

*Document*  
*Module*  
*Version*  
*Year*

User Manual – FINGate 2.0  
MIS Reports & Dashboard  
1.1  
2022



### Version Control Chart

Version	Date	Remarks
1.0	4-Jan-2023	Initial Version
1.1	24-Jan-2023	Removed User Verification Details

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## 1 Introduction

### 1.1 Purpose

Project FINnet 2.0 envisions to streamline and redefine the process of collection, processing, and dissemination of data for the purpose of effectively generating meaningful intelligence to curb money laundering activities and enforce the provision of PMLA in India. This is a project of national importance and aims to strengthen the financial security architecture of India. The mission statement of FINnet 2.0 states – To provide quality financial intelligence for safeguarding the financial system from the abuses of money laundering, terrorism financing, and other economic offenses.

FINnet 2.0 is implemented as a set of three (3) systems to ensure that the data ingested and processed by the three is isolated and immune to security threats as much as possible and all data is secure. The systems are listed below –

1. FINGate – Collection and pre-processing system
2. FINCore – Processing and analysis system
3. FINex – Dissemination system

The proposed FINGate system shall consist of multiple reporting mechanisms to ensure compliance and facilitate quick and easy reporting.

This document is the user manual for FINGate Portal – MIS Reports and Dashboard module of the FINnet 2.0 System. This module deals with providing a view of all the compliance and MIS reports related features for the RE user and entity onboarding, user profile management, reporting aspects, post submission of reports/transactions by the Reporting Entities. To access the FINGate portal, navigate to <https://fingate.gov.in>.

### 1.2 Scope

The scope of this document is to provide guidance on using the MIS Reports and Dashboard. The Reporting Dashboard as part of FINGate 2.0 is a holistic view of all the compliance and MIS reports related features for the RE user and entity onboarding, user profile management, reporting aspects, post submission of reports/transactions by the Reporting Entities. The intent is to provide the Reporting Entities with a view of their current and relative performance, reporting behaviour, and the improvement areas with respect to compliances, responsiveness, and data quality basis FIU-IND's evaluation of submissions. The dashboards will be accessible to RE users, indicating RE's submissions, filing status, and compliance view.

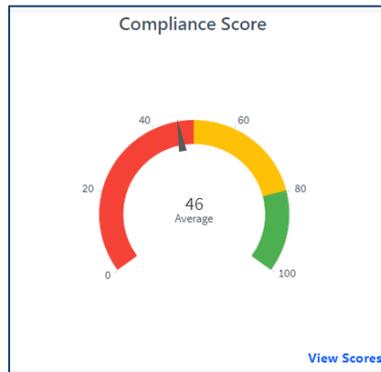
## 2 RE Compliance Assessment Module

Reporting entities are assessed on compliance on multiple metrics. RE will be grouped into peer groups. Peer groups will be formulated based on parameters such as reporting volumes and others as determined by FIU. The compliance scores will be benchmarked against the scores of the peer group to provide RE feedback on where RE compliance score stands as compared to the peer group.

1. The user shall login to the FINGate portal and land on the homepage. The homepage displays a dashboard view of multiple aspects of RE activities including compliance score.

- To view and access the RE reports compliance scores, the user can click on the “My view” from the left panel of the screen and then on “My Ratings”. The user views the detailed Metric compliance scores.
- Alternatively, the user can click on the “View Scores” in the L0 overall compliance score section, as shown in the figure below.

For list and mapping of detailed L1, L2 and L3 metrics, please refer to next section or Annexure-1 of this document.



Category	Score	Trend
Reporting Compliance	17	-12.0
Anti Money Laundering Compliance	58	+26.0
Master Data Accuracy & Portal Interaction	95	+80.0
Information Request Responsiveness	44	+4.0
Utility	68	+22.0

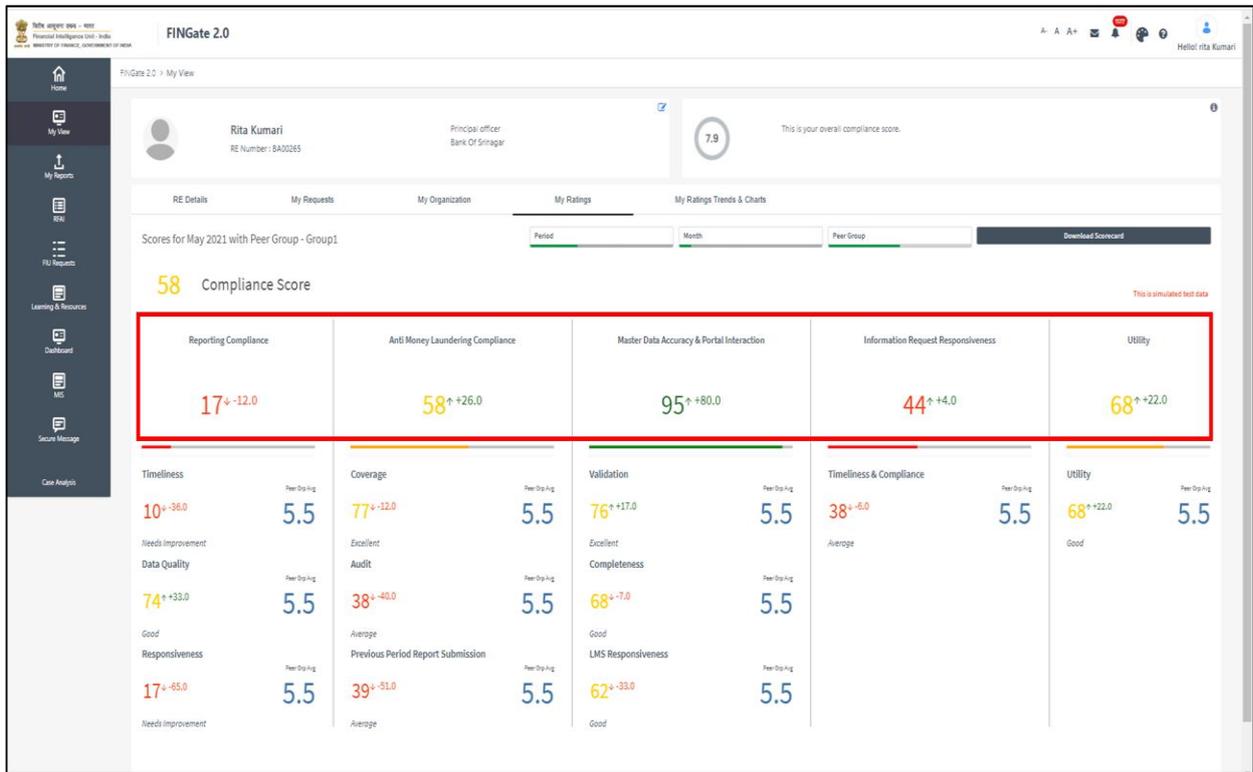
### 2.1.1 Overview of Compliance metrics scores

The key aspects of the RE's reporting dashboard derived metrics are calculated at multiple levels – L0, L1, L2, L3 and L4 as in the table below:

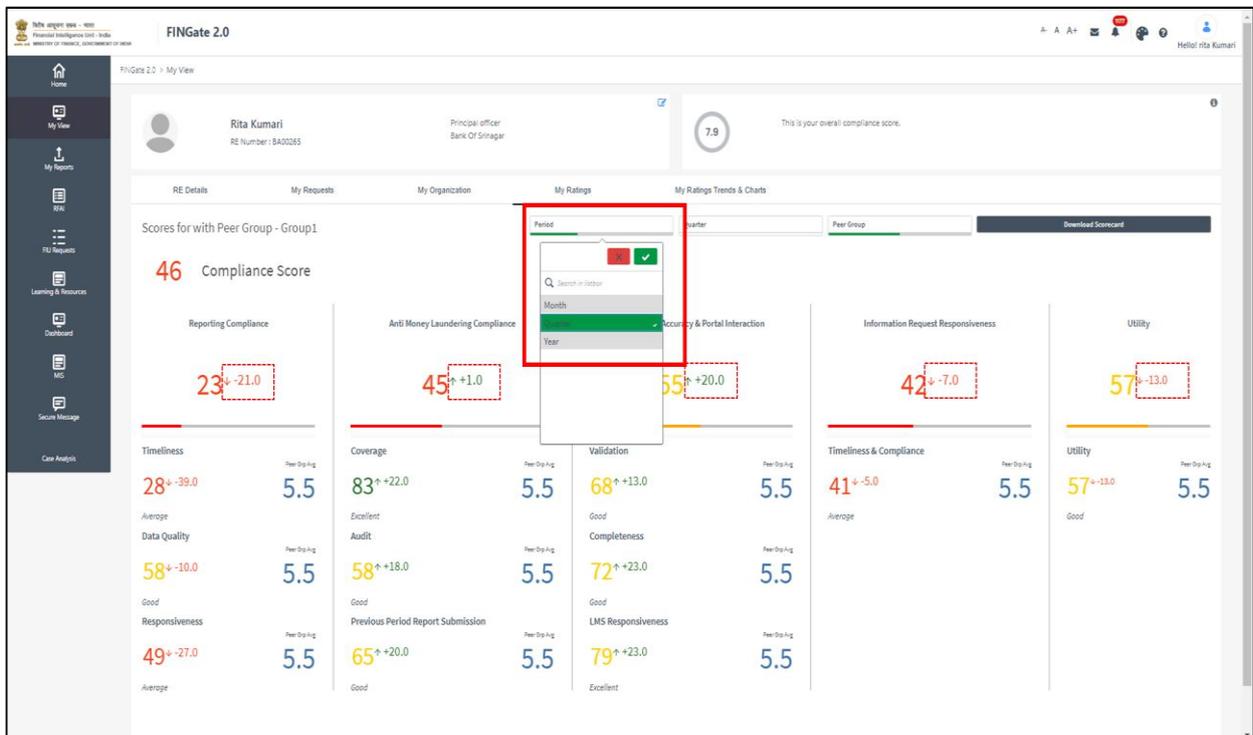
Metric Level 0	Metric Level 1	Metric Level 2	Metric Level 3
L0	L1	L2	L3
Reporting	Reporting Compliance	Timeliness	Report Filing Timeliness
			Timely Download of Data Quality Report
		Data Quality	Data Quality Rating
			Recall Rate
		Responsiveness	Improvements Action Response Score
			Resubmission Rate
	Utility	Utility	Utility Score
	AML Compliance	Coverage	Typology Coverage
			Source of Alerts + RFI Coverage
			Sufficiency of GOS
			Information Richness Score
		Audit	Audit Score
	Previous Period Reports Submissions	Previous Period Reports Submission Score	
	Master Data Accuracy & Portal Interaction	Validation	Validity of Digital Signature Certificate (DSC)
		Completeness	Enrolment & RE Directory Information Richness
			Frequency of information updates
	LMS Responsiveness	LMS Compliance Score	
Information Request Responsiveness	Timeliness & Compliance	Communication Response Timeliness	
		Request Rejection Rate	

### 2.1.2 Access and View Metrics Level 1 (L1) scores

1. The user after landing on the page to view the detailed Metric Level compliance scores, views the “My ratings tab” overviewing the metrics Level 1 compliance score (L1 scores), as shown in the figure below.

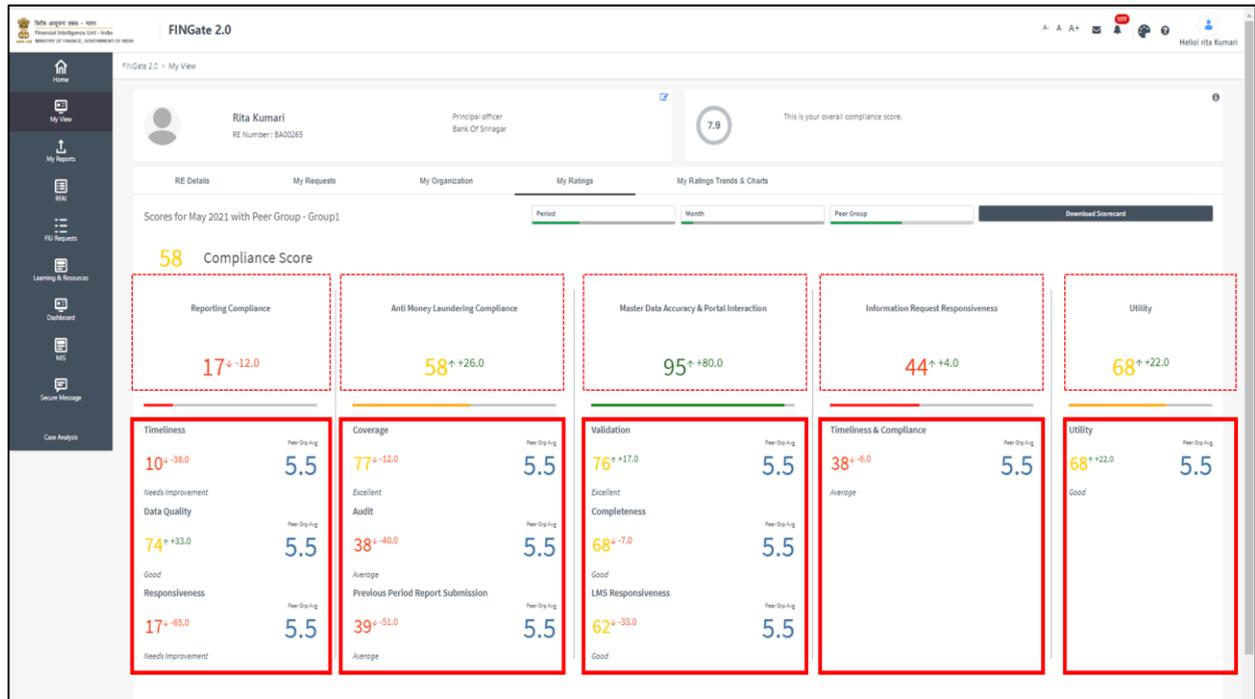


2. The user can view the respective L1 metric score and the delta with respect to previous period as selected from the filter, please refer to below figure.

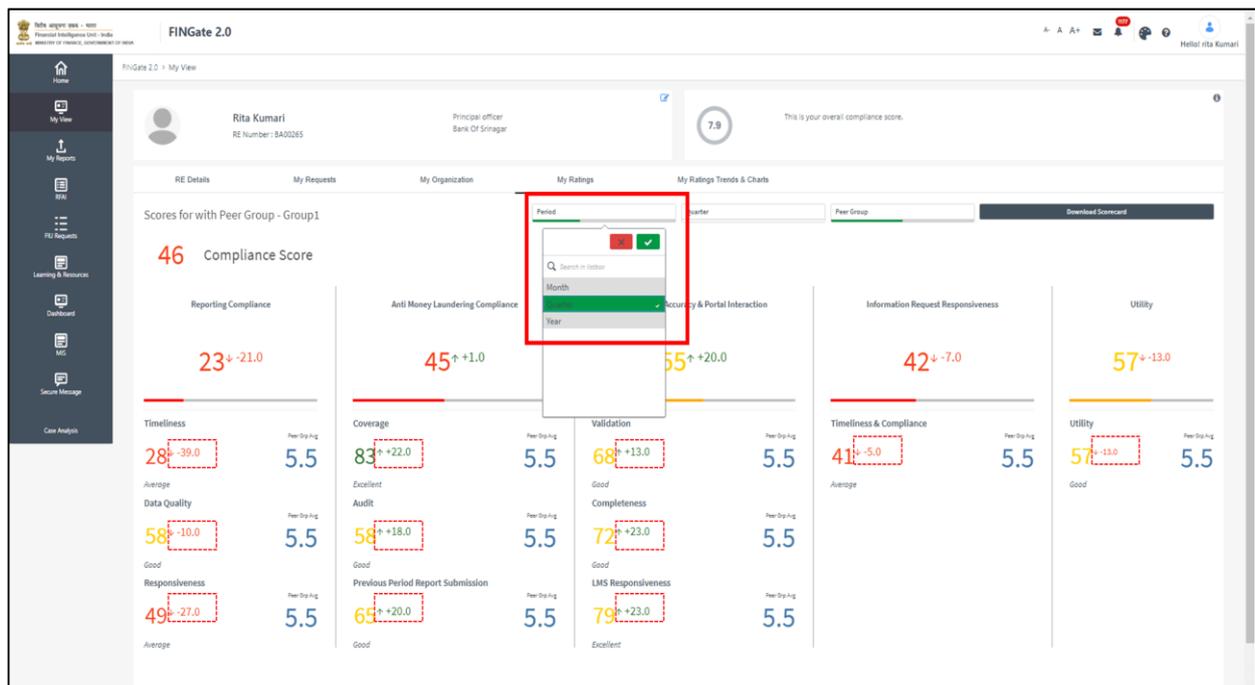


2.1.3 Access and View Metrics Level 2 (L2) scores

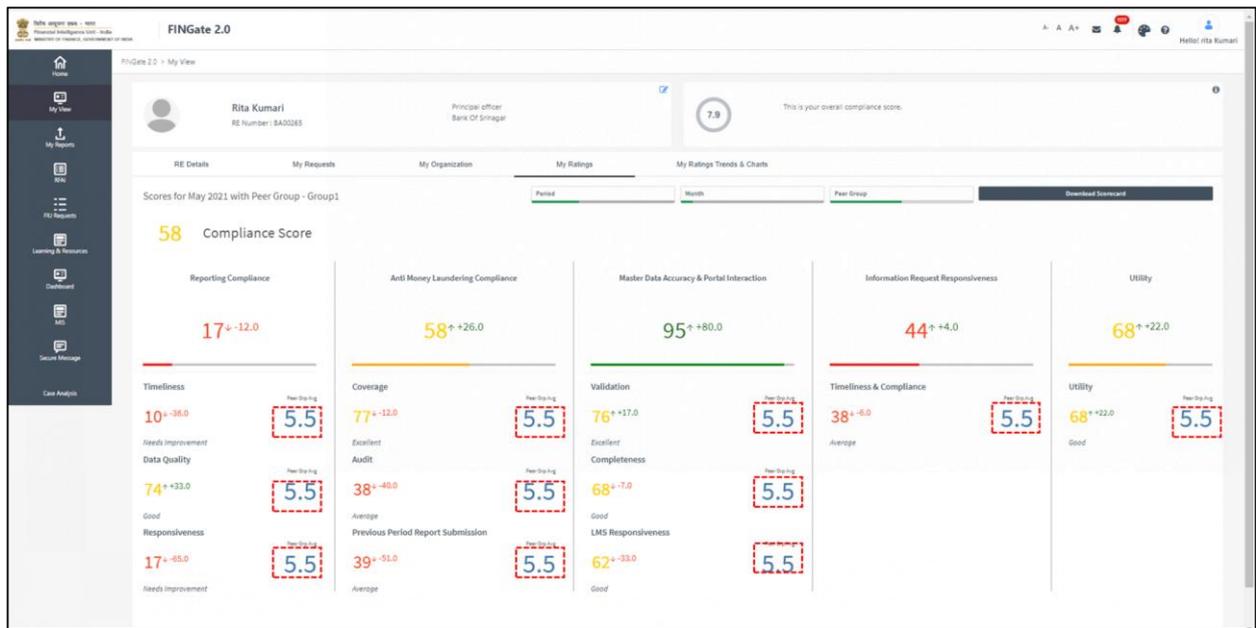
1. The user after landing on the page to view the detailed Metric Level compliance scores, views the “My ratings tab” overviewing the metrics Level 1 and their respective L2 compliance score, as shown in the figure below.



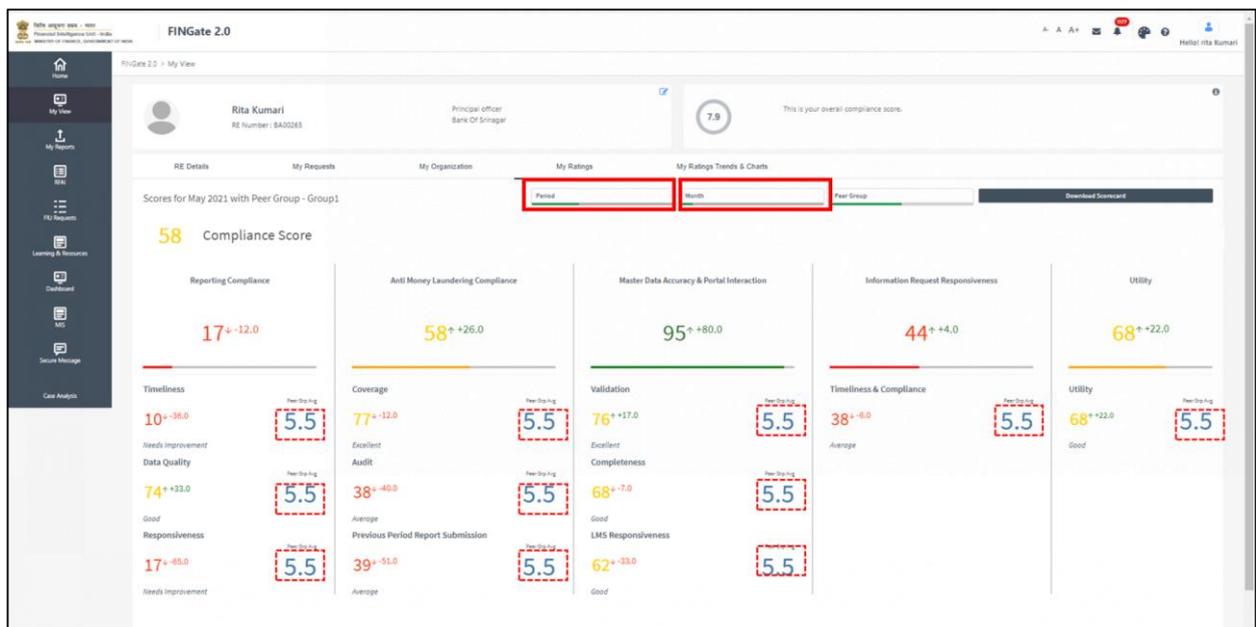
2. The user can view the respective L2 metric score and the delta with respect to previous period as selected from the filter, please refer to below figure.



- The user can view the respective L2 metric specific peer group average score as shown in the figure below.

