

GRMA

Compliance Module

CAT / CFT Functions

User Role tested: **Comp Super Admin, Comp Group Admin, Comp Controller**

10.04.2025

Testing Feedback for Compliance Super Admin Users

Super Admin: Malini logged in

The screenshot shows the e-Compliance landing page. A red circle highlights the 'E-Compliance' logo at the top left. Another red circle highlights the 'E-Compliance' dropdown menu item. A third red circle highlights the dropdown arrow icon next to the 'E-Compliance' menu item.

Compliance Logo to appear

Change to "e-Compliance"

Remove this drop-down, and enable the next tree hierarchy (collapsed) to show as default.
By default, the Compliance Landing Page shows here, when "e-Compliance" is clicked

Group Headers to be similar to PPT provided

At a time, only one header can remain open.
When another Header is clicked, the previously open Header should close.

Like this

The screenshot shows the e-Compliance landing page with a simplified navigation structure. The 'E-Compliance' logo is at the top. Below it, there are three main menu items: 'E-Complains Compliance Task', 'E-Complains Attributes', and 'E-Complains Masters'. Each of these items has a small dropdown arrow icon to its right.

It seems there is a shadow on every drop-down arrow which is behaving correctly, so the Black drop-drop icon needs to be removed.

Alignment of Group Tree Hierarchy (2nd and 3rd Level) needs to be corrected (indented)

The screenshot shows a detailed navigation tree for 'e-COMPLIANCE'. At the top level, there are three main categories: 'E-Complains Compliance Task', 'E-Complains Attributes', and 'SuperAdmin Common Entity Attributes'. The 'E-Compliance' category is expanded, showing its sub-categories: 'Entity Type Master', 'Unit Location Type Master', 'Business Sector List Master', 'Industry Type List Master', 'Region Master', and 'Sub Region Master'. The 'SuperAdmin Common Entity Attributes' category is also expanded, showing 'SuperAdmin Common Compliance Library Attributes', 'SuperAdmin Act/Regulator Universe', 'SuperAdmin other Common Masters', and 'Global Compliance Content Library'. The 'E-Complains Masters' category is collapsed. A dashed orange arrow points from the 'E-Compliance' category in the first screenshot to the 'E-Compliance' category in this screenshot, indicating a comparison between the current state and the target state.

COMPLETED

E-Compliance

E-Complains Compliance Task

E-Complains Attributes

SuperAdmin Common Entity Attributes

SuperAdmin Common Compliance Library Attributes

SuperAdmin Act/Regulator Universe

SuperAdmin other Common Masters

Frequency Master

Holiday Master

Compliance Period

Global Compliance Content Library

E-Complains Masters

Removed

Holiday Master

Drag a column header here to group by that column

+ ADD



holidayid	Holiday Name	Recurrence	Time Interval	Time Period	Holiday Description
-----------	--------------	------------	---------------	-------------	---------------------

(All)

(All)

Regulatory Authority

Drag a column header here to group by that column

COMPLETED

+ ADD Search...

Regulatory Authority ID	Regulatory Authority Name	Regulatory Authority Description
5001	Central	
5002	State	

When the Header is selected, the Text shrinks to lower font size.
Required: The Text size remains same and the font is formatted with 'Bold style'. Changes required under all items in the Menu.

Pagination Format missing on this section

Count: 2

5 10 20 All

Page 1 of 1 (3 items) < >

E-Compliance

- E-Complains Compliance Task
- E-Complains Attributes
 - SuperAdmin Common Entity Attributes
 - SuperAdmin Common Compliance Library Attributes
- Law Type
- Category of Law
- Jurisdiction Category Li
- Jurisdiction Location
- Compliance Type
- Compliance Record Type
- Compliance Group
- Regulatory Authority**

There is no provision to select any option here.
Are the 'Periodicity Factor parameters' hardcoded in this case? If yes, then just mention the same here for easy understanding.

This is important, as the input is mandatory

COMPLETEDcomco

New Delhi

Create Alert & Reminders

Workflow Activity	Expected Action (in days)	Reminder Alerts (in days)	Notification Mail Alerts
Review	5	After Compliance Update Date	<input type="checkbox"/> Include Holiday Factor <input type="checkbox"/> Include Holiday Factor <input type="checkbox"/> Include Holiday Factor
Approve	Days	Approval Periodicity	<input type="checkbox"/> Include Holiday Factor <input type="checkbox"/> Include Holiday Factor
Audit	Days	Audit Periodicity	<input type="checkbox"/> Include Holiday Factor <input type="checkbox"/> Include Holiday Factor

View Alerts & Reminders

Save Configuration

Since this is NOT likely getting used anywhere in the application, PLEASE DISABLE these options, until we make corrections in the Master Form.

Default value of "1" needs to appear

COMPLETED

E-Compliance

- E-Complaints Compliance Task
- E-Complaints Attributes
- SuperAdmin Common Entity Attributes
- SuperAdmin Common Compliance Library Attributes
- SuperAdmin Act/Regulator Universe
- SuperAdmin other Common Masters
- Global Compliance Content Library
- E-Complaints Masters
- Alerts And Reminders(cc)

Alerts Alert and Reminder

ProBuds Strategy Consulting
New Delhi

E-Compliance Malini K

Create Alert & Reminders

Workflow Activity	Expected Action (in days)	Reminder Alerts (in days)	Notification Mail Alerts			
Review	Days	Review Periodicity	<input type="checkbox"/> Include Holiday Factor	Days	Periodicit	Notification Alert List*
Approve	Days	Approval Periodicity	<input type="checkbox"/> Include Holiday Factor	Days	Periodicit	Notification Alert List*
Audit	Days	Audit Periodicity	<input type="checkbox"/> Include Holiday Factor	Days	Periodicit	Notification Alert List*

Table did not get refreshed after New Value got updated upon submitting – ‘Save Configuration’

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<div style="position: absolute

COMPLETED

View Act/Rule Repository

Select Act/ Master Regulation Name*
The Income Tax Act, 1961Select Rule name*
The Income Tax Rules, 1962

View Bare Act/Rule Repository:

ActID Name of Act/Regulation

Rule_id name of Rule/Regulation/Procudere

Applicability Description of Rule/Regulation/Procedure

Category of Law

The Rule ID should have been based on the Compliance ID – GC0001. That is to say, the Rule ID should be GC0001.001

Based on every act we will generate Rule
 eg : GC001 is act . 001 is rule aganits that act
 eg :GC001 is act. 002 is another rule for that act
 As per Jasmeet Sir Suggest

GC0001-The Income Tax Act, 1961
GC0003.001-The Income Tax Rules, 1962
It is applicable to every establishment
Finance

Edit

What is the present logic??

