

		✓	Mandatory Mapping		✓	Optional Mapping									
Detailed Activities mapped to User Roles (WorkGroup)		Super Admin (SA)	Group Compliance Admin (GCA)	Company Compliance Admin (CCA)	Task-User (TU)	Reviewer (RVR)	Approver (APR)	Monitoring Team (MON)	Compliance Officer (CO)	Board Member (BM)/ Leadership Team	Remediation User	Viewer	Compliance Auditor (CA)	Internal Assurance Auditor (IAA)	Third Party Assessor (TPA)
DEVELOPER SPECIFIC SUPER ADMIN / IMPLEMENTOR TASKS															
Common Compliance Library Attributes															
1	Create Common Compliance Library Attributes to be used by all Subscribers	✓													
Act/ Regulatory Universe															
1	Create Act/ Regulatory Universe to be used by all Subscribers	✓													
Other Common Settings															
1	Define Other Common Settings to be used by all Subscribers	✓													
Global Compliance Content Library															
1	One Master File for all subscribers (Subscribed Content Creation)	✓													
2	Create/ Upload Excel Bulk Data by Super Admin	✓													
3	Export options for Data download (like, Excel, etc)	✓													
4	Dynamic fields to be identified ; TO be available for changes by Client Admin	✓													
5	Static fields to be identified ; NOT to be available for changes by Client Admin	✓													
6	To serve as Central Repository of data uploaded	✓													
7	Data added to be available for Edit/ Suspend	✓													
12	Creating unique Global ID for every listing done	✓													
Compliance Content Amendment Management															
8	Formal Changes mandated through statutory notifications of appropriate authority to be made ACTIVE only through Notification Broadcast Control (NBCC)	✓													
9	All changes/ actions to be available for Audit Trail/ checks through Audit Logs	✓													
10	Version control of all changes to be available	✓													
11	Notification of changes to all mapped subscribers (Detailed process to be thought of for Automatic Updates/ Manual Updates)	✓													
12	Identifying Data with unique Global ID for all changes with history	✓													
13	Effective Date should action any change and Trigger the scheduler prospectively	✓													
14	The data form needs to be divided into respective Sections for access control mapping	✓													
HELPDESK/ CLIENT RELATIONSHIP MANAGER (CRM)/ QUERY AND RESOLUTION TRACKER (QRT)															
15	Receiving Client Requests (from Group Company Admin) of respective Subscriber	✓													
16	All requests to be received by User to whom such client has been mapped	✓													
17	List of Client Relationship Manager to be maintained with previous communications, resolutions, escalations, etc	✓													
18	Resolution Strategy to be mentioned with timelines and communicated to the Client Group Company Admin	✓													
19	Escalation of unresolved queries by CRM to be made available to Client Group Company Admin	✓													
20	All communications to be sent on every Action initiated/ completed	✓													
21	Tracking of Query to be made available at both Super Admin/ Group Company Admin with comments from both sides	✓													
22	Reports of unresolved/ resolved/ escalated cases to be available	✓													
23	Any other CRM feature not included above	✓													
24	Where in a situation, Group Company Admin is not available to change his own details/ or raise a ticket for changes, QRT User should be able to create a Service Request (based on mail received from Client) on behalf of Client with copy of mail attached and send the request to Super Admin/ Client Administrator for such RESET of credentials of Group Company Admin.	✓													

		✓	Mandatory Mapping		✓	Optional Mapping									
Detailed Activities mapped to User Roles (WorkGroup)		Super Admin (SA)	Group Compliance Admin (GCA)	Company Compliance Admin (CCA)	Task-User (TU)	Reviewer (RVR)	Approver (APR)	Monitoring Team (MON)	Compliance Officer (CO)	Board Member (BM)/ Leadership Team	Remediation User	Viewer	Compliance Auditor (CA)	Internal Assurance Auditor (IAA)	Third Party Assessor (TPA)
PREV VERSION DATA MIGRATION SERVICES															
25	Super Admin should be able to IMPORT old Client Database of previous eCompliance version.	✓													
26	This DB is to be used for VIEW purposes only. Data to show only Complied & Late Complied Status. All Due / Overdue will be mapped in new version	✓													
27	Super Admin should be able to provide config settings/ Access Rights to Group Company Admin for same.	✓													
28	Possibility to be assessed for merging previously Complied/ Late complied data into Dashboard & Reporting in new version, alongwith document mapping.	✓													
29	Alternatively, there should be a 'passive' application that allows to READ and VIEW/ DOWNLOAD the old data for client Users to access the same.	✓													
30	No scheduler would run on this application and it is used only for reporting and viewing purposes. Explore the possibility of showing the Status data in the Dashboard of new version.	✓													
31	Build API's to facilitate migration of data from 3rd Party Applications	✓													

