (1 / 3)

Customer Information

A Domestic entity established & operating as a Proprietorship Company in INDIA

Customer ID	Register No	Legal Status	Liability Amount	Is KYC Compliant	Share Holders	Contractors	Guarantors	Bankers
PTY002		Proprietorship	\$2,000.00	No	0	0	0	0

Facility Summary

Liability Sanctioned Amount	Liability Utilized Amount	Liability OverUtilized Amount
\$2,000.00	\$1,000.00	\$0.00

\$2,000.00

ffn TESTL

Collateral summary

\$0.00

Total collateral value

0%

Customer LTV

No data to display

Ratings

No items to display.

Covenants

0

Total Covenants

0	0	0	0
Entry Wise	Facility Wise	Financial	Non Financial

Newly Added

0	0
Financial	Non Financial

Met

0	0
Financial	Non Financial

Breached

0	0
Financial	Non Financial

Terms & conditions

5

Total Terms and Conditions

4	1	3	2
Entry	Facility	Pre-disbursement	Post-disbursement

Newly added

0	0	0
Pre-disbursement	Post-disbursement	

Met

0	0	0
Pre-disbursement	Post-disbursement	

Breached

0	0	0
Pre-disbursement	Post-disbursement	

Financial Profile View all

Show results for Previous 3 years

Category	2017-2018	Variance %	2018-2019	Variance %	2019-2020
No data to display.					

Projections View all

Show results for Next 3 years

Category	2020-2021	Variance %	2021-2022	Variance %	2022-2023
No data to display.					

Upcoming events View all

< September 2020 > 14-September-2020

WK	S	M	T	W	T	F	S
35			1	2	3	4	5
36	6	7	8	9	10	11	12
37	13	14	15	16	17	18	19
38	20	21	22	23	24	25	26
39	27	28	29	30			

No items to display.

Hold
Back
Next
Save & Close
Cancel

5

Chapter 3 - Approval



For information on the actions that can be performed in this *Customer Summary* page, refer Credit 360 User Manual.

3. View the **Customer Summary** and click **Next**. The *Terms and Conditions Details* page appears.

Terms and Conditions Details

This data segments lists all the Terms and Conditions directly or indirectly associated with the selected customer. The user can select the required Terms and Conditions for which approval is pending and take necessary action.

Terms Conditions Details Screen (2 / 3)

TCS India

Pending Approval 0 Pending Approval	Not Updated - 3 Pre disbursement - 2 Post disbursement	Total 5 Total	Total Terms & Conditions 1 Facility Based 4 Entity Based	Met ✓ 0 Pre disbursement ✓ 1 Post disbur
--	---	----------------------------	---	---

Filter

Type	Linkage ID	Condition Code	Terms & Conditions
<input checked="" type="checkbox"/> Pre-disbursement	PTY002	INRP	Interest Repayment
<input type="checkbox"/> Post-disbursement	PTY002	AFCH	Annual Fees Charges

