Document Module	User Manual – FINGate 2.0 MIS Reports & Dashboard
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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.



- 2. 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.
- 3. Alternatively, the user can click on the "View Scores" in the LO 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.





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
LO	L1	L2	L3
		Timolinoss	Report Filing Timeliness
Metric Level 0 L0		Timeliness	Timely Download of Data Quality Report
	Dementing Controling	Data Quality	Data Quality Rating
	Reporting Compliance	Data Quality	Recall Rate
		Despensiveness	Improvements Action Response Score
		Responsiveness	Resubmission Rate
	Utility	Utility	Utility Score
	Information Request Metric Level 1 Metric Level 2 Metric Level 3 Image: Information Request Image: Im	Typology Coverage	
		Covorago	Source of Alerts + RFI Coverage
Reporting		Sufficiency of GOS	
Reporting	AML Compliance	L2L3rimelinessReport Fili Timely Do Data QualityReport Fili Timely Do 	Information Richness Score
	Interfected Methic Level 1 Methic Level 2 N L1 L2 L3 Reporting Compliance Timeliness R Data Quality D Responsiveness Ir Utility Utility U Utility Utility U AML Compliance Coverage Si AML Compliance Audit A Previous Period Reports Submissions P Master Data Accuracy & Portal Interaction Validation V Information Request Responsiveness Timeliness & C Information Request Responsiveness Timeliness & C Information Request Responsiveness Timeliness & C	Audit Score	
		Previous Period Reports Submissions	Previous Period Reports Submission Score
		Validation	Validity of Digital Signature Certificate (DSC)
	Master Data Accuracy		Enrolment & RE Directory Information Richness
	& Portal Interaction	Completeness	Frequency of information updates
		LMS Responsiveness	LMS Compliance Score
	Information Request	Timeliness &	Communication Response Timeliness
	Responsiveness	Compliance	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.

Table appert 1996 - 1011 Prinancial Intelligences Unit - India Prinancial Intelligences Unit - India	FINGate 2.0							1	A A + 🖬	e Hello! rita Kumari
Anne BN	Gate 2.0 > My View									
My View My Reports	Rita Kur RE Numbe	nari :: 8A00265	Principal officer Bank Of Srinaga	r	æ.	7.9 This is yo	our overall compliance score.			θ
	No. No. 10 No. 10 <th></th>									
≣		_ 1								
FIU Requests	58 Compliand	e Score							This is	simulated fest data
Dashboard	Reporting Compliance		Anti Money Laundering Compli	nce	Master Data Accurac	& Portal Interaction	Information Request Respo	nsiveness	Utility	
M5 Secure Message	17*-12.0		<mark>58</mark> ↑+26.0		95↑	+80.0	44 ^{+4.0}		<mark>68</mark> **2	22.0
Gan Andişê	Timeliness 10+380 Needs improvement Data Quality 74 *33.0 Good Responsiveness 17+-65.0 Needs improvement	жарана 5.5 жарана 5.5 жарана 5.5	Coverage 774-12.0 Ecolient Audit 381-40.0 Average Previous Period Report Submission 391-51.0 Average	жевола 5.5 жевола 5.5 жевола 5.5	Validation 76++17.0 Excilient Completeness 68+-7.0 Good LMS Responsiveness 62+-33.0 Good	herbyng 5.5 herbyng 5.5 herbyng 5.5	Timeliness & Compliance 38+-60 Average	****** 5.5	UBINY 68** ^{22,0} Good	Metalog 5.5

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.

fathe acquire texes - vont Financial Intelligence Unit - Inde	FINGate 2.0							A-	A A+ 🛛 📮	e Helio! rita Kumari
fan Home	FINGate 2.0 > My View									
Di My View My Reports	Rita Ku RE Numbe	mari er : BA00265	Principal officer Bank Of Srinagar		æ (7.9 This is yo	ur overall compliance score.			0
	RE Details	My Requests	My Organization	My R	atings My Ratin	ngs Trends & Charts				
.=	Scores for May 2021 with Per	er Group - Group1		Period	Month		Peer Group		Download Scorecard	_
HU Requests	58 Compliand	ce Score			·		·		·	
Dashboard	Reporting Complianc	ce	Anti Money Laundering Compliar	ice	Master Data Accuracy &	Portal Interaction	Information Request Respor	isiveness	Utility	
MS Secure Message	17*-12.0		<u>58</u> ^ +26.0		95**	80.0	44^+4.0		68**	22.0
Car Andya	Timeliness 10+-36.0 Needs improvement Data Quality 74++33.0 Good Responsiveness 17+-65.0 Needs improvement	линорлар 5.5 7инорлар 5.5 7инорлар 5.5	Coverage 77 + 12.0 Excilent Audit 38 + 40.0 Average Previous Period Report Submission 39 + 51.0 Average	ниноралия 5.5 Энегоралия 5.5 Анегоралия 5.5	Validation 76**17.0 Exatlent Completeness 68**7.0 Good LMS Responsiveness 62**33.0 Good	Rectards 5.5 5.5 Rectards 5.5	Timelines & Compliance 38 ^{4-6,0} Average	^{энсэрл} т 5.5	Utility 68++22.0 Good	Antopolog 5.5

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.

