# Business Requirements Document

## 1. Project Overview

Project Name: COMPLIANCE CALENDAR

Project Manager:

Project Sponsor: EXPERION TECHNOLOGIES

Date:

## 2. Purpose of the Document

- This document provides a detailed description of the project's goals and objectives, ensuring that all stakeholders have a clear and shared understanding of what the project aims to achieve.
- It aligns the project with the organization's strategic goals, ensuring that the project contributes effectively to the overall business objectives.
- It captures the specific business requirements and functionalities that the project must meet. These requirements serve as a baseline for design, development, and testing phases.
- Provides a clear roadmap for the development team.
- Specify non-functional aspects, data considerations and constraints.

## 3. Project Objectives

**Administrative Dashboard Development**

- Develop and deploy an administrative dashboard to provide centralized oversight of statutory filing processes.
- Offer an overview of filing progress, highlighting open, closed and pending filings.
- Display statistics of each filing status.

**Department Associated Calendar Development**

- Develop a user-friendly calendar allowing employees to view filing deadlines.
- Enable real-time tracking of filing statuses.

**Precise notification and alerting system**

- Precise reminder system for users of each department 5 days before and on the date of filing.
- Alerting system for pending filings.

**User management system**

- Enable super users to manage users effectively.
  - → Add users.
  - → Delete users.
  - → Add user permissions.
  - → Delete user permissions.
  - → Add filings.
  - → Edit filing details.
  - → Delete filings.

**Permission based access**

- Enables users to only access pages they are permitted to view.
- Permissions to be set by only super-user.

**Filings management system**

- Enables users to change the status of filings.
- Enables admin to add new filings and change descriptions and timings.
- Enables user to upload filing documents and store them securely.
- Enables user and admin to view filing documents whenever necessary.

# 4. Scope Definition

**User Interfaces:**

- Development of dedicated screens for HR, Finance, and Company Secretary departments.
- User-friendly interface for POCs to view, update, and manage filings.
- Input forms for filing details and completion status.

**Automated Reminder System:**

- Configuration of automated reminders for upcoming filing due dates.
- Notifications to POCs and stakeholders if due dates are missed.

**Document Management:**

- Creation of a secure document repository to store filing documents.

- Implementation of access control to ensure secure document retrieval.
- Development of a search mechanism to easily locate specific documents.

**Dashboards:**

- Development of leadership/management dashboards.
- Real-time overview of filing statuses, including pending and completed filings.
- Insights and alerts for overdue filings.

**Database Integration:**

- Design and implementation of a database to store filing details and documents.
- Ensuring data integrity and security.

# 5. Stakeholders

**Primary Stakeholders: Company Secretary, General Manager F&A, COO**

**Company Secretary**

- **Role:** The Company Secretary's primary focus is to efficiently manage and oversee statutory filings within the organization. They play a crucial role in keeping statutory registers up to date and ensuring that all required documents are filed on time.

- **Interest:** The Company Secretary aims to streamline statutory filing through automation, guaranteeing punctual submissions, and leveraging a centralized platform to effectively oversee and uphold compliance across all organizational requirements and regulations.

- **Benefits:** The Company Secretary benefits from increased efficiency, timely statutory filings, improved compliance management, reduced administrative burden, and enhanced ability to analyze filings on a department basis.

**General Manager F&A**

- **Role:** The GM of F&A oversees financial planning, reporting, cash flow, risk management, compliance, cost control, and team leadership, ensuring the organization's financial stability and strategic growth.

- **Interest:** The GM of Finance aims to enhance financial operations through automation, ensure prompt reporting, and utilize a centralized system to monitor and maintain financial compliance and regulatory adherence.

- **Benefits:** The GM benefits from increased efficiency of compliance management and enhanced ability to analyze filings on a department basis.

## Chief Operating Officer

- **Role:** The COO ensures adherence to laws and regulations, implements compliance programs, monitors internal controls and maintains ethical standards throughout the organization.

- **Interest:** The COO strives to have an automated system for financial operations and compliance where centralization of filings done by different departments are available and can be monitored.

- **Benefits:** The COO benefits from improved efficiency in the field of Compliance and timely compliance filings.

## Secondary Stakeholders: F&A Department, HR Department

## F&A Department

- **Role:** The F&A Department prepares data for statutory filings within deadlines, ensures legal procedures are concluded promptly, and manages various related responsibilities crucial to compliance and regulatory adherence within the organization.

- **Interest:** The F&A Department aims for statutory filing through automation, guaranteeing punctual submissions, and leveraging a centralized platform to effectively oversee and uphold compliance across all organizational requirements and regulations for the task owners.

- **Benefits:** The F&A Department gains enhanced operational efficiency, punctual completion of filings, better oversight of compliance, decreased administrative workload, and improved capacity to analyze filings within departments.

## HR Department

- **Role:** The HR Department prioritizes administrative management of company filings pertaining to the workforce, ensuring timely completion by designated task owners. This includes handling personnel records, regulatory submissions, and compliance documentation essential for organizational operations and legal requirements.

- **Interest:** The HR Department strives to automate statutory filing processes, ensuring submissions are timely and leveraging a centralized platform to effectively manage compliance across all organizational requirements and regulations assigned to task owners.

- **Benefits:** The HR Department experiences improved efficiency, ensures filings are completed punctually, maintains rigorous compliance oversight, reduces administrative burdens, and enhances its ability to analyze departmental filings.