Hold Back Next Save & Close Cancel

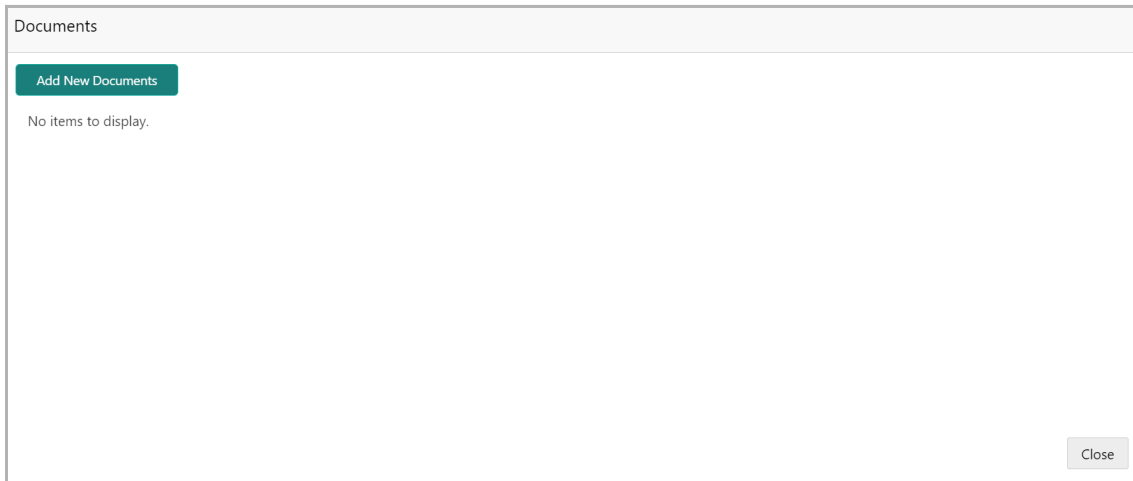
In the above screen, the following widgets are displayed:

- Pending Approval
- Not Updated
- Total
- Met
- Breached

4. Click on the count on any of the required widget. The system displays Terms and Conditions of the selected category.
5. To filter the required Terms and Conditions, click the **Filter** icon and specify the search parameters or directly type the Terms and Conditions detail in the **Type to filter** text box.
6. To approve the Terms and Conditions compliance status, select the Terms and Conditions from the list and click the Approve icon (tick mark).
7. To reject the Terms and Conditions status, select the Terms and Conditions from the list and click the Reject icon next to the Approve icon.

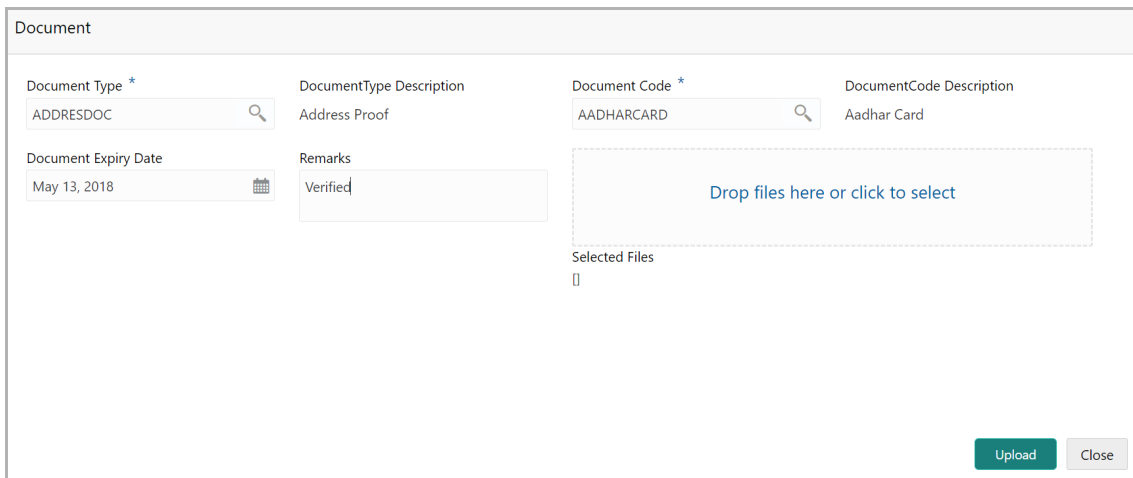
Chapter 3 - Approval

8. To link documents associated with the terms and conditions compliance, select the terms and conditions from the list and click the Documents (D) icon.



The screenshot shows a modal window titled "Documents". At the top left, there is a green button labeled "Add New Documents". Below this button, the text "No items to display." is centered. In the bottom right corner, there is a grey button labeled "Close".