fathe accord gave - some Financial Intelligence Unit - India ansatzer or inswerz, coversament or in	FINGate 2.0							A	- A A+ 🛛 🎒 🚱 🕻	Helio! rita Kumari
fin Home	NGate 2.0 > My View									
Ny View L My Reports	Rita Ku RE Numbe	i mari er : 8A00265	Principal officer Bank Of Srinagar		Ø	7.9 This is yo	ur overall compliance score.			0
	RE Details	My Requests	My Organization	My Rat	tings My Ra	tings Trends & Charls				
:=	Scores for with Peer Grou	up - Group1		Period		ter	Peer Group		Download Scorecard	_
FU Requests	46 Complian	ce Score		Q Search	in listbar					
Dashboard	Reporting Compliant	ce	Anti Money Laundering Complian	ce Querter	🗸 Accura cy	& Portal Interaction	Information Request Responsi	veness	Utility	
E	23 ^{+-21.0}		45 ^{+1.0}	Tear	55↑	+20.0	42 ^{+-7.0}		57*-13.	0
Secure Message Case Analysis	Timeliness	Parala la	Coverage		Validation		Timeliness & Compliance		Utility	
	28 39.0	5.5	83 ^{++22.0}	5.5	68 ^{++13.0}	5.5	41 ^{↓ -5.0}	5.5	57*-13.0	5.5
	Averoge Data Ouality		Excellent Audit		Good Completeness		Average		Good	
	58 -10.0	Feedophig	58* +18.0	Perdipiling 5 5	72*+23.0	Peer Op Aug				
	Good	5.5	Good	5.5	Good	5.5				
	Responsiveness	Peer Orp Aug	Previous Period Report Submission	Peer Orp Avg	LMS Responsiveness	Peer Orp Aug				
	49:	5.5	6 <u>5</u> ++20.0	5.5	79r +23.0	5.5				
	nieroge		6000		CACENIERS:					

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

Table angure poor - note Primetale Intelligences Unit - India and a Magnetic Orl Indiana, continuence	FINGate 2.0				A A+ 🛛 🎝 🖗 😝 🛔
Â	FINGate 2.0 > My View				
FINCate 2.0 Finder 23 - My Ver Finder 24 - My Ver Finder 25 - My Ver Finder 26 - Market 23 - My Ver Finder 26 - Market 26			ur oversil compliance score.	0	
Ny Aspen	RE Details My Request	A A A B A A B A A B A A A B A A A B A A A B A A A B A A A B A A A B A A A B A A A B A A A B A A A B A A A B A A A B A A A A B A A A B A A A A B A A A A B A			
	Scores for May 2021 with Peer Group - Group	1 Period	Mundh	Peer Group	Download Scorecard
FU Requests	58 Compliance Score				
Cartonet	Reporting Compliance	Anti Money Laundering Compliance	Master Data Accuracy & Portal Interaction	Information Request Responsiveness	Utility
Ni N	17*-12.0	58 ^{++26.0}	95*+80.0	44*+4.0	<mark>68</mark> * +22.0
Case Analysis	Timeliness Autopung 10+-360 Needu Improvement Data Quality	Coverage 77 + 12.0 Socient Audit	Validation 76++17.0 Exclinet Completeness	Timeliness & Compliance	Utility 68*+22.0 Good
	74++33.0 Good Responsiveness	38+ 40.0 Average Previous Period Report Submission	68+-7.0 5.5 Good LMS Responsiveness		
	17 ^{+-65.0} Needs Improvement	39+-51.0 Averope	62*-33.0 Good		

4. 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.

Refer angers ave - sen Presented Multipleme Cell - Inde American Orthogone, continenter or	FINGate 2.0				A A + 🕿 🌳 🖗 O 🕌 Heliot rita Rumari
Â	FNGate 2.0 > My View				
Ny View	Rita Kumari	Principal officer Bank Of Sringpar	7.9 This is yes	ur overall compliance score.	0
L My Reports			0		
	RE Details My Reques	ts My Organization My	Ratings My Ratings Trends & Charts		
RU Rouetto	Scores for May 2021 with Peer Group - Grou	Period	Month :	Peer Group	Download Scorecard
Laarning & Ressurces	58 Compliance Score				
Deritoert	Reporting Compliance	Anti Money Laundering Compliance	Master Data Accuracy & Portal Interaction	Information Request Responsiveness	Utility
MS	17*-12.0	58 ^{+26.0}	95*****	44 + +4.0	68*+22.0
E Secure Message					
Case Analysis	Timeliness Per Styles	Coverage Rendship	Validation	Timeliness & Compliance	Utility Perspage
	10+-36.0	77*-12.0 5.5	76** ^{17.0} 5.5	38+-6.0	^{68**22.0} 5.5
	Needs Improvement Data Quality	Excellent Audit	Excellent Completeness	Average	Good
	74**33.0 5.5	38+ 40.0	68+ ^{-7.0} 5.5		
	Good	Average	Good		
	Responsiveness Percentry	Previous Period Report Submission	LMS Responsiveness		
	17+-85.0 5.5	39*-51.0	62+-33.0		
	Needs Improvement	Average	Good		

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

- 1. The user after landing on the "My ratings tab" overviewing 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.
- 2. 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.

ŝ	FINGate 2.0 > My View					
Dy View 1	Rita Kumari RE Number : BA00265	Principal officer Bank Of Srinagar	(73 This is your overall compliance score.		0
My Reports	RE Details My Requests	My Organization My Rate	ngs	My Ratings Trends & Charts		
TU Reports	Data Quality	58 Peer Grp Avg 5.5				×
Learning & Resources	Data Q	uality Rating		Recall Rate		
Castboard						
MS Securi Messiger Gaan Anstylik	(61 Gend		20 45 Annege	80	
	Description		Value	Description	o Value	-
	1. Total Number of reports filed	u.	100	1. Number of Reports Recalled	50	
	2. Total Count of Non-Fatal Errors		50	2. Total Number of reports submitted	100	
	3. Total Count of Fatal Errors		50	3. Recall Rate	0.5	
	4. Total Number of reports filed with Fatal Errors		20	L		-
	5. Total Number of reports filed with Non-Fatal Errors		20			
	6. Count of reports rejected due to failed validations		15		Dewnload Scorecard	
	7. Average count of Non-Fatal errors in a report		20			_
	8. Average count of Fatal errors in a report		20			
Silamao I, Disclaimar	Conversion 2019-ER La	NP All Sinhts Reserved				

