Oracle Banking Trade Finance Process Management
Shipping Guarantee Issuance User Guide

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Preface

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Purpose

This manual is designed to help you quickly get acquainted with the Oracle Banking Trade Finance Process Management **Shipping Guarantee Issuance** process.

Audience

This document is intended for the following audience:

- Oracle Implementers
- Customer Service Representatives (CSRs)
- Oracle user

Documentation Accessibility

For information about Oracle's commitment to accessibility, visit the Oracle Accessibility Program website at http://www.oracle.com/pls/topic/lookup?ctx=acc&id=docacc.

Access to Oracle Support

Oracle customer access to and use of Oracle support services will be pursuant to the terms and conditions specified in their Oracle order for the applicable services.

Critical Patches

Oracle advises customers to get all their security vulnerability information from the Oracle Critical Patch Update Advisory, which is available at Critical Patches, Security Alerts and Bulletins. All critical patches should be applied in a timely manner to ensure effective security, as strongly recommended by Oracle Software Security Assurance.

Diversity and Inclusion

Oracle is fully committed to diversity and inclusion. Oracle respects and values having a diverse workforce that increases thought leadership and innovation. As part of our initiative to build a more inclusive culture that positively impacts our employees, customers, and partners, we are working to remove insensitive terms from our products and documentation. We are also mindful of the necessity to maintain compatibility with our customers' existing technologies and the need to ensure continuity of service as Oracle's offerings and industry standards evolve. Because of these technical constraints, our effort to remove insensitive terms is ongoing and will take time and external cooperation.

Structure

This manual is organized into the following chapters:

- Preface: Preface gives information on the intended audience, structure, and related documents for this User Manual.

- Chapters: The subsequent chapters provide an overview to the module.

- Screen Shot Disclaimer - The images of screens used in this user manual are for illustrative purpose only, to provide improved understanding of the functionality; information used in the interface or documents are dummy, it does not exist in real world, and its only for reference purpose.

Conventions

The following text conventions are used in this document:

Convention	Meaning
boldface	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text.
italic	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
`monospace`	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

Related Documents

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

- Getting Started User Guide
- Oracle Banking Common Core User Guide

Screenshot Disclaimer

Personal information used in the interface or documents is dummy and does not exist in the real world. It is only for reference purposes.

Basic Actions

Most of the screens contain Action Buttons to perform all or a few of the basic actions. The actions which are called here are generic, and it varies based on the usage and the applicability. The table below gives a snapshot of them:

Table 1   Common Action Buttons and its Definitions

Action Buttons	Description
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Cancel	Click **Cancel** to cancel the transaction input midway without saving any data.
Save & Close	Click **Save & Close** to save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Next	Click **Next**, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

Table 1   (Cont.) Common Action Buttons and its Definitions

Action Buttons	Description
Submit	Click **Submit** to complete the transaction after you specify all the input parameters for a particular process. The task will get moved to next logical stage of the process. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.

Symbols and Icons

The list of symbols and icons available on the screens are as follows:

Table 2   Symbols and Icons - Common

Symbol/Icon	Function
⌐ ¬ ⌐ ¬	Minimize
⌐ ¬ ⌐ ¬	Maximize
✕	Close
🔍	Perform Search
▼	Open a list
↔	Date Range
✛	Add a new record
⏮	Navigate to the first record
⏭	Navigate to the last record
◀	Navigate to the previous record
▶	Navigate to the next record
▦	Grid view
▤	List view

Table 2   (Cont.) Symbols and Icons - Common

Symbol/Icon	Function
	Refresh
	Click this icon to add a new row.
	Click this icon to delete a row, which is already added.
	Calendar
	Alerts
	Unlock Option
	View Option
	Reopen Option

Table 3   Symbols and Icons - Widget

Symbol/Icon	Function
	Open status
	Unauthorized status
	Rejected status
	Closed status
	Authorized status
	Modification Number

1

Oracle Banking Trade Finance Process Management

This topic helps you quickly get acquainted with the Oracle Banking Trade Finance Process Management process.

Welcome to the Oracle Banking Trade Finance Process Management (OBTFPM) User Guide. This guide provides an overview on the OBTFPM application and takes you through the various steps involved in creating and processing Trade Finance transactions.

This document will take you through following activities in OBTFPM:

- To create and handle Trade Finance transaction.

- Help users to conveniently create and process Trade Finance transaction

Overview

OBTFPM is a Trade Finance middle office platform, which enables bank to streamline the Trade Finance operations. OBTFPM enables the customers to send request for new Trade Finance transaction either by visiting the branch (offline channels) or through SWIFT/Trade Portal/other external systems (online channels).
Benefits

OBTFPM helps banks to manage Trade Finance operations across the globe in different currencies. OBTFPM allows you to:

- Handle all Trade Finance transactions in a single platform.

- Provides support for limit verification and limit earmarking.

- Provide amount block support for customer account.

- Provides acknowledgement to customers.

- Enables the user to upload related documents during transaction.

- Enables to Integrate with back end applications for tracking limits, creating limit earmarks, amount blocks, checking KYC, AML and Sanction checks status.

- Create, track and close exceptions for the above checks.

- Enables to use customer specific templates for fast and easy processing of trade transactions that reoccur periodically.

Key Features

- Stand-alone system that can be paired with any back end application.

- Minimum changes required to integrate with bank's existing core systems.

- Faster time to market.

- Capable to interface with corporate ERP and SWIFT to Corporate.

- Highly configurable based on bank specific needs.

- Flexibility in modifying processes.

2

Shipping Guarantee Issuance

This User Manual describes the various stages of Shipping Guarantee Issuance process.

As a part of Shipping Guarantee Issuance, the applicant approaches a Bank and requests the bank to issue a Shipping Guarantee on their behalf to the Beneficiary (Shipping Company).

This topic contains following subtopics:

- Common Initiation Stage
- Registration
- Data Enrichment
- Exceptions
- Multi Level Approval

- Common Initiation Stage
  This topic provides the systematic instructions to initiate the new **Shipping Guarantee Issuance** request.

- Registration
  This topic provides the systematic instructions to initiate the Registration stage of Shipping Guarantee Issuance request.

- Data Enrichment
  This topic provides the systematic instructions to initiate the Data Enrichment stage of Shipping Guarantee Issuance request.

- Exceptions
  This topic helps you quickly get acquainted with the Exceptions process.

- Multi Level Approval
  This topic helps you quickly get acquainted with the Multi Level Approval process.

2.1 Common Initiation Stage

This topic provides the systematic instructions to initiate the new **Shipping Guarantee Issuance** request.

Specify **User ID** and **Password**, and login to **Home** screen.

1. On **Home** screen, click **Trade Finance**. Under **Trade Finance**, click **Initiate Task**.

   The **Initiate Task** screen appears.

   Figure 2-1   Initiate Task

2. On **Initiate Task** screen, specify the fields.

> **✎ Note:**
>
> The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

Table 2-1   Initiate Task - Field Description

Field	Description
Process Name	Select a process name from the drop-down list.
Customer ID	Click search icon to search and select the customer ID from the look up.
Branch	Select the required branch code from the drop-down list.