View Bare Act/Rule Repository:

ActID Name of Act/Regulation

Rule_id name of Rule/Regulation/Procudere

Applicability Description of Rule/Regulation/Procedure

Category of Law

GC0002-The Payment Of Gratuity Act, 1972

GC0003.002-The Haryana Payment Of Gratuity Rules, 1972

Applicable to Every Establishment factory, mine, oilfield, plantation, port and railway company

Labour & Industrial

Logic mentioned in the FRS Document (Refer Part 2 Pg 13)

- Upon saving the record, a **Global Rule ID** will be generated with following format:
 - **“GC0000.000”** (where “GC0000” stands for Act ID under which the specific Rule/ Regulation is saved, and “000” is the unique series starting from 001 onwards associated exclusively with the respective Global Act ID under which it has been saved. For example, GC0001.001, GC0002.010, GC0002.020, etc)

View Bare Act/Rule Repository:

ActID Name of Act/Regulation

GC0003-The Environment (Protection) Act, 1986

Rule_id name of Rule/Regulation/Procudere

GC0004.001-The Environment (Protection) Rules, 1986

Applicability Description of Rule/Regulation/Procedure

For the purpose of protecting and improving the quality of the environment and

Category of Law

Environment Health & Safety

Fixed COMPLETED

Testing was being done on Compliance Module > Add Rules & regulations. Upon saving the entry , when the page got refreshed, it went back to Governance module on its own. It is happening at many other places as well.

The screenshot shows a web application interface for 'ProBuds Strategy Consulting' in New Delhi. The top navigation bar includes a logo, the company name, and a user profile for 'Malini K'. A red box highlights the 'Governance' menu item in the sidebar, which is also circled with a red dot. Another red box highlights the 'Add Rules And Regulation' button, also circled with a red dot. The main content area displays a form for adding rules:

- Add Rules**: Step 1
- Jurisdiction Location**: Step 2
- Dependent Factors**: Step 3
- Additional Reference**: Step 4

The form fields include:

- Select Act Name***: A dropdown menu.
- Applicability Description**: A text area with a character limit of 0/2500.
- Name of Rule /Regulation/Procedure ***: A required field.
- category of Law***: A dropdown menu.

A large blue 'Next' button is at the bottom right of the form.

Super Admin: Malini logged in

COMPLETED

The screenshot shows a web application interface for managing rules and regulations. A large red circle highlights the title 'Edit ADD Rule/ Regulation/ Procedure'. A smaller red circle highlights an error message box. A callout box with a red border contains an annotation about the error message.

grma.neemus.com says
An error occurred while submitting the form.
OK

While 'Edit / Add Rule & Regulation/ Procedure' was edited, this error came, but did not specify what kind of error it is. All mandatory options were filled in.

Compliance Login Test Apps JS Learn Coding | H... Stanford University

ProBuds Strategy Consulting New Delhi

Add Rules Jurisdiction Location Dependent Factors Additional References

Add Bare Rule Reference

Select Option File Attachment The Haryana Payment O Attach Remove

Add More cancel Update

COMPLETED

While 'Add Rule & Regulation/Procedure' was added with new entry, it did not save, and no specific error message was got displayed. All mandatory options were filled in.

Add Rules And Regulation

Add Rules Jurisdiction Location Dependent Factors Additional References (4)

Add Bare Rule Reference

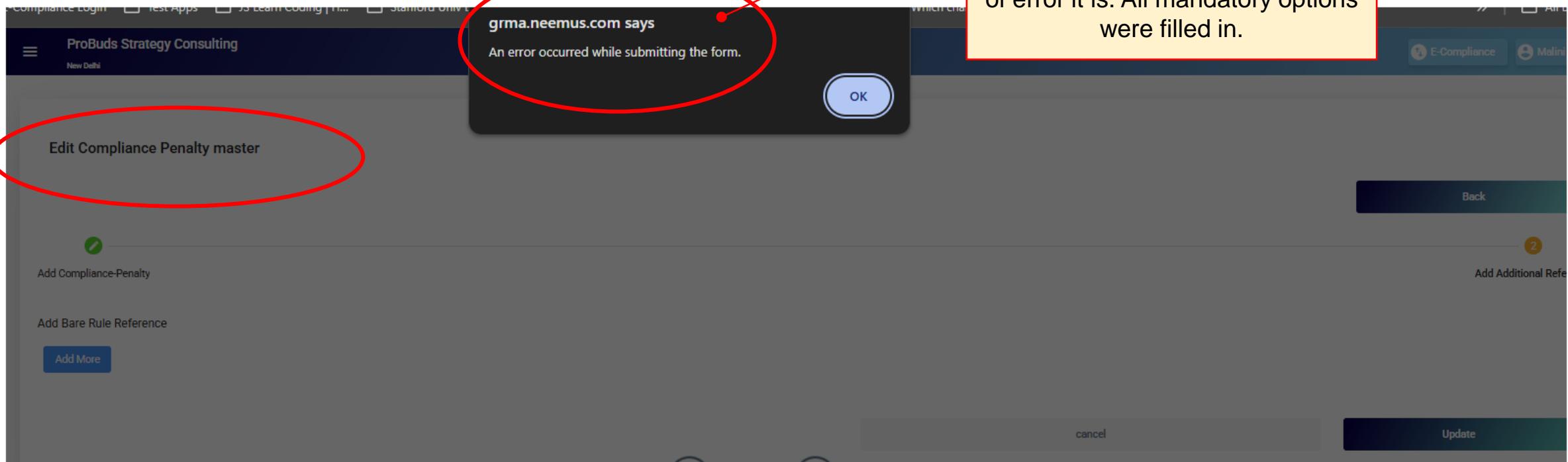
Select Option: File Attachment
thepaymentofbonusrules [Attach](#) [Remove](#)

[Add More](#)

[Back](#) [Save](#)

Super Admin: Malini logged in

COMPLETED



While 'Edit Compliance Penalty Master' was edited, this error came, but did not specify what kind of error it is. All mandatory options were filled in.

Super Admin: Malini logged in

Compliance penalty Master

1
Add Compliance-Penalty

Add Additional Reference

COMPLETED

Select Act Name*
The Payment Of Gratuity Act, 1972

The Haryana Payment Of Gratuity Rules, 1972

Select Penalty category*
Fine and/ or Imprisonment

Application Selections /Rules/Regulation Reference
Sec-999

penalty Description *
Under the Payment of Gratuity Act, 1972, employers who fail to pay gratuity or contravene the Act's provisions face penalties, including imprisonment up to 2 years for non-payment and fines up to 20,000

Min 1 - Max 1500 Characters 202/1500

Maximum Penalty
20000

Min 1 - Max 250 Characters 5/250

Minimum Penalty
100

Min 1 - Max 250 Characters 3/250

Additional Reference to Penalty Provision
NA

Min 1 - Max 250 Characters 2/250

ProBuds Strategy Consulting
New Delhi

Next

E-Compliance

Malini K

Compliance penalty Master

Add Compliance-Penalty

Add penalty Support Reference

Select Option
File Attachment

Add More

While 'Add Compliance penalty Master' was added with new entry, it did not save, and no specific error message was got displayed. All mandatory options were filled in.