- 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

ណ	FNGate 2.0 > My View									Henot rits #
Home My View to Record	Rit Re	a Kumari Number : 8400265	Principal offic Bank Of Srina	er par	œ	7.9 This sys	our overall compliance score.			e
	RE Details	My Request	My Organization	My	Ratings	My Ratings Trends & Charts				
:=	Scores for with Peer	Group - Group1		Period		Quarter	Peer Group		Download Scorecard	
ng & Persona	46 Compl	iance Score		Q, inc	ent in latter					
Carlo and	Reporting Com	pliance	Anti Money Laundering Comp	Bance Year		curacy & Portal Interaction	Information Request Resp	onsiveness	Utill	iy.
	23*-2	1.0	45 ^{++1.0}		5	5* +20.0	42*-7.0		57*	-13.0
ue Analysis	Timeliness	FeerDooke	Coverage	Participant	Validation		Timeliness & Compliance	herbaha	Utility	Fee: Do An
	28+-39.0	5.5	83* +22.0	5.5	68 ^{++13.0}	5.5	41* -5.0	5.5	57*-13.0	5.5
	Average		Excellent		Good		Average		Good	
	Data Quality	Participhig	Audit	Peerbacking	Completeness	New Dip Aug				
	58 ^{+ -10.0}	5.5	58*+18.0	5.5	72++23.0	5.5				
	Good		Good		Good					
	Responsiveness	Pair Dip Aug	Previous Period Report Submission	Feer Day Aug	LMS Responsiveness	Feer Day Aug				
	49* -27.0	5.5	65 ^{++20.0}	5.5	79++23.0	5.5				

b. Choose "selected period"

Proceeding of the Higgs of the Control of the Higgs of the Control of the Higgs of the Control of the Higgs o	FINGate 2.0							^	· · · · · · · · ·	Helio! rita Kum
Home Home My View	Rit	a Kumari Number : 8400265	Principal offic Bank Of Srine	er	° (7.	This sys	ur overall compliance score.			0
	RE Details	My Request	My Organization	My1	Ratings My Ratings	Trends & Charts				
RUA FRI Requests	Scores for Q1-2021 w 59 Compl	vith Peer Group - G iance Score	roup1	Period	Quarter Quarter Q (m)	() 🔽 💌	Peer Group		Download Scorecard	
Darboard	Reporting Com	pliance	Anti Money Laundering Comp	liance	Master Data Acc. rac	Q2-2023 Q4-2020 Q3-2020	Information Request Resp	onsiveness	Utilit	у
MS Second Message	44*-1	3.0	44 ^{+ +6.0}		35	Q2-2020 0010000	49 ^{++23.}	D	70*	+11.0
Casa Analysis	Timeliness	hardy kg	Coverage	Percenter	Validation	Page Styleg	Timeliness & Compliance	Peerbying	utility	PerDyAg
	67*+11.0	5.5	61 ^{++36.0}	5.5	55++23.0	5.5	46++21.0	5.5	70*+11.0	5.5
	Good Data Quality	Peerdop.Aug	Good Audit	Peerbuikg	Good Completeness	Peer Grp Aug	Average		Good	
	68+-7.0	5.5	40+-20,0	5.5	49 ^{++1.0}	5.5				
	Good Responsiveness	New Oping	Average Previous Period Report Submission	PeerStyling	Autrope LMS Responsiveness	Paul Syring				
	76++26.0	5.5	45*+0.0	5.5	56+-22.0	5.5				
	Freedows		4.4000		~					

c. Select peer group score view.

Faith acquer pas - 4000 Financial Intelligence Unit - India Messainy or Feveral, Government o	FINGate 2.0							A	· A A+ 🔤 💭 🍘	Heliol rita Kumari
fin Home	FINGate 2.0 > My View									
Ny View	Rita	a Kumari lumber: 8A00265	Principa Bank Of	al officer f Srinagar	2	7.9 This is ye	our overall compliance score.			0
L My Reports	-					<u> </u>				
E RAN	RE Details	My Request	s My Organization	My R	latings My Rati	tgs Trends & Charls		-		
FU Security	Scores for with Peer (Group - Group1		Period	Quart	er	Peer Group		Download Scorecard	
Learning & Resources	46 Compli	ance Score					Q. Jearch in Fachar			
Dashboard	Reporting Comp	pliance	Anti Money Laundering (Compliance	Master Data Accuracy &	Portal Interaction	Group2	nsi ^l eness	Utility	,
III ™	23 ^{↓-2}	1.0	45 ⁺⁺¹	.0	<mark>55</mark> *⁺	20.0			57*	-13.0
Secure Message Case Analysis	Timeliness	Peer Orp Aug	Coverage	Peer Dip Arg	Validation	Perópikg	Timeliness & Compliance	PeerbyJug	Utility	Peer Strp Avg
	28* -39.0	5.5	83 ^{++22.0}	5.5	68 ^{++13.0}	5.5	41 ^{+ -5.0}	5.5	57*-13.0	5.5
	Averoge Data Quality	Day Orn. Lor.	Excellent Audit	Sar frain	Good Completeness	Sar for Lo	Average		Good	
	58+-10.0	5.5	58 ^{++18.0}	5.5	72 ^{++23.0}	5.5				
	Good Responsiveness		Good Previous Period Report Submissi	ion	Good LMS Responsiveness					
	49 * -27.0	5.5	<mark>65</mark> ^{↑ +20.0}	5.5	79 ^{++23.0}	5.5				
	Averoge		Good		Excellent					

- 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.