For more information on action buttons, refer to the field description table below.

Table 2-2   Action Buttons - Field Description

Field	Description
Proceed	Task will get initiated to next logical stage.
Clear	Click to clear the contents update and enter the values again.

3. Click **Proceed** to proceed to the next step.

2.2 Registration

This topic provides the systematic instructions to initiate the Registration stage of Shipping Guarantee Issuance request.

The first stage of Shipping Guarantee Issuance process starts from the Registration Stage. The user can initiate Shipping Guarantee issuance from the Registration process. The first stage of Shipping Guarantee Issuance process starts from the Registration Stage. The user can initiate Shipping Guarantee issuance from the Registration process. The

OBTFPM user can process MT798 with sub messages MT726-MT759 message received through SWIFT. The OBTFPM verifies the field 21 and 26E (of the MT759 and identifies the Original Contract Reference Number and Amendment Number and invokes the process. The user can cancel the previously received MT798 referenced message which is under process.

The OBTFPM user can process incoming MT798(up to a maximum of 8 messages) with sub messages MT788-MT799 message received through SWIFT and enables the user to cancel the previously received MT798 referenced message which is under process.

Specify **User ID** and **Password**, and login to **Home** screen.

Figure 2-2   LogIn Screen

1. On **Home** screen, click **Trade Finance**. Under **Trade Finance**, click **Shipping Guarantee**.

2. Under **Shipping Guarantee**, click **Shipping Guarantee Issuance**.

Figure 2-3   Shipping Guarantee Issuance

The **Shipping Guarantee Issuance** screen appears.

The Shipping Guarantee Issuance - Registration stage has two sections Application Details and Shipping Guarantee Details. Let's look at the details of Registration screens below:

Figure 2-4   Application Details

The request is received at the Branch/ Front office or Processing centre. The user should be able to input the following details.

3. On **Shipping Guarantee Issuance - Registration - Application Details** screen, specify the fields.

> **Note:**
>
> The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

Table 2-3   Shipping Guarantee Issuance - Registration - Application Details

Field	Description
Issued Against	Select whether this Shipping Guarantee is issued against Documentary Credit or against a Documentary Collection from the drop-down. The options are: • **Documentary Credit** • **Documentary Collection**
Documentary Credit Number	Specify the Documentary Credit number. Alternatively, click **Search** icon to search and select the Documentary Credit number from the look-up. This field is enabled if **Documentary Credit** is selected from the **Issued Against** field.
Customer	The customer ID for the selected Documentary credit is populated in this field, if **Documentary Credit** is selected from the **Issued Against** field. The user can not change the value. Specify the customer ID or click **Search** to search and select the customer ID from the look-up, if **Documentary Collection** is selected from the **Issued Against** field.
Branch	System defaults the branch name from shipping Guarantee / SBLC issuance.
Process Reference Number	Read only field. Unique sequence number for the transaction. This is auto generated by the system based on process name and branch code.
Customer Reference Number	Specify the customer reference number.
Priority	Priority maintained will be populated as either 'Low or Medium or High or Essential or Critical'. If priority is not maintained for a customer, 'Medium' priority will be defaulted. User can change the priority populated any time before submit of Registration stage.
Submission Mode	System defaults the submission mode from Shipping Guarantee. By default the submission mode will have the value as 'Desk'. • **Desk** - Request received through Desk • **Courier** - Request received through Courier • **Online** - Request received through Email User can change the submission mode populated.

Table 2-3   (Cont.) Shipping Guarantee Issuance - Registration - Application Details

Field	Description
Booking Date	Read only field.
	By default, the application displays the branch's current date.
	User cannot change the value. If the task gets approved on a later date, system will populate that date as the booking date.

Shipping Guarantee Details

Registration user can provide Shipping Guarantee details in this section. Alternately, Shipping guarantee details can be provided by Data Enrichment user.

4. On **Shipping Guarantee Issuance - Registration - Guarantee Details** screen, specify the fields.

> **Note:**
>
> The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

Table 2-4   Shipping Guarantee Issuance - Registration - Shipping Guarantee Details - Field Description

Field	Description
Product Code	Specify the applicable Shipping Guarantee product code.
	On tab out system will validate and populate the selected product description. The product codes will be listed based on the selected value in Form of Undertaking.
	Alternatively, click **Search** icon to search and select the product code from the look-up.
Product Description	Read only field.
	Product description is auto populated by the application based on the selected Product Code.
Outstanding LC Amount	Read only field.
	System defaults outstanding LC amount, if any.

Table 2-4   (Cont.) Shipping Guarantee Issuance - Registration - Shipping Guarantee Details - Field Description

Field	Description
SG/DO Amount	Specify the amount for which the shipping guarantee has to be issued. The currency is defaulted by the system, user can change the currency.
Amount In Local Currency	Read only field. System fetches the local currency equivalent value for the LC amount from back office (with decimal places).
Contract Reference Number	Read only field. Auto-generated by back end application. Shipping guarantee back office reference gets simulated and displayed.
User Reference Number	User Reference Number will be auto populated by the system based on selection of Product Code. The user can change the User Reference Number.
SG/DO Beneficiary	Specify the Shipping Guarantee beneficiary details or click **Search** to search and select the Shipping Guarantee beneficiary details from the look-up.
SG/DO Expiry Date	Specify or select the expiry date of the Shipping Guarantee Issuance.
Mode of Transport	Select the mode of shipment from the drop-down The values are: • **Sea** • **Air** • **Road** • **Rail** • **Multimodal** • **Other**
Cargo Arrival Details	Specify the cargo arrival details.
Limit verification required	Enable this option for limit verification.

5. Click **Submit**.

The task will move to next logical stage of Shipping Guarantee Issuance.
For more information on action buttons, refer to the field description table below.

Table 2-5   Shipping Guarantee Issuance - Registration - Action Buttons - Field Description

Field	Description
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is available, system should display all the signatures.

Table 2-5   (Cont.) Shipping Guarantee Issuance - Registration - Action Buttons - Field Description

Field	Description
Documents	Upload the documents received. Application displays mandatory documents to be uploaded for Shipping Guarantee Issuance. Place holders are also available to upload additional documents submitted by the applicant
Remarks	Specify any additional information regarding the Shipping Guarantee Issuance. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Customer Instruction	Click to view/ input the following: • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Common Group Messages	Click Common Group Message button, to send MT799 and MT999 messages from within the task.
View LC	Clicking this button allows the user to view the latest underlying LC details from the back office system. This button appears, if **Documentary Credit** is selected from the **Issued Against** field.
Events	Clicking Events button allows the user to view all the previous events under the LC. This button appears, if **Documentary Credit** is selected from the **Issued Against** field.
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Cancel	Cancels the Shipping Guarantee Issuance task. Details entered will not be saved and the task will be removed.
Save & Close	Save the information provided and holds the task in 'My Task' queue for working later. This option will not submit the request.
Submit	Click Submit, system will trigger acknowledgment to the customer and give confirmation message for successful submission. The task will move to next logical stage of Shipping Guarantee Issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.
Checklist	Click to view the list of items that needs to be completed and acknowledge. If mandatory checklist items are not selected, system will display an error on submit.