9. Click **Add New Documents**.



The screenshot shows a "Document" form with several fields and a file upload area. The fields are arranged in a grid:

- Document Type ***: A dropdown menu with "ADDRESDOC" selected and a search icon.
- DocumentType Description**: A text field containing "Address Proof".
- Document Code ***: A dropdown menu with "AADHARCARD" selected and a search icon.
- DocumentCode Description**: A text field containing "Aadhar Card".
- Document Expiry Date**: A date picker showing "May 13, 2018".
- Remarks**: A text area containing "Verified".
- File Upload Area**: A dashed box with the text "Drop files here or click to select". Below it, a "Selected Files" section is empty.

At the bottom right, there are two buttons: a green "Upload" button and a grey "Close" button.



Refer **Document Upload** chapter for information on uploading documents.

10. To change the layout of *Terms and Conditions Details* page to table view, click the Table View icon.

11. After approving or rejecting all the terms and conditions compliance status, click **Next**. The *Comments* page appears.

Comments

This data segment allows to capture overall comments for the Terms and Conditions Compliance approval stage. The user can specify the reason for rejection, if the compliance status is not approved.

Chapter 3 - Approval

Comments Screen (3 / 3)

Enter text here...

Post

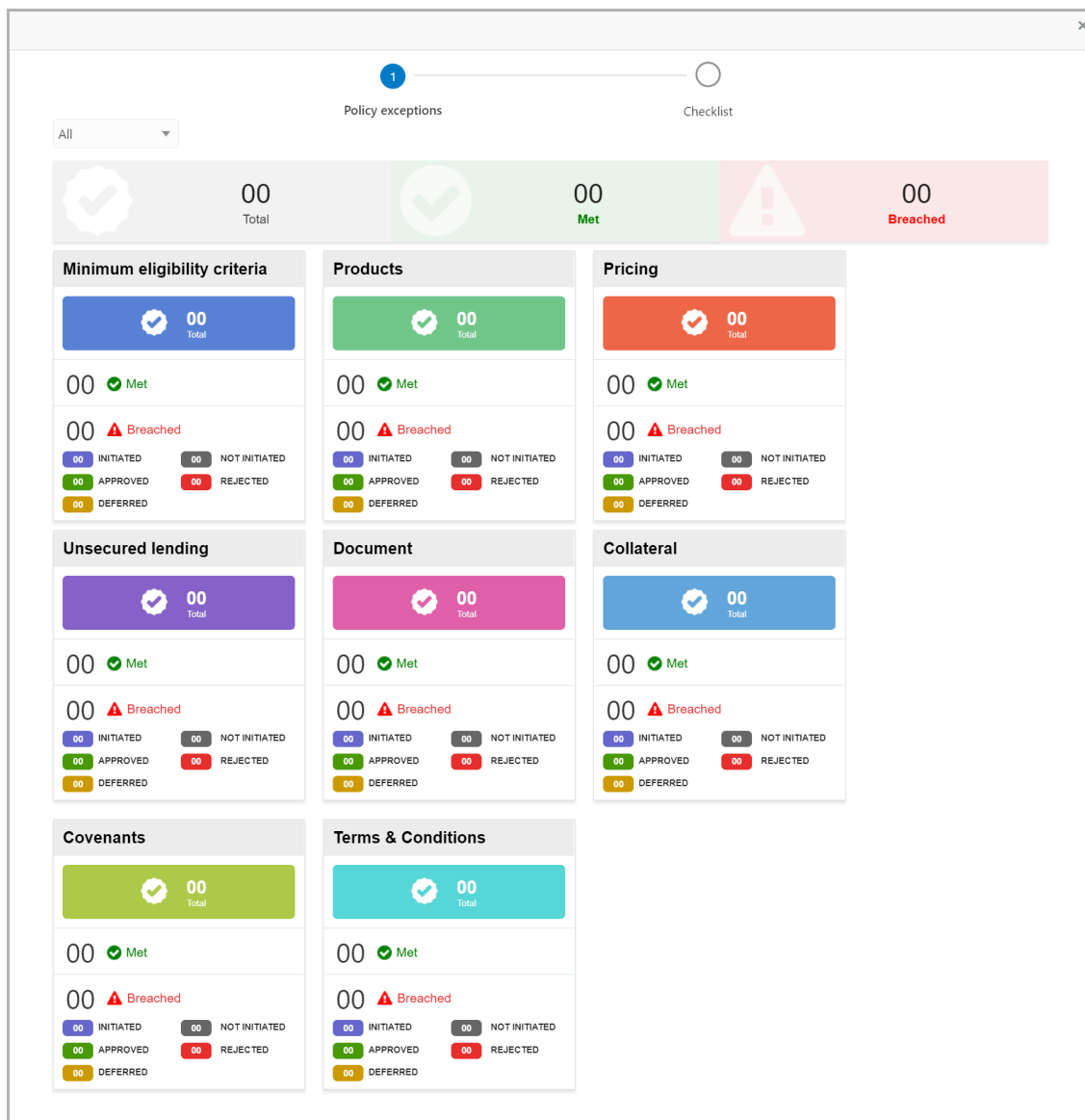
14 Sep '20 Terms Conditions Compliance Approval
Approved Terms and Conditions Compliance