File Attachment
Payment Of Gratuity Act,

Remove

2
Add Additional Reference

Back

Save

Testing Feedback for Compliance Company Users

Compliance Group Admin: Indermohan logged in

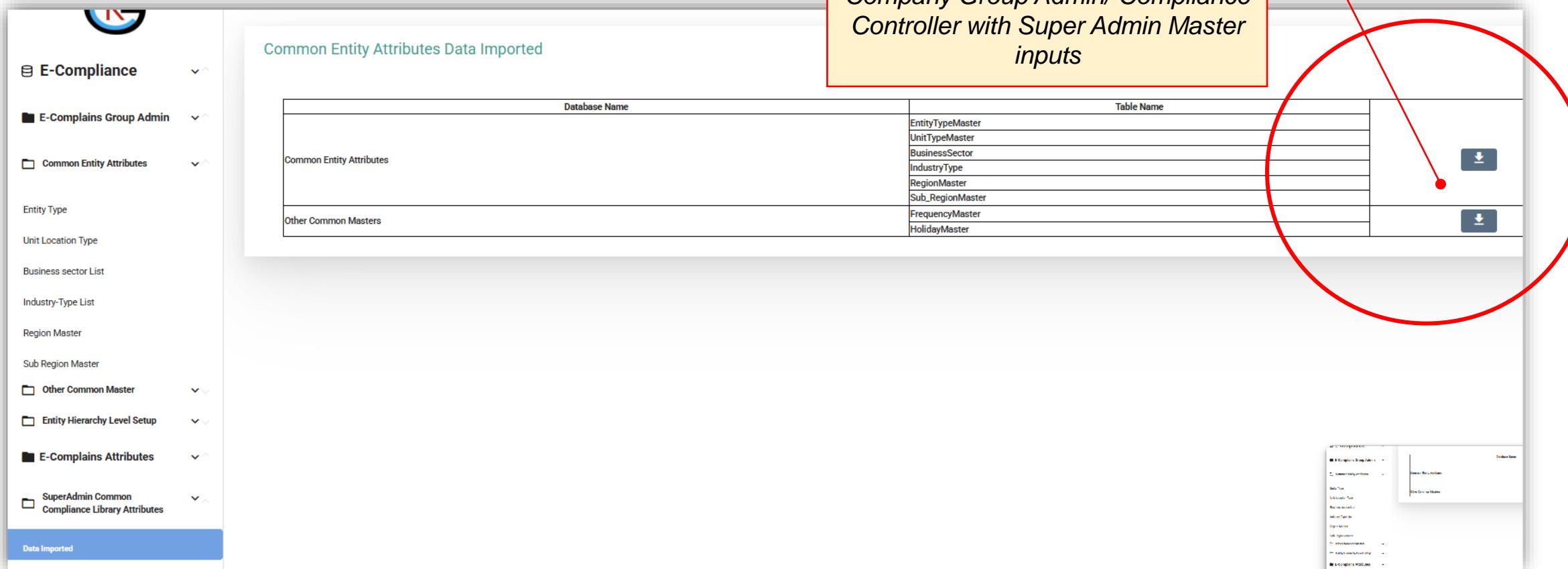
WORKING

Type text here

Common Entity Attributes Data Imported

Database Name	Table Name
Common Entity Attributes	EntityTypeMaster UnitTypeMaster BusinessSector IndustryType RegionMaster Sub_RegionMaster
Other Common Masters	FrequencyMaster HolidayMaster

Does this work????
Data is not getting updated for the Company Group Admin/ Compliance Controller with Super Admin Master inputs



Entity Type

Unit Location Type

Business sector List

Industry-Type List

Region Master

Sub Region Master

Other Common Master

Entity Hierarchy Level Setup

E-Complaints Attributes

SuperAdmin Common Compliance Library Attributes

Data Imported



Compliance Group Admin: Indermohan logged in

When the Header is selected,
the Text shrinks to lower font
size.

*Required: The Text size
remains same and the font is
formatted with 'Bold style'.
Changes required under all
items in the Menu.*

The screenshot shows a software application window with a yellow header bar. The main content area has a light gray background. On the left, there is a vertical sidebar menu with a tree-like structure. The top level is 'E-Compliance' (with a minus sign icon). Under it is 'E-Complains Group Admin' (with a minus sign icon), which is expanded to show 'Common Entity Attributes' (with a plus sign icon) and 'Entity Type' (with a plus sign icon). Below 'Entity Type' are three items: 'Unit Location Type' (with a plus sign icon), 'Business sector List' (which is highlighted with a red oval and a red dot), and 'Industry-type List' (with a plus sign icon). Further down are 'Region Master' and 'Sub Region Master', followed by collapsed sections for 'Other Common Master' and 'Entity Hierarchy Level Setup', and finally 'E-Complains Attributes' (with a plus sign icon). To the right of the sidebar is a large table titled 'Business Sector Master'. The table has a header row with columns: 'Business Sector id', 'Business Sector Name', and 'Business Sector Descri'. Below the header are three data rows: 5001 Trading, 5002 Manufacturing, and 5003 Financial. At the bottom of the table, it says 'Count: 3'. At the very bottom, there are page navigation buttons: 5, 10 (highlighted with a blue circle), 20, and All.

Business Sector id	Business Sector Name	Business Sector Descri
5001	Trading	
5002	Manufacturing	Manufacturing
5003	Financial	Financial Service

Compliance Group Admin: Indermohan logged in

WORKING

Unit Type Master

Unit Type id	Unit Type Name	Description
1	Head Office	
2	Business Establishment	Any type of Business or office Establishment of this Entity
5001	Factory	
5002	Branch	

Count: 4

Business Sector Master

Drag a column header here to group by that column

Business Sector id	Business Sector Name	Business Sector Description
1	Healthcare	
5001	Trading	
5002	Manufacturing	Manufacturing

All these inputs were updated at the Super Admin Level, but when "Import" function was selected/updated, none of the updated values appeared here.
What is the logic here????