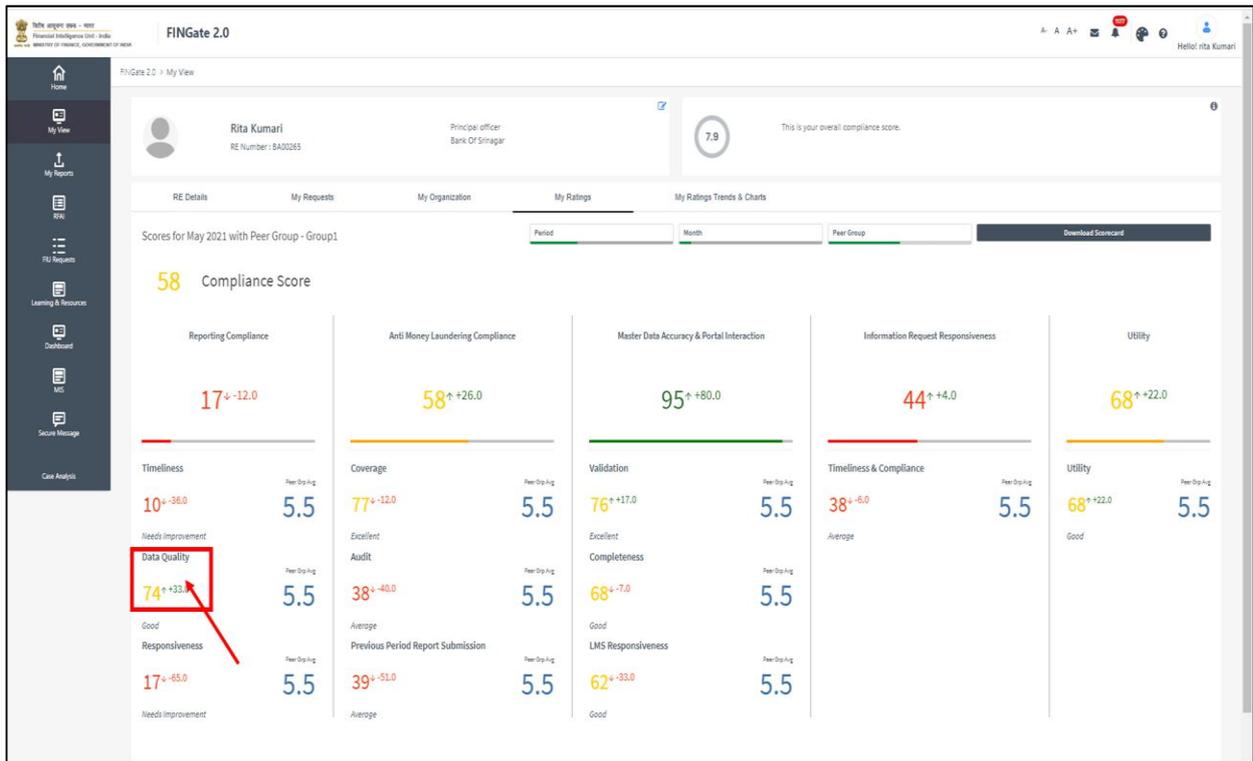


- The user can customise to view the peer group average score during any period as per any selected period as shown in the below figure.

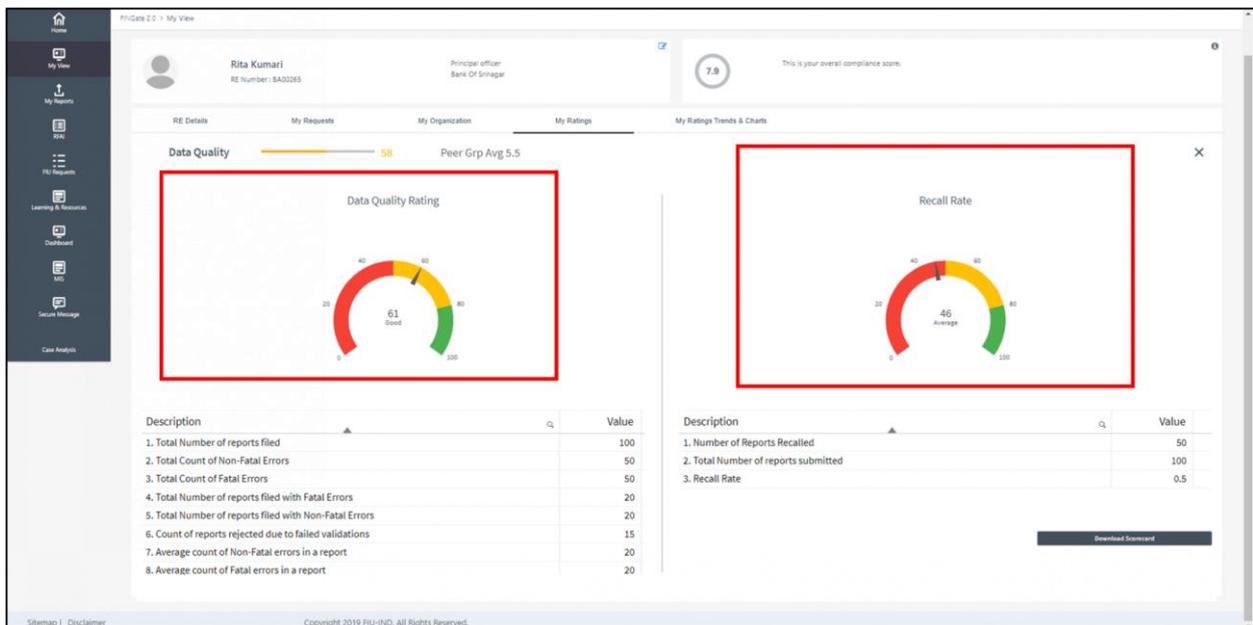


### 2.1.4 Access and View Metrics Level 3 (L3) and Level 4 (L4) scores

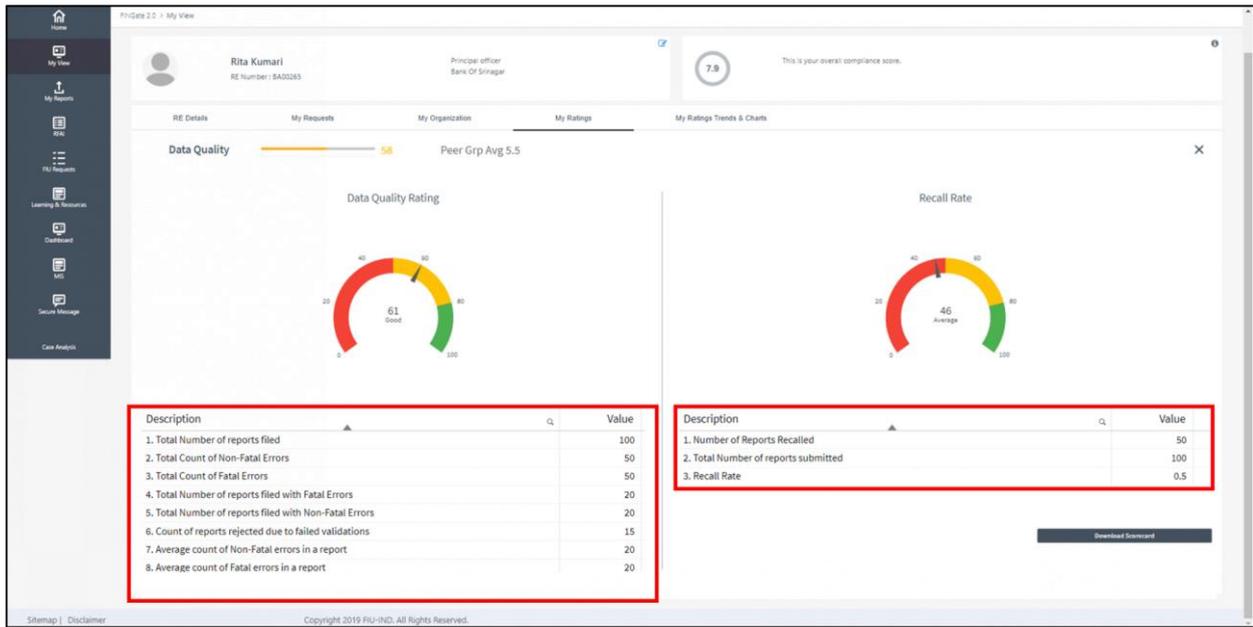
- The user after landing on the “My ratings tab” overlooking the metrics Level 1 and their respective L2 compliance score, clicks on the respective L2 metric of which the user wants to see the L3 Metrics, as shown in the below figure.
- Metric Level 3 (L3 Metrics) are as below:



3. The user lands on the subsequent page to view the respective L3 Scores as shown in below figure.



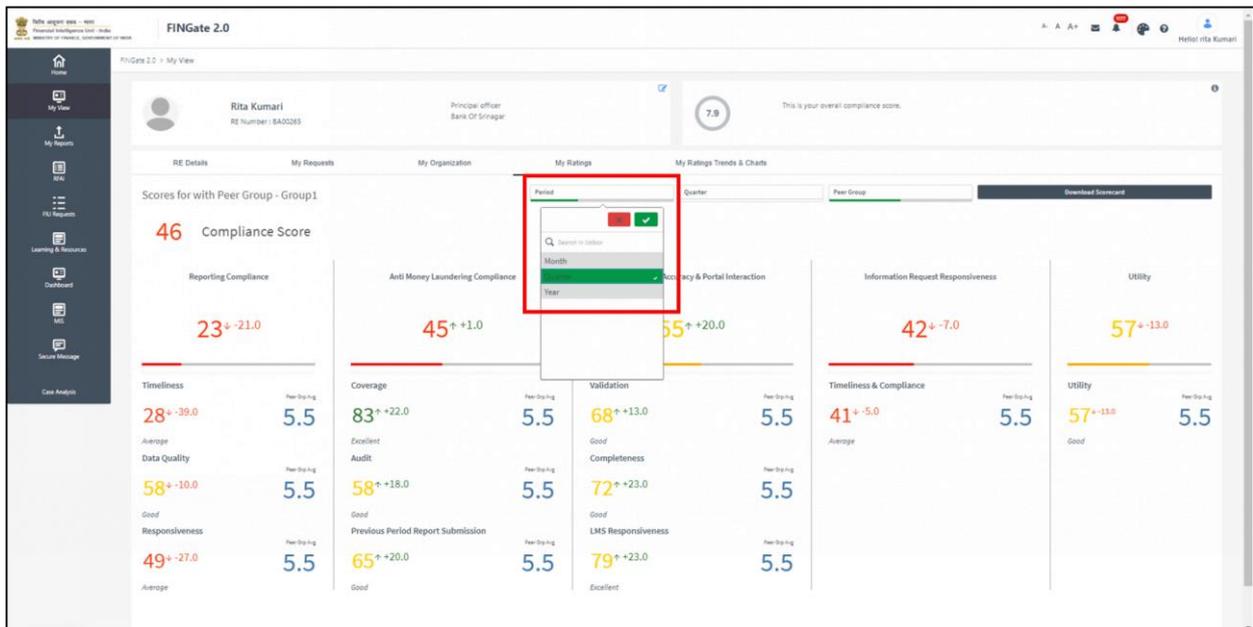
4. The user will also view the respective L4 metrics scores against each of the L3 metrics as shown in below figure.



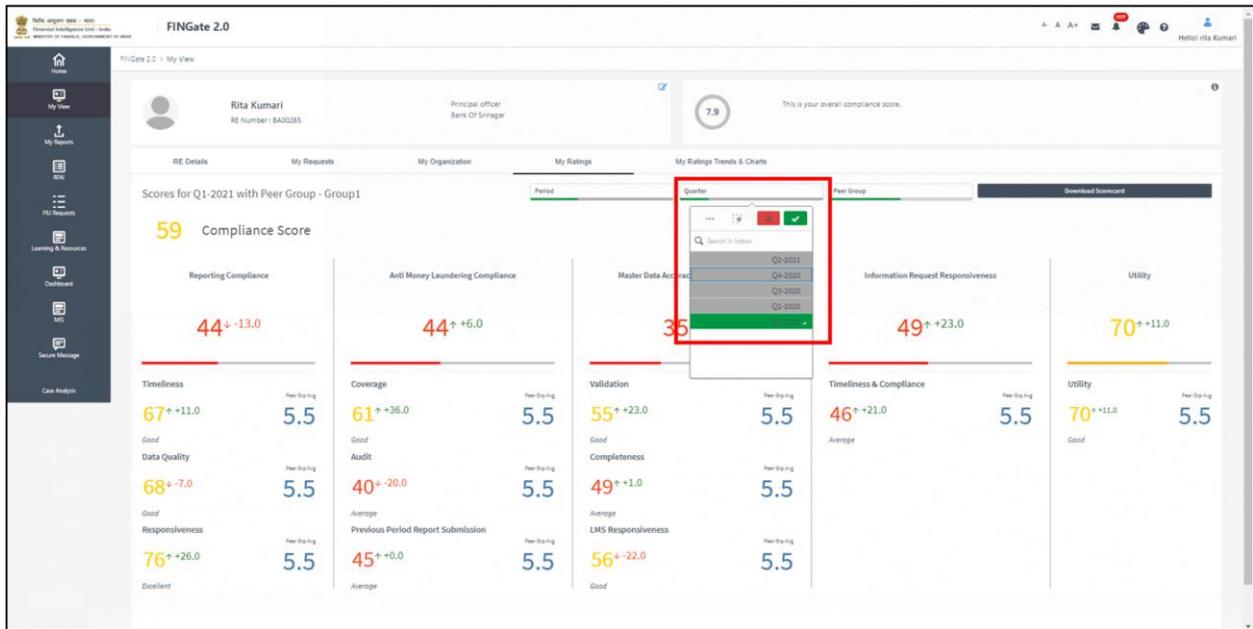
2.1.5 Customizing the compliance dashboard view as per the filters.

1. The user can customise to view the respective L1 and L2 metric scores based on the below filters:

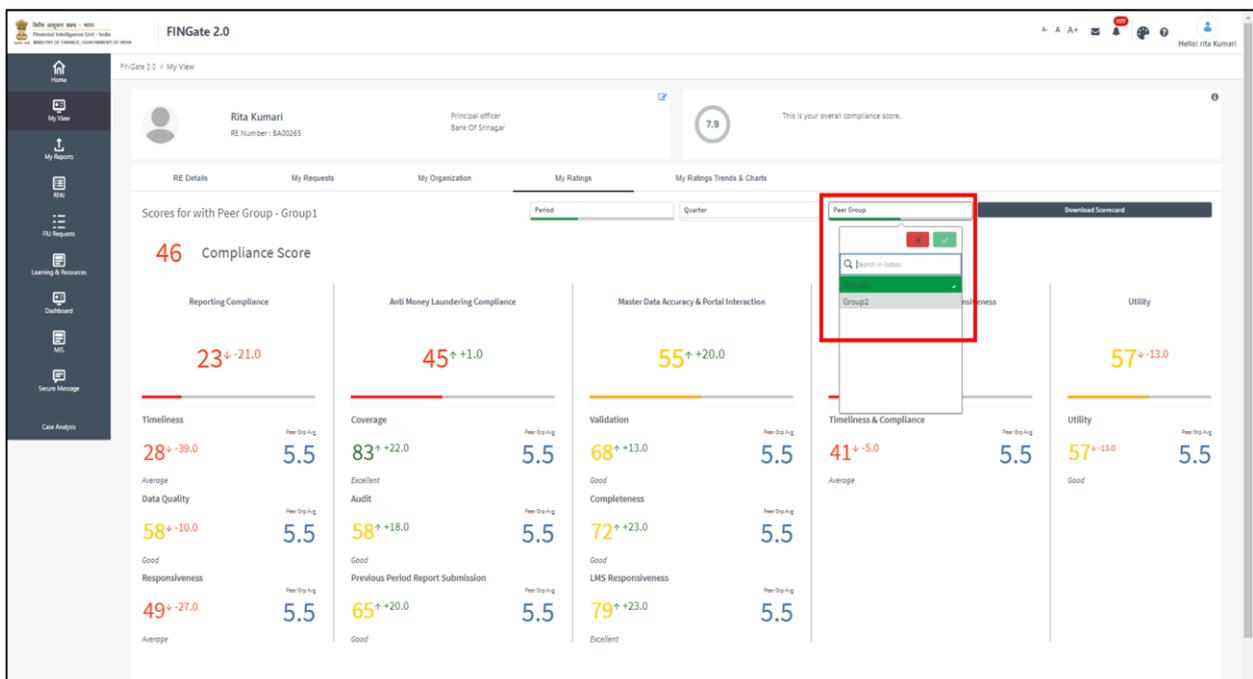
- a. Period:
  - i. Month,
  - ii. Quarter
  - iii. Year



b. Choose “selected period”

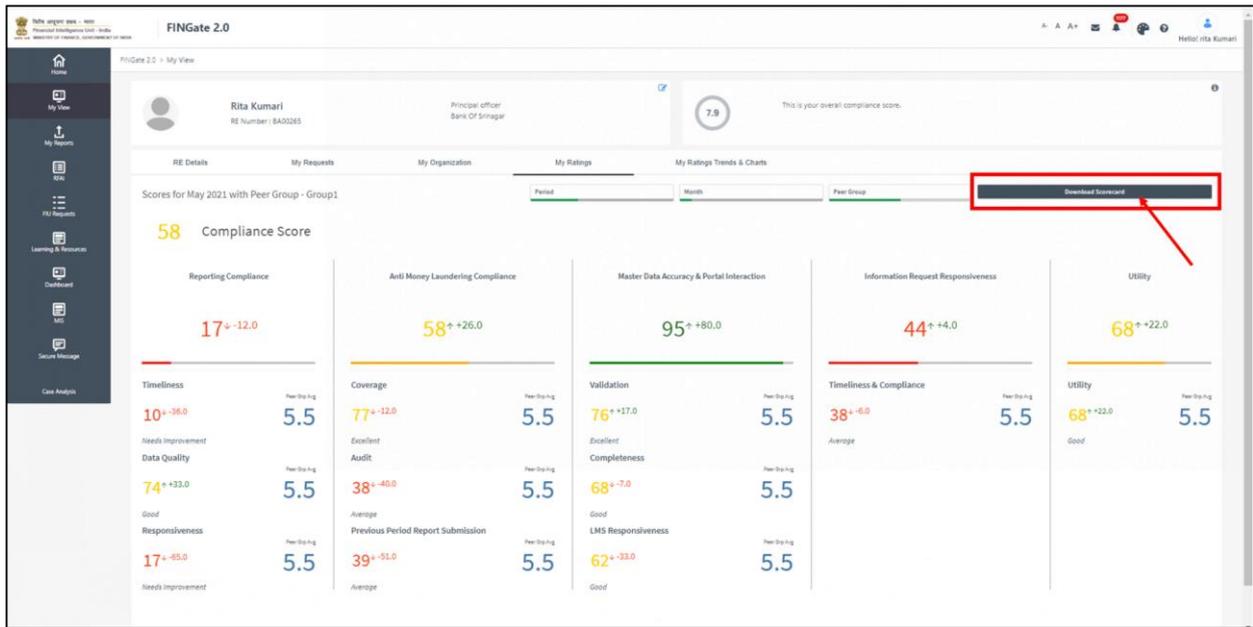


c. Select peer group score view.

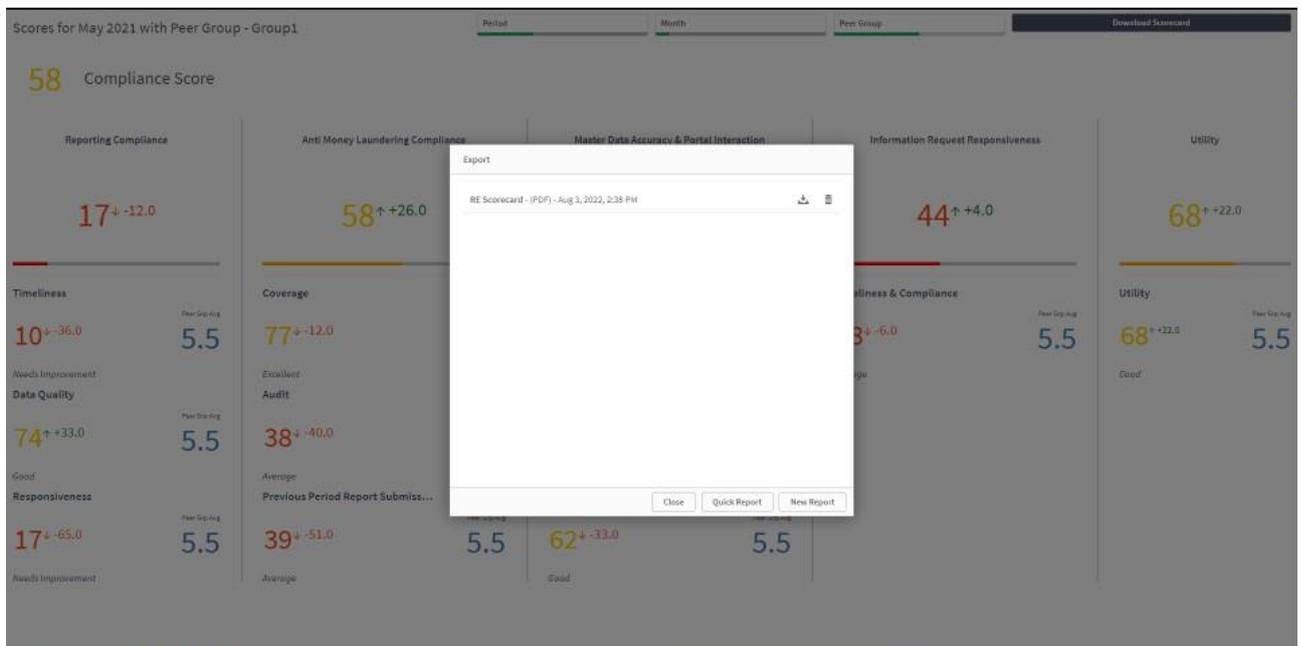


2.1.6 Download the reporting compliance scorecard in the predefined format.

1. The user after navigating to the page to view the detailed Metric Level compliance scores, lands on the “My ratings tab” and clicks on “download scorecard”, as shown in the below figure.



2. The user confirms the download action, and the reporting scorecard document gets downloaded in the predefined format- PDF, the downloaded scorecard is shown in the below figure for reference.



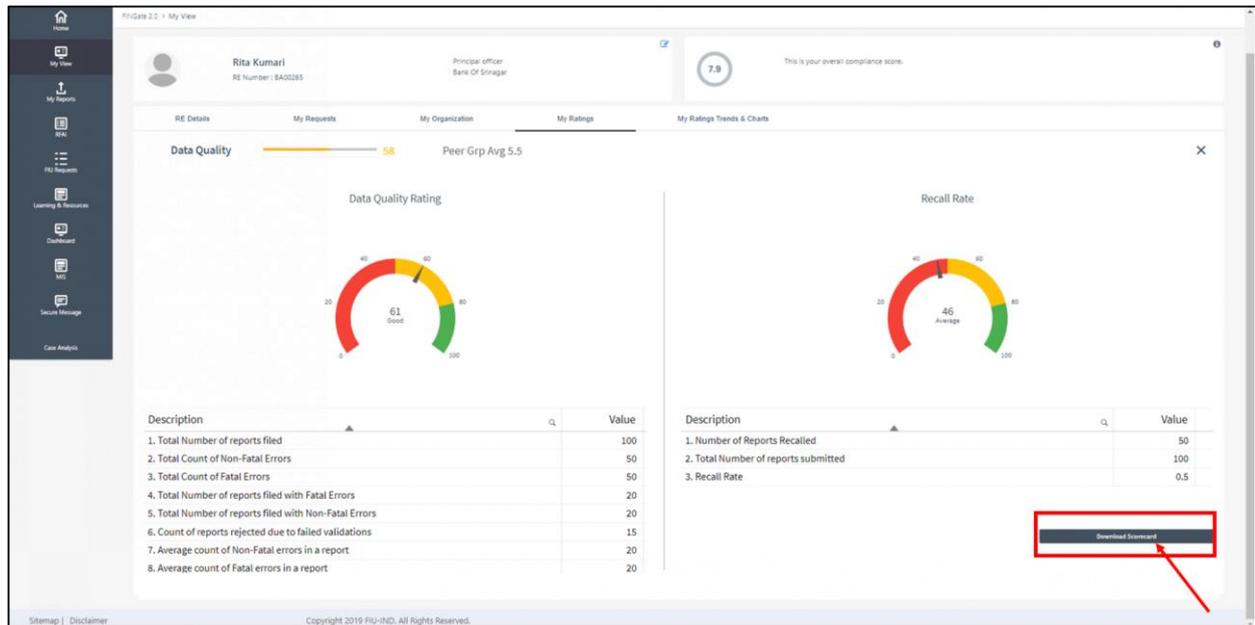


Reporting Scorecard			
Reporting Entity Details		Reporting Period and Report Details	
FIUREID	BA27487739	Reporting Period	Q1-2021
Reporting Entity Name	Sate Bank Of India	Report Submitted	1509
Reporting Entity Type	BA	Report Processed	1000
Line of Business	BAPUB		

Reporting Score and Areas of Improvement			
Category	Area	Scores	Scores Description
Reporting Compliance Score	Timeliness	67	Good
	Data Quality	68	Good
	Responsiveness	76	Excellent
Utility	Utility score	70	Good
Anti-Money Laundering Compliance Score	Coverage	61	Good
	Audit	40	Average
	Previous Period Reports Submissions	45	Average
Master Data Accuracy & Portal Interaction Score	Validation	55	Good
	Completeness	49	Average
	LMS Responsiveness	56	Good
Information Request Responsiveness Score	Timeliness & Compliance	46	Average
Reporting Score		59	Average

- The user can also download the scorecard from the respective L3 Scores page by clicking on “download scorecard”, as shown in the below figure.