		✓	Mandatory Mapping		✓	Optional Mapping									
Detailed Activities mapped to User Roles (WorkGroup)		Super Admin (SA)	Group Compliance Admin (GCA)	Company Compliance Admin (CCA)	Task-User (TU)	Reviewer (RVR)	Approver (APR)	Monitoring Team (MON)	Compliance Officer (CO)	Board Member (BM)/ Leadership Team	Remediation User	Viewer	Compliance Auditor (CA)	Internal Assurance Auditor (IAA)	Third Party Assessor (TPA)
APP SPECIFIC IMPLEMENTOR TASKS															
Act/ Rules Universe Mapping															
1	Mark Acts/ Rules based on subscription taken by client. Based on such marking/ mapping, respective compliances will be imported to Company Compliance Content Library.	✓													
APP SPECIFIC GROUP ADMIN TASKS															
Entity Management															
1	Dynamic Mapping of Group Structure		✓												
2	Defining Business Entity Master		✓												
3	Map the added Business Entity to appropriate Level Hierarchy (L0, L2, L3, L4,..., L9) making Parent-Child combination		✓												
4	Unit Type Addition and Edit		✓	✓											
5	Defining Location Master related to Entity		✓	✓											
6	Department Add and Edit		✓												
6a	Import 'Subscribed' Entity Common Master		✓												
6b	Add Data to 'Subscribed' Entity Common Master		✓												
User Management															
7	Defining Admin WorkGroup for Admin Roles		✓												
8	Defining / Edit User WorkGroup for Functional User Roles		✓	✓											
9	Adding Users [Both One to one or Bulk]		✓	✓											
10	Function/ Role Mapping to User		✓	✓											
11	Editing/ Deactivated Users		✓	✓											
12	User Roles (Dynamic Mapping) of Admin / Back-end Mgt Roles		✓												
13	Defining & Delegating Authentication & Authorization Controls		✓	✓											
14	Assignment / Delegation of few Admin Tasks to other sub-admins. Few unique admin controls will be with Group Company Admin that cannot be delegated		✓												
15	Only One Group Company Admin can remain active. Any change of Group Admin, request will have to be sent. (complete process to be thought of, like, TRANSFER of one User Account to another User Account)		✓												
16	Network Tree of User Mapping / hierarchy to be available		✓	✓											
Audit Log Management															
17	Audit Log Management with Detailed Reports		✓	✓											
Notification & Alert Settings															
18	User Helpdesk		✓	✓											
19	Handling User Service Requests & Resolution		✓	✓											
20	Escalating unresolved Requests to GRC Helpdesk		✓	✓											
21	Notification/ Broadcast Control Centre		✓	✓											
22	Communication channel between Company Admin & Internal Users		✓	✓											
Data Migration API															
23	Client specific Data Migration Import Setup		✓												

		✓	Mandatory Mapping		✓	Optional Mapping									
Detailed Activities mapped to User Roles (WorkGroup)		Super Admin (SA)	Group Compliance Admin (GCA)	Company Compliance Admin (CCA)	Task-User (TU)	Reviewer (RVR)	Approver (APR)	Monitoring Team (MON)	Compliance Officer (CO)	Board Member (BM)/ Leadership Team	Remediation User	Viewer	Compliance Auditor (CA)	Internal Assurance Auditor (IAA)	Third Party Assessor (TPA)
APP SPECIFIC COMPANY ADMIN TASKS															
Common Compliance Library Attributes															
1	Import 'Subscribed' Compliance Common Master			✓											
2	Add Data to 'Subscribed' Compliance Common Master			✓											
Act/ Regulatory Universe															
1	Import 'Subscribed' Compliance Act/ Rules as per the 'Licence Activation' mapping			✓											
2	Add Data to 'Subscribed' Compliance Act/ Regulatory Universe			✓											
Other Common Settings															
1	Import 'Subscribed' Compliance Common Settings			✓											
2	Add Data to 'Subscribed' Compliance Common Settings			✓											
Company Compliance Content Library															
1	Client Specific Content Management			✓											
2	Import of "Subscribed" Content - Subscription Data (Free /+ Paid) from GCCL - App specific			✓											
3	Able to edit the data as imported from GCCL - App specific			✓											
4	Add data into Company Compliance Content Library (content other than imported)			✓											
5	Able to edit the data in local library - App specific			✓											
Compliance Amendment Management															
6	Auto updation of Data as per the notification issued from GLCC Admin (Update Manager)			✓											
Compliance Data Mapping Setup															
7	Compliance Department Mapping			✓											
8	Activity Workgroup Creation			✓											
11	User Workgroup Mapping			✓											
12	Locational Compliance Mapping			✓											
13	Compliance User Mapping			✓											
9	Change / Substitution of Data Mapping or User			✓											
10	Change/Edit Data in Database as per user request			✓											
Scheduler Management															
14	App specific Configuration settings			✓											
15	Scheduler Management Addition/Edit/ Deletion			✓											
16	Alerts & Reminders Configuration for Review/ Approve/ Audit activity			✓											
DataBase Management															
17	Change/ Edit of Data from Backend			✓											
18	Delete data Permanently (approval based)			✓											
Dashboard Monitoring and Report Management															
19	Dashboard & Reporting Management (Advanced & Interactive)			✓											
20	Report Creation - settings/ permissions for 'Make Your own Report' (MYOR)			✓											
21	Predictive Analysis/ Reporting based on the vulnerability Assessment (Heat Map showing - Critical, High, Medium, Low, Normal)			✓											