Industry Type Master

Industry Id	Business Sector Name	Industry Type Name
(All)		
1	Healthcare	Hospitals
5001		Retail
5002		Automobile
5003		NFC

Region Master

Region id	Region Name
1	Asia-Pacific
2	Middle East Asia

Count: 3

Type text here

Sub Region id	Select Region Name	Sub Region Name
(All)		
1	Asia-Pacific	India
2	Europe	France
3	Middle East Asia	Israel

Count: 7

5 10 20 All

E-Compliance

E-Complaints Group Admin

Common Entity Attributes

Entity Type

Unit Location Type

Business sector List

Industry-Type List

Region Master

E-Compliance

E-Complaints Group Admin

Common Entity Attributes

Entity Type

Unit Location Type

Business sector List

Industry-Type List

Region Master

Sub Region Master

WORKING

All these inputs were updated at the Super Admin Level, but when “Import” function was selected, none of the updated values appeared here.

Frequency Period	Recurrence	Time Interval	Time Period	No. of Freq
Half Yearly	Every	6	Month	
Monthly	Every			
Quarterly	Every			
Half Year	Every			
Yearly	Every			

Compliance Group Admin: Indermohan logged in

Entity Hierarchy Level Master

entityHierarchyLevelID level entity

No data

This data entry was attempted to be saved. Even after the confirmation message appeared to be successful, no data got updated

Entity Type

Business Sector > Industry Type

Region > Sub-Region

Update

No data

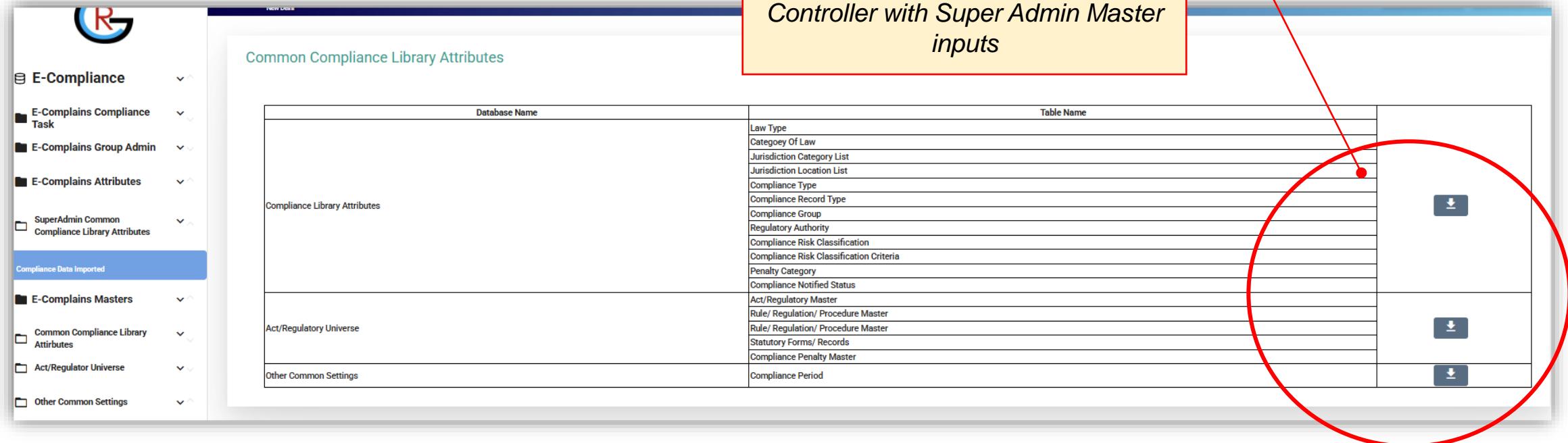
Data Updated Successfully

Ok

The screenshot displays two views of a compliance management system. The top view shows the 'Entity Hierarchy Level Master' screen with a table header 'entityHierarchyLevelID level entity'. Below the table, a message 'No data' is circled in red. In the bottom right corner of the same screen, there is a blue button labeled 'Edit'. The bottom view shows the 'Entity Hierarchy' setup screen with three dropdown menus: 'Level 1 * Entity Type', 'Level 2 * Business Sector > Industry Type', and 'Level 3 * Region > Sub-Region'. Below these dropdowns is a large red circle. At the bottom of the page, a modal dialog box is displayed with the message 'Data Updated Successfully' and an 'Ok' button, also circled in red. The left sidebar navigation includes categories like E-Compliance, E-Complaints Group Admin, Common Entity Attributes, Other Common Master, Entity Hierarchy Level Setup, and Entity Hierarchy (which is selected and highlighted in blue). The Entity Hierarchy section further includes E-Complaints Attributes.

COMPLETED

Does this work????
Data is not getting updated for the Company Group Admin/ Compliance Controller with Super Admin Master inputs



Database Name	Table Name
Compliance Library Attributes	Law Type Category Of Law Jurisdiction Category List Jurisdiction Location List Compliance Type Compliance Record Type Compliance Group Regulatory Authority Compliance Risk Classification Compliance Risk Classification Criteria Penalty Category Compliance Notified Status
Act/Regulatory Universe	Act/Regulatory Master Rule/ Regulation/ Procedure Master Rule/ Regulation/ Procedure Master Statutory Forms/ Records Compliance Penalty Master
Other Common Settings	Compliance Period

Compliance Content Controller: Bijay logged in

COMPLETED

The screenshot shows a web application interface for 'ProBuds Strategy Consulting' in New Delhi. The top navigation bar includes a logo, the company name, and a user profile for 'Bijay J'. A red box highlights the 'Governance' menu item in the left sidebar and the 'App Specific Configuration Settings' page title. Another red box highlights the 'Set Parameters' section where a file upload size limit of 20 MB is specified. A red circle highlights the 'Governance' link in the top right corner. A callout box with a red border contains the following text:

Testing was being done on Compliance Module > App Specific Configuration Settings. Upon saving the entry , when the page got refreshed, it went back to Governance module on its own. It is happening at many other places as well.

Correction is required at all levels.

COMPLETED

Compliance Content Controller: Bijay logged in

E-Compliance

- E-Complains Compliance Task
- E-Complains Group Admin
- E-Complains Attributes
- E-Complains Masters
- Common Compliance Library Attributes

Law Type

Category Of Law

Category Of Law Master

Drag a column header here to group by that column

category_of_law_ID	Category of law Name	Categoryof law Description
5001	Labour	
5002	Environment	
5003	Finance	

A red circle highlights the row for category ID 5003, "Finance". A red dot is placed on the "Finance" entry in the list.

All these inputs were updated at the Super Admin Level, but when “Import” function was selected, none of the updated values appeared here.