### 2.1.7 Significance of Red, Yellow and Green colours on the metric score.

- The user can view the different colours against the scores or icons of the metrics of different levels.
- The metrics analysis is bucketed into range groups and classified as zones (Red-Yellow-Green Zone), which signifies Performance Indicator whether RE requires improvement, RE performs good or excellent, etc.
  - L0 Metric Score:

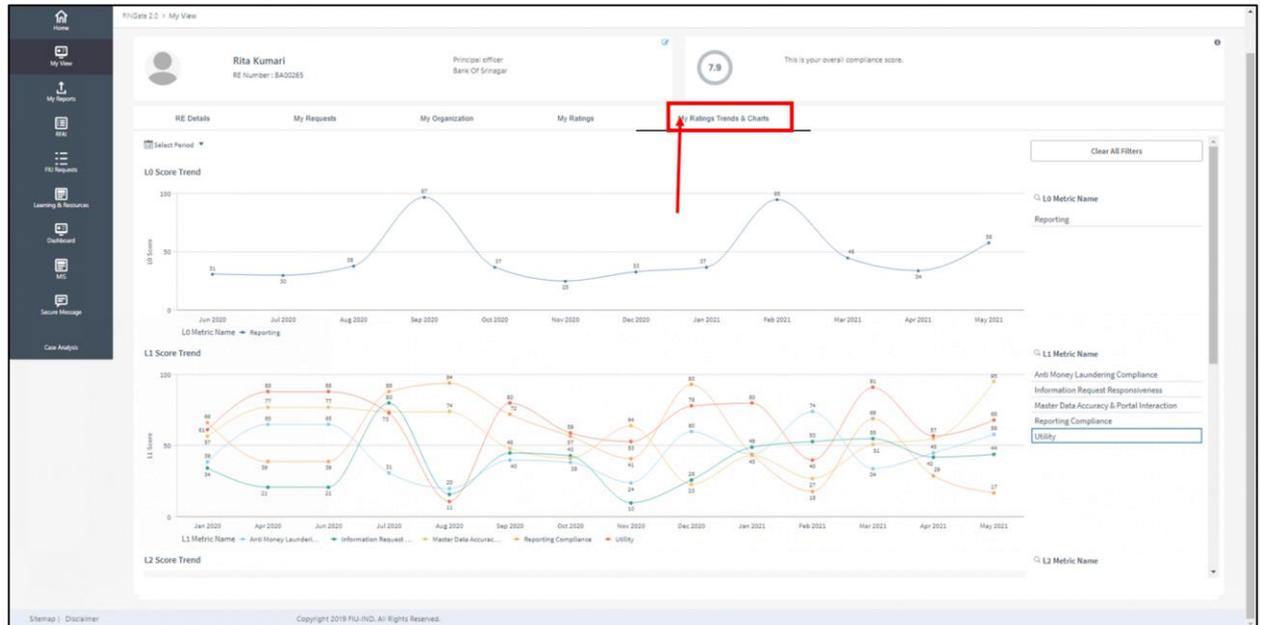
Metric Score	Indicator	Colour
0-25	Needs Improvement	Red
25-75	Average	Red
75-90	Good	Yellow
90-100	Excellent	Green

- L1, L2 and L3 Metric Score:

Metric Score	Indicator	Colour
0-10	Unsatisfactory	Red
10-25	Needs Improvement	Red
25-50	Average	Red
50-75	Good	Yellow
75+	Excellent	Green

## 2.1.8 Access, view and generate the Metric Compliance Trends

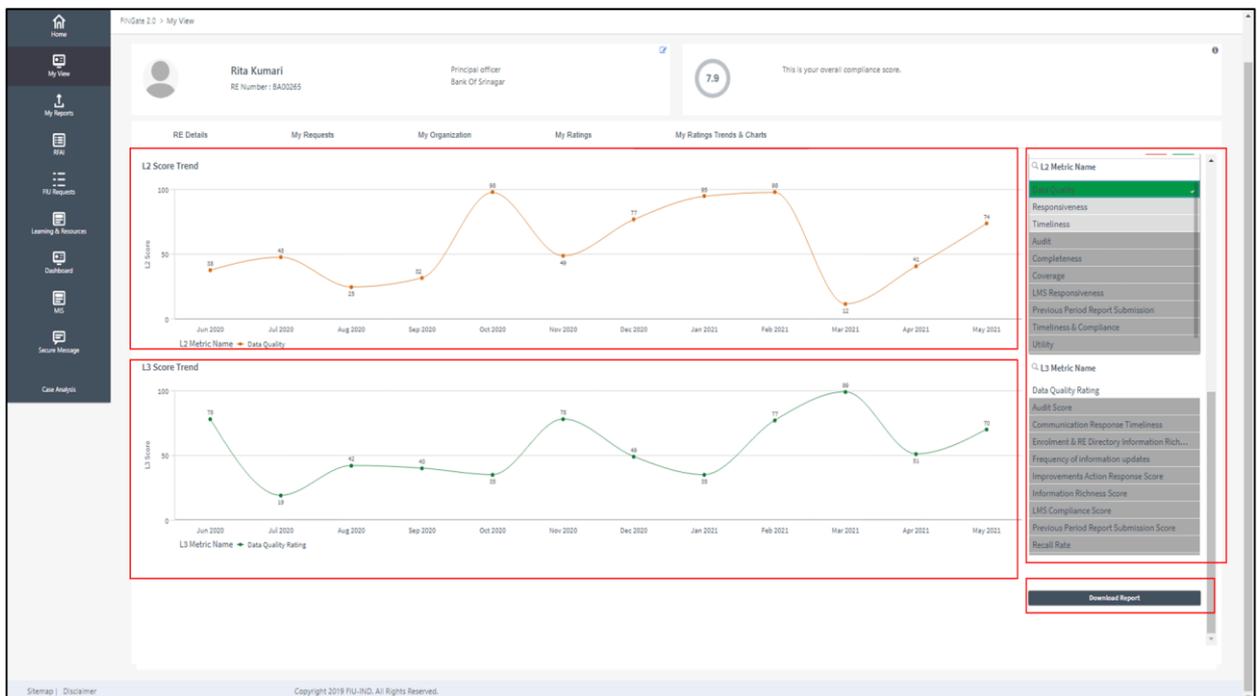
1. To view and access the Metric level compliance trends, the user can click on the “My view” from the left panel of the screen and navigate to “My ratings trends and charts tab” to view and generate Metric level score trends.



## 2.1.9 Overview of “My ratings trends and charts” tab

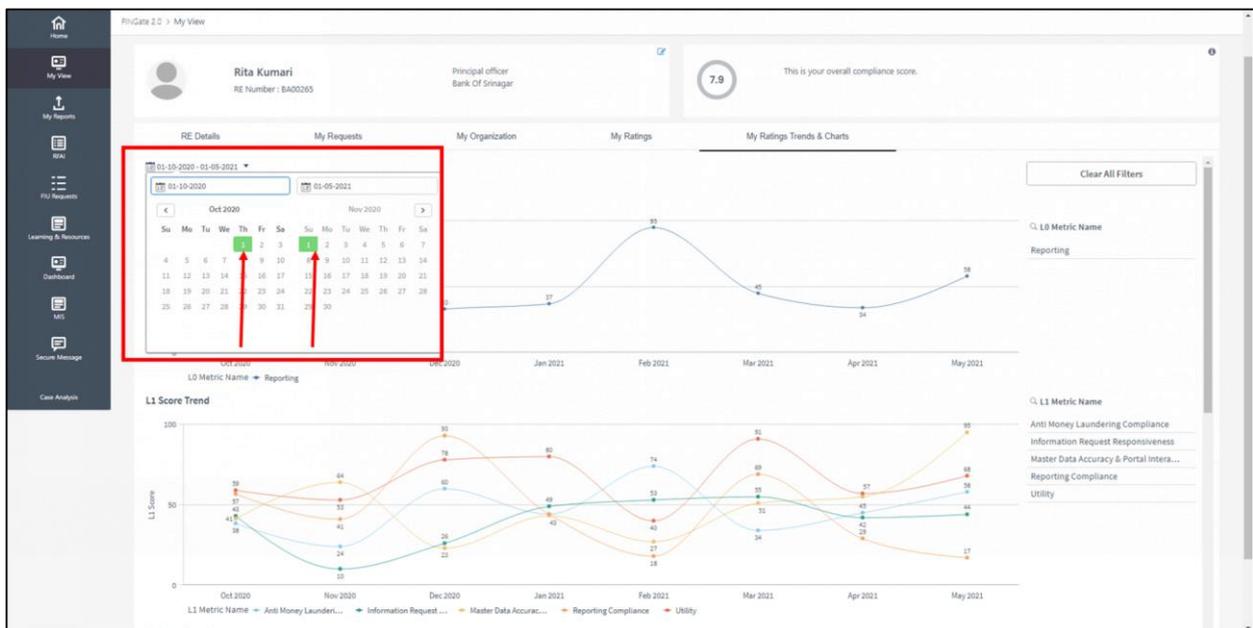
1. The user on accessing this tab will view multiple components:
  - a) Select period: The user can select any period for which the user wants to generate the metric score trends.
  - b) Right Side Filter Panel: The user can select any metric from all the metric levels to generate and view the customised trends
  - c) L0 Score Trend: As per the selected period and metrics, the user can view the trends of L0 metrics in this section
  - d) L1 Score Trend: As per the selected period and metrics, the user can view the trends of L1 metrics in this section
  - e) L2 Score Trend: As per the selected period and metrics, the user can view the trends of L2 metrics in this section
  - f) L3 Score Trend: As per the selected period and metrics, the user can view the trends of L3 metrics in this section
  - g) Download Report: As per the selected period and metrics, the user can download the customised trends in the predefined format.

Please refer to below figures.



### 2.1.10 Customize trends view for any selected period

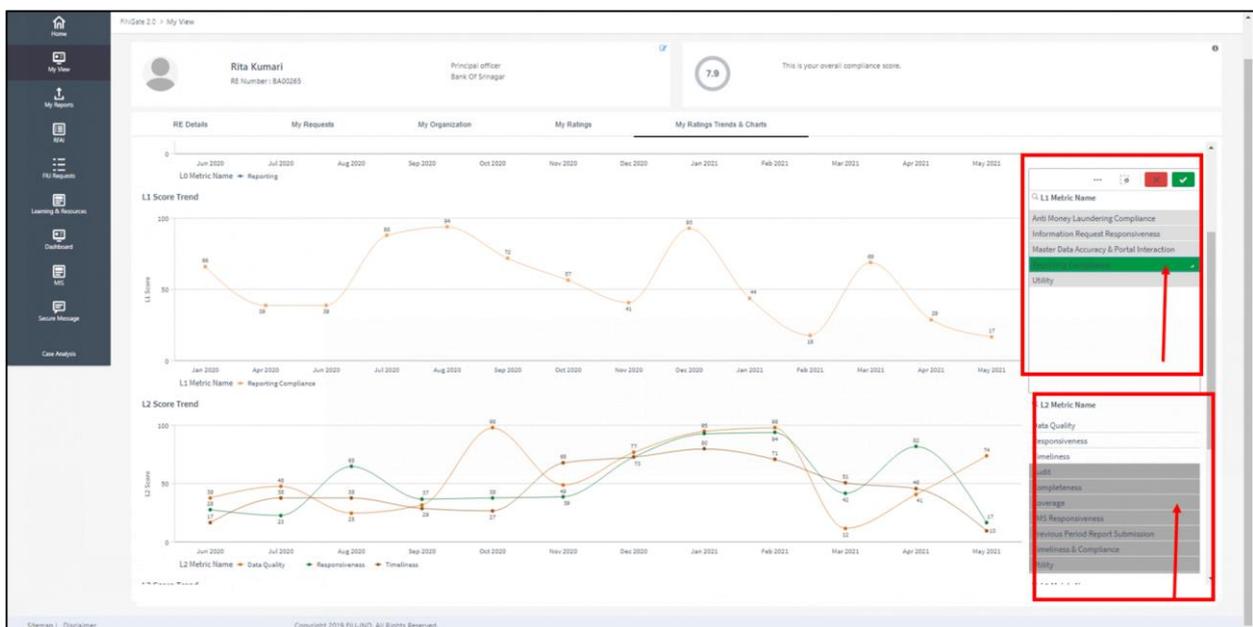
1. The user clicks on the “select time period”
2. The user selects the period for which user wants to generate or filter the trends.
3. The user can view the customised L0, L1, L2, and L3 trends as per the selection.

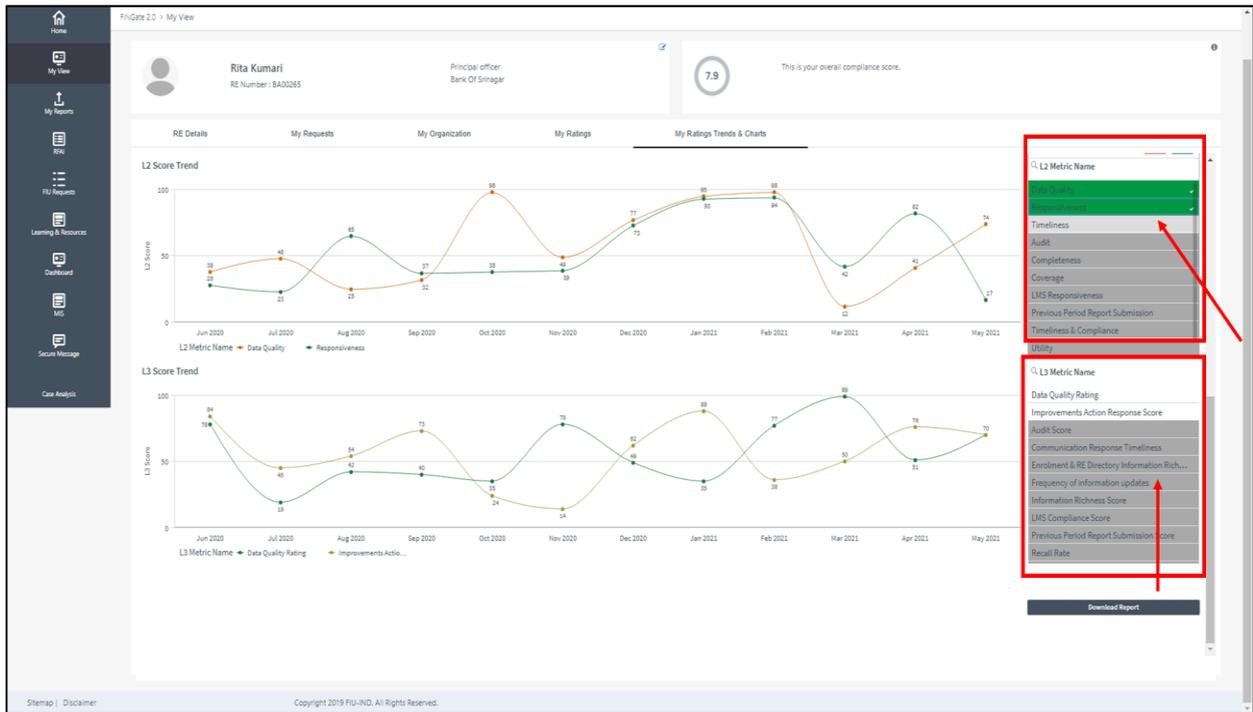




### 2.1.11 Generate trends for one or more metrics of any level

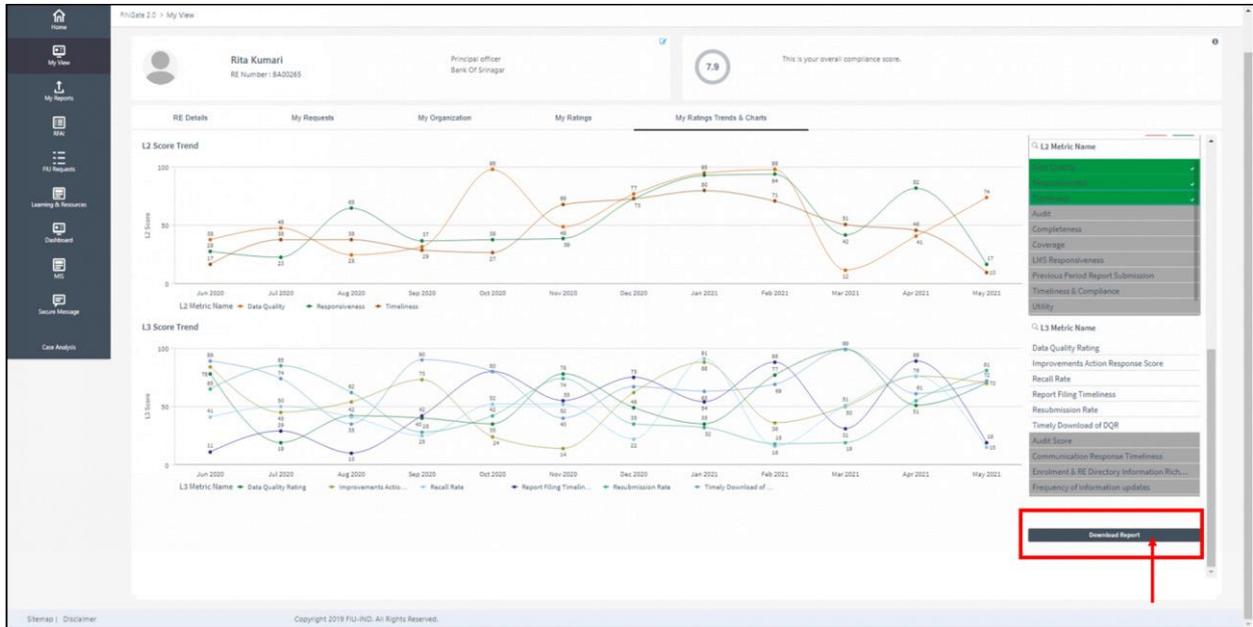
1. The user clicks on the right-side panel to multi select one or more metrics of any level, for which user wants to generate or filter the trends.
2. Based on the selection of top(parent) metrics, the user can select one or more of the filtered metrics of child level.
  - E.g.: If user selected L1 metrics- “Reporting compliance”, then user can further select/filter L2 metrics mapped with “Reporting compliance” L1 metrics
3. The user can view the customised L0, L1, L2, and L3 trends as per the selected metrics





2.1.12 Download the trends report in the predefined format.

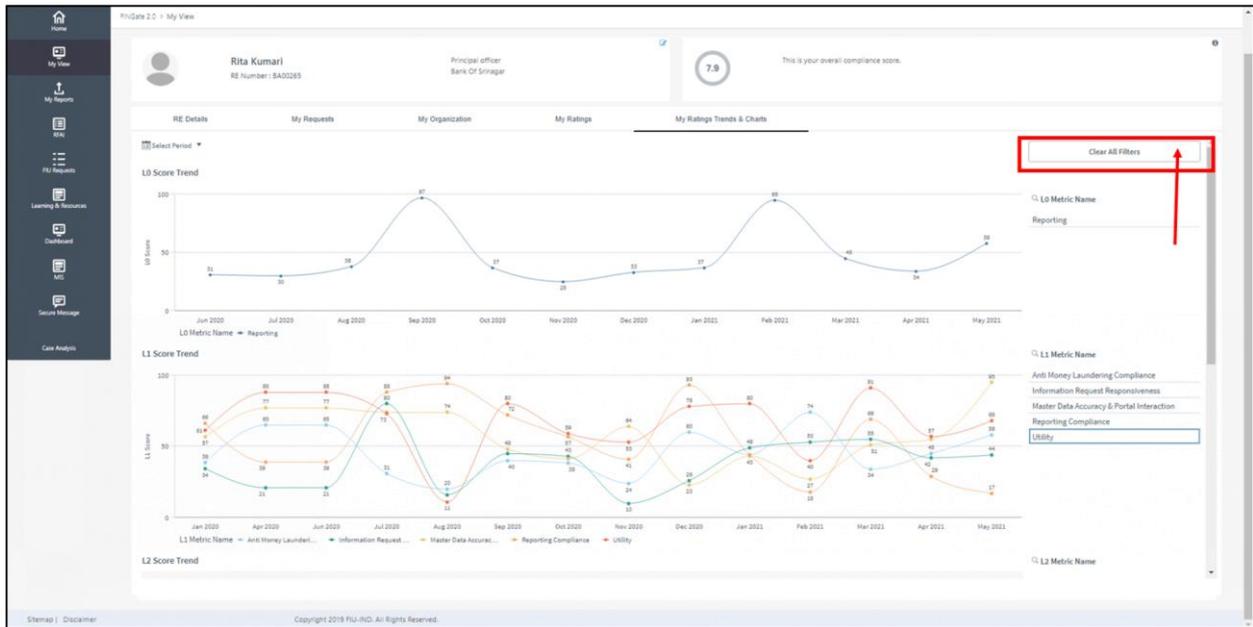
1. The user after navigating to the page to “My ratings trends and charts” tab and clicks on “download report”, as shown in the below figure.