• Document Linkage
This topic provides the systematic instructions to initiate the document linkage.

2.2.1 Document Linkage

This topic provides the systematic instructions to initiate the document linkage.

In OBTFPM, system should display Document Ids available in the DMS system. In DMS system, the documents can be Uploaded and stored for future access. Every document stored in DMS will have a unique document id along with other Metadata. The uploaded Document image in the DMS should be available/queried in the Process flow stage screens to link with the task by using the Document ID.

System displays the Documents ids which is not linked with any of the task. Mid office should allow either upload the document or link the document during task processing. The Mid office should allow to Link the same Document in multiple tasks.

Specify **User ID** and **Password**, and navigate to **Registration** screen.

1. On the header of **Registration** screen, click, **Documents**.

   The **Document** pop-up screen is displayed.

2. Click the **Add Additional Documents** button/ link.

The **Document** screen is displayed.

Field	Description
Document Type	Select the document type from list. Indicates the document type from metadata.
Document Code	Select the document Code from list. Indicates the document Code from metadata.
Document Title	Specify the document title.
Document Description	Specify the document description.
Remarks	Specify the remarks.
Document Expiry Date	Select the document expiry date.
Link Document	The link to link the existing uploaded documents from DMS to the workflow task.

3. Select the document to be uploaded or linked and click the **Link Document** link.

The link **Document** pop up screen is displayed.
The value selected in **Document Type** and **Document Code** of **Document** screen are defaulted in the **Link Document Search** screen.

4. Click **Fetch** to retrieve the details from DMS.

   System displays all the documents available for the given **Document Type** and **Document Code** for the customer.

Field	Description
Customer ID	This field displays the transaction Customer ID.
Document ID	Specify the document ID.
Document Type	Select the document type from list.
Document Code	Select the document Code from list.
Search Result	
Document ID	This field displays the document ID from metadata.
Customer ID	This field displays the transaction customer ID.
Document Type	This field displays the document type from metadata.
Document Code	This field displays the document code from metadata.
Link Document	The link to link the existing uploaded documents from DMS to the workflow task.
Upload Date	The field displays the upload date of the document.
Reference Number	The field displays the reference number of the document.

5. Click **Link** to link the particular document required for the current transaction.

Post linking the document, the user can View, Edit and Download the document.

6. Click **Edit** icon to edit the documents.

The **Edit Document** screen is displayed.

2.3 Data Enrichment

This topic provides the systematic instructions to initiate the Data Enrichment stage of Shipping Guarantee Issuance request.

On successful completion of Registration of an Shipping Guarantee Issuance request, tthe request moves to Data Enrichment stage. At this stage the bank user would be able to update fields, check the limits and other legal and financial risks the bank is exposed to and either approve or reject or refer the transaction to the customer for changes. The user should also be able to input transaction details.
Requests that are created online (Trade Portal) the task will be created in DE stage directly and the fields will be populated based on the incoming request. Submission mode for online requests will be "Online".

> **✎ Note:**
>
> For expired line of limits, the task moves to "Limit Exception" stage under Free Tasks, on 'Submit' of DE Stage with the reason for exception as "Limit Expired".

Do the following steps to acquire a task currently at Data Enrichment stage:

Specify **User ID** and **Password**, and login to **Home** screen.

1. On **Home** screen, click **Task**.

2. Under **Task**, click **Free Task**.

Figure 2-5   Free Task

The **Free Task** screen appears.

3. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to acquire the task.

4. The acquired task will be available in **My Tasks** tab. Click **Edit** to scrutinize the registered task or provide input for Data Enrichment stage.

Figure 2-6 My Task

The Data Enrichment stage has the following hops for data capture:

- Main Details

- Shipment Details

- Additional Fields

- Advices

- Additional Details

- Settlement Details

- Summary

Let's look at the details for Data Enrichment stage. User can enter/update the following fields as part of Shipping Guarantee Issuance - Data Enrichment Stage.

- Main Details
  This topic provides the systematic instructions to initiate the main details of Data Enrichment stage of Shipping Guarantee Issuance request.

- Shipment Details
  This topic provides the systematic instructions to capture the shipment details of Shipping Guarantee Issuance request.

- Additional Fields
  This topic provides the systematic instructions to capture the additional fields.

- Advices
  This topic provides the systematic instructions to capture the advices details of Shipping Guarantee Issuance process.

- Additional Details
  This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Shipping Guarantee Issuance process.

- **Settlement Details**
  This topic provides the systematic instructions to capture the settlement details of Shipping Guarantee Issuance request.

- **Summary**
  This topic provides the systematic instructions to view the summary details in Data Enrichment stage of Shipping Guarantee Issuance process.

2.3.1 Main Details

This topic provides the systematic instructions to initiate the main details of Data Enrichment stage of Shipping Guarantee Issuance request.

Main details section has two sub section as follows:

- Application Details

- Shipping Guarantee Details.

Application Details
Applications from Online channels will be directly available in the Data Enrichment stage and the fields will be populated with the details from incoming request.

1. On **Data Enrichment - Main** screen, specify the fields that were not entered at Registration stage.

Figure 2-7   Data Enrichment - Main

> **Note:**
>
> The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

Table 2-6   Main - Application Details - Field Description

Field	Description
Issued Against	Read only field. The value is defaulted from Registration stage.
Documentary Credit Number	Read only field. The value is defaulted from Registration stage
Customer	Read only field. The value is defaulted from Registration stage
Branch	System defaults the branch name from shipping Guarantee / SBLC issuance.
Process Reference Number	Read only field. Unique sequence number for the transaction. This is auto generated by the system based on process name and branch code.
Customer Reference Number	Specify the customer reference number.
Priority	Priority maintained will be populated as either 'Low or Medium or High or Essential or Critical'. If priority is not maintained for a customer, **Medium** priority will be defaulted. User can change the priority populated any time before submit of Registration stage.
Submission Mode	System defaults the submission mode from the Registration stage. By default the submission mode will have the value as 'Desk'. • **Desk** - Request received through Desk • **Courier** - Request received through Courier • **Online** - Request received through Email User can change the submission mode populated. **✎ Note:** When the requests that are created online (Trade Portal) then the Submission mode for online requests will be "Online" and user cannot change the Submission mode.
Booking Date	Read only field. By default, the application displays the branch's current date.

Shipping Guarantee Details

The fields listed under this section are same as the fields listed under the **Shipping Guarantee Details** section in Registration stage. For more information on the fields, refer **Registration** stage. During registration, if user has not captured input, then user can capture the details in this section.

Figure 2-8   Shipping Guarantee Details

For more information on fields, refer to the field description table below.