E-Compliance

- E-Complains Compliance Task
- E-Complains Group Admin
- E-Complains Attributes
- E-Complains Masters
- Common Compliance Library Attributes

Law Type

Category Of Law

Jurisdiction Category List

Jurisdiction Location List

compliance Type

Compliance Type

Drag a column header here to group by that column

Compliance Type ID	Compliance Type Name
5001	Filing & Payment
5002	Display
5003	Registers
5004	Event Based

A red circle highlights the row for compliance type ID 5004, "Event Based". A red dot is placed on the "Event Based" entry in the list.

Count: 4

5 10 20 All

COMPLETED

Compliance Content Controller: Bijay logged in

While 'Add Rule & Regulation/ Procedure' was added with new entry (Act added by Super Admin), it did not save, and no specific error message was got displayed. All mandatory options were filled in.

The screenshot shows the 'ADD Rule/ Regulation/ Procedure' form. On the left is a sidebar with 'E-Compliance' navigation. The main form has sections for 'Add Rules' and 'Add Bare Rule Reference'. A dropdown menu shows 'Select Option' and 'File Attachment' with 'ESIRules1950.pdf' attached. A 'Jurisdiction' section is partially visible. At the bottom right is a 'Save' button, which is highlighted with a red circle.

COMPLETED

Same error/ no confirmation appears, when Rule was added by Company Admin (Act added by Company Admin),

This screenshot is identical to the one above, showing the 'ADD Rule/ Regulation/ Procedure' form. The sidebar and form structure are the same, including the 'Save' button at the bottom right, which is again circled in red.

Compliance Content Controller: Bijay logged in

COMPLETED

E-Compliance

E-Complains Compliance Task

E-Complains Group Admin

E-Complains Attributes

E-Complains Masters

Common Compliance Library Attributes

Act/Regulator Universe

Act-Regulator Master

View Act-Regulator Master

Add Rules Regulation

View Act Rules Regulation

View Rule/ Regulation/ Procedure /Rule Repository

Select Act/ Master Regulation Name*
The Environment (Protection) Act, 1986

Select Rule name *

The Environment (Protection) Rules, 1986

Later these many entries appear with same name. May be number of times I clicked to save the record.

E-Compliance

E-Complains Compliance Task

E-Complains Group Admin

E-Complains Attributes

E-Complains Masters

Common Compliance Library Attributes

Act/Regulator Universe

Act-Regulator Master

View Act-Regulator Master

Add Rules Regulation

View Act Rules Regulation

Bare Act/Rule-Repository

Add statutory Forms Records

Bare Act/Rule Repository

Select Act/ Master Regulation Name*
The Environment (Protection) Act, 1986

Select Rule name *
The Environment (Protection) Rules, 1986

View Bare Act/Rule Repository:

ActID Name of Act/Regulation	GC0003-The Environment (Protection) Act, 1986		
Description of Act/Regulation	N/A		
Rule_id name of Rule/Regulation/Procedure	CC0003.007-The Environment (Protection) Rules, 1986		
Applicability Description of Rule/Regulation/Procedure	For the purpose of protecting and improving the quality of the environment and preventing and abating environmental pollution, the standards for emission or discharge		
Category of Law	Environment		

Jurisdiction Location :

Law Type	Statutory	Regulatory Authority
Jurisdiction Category	State	Country Name
State / Region Name	N/A	
Additional References from Bare Act & Rule :		
Bare Act Reference(s)		
Bare Rule Reference(s)		

File Reference missing here

Compliance Content Controller: Bijay logged in

WORKING

E-Compliance

E-Complaints Compliance Task

E-Complaints Group Admin

E-Complaints Attributes

E-Complaints Masters

Common Compliance Library Attributes

Act/Regulator Universe

Act-Regulator Master

View Act-Regulator Master

Add Rules Regulation

View Act Rules Regulation

Bare Act/Rule-Repository

Add statutory Forms-Records

View statutory Forms-Records

Compliance Penalty Masters

View Compliance Penalty Masters

Other Common Settings

Company Complaints content Library

Complaints Department Mapping

Activity Workgroup Creation

View Rule/ Regulation/ Procedure /Rule Repository

Select Act/ Master Regulation Name*
Employees' State Insurance Act, 1948

Select Rule name*
The Employees' State Insurance (Central) Rules, 1950

View Act/Rule Repository:

ActID Name of Act/Regulation	CC0006-Employees' State Insurance Act, 1948
Rule_id name of Rule/Regulation/Procedere	CC0006.001-The Employees' State Insurance (Central) Rules, 1950
Applicability Description of Rule/Regulation/Procedure	"Applies to all factories (including factories belonging to the government) other than seasonal factories, but excludes employees who are in receipt of benefits substantially similar or superior to the benefits provided under this Act."
Category of Law	Labour
IsImportedData	No

File Reference missing here

Edit

Jurisdiction Location :	Statutory	Regulatory Authority	Central
Law Type	Central	Country Name	N/A
Jurisdiction Category	N/A	District / Locality Name	N/A
Dependence Factor :			
Type of Business Organization/ Establishment	All Types of Business Establishment, including Factory, Shops, Offices, Mines, employing more than 10 employees	Specific Business Operations	All Types of Business Establishm
No. & Type of Employees/ Workers	More than 10 employees	Capital Investment of Business Establishment	N/A
Turnover of Business Establishment	N/A	Specific Working Conditions	N/A
Conditions imposed through Business Registration/ Licence	N/A	Any Other Factor	N/A
Additional References from Rule :			
Bare Rule Reference			
created By / created On	Bijay Jain-4/5/2025 6:06:55 PM		
Updated By / Updated On			

Bare Rule Reference



created By / created On

Bijay Jain-4/5/2025 6:06:55 PM

Updated By / Updated On

Compliance Content Controller: Bijay logged in

COMPLETED

E-Compliance

- E-Complaints Compliance Task
- E-Complaints Group Admin
- E-Complaints Attributes
- Common Compliance Library Attributes
- Act/Regulator Universe

Act-Regulator Master

View Act-Regulator Master

Add Rules Regulation

View Act Rules Regulation

Bare Act/Rule Repository

Select Act / Master Regulation Name*
Employees' State Insurance Act, 1948

Select Rule name *
The Employees' State Insurance (Central) Rules, 1950

Bare Act/Rule-Repository

Add statutory Forms-Records

View statutory Forms-Records

E-Compliance

- E-Complaints Compliance Task
- E-Complaints Group Admin
- E-Complaints Attributes
- E-Complaints Masters
- Common Compliance Library Attributes
- Act/Regulator Universe

Act-Regulator Master

View Act-Regulator Master

Add Rules Regulation

View Act Rules Regulation

Bare Act/Rule Repository

Select Act / Master Regulation Name*
Employees' State Insurance Act, 1948

Select Rule name *
The Employees' State Insurance (General) Regulations, 1950

View Bare Act/Rule Repository:

ActID Name of Act/Regulation	CC0006-Employees' State Insurance Act, 1948
Description of Act/Regulation	An Act to provide for certain benefits to employees in case of sickness, maternity and employment injury and to make provision
Rule_id name of Rule/Regulation/Procedere	CC0006.002-The Employees' State Insurance (General) Regulations, 1950
Applicability Description of Rule/Regulation/Procedure	"Applies to all factories (including factories belonging to the government) other than seasonal factories, but excludes employees."
Category of Law	Labour

Jurisdiction Location :

Law Type	Statutory	Regulatory Authority
Jurisdiction Category	Central	Country Name
State / Region Name	N/A	District / Locality Name

Additional References from Bare Act & Rule :

Bare Act Reference(s) [File Attached] ESIAct1948.pdf (View) /

Bare Rule Reference(s)

File Reference missing here

Compliance Content Controller: Bijay logged in

“Applicable Section/ Rule/ Regulation Reference” missing in the View Records

No Confirmation Message appeared if the Form was saved

All other details regarding the Form was saved, but the document link does not appear

The screenshot displays two main sections of the Compliance Content Controller application:

Add Statutory Forms/Records: This section shows a green "COMPLETED" status. It includes fields for "Add Statutory" and "Add Support Reference". A file attachment "ESI_Form 1_R21.pdf" is attached. A red oval highlights the "Save" button at the bottom.

View Statutory Form /Records: This section shows a list of fields:

- Select Act/ Master Regulation Name*: Employees' State Insurance Act, 1948
- Select Rule name*: The Employees' State Insurance (Central) Rules, 1950
- Select Statutory Form Records*: Form I

A red oval highlights the "IsImportedDate" field. At the bottom, there is an "Edit" button.

On the left sidebar, under the "E-Compliance" category, the "Add statutory Forms-Records" option is highlighted in blue, while "View statutory Forms-Records" is also visible.

Compliance Content Controller: Bijay logged in

COMPLETED

E-Compliance

E-Complains Compliance Task

E-Complains Group Admin

E-Complains Attributes

E-Complains Masters

Common Compliance Library Attributes

Act/Regulator Universe

Act-Regulator Master

View Act-Regulator Master

Add Rules Regulation

View Act Rules Regulation

Bare Act/Rule-Repository

Add statutory Forms-Records

View statutory Forms-Records

Compliance Penalty Masters

View Compliance Penalty Masters

Other Common Settings

Company Compliance content

View Compliance Penalty master

Select Act/ Master Regulation Name*
The Environment (Protection) Act, 1986

Select Rule name *
The Environment (Protection) Rules, 1986

Select Compliance Penalty /Application Selections
Imprisonment / Sec 15.2

View Compliance Penalty Form/ Record :

Name of Act/Regulation	The Environment (Protection) Act, 1986
Name of Rule /regulation/ procedure	The Environment (Protection) Rules, 1986
Penalty category Name	Imprisonment
Add Applicable Section/ Rule/ Regulation Reference	Sec 15.2
Penalty Description	If the failure or contravention referred to in sub-section 1 continues beyond a period of one year after the date of conviction, the offender shall be punishable with imprisonment for a term which
Minimum Penalty	N/A
Maximum Penalty	N/A
Additional Reference to Penalty Provision	
IsImportedData	No

PDF file was uploaded, and it did not give any confirmation on saving.

But when Word file was uploaded, confirmation also came and the file reference was also visible.

Additional References from Compliance penalty:

Compliance Penalty Reference(s)

created By / created On

Bijay Jain-4/5/2025 7:10:07 PM

Updated By / Updated On

-

Compliance Content Controller: Bijay logged in

Company Compliances Master Library

Create Company content import Subscribed content

Act Name: Employees' State Insurance Act, 1948 Rule Name: The Employees' State Insurance (Central) Rules, 1950

Select Act/ Master Regulation Name *
Employees' State Insurance Act, 1948

Select Rule/ Regulation/ Procedure Name *
The Employees' State Insurance (Central) Rules, 1950

Applicability Description of Act Regulatory	An Act to provide for certain benefits to employees in case of sickness, maternity and employment injury and to make provision for certain other n
Applicability Description of Rule Regulation/ Procedure View More Related Info	"Applies to all factories (including factories belonging to the government) other than seasonal factories, but excludes employees who are in receipt of this Act."
Category of Law	Labour

Jurisdiction Location :

Nature of Law	Statutory	Regulatory
Jurisdiction Category	Central	Country
State / Region Name	N/A	District

Additional References from Bare Act & Rule :

Bare Act Reference(s)	[File Attached] ESIAct1948.pdf (View) /
Bare Rule Reference(s)	

File Reference missing here

Compliance Content Controller: Bijay logged in

New Delhi

Company Compliances Master Library

Create Company content import Subscribed content

Act Name: The Income Tax Act 1961 Rule Name: The Income Tax Rules, 1962

Compliance Nomenclature 2 Compliance Chronology Setup

Select Frequency Period *
Yearly

Basis for Defining the Due Date:

Select Original Due Date Defined By *
Statutory

Select Recurrence *
Every

Select Frequency *
Yearly

Select Day *
30

Start Month for Compliance Year *
April

Defining the Scheduler Master:

Interval Instance	Select Current Compliance Period	Define Year Factor based on periodicity Factor	Select Due Dates & Months (Day / Month)	Define Year Factor based on periodicity Factor	Select Next Compliance Period	Define Year Factor
1	Select Current Complia...	Select periodicity Factor *	Sele...	Sele...	Select Next Complia...	Select period...
	Following Loop	Select periodicity Factor		Select periodicity Factor		Select period...

Please Select All Details in Scheduler Master before saving.

- **Periodicity Factor [Select Option; Mandatory]:** The Super Admin will need to select appropriate option. **Validation – Hard coded Default List Value – 1) Same Month, 2) Following Month, 3) Same Month of Quarter Ending, 4) Following Month of Quarter Ending, 5) Following Month of Year Ending]**

This Default Hard Coded List needs to appear here.

1. **Same Month**
2. **Following Month**
3. **Same Month of Quarter Ending**
4. **Following Month of Quarter Ending**
5. **Same Month of Half Year Ending**
6. **Following Month of Half Year Ending**
7. **Same Month of Year Ending**
8. **Following Month of Year Ending**

Compliance Content Controller: Bijay logged in

Company Compliances Master Library

Create Company content

import Subscribed content

Act Name: The Income Tax Act 1961 Rule Name: The Income Tax Rules, 1962



Compliance Nomenclature

Select Business Sector
Healthcare

Any Additional Reference
This Compliance is very Critical

Confirm if Penalty Provision Required ? *
Yes

Select Compliance Penalty *
Fine or Interest, Fine or Interest



Fine or Interest

Fine or Interest

Interest S-201.1A, S-221, S-276B

Suggested Risk Classification



Compliance Chronology Setup

Select Industry Type
Hospitals

Text to appear as Joining
of “Penalty Category” &
Applicable Section”

Like
this!!