## 6. Current Business Environment

In the current business environment, managing and tracking departmental filings is critical for compliance and organizational efficiency. The existing system relies heavily on Excel sheets, each listing the filings due for respective departments, along with their corresponding due dates. While this approach serves as a basic tracking mechanism, it presents several challenges and limitations:

1. **Manual Tracking and Reminders**: Each department's representative is responsible for monitoring their specific filings, which often means they must remember to regularly check the Excel sheets to ensure compliance with due dates. This manual process is prone to human error, including missed deadlines and incomplete filings.
2. **Lack of Automated Alerts**: Since the system relies on manual updates, there are no automated reminders or alerts to notify representatives of impending deadlines. This absence of proactive notifications increases the risk of oversight, potentially leading to non-compliance and associated penalties.
3. **Editing and Data Integrity Risks**: The current setup allows anyone with access to the Excel sheets to edit the status of filings. This open-access policy can lead to unauthorized or accidental changes, compromising the integrity of the data. Inconsistent or inaccurate updates can result in confusion and delays.
4. **Difficulty in Coordination and Oversight**: With multiple departments using their own separate Excel sheets, central oversight becomes challenging. There's no streamlined way to consolidate and review the status of filings across the organization, making it harder for management to get a holistic view and ensure all filings are on track.
5. **Limited Collaboration and Communication**: Excel sheets are not inherently collaborative. While multiple users can access and edit the documents, there is no built-in mechanism for real-time communication or tracking of changes, making collaboration cumbersome and often requiring additional tools or communication methods.

## 7. Business Requirements

| Requirement ID | User Type | Description | Business Benefit | Priority | Dependencies |
|---|---|---|---|---|---|

| RQ-001 | Super-user | Add, Edit or Delete Filings | Provides a clear and manageable filing trail, where changes are overseen and recorded by a small group of responsible individuals, making it easier to track modifications. | High | User roles and permissions, Editing interface |
|---|---|---|---|---|---|
| RQ-002 | Super-user | Add or Remove users | Allowing super users to manage user access enhances security and operational efficiency by centralizing control, ensuring compliance, and maintaining system integrity, while also streamlining onboarding and offboarding processes to minimize disruptions and maintain productivity. | High | User roles and permissions. |
| RQ-003 | Super-user / Supervisors | Analytics dashboard | Provides an overview of filings status count. Provides sorting options according to different parameters. | High | Data collection and sorting. |
| RQ-004 | Super-user | Set user permissions | Provides centralized control over user privileges and permissions which helps maintain system integrity and enhances security. | High | User roles and permissions and database structure. |
| RQ-005 | HR, Finance, CS | Automated reminder notifications for upcoming filing due dates. | Ensures timely compliance and reduces risk of missed deadlines. | High | Calendar system, Email/SMS service for notifications. |
| RQ-006 | HR, | Department | Provides clear visibility | High | Data collection |

| | | | | | |
|---|---|---|---|---|---|
| | Finance, CS | related dashboards. | into compliance status for management. Provides sorting options according to different parameters. | | and sorting. |
| RQ-007 | HR, Finance, CS | Statutory filing list | Simplifies tracking and managing filing and editing obligations. | High | User interface design, Database of statutory filings. |
| RQ-008 | All users | Document repository | Centralizes storage for easy access and compliance proof. Supports audit preparation and historical data analysis. | High | User access and permissions, Secure storage system, Document management system. |
| RQ-009 | All users | Filing search | Enhances efficiency in finding and retrieving specific filings and specific documents. | Medium | Search engine, Metadata tagging system. |
| RQ-010 | POC (HR, FINANCE, CS) | Document upload | Ensures all documents are systematically stored and accessible. | High | Upload functionality, Secure file storage. |
| RQ-011 | POC (HR, FINANCE, CS) | Status update | Keeps the system updated with the latest compliance status. | High | Status tracking mechanism, User interface for updates. |
| RQ-012 | Management | Automatic alerts | Increases accountability and ensures follow-up on missed filings. | High | Notification system, Contact list for stakeholders. |
| RQ-013 | HR, Finance, CS | Allow customization of notification settings (frequency, type) for individual | Increases user control and enhances notification effectiveness. | Low | Notification system, User preference settings |

| | | | | | |
|---|---|---|---|---|---|
| | | users. | | | |
| RQ-014 | All Users | Implement a secure login system requiring username and password for access. | Ensures that only authorized users can access the system. | High | Authentication system, Secure password policies. |
| RQ-015 | All Users | Password change | Enhances security by enabling users to regularly update passwords. | Medium | User account management, Secure password policies. |
| RQ-016 | All Users | Provide clear feedback on unsuccessful login attempts, such as incorrect passwords. | Improves user experience and helps resolve login issues quickly. | Medium | Error messaging system, User account status checks. |
| RQ-017 | All users | Implement session timeout and automatic logout after a period of inactivity to enhance security. | Protects against unauthorized access from unattended sessions. | Medium | Session management system, Inactivity detection. |
| RQ-018 | HR, Finance, CS | Display calendar | Provides a clear visual representation of filing schedules. | High | Calendar system, Database of filing deadlines. |
| RQ-019 | Super- user and Supervis ors | Display total calendar | Provides a clear visual representation of filing schedules. | High | Calendar system, Database of filing deadlines. |
| RQ-020 | All users | Highlight filings | Enhances visibility and | High | Calendar |

| | | status. | prioritization of urgent compliance tasks. | | system, Status tracking mechanism. |
|---|---|---|---|---|---|
| RQ-021 | All users | Filing status pop-up | Facilitates quick access to filing details and updates. | High | Calendar system, Detailed filing records interface. |

## 8. Functional Requirements

**Function ID:** FR-001

**Function Description:** The system shall allow authorized super-users to add, edit, or delete filings.

**Associated Business Requirement ID:** RQ-001

**Acceptance Criteria:**

- Super-users can create new filings by entering all necessary details through a user-friendly interface.
- Super-users can edit existing filings by modifying relevant information through the editing interface.
- Super-users can delete filings with proper confirmation, including details about the deleted filing and user who deleted it, for audit trails.
- The system displays a clear and user-friendly interface for adding, editing, and deleting filings.