Table 2-7   Shipping Guarantee Details - Field Description

Field	Description
Product Code	Read only field. System defaults the product code from the Registration stage.
Product Description	Read only field. Product description is auto populated by the application based on the Product Code.
Outstanding LC Amount	Read only field. System defaults outstanding LC amount, if any.
SG/DO Amount	System defaults the shipping guarantee amount from the Registration stage. User can change the currency and amount.
Amount In Local Currency	Read only field. System fetches the local currency equivalent value for the LC amount from back office (with decimal places).
Contract Reference Number	Read only field. Auto-generated by back end application. Shipping guarantee back office reference gets simulated and displayed.
User Reference Number	User Reference Number will be auto populated by the system based on selection of Product Code. The user can change the User Reference Number.
SG/DO Beneficiary	System defaults the Shipping Guarantee beneficiary details from the Registration stage. The user can change the beneficiary details.
SG/DO Expiry Date	System defaults the expiry date of the Shipping Guarantee from the Registration stage. The user can change the expiry date.
Mode of Transport	System defaults the mode of transport details from the Registration stage. The user can change the mode of transport details.
Cargo Arrival Details	Specify the cargo arrival details.
Limit verification required	Enable this option for limit verification.

Audit

This button provides information about user initiated the transaction, initiated date, stage wise detail etc.

For more information on audit, refer to the field description table below.

Table 2-8   Audit - Field Description

Field	Description
Application No.	This field displays the appliation number of the process.

Table 2-8   (Cont.) Audit - Field Description

Field	Description
Branch Code	This field displays the branch code.

Table 2-8   (Cont.) Audit - Field Description

Field	Description
Initiated Date	This field displays the date on which process is initiated.

Table 2-8   (Cont.) Audit - Field Description

Field	Description
Initiated By	This field displays the user ID of the user who had initiated the p

Table 2-8   (Cont.) Audit - Field Description

Field	Description
	rocess.

Table 2-8   (Cont.) Audit - Field Description

Field	Description
Process Name	This field displays the name of the process which his is initiated.

Table 2-8   (Cont.) Audit - Field Description

Field	Description
S. No	This field displays the serial number of the audit record.

Table 2-8   (Cont.) Audit - Field Description

Field	Description
Stage Name	This field displays the current stage of the process.

Table 2-8   (Cont.) Audit - Field Description

Field	Description
Completed Time	This field displays the time on which the audit of the current stage

Table 2-8   (Cont.) Audit - Field Description

Field	Description
	is completed.

Table 2-8   (Cont.) Audit - Field Description

Field	Description
Completed By	This field displays the user ID of the user who had completed the

Table 2-8   (Cont.) Audit - Field Description

Field	Description
	e audit.
Outcome	This field displays the outcome of the audit.

2. Click **Next**.

The task will move to next data segment. For more information refer Shipment Details.

Table 2-9   Main Details - Action Buttons - Field Description

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
Documents	Click to View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application.
Remarks	Specify any additional information regarding the Guarantee Issuance Claim Settlement. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

Table 2-9   (Cont.) Main Details - Action Buttons - Field Description

Field	Description
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Cancel	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

2.3.2 Shipment Details

This topic provides the systematic instructions to capture the shipment details of Shipping Guarantee Issuance request.

User can view the shipment details updated during Shipping Guarantee Issuance.

1. On **Shipment Details** screen, specify the fields.

Figure 2-9   Shipment Details

For more information on fields, refer to the field description table below.

Table 2-10   Shipment Details – Field Description

Field	Description
Shipment Details	
Date Of Shipment	Specify or select the shipment date. If the shipment date is a future date, system should display an Error message.
Port Of Loading	Specify the port of loading.
Port Of Discharge	Specify the port of discharge.
Carrier Name	Specify the name of the carrier through which the goods were shipped.
Bill of Landing/ AWB No.	Specify the Bill of lading number or Airway Bill number.
Shipping Marks	Specify the shipment marks and number.
Shipping Agent Name	Specify the name of the shipping agent.
Goods Details This section displays the goods details from Export Collection Liquidation. The user can click **+** to add multiple descrption of goods and services.	
Goods Code	Against LC – System defaults the License Details as per LC details Against BC - User to select the License Details as per the documents
Goods Type	System defaults the goods type as per the selected goods code.
Goods Description	Against LC – System defaults the Goods Description as per LC details. Against BC - User to select the Goods Description as per the documents.
Figure 2-10 Edit icon 	Click Edit icon to edit the goods description.
No of Units	Specify the number of units being imported or exported as per the documents.
Price per Unit	Specify the unit price as per the documents.
Total Amount	System to calculate the total price. In case of online request, the system should populate the total amount from incoming request. System should validate that the total amount is equal to the value of the transaction (LC/Collection).
Action	Click Edit icon to edit the goods details. Click Delete icon to delete the goods details.
Shipping Guarantee Details	
Shipping Guarantee Text	Specify the shipping guarantee text.

2. Click **Next**.

The task will move to next data segment. For more information refer Additional Fields.

Table 2-11   Shipment Details - Action Buttons - Field Description

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.
Documents	View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application.
Remarks	Specify any additional information regarding the collection. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.
Request Clarification	Click the Request Clarification button to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

Table 2-11 (Cont.) Shipment Details - Action Buttons - Field Description

Field	Description
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Cancel	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	On click of Back, system moves the task back to previous data segment.
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

2.3.3 Additional Fields

This topic provides the systematic instructions to capture the additional fields.

Based on the User defined fields maintained system defaults the UDF maintained.

1. On **Additional Fields** screen, specify the fields, if any.

Figure 2-11 Additional Fields

2. Click **Next**.

The task will move to next data segment. For more information refer Advices.
For more information on action buttons, refer to the field description table below.

Table 2-12   Additional Fields - Action Buttons - Field Description

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.
Documents	View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
Remarks	Specify any additional information regarding the shipping guarantee. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.
Request Clarification	User can specify the clarification details for requests received online.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Cancel	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.

Table 2-12   (Cont.) Additional Fields - Action Buttons - Field Description

Field	Description
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Back	On click of Back, system moves the task back to previous data segment.
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

2.3.4 Advices

This topic provides the systematic instructions to capture the advices details of Shipping Guarantee Issuance process.

A Data Enrichment User can verify the advices details data segment of the incoming Shipping Guarantee Issuance request. This section defaults the advices maintained at the Product level. User can also suppress the Advice, if required.

1. On **Advices** screen, click the 3 dots on any advice tile to view the advice details.

Figure 2-12   Advices

Advice Details

For more information on fields, refer to the field description table below.

Table 2-13   Advice Details

Field	Description
Suppress Advice	Enable this option to suppress the advice. Disable this option if suppress advice is not required.
Advice Name	Displays the advice name.
Medium	Displays the medium of advices is defaulted from the system.
Advice Party	Displays the advice party is defaulted from the system.