Table angure your - next Promotel Intelligence Unit - India and the American Of Products, Concentration	FINGate 2.0								- ^ ^ = 📮	e e 👗 Helioj rita Kumari
(A)	FivGate 2.0 > My View									
Uy Vee	Rit	a Kumari Number : 8400265	Principal o Bank Of Si	fficer inagar	" (7.9 This is y	our overall compliance score.			0
L My Reports						~				
	RE Details	My Request	My Organization	My i	Ratings My Ratin	gs Trends & Charts				_
≣	Scores for May 2021 wit	h Peer Group - Group	1	Period	Menth		Peer Group		Download Scorecard	
Learning & Resources	58 Compl	iance Score								\mathbf{i}
Darbtoard	Reporting Com	pliance	Anti Money Laundering Co	mpliance	Master Data Accuracy & I	Portal Interaction	Information Request Resp	onsiveness	Utili	ty
MG Secure Message	17*-1	2.0	58 ^{++26.0}		95***	60.0	44*+4.0		68*	+22.0
Case Analysis	Timeliness	Feer Dig Aug	Coverage	Perdaha	Validation	Performe	Timeliness & Compliance	Per Do Au	Utility	Peribailia
	10+-36.0	5.5	77*-12.0	5.5	76**17.0	5.5	38+ -6.0	5.5	68* +22.0	5.5
	Needs Improvement Data Quality		Excellent Audit		Excellent Completeness		Averoge		Good	
	74++33.0	5.5	38+ 40.0	5.5	68 ^{+-7,0}	5.5				
	Good		Average		Good					
	Responsiveness	Peer Grp. Aug	Previous Period Report Submission	Per-Do-Ag	LMS Responsiveness	Peer Grp Arg				
	17+-65.0	5.5	39* -51.0	5.5	62*-33.0	5.5				
	Needs Improvement		Averope		Good					

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.

Scores for May 2021 v	with Peer Group	-Group1	Period	_	Month	Pe	er Group	_	Download Scorecard	
58 Complia	ance Score									
Reporting Compl	liance	Anti Money Laundering Compli	Export	Master Data A	ccuracy & Portal Interaction		Information Request Respo	nalvenesa	USER	X
17+-12	1.0	58*+26.0	RE Scorecard	I - (РDF) - Асад 3, 2022, 2:38 РМ		± ≣	44 ^{↑ +4.0}		68*	+22.0
Timeliness		Coverage					ellness & Compliance		Utility	52555
10 ^{+-36.0}	5.5	77*-12.0					3 ^{46,0}	5.5	68**22.4	5.5
Avects Improvement Data Quality		Excellent Audit					-gu		Good	
74***33.0	5.5	38* 40.0								
Good Responsiveness		Average Previous Period Report Submiss			Close Quick Report	New Report				
17+ -65.0	5.5	39 * ^{-51,0}	5.5	62+-33.0	5	.5				
Needs Improvement		Avenupe		Good						

Repor	ting 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	ВА	Report Processed	1000
Line of Business	BAPUB	FIDENTIAL PILI CONFIDENTIAL PILI CONFI CONFIDE (TAIL PILI CONFIDENTIAL PILI CO	DENTING FULCONFIDENTING FULCONFIDENTING MITTO NTING FULCONFIDENTING FULCONFIDEN
NAL FILI CONFIDENTIAL FILI CONFIDENTI	Reporting Score an	d Areas of Improveme	NATORNINE PU CONFICENTIAL PU CONFICEN NT
Category	Area	Scores	Scores Description
ΓΑ. ΕΝ COMPOSITION FOR COMPOSITION	Timeliness	67	Good
Reporting Compliance Score	Data Quality	68	Good
тре, на сонтвентик, на сонтвент на сонтвентик, на сонтвентик, н тик, на сонтвентик, на сонтвент	Responsiveness	76	Excellent
Itility	Utility score	сонгосыпасти 70 жерсклад на с	Good
τινι πα οσκηρεκτικί, πα οσκηρεική	Coverage	CONFIDENTIAL FI 61 MODERTIAL FILLO	Good
Anti-Money Laundering	Audit	CONFIDENTIAL FI <mark>40 NEDE</mark> NTIAL FIU CO	Average
	Previous Period Reports Submissions		Average
PLUCONFIDENTIAL FILL CONFIDENTIAL I THE FLUCONFIDENTIAL FILL CONFIDENCE	Validation	55	Good
Master Data Accuracy & Portal	Completeness	49 49 49 49 49	Average
Iteraction Score	LMS Responsiveness	56	Good
formation Request esponsiveness Score	e Timeliness & Compliance 46		Average
Porton Denortin	a Score	59	Average