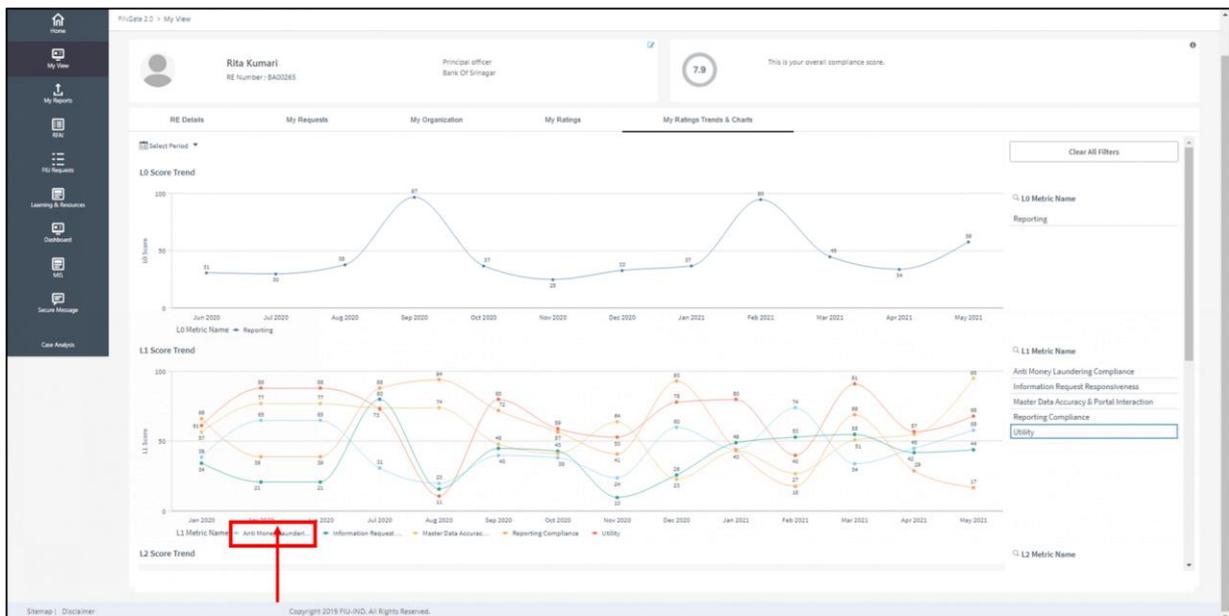
2. The user confirms the download action, and the report gets downloaded in the predefined format as per the selections in period, metric selected.

2.1.13 Clearing all the metric filters from the trends

1. In the “My ratings trends and charts” tab, the user can filter out all the selected metrics of all the levels in a single click by clicking on “clear filters”, as shown in the below figure.
2. The user will view trends for all the default view metrics
3. The user can again reselect certain metrics based on selection.



1. Alternatively, the user can click on certain metrics to view the trend of that metric only, as shown in the below figure.
2. The user will view trends of the selected metric only.

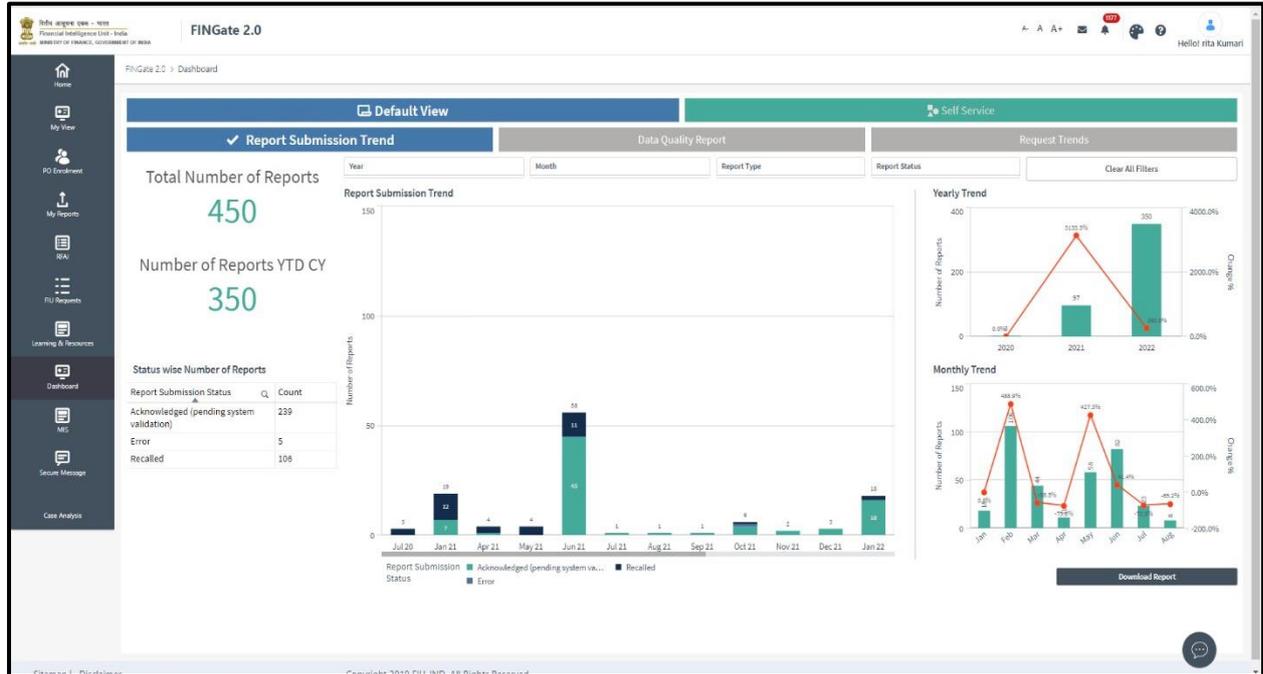


### 3 Dashboard

The RE dashboard provides visualization of different parameters related to user access, submission of reports and responses to requests for information.

1. The user shall login to FINGate portal and land on the homepage.
2. To view and access the RE reporting dashboard, the user can click on the “Dashboard” from the left panel of the screen, as shown in the figure below.

3. The user will navigate to the “Main page” of the dashboard.



### 3.1 Overview of Dashboard Main Page

The user views the two major sections on the main page of dashboard:

1. Default view
  - a) The user will view pre-defined graphical reports.
  - b) The user can customise the view and generate customised reports using the relevant filters.
2. Self Service Capability
  - a) As a part of self-service reporting capability, the user can create the reports by selecting certain data parameters and the user can also select the graph/chart type against which the user wants to view the data visualization.



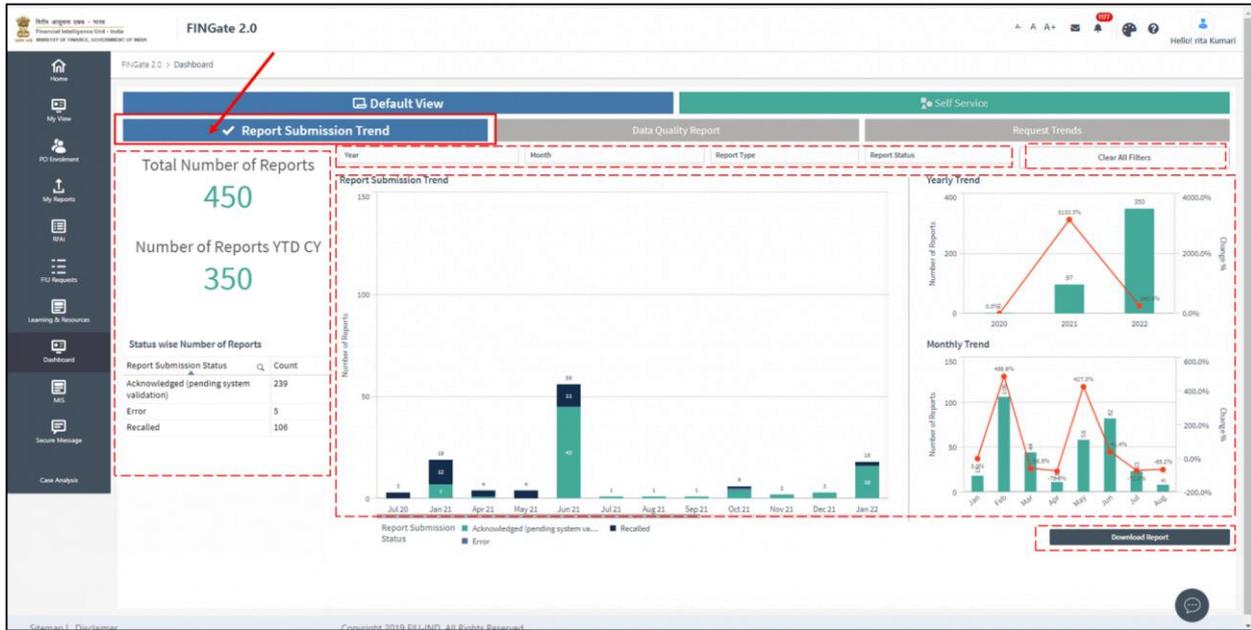
### 3.2 Access and view Default View-Dashboard

1. The user by default lands on the “default view” section of the dashboard.
2. The user will view the three dashboards in the ‘default view’:
  - a) Report Submission trend
  - b) Data Quality report
  - c) Request Trends

### 3.3 Report Submission trend

1. This report shows the statistics and the general trend of the reports submitted by the RE till date.
2. The user will option to customise the statistics and the trends based on multiple filters available.
3. The user after landing on the “default view” section, clicks on the “Report submission Trend” tab to view the canned statistics, reports and trends of the submitted reports
4. The user on accessing this tab will view the following multiple components, as shown in below figure as well:
  - a) Statistics section: The user can view the below as part of this section:
    - i. Total number of reports submitted till date
    - ii. Number of reports submitted till date in the current calendar year
    - iii. Status wise segregation of reports submitted till date in the current calendar year
  - b) Filter Panel: The user can view the below filters that user can utilize to generate and view the customised statistics, reports and trends based on the user selection of filters:
    - i. Year
    - ii. Month
    - iii. Report Type
    - iv. Report Status
  - c) Trends: The user can view the below trends in the graphical form:
    - i. Status wise trend of Report Submissions segregated by Months
    - ii. Year wise trend of report submissions

- iii. Month wise trend of report submissions
- d) “Download Report” action button: The user after clicking on this action button can download the statistics, reports and trends in the predefined format as per the filters applied, if any.
- e) “Clear All Filters” action button: The user after clicking on this action button can remove all the applied filters to view the default statistics, reports and trends.



### 3.4 Data Quality report

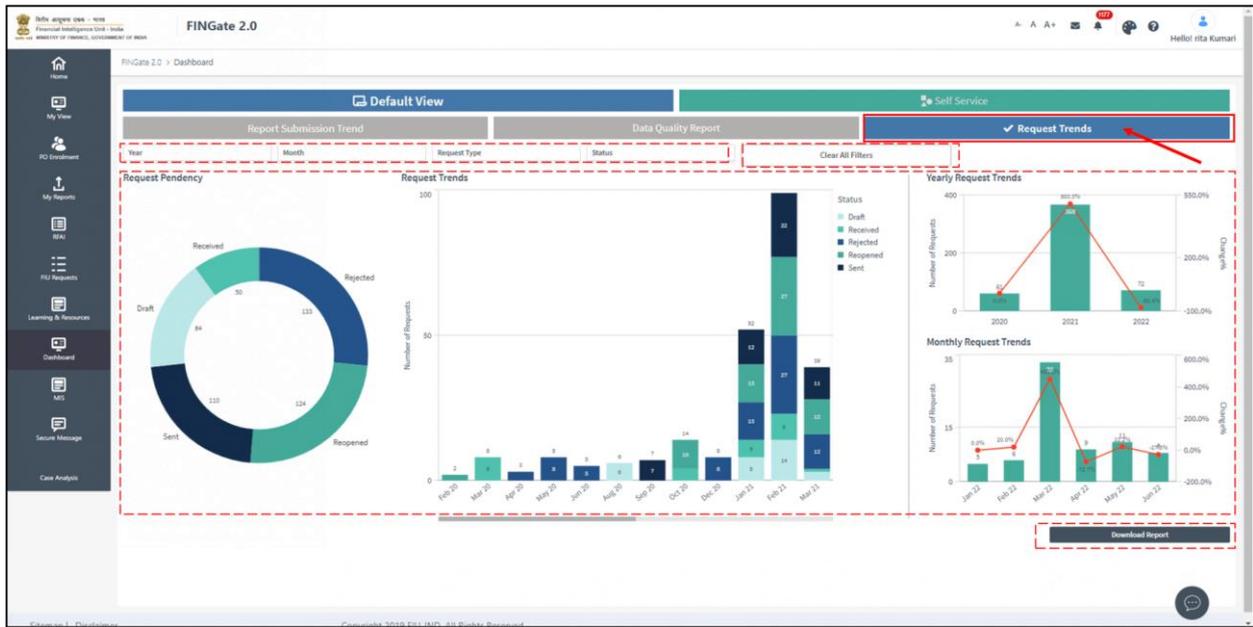
1. This report shows the statistics and the general trend of the data quality reports generated based on the processing of the reports submitted by the RE till date.
2. The user will option to customise the statistics and the trends based on multiple filters available.
3. The user after landing on the “default view” section, clicks on the “Data Quality report” tab to view the canned statistics, reports and trends of the data quality reports.
4. The user on accessing this tab will view the following multiple components, as shown in below figure as well:
  - a) Statistics section: The user can view the below as part of this section:
    - i. Total number of the data quality reports generated till date.
    - ii. Number of the data quality reports generated till date in the current calendar year
    - iii. Status wise segregation of the data quality reports generated till date in the current calendar year
  - b) Filter Panel: The user can view the below filters that user can utilize to generate and view the customised statistics, reports and trends based on the user selection of filters:
    - i. Year
    - ii. Month
    - iii. Report Type
  - c) Trends: The user can view the below trends in the graphical form:
    - i. Status wise trend of the data quality reports segregated by Months
    - ii. Year wise trend of the data quality reports
    - iii. Month wise trend of the data quality reports

- d) “Download Report” action button: The user after clicking on this action button can download the statistics, reports and trends in the predefined format as per the filters applied, if any.
- e) “Clear All Filters” action button: The user after clicking on this action button can remove all the applied filters to view the default statistics, reports and trends.



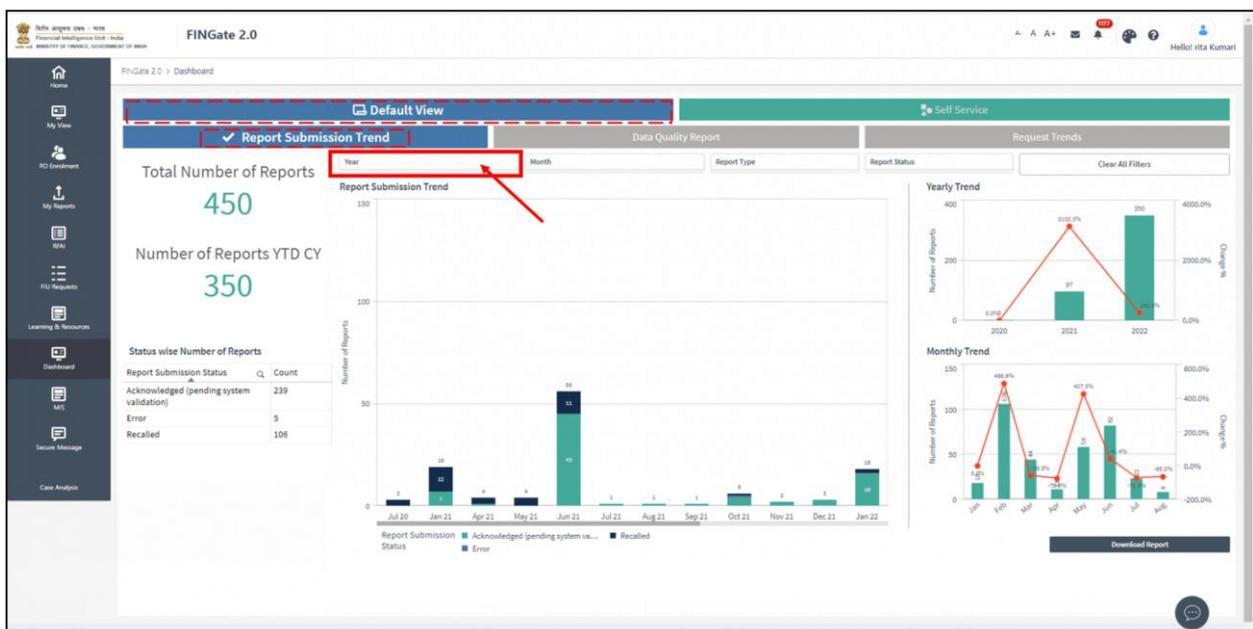
### 3.5 Request Trends

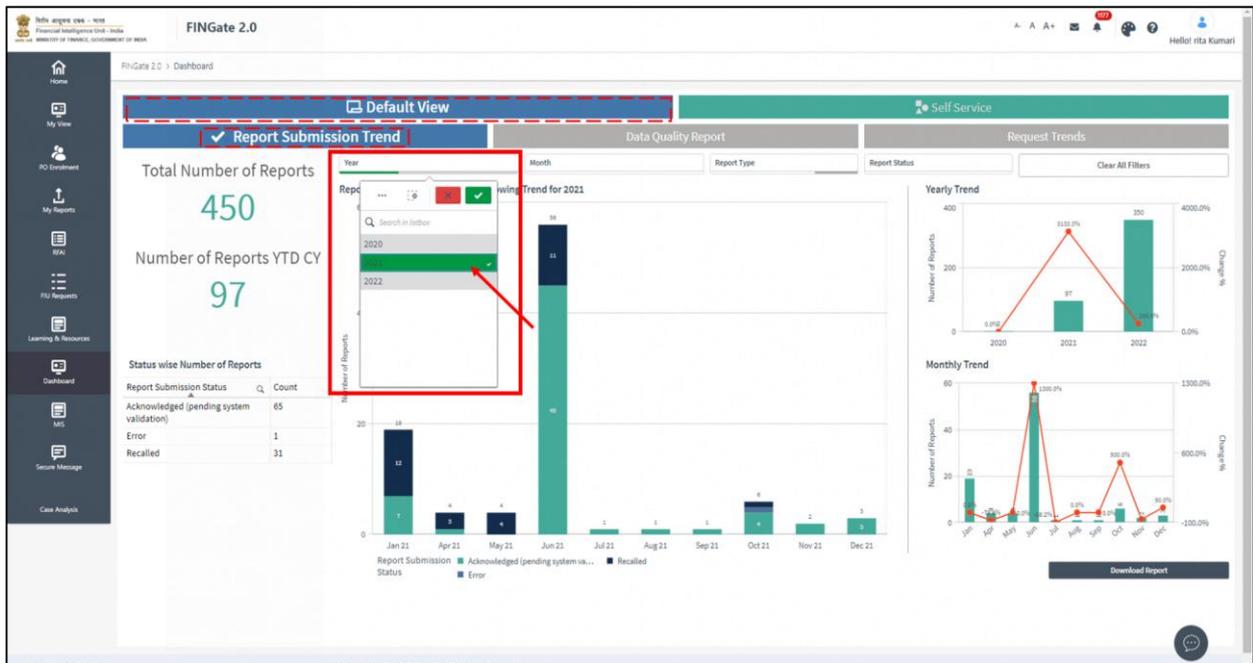
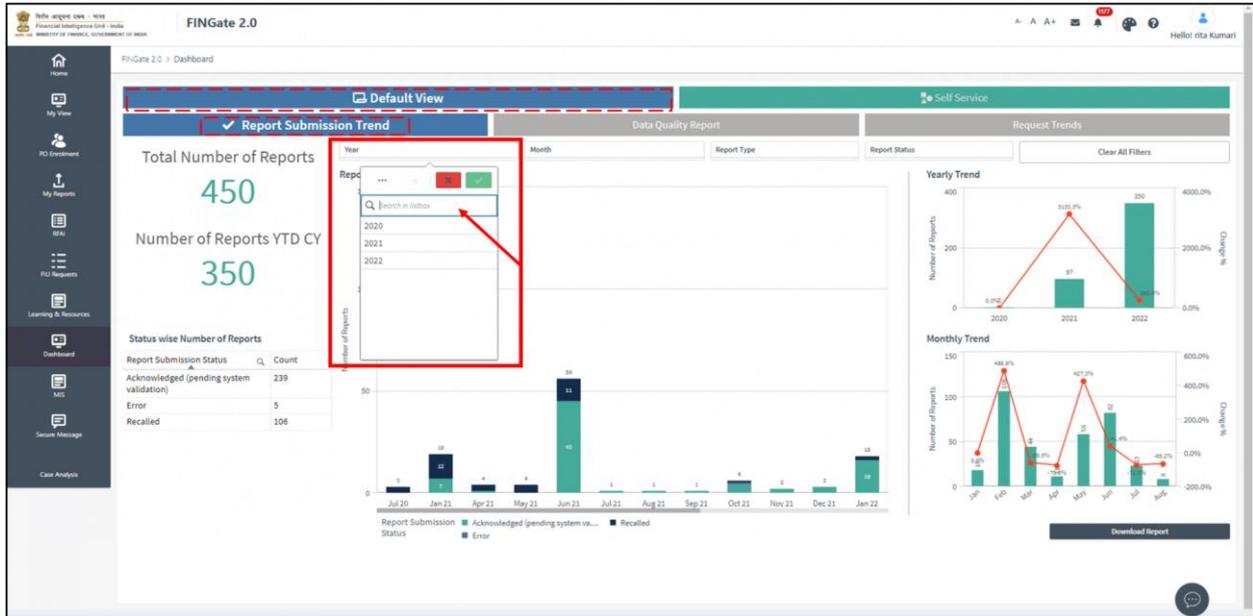
1. This report shows the statistics and the general trend of the Requests submitted to RE by FIU-IND and their response provided by the RE till date.
2. The user will option to customise the statistics and the trends based on multiple filters available.
3. The user after landing on the “default view” section, clicks on the “Request trends” tab to view the canned statistics, reports and trends of the Requests submitted to RE by FIU-IND and their response provided by the RE.
4. The user on accessing this tab will view the following multiple components, as shown in below figure as well:
  - a) Filter Panel: The user can view the below filters that user can utilize to generate and view the customised statistics, reports and trends based on the user selection of filters:
    - i. Year
    - ii. Month
    - iii. Request Type
    - iv. Request Status
  - b) Trends: The user can view the below trends in the graphical form:
    - i. Status wise trend of Request pendency.
    - ii. Status wise trend of Requests segregated by Months
    - iii. Year wise trend of Requests
    - iv. Month wise trend of Requests
  - c) “Download Report” action button: The user after clicking on this action button can download the statistics, reports and trends in the predefined format as per the filters applied, if any.
  - d) “Clear All Filters” action button: The user after clicking on this action button can remove all the applied filters to view the default statistics, reports and trends.