**Dependencies:** User roles and permissions, Editing interface functionality.

**Function ID:** FR-002

**Function Description:** The system shall allow authorized super-users to add or remove users from the system.

**Associated Business Requirement ID:** RQ-002

**Acceptance Criteria:**

- Super-users can invite new users by providing required information (e.g., username, email address, role).
- Super-users can deactivate or delete existing user accounts.
- The system verifies new user information for validity before account creation.
- The system prompts super-users for confirmation before permanently deleting a user account.
- The system prompts a clear and user-friendly interface for managing users.

**Dependencies:** User roles and permissions, User account management system.

**Function ID:** FR-003

**Function Description:** The system shall provide an analytics dashboard for authorized super-users and supervisors.

**Associated Business Requirement ID:** RQ-003

**Acceptance Criteria:**

- The dashboard displays an overview of filings with counts categorized by status (e.g., submitted, pending, overdue).
- Super-users and supervisors can sort and filter the data according to various parameters (e.g., filing type, department).
- Only super-users and supervisors can access the dashboard.
- Data updates in real-time.

**Dependencies:** Data collection and sorting functionalities, User roles and permissions.

**Function ID:** FR-004

**Function Description:** The system shall allow authorized super-users to set user permissions for different user roles.

**Associated Business Requirement ID:** RQ-004

**Acceptance Criteria:**

- Super-users can define user roles with specific permissions for accessing and interacting with the system functionalities (e.g., adding filings, viewing reports).
- The system offers a user-friendly interface for super-users to manage user roles and permissions.
- Permission settings are securely stored within the database.

**Dependencies:** User roles and permissions functionalities, Database structure for user permissions.

**Function ID:** FR-005

**Function Description:** The system shall generate automated reminder notifications for upcoming filing due dates and send them to designate users (e.g., HR, Finance, CS) via email.

**Associated Business Requirement ID:** RQ-005

**Acceptance Criteria:**

- The system automatically identifies approaching filing deadlines based on pre-configured schedules.
- Notifications are sent to relevant users associated with the filing according to their department affiliation.
- Notifications clearly display the filing name, due date, and relevant details.
- The system tracks notification deliveries and provides options to resend if necessary.

**Dependencies:** Calendar system integration, Email service integration for notifications, User preference settings functionality.

**Function ID:** FR-006

**Function Description:** The system shall provide department-specific dashboards for HR, Finance, and CS personnel.

**Associated Business Requirement ID:** RQ-006

**Acceptance Criteria:**

- HR, Finance, and CS personnel can access dashboards specific to their departments.
- The dashboards display an overview of departmental filing statuses (e.g., submitted, pending, overdue).
- Users can sort and filter the data according to various parameters (e.g., filing type, due date).
- The dashboard presents the information visually using charts or graphs for easy comprehension.

**Dependencies:** Data collection and sorting functionalities, User roles and permissions.

**Function ID:** FR-007

**Function Description:** The system shall provide a comprehensive list of statutory filings for easy reference.

**Associated Business Requirement ID:** RQ-007

**Acceptance Criteria:**

- The system maintains a searchable and up-to-date list of statutory filings.
- The list includes details about each filing, such as description, due dates, and responsible departments.
- The user interface allows for easy navigation and filtering of the filing list.

**Dependencies:** User interface design, Database of statutory filings.

**Function ID:** FR-008

**Function Description:** The system shall provide a secure document repository for storing filing-related documents

**Acceptance Criteria:**

- Users with appropriate permissions can upload various document formats (e.g., PDF, DOCX) relevant to filings.
- The system validates uploaded documents for size and file type restrictions to ensure compatibility.
- Uploaded documents are securely stored and associated with the corresponding filing for easy retrieval.
- Users can search and access documents within the repository based on defined criteria (e.g., filing name, keywords).
- The system maintains an audit trail for document uploads and access attempts.

**Dependencies:** User access and permissions, Secure storage system, Document management system.

**Function ID:** FR-009

**Function Description:** The system shall allow users to search for specific filings and documents within the repository.

**Associated Business Requirement ID:** RQ-009

**Acceptance Criteria:**

- Users can enter keywords or filing names into a search bar.
- The system retrieves relevant filings and documents based on the search criteria.
- Search results are displayed in a clear and organized manner, allowing users to easily identify the information they need.
- The system offers advanced search options to refine results by specific parameters (e.g., filing type, date range).

**Dependencies:** Search functionality, Metadata tagging system for documents.

**Function ID:** FR-010

**Function Description:** The system shall allow users with appropriate permissions (e.g., HR, Finance, CS) to upload documents related to filings. (Already defined previously)

**Function ID:** FR-011

**Function Description:** The system shall allow users with appropriate permissions to update the status of filings.

**Associated Business Requirement ID:** RQ-011

**Acceptance Criteria:**

- Users can update the filing status from a predefined list of options (e.g., open, pending review, overdue).
- The system tracks changes to filing status and maintains an audit trail for historical reference.
- Users can provide comments or justifications for status updates.