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

	Rita Kumari RE Number : BA00265	Principal o Bank Of Sr	fficer inagar		7.9 This is your ever	rall compliance score.		
	-				0			
	RE Detaits My R	equests My Organization	My Ra	atings	My Ratings Trends & Charts			
6	Data Quality	58 Peer Grp	Avg 5.5					
		Data Quality Rating				Recall Rate		
		40 60				40 40		
		20 10				20 40		
		20 61 00				20		
		20 61 80 6 110				20 46 Annua 10		
•		20 61 6 0 300				a de la sega		
	Description	20 61 Beet 100	G.	Value	Description	20 46 Annage 10	q	Valu
	Description 1. Total Number of reports filed	20 61 0 000 100	Q	Value 100	Description 1. Number of Reports Recalled	a de la de l	Q	Valu- 5
	Description 1. Total Number of reports filed 2. Total Court of Non-Fatal Errors	20 61 0 300 100	Q	Value 100 50	Description 1. Number of Reports Recalled 2. Total Number of reports submitt	20 46 Arrays 0 200	Q	Valu- 5 10
	Description 1. Total Number of reports filed 2. Total Count of Non-Fatal Errors 3. Total Count of Fatal Errors	20 61 Beet 100	٩	Value 100 50 50	Description 1. Number of Reports Recalled 2. Total Number of reports submittu 3. Recall Rate	20 46 Acage 500	٩	Vatu 5 10
	Description 1. Total Number of reports filed 2. Total Count of Non-Fatal Errors 3. Total Count of Fatal Errors 4. Total Number of reports filed with F.	atal Errors	٩	Value 100 50 50 20	Description 1. Number of Reports Recalled 2. Total Number of reports submitte 3. Recall Rate	20 46 Jeonge 2 100	٩	Valu 5 10 0.
2	Description 1. Total Number of reports filed 2. Total Count of Non-Fatal Errors 3. Total Count of Fatal Errors 4. Total Number of reports filed with Fi 5. Total Number of reports filed with Fi	atal Errors	Q	Value 100 50 50 20 20	Description 1. Number of Reports Recalled 2. Total Number of reports submitt 3. Recall Rate	20 46 January 100	٩	Valu 5 10 0.
	Description 1. Total Number of reports filed 2. Total Count of Non-Fatal Errors 3. Total Count of Fatal Errors 4. Total Number of reports filed with F 5. Total Number of reports filed with P 6. Count of reports rejected due to fail	atat Errors en - Fatal Errors en - Fatal Errors	Q	Value 100 50 50 20 20 15	Description 1. Number of Reports Recalled 2. Total Number of reports submits 3. Recall Rate	20 46 0 0 0 00	Q.	Valu 5 10 0.
	Description 1. Total Number of reports filed 2. Total Count of Non-Fatal Errors 3. Total Count of Fatal Errors 4. Total Number of reports filed with N 6. Count of reports rejected due to fail 7. Average count of Non-Fatal errors in	atal Errors de validations a report	9	Value 100 50 50 20 20 15 20	Description 1. Number of Reports Recalled 2. Total Number of reports submitts 3. Recall Rate	20 46 Jacobs 20 100 100 ed	Q. December 5	Valu 5 10 0.

- 2.1.7 Significance of Red, Yellow and Green colours on the metric score.
 - 1. The user can view the different colours against the scores or icons of the metrics of different levels.
 - 2. 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.
 - a. LO Metric Score:

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

b. 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) LO Score Trend: As per the selected period and metrics, the user can view the trends of LO 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.

Refly angeon gass - yern Financial Intelligence Unit - In MINISTRY OF FRANCE, GOVERNM	FINGate 2.0				* A	A+ 🗷 🏶 🚱 🔹 î Hello! rita Kumari
fîr Home	RINGate 2.0 > Dashboard					
		🕞 Default View	View Self Service			
2	✓ Report Submis	ion Trend Data Quality Report		port	Reque	st Trends
PO Envolment	Total Number of Reports	Vear	Month	Report Type	Report Status	Clear All Filters
L My Reports	450	150 Report Submission Frend			400	350 4000.0%
RI Requests Learning & Resources	Number of Reports YTD CY	100			Number of Reports	2000.05% G
ē	Status wise Number of Reports	sr of Repo			Monthly Trend	2022 2022
Dashboard	Report Submission Status Q Count	Mumb	59		150 488.9%	427.3%
MIS	Acknowledged (pending system 239 validation)	50	11 C		2 100	- 400.0%
E	Error 5 Recalled 106				of Bey	200.0%
Secure Message Case Analysis		0 3/d 20 3/n 21 Apr 21 Report Submission ■ Advance Status ■ Error	4 <u>1 1</u> May21 Jun21 Ad 21 Aug 21 Sep dgrd (pending system va • Recalled	* 2 5 21 Oct 21 Nov 21 Dec 21	a Jan 22	Source and the second s

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

- वित्तीय आसूचना एकक भारत Financial Intelligence Unit - India MINISTRY OF FINANCE, GOVERNMENT OF INDIA
 - 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
- 1. 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
 - a) Report Submission trend
 - b) Data Quality report
 - c) Request Trends
- 2. The user clicks on the Filter panel to choose relevant filters for which the user wants to generate statistics and trends.
- 3. Based on the selection of filters, the user can generate a customised view of the dashboard.
- 4. 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.