Hold Back Next Save & Close Submit Cancel

12. Type the necessary comments for the Approval stage in the text box.
13. Click **Post**. Comments are added below the text box.
14. To hold the Approval task, click **Hold**.
15. To go back to the previous page, click **Back**.
16. To save and exit the window, click **Save & Close**.
17. To submit the Approval task, click **Submit**.
18. To cancel the operation, click **Cancel**.

Upon clicking **Submit**, the *Policy Exception* window appears.

Chapter 3 - Approval



By default, policy exceptions are displayed for both the party and child parties. To view the policy exceptions for particular party / child party, select the required party / child party from the drop down list at top left corner.

19. View the policy exceptions and make necessary actions, if required.
20. Click the **Checklist** data segment.

Chapter 3 - Approval

The screenshot shows a web interface for a compliance tracking process. At the top, there is a progress bar with two steps: 'Policy exceptions' (indicated by a white circle) and 'Checklist' (indicated by a blue circle with the number '2'). Below the progress bar, there is a text box containing the message 'No items to display.' At the bottom right of the interface, there is a dropdown menu labeled '* Outcome' with 'Proceed' selected, and a green 'Submit' button.

21. Select the required **Outcome**. The options available are **Approve** and **Reject**.
22. Click **Submit**.

If the **Outcome** is selected as 'Approve', the process is completed on clicking **Submit**.

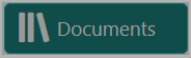
If the **Outcome** is selected as 'Reject', the task is sent back to the Initiation stage on clicking **Submit**. The user must modify the compliance status and submit it to the Approval stage again.

