

Collibra Workflow Design Specification  
Assertion Auto-notification Process

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| **Prepared for:**  Capital One EDM Team |  |  |

Document Control

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| --- | --- | --- | --- |
| Version | Date | Changed by | Description of Change |
| 1.0 | 1/25/2016 | Gouxu Wang | Document initialization |
| 1.1 | 1/28/2016 | Robert Bernardini | Updated all sections except Workflow Configuration |
| 1.2 | 2/1/2016 | Guoxu Wang | Updated Operation Model Changes-- Variables |
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# INTRODUCTION AND BUSINESS REQUIREMENTS

## Overview

An Assertion (as it relates to the quality of data) is a result of the requirements as determined by the Data Usage Agreement (DUA). The DUA is a contract that exists between the Consumer and the Producer defining the data quality requirements for high priority data being consumed. Currently, only Regulatory Reports require the creation of a DUA but a Consumer can opt to create a DUA for any Usage that they own. Within the EDM DQ Standard, the AE-Producer is required to execute against approved DUAs and is responsible for monitoring and publishing data quality for High Priority data elements on a regular basis. In section 3.2 of the DQ Standard, there is a requirement that the DUA contain Assertion and Reporting Requirements. This process defines the frequency and information to be provided attesting to the reliability of the data.

## High Level Business Requirements

The high level business requirement is to send out email notifications if certain tasks of the Assertion process are not completed by the 5th business day of every month. Here is the list of the 5th Business Day of every month in 2016:

|  |  |
| --- | --- |
| **Month** | **BD5** |
| January | 1/8/16 |
| February | 2/5/16 |
| March | 3/7/16 |
| April | 4/7/16 |
| May | 5/6/16 |
| June | 6/7/16 |
| July | 7/8/16 |
| August | 8/5/16 |
| September | 9/8/16 |
| October | 10/7/16 |
| November | 11/7/16 |
| December | 12/7/16 |

### Notification Requirements

| **Req. #** | **Requirement** | **Description** |
| --- | --- | --- |
| REQ N3 | 5th Business Day elapsed time notification | Once an Assertion has been initiated, send a notification if on the 5th business day of the current month one of the following conditions are true:   * The Assertion status is “In Progress” – send the notification to the AE-Producer and the MDS Producer. * The Assertion status is “Under Producer Review” - send the notification to the AE-Producer. |

The Email message text should read as the following:

“Reminder: Per the Data Usage Agreement, your Assertion is due to the Consumer by the end of the day. Please reach out to the Consumer POC if you are unable to meet the due date.”

### Current Assertion Status Requirements

In tracking the status of an Assertion, the following statuses will be used:

* Initiated – When the Assertion process is started by the AE-Producer.
* In Progress – When the PDS or MDS goes through process of creating the Assertion Summary.
* Under Producer Review – When the Assertion process needs to be approved by the AE-Producer or Producer DDRO.
* Under Consumer Review - When the Assertion process needs to be approved by the AE-Consumer.
* Consumer Rejected – Summary - When the AE-Consumer rejects the Assertion and requests changes to the Assertion Summary, the status will be changed to “Consumer Rejected - Summary”.
* Consumer Rejected – DQ Checks - When the AE-Consumer rejects the Assertion and requests that DQ Checks need to be run again, the status will be changed to “Consumer Rejected – DQ Checks”.
* Producer Rejected - When the AE-Producer or Producer DDRO rejects the Assertion, the status will be changed to “Producer Rejected”.
* Approved – When the Assertion process has been completed and finally been approved by the AE-Consumer.

# WORKFLOW LIST

These workflows will need to be created based on the business requirements.

|  |  |  |  |
| --- | --- | --- | --- |
| **Workflow** | **Brief Description** | **Triggered by** | **Triggers** |
| **Assertion Auto-notification** | Create an admin task to host auto-notification activities. | User Action : “Create Assertion Notification” button on Assertion Domain Page | Assertion Auto-notification workflow |

**Filenames**

Assertion\_Auto\_notification.bpmn

# OPERATING MODEL CHANGES REQUIRED

This section describes the changes that are required to the Collibra Operating Model for this workflow.