Table angure uses - week Francesco Unit - Inder Manager (2 - Newson, concentration	FINGate	e 2.0					A A A 🛪 🖉 🖗 🚱 👗 Hetiot rita kumari
<u>کا</u>	FNGate 2.0 > Home						
0 37 ¹²	Summary View of	f Recent Batches				View All	Compliance Score
&	5. No.	Batch Reference No 3	Report Type 🗉	Number of Reports ±	Uploaded On Date ::	Batch Status ±	
PO Envolment	1	787	CTR	ŧ.	06-08-2022	Draft	40 60
1 the Barrana	2	hjöjhkhnikjhnjik.	CCR	2	05-08-2022	Submitted	
-	3	234234234	CTR	1	05-08-2022	Draft	20 80
REAL	4	jksdsf;ksdfjk	CCR	2	05-08-2022	Draft	46 Average
:=	5	234432432	CCR	1	05-08-2022	Draft	
FIU Requests	6	CCR_TESTT_BATCH2	CCR	3	05-08-2022	Draft	0 200
	7	CCR_TESTT_Batch	CCR	3	05-08-2022	Draft	
Learning & Resources	8	9732197392173	CTR	1	05-08-2022	Draft	
	9	k/sah/kdsad	CTR	1	05-08-2022	Draft	View Scores
	10	kdshjikas	CTR	1	05-08-2022	Draft	
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Secure Message							
	Dashboard					View All	
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	T L L L L L L L L L L L L L L L L L L L						
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	at a second						
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	0	Jac 71	Mar 21 Jun 21	1 1	1 1	5 44 11 544 11 144 11	
	Report Sub	omission Acknowledged (pending syst	am validation)	Recalled	West West	200 E	
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Safe anger: swo - vers Promise Intelligence Unit - Inde	FINGate	2.0					A A A 🕿 🍧 🍘 🔹 Heliot its Rumari
fit .	RNGate 2.0 > Home						
un My View	Summary View of	Recent Batches				View All	Compliance Score
2	5. No.	Batch Reference No 🗉	Report Type 🗉	Number of Reports =	Uploaded On Date	Batch Status ±	
PO Envolment	1	767	CTR	1	06-06-2022	Draft	40 40
1.	2	hjbjhkhnikjhnjik	CCR	2	05-08-2022	Submitted	
_	3	234234234	CTR	1	05-08-2022	Draft	20 00
RFAL	4	jksdstjksdfjk	CCR	2	05-08-2022	Draft -	46 Average
:=	5	234432432	CCR	1	05-08-2022	Draft	
FIU Requests	6	CCR_TESTT_BATCH2	CCR	3	05-08-2022	Draft	0 100
	7	CCR_TESTT_Batch	CCR	3	05-08-2022	Draft	
Learning & Resources	8	9732197392173	CTR	1	05-08-2022	Draft	
	9	kjsahjkdsad	CTR	1.	05-08-2022	Draft	View Scores
	10	kdshjikas	CTR	1	05-08-2022	Draft	
	2age 1 0f 97 +	0 Items Per Page + Showing 1 - 10 of 1	168 results.			First Previous Next Last	
Secure Message	Dashboard					View All	
Case Analysis	Report Submission	Trend					
	110 E						
	0	13 12 4 Jan 25 Apr 23	4 May 21 Jun 21	1 1 Jul 21 Aug 21	1 8 2 Sep 21 Oct 21 Nov 21	1 1 040211 Jan 22	
	Report Sub	mission 📱 Acknowledged (pending syst	em validation) 🔳 Error	Recalled			
	Status						
Sitemap Disclaimer		Copyrigh	t 2019 FIU-IND. All Rights Reser	ved.			9

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 Access Details*	This report shows the access history of the users.			
	User Profile History	This report shows the profile history of the Users			
User Activity	RE Profile History	This report shows the profile history of the RE.			
Details	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	Report History	This report shows the history of the reports submitted by RE.			
Details	Report Quality*	This report shows the quality of the RE submitted reports.			
Request	Request Detail*	This report shows REs the status of requests raised on them.			
Response	Requests pending, rejected	This report shows RE's requests that are pending, rejected or			
Details	or reopened*	reopened.			

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

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

वितीय आसूचना एकक - Financial Intelligenc MINISTRY OF FINANCE,	• महरत e Unit - India GOVERNMENT OF INDIA	FINGate 2.0				A- A A+ 🗷 🏟 🚱	Hello! Rahul Gusain
1 Home	FINGate 2.0 > MIS						
My View	Request Details			MIS Reports			
My Reports		USER ACTIVITY DETAILS		REPORTING DETAILS)	REQUEST RESPONSE DETAILS	
Digital Signature Registration		*USER ACCESS DETAILS USER PROFILE HISTORY		REPORT HISTORY *REPORT QUALITY		*REQUEST DETAIL *REQUESTS PENDING, REJECTED OR REOPENED	
MIS		RE PROFILE HISTORY USER ROLES HISTORY					
Learning & Resources		*USER ACTIVITY OVERVIEW *USER VERIFICATION DETAILS					
Dashboard							
	* These report	s contain dummy data.					
Sitemap Dise	claimer		Copyright 2019 FIU-IND. All R	ights Reserved.			

- 5.2 Overview of Report-specific Screen
- 1. 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.
- 2. The user on accessing this screen will view the following multiple components, as shown in below figure as well:
 - a) 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.

Finite alligent tess - 1 Financial Intelligence Meestiv of Finance, G	NUTER Unit - India OVERIMMENT OF INCOM	FINGate 2.0						a- A A+	⊠ ♣	@ 0	Lello! rita Kumari
fin .	FINGate 2.0	> MIS > User Activity Details > User Pro	ofile History								
e: My View											
L My Reports	User Pro	file History	RE	Profile History	Liter Name	User R	ole History	,		User Ver	ification Details
III RFAI	09/08	/2022 🛗 09/	08/2022 🛗	All Role	Enter Use	r Name	Status	. j [Submit	Clear	
FIU Requests	Page 1 C	H 1 + 20 items Per Page + Showing	12 results.						- Firs	t Previous	Next Last →
e	S. No.	Username (email address) 0	Name of the user $_{\oplus}$	Role o	Mobile Number 🗧	Time Stamp 👌	Created By user name 🕤	Approved	d By user name	• U	ser Status 🜼
Learning & Resources	1	geeta@gmail.com	Shyam Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner			A	ctive
E	2	chandni@gmail.com	Rita Kumari	Other Users	9999999999	18-10-2021	rita Kumari	rita Kuma	ń	A	ctive
Deshboard	3	ghdghghd@ghhhf.gghjg	Rita Kumari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari			A	ctive
E	4	aniket.pathare123@intinfotech.com	rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari			In	Active
MIS	5	abcd@test.com	rita Kumari	FIU-Analyst	9832467236	05-05-2022	rita Kumari			A	ctive
E Server Menser	6	test11@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari			A	ctive
secore message	7	test1322@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari			A	ctive
Case Analysis	8	test132@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari			A	ctive

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 – (Principa	Drop Down – (Principal Officer, Designated Director, Alternate Principal						
	Officer, Technical Anal	yst, Others)						