Penalty Category	Applicable Section/ Rule/ Regulation Reference	Penalty Description
Fine or Interest	S-271A	Punishable with fine or interest under section 271A.
Fine or Interest	S-201.1A, S-221, S-276B	A person is liable to pay fine or interest under section 201.1A, 221, 276B.

Fine or Interest / S-271A

Fine or Interest / S-201.1A, S-221, S-276B

Compliance Content Controller: Bijay logged in

E-Complaints

- E-Complaints Content
- E-Complaints Content Task
- E-Complaints Group Admin
- E-Complaints Attributes
- E-Complaints Masters
- Common Compliance Library Attributes
- Act/Regulator Universe
- Other Common Settings
- Company Compliance content Library

Create Compliance content

View Company Compliance content

- Compliance Department Mapping
- Activity Workgroup Creation
- Compliance user workgroup mapping
- Location Compliance Mapping
- Compliance Add-Ons
- Business Sector-Industry Type
- Any Additional Reference
- Risk Classification/ Criteria

Compliance Penalty Details:

Penalty Category	Applicable Section/Rule/ Regulation Reference	Penalty Description	Minimum Penalty	Maximum Penalty	Additional References to Penalty Provision	Support Reference(s)
Fine or Interest	S-201.1A, S-221, S-276B	A person is liable to pay interest for various delays/defaults like interest under section 2011A for failure to deduct tax at source/delay in payment of tax deducted at source and interest under section 206C7 for failure to collect tax at source/delay in payment of tax collected at source.	100	100000	Upto 150 percent of tax liability can be imposed	

Additional References from Bare Act & Rule:

Bare Act Reference(s)	Bare Rule Reference(s)	Created By / Created on	Last Edited By / Edited on
[weblink] https://incometaxindia.gov.in/Pages/acts/income-tax-act.aspx		N/A / N/A	N/A / N/A

Page redesigning required

File Reference missing here

User Details missing

File Reference missing here

File Reference missing here

Compliance Content Controller: Bijay logged in

E-Complaints Content Controller

New Delhi

View Company Compliance :

General Compliance ID_Compliance Name : Ver

Compliance Description: Annual Filing of ESI Return

Name of Act/ Regulation: Every Establishment must file Annual Return detailing the beneficiaries and contribution made

Name of Rule/ Regulation/ Procedure: Employees' State Insurance Act, 1948

Section/ Rule/ Clause/Regulation Reference: The Employees' State Insurance (Central) Rules, 1950

Jurisdiction Location : Rule 21

Nature of Law: Statutory

Jurisdiction Category: Central

State / Region Name: N/A

Compliance Type: Registers

Category of Law: Labour

(View More Related Info)

Statement

Support Reference(s)

Statutory Form / Record References :

Form Number/ Record Name/ Reference: Form I

Applicable Section/ Rule/ Regulation Reference: Rule 21

View Description: bank or banks for depositing the Fund. All moneys accruing or payable to the Fund shall be received by such officers of the Corporations may be authorized by it in this behalf. The amount so received shall as soon as practically acknowledge by a receipt in Form I and deposited in the Reserve Bank or the State Bank of India or any of its subsidiaries

Special Instructions for Statutory Form / Record Updation: Every page of the Register must be stamped and signed by HR Head

Compliance Group: Labour

Compliance Notified Status

Support Reference(s)

Compliance Chronology Details :

Frequency Period: Every-Yearly

Original Due Date Defined By: Management Decision

Original Due Date: 30-0

Extended Due Date Applied?: false

Extended Due Date: From N/A - Till N/A

Support Reference(s)

Compliance Add-Ons :

Business Sector-Industry Type

Any Additional Reference: If data maintain in Biometric application, customized report needs to be developed

Risk Classification/ Criteria: Medium / Management Decision

Penalty Provision Required?: Yes

Support Reference(s)

Compliance Penalty Details :

Penalty Category: Fine and/ or Imprisonment

Applicable Section/ Rule/ Regulation Reference: Sec 85.a

Penalty Description: Penalty for failure to pay a contribution. the maximum imprisonment for this offense is 3 years and the minimum is 6 months with Rs. 5,000 as fine

Minimum Penalty: 100

Maximum Penalty: 5,000

Additional References to Penalty Provision: Furthermore, sometimes employers deduct their employees' contribution but do not pay it to the Corporation. This offense is even more serious than in general cases. Hence, the minimum imprisonment for such cases is 1 year with a fine of Rs. 10,000

User Details missing

File Attached: (View) / Download

File Reference missing here

File Reference missing here

Support Reference(s)

Bare Act Reference(s)

Bare Rule Reference(s)

Created By/ Created on

Last Edited By/ Edited on

N/A/N/A

N/A/N/A

X

Compliance Content Controller: Bijay logged in

E-Compliance

- E-Complaints Compliance Task
- E-Complaints Group Admin
- E-Complaints Attributes
- E-Complaints Masters
- Common Compliance Library Attributes
- Act/Regulator Universe
- Other Common Settings
- Company Compliance content Library

Create Compliance content

- View Company Compliance content** (highlighted with a red circle)
- Compliance Department Mapping

Edit Compliance function missing.
We are working to design the functionality basis the Compliance creation available

Following Headers need to be added to this list of Optional Headers:

1. Category of Law
2. Nature of Law
3. Regulatory Authority
4. Jurisdiction Category
5. Country Name
6. State / Region Name
7. District / Locality Name
8. Compliance Record Type
9. Compliance Group
10. Compliance Notified Status
11. Frequency Period
12. Business Sector
13. Industry Type
14. Risk Classification
15. Any Additional Reference

Column Chooser

Drag a column here to hide it

Compliance Type	Keywords	Actions
Filing & Payment	ITR Business	View
Filing & Payment	N/A	View
Filing & Payment	N/A	View
Registers	N/A	View

Compliance Content Controller: Bijay logged in

COMPLETED

E-Compliance

- E-Complains Compliance Task
- E-Complains Group Admin
- E-Complains Attributes
- E-Complains Masters
 - Common Compliance Library Attributes
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 - Other Common Settings
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 - Compliance Department Mapping

Create Compliance Department Mapping

Update Compliance Department Mapping

Compliance Department Mapping

Select Type: Department-Location(s) Location-Department(s)

View Compliance Department Mapping

Drag a column header here to group by that column

Entity Name

Like this!!