## Community

No new communities are needed for this workflow.

## Domains

No new domains are needed for this workflow.

## Assets Types

No new Asset Types are needed for this workflow.

## Relation Types

No new Relation Types are needed for this workflow.

## Users, Groups, Roles

### Users

Not applicable.

### Groups

Not applicable.

### Roles (Resource and Global)

Not applicable.

## Status Types

Not applicable.

## Assertion Attribute Types

No new Attribute Types are needed for this workflow.

## Articulation Calculations

Not applicable**.**

## Assertion Auto-Notification Workflow

The Admin needs to provide target year and at least one month and day (mm/dd) to start this workflow. Once started, a user task will be created for admin, this task is used to host the auto-notification activities, admin can stop the task at any time or it will automatically stopped once all the trigger dates (5th business day of each month) has been processed. If the admin user stopped auto-notification task before the last date he provided, then no further activities will be triggered.

# OPERATING MODEL CHANGES REQUIRED

## Workflow Definitions settings

|  |  |
| --- | --- |
| **Start Label** | Create Assertion |
| **What assets does the workflow apply to?** | Assertion Asset Type |
| **What event(s) start the workflow?** | None. |
| **What status transformations happen in this workflow? Status’ in RED are for future Releases** |  |
| **Who can Start the workflow?** | Admin |
| **Who can Stop the workflow?** | Admin |
| **Who can reassign the task?** | Admin |
| **Any guest user can start the workflow?** |  |
| **Any signed in user can start the workflow?** |  |
| **Perform candidate user check on workflow start** |  |
| **This workflow can only run once at the same time on a specific resource** | Yes. |
| **Lock Resource** |  |
| **voteWarningTimeDuration - Please enter time duration before a voting reminder is sent** |  |
| **voteCompletionPercentage - Percentage required to vote before task is completed** |  |
| **sendVotingActionemails - Send an action email to users that are required to vote on the process?** |  |
| **voteTimeoutDuration - Timeout before voting process is forced to continue** |  |
| **reviewWarningTimeDuration - Time duration before sending reminder in "Review Definition" task** |  |
| **reviewTimeoutDuration - Time before review task is forced to continue** |  |
| **reviewCompletionPercentage - Percentage of users for "Review Definition" that need to complete their task before continuing** |  |

## Variables

The following Assertion Form Fields will be captured in the Assertion Auto-notification process:

| **Attribute Name** | **Definition** | **New/ Existing?** | **Data Type** | **Sample values** |
| --- | --- | --- | --- | --- |
| Year | Defines the workflow in activity year | New | Text | 2016 |
| Date(MM/DD) | A list of dates indicate every 5th business day of each month, will be used to trigger auto-notification.(Each date should be separated by comma) | New | Text | 1/7,2/5,3/7 |

Include the variable settings of the Workflow here.

|  |  |  |  |
| --- | --- | --- | --- |
| Name of the variable | Description | Type | Value |
| UUID\_status\_InProgress | UUID of assertion status “In Progress” | string |  |
| UUID\_status\_UnderProducerReview | UUID of assertion status “Under Producer Review” | string |  |
| targetYear | Workflow target year | string | 2016 |
| targetDates | Workflow notification dates | string | 1/7,2/5,3/7 |
| taskTerminate | Self-terminate flag, system use only | Boolean | True/false |
| NotificationDateList | A list of trigger day, system use only | List of dates |  |
| nextNotificationDate | Next trigger day, system use only | date |  |
| InProgressAsseritons | A list of assertions which status is “In Progress”, system use only | List of assertions |  |
| InProgressAEProducerList | AE Producers of assertions which status is “In Progress”, system use only | List of emails |  |
| inProgressAEProducerEmpty | If empty skip notify AE Producer | Boolean |  |
| InProgressMDSList | MDS of assertions which status is “In Progress”, system use only | List of emails |  |
| inProgressProducerMDSEmpty | If empty skip notifiy AE Producer | Boolean |  |
| UnderProducerReviewAssertions | A list of assertions which status is “Under Producer Review”, system use only | List of assetions |  |
| UnderProducerReviewAEProducerList | AE Producers of assertions which status is “Under Producer Review”, system use only | List of emails |  |
| underProducerReviewAEProducerEmpty | If empty, skip notifiy AE Producer | Boolean |  |
| Debug | Debug mode | Boolean | true |