Table 2-13   (Cont.) Advice Details

Field	Description
Party ID	Displays the party Id defaulted from system.
Party Name	Displays the defaulted from Shipping Guarantee.
FTT Code	Specify the free format text based on the following table. Click plus icon to add new FFT code.
FTT Code	Click **Search** to search and select the FFT Code.
FFT Description	FFT description is populated based on the FFT code selected. User can edit the FFT description.
	Click edit icon to edit the existing FFT description.
Action	Click delete icon to remove any existing FFT code. Click edit icon to edit the existing FFT code.
Instructions	Specify the instruction details based on the following table. Click plus icon to add new instruction code.
Instruction Code	Click **Search** to search and select the instruction Code.
Instruction Description	Instruction description is populated based on the instruction code selected. User can edit the instruction description.
	Click edit icon to edit the existing instruction description.
Action	Click delete icon to remove any existing instruction code. Click edit icon to edit the existing instruction code.

2. Click **Next**.

   The task will move to next data segment.
   For more information on fields, refer to the field description table below.

Table 2-14   Advices - Action Buttons - Field Description

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
Documents	Click to View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application

Table 2-14   (Cont.) Advices - Action Buttons - Field Description

Field	Description
Remarks	Specify any additional information regarding the Shipping Guarantee Issuance. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.

Table 2-14   (Cont.) Advices - Action Buttons - Field Description

Field	Description
Cancel	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	Clicking on Back button, takes the user to the previous screen.
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

2.3.5 Additional Details

This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Shipping Guarantee Issuance process.

A Data Enrichment user can verify/input/update the basic additional details available in the Shipping Guarantee Issuance request.

1. On **Additional Details** screen, click the 3 dots on any Additional Details tile to view the details.

Figure 2-13   Additional Details

Limits & Collateral

On Approval, system should not release the Earmarking against each limit line and system should handoff the "Limit Earmark Reference Number "to the back office. On successful handoff, back office will make use of these "Limit Earmark Reference Number" to release the Limit Earmark done in the mid office (OBTFPM) and should Earmark the limit from the Back office.

In case multiple Lines are applicable, Limit Earmark Reference for all lines to be passed to the back office.

Figure 2-14   Limit Details

Figure 2-15   Collateral Details

When the Shipping Guarantee contract is Issued Against Documentary Credit, then system should auto fetch the Collateral Details from the underlying LC (if it is available in the LC). User can only add the additional collateral when the Shipping Guarantee contract is issued against Documentary Collection.

Figure 2-16   Deposit Linkage Details

For more information on fields, refer to the field description table below.

Table 2-15   Limit Details - Field Description

Field	Description
Limit Details	Click + plus icon to add new limit details.
	Below fields are displayed on the Limit Details pop-up screen, if the user clicks plus icon.
Customer ID	This field displays the applicant's/applicant bank customer ID defaulted from the application.
Linkage Type	Select the linkage type.
	Linkage type can be:
	• **Facility**
	• **Liability**
	By default Linkage Type should be **Facility**.

Table 2-15   (Cont.) Limit Details - Field Description

Field	Description
Contribution %	System will default this to 100%. User can modify, if contribution is more than 100%. System will display an alert message, if modified. Once contribution % is provided, system will default the amount. System to validate that if Limit Contribution% plus Collateral% is equal to 100. If the total percentage is not equal to 100 application will display an alert message. **Note:** The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message "Defaulted Collateral Percentage modified.
Liability Number	Click **Search** to search and select the Liability Number from the look-up. The list has all the Liabilities mapped to the customer.
Contribution Currency	This field displays the contribution currency.
Line ID/Linkage Ref No	Click **Search** to search and select from the various lines available and mapped under the customer id gets listed in the drop-down. LINE ID-DESCRIPTION will be available for selection along with Line ID. When you click on 'verify', the system will return value if the limit check was successful or Limit not Available. If limit check fails, the outstanding limit after the transaction value will be shown in the limit outstanding amount. The user can click the Line Id link to view the limit details. **Note:** User can also select expired Line ID from the lookup and on clicking the verify button, system should default "The Earmarking cannot be performed as the Line ID is Expired" in the "Response Message" field. This field is disabled and read only, if **Linkage Type** is Liability.
Limit/Liability Currency	This field displays the limit currency, when the user select the **Liability Number**.
Limits Description	This field displays the limits description.
Limit Check Response	This field displays the limit check response. Response can be 'Success' or 'Limit not Available' based on the limit service call response. The value in this field appears, if you click the **Verify** button.
Amount to Earmark	Amount to Earmark will default based on the contribution %. User can change the value.
Expiry Date	This field displays the date up to which the Line is valid.

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Table 2-15   (Cont.) Limit Details - Field Description

Field	Description
Limit Available Amount	This field displays the value of available limit, i.e., limit available without any earmark. The Limit Available Amount must be greater than the Contribution Amount. The value in this field appears, if you click the **Verify** button.
Response Message	This field displays the detailed response message. The value in this field appears, if you click the **Verify** button.
ELCM Reference Number	This field displays the ELCM reference number.
Limit Details grid	Below fields appear in the **Limit Details** grid along with the above fields.
Line Serial	Displays the serial of the various lines available and mapped under the customer id. This field appears on the Limits grid.
View	Click the link to view the **Limit Details**.
Cash Collateral Details	Click plus icon to add new collateral details.
Collateral Percentage	Specify the percentage of collateral to be linked to this transaction.
Collateral Currency and amount	System populates the contract currency as collateral currency by default. User can modify the collateral Currency and amount.
Exchange Rate	System populates the exchange rate maintained. User can modify the collateral Currency and amount. System validates for the Override Limit and the Stop limit if defaulted exchange rate is modified.
Collateral Details pop-up screen	Click **+** plus icon or **View** link to add/view collateral details. Provide the collateral details based on the description provided in the following table: Below fields are displayed on the **Collateral Details** pop-up screen, if the user clicks plus icon or **View** link.
Total Collateral Amount	Read only field. This field displays the total collateral amount provided by the user.
Collateral Amount to be Collected	Read only field. This field displays the collateral amount yet to be collected as part of the collateral split.
Sequence Number	Read only field. The sequence number is auto populated with the value, generated by the system.
Collateral Split %	Specify the collateral split% to be collected against the selected settlement account.
Collateral Contribution Amount	Specify the collateral amount to be collected against the selected settlement account. User can either provide the collateral % where the collateral amount will be auto populated or modifying the collateral amount will auto correct the collateral %.
Settlement Account	Click **Search** to search and select the settlement account for the collateral.
Settlement Account Currency	Read only field. This field displays the settlement account currency defaulted by the system.