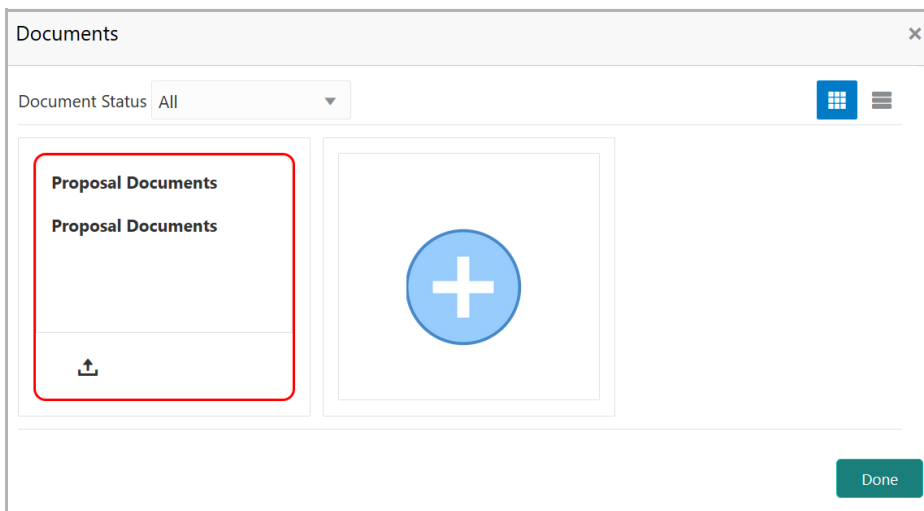
Chapter 3 - Document Upload

Document Upload and Checklist

In OBCFPM, supporting documents such as insurance certificate, valuation report, and machine fitness certificate can be uploaded in any stage of Terms and Conditions Compliance Tracking process. Supporting documents act as a proof for customer's compliance with respect to the terms and conditions set by bank. Added documents can be removed whenever the document expires.

Steps to upload documents

1. Click  at the top right corner of any page. The *Documents* window appears.

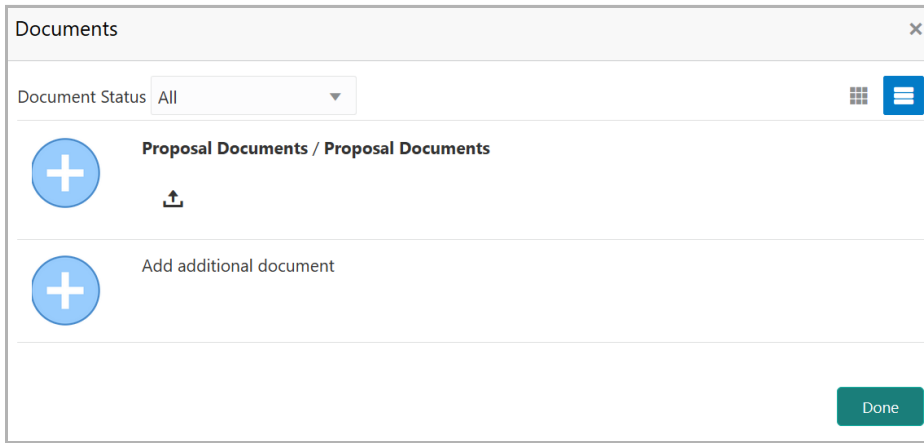


If the document list is configured in Business Process Maintenance, the same appears in the above window. You can also click the add icon to upload other documents.