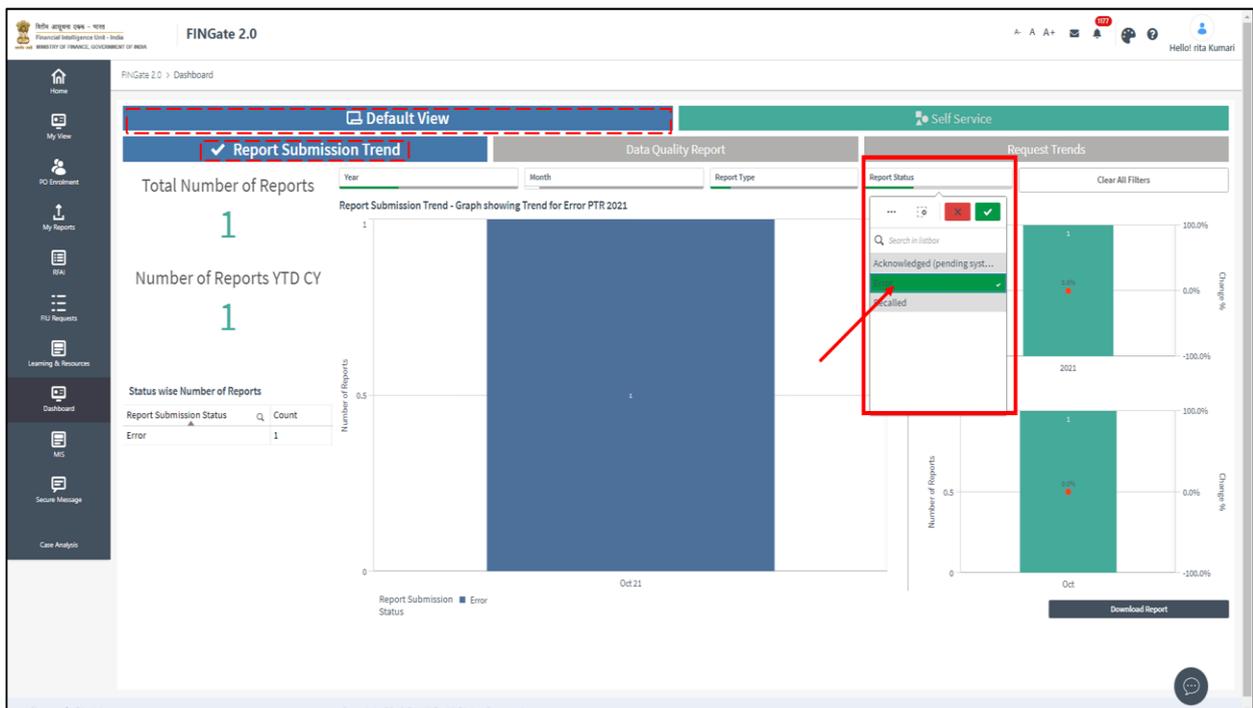
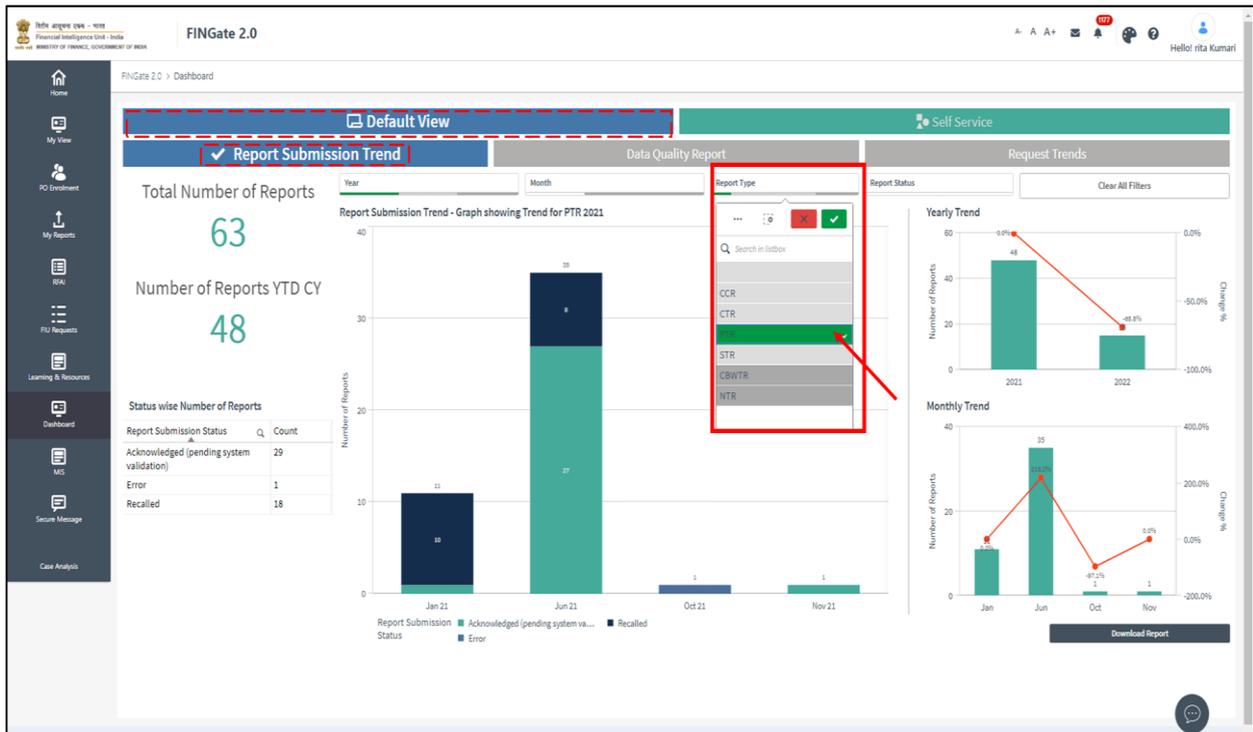


### 3.6 Customize the dashboard view

- For any of the below three main canned report categories in the 'default view', the user can customise the view and generate the customised statistics, trends and reports
  - Report Submission trend
  - Data Quality report
  - Request Trends
- The user clicks on the Filter panel to choose relevant filters for which the user wants to generate statistics and trends.
- Based on the selection of filters, the user can generate a customised view of the dashboard.
- The user can view the customised statistics, trends and reports





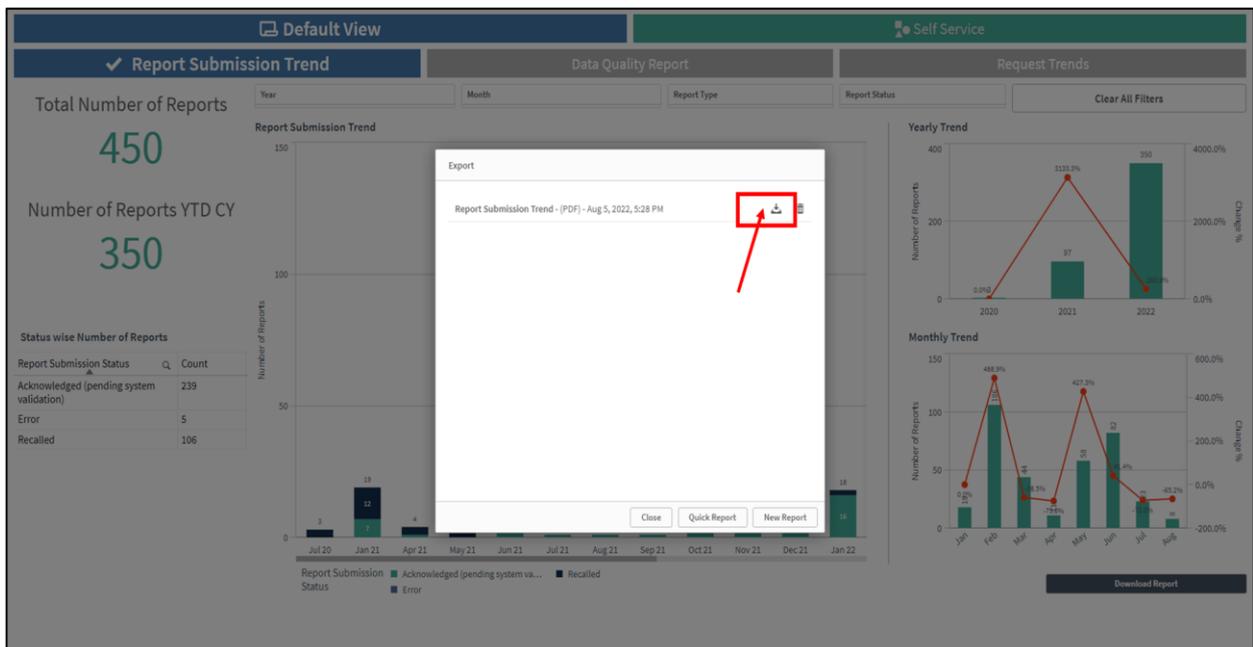


3.7 Download the trends report in the predefined format.

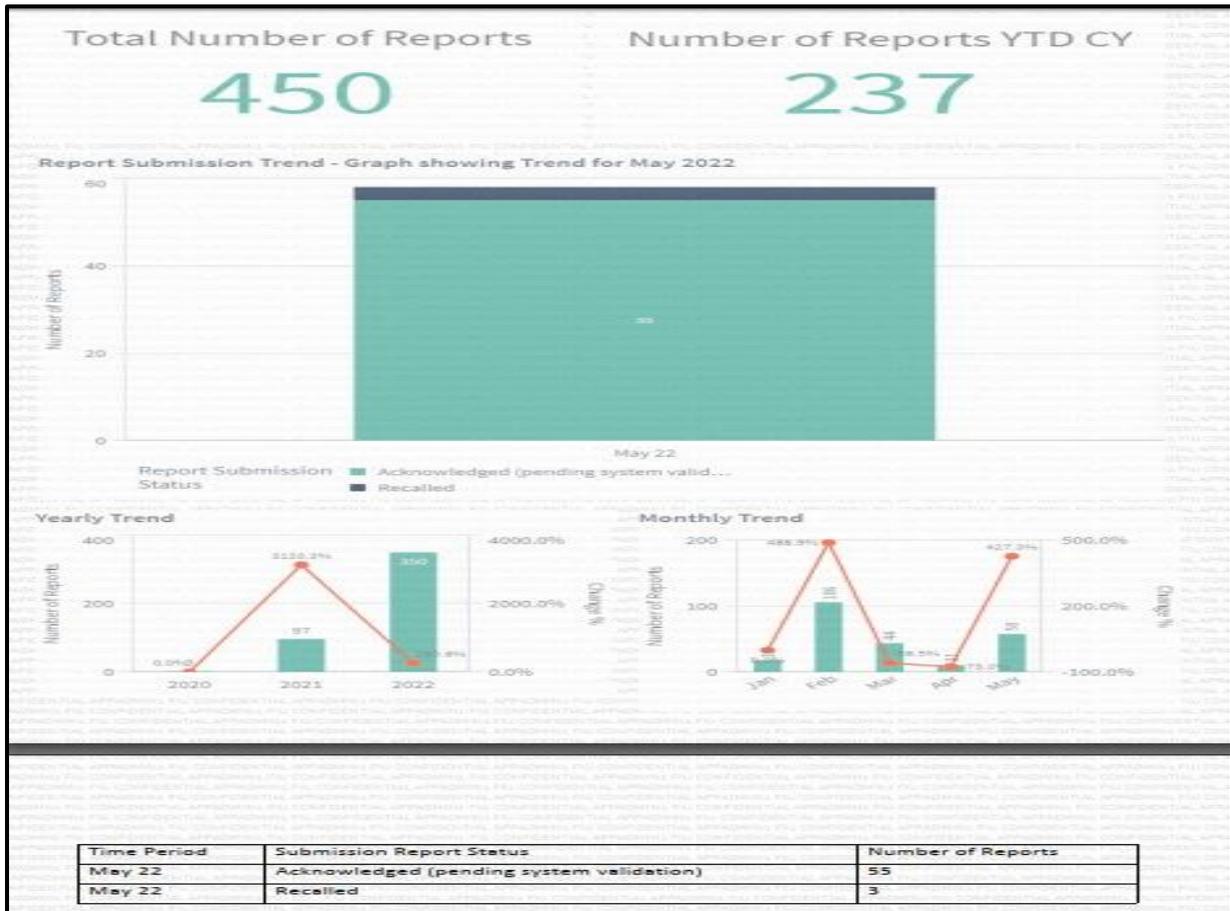
1. The user after navigating to any of the canned report/ trends category pages of the default view of the dashboard, clicks on “download report”, as shown in the below figure.



2. The user confirms the download action, and the report gets downloaded in the predefined format as per the filters applied, if any.

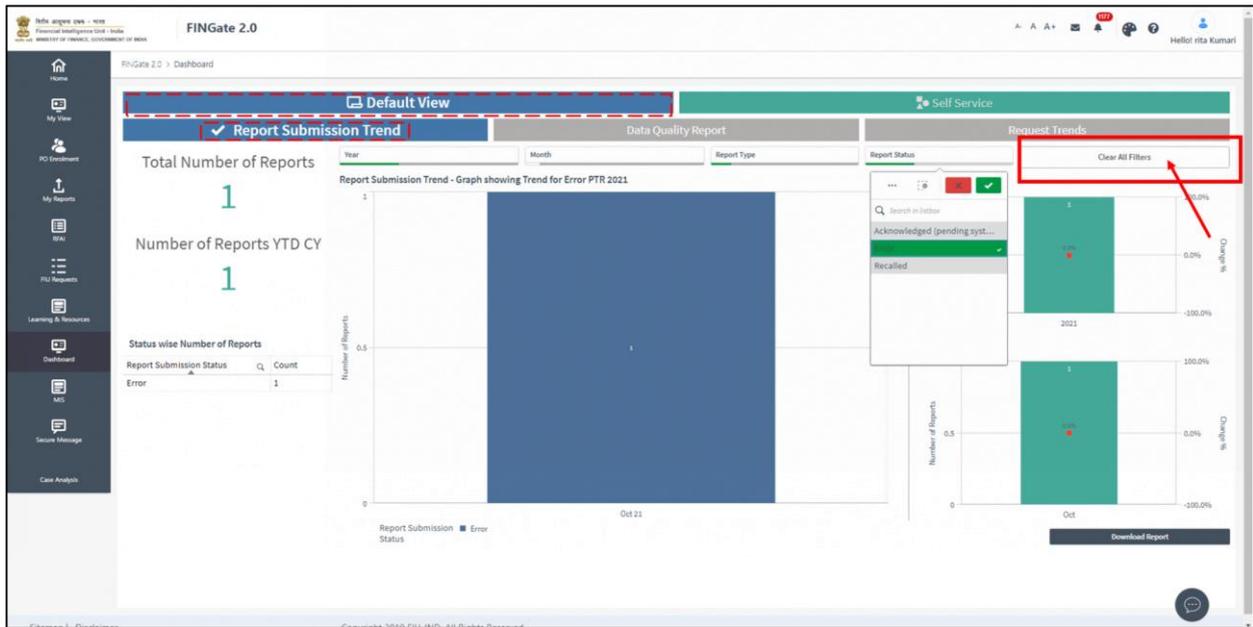


3. The user can view the downloaded report as shown in the below figure for reference.



### 3.8 Clearing all the metric filters from the trends

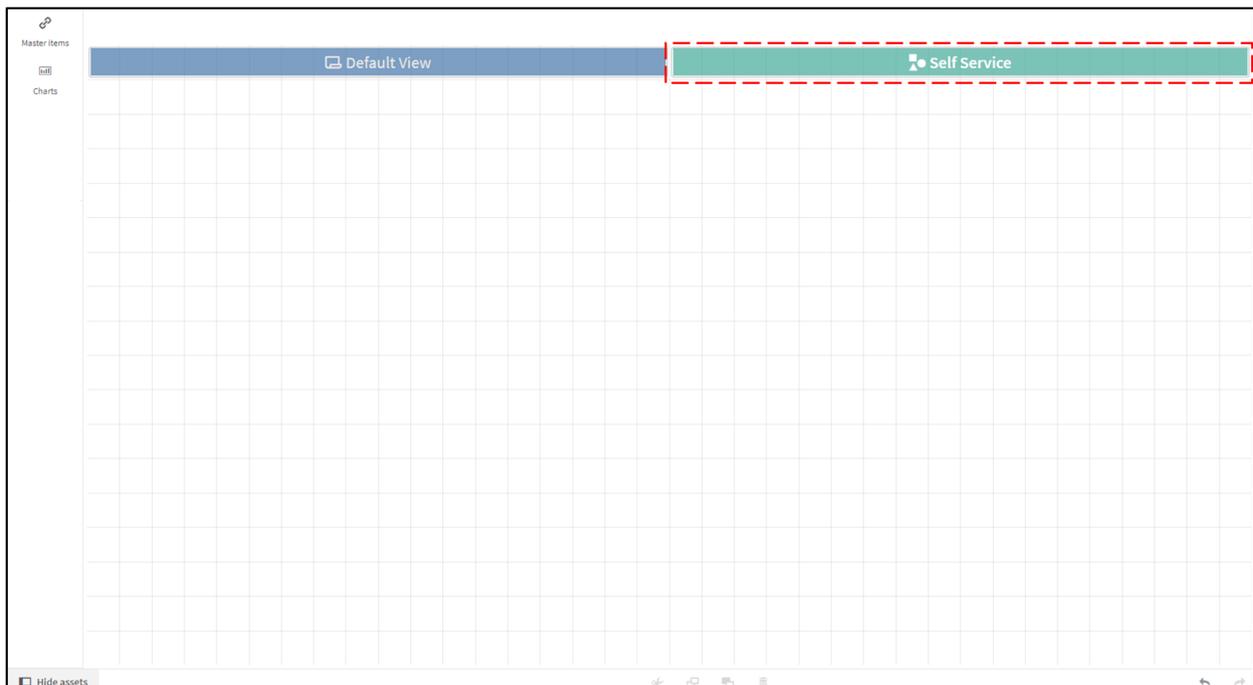
1. The user after navigating to any of the canned report/ trends category pages of the default view of the dashboard, the user can filter out all the selected filters in a single click by clicking on “clear filters”, as shown in the below figure.
2. The user will view statistics, reports and trends as per the default view of the canned category.
3. The user can again apply filters to get the customised view.



#### 4 Self Service Dashboard

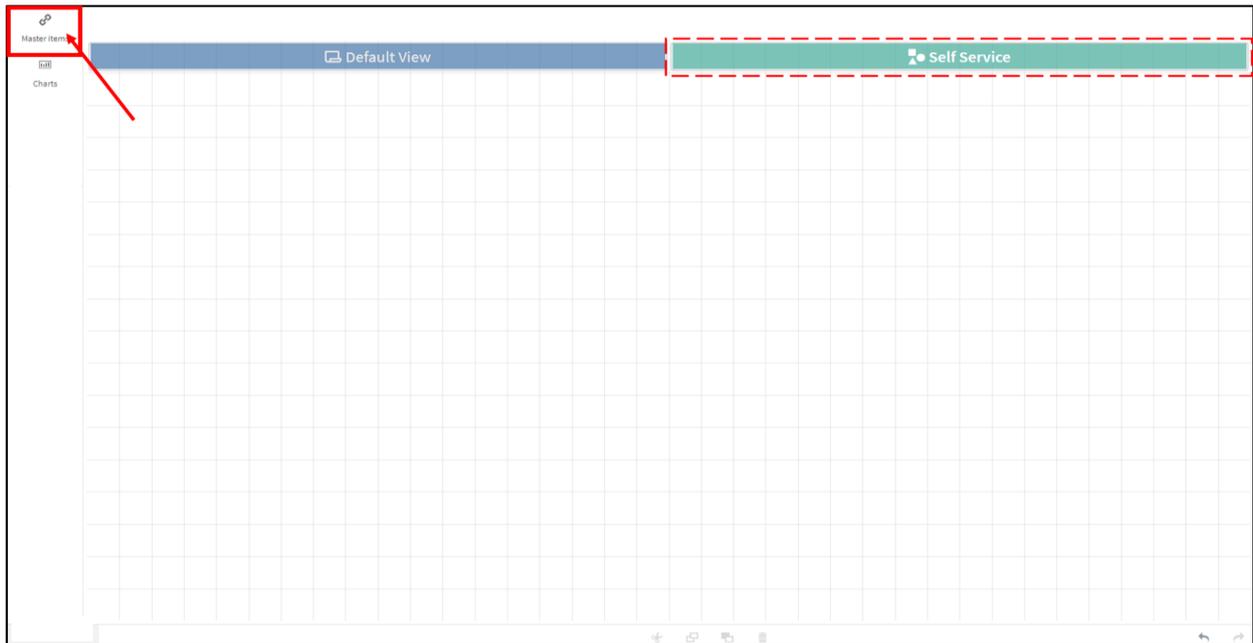
This feature enables the user to create custom reports by selecting from the available dimensions and measures. The tool enables creation of multiple types of chart and graphical reports.

1. The user after accessing the “reporting dashboard” by default lands on the “default view” section of the dashboard.
2. To access the self-service reporting capability, the user clicks on the “Self Service” tab, as shown in the figure below.
3. The user land on the main page of the “Self Service” section.



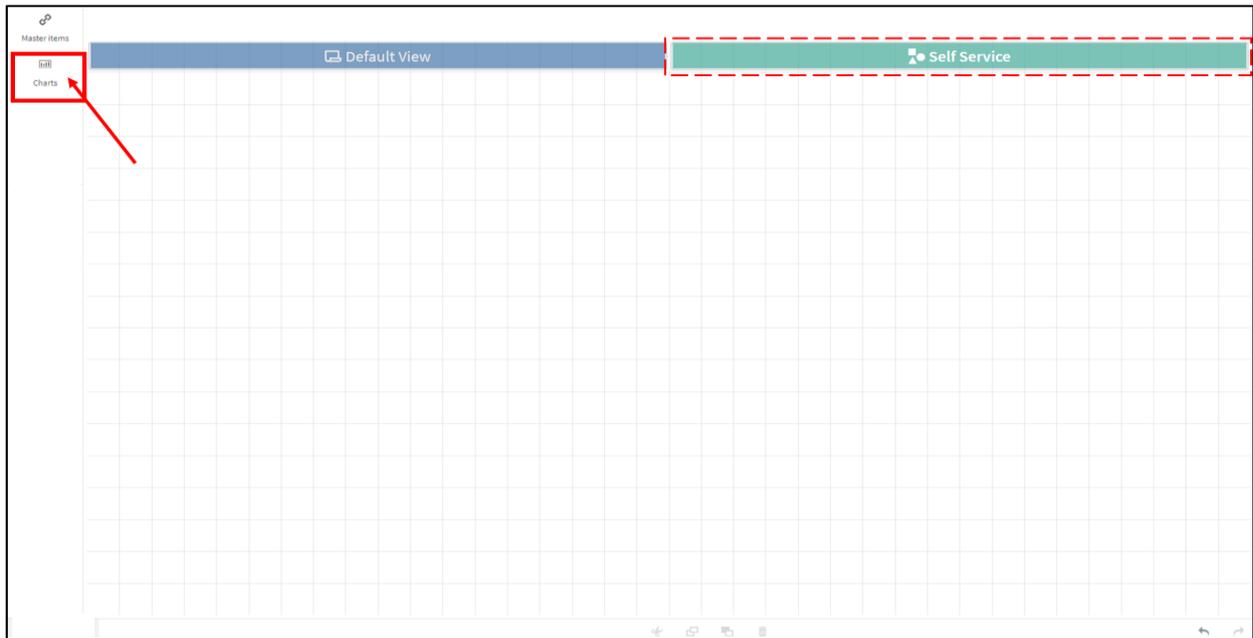
#### 4.1 Customize reports using self-service capability

1. The user after accessing “self-service reporting” lands on the main page section of the dashboard, as shown in the image below
2. The user clicks on the “Master items” to select data parameters that the user wants to utilize for the generation of self-service reports and graphs.
3. The user selects the relevant data parameters from the list of available parameters.
4. The graph is populated on the screen based on the selected data parameters.