Table 2-15   (Cont.) Limit Details - Field Description

Field	Description
Exchange Rate	Read only field. This field displays the exchange rate, if the settlement account currency is different from the collateral currency.
Contribution Amount in Account Currency	Read only field. This field displays the contribution amount in the settlement account currency as defaulted by the system.
Account Available Amount	Read only field. System populates the account available amount on clicking the **Verify** button.
Response	Read only field. System populates the response on clicking the **Verify** button.
Response Message	Read only field. System populates the response message on clicking the **Verify** button.
Verify	Click to verify the account balance of the Settlement Account.
Save & Close	Click to to save and close the record.
Cancel	Click to cancel the entry.
Cash Collateral Details grid	Below fields appear in the **Cash Collateral Details** grid along with the above fields.
Collateral %	Specify the percentage of collateral to be linked to this transaction. If the value is more than 100% system will display an alert message. The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message "Defaulted Collateral Percentage modified.
Contribution Amount	This field displays the collateral contribution amount. The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message "Defaulted Collateral Percentage modified.
Account Balance Check Response	Read only field. System populates the account balance check response on clicking the **Verify** button.
Edit/ View	Click **Edit/ View** link to edit/view the collateral details.
Deposit Linkage Details	Click plus icon to add new deposit linkage details. System allows the user to Link one or more existing Deposits as a contribution to secure underlying transactions. On Submit of DE stage, system will create Linkage of the Deposit/modification of existing Linkage by calling Back-office system (DDA) system directly.Click + plus icon to add new Deposit Linkage details. Below fields are displayed on the **Deposit Linkage Details** pop-up screen, if the user clicks plus icon.
Customer ID	This field displays the applicant's/applicant bank customer ID defaulted from the application. User can change the customer ID.

Table 2-15   (Cont.) Limit Details - Field Description

Field	Description
Deposit Account	Click **Search** to search and select deposit for linkage from the list of all the customer Deposits. All the deposits of the customer should be listed in the look-up search. User can select the deposit for linkage.
Deposit Branch	This field displays the deposit branch that is auto-populated based on the deposit account selection.
Deposit Available Amount	This field displays the deposit available amount and currency that is auto-populated based on the deposit account selection.
Deposit Maturity Date	This field displays the maturity date of deposit.
Exchange Rate	This field displays the latest exchange rate for deposit linkage. This will be picked up from the exchange rate maintenance from the common core.
Deposit Available In Transaction Currency	This field displays the deposit amount available, after exchange rate conversion, if applicable.
Linkage Percentage %	Specify the value for linkage percentage.
Linkage Amount (Transaction Currency)	This field displays the transaction amount, user can change the value. System validates the linking amount with available Deposit balance and should not allow to link more than the available amount.
Deposit Linkage Details grid	Below fields appear in the **Deposit Linkage Details** grid along with the above fields.
Deposit Currency	Deposit currency will get defaulted in this field.
Transaction Currency	Transaction currency will get defaulted in this field from the underlying task.
Edit	Click edit link to edit the deposit linkage details.

2. Click **Save and Close** to save the details and close the screen.

Charge Details

This section displays charge details. On Charge Details screen, charges and tax if any will get defaulted from Back end simulation. If default charges are available under the product, they should be defaulted here with values. If customer or customer group specific charges are maintained, then the same will be defaulted from back end system.

For more information on fields, refer to the field description table below.

Table 2-16   Charge Details - Field Description

Field	Description
Commission Details	This section displays the commission details. All charges, commission and margin are collected from the counter-party by default.
Component	This field displays the commission component.
Rate	This field displays the rate that is defaulted from product. The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate. If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.
Modified Rate	From the default value, if the rate is changed the value gets updated in this field.
Currency	This field displays the currency in which the commission have to be collected.
Amount	This field displays the amount that is maintained under the product code. The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate, but not the commission amount directly. The amount gets modified based on the rate changed and the new amount is calculated in back office based on the new rate and is populated in OBTFPM. If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.
Modified Amount	From the default value, if the amount is changed, the value gets updated in the modified amount field.

Table 2-16   (Cont.) Charge Details - Field Description

Field	Description
Defer	If enabled, charges/commissions has to be deferred and collected at any future step.
Waive	Based on the customer maintenance, the charges/commission can be marked for Billing or Defer. If the defaulted Commission is changed to defer or billing or waive, system must capture the user details and the modification details in the 'Remarks' place holder.
Charge Party	Charge party is 'Applicant' by default. User can change the value to Beneficiary.
Settlement Account	Select the settlement account.
Amendable	Displays if the field is amendable or not.
Charge Details	This section displays the **Charge Details**.
Component	This field displays the charge component type.
Tag Currency	This field displays the tag currency in which the charges have to be collected.
Tag Amount	This field displays the tag amount that is maintained under the product code.
Currency	This field displays the currency in which the charges have to be collected.
Amount	This field displays the amount that is maintained under the product code.
Modified	From the default value, if the rate is changed or the amount is changed, the value gets updated in the modified amount field.
Billing	If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is 'Billing' enabled, 'Billing' toggle for that component should be automatically enabled in OBTFPM. The user can not enable/disable the option, if it is de-selected by default. This field is disabled, if 'Defer' toggle is enabled.
Defer	If charges have to be deferred and collected at any future step, this check box has to be selected. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is AR-AP tracking enabled, 'Defer' toggle for that component should be automatically checked in OBTFPM. The user can enable/disable the option the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.
Waive	Enble the toggle, if charges has to be waived. Based on the customer maintenance, the charges should be marked for Billing or for Defer. This field is disabled, if **Defer** toggle is enabled.
Charge Party	Charge party is applicant by default. User can change the value to beneficiary.
Settlement Account	Select the settlement account.

Table 2-16　(Cont.) Charge Details - Field Description

Field	Description
Tax Details	Displays the tax details. The tax component is calculated based on the commission and defaults if maintained at product level. User cannot update tax details and any change in tax amount on account of modification of charges/ commission will be available on click of Re-Calculate button or on hand off to back-end system.
Component	This field displays the tax component.
Type	This field displays the type of tax component.
Value Date	This field displays the value date of tax component.
Currency	This field displays the currency in which the tax have to be collected. The tax currency is the same as the commission.
Amount	This field displays the tax amount based on the percentage of commission maintained. You can edit the tax amount, if applicable.
Billing	If taxes are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. This field is disabled, if 'Defer' toggle is enabled.
Defer	If taxes have to be deferred and collected at any future step, this option has to be enabled. The user can enable/disable the option the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.
Settlement Account	System defaults the settlement account. The user can modify the settlement account.

3. Click **Save and Close** to save the details and close the screen.

Preview Mesage

The bank user can view a preview of the message and advice simulated from back office which is based on the shipping guarantee details captured in the previous screen.

For more information on fields, refer to the field description table below.

Table 2-17   Preview Message - Field Description

Field	Description
Preview SWIFT Message	
Language	Read only field. The language to preview the draft shipping guarantee details. English is set as default language for the preview.
Message Type	Select the message type from the drop-down.
Message Status	Read only field. Display the message status of draft message of guarantee details.
Repair Reason	Read only field. Display the message repair reason of draft message of guarantee details.
Preview Message	This field displays a preview of the draft message.
Preview Mail Device	
Language	Read only field. The language for the advice message. English is set as default language for the preview.
Advice Type	Select the advice type.
Message Status	Read only field. Display the message status of draft message of guarantee details.
Repair Reason	Read only field. Display the message repair reason of draft message of guarantee details.
Preview Message	This field displays a preview of advice.
Draft Confirmation Required	This toggle enables the user to select if draft confirmation is required or not.
Following fields will have values on receipt of customer response.	
Customer Response	Specify the response received from customer. If the response is received online, the response is auto populated in this field by the system.
Customer Remarks	Remarks from the customer for the draft.
Response Date	Customer Response received date.
Default Email list	Default email address of the customer.
Add Recipients	Enables to add more recipients for the customer response.