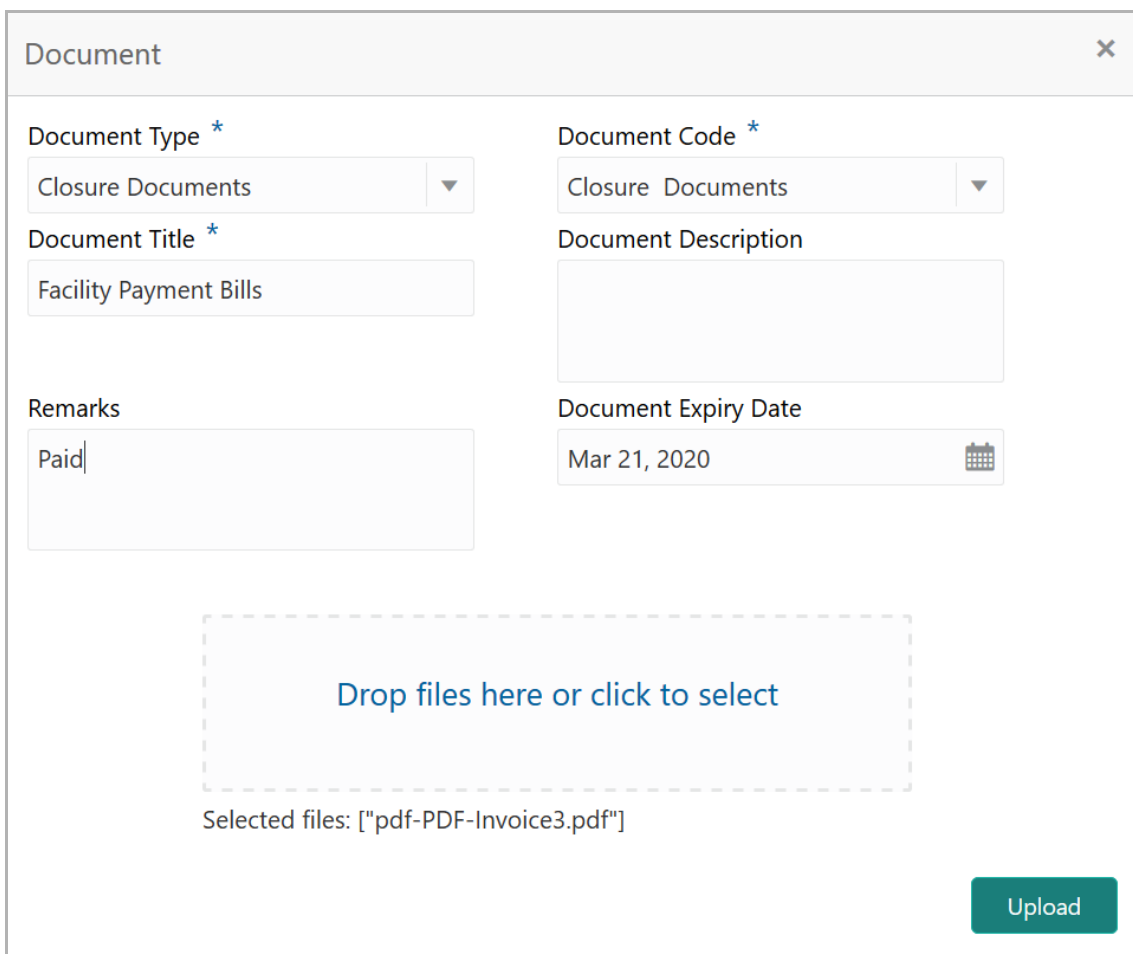
In case the mandatory document is not uploaded, the system prompts an alert. You need to upload the necessary documents and proceed further.

2. To change the table view to the list view, click the list icon at the top right corner. The *Documents* window appears as shown below.

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3. Click the add icon. The *Document Details* window appears.



4. Select the **Document Type** and **Document Code** from the drop down list. The options available are: Amendment Documents, Proposal Documents and Closure Documents.

5. Type the **Document Title**.

6. Type a brief description about the document in the **Document Description** field.

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7. Type the **Remarks**, if any.
8. Click the calendar icon and select the **Document Expiry Date**.
9. In **Drop files here or click to select** area, drag and drop the documents or click and select the documents. Selected files are displayed at the bottom.



To upload multiple supporting documents at the same time, drag and drop or click and select all the documents.

10. Click **Upload**. The *Checklist* window appears.

Checklist

Proposal Enrichment

<input checked="" type="checkbox"/> Company Registration document Uploaded	Remarks
<input type="checkbox"/> Incorporation document Uploaded	Remarks
<input type="checkbox"/> Collateral document Uploaded	Remarks

* Outcome: Proceed ▼ Submit

11. Manually verify all the checklist and enable the corresponding check box.
12. Select the **Outcome** as **Proceed**.
13. Click **Submit**. Document is uploaded and listed in Document window.
14. To edit or delete the document, click the edit or delete icons.

Chapter 3 - Reference and Feedback

Reference and Feedback

References

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

- Oracle Banking Procedure User Guide
- Oracle Banking SMS User Guide
- Oracle Banking Common Core
- Oracle Banking Credit Facilities Process Management Installation Guides

Documentation Accessibility

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