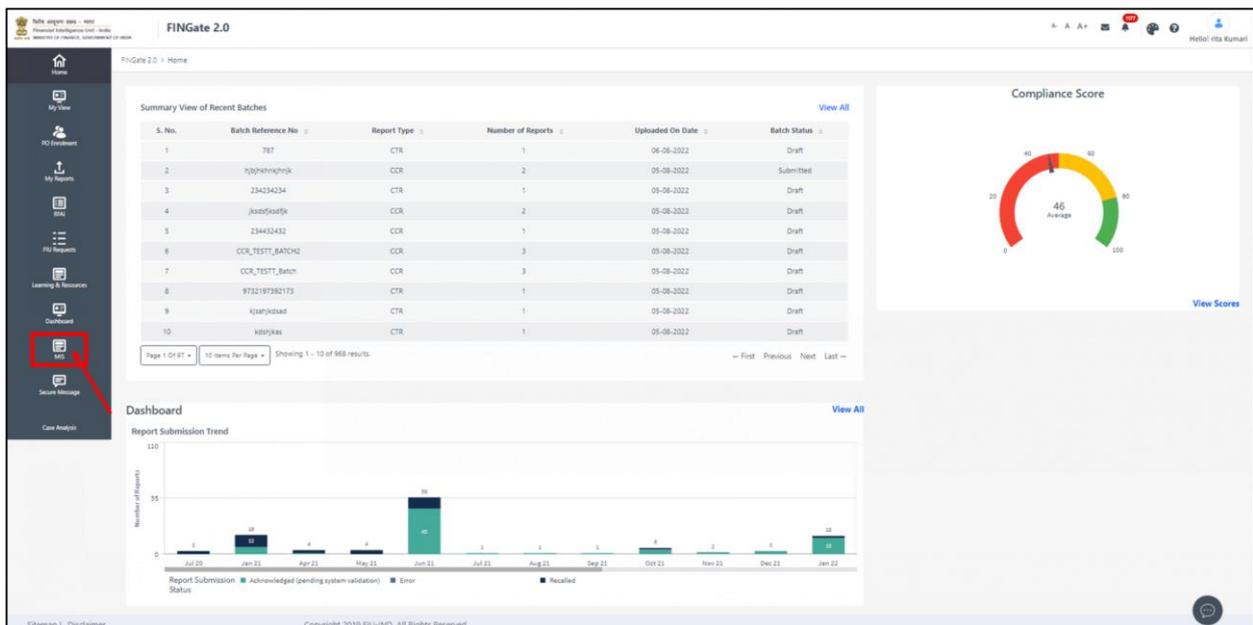
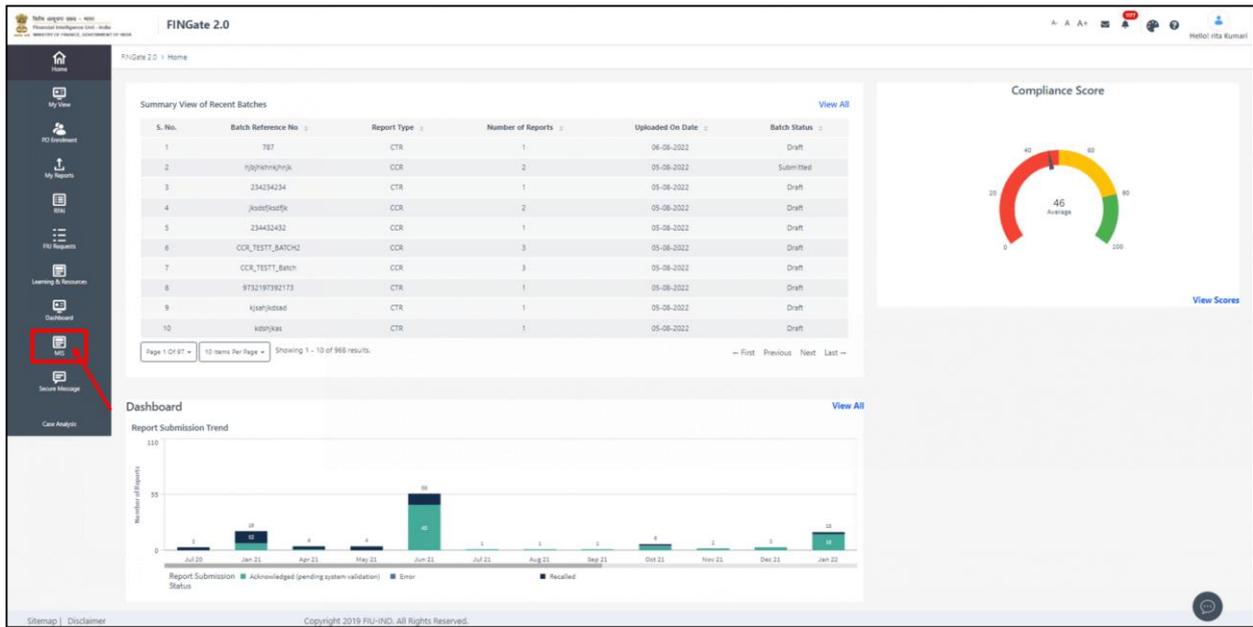
#### 4.2 Customize the report output using self-service capability

1. The user after selecting the selects the relevant data parameters for the generation of self-service charts, clicks on the “Charts” icon to select the relevant chart type against which the user wants to view the data visualization.
2. The user selects the relevant chart type from the list of available chart types.
3. The graph is populated on the screen based on the selected chart type.



## 5 MIS reports

1. The user shall login to FINGate portal and land on the homepage.
2. To view and access the FINGate MIS reports, the user can click on the “MIS” icon from the left panel of the screen, as shown in the figure below.
3. The user will navigate to the “Main page” of the FINGate MIS reports page.



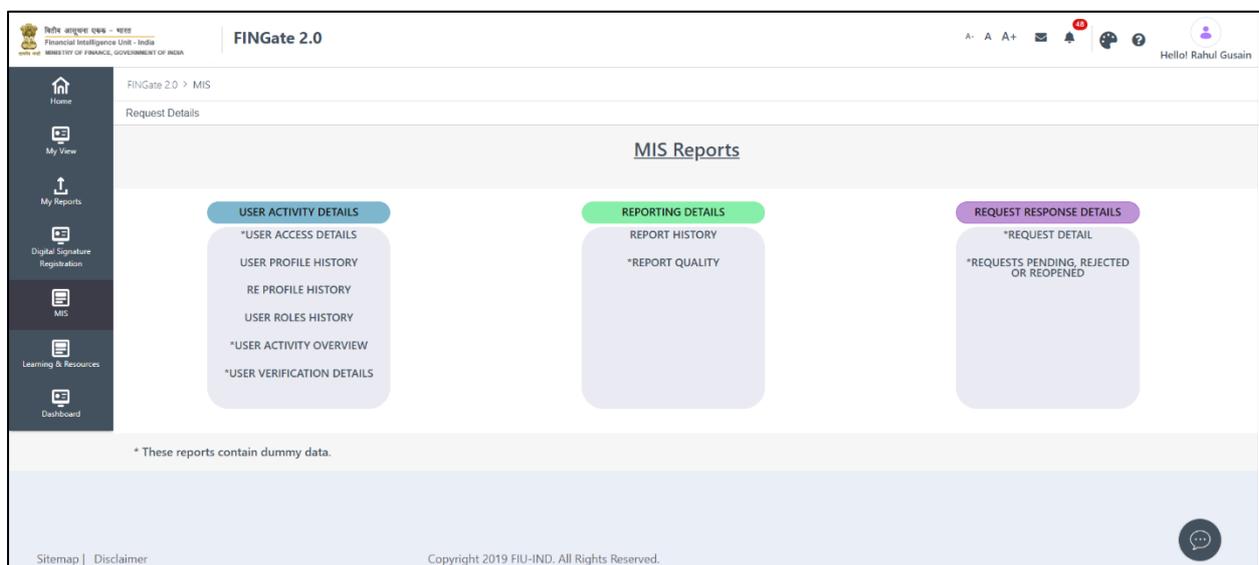
### 5.1 Overview of FINGate MIS Main page

1. The user after landing on the “Main page” of the MIS reports, views the entire list of MIS reports segregated by report categories.
2. On an overview, the user will view the report categories and their respective reports as per the table below.

Report Category	Report Name	Description
User Activity Details	User Access Details*	This report shows the access history of the users.
	User Profile History	This report shows the profile history of the Users
	RE Profile History	This report shows the profile history of the RE.
	User Role History	This report shows the role history of the users.
	User Activity Overview*	This report shows detail of abnormal user activities.
	User Verification details*	This report shows verification details of the users
Reporting MIS Details	Report History	This report shows the history of the reports submitted by RE.
	Report Quality*	This report shows the quality of the RE submitted reports.
Request Response Details	Request Detail*	This report shows REs the status of requests raised on them.
	Requests pending, rejected or reopened*	This report shows RE’s requests that are pending, rejected or reopened.

\* The report names suffixed by “\*” are not available currently and will be implemented in subsequent versions.

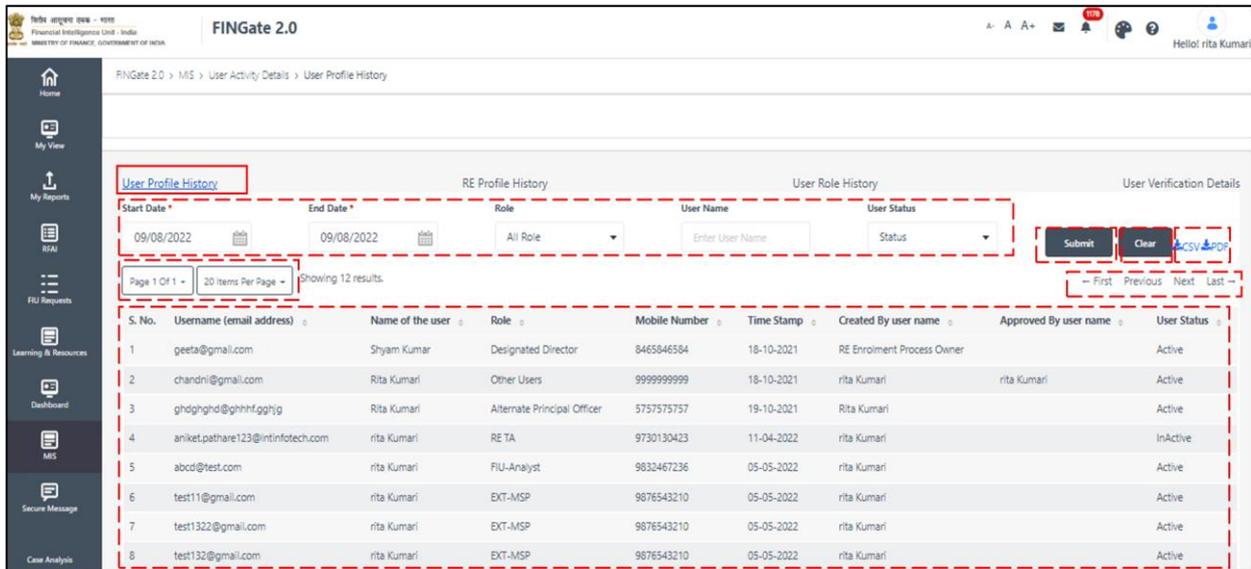
- Please refer to the below figure as a reference to how reports will be segregated in the actual screen based on the report categories.
- The user can click on any “report Name” for which the user wants to generate the MIS.
- The user will be navigated to the report-specific screen from where he can do certain actions to generate the MIS reports.



## 5.2 Overview of Report-specific Screen

- The user post selecting a specific “Report Name” will land on the report-specific screen from where he can do certain actions to generate the MIS reports.
- The user on accessing this screen will view the following multiple components, as shown in below figure as well:
  - Report Input Panel:

- i. The user can input/select the relevant data against the report input data fields to generate and view the MIS reports.
- ii. Search input marked with ‘\*’ will be mandatory
- b) “Submit” action button: The user after clicking on this action button will yield the report output in the predefined format specific to the MIS report.
- c) Report Output Section: Based on the report inputs and when the user clicks on “submit”, the user will view the report output in the predefined format specific to the MIS report.
- d) “Pagination” Controls:
  - i. The user can select how many records the user wants to see on each page.
  - ii. The user can also choose to navigate to any page number of the yielded output.
- e) “Navigation” Page Controls
  - i. The user can select whether to move to the first or the last page of the yielded output.
  - ii. With respect to the current page, the user can also choose to navigate to either next or the previous page number of the yielded output.
- f) “Download CSV” and “Download PDF” action buttons: The user after clicking on either of these action buttons can download the MIS reports in the respective predefined format (.CSV or PDF, as per the action taken).
- g) “Clear” action button: The user after clicking on this action button can remove all the applied filters to view the default MIS report.



### 5.3 MIS report specific input Parameters

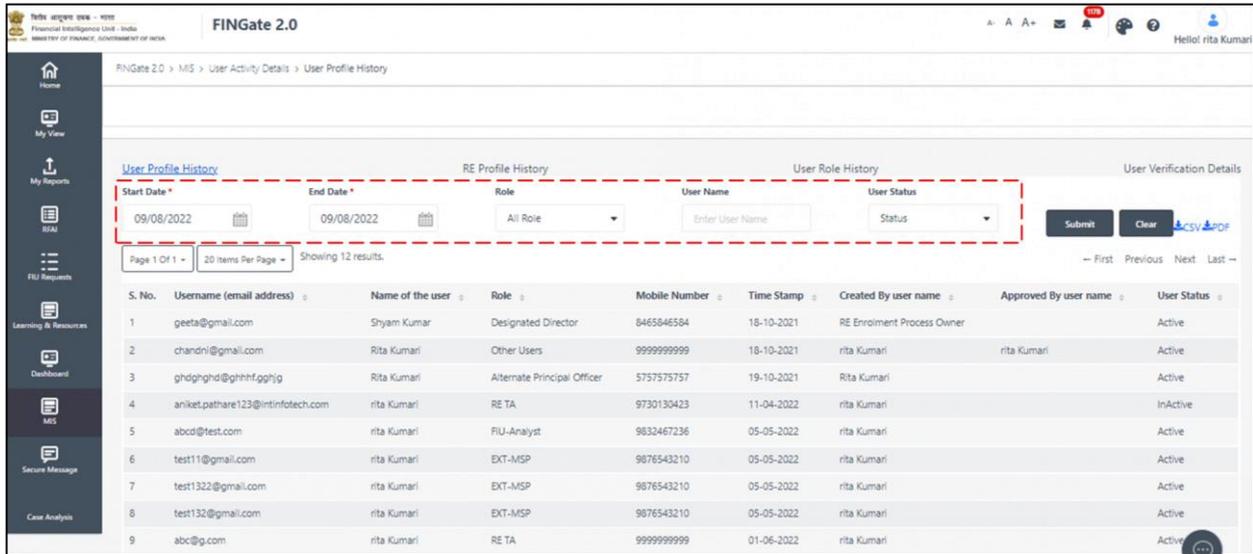
#### 5.3.1 User Activity Details

##### 5.3.1.1 User Profile History - Report Input Parameters

User Profile History - Report Input Parameters			
Start Date*	Select Start Date	End Date*	Select End Date
Role	Drop Down – (Principal Officer, Designated Director, Alternate Principal Officer, Technical Analyst, Others)		

Username	Free text	User Status	Drop down- Active/Inactive
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Search input marked with ‘\*’ will be mandatory



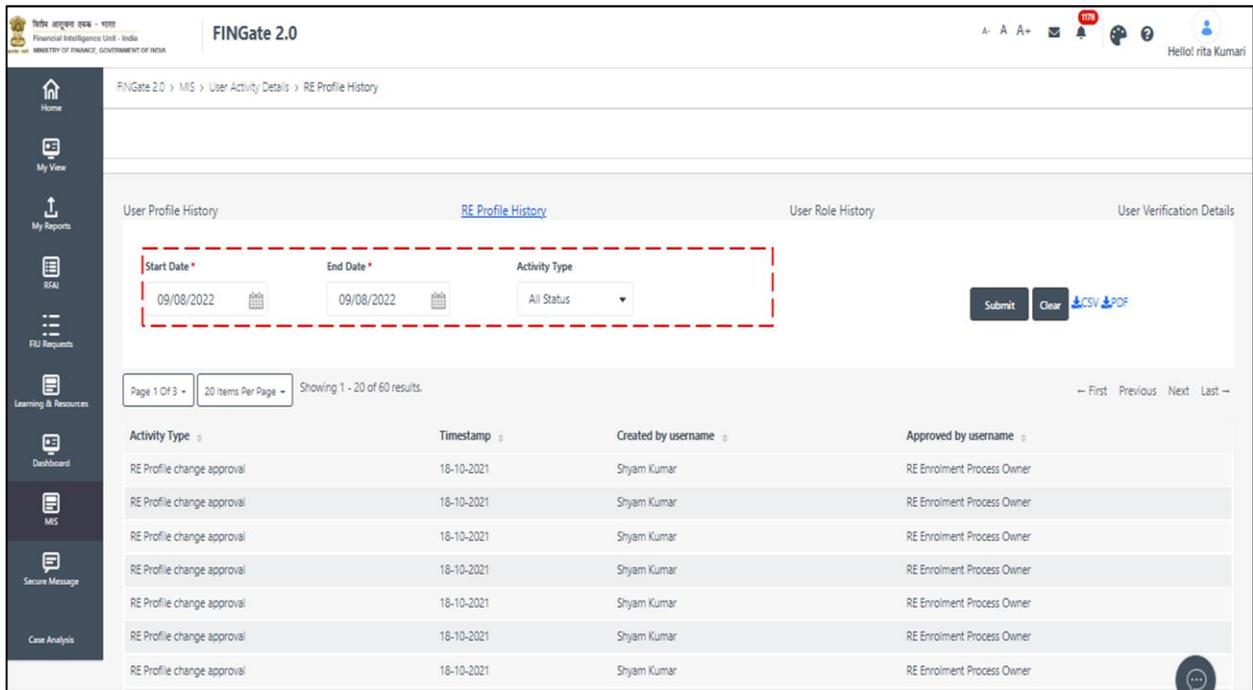
The screenshot shows the 'User Profile History' report in FINGate 2.0. The search filters are: Start Date\* (09/08/2022), End Date\* (09/08/2022), Role (All Role), User Name (Enter User Name), and User Status (Status). The report displays a table with 9 rows of user data.

S. No.	Username (email address)	Name of the user	Role	Mobile Number	Time Stamp	Created By user name	Approved By user name	User Status
1	geeta@gmail.com	Shyam Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active
2	chandni@gmail.com	Rita Kumari	Other Users	9999999999	18-10-2021	rita Kumari	rita Kumari	Active
3	ghdghgd@ghhfhfghhg	Rita Kumari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari		Active
4	aniket.pathare123@intinfotech.com	rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari		InActive
5	abcd@test.com	rita Kumari	FIU-Analyst	9832467236	05-05-2022	rita Kumari		Active
6	test11@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
7	test132@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
8	test132@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
9	abc@g.com	rita Kumari	RE TA	9999999999	01-06-2022	rita Kumari		Active

### 5.3.1.2 RE Profile History - Report Input Parameters

RE Profile History - Report Input Parameters			
Start Date*	Select Start Date	End Date*	Select End Date
Activity Type	<drop down>		

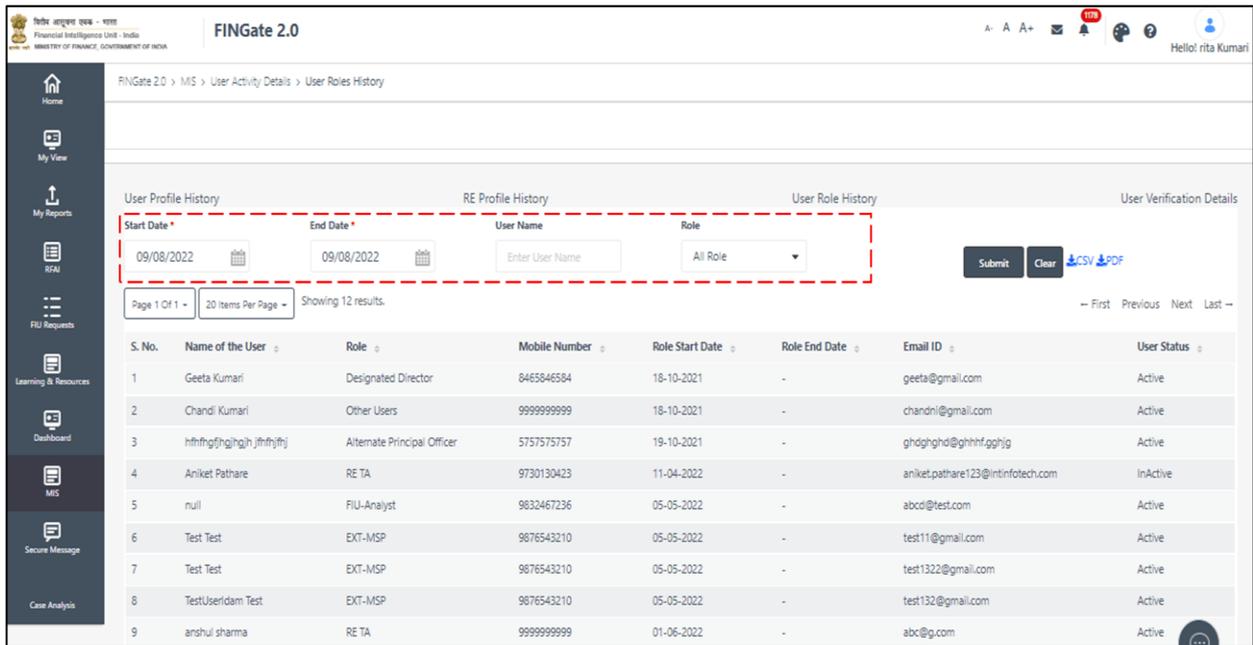
- Search input marked with ‘\*’ will be mandatory
- Drop down values for Activity Type will be as below:
  - RE Enrolment initiation
  - RE Enrolment submission
  - RE Enrolment Approval
  - RE Profile change Request submission
  - RE Profile change approval
  - RE Merger
  - Deactivation



### 5.3.1.3 User Role History - Report Input Parameters

User Role History - Report Input Parameters			
Start Date*	Select Start Date	End Date*	Select End Date
Username	Enter username. Username will be the email id used for login.	Role	<drop down>

1. Search input marked with '\*' will be mandatory
2. Role will be drop down with the roles – Principal Officer, Designated Director, Alternate Principal Officer, Technical Analyst, Others



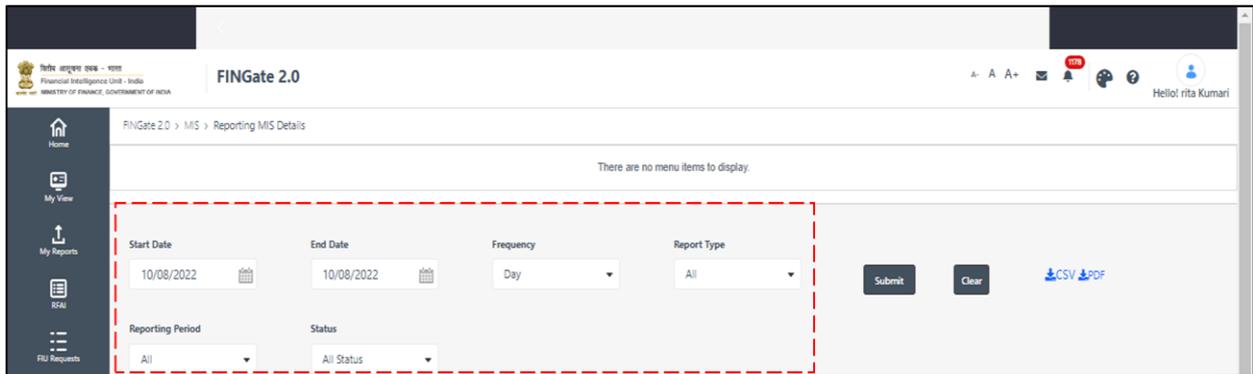
S. No.	Name of the User	Role	Mobile Number	Role Start Date	Role End Date	Email ID	User Status
1	Geeta Kumari	Designated Director	8465846584	18-10-2021	-	geeta@gmail.com	Active
2	Chandni Kumari	Other Users	9999999999	18-10-2021	-	chandni@gmail.com	Active
3	ghdghghd@ghhfhfghjg	Alternate Principal Officer	5757575757	19-10-2021	-	ghdghghd@ghhfhfghjg	Active
4	Aniket Pathare	RE TA	9730130423	11-04-2022	-	aniket.pathare123@intinfotech.com	InActive
5	null	FIU-Analyst	9832467236	05-05-2022	-	abcd@test.com	Active
6	Test Test	EXT-MSP	9876543210	05-05-2022	-	test11@gmail.com	Active
7	Test Test	EXT-MSP	9876543210	05-05-2022	-	test132@gmail.com	Active
8	TestUseridam Test	EXT-MSP	9876543210	05-05-2022	-	test132@gmail.com	Active
9	anshul sharma	RE TA	9999999999	01-06-2022	-	abc@g.com	Active