4. Click **Save and Close** to save the details and close the screen.

5. Click **Next**.

The task will move to next data segment. For more information refer Settlement Details. For more information on action buttons, refer to the field description table below.

Table 2-18   Additional Details - Action Buttons - Field Description

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.

Table 2-18   (Cont.) Additional Details - Action Buttons - Field Description

Field	Description
Documents	Click to View/Upload the required document.
	Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.
	When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
Remarks	Specify any additional information regarding the Shipping Guarantee Issuance. This information can be viewed by other users processing the request.
	Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is required, system should display all the signatures
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	Reject Codes are:
	• R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
	Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

Table 2-18   (Cont.) Additional Details - Action Buttons - Field Description

Field	Description
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Cancel	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	Clicking on Back button, takes the user to the previous screen.
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

2.3.6 Settlement Details

This topic provides the systematic instructions to capture the settlement details of Shipping Guarantee Issuance request.

The user can view the settlement details during Shipping Guarantee Issuance request.

1. On **Settlement Details** screen, specify the fields.

Figure 2-17   Settlement Details

For more information on fields, refer to the field description table below.

Table 2-19   Settlement Details – Field Description

Field	Description
Current Event	Select the check box to populate the settlement details of the current event associated with the task. On De-selecting the check box, the system list all the accounts under the settlement details irrespective of the current event
Component	This field displays the components based on the product selected.
Currency	This field displays the default currency for the component.
Debit/Credit	This field displays the debit/credit indicators for the components.
Account	This field displays the account details for the components.
Account Description	This field displays the the description of the selected account.
Account Currency	This field displays the currency for all the items based on the account number.
Netting Indicator	This field displays the applicable netting indicator.
Current Event	This field displays the current event.

2. Click any component in the grid.

Party Details

Table 2-20   Party Details – Field Description

Field	Description
Transfer Type	Select the transfer type from the drop-down list. The options are: • **Customer Transfer** • **Bank Transfer for own account** • **Direct Debit Advice** • **Managers Check** • **Customer Transfer with Cover** • **Bank Transfer**
Charge Details	Select the charge details for the transaction. The options are: • **Beneficiary All Charges** • **Remitter Our Charges** • **Remitter All Charges**
Netting Indicator	Select the netting indicator for the component. The options are: • **Yes** • **No**
Ordering Customer	Click search icon to search and select the ordering customer from the look up.
Ordering Institution	Click search icon to search and select the ordering institution from the look up.
Senders Correspondent	Click search icon to search and select the senders correspondent from the look up.
Receivers Correspondent	Click search icon to search and select the receivers correspondent from the look up.
Intermediary Institution	Click search icon to search and select the intermediary institution from the look up.
Account with Institution	Click search icon to search and select the account with institution from the look up.
Beneficiary Institution	Click search icon to search and select the beneficiary institution from the look up.
Ultimate Beneficiary	Click search icon to search and select the ultimate beneficiary from the look up.
Intermediary Reimbursement Institution	Click search icon to search and select the intermediary reimbursement institution from the look up.
Receiver	Click search icon to search and select the Receiver from the look up.

Payment Details

Table 2-21   Payment Details - Field Description

Field	Description
Sender to Receiver 1	Specify the sender to receiver message.
Sender to Receiver 2	Specify the sender to receiver message.
Sender to Receiver 3	Specify the sender to receiver message.
Sender to Receiver 4	Specify the sender to receiver message.
Sender to Receiver 5	Specify the sender to receiver message.
Sender to Receiver 6	Specify the sender to receiver message.

Remittance Information

Table 2-22   Remittance Information – Field Description

Field	Description
Payment Detail 1	Specify the payment details.
Payment Detail 2	Specify the payment details.
Payment Detail 3	Specify the payment details.
Payment Detail 4	Specify the payment details.

3. Click **Next**.

The task will move to next data segment.

Table 2-23   Settlement Details - Action Buttons - Field Description

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
Documents	Click to View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
Remarks	Specify any additional information regarding the Shipping Guarantee Issuance. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures

Table 2-23   (Cont.) Settlement Details - Action Buttons - Field Description

Field	Description
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Cancel	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	Clicking on Back button, takes the user to the previous screen.
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

2.3.7 Summary

This topic provides the systematic instructions to view the summary details in Data Enrichment stage of Shipping Guarantee Issuance process.

User can review the summary of details updated in Data Enrichment stage of Shipping Guarantee Issuance request.
The Summary tiles displays a list of important fields with values. The tiles where fields have been modified have to be highlighted in different color. User can drill down from Summary Tiles into respective data segments.

1. On **Summary** screen, click the 3 dots on any tile to view the details.

Figure 2-18   Summary

Tiles Displayed in Summary

- Main Details -User can view the application details and Shipping Guarantee/ Standby details. User can modify the details if required.

- Shipment Details - User can view the shipment details.

- Additional Fields - User can view the additional fields.

- Advices - User can view the advices details.

- Limits and Collaterals - User can view the limits and collateral details. User can modify the details if required.

- Commission, Charges and Taxes - User can view the details provided for charges. User can modify the details if required.

- Preview Message - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.

- Accounting Details - User can see the accounting details.

> **Note:**
>
> When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message "Value Date is different from Transaction Date for one or more Accounting entries.

- Parties Details - User can view party details like beneficiary, advising bank etc.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Settlement Details – User should be able to view the settlement details.

2. Click **Submit**.

The task will move to next logical stage.

Table 2-24   Summary - Action Buttons - Field Description

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
Documents	Click to View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
Remarks	Specify any additional information regarding the Shipping Guarantee Issuance. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.

Table 2-24 (Cont.) Summary - Action Buttons - Field Description

Field	Description
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is available, system should display all the signatures.
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Cancel	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	Clicking on Back button, takes the user to the previous screen.
Submit	Task will get moved to next logical stage of Shipping Guarantee Issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. n case of duplicate documents' system will terminate the process after handing off the details to back office.

2.4 Exceptions

This topic helps you quickly get acquainted with the Exceptions process.

The Shipping Guarantee Issuance request, before it reaches the approval stage, the application will validate the Amount Block, KYC and AML. If any of these failed in validation will reach exception stage for further clearance for the exceptions.

Amount Block Exception Approval

User can review the amount block exception for Trade Finance requests that failed to create Amount Block in backend system.

Log in into Oracle Banking Trade Finance Process Management (OBTFPM) system amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue.

Open the task to view the summary tiles. The tiles should display a list of important fields with values.

In Amount block, system checks whether the sufficient balance is available in the account to create the block. On hand-off, system will debit the blocked account to the extent of block and credit charges/ commission account in case of charges block or credit the amount in suspense account for blocks created for collateral.