eompliance		✓	Mandatory Mapping		✓	Optional Mapping	Simulated Client Admin & Functional Task Workgroup Master									
Detailed Activities mapped to User Roles (WorkGroup)		Super Admin (SA)	Group Compliance Admin (GCA)	Company Compliance Admin (CCA)	Task-User (TU)	Reviewer (RVR)	Approver (APR)	Monitoring Team (MON)	Compliance Officer (CO)	Board Member (BM)/ Leadership Team	Remediation User	Viewer	Compliance Auditor (CA)	Internal Assurance Auditor (IAA)	Third Party Assessor (TPA)	
APP SPECIFIC FUNCTIONAL TASKS																
Compliance/ Task Updation Activity																
1	Updation of Data				✓											
2	Uploading of files based on type allowed by Compliance Admin				✓											
3	View status of Tasks				✓											
4	View Tasks Calendar				✓											
Compliance/ Task Remediation Plan activity																
10	Have option to put remedial plan against the task/ data that will not get completed within due date				✓										permission controlled permission controlled	
11	Approval and Tracking of Remedial Plan activities										✓					
12	Remedial Action Tracker							✓		✓						
Compliance/ Task Review Activity																
1	Review Data as updated by previous Level					✓									permission controlled	
2	Edit the data as updated by previous level					✓										
3	Reject for resubmission of updated information					✓										
4	View status of Tasks					✓										
5	View Tasks Calendar					✓										
Compliance/ Task Approve Activity																
1	Approve Data as updated by previous Level						✓								permission controlled	
2	Edit the data as updated by previous level						✓									
3	Reject for resubmission of updated information						✓									
4	View status of Tasks						✓									
5	View Tasks Calendar						✓									
Compliance/ Task Audit Activity																
1	Audit the compliance updated												✓		permission controlled	
2	Accept the submission												✓			
3	Reject the submission												✓			
4	Edit the data as updated by previous level												✓			
5	View status of Tasks											✓	✓			
6	View Tasks Calendar											✓	✓			
Compliance/ Task Dashboard & Reporting																
13	Customize Dashboard based on available smart widgets (Advanced & Interactive) 'Make Your Own Dashboard' (MYOD)				✓	✓	✓	✓	✓	✓		✓				
14	Report with Customized Headers, and multiple filters available				✓	✓	✓	✓	✓	✓						
15	Facility to 'Make Your Own Report' (MYOR) by selecting custom headers and filters				✓	✓	✓	✓	✓	✓		✓				
16	Performance Metrics Dashboard & Reporting (User/ Dept/ Unit)				✓			✓	✓	✓		✓				
16a	Predictive Analysis & Reporting (User/ Dept/ Unit)							✓	✓	✓						
17	Assigned Task Calendar download				✓	✓	✓									
18	Monitor Task Calendar download							✓	✓	✓						
19	Compliance Certificate (Fully Customizable)							✓	✓	✓						
Other Tasks																
20	Raise Service Request/ Ticket				✓	✓	✓	✓	✓	✓						
21	Raise request for changes in Data/ Change Request Approval Workflow				✓	✓	✓	✓	✓	✓						
22	Help Documentation				✓	✓	✓	✓	✓	✓		✓				
23	Send and Received Automated Notification				✓	✓	✓	✓	✓	✓						

		✓	Mandatory Mapping		✓	Optional Mapping									
	Detailed Activities mapped to User Roles (WorkGroup)	Super Admin (SA)	Group Compliance Admin (GCA)	Company Compliance Admin (CCA)	Task-User (TU)	Reviewer (RVR)	Approver (APR)	Monitoring Team (MON)	Compliance Officer (CO)	Board Member (BM)/ Leadership Team	Remediation User	Viewer	Compliance Auditor (CA)	Internal Assurance Auditor (IAA)	Third Party Assessor (TPA)
Audit Assurance Activity															
24	Ability to schedule/ handle Audit Tasks on Continuous / Concurrent basis (to be mapped against every selected Compliance Task)													✓	✓
25	Able to create Audit Programs/ Projects with frequency defined													✓	✓
26	Able to generate audit data using various filters													✓	✓
27	Export the data													✓	
28	Able to view/ download attachment (WITH CUSTOMIZED WATERMARK)													✓	
29	Able to see the attachment with Water Mark NOT ABLE TO DOWNLOAD ANY ATTACHMENT OR PRINT (only through specific permission)														✓
30	Able to put audit remarks against the data as updated by users													✓	✓
31	Raise recorection suggestion													✓	
32	Exception Report- Data not updated / Remedial Plans etc													✓	✓
33	Export options to be available													✓	✓
34	View status of Audit Tasks/ Interactive Dashboard to be available, with Risk Scoring													✓	✓

permission controlled
permission controlled
permission controlled
permission controlled
permission controlled