Two changes required:

- Keep this option checked as default.
- Add Gaps between the radio button and option
- Enhance Font size for better visibility

Compliance Department Mapping

Select Type: Department-Location(s) Location-Department(s)

Select Department Type

Map to:

Select Entity

Select unit location*

Cancel

Compliance Content Controller: Bijay logged in

Here the selection is correct

COMPLETED

Since the User logged in “Bijay” is not associated with Entity Name: Neemus , then why is he seeing this Master List of Depart mapping. This should be removed unless the Logged in User is having access to see the data when mapped.

The screenshot shows the 'Compliance Department Mapping' page. On the left, a sidebar menu includes 'E-Compliance' and 'Create Compliance Department Mapping' (which is highlighted in blue). The main area shows a 'Compliance Department Mapping' section with a 'Select Type' dropdown set to 'Department-Location(s)'. A green callout box points to the 'Human Resources' department selection. Below it, a 'Map to:' section shows 'ProBuds Strategy Consulting' selected in a dropdown. A red callout box highlights this selection. The 'View Compliance Department Mapping' section displays a table with three rows, each showing 'Neemus Software Solutions' as the entity name, 'Hyderabad' as the unit location, and different department names ('Human Resources', 'Finance (Treasury)', and 'Risk (Credit)'). A red oval encircles the entire list of mappings. The bottom of the table shows a 'Count: 3' label.

Entity Name	Unit Location Name	Department
1 Neemus Software Solutions	Hyderabad	Human Resources
2 Neemus Software Solutions	Hyderabad	Finance (Treasury)
3 Neemus Software Solutions	Hyderabad	Risk (Credit)

Compliance Content Controller: Bijay logged in

- ☰ E-Compliance
- E-Complains Compliance Task
- E-Complains Group Admin
- E-Complains Attributes
- E-Complains Masters
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- Company Compliance content Library
- Compliance Department Mapping
- Activity Workgroup Creation
- Create Activity Workgroup
- Update Activity Workgroup
- Compliance user workgroup mapping
- Location Compliance Mapping
- Compliance User Mapping
- App Specific Configuration Settings

Create Activity Workgroup

Activity Workgroup Mapping:

COMPLETED

Name of Activity Workgroup *Company Internal Audit

Min 1 - Max 50 Characters

22/50

Select Department*

Department



Human Resources

Human Resources

Human Resources

Finance (Treasury)

Finance (Accounts)

Finance (Accounts)

Risk (Credit)

Operations

Operations

Entity



ProBuds Strategy Consulting

ProBuds Strategy Consulting

● Neemus Software Solutions

Neemus Software Solutions

ProBuds Strategy Consulting

ProBuds Strategy Consulting

● Neemus Software Solutions

ProBuds Strategy Consulting

ProBuds Strategy Consulting

Since the User logged in “Bijay” is not associated with Entity Name: Neemus , then why is he seeing this Master List of Depart mapping. This should be removed unless the Logged in User is having access to see the data when mapped.

Compliance Content Controller: Bijay logged in

Create Activity Workgroup

Activity Workgroup Mapping:

Name of Activity Workgroup *
Company Internal Audit

Min 1 - Max 50 Characters

COMPLETED

Description of Activity Workgroup
This Group undertakes all activities related to Internal Audit of Compliances

Min 1 - Max 150 Characters

Human Resources, Human Resources, Finance (Accounts), Finance (Accounts), Operations, Operations

Map Compliance User Roles:

Select Admin/Functional Role:

- End User Super Admin Group Admin Compliance Controller Remediator Reviewer Approver Monitor Compliance Auditor

No confirmation message appeared to confirm if the changes have been saved or not.

View User Workgroup

Drag a column header here to group by that column

Activit...	Entity Name	Unit Location Name	Department Name

No data

Count: 0

5 **10** 20 All

Back

The Header should mention: View Activity Workgroup details

Save

Compliance Content Controller: Bijay logged in

Need To Discuss

View User Workgroup

Activit...	Entity Name	Unit Location Name	Department Name
Drag a column header here to group by that column			
No data			
Count: 0			
5 10 20 All			

1. At the time of testing,
no Activity Workgroup
has been created yet.

Back

Compliance User Mapping

Select Compliance Select User Name Create user workgroup mapping

Update Review Monitor View Remediation Backup User

Compliance Mapping Configuration Compliance User Activity Mapping

user ...	user workgroup mapping name ...	user workgroup mapping Description ...	userActivityid ...	user(s) ...
No data				

Count: 0

5 10 20 All

Page 1 of 1 (0 items) < 1 >

Administrator
Vishnu Vardhan
Bharti
Akhil
Kavya
Ganesh Vardhan
Shyam Kumar
Tarun Hira
Arun Kumar
Jaiveer Singh
DK Singla
Ramesh Jairam

3. But still in the list of 'Update Users', a list of Users appear, that too without any mapping.
As per FRS, The Compliance Controller will need to search and select Single User from the User Master that is mapped for 'Compliance Review Activity'.

E-Compliance

- E-Complains Compliance Task
- E-Complains Group Admin
- E-Complains Attributes
- E-Complains Masters
- Common Compliance Library Attributes
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- Company Compliance content Library
- Compliance Department Mapping
- Activity Workgroup Creation
- Create Activity Workgroup
- Update Activity Workgroup
- Compliance user workgroup mapping
- Create user workgroup mapping
- update user workgroup mapping

Create User Activity Workgroup

Name of User Workgroup Mapping *

Min 1 - Max 50 Characters

Select Activity*

Map Compliance User(s)

Select User(s)*

View User Workgroup Mapping

Drag a column header here to group by that column

user ...	user workgroup mapping name ...	user workgroup mapping Description ...	userActivityid ...	user(s) ...
No data				

Count: 0

5 10 20 All

Page 1 of 1 (0 items) < 1 >

2. At the time of testing,
no User Workgroup has
been created yet.

CCT-09.1.3

Compliance User Activity Mapping:

- IMPORTANT:** The Compliance Controller will be able to map 'Compliance Users' to the selected Company Compliance Line Item(s) as per the mapping of User Roles has been done.
- VERY IMPORTANT:** Every mapping of User will require dynamic validation.
- Update Activity** [User Selection; Mandatory]: The Compliance Controller will need to search and select Single User from the User Master that is mapped for 'Compliance Updation Activity'.

IMPORTANT: The User mandatorily needs to be mapped to the same 'Compliance Locational Mapping Identification' that the compliance line item is selected for.

My Testing has stopped at this level as due to
Activity Workgroup Mapping not getting
saved, further step process cannot be
checked.