On Approval, system should not release the Amount Block against each applicable account and system should handoff the "Amount Block Reference Number "to the back office. On successful handoff, back office will make use of these "Amount Block Reference Number" to release the Amount Block done in the mid office (OBTFPM) and should debit the CASA account from the Back office. If multiple accounts are applicable, Amount Block.

Reference for all accounts to be passed to the back office.

Exception is created when sufficient balance is not available for blocking the settlement account and the same can be addressed by the approver in the following ways:

- Approve:
    – Settlement amount will be funded (outside of this process)
    – Allow account to be overdrawn during hand-off
- Refer:
    – Refer Refer back to DE providing alternate settlement account to be used for block.
    – Different collateral to be mapped or utilize lines in place of collateral.
- Reject: Reject the transaction due to non-availability of sufficient balance in settlement account

Summary

Tiles Displayed in Summary:

- Main Details -User can view the application details and Shipping Guarantee/ Standby details. User can modify the details if required.

- Shipment Details - User can view the shipment details.

- Additional Fields - User can view the additional fields.

- Advices - User can view the advices details.

- Limits and Collaterals - User can view the limits and collateral details. User can modify the details if required.

- Commission, Charges and Taxes - User can view the details provided for charges. User can modify the details if required.

- Preview Message - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.

- Accounting Details - User can see the accounting details.

> **Note:**
>
> When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message "Value Date is different from Transaction Date for one or more Accounting entries.

- Parties Details - User can view party details like beneficiary, advising bank etc.

- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

1. Click **Approve**. to approve thw export booking amount bolck exception check.

For more information on Action Buttons, refer to the field description table below.

Table 2-25   Amount Bock Exception - Action Buttons - Field Description

Field	Description
Documents	View/Upload the required document.
Remarks	Specify any additional information regarding the Shipping Guarantee Issuance. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system. User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Approve	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.
Back	Task moves to previous logical step.

Exception - Know Your Customer (KYC)

As part of KYC validation, application will check if necessary KYC documents are available and valid for the applicant. The transactions that have failed KYC due to non-availability / expired KYC verification will reach KYC exception stage.

1. Log in into OBTFPM application, KYC exception queue. KYC exception failed tasks for Trade Finance transactions will be listed in your queue.

2. Open the task, to see summary tiles that display a summary of available updated fields with values.
   User can pick up a transaction and do the following actions:

   Approve

   • After changing the KYC status in the back end application (outside this process).

   • Without changing the KYC status in the back end application.

   • Reject (with appropriate reject reason).

Summary

Figure 2-19   Know Your Customer (KYC) Exception

Tiles Displayed in Summary:

• Main Details -User can view the application details and Shipping Guarantee/ Standby details. User can modify the details if required.

• Shipment Details - User can view the shipment details.

• Additional Fields - User can view the additional fields.

• Advices - User can view the advices details.

• Limits and Collaterals - User can view the limits and collateral details. User can modify the details if required.

- Commission, Charges and Taxes - User can view the details provided for charges. User can modify the details if required.

- Preview Message - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.

- Accounting Details - User can see the accounting details.

> **Note:**
>
> When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message "Value Date is different from Transaction Date for one or more Accounting entries.

- Party Details - User can view party details like beneficiary, advising bank etc.

- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

- Settlement Details – User should be able to view the settlement details.

For more information on Action Buttons, refer to the field description table below.

Table 2-26   Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description

Field	Description
Documents	View/Upload the required document.
Remarks	Specify any additional information regarding the Shipping Guarantee Issuance. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	Click to view/ input the following • Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.

Table 2-26   (Cont.) Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description

Field	Description
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	Reject Codes are:
	• R1- Documents missing
	• R2- Signature Missing
	• R3- Input Error
	• R4- Insufficient Balance/Limits
	• R5 - Others
	Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system. User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes
	Refer Codes are:
	• R1- Documents missing
	• R2- Signature Missing
	• R3- Input Error
	• R4- Insufficient Balance/Limits
	• R5 - Others
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.
	This option is used, if there are any pending information yet to be received from applicant.
Approve	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.
Back	Task moves to previous logical step.

2.5 Multi Level Approval

This topic helps you quickly get acquainted with the Multi Level Approval process.

This stage allows the approver user to approve a Shipping Guarantee Issuance transaction. The user can view the Summary tiles. The tiles should display a list of important fields with values. User must be able to drill down from summary tiles into respective data segments to verify the details of all fields under the data segment.

1. Log in into OBTFPM application and on **Home** screen, click, **Task**.

2. Under **Task**, click **Free Task**.

3. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to edit the task from **My Tasks**.

4. The acquired task will be available in **My Tasks** tab. Click **Edit** to approve the task.

The **Approval Re-Key** pop-up screen appears.

Figure 2-20   Approval Re-Key

The application will request approver for few critical field values as an authorization step. If the values captured match with the values available in the screen, system will allow user to open the transaction screens for further verification. If the re-key values are different from the values captured, then application will display an error message and user will not be able to approve the task.

5. Open the task and re-key some of the critical field values from the request in the **Approval Re-Key** screen.

Some of the fields below will dynamically be available for re-key.:

- Currency

- Amount

Re-key is applicable to the first approver in case of multiple approvers. All approvers will however be able see the summary tiles and the details in the screen by drill down from tiles.

6. Click **Proceed** to proceed for the approval.

The **Approval Summary** screen appears. The user can view the Summary tiles which displays list of important fields with values.

7. Click each tile to drill down from summary tiles into respective data segments to verify the details of all fields under the data segment.

Approval Summary

Tiles Displayed in Summary:

- Main Details -User can view the application details and Shipping Guarantee/ Standby details. User can modify the details if required.

- Shipment Details - User can view the shipment details.

- Additional Fields - User can view the additional fields.

- Advices - User can view the advices details.

- Limits and Collaterals - User can view the limits and collateral details. User can modify the details if required.

- Commission, Charges and Taxes - User can view the details provided for charges. User can modify the details if required.

- Preview Messages - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.

- Party Details - User can view party details like beneficiary, advising bank etc.

- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

- Accounting Details - User can see the accounting details.

> **Note:**
>
> When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message "Value Date is different from Transaction Date for one or more Accounting entries.

- Exceptions (Approval) - User can view the exceptions (approval) details.

- Settlement Details – User should be able to view the settlement details.

For more information on Action Buttons, refer to the field description table below.

Table 2-27   Approval Summary - Action Buttons - Field Description

Field	Description
Documents	View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
Remarks	Specify any additional information regarding Shipping Guarantee Issuance. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.

Table 2-27 (Cont.) Approval Summary - Action Buttons - Field Description

Field	Description
Customer Instructions	Click to view/ input the following • Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Refer	Select a Refer Reason from the values displayed by the system. Refer Codes are: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others
Cancel	Cancel the approval stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Approve	On approve, application must validate for all mandatory field values, and task must move to the next logical stage. If there are more approvers, task will move to the next approver for approval. If there are no more approvers, the transaction is handed off to the back end system for posting.

8. Click **Approve**.

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