**Dependencies:** Status tracking mechanism, User interface for status updates, User roles and permissions.

**Function ID:** FR-012

**Function Description:** The system shall generate automatic alerts for missed filing deadlines and notify designated stakeholders.

**Associated Business Requirement ID:** RQ-012

**Acceptance Criteria:**

- The system identifies overdue filings based on pre-configured deadlines.
- Automatic alerts are sent to designated stakeholders (e.g., managers, super-users) via email.
- Alerts clearly specify the overdue filing name, due date, and responsible department.
- The system offers options to acknowledge receipt of alerts and track their resolution.

**Dependencies:** Notification system (email) functionality, Contact list for stakeholders, Calendar system integration.

**Function ID:** FR-013

**Function Description:** The system shall allow users to customize notification settings, including frequency and type, for individual users.

**Associated Business Requirement ID:** RQ-013

**Acceptance Criteria:**

- Users can access their notification settings within the user profile.
- Users can choose their preferred notification method (e.g., email or SMS) for different types of alerts (e.g., filing reminders, overdue notices).
- Users can adjust the frequency of notifications (e.g., daily, weekly) to suit their preferences.

**Dependencies:** Notification system functionality, User preference settings functionality.

**Function ID:** FR-014

**Function Description:** The system shall implement a secure login system requiring username and password for access.

**Associated Business Requirement ID:** RQ-014

**Acceptance Criteria:**

- Users can log in to the system using a unique username and password.
- The system enforces strong password policies to ensure account security (e.g., minimum password length, character complexity requirements).
- The login system uses strong encryption for credentials.
- Login attempts are logged, and the system implements measures to prevent unauthorized access (e.g., account lockout after multiple failed attempts).

**Dependencies:** Authentication system functionality, Secure password policies.

**Function ID:** FR-015

**Function Description:** The system shall allow users to change their passwords periodically.

**Associated Business Requirement ID:** RQ-015

**Acceptance Criteria:**

- Users can access a password change function within their user profile.
- The system requires users to enter their current password and then define a new password that meets security requirements.
- The system prompts users to update their passwords after a certain period of inactivity.

**Dependencies:** User account management functionality, Secure password policies.

**Function ID:** FR-016

**Function Description:** The system shall provide clear feedback on unsuccessful login attempts, such as incorrect passwords.

**Associated Business Requirement ID:** RQ-016

- **Acceptance Criteria:**
- The system displays informative error messages for failed login attempts, specifying the reason for failure (e.g., incorrect username, invalid password).
- Error messages avoid providing clues to potential attackers (e.g., not revealing if the username or password is incorrect).

**Dependencies:** Error messaging system functionality, User account status checks.

**Function ID:** FR-017

**Function Description:** The system shall implement session timeout and automatic logout after a period of inactivity to enhance security.

**Associated Business Requirement ID:** RQ-017

**Acceptance Criteria:**

- The system automatically logs out users after a predefined period of inactivity.
- Users receive a warning notification before automatic logout to allow them to save their work.
- Users can configure their preferred session timeout duration within their profile settings (if applicable).

**Dependencies:** Session management system functionality, Inactivity detection.

**Function ID:** FR-018

**Function Description:** The system shall display a calendar view for HR, Finance, and CS personnel to visualize upcoming filing deadlines.

**Associated Business Requirement ID:** RQ-018

**Acceptance Criteria:**

- The calendar view displays upcoming filing deadlines for relevant departments (HR, Finance, CS).
- Users can filter the calendar by department, filing type, or date range.
- The calendar view provides clear visual cues to highlight approaching deadlines (e.g., color coding).

**Dependencies:** Calendar system functionality, Database of filing deadlines.

**Function ID:** FR-019

**Function Description:** The system shall display a total calendar view for super-users and supervisors, providing a comprehensive overview of all filing deadlines.

**Associated Business Requirement ID:** RQ-019

**Acceptance Criteria:**

- Super-users and supervisors can access a comprehensive calendar view encompassing all filing deadlines across departments.
- The calendar offers filtering options to focus on specific departments or filing types.
- The system utilizes visual cues to highlight critical deadlines and potential bottlenecks.
- **Dependencies:** Calendar system functionality, Database of filing deadlines, User roles and permissions.

**Function ID:** FR-020

**Function Description:** The system shall highlight the filing status within the calendar view to prioritize urgent compliance tasks.

**Associated Business Requirement ID:** RQ-020

**Acceptance Criteria:**

- The calendar view integrates filing statuses with deadlines (e.g., overdue filings are highlighted prominently).
- Users can easily identify approaching deadlines and prioritize tasks based on filing status.
- The system offers options to view details and take actions (e.g., upload documents) for specific filings directly from the calendar view.
- **Dependencies:** Calendar system functionality, Status tracking mechanism.

**Function ID:** FR-021

**Function Description:** The system shall provide a pop-up window displaying filing details upon hovering over a specific deadline within the calendar view.

**Associated Business Requirement ID:** RQ-021

**Acceptance Criteria:**

- Hovering over a specific deadline in the calendar view triggers a pop-up window displaying key information about the filing.
- The pop-up window includes details such as filing name, due date, status, and responsible department.
- Users can access additional details or take actions (e.g., edit filing) directly from the pop-up window (if applicable).