### 5.3.2 Reporting MIS Details

#### 5.3.2.1 Report History - Report Input Parameters

Report History - Report Input Parameters			
Start Date*	Select Start Date	End Date*	Select End Date
Frequency*	<drop down>	Report Type*	<drop down>
Reporting Period	<drop down>	Report Status	<drop down>

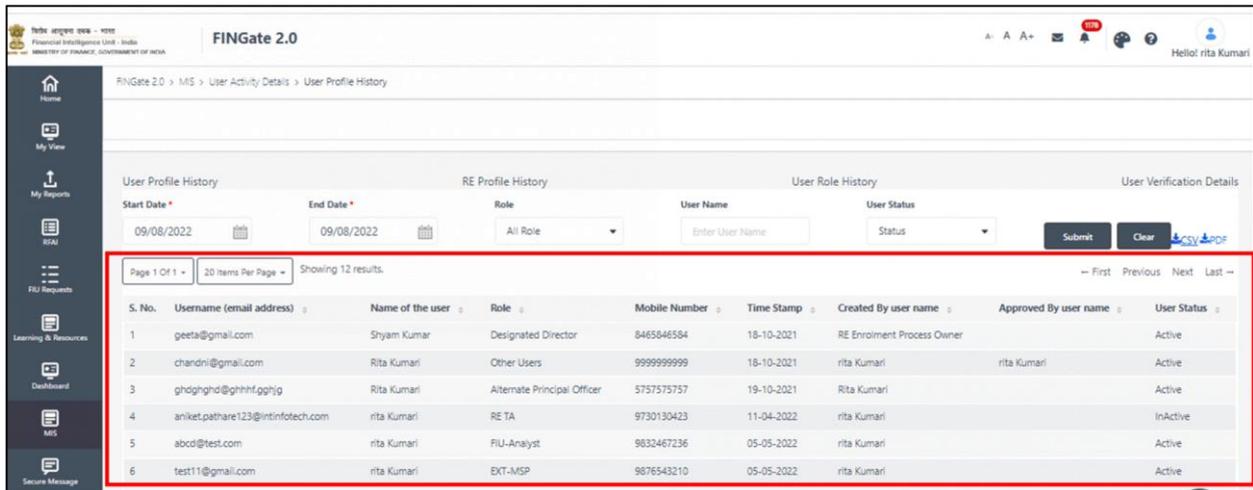
- Search input marked with '\*' will be mandatory
- Drop down values for frequency – Day/Month/Quarter/Year
- Drop down values for Report Type will be
  - STR
  - CTR
  - NTR
  - CBWTR
  - PTR
  - CCR
  - All (Consolidated view)
- Drop down for Report Status will be –
  - Draft
  - Submitted
  - Resubmitted
  - Rejected
  - Recalled
  - Pending for Submission



### 5.3.3 Generating the MIS report output

1. After inputting /selecting the relevant data against the report input data fields, the user clicks on the “submit” button.
2. The user will view the report output in the predefined format specific to the MIS report.





FINGate 2.0 > MIS > User Activity Details > User Profile History

User Profile History      RE Profile History      User Role History      User Verification Details

Start Date \*      End Date \*      Role      User Name      User Status

09/08/2022      09/08/2022      All Role      Enter User Name      Status

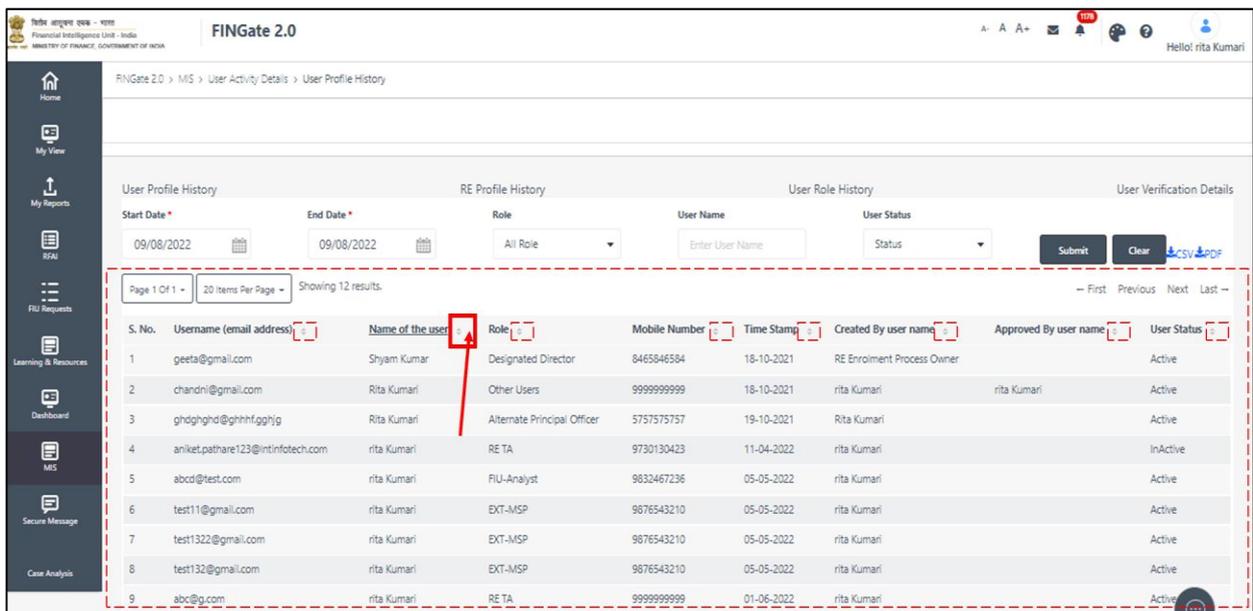
Submit      Clear      CSV      PDF

Page 1 Of 1      20 Items Per Page      Showing 12 results.      -- First Previous Next Last --

S. No.	Username (email address)	Name of the user	Role	Mobile Number	Time Stamp	Created By user name	Approved By user name	User Status
1	geeta@gmail.com	Shyam Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active
2	chandni@gmail.com	Rita Kumari	Other Users	9999999999	18-10-2021	rita Kumari	rita Kumari	Active
3	ghdghgd@ghhfhf.gghjg	Rita Kumari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari		Active
4	aniket.pathare123@intinfotech.com	rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari		InActive
5	abcd@test.com	rita Kumari	FIU-Analyst	9832467236	05-05-2022	rita Kumari		Active
6	test11@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active

### 5.3.4 Sort the MIS report output records

1. After the report output is populated, the user can sort the records by clicking on the icons next to the column fields, please refer to the below figure.
2. The records will be sorted as per the user's action.



FINGate 2.0 > MIS > User Activity Details > User Profile History

User Profile History      RE Profile History      User Role History      User Verification Details

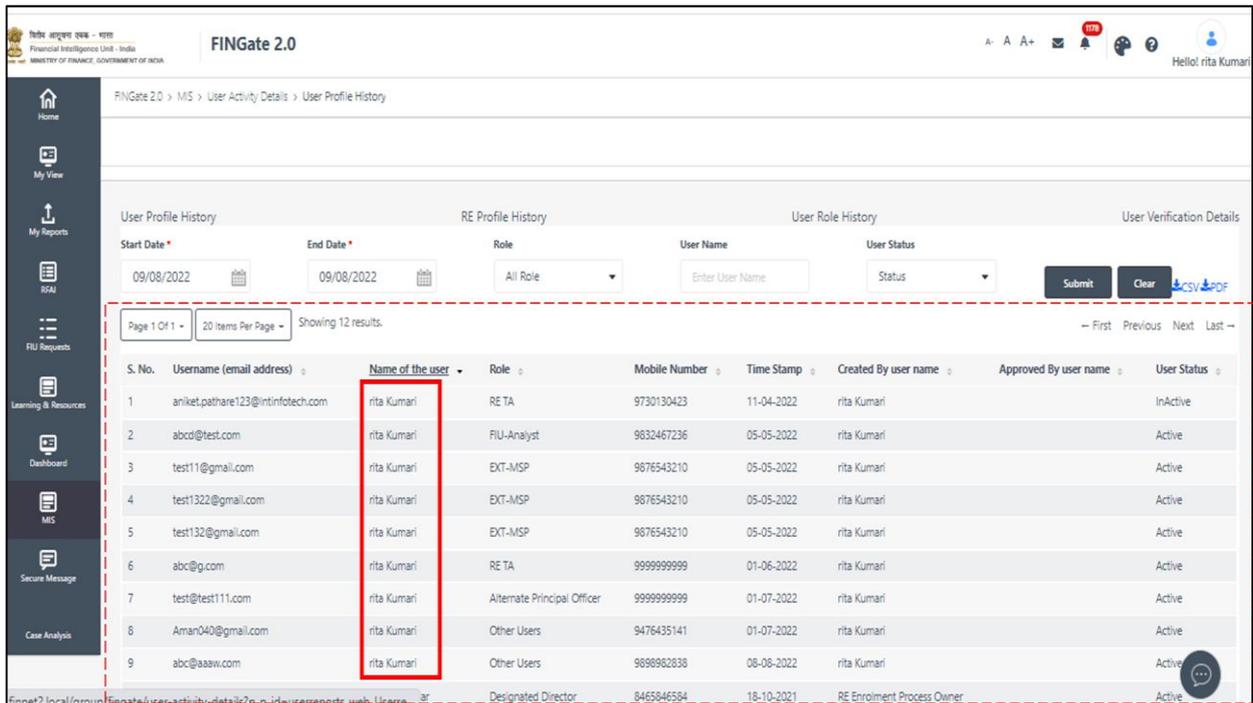
Start Date \*      End Date \*      Role      User Name      User Status

09/08/2022      09/08/2022      All Role      Enter User Name      Status

Submit      Clear      CSV      PDF

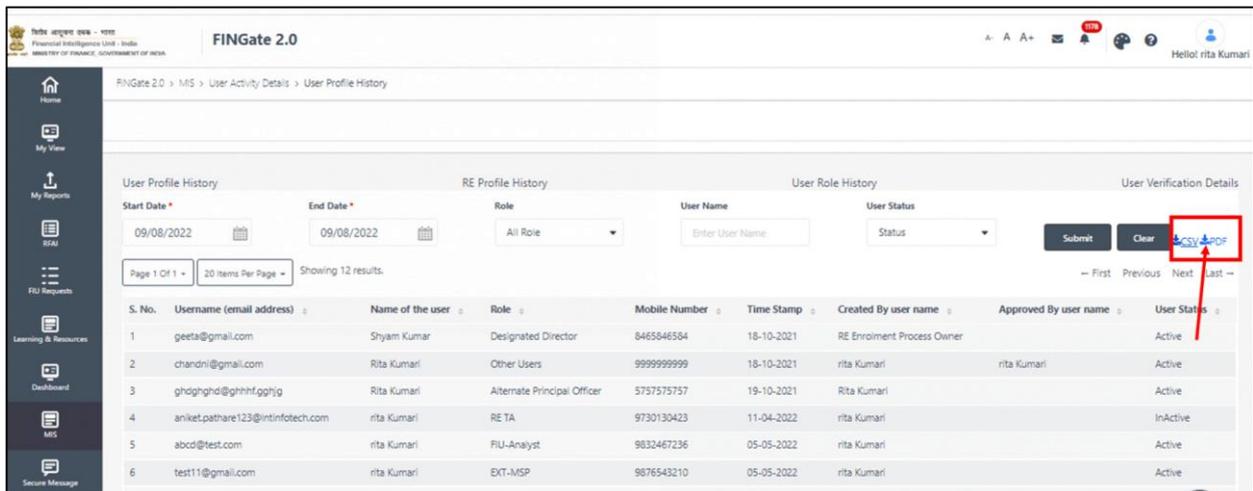
Page 1 Of 1      20 Items Per Page      Showing 12 results.      -- First Previous Next Last --

S. No.	Username (email address)	Name of the user	Role	Mobile Number	Time Stamp	Created By user name	Approved By user name	User Status
1	geeta@gmail.com	Shyam Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active
2	chandni@gmail.com	Rita Kumari	Other Users	9999999999	18-10-2021	rita Kumari	rita Kumari	Active
3	ghdghgd@ghhfhf.gghjg	Rita Kumari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari		Active
4	aniket.pathare123@intinfotech.com	rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari		InActive
5	abcd@test.com	rita Kumari	FIU-Analyst	9832467236	05-05-2022	rita Kumari		Active
6	test11@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
7	test1322@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
8	test132@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
9	abc@g.com	rita Kumari	RE TA	9999999999	01-06-2022	rita Kumari		Active



### 5.3.5 Download the MIS report in the predefined format.

1. The user, after generating the MIS report output, clicks on either the “Download CSV” or “Download PDF” action buttons
2. The MIS report in the respective predefined format (.CSV or PDF, as per the action taken) gets downloaded.



3. The user can view the downloaded report as shown in the below figures for reference.

1 / 1 | - 122% + | [Print] [Refresh]

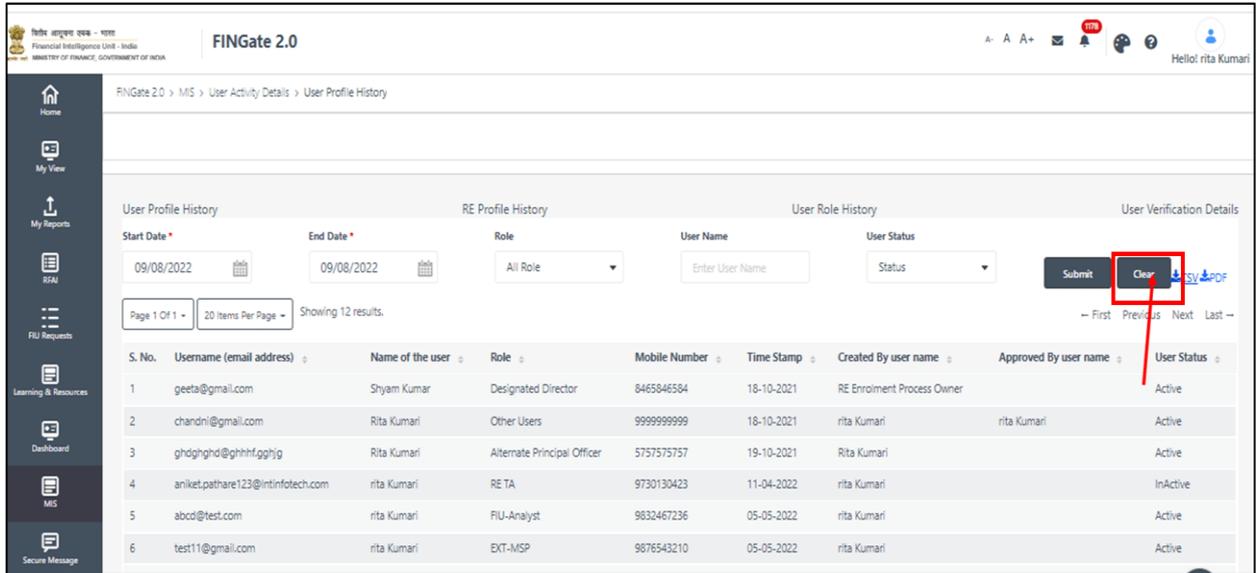
### User Profile History

Username	Name of the User	Role	Mobile Number	TimeStamp	Created By Username	Approved By Username	User Status
geeta@gmail.com	Shyam Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active
chandni@gmail.com	Rita Kumari	Other Users	9999999999	18-10-2021	rita Kumari	rita Kumari	Active
ghdghghd@ghhfhf.gghhg	Rita Kumari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari		Active
aniket.pathare123@intinfo	rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari		InActive

A1		X ✓ fx		Sr No			
	A	B	C	D	E	F	G
1	Sr No	Frequency	Metadata	Add	Edit	Deactivated	
2	1	APR-2022	AccountTy	19	1	0	
3	2	APR-2022	AcHolderT	5	2	0	
4	3	APR-2022	AlertSourc	46	7	9	
5	4	APR-2022	BranchReg	3	0	0	
6	5	APR-2022	CardType	3	0	0	
7	6	APR-2022	City	1	3	0	
8	7	APR-2022	Country	3	11	0	
9	8	APR-2022	CurrDenom	4	1	0	
10	9	APR-2022	Currency	4	0	0	
11	10	APR-2022	Customer	3	6	0	
12	11	APR-2022	District	1	1	0	
13	12	APR-2022	EntRelTyp	1	0	0	
14	13	APR-2022	IdentityTy	7	0	0	
15	14	APR-2022	Ifsc	3	0	0	

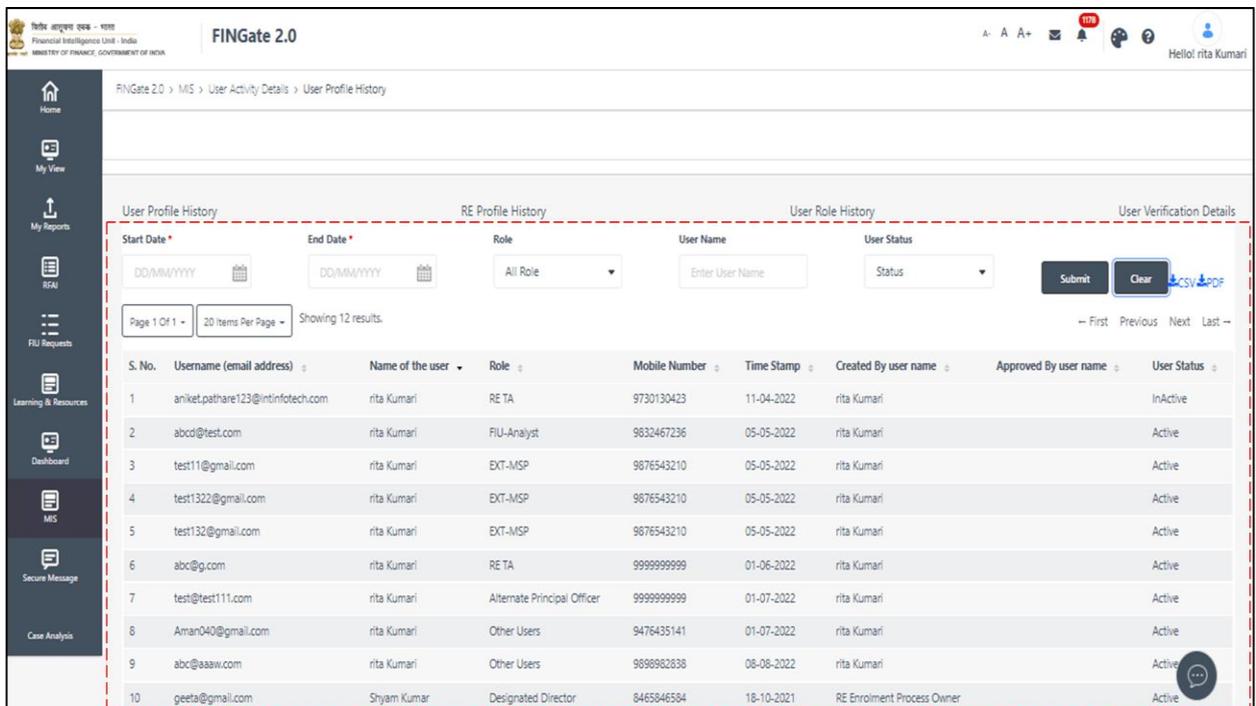
### 5.3.6 Clearing all the applied filters from the report

1. The user, after generating the MIS report output, clicks on the “Clear” action button
2. All the applied selected/entered request input parameters get cleared and the user will view the default view of the report.



The screenshot shows the 'User Profile History' report in FINGate 2.0. The report is filtered by 'Start Date' (09/08/2022) and 'End Date' (09/08/2022). The 'Role' is set to 'All Role'. The 'User Name' field is empty. The 'User Status' is set to 'Status'. The 'Clear' button is highlighted with a red box and a red arrow pointing to it.

S. No.	Username (email address)	Name of the user	Role	Mobile Number	Time Stamp	Created By user name	Approved By user name	User Status
1	geeta@gmail.com	Shyam Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active
2	chandni@gmail.com	Rita Kumari	Other Users	9999999999	18-10-2021	rita Kumari	rita Kumari	Active
3	ghdghghd@ghhfhfghhg	Rita Kumari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari		Active
4	aniket.pathare123@intinfotech.com	rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari		InActive
5	abcd@test.com	rita Kumari	FIU-Analyst	9832467236	05-05-2022	rita Kumari		Active
6	test11@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active



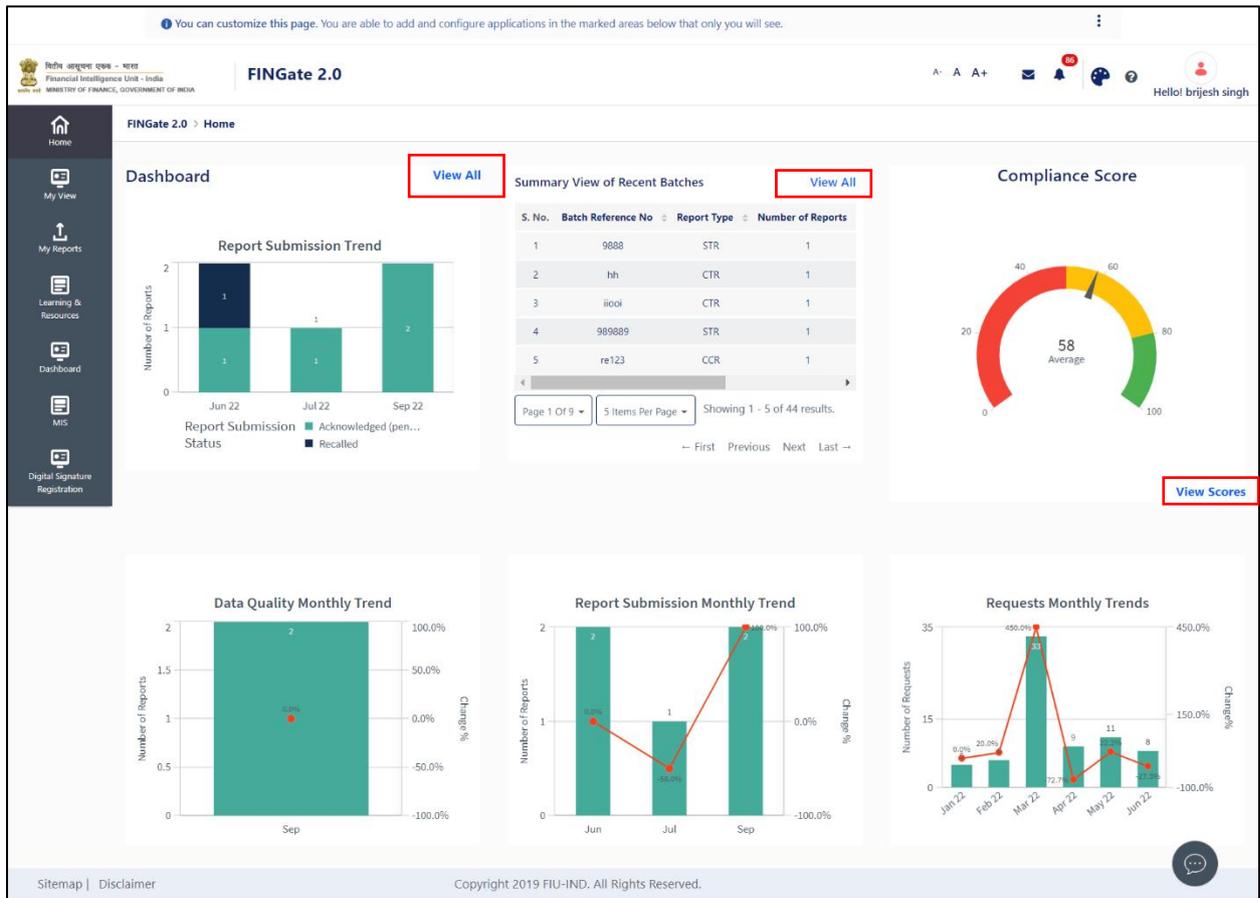
The screenshot shows the 'User Profile History' report in FINGate 2.0. The report is now in its default view with all filters cleared. The 'Start Date' and 'End Date' fields are empty. The 'Role' is set to 'All Role'. The 'User Name' field is empty. The 'User Status' is set to 'Status'. The 'Clear' button is highlighted with a red box and a red arrow pointing to it.