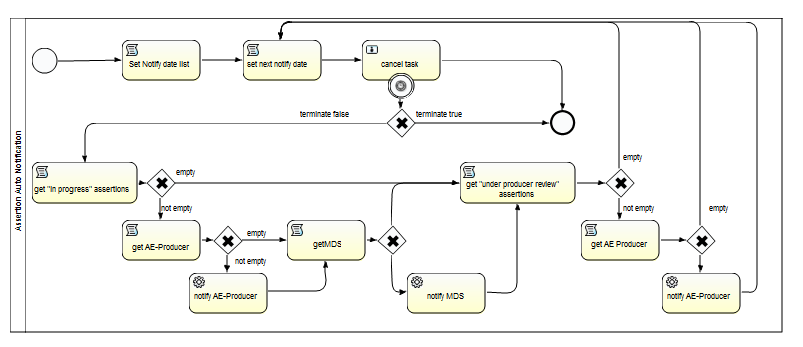
## Assertion Auto-notification Workflow Steps

1. The Admin goes to the Assertion Domain Page and hits the workflow button called Create Assertion Auto-notification. This is only needed to be done once per year.
2. The Admin must enter the following attributes:
   1. Enter a target year
   2. Enter a list of target dates
   3. Submit.
3. After submit, the workflow will create a user task for admin, this task needs no more actions from Admin, it’s used to host auto-notification activities.
4. The user task uses the dates provided by Admin as trigger date. On a trigger day, it will run the following processes:
   1. Get all those assertions which status is marked as “In Progress”.
      1. If no such assertions, skip the following steps and goes to section “b”
      2. Get all AE-Producer and MDS by assertion list
         1. If AE-Producer list is empty then skip the following step and goes to section “3”
         2. Notify AE-Producer
         3. If DMS list is empty then skip the following step and goes to “ii”
         4. Notify DMS
   2. Get all those assertions which status is marked as “Under Producer Review”.
      1. If no such assertions, skip the following steps and goes to section “5”
      2. Get all AE-Producer according to assertion list
         1. If AE-Producer list is empty then skip the following step and goes to section “5”
         2. Notify AE-Producer
5. Waiting for next trigger day (explained in step 4).
   1. The user task will keep running and should not be finished until all date are processed or the workflow has been canceled on purpose by the Admin.
   2. If task is canceled by accident, the Admin needs to start a new Assertion Auto-notification workflow and provide the target dates and year separated by commas (MM/DD, MM/DD, etc.)
6. Starting the Workflow for the next year.
   1. When all the dates for the current year have passed, then the current task will terminate on it’s own or the Admin can cancel the current Task (Assertion Auto-notification).
   2. The Admin can go back to step 1 to start the process for the new year.

**Note**: Steps 4 and 5 is a loop for each Trigger Date.

## Assertion Create Diagram

The following workflow diagram defines the Assertion Auto-notification Process.



# HIGH LEVEL TEST CASES

The following test cases deal with testing the Assertion Create workflow process based on the business requirements.

## Assertion Create Workflow Test Cases

|  |  |
| --- | --- |
| **Test Cases for Create Assertion** | **Expected Result** |
| No email notifications will be sent | No email notifications will be sent when all Assertions are not in the “In Progress” or “Under Producer Review” statuses on the Trigger Date. |
| The Assertion status is “In Progress” on the Trigger Date. | An email notification will be sent to the AE-Producer and Producer MDS of the Assertion if the Status is “In Progress” on the trigger date. |
| The Assertion status is “Under Producer Review” on the Trigger Date. | An email notification will be sent to the AE-Producer of the Assertion if the Status is “Under Producer Review” on the trigger date. |

# VIEWS AND DASHBOARD CONFIGURATION

## Views

Not applicable.

## Dashboards

Not applicable.

# RISKS

No risks have been identified.