**Dependencies:** Calendar system functionality, Detailed filing records interface.

## 9. Non-Functional Requirements

**Requirement ID: NFR001**

Description: Performance

Priority: High

Dependencies: Scalable infrastructure, Load balancing

Acceptance Criteria:

- The time taken for the following actions must be less than 8 seconds.
- User authentication and login to the respective page.
  - Fetching data from the database to display in the application.

**Requirement ID: NFR002**

Description: Security

Priority: High

Dependencies: Encryption tools, Authentication methods

Acceptance Criteria:

- Important details like simple users should be abstracted from the overall calendar and dashboard.
- Different user roles must have various levels of access to data.

- Login authentication must be present.

**Requirement ID: NFR003**

Description: Usability

Priority: High

Dependencies: Color scheme and font chosen, UI development

Acceptance Criteria:

- The user interface must be visually appealing and readable.
- The users must be able to navigate between screens without any external help.

**Requirement ID: NFR004**

Description: Scalability

Priority: Medium

Dependencies: Resource utilization, Availability of resources

Acceptance Criteria: Modular architecture, Clear documentation

- The application must not crash when the number of users increases.
- The application's response time should not increase as the number of users increases.

**Requirement ID: NRF005**

Description: Maintainability

Priority: Medium

Dependencies: Modular architecture, Clear documentation

Acceptance Criteria:

- Change in one module should not result in error in other modules.

**Requirement ID: NRF006**

Description: Browser Compatibility

Priority: Medium

Dependencies: Cross-browser testing

Acceptance Criteria:

- Should work in multiple browsers without bugs.
- UI should not break in any browser.

## 10. Data Requirements

Data Element: Statutory Filings Data

Description: The list of all the statutory filings from the company of all the departments.

Source: Company Secretary Records

Format: Structured format, potentially as spreadsheet.

Dependencies: CS database of filings records.

Data Element: Data of filings from HR Department

Description: Filings done under the HR Department with filings list, date, and particulars.

Source: HR Filings Records

Format: Structured format, potentially as spreadsheet.

Dependencies: HR database of Filings.

Data Element: Data of filings from F&A Department

Description: Filings done under the F&A Department filings list, date, and particulars.

Source: F&A Filings Records

Format: Structured format, potentially as spreadsheet.

Dependencies: F&A database of Filings.

Data Element: Task Owners Data

Description: Details of the task owners assigned for each of the filings.

Source: Company Secretary Database

Format: Structured format, potentially as spreadsheet.

Dependencies: CS database of filings records.

Data Element: User Access and Permissions

Description: Details of each intended user and their extent of access permissions.

Source: Company Secretary Database

Format: Structured format, potentially in a database or spreadsheet.

Dependencies: CS database of filings records.

## 11. Constraints and Assumptions

**Constraints**

**Timeline:**

- The project has a fixed timeline for completion. Delays in any phase of the project could impact the overall schedule and delivery date.

**Resource Availability:**

- The availability of key resources, including project team members, stakeholders, and subject matter experts, may be limited, impacting project progress.

**Compliance and Regulatory Requirements:**

- The system must adhere to all relevant compliance and regulatory requirements, which may impose certain limitations on the design and functionality of the system.

**Data Security:**

- All data, especially sensitive compliance and financial data, must be stored securely and in compliance with data protection regulations. This constraint may affect system design and implementation.

**Integration with Existing Systems:**

- Integration with existing internal systems (e.g., HR, Finance software) must be seamless, and any incompatibilities need to be addressed within the project constraints.

**User Training:**

- Comprehensive user training sessions must be conducted within a limited timeframe, requiring efficient planning and execution.

**Assumptions**

**Stakeholder Commitment:**

- All key stakeholders will be available for timely decision-making, feedback, and approvals throughout the project lifecycle.

**User Adoption:**

- End-users will be cooperative and willing to adopt the new system, provided adequate training and support are given.

**Data Accuracy:**

- The data provided for the initial setup and ongoing use of the system will be accurate and up-to-date.

**Infrastructure:**

- The current IT infrastructure is sufficient to support the new system without requiring significant upgrades or changes.

**Availability of Documentation:**

- Necessary documentation and information required for system design and implementation will be readily available.

**Third-Party Dependencies:**

- Any third-party software or services required for the project will be reliable and available without major interruptions or issues.

**Project Team Expertise:**

- The project team possesses the necessary skills and expertise to execute the project effectively without requiring extensive external consultancy.

**Change Management:**

- There will be a structured change management process in place to handle any scope changes or additional requests efficiently.

## 12. Risk Analysis

Access Controls and Permissions:

- Description: Improperly configured permissions could allow unauthorized users to access sensitive information.
- Impact: Unauthorized access can lead to data breaches, misuse of information, and potential legal issues.
- Mitigation: Conduct regular permission audits, implement stringent access controls and authentication.

Operational Challenges:

- Description: Overlapping roles and responsibilities could lead to confusion and operational inefficiencies.
- Impact: Role conflicts can lead to delays, filing errors, and reduced efficiency, impacting the overall productivity and effectiveness of the compliance process.
- Mitigation: Clearly define roles and responsibilities and implement role-specific access controls for clarity and security in task management.