Username	Free text	User Status	Drop down-
			Active/Inactive

Search input marked with '*' will be mandatory

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FIU Requests	Page 1	Of 1 + 20 Items Per Page +	Showing 12 results.						— First	Previous Next Last
	S. No.	Username (email address)	o Name	of the user $_{\odot}$	Role o	Mobile Numb	er 🗧 Time Stamp 🗧	Created By user name 👙	Approved By user name	User Status
Learning & Resources	1	geeta@gmail.com	Shyam	Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active
(FR)	2	chandni@gmail.com	Rita Ku	mari	Other Users	9999999999	18-10-2021	rita Kumari	rita Kumari	Active
Deshboard	3	ghdghghd@ghhhf.gghjg	Rita Ku	ımari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari		Active
E	4	aniket.pathare123@intinfotec	h.com rita Ku	mari	RE TA	9730130423	11-04-2022	rita Kumari		InActive
MIS	5	abcd@test.com	rita Ku	mari	FIU-Analyst	9832467236	05-05-2022	rita Kumari		Active
F	6	test11@gmail.com	rita Ku	mari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
Secure Message	7	test1322@gmail.com	rita Ku	mari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
Case Analysis	8	test132@gmail.com	rita Ku	mari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
	9	abc@g.com	rita Ku	mari	RE TA	99999999999	01-06-2022	rita Kumari		Active

5.3.1.2 RE Profile History - Report Input Parameters

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

- 1. Search input marked with '*' will be mandatory
- 2. Drop down values for Activity Type will be as below:
 - a) RE Enrolment initiation
 - b) RE Enrolment submission
 - c) RE Enrolment Approval
 - d) RE Profile change Request submission
 - e) RE Profile change approval
 - f) RE Merger
 - g) Deactivation

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RFAI	Start Date *	End Date *	Activity Type						
FIU Requests	09/08/2022	09/08/2022	All Status		1	Submit Clear	SCSV PD	F	
Learning & Resources	Page 1 Of 3 + 20 Items Per Page + Sh	owing 1 - 20 of 60 results.					← First F	revious	Next Last →
•	Activity Type $_{\oplus}$	Timestamp 💡	C	eated by username 👙		Approved by username $_{\oplus}$			
Deshboard	RE Profile change approval	18-10-2021	S	iyam Kumar		RE Enrolment Process Owner			
	RE Profile change approval	18-10-2021	S	iyam Kumar		RE Enrolment Process Owner			
MIS	RE Profile change approval	18-10-2021	S	iyam Kumar		RE Enrolment Process Owner			
E Secure Message	RE Profile change approval	18-10-2021	S	iyam Kumar		RE Enrolment Process Owner			
-	RE Profile change approval	18-10-2021	S	iyam Kumar		RE Enrolment Process Owner			
Case Analysis	RE Profile change approval	18-10-2021	S	iyam Kumar		RE Enrolment Process Owner			
	RE Profile change approval	18-10-2021	S	iyam Kumar		RE Enrolment Process Owner			\odot

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=""></drop>						

- 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

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≣	Start Date	× 2022 mm	End Date *	User Name	All Role	•		Logi Long
REAL							Submit Clear	SC2A Shole
FIU Requests	Page 1 Of	1 • 20 Items Per Page •	Showing 12 results.					← First Previous Next Last →
	S. No.	Name of the User $_{\ \varphi}$	Role 👳	Mobile Number 👙	Role Start Date 👙	Role End Date 👙	Email ID 👙	User Status 👙
Learning & Resources	1	Geeta Kumari	Designated Director	8465846584	18-10-2021		geeta@gmail.com	Active
	2	Chandi Kumari	Other Users	9999999999	18-10-2021		chandni@gmail.com	Active
Dashboard	3	hfhfhgfjhgjhgjh jfhfhjfhj	Alternate Principal Officer	5757575757	19-10-2021		ghdghghd@ghhhf.gghjg	Active
	4	Aniket Pathare	RE TA	9730130423	11-04-2022		aniket.pathare123@Intinfotech.com	InActive
MIS	5	null	FIU-Analyst	9832467236	05-05-2022		abcd@test.com	Active
E Secure Message	6	Test Test	EXT-MSP	9876543210	05-05-2022		test11@gmail.com	Active
	7	Test Test	EXT-MSP	9876543210	05-05-2022		test1322@gmail.com	Active
Case Analysis	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 DateEnd Date*Select End Date									
Frequency*	<drop down=""></drop>	Report Type*	<drop down=""></drop>						
Reporting Period	<drop down=""></drop>	Report Status	<drop down=""></drop>						

- 1. Search input marked with '*' will be mandatory
- 2. Drop down values for frequency Day/Month/Quarter/Year
- 3. Drop down values for Report Type will be
 - a) STR
 - b) CTR
 - c) NTR
 - d) CBWTR
 - e) PTR
 - f) CCR
 - g) All (Consolidated view)
- 4. Drop down for Report Status will be
 - a) Draft
 - b) Submitted
 - c) Resubmitted
 - d) Rejected
 - e) Recalled
 - f) Pending for Submission

		<											
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1n Home	FINGate 2.0 > MIS	> Reporting MIS I	Details										
ē						There are	no menu items to display.						
My View L My Reports	Start Date		End Date		Frequency		Report Type						
	10/08/2022	Ê	10/08/2022	iii	Day	•	All	•	Submit	Clear	ŁCSV Ł	PDF	
RFAI	Reporting Period		Status										
FIU Requests	Reporting Period	•	Status All Status	•									

- 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.