S. No.	Username (email address)	Name of the user	Role	Mobile Number	Time Stamp	Created By user name	Approved By user name	User Status
1	aniket.pathare123@intinfotech.com	rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari		InActive
2	abcd@test.com	rita Kumari	FIU-Analyst	9832467236	05-05-2022	rita Kumari		Active
3	test11@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
4	test1322@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
5	test132@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
6	abc@g.com	rita Kumari	RE TA	9999999999	01-06-2022	rita Kumari		Active
7	test@test111.com	rita Kumari	Alternate Principal Officer	9999999999	01-07-2022	rita Kumari		Active
8	Aman040@gmail.com	rita Kumari	Other Users	9476435141	01-07-2022	rita Kumari		Active
9	abc@aaaw.com	rita Kumari	Other Users	9888882838	08-08-2022	rita Kumari		Active
10	geeta@gmail.com	Shyam Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active

## 6 Landing Page (Home Page)

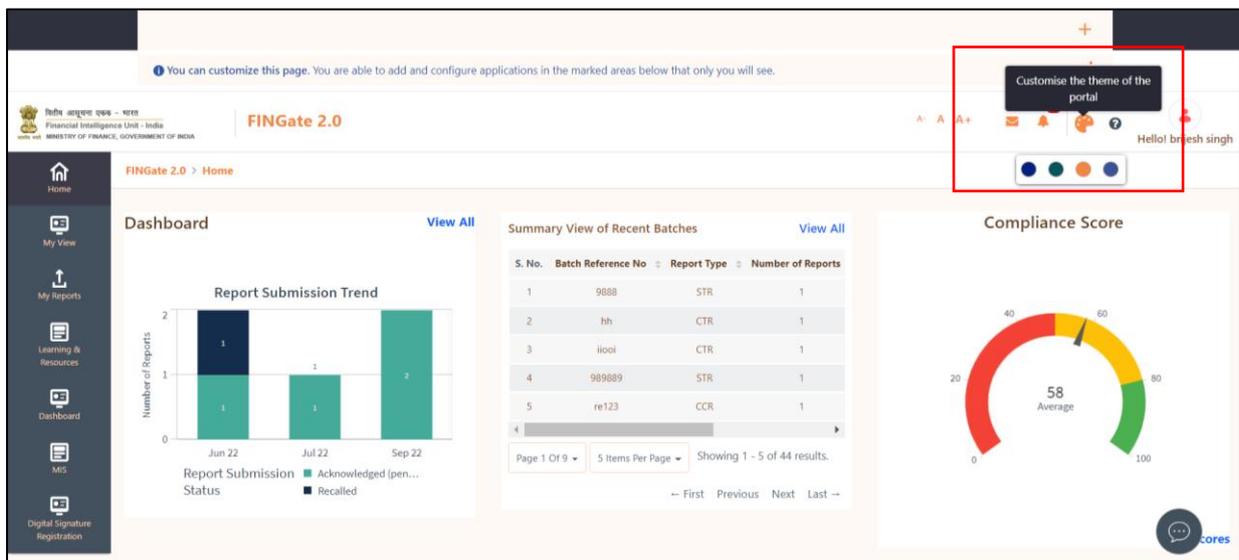
The RE Landing Page (Home Page) provides visualization of different reports and dashboards related to user access, submission of reports and responses to requests for information.

1. The user shall login to FINGate portal and land on the Landing Page (Home Page).
2. The homepage displays a reports and dashboard view of multiple aspects of RE activities.
3. Following trends and dashboards are available on the portal:
  - a. Report Submission Trend  
This dashboard provides the summary view of the report's submitted by RE.
  - b. Summary View of Recent Batches  
This report provides the summary view of the recent batches created by RE. The user can click on the "View All" to get the detailed view of the Recent Batches.
  - c. Compliance Score  
This dashboard provides the widget of the LO score. The user can click on the "View Scores" in the LO overall compliance score section, to view and access the RE reports compliance scores details.  
  
*\* Currently available with dummy data.*
  - d. Data Quality – Monthly Trend  
This report shows the statistics and the general trend of the data quality reports generated based on the processing of the reports submitted by the RE till date. This dashboard is available with trend of Requests segregated by Months.
  - e. Reports Submission- Monthly Trend  
This report shows the statistics and the general trend of the reports submitted by the RE till date. This dashboard is available with trend of Requests segregated by Months.
  - f. Requests Monthly Trends  
This report shows the statistics and the general trend of the Requests submitted to RE by FIU-IND and their response provided by the RE till date. This dashboard is available with trend of Requests segregated by Months.  
  
*\* Currently available with dummy data.*
4. The user can drag and change the position of the widget. Details are mentioned in the *Section: 6.1.1 Drag and change the position of the widget*
5. The user can also customize different views of the Landing Page (Home Page) by clicking on the colour palette present on the top of the screen.



The screenshot shows the FINGate 2.0 dashboard with the following components:

- Header:** "You can customize this page. You are able to add and configure applications in the marked areas below that only you will see." and "Hello! brijesh singh".
- Left Sidebar:** Home, My View, My Reports, Learning & Resources, Dashboard, MIS, Digital Signature Registration.
- Dashboard Section:**
  - Report Submission Trend:** A bar chart showing the number of reports submitted from Jun 22 to Sep 22. A "View All" link is highlighted with a red box.
  - Summary View of Recent Batches:** A table listing recent batches with columns for S. No., Batch Reference No., Report Type, and Number of Reports. A "View All" link is highlighted with a red box.
  - Compliance Score:** A gauge chart showing a score of 58 out of 100. A "View Scores" link is highlighted with a red box.
  - Data Quality Monthly Trend:** A bar chart showing the number of reports and change percentage for the month of Sep.
  - Report Submission Monthly Trend:** A bar chart showing the number of reports and change percentage for the months of Jun, Jul, and Sep.
  - Requests Monthly Trends:** A combined bar and line chart showing the number of requests and change percentage from Jan 22 to Jun 22.
- Footer:** Sitemap | Disclaimer and Copyright 2019 FIU-IND. All Rights Reserved.



This screenshot shows the same dashboard as above, but with a red box highlighting the "Customise the theme of the portal" option in the top right corner, which is part of the user interface for customizing the dashboard's appearance.

### 6.1.1 Drag and change the position of the widget

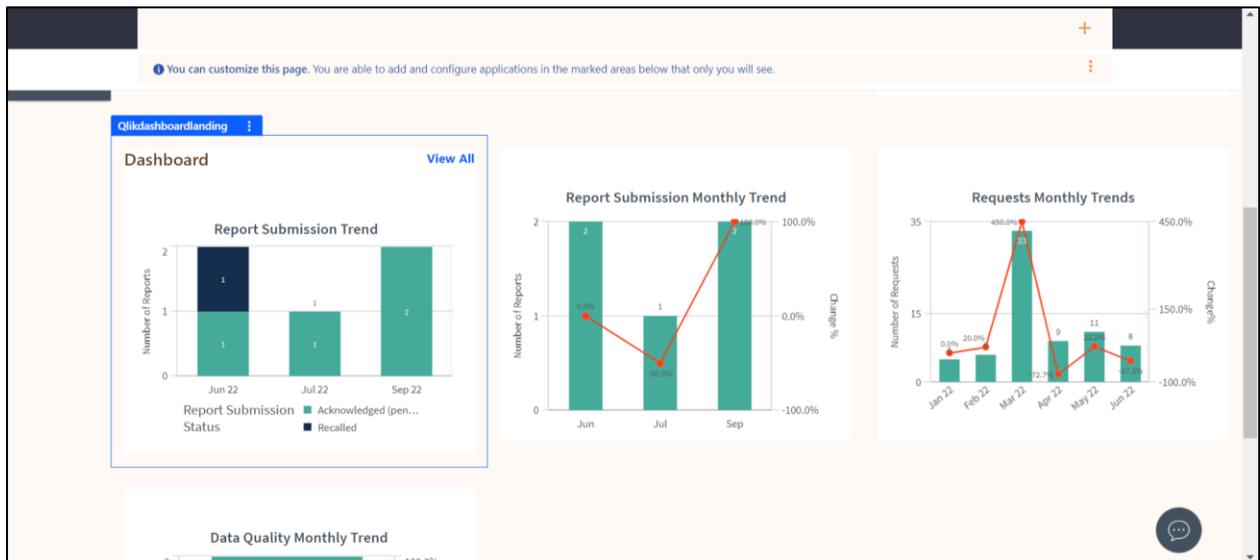
The user can change the position of the widget by following the below steps:

1. The user can click on the "blue label" present on the top of the widget.
2. The user clicks and drag the widget to the desired position.

3. The selected widget will be set as favourite for the user.

The screenshot shows the FINGate 2.0 dashboard with three widgets: 'Report Submission Trend', 'Summary View of Recent Batches', and 'Compliance Score'. The 'Report Submission Trend' widget is highlighted with a blue border, indicating it is the selected widget. The dashboard includes a sidebar with navigation options like Home, My View, My Reports, Learning & Resources, Dashboard, MIS, and Digital Signature Registration. The top navigation bar shows the user's name 'Hello! brijesh singh' and various utility icons.

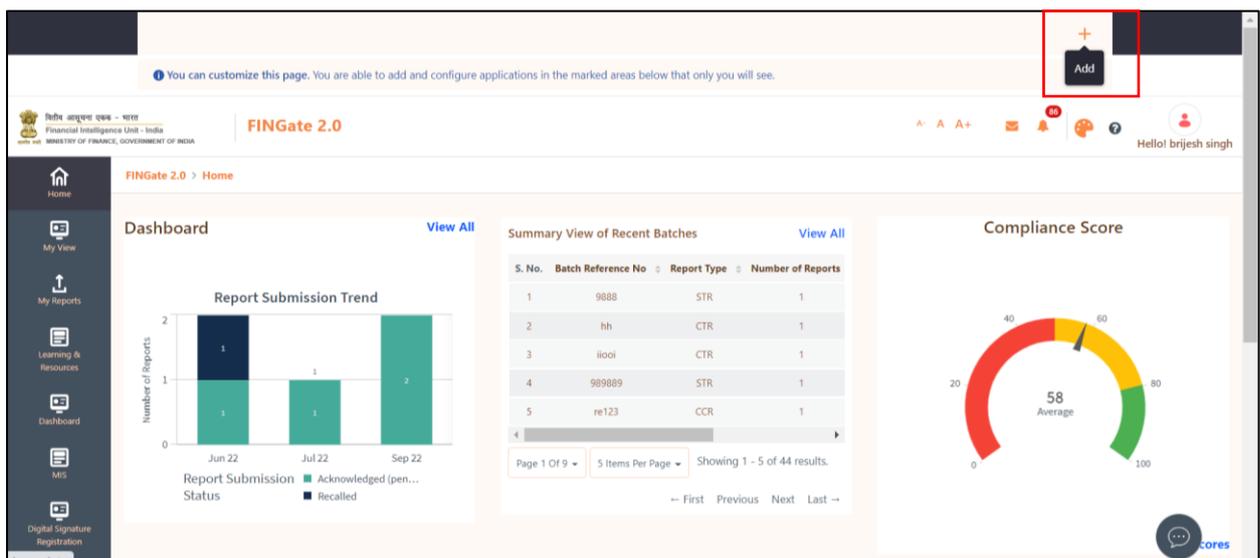
This screenshot shows the same FINGate 2.0 dashboard as above, but with the 'Report Submission Trend' widget highlighted in green, indicating it has been set as a favorite. The other widgets and the overall dashboard layout remain the same.

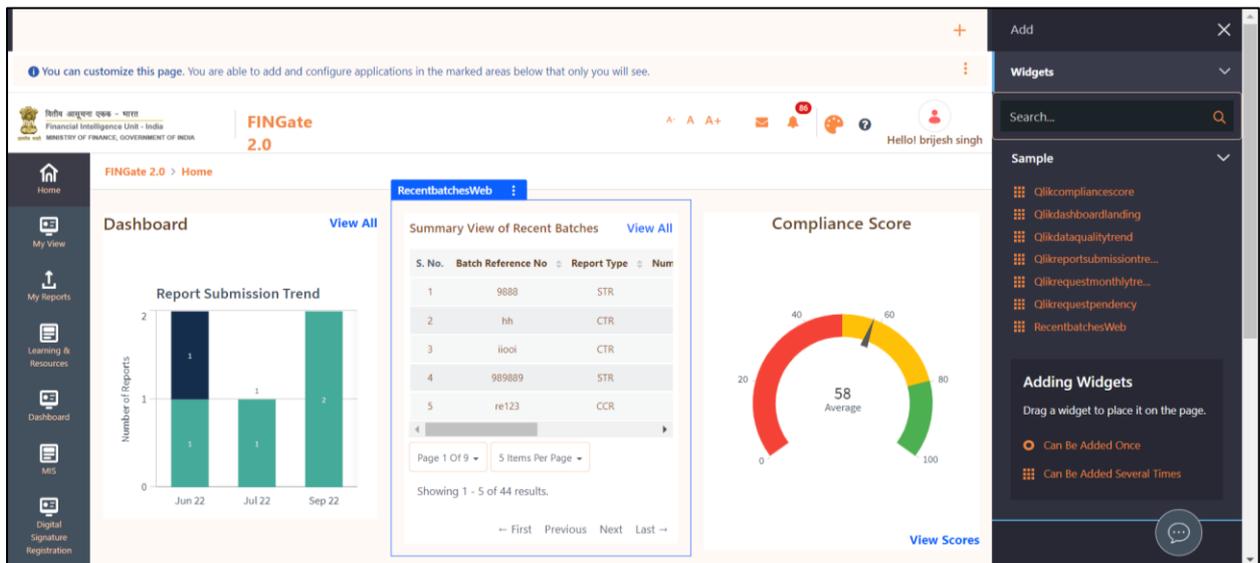
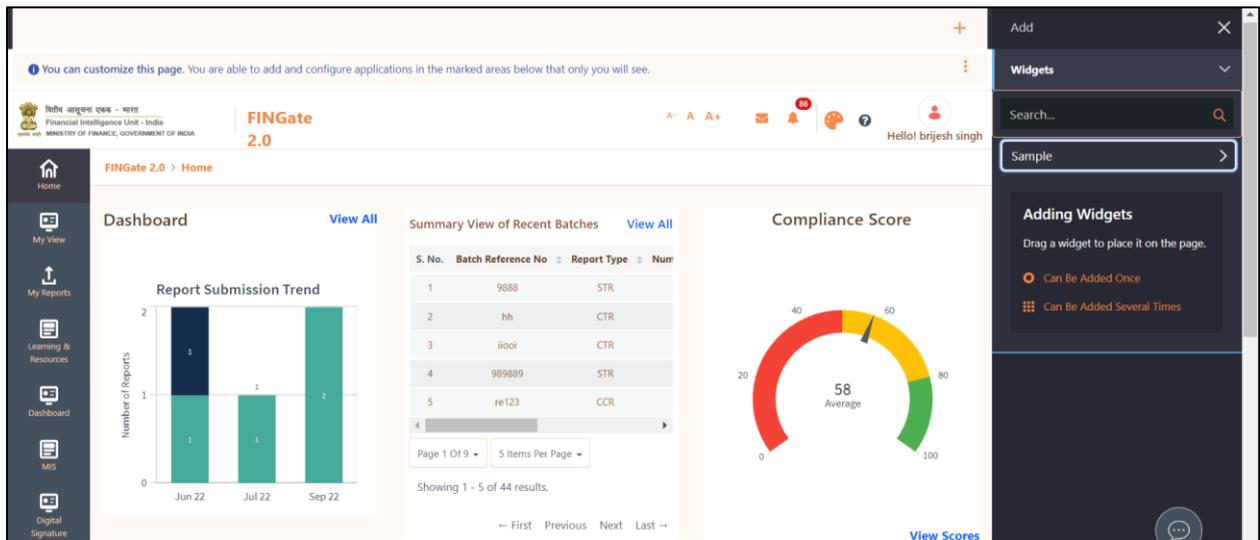


### 6.1.2 Add or Remove Widget

The user can also add or remove widget from the Landing page (Home Page) by following the below steps:

1. The user needs to click on the “Add” button.
2. The user will land on the Widgets Tab.
3. Under Widgets user needs to go to Sample option. Various pre-defined widgets are available and user can select the desired widget.
4. User can select the desired widget and can add it to the landing page by clicking on “Add” button.
5. Alternatively, user can drag and drop the widget to the desired position.

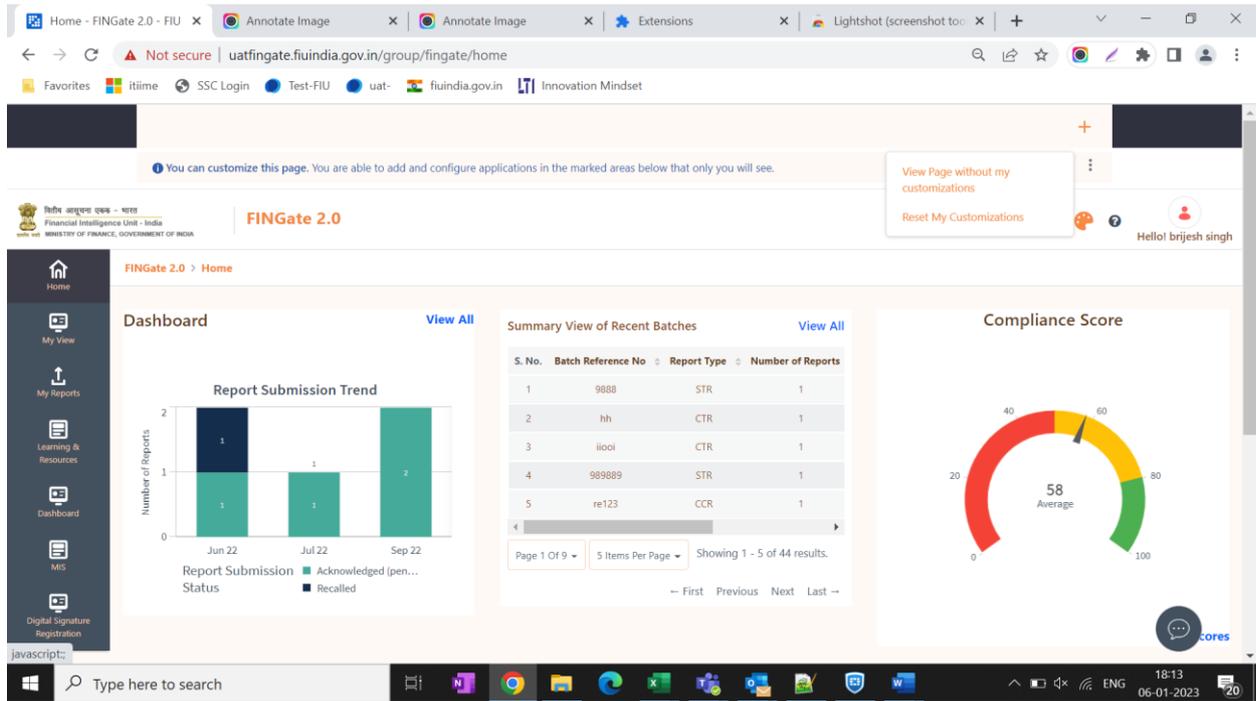




### 6.1.3 Reset Landing Page (Home Page)

The user can also reset the Landing page (Home Page) by following the below steps:

1. The user needs to click on the “Three dot” icon.
2. The needs to click on the “Reset my customizations” button to reset the Landing Page to the default Landing Page



## 7 Annexures

### 7.1 Acronyms and Abbreviations

Sr. No.	Acronym	Definition
1.	AML	Anti-Money Laundering
2.	APO	Alternate Principal Officer
3.	ATM	Automated Teller Machine
4.	CAPTCHA	Completely Automated Public Turing test to tell Computers and Humans Apart
5.	CBDT	Central Board of Direct Taxes
6.	CBWTR	Cross Border Wire Transfer Reports
7.	CCR	Counterfeit Currency Report
8.	CIN	Company Identification Number
9.	CSV	Comma-separated values
10.	CTR	Cash Transaction Report
11.	DD	Designated Director
12.	DIN	Director Identification Number
13.	DQR	Data Quality Report
14.	DSC	Digital Signature Certificates
15.	FCRN	Foreign Company Registration Number
16.	FIU-IND	Financial Intelligence Unit, India
17.	FLLPIN	Foreign Limited Liability Partnership Identification Number
18.	GoS	Grounds of Suspicion
19.	GSTIN	Goods and Services Tax Identification Number
20.	GSTN	Goods and Services Tax Network
21.	ID	Identification Document
22.	KYC	Know Your Customer
23.	LLPIN	Limited Liability Partnership Identification Number

Sr. No.	Acronym	Definition
24.	MCA	Ministry of Corporate Affairs
25.	MSP	Managed Service Provider
26.	MTSS	Money Transfer Service Scheme
27.	Non-PO	Non Principal Officer
28.	NTR	Non-Profit Transaction Reports
29.	OTP	One Time Password
30.	PAN	Permanent Account Number
31.	PMLA	Prevention of Money Laundering Act
32.	PO	Principal Officer
33.	PTR	Property Transaction Reports
34.	RBI	Reserve Bank of India
35.	RE	Reporting Entity
36.	SMS	Short Message Service
37.	STR	Suspicious Transaction Report
38.	UCC	Unified Communication Centre