Resource Constraints:

- Description: Insufficient time or personnel may hinder the development, upkeep, and support of the dashboard.
- Impact: Update delays, troubleshooting, and user assistance, ultimately affecting user satisfaction.
- Mitigation: Allocate resources wisely and prioritize critical tasks to maximize efficiency, meet deadlines, and ensure smooth project execution without unnecessary delays.

## 13. Sign-off and Approvals

Provide space for relevant stakeholders to review and sign off on the document.

| Name | Role | Date | Sign-Off |
|------|------|------|----------|
| Deepak R | Mentor | | |
| | | | |
| | | | |

## 14. Document Revision History

| Version | Date | Reviewer | Change Description |
|---------|------|----------|--------------------|
| 0.1 | 11-06-2024 | Team Members | Created the Initial Draft |
| 0.2 | 12-06-2024 | Team Members | Requirements and functionalities of the administrative dashboard were added. |
| 0.3 | 13-06-2024 | Team Members | Requirements and functionalities of the calendar were added. |
| 0.4 | 14-06-2024 | Team Members | Requirements and functionalities of the notification and alerting system were added. |
| 0.5 | 17-06-2024 | Team Members | Added the High-Level Design Diagram. |

## 15. Appendix

Flowchart
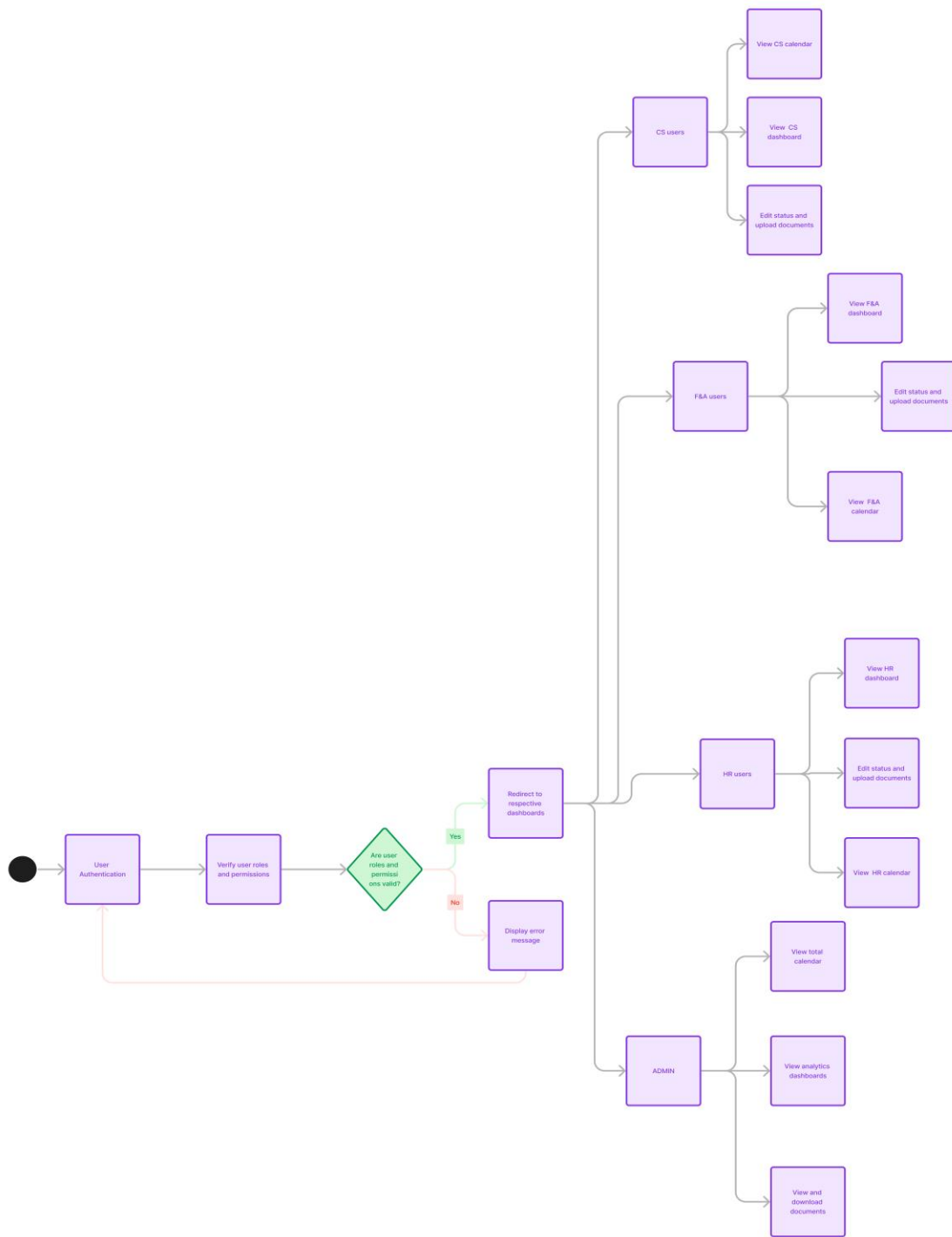
User Dashboard

Admin Dashboard

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                                        ┌──────────────────┐
                                        │ View filtered    │
                                        │ filings by       │
                                        │ filing status    │
                                        └──────────────────┘
```
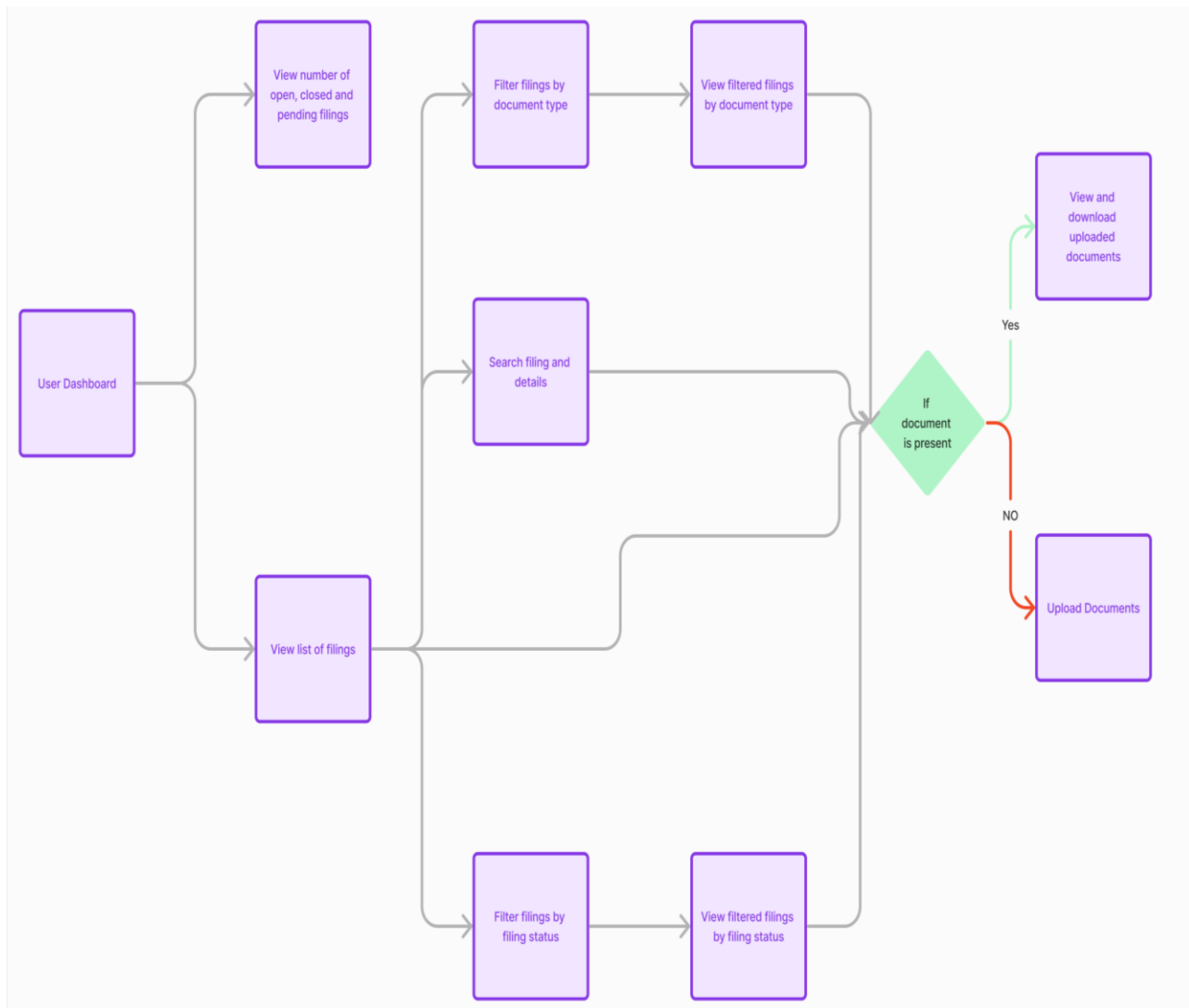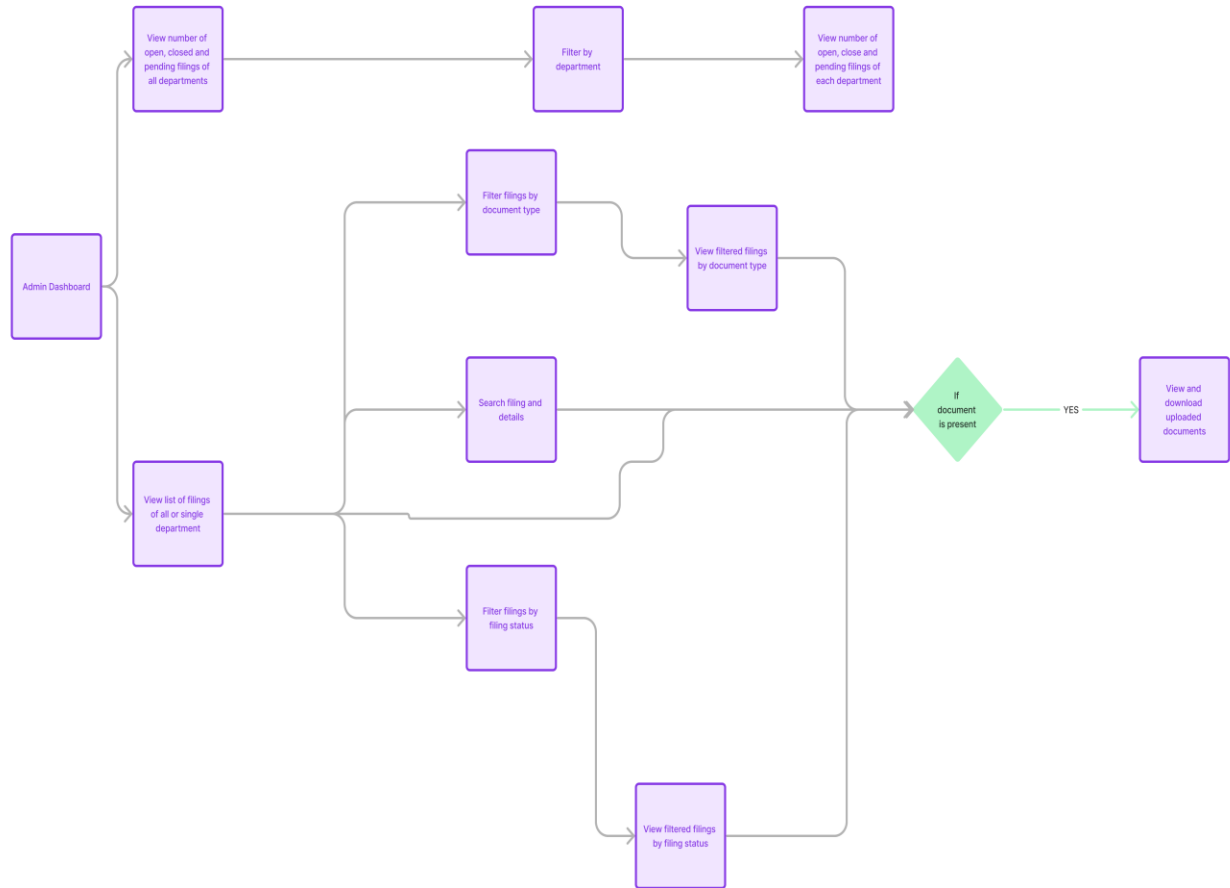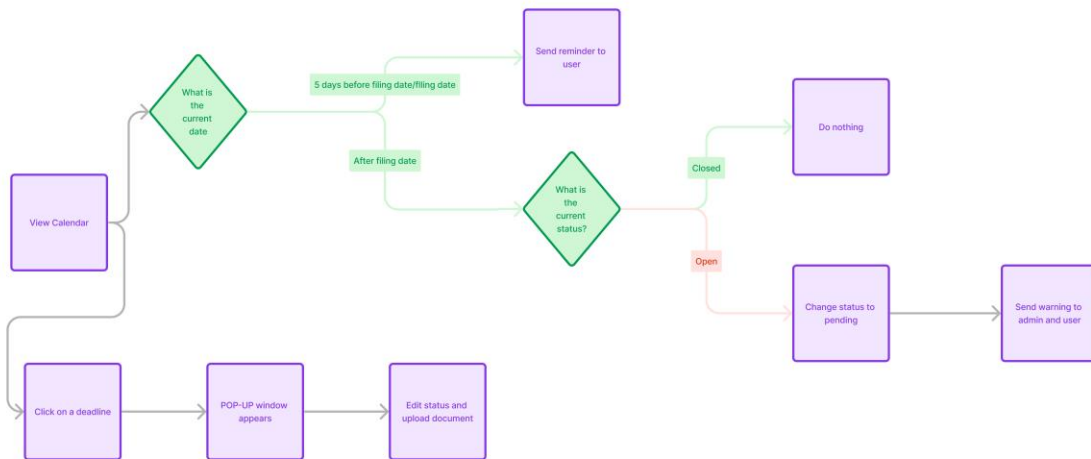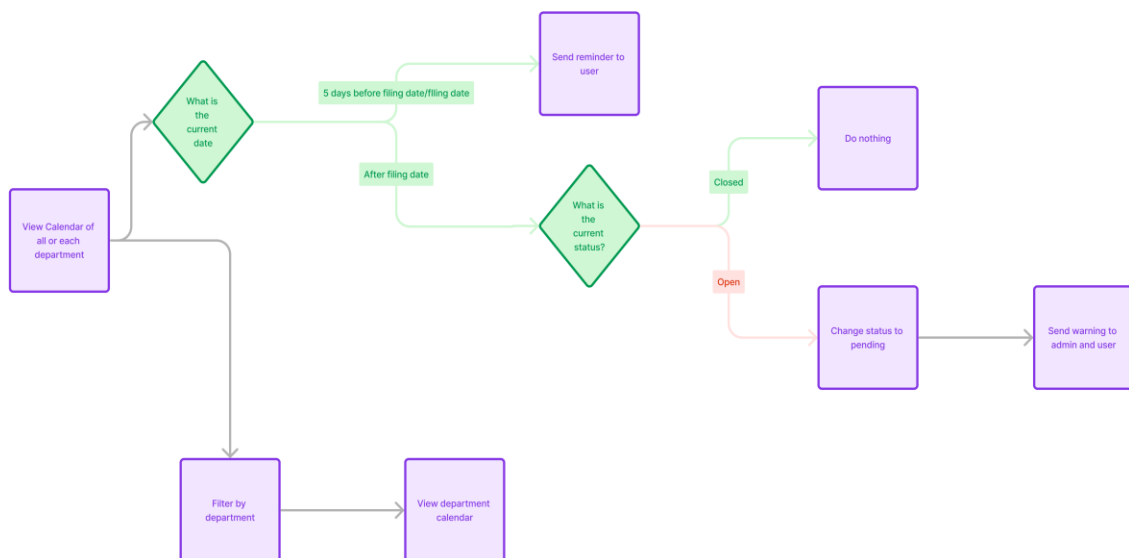
User Calendar

## Admin Calendar



## Super User Flowchart