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Learning & Resources	1	geeta@gmail.com	Shyam Kumar	Designated Director	8465	846584	18-10-2021	RE Enrolment Process Owner			Active
œ	2	chandni@gmail.com	Rita Kumari	Other Users	9999	999999	18-10-2021	rita Kumari	rita Kumari		Active
Deshboard	3	ghdghghd@ghhhf.gghjg	Rita Kumari	Alternate Principal Of	ficer 5757	575757	19-10-2021	Rita Kumari			Active
E	4	aniket.pathare123@intinfote	ch.com rita Kumari	RE TA	9730	130423	11-04-2022	rita Kumari			InActive
MIS	5	abcd@test.com	rita Kumari	FIU-Analyst	9833	467236	05-05-2022	rita Kumari			Active
Ē	6	test11@gmail.com	rita Kumari	EXT-MSP	9876	543210	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.

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	S. No.	Username (email address)	<u>Name of the user</u>	Role	Mobile Number	Time Stamp	Created By user name	Approved By user name	User Status
Learning & Resources	1	geeta@gmail.com	Shyam Kumar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active
E	2	chandni@gmail.com	Rita Kumari	Other Users	9999999999	18-10-2021	rita Kumari	rita Kumari	Active
Dashboard	3	ghdghghd@ghhhf.gghjg	Rita Kumari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari		Active
E	4	aniket.pathare123@intinfoted	ch.com rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari		InActive
MIS	5	abcd@test.com	rita Kumari	FIU-Analyst	9832467236	05-05-2022	rita Kumari		Active
E Secure Message	6	test11@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
and a manage	7	test1322@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
Case Analysis	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

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Learning & Resources	1	aniket.pathare123@Intinfi	otech.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
Deshboard	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
MIS	5	test132@gmail.com		rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari				Active
E Service Message	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
Case Analysis	8	Aman040@gmail.com		rita Kumari	Other Users	9476435141	01-07-2022	rita Kumari				Active
	9	abc@aaaw.com		rita Kumari	Other Users	9898982838	08-08-2022	rita Kumari				Active
finnet2 local/group	Enoste/urer-	activity dataile?o p id.	ucerreporte u	ab Ucarra ar	Designated Director	8465846584	18-10-2021	RE Enrolment Process Owner				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 of PDF, as per the action taken) gets downloaded.

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Learning & Resources	1	geeta@gmail.com	Shyam Kuma	ar Designated D	rector	8465846584	18-10-2021	RE Enrolment Process Owner		Active
•	2	chandni@gmail.com	Rita Kumari	Other Users		99999999999	18-10-2021	rita Kumari	rita Kumari	Active
Deshboard	3	ghdghghd@ghhhf.gghjg	Rita Kumari	Alternate Prin	cipal Officer	5757575757	19-10-2021	Rita Kumari		Active
E	4	aniket.pathare123@intinfote	ech.com rita Kumari	RE TA		9730130423	11-04-2022	rita Kumari		InActive
MIS	5	abcd@test.com	rita Kumari	FIU-Analyst		9832467236	05-05-2022	rita Kumari		Active
Secure Message	6	test11@gmail.com	rita Kumari	EXT-MSP		9876543210	05-05-2022	rita Kumari		Active

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

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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	Designate d Director	8465846584	18-10-2021	RE Enrolment Process Owner		Active
chandni@gm ail.com	Rita Kumari	Other Users	99999999999	18-10-2021	rita Kumari	rita Kumari	Active
ghdghghd@g hhhf.gghjg	Rita Kumari	Alternate Principal Officer	5757575757	19-10-2021	Rita Kumari		Active
aniket.pathar	rita Kumari	RE TA	9730130423	11-04-2022	rita Kumari		InActiv

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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	CurrDeno	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	lfsc	3	0	0				

Clearing all the applied filters from the report 5.3.6

- 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.

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	S. No.	Username (email address)	Name of the	e user 🝦 🛛 Role 👌	Mobile	Number 👌 Tir	ime Stamp 👌 🛛 🕻	Created By user name 🖕	Approved By	user name 🔅	User	r Status 👳
Learning & Resources	1	geeta@gmail.com	Shyam Kumi	ar Designated Dire	ector 8465846	584 18	8-10-2021 R	RE Enrolment Process Owner			Activ	ve
Œ	2	chandni@gmail.com	Rita Kumari	Other Users	9999999	999 18	8-10-2021 r	ita Kumari	rita Kumari		Activ	ve
Dashboard	3	ghdghghd@ghhhf.gghjg	Rita Kumari	Alternate Princis	pal Officer 5757575	757 19	9-10-2021 R	Rita Kumari			Activ	ve
	4	aniket.pathare123@Intinfotec	ch.com rita Kumari	RE TA	9730130	423 11	1-04-2022 r	ita Kumari			InAc	tive
MIS	5	abcd@test.com	rita Kumari	FIU-Analyst	9832467	236 05	5-05-2022 r	ita Kumari			Activ	ve
Secure Message	6	test11@gmail.com	rita Kumari	EXT-MSP	9876543	210 05	5-05-2022 r	ita Kumari			Activ	ve

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Learning & Resources	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
Dashboard	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
MIS	5	test132@gmail.com	rita Kumari	EXT-MSP	9876543210	05-05-2022	rita Kumari		Active
E Sacara Marras	6	abc@g.com	rita Kumari	RE TA	99999999999	01-06-2022	rita Kumari		Active
store meaning	7	test@test111.com	rita Kumari	Alternate Principal Officer	9999999999	01-07-2022	rita Kumari		Active
Case Analysis	8	Aman040@gmail.com	rita Kumari	Other Users	9476435141	01-07-2022	rita Kumari		Active
	9	abc@aaaw.com	rita Kumari	Other Users	9898982838	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:
 - 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.

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.

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.	САРТСНА	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.	КҮС	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