**10月份資料品質治理會議(Data Governance Forum)**

**31st, October, 2018 02:00 PM, HT 7F Ireland Room**

**與會人員: Wen Shu (WS), Vivian Shyy (VS), Michael Wang (MW), Jeremy Wu (JW), Jason Ngai (JN), Vivian Chiu (VC), Karin Huang (KH), Jean Kuo (JK), Maggie Chen (MC), Achim Chuang (AC)**

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| 項目 | 討論事項 | 會議內容 | 追蹤事項 | 負責人員 |
| 1 | **前次會議記錄與追蹤事項** |  |  |  |
|  | 前次會議記錄 | The previous meeting minutes are approved. | None | N/A |
|  | 前次會議記錄與追蹤事項 |  |  |  |
|  |  | P1F/P1G: Branch Ops has remediated P1F/P1G with putting the FATCA names in alias names for screening by end of Sep.  Address Remediation: Impact Assessment is completed; it’s pending to GNS team’s approval to upload the data.  Data Domain Owner: Most assigned owners concurred and replied. The forum members have no comments on rest owners’ assignments.  E-loan Enhancement and CDE prevention: To be discussed in RB DQMF section | None  Please see RB DQMF section | N/A  Achim Chuang |
| 2 | **官署報表報送情形** |  |  |  |
|  |  | In Aug’18, total 240 reports currently monitored thru RRMS have been submitted to various regulators in Aug 2018. There was no resubmission as well as no late submission occurred in the month. The total numbers of reports submitted is 7 reports decrease compared to prior month for quarterly and semi-annually reporting submission.  In Sep’18, total 215 reports currently monitored thru RRMS have been submitted to various regulators in Sep 2018. There was no resubmission as well as no late submission occurred in the month. The total numbers of reports submitted is 25 reports decrease compared to prior month for quarterly and semi-annually reporting submission.    MC reported no late or miss submitted in these two months. | None | N/A |
| 3 | **集團報表資料品質報告** |  |  |  |
|  | PMI Report | As for PMI, the statistics are slightly deviated comparing with previous months. JK reported it’s mainly due to 0.9 Mio of State Stress FX fee are mistakenly classified as non-client. JK states manually correction will not | None | N/A |
| 4 | **資料品質相關議題** |  |  |  |
|  | 集團RBICDR專案進度報告 | *P1F/P1G:*  AC reported, due to practical difficulty, we have requested to postpone the target date of P1F; it is agreed by project team that it could be completed by 2018/10 along with P1G. On remediation approached, AC and VS mentioned that considering of FATCA BAU and essence of the name screening risk, for those clients with both effective ID supporting or FATCA form in creation of Master files and FATCA profiles, we should put their FATCA names in the alias name field for screening to mitigate the risk. MW recommended that alias name changes to be recorded and updated to Passport names and alias names when the said two fields being created as planned in the future. AC said he will co-work with Branch Ops and remediate those deficiencies by mid of September.  *P3/P4* *referral marker：*  AC reported that P3/P4 referral marker could not be implemented by year end as planned. Before implementation, AC will extract the name list and updated to “協銷” system for popping up the alarms monthly.  *COA remediation(for CRS) :*  COA remediation request is submitted and we are co-working with GNS project team to assess the impact.  *Address*  MW seeks the opinions of members to determine if we should directly translate English Address to Chinese without checking retained documents. VS mentioned the risk of mistranslation of English Address is minor since due diligent check conducted with Chinese Address only. Considering of efficiency of BAU, only Address with special characters should be reviewed further.   |  |  |  | | --- | --- | --- | | Patterns | Recommended Actions | Members’  Decisions | | Incomplete Address | Directly translate without checking the correctness of address | Agreed | | Incorrect Address | | Address with special characters | Checking the documents and remediate |   *E-loan Enhancement and CDE prevention*  AC stated that E-loan lack of certain mandatory fields, e.g. Country of Address and English Address, and it caused a lot of deficiencies; therefore we asked for funding from DQMF project team and planned to implement prevention by end of this year. AC reported that even we outsourced certain tasks to Vendors; the remained resources still might not be sufficient as CRS occupied most of manpower. Thus, AC proposed monthly remediation conducted as interim solution if progress is behind schedule and could only be completed by 2019 Q1. VS mentioned most of the clients through E-loan are TW clients; the sanction risk is very low. After elaborating the details of remediation, forum members have no comments on the interim solution  *FATCA issues*  AC reported that several issues were found when conducting the remediation project. Prevention will be implemented along with the DQMF project mentioned above.  The forum members unanimously agree with the above approaches and recommendations. | Branch Ops will:  remediate the records through phone tracing and IT request tickets (to put FATCA names on alias field and create FATCA profiles accordingly) by mid of September  As left  To provide sufficient information for GNS team assessing the impact  As members agreed the approaches, the English Address will be updated once GNS team let go.  Branch Ops will trace those clients whose addresses are with special character and provide correct ones to ITO RnC to translate and update to WebCIS.  AC will follow up the progress and proceed the interim solution once the implementation could not go live on time  AC will collaborate with Branch Ops to provide the root causes of the said issues. | Achim Chuang  Branch Operations  Achim Chuang  Branch Operations  Achim Chuang  CDD Ops  Achim Chuang  Branch Operations  Achim Chuang.  Achim Chuang.  Branch Operations |
| 5 | **AOB** |  |  |  |
|  |  | *Data Extraction Procedure amendment*  Minor updates of data extraction procedure. The forum members unanimously agree with the amendment.  *Member changes*  CRO delegated Vivian Chiu to attend this forum in the future. The forum members unanimously agree with the delegation.  *Data Domain Owner*  MW and AC elaborate the R&R of data domain owners of each domain which are newly added and defined in the data quality management procedure. The forum members are well-noted. | None  None  None | N/A  N/A  N/A |
| 6 | **Meeting Closed** |  |  |  |