Simpliance®
Remo

User Guide

We thank you for choosing Simpliance Remo and for trusting in us. Your support and trust are much appreciated and we hope we keep meeting your expectations.

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Monthly Report of Recent Economic and Financial Developments

1. Overview

What is Simpliance Remo?

A single end-to-end E-Compliance management platform that enables companies of all sizes to continuously and confidently maintain compliance to avoid penalties, reputational damage, or the inability to operate in a key market by identifying, prioritizing, and assign accountability for managing existing or potential threats related to legal or policy non-compliance or ethical misconduct.

Which devices does Simpliance Remo support?

You can install Simpliance Remo on any mobile device, PCs & Laptops that have iOS (iPhone, iPad, iPod) and Android (mobile phones, Laptops, Desktops, and tablets) operating systems.

PRODUCT OVERVIEW

- E-compliance platform: Simpliance Remo
- Application Model: SAAS
- Application Hosted: On Cloud
- One-stop solution for all your compliance requirements and problems
- Tracks & Triggers compliance tasks that have to be completed as per the schedule
- Accessible anywhere as it is on Cloud
- Virtual Data room for storage of your compliance records

How does it work?

- Performs defined functions as per State & Central Legislations
- Provides Compliance Tracking System for predefined multiple users
- Proactive risk evaluation and compliance management with Inbuilt triggers, escalations, and notifications

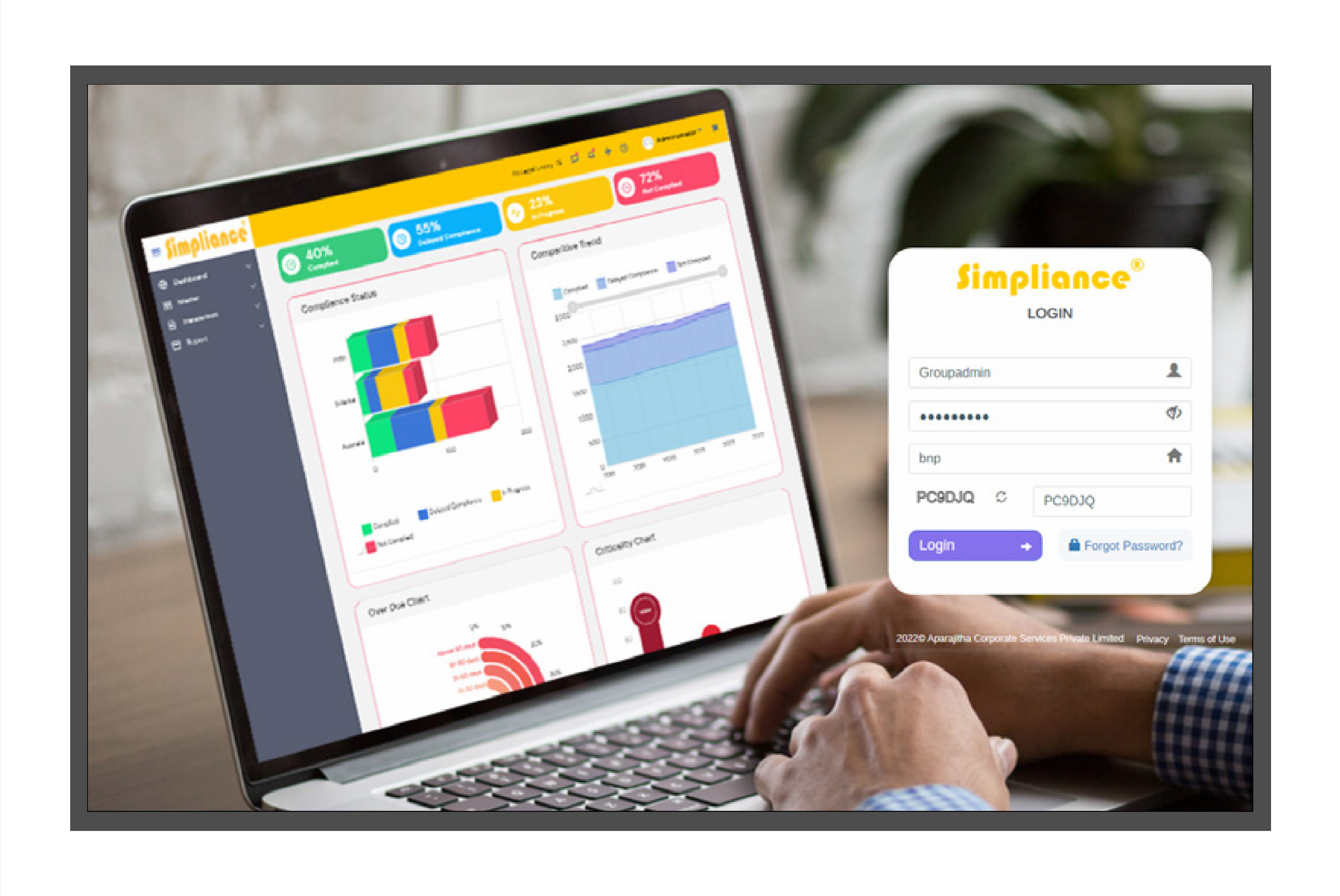
Operational Highlights:

- Knowledge updates on new enactments on a periodic basis
- Comprehensive & Complete knowledge repository for compliance
- Centralized access to all your compliance records online

3. Login Page

To use Simpliance Remo, you need to create a unique user ID and password to complete the registration process to log in to its Portal.

Once the users are created by Admin, the registration link will be valid for 48 hours. You have to register and create login credentials before validity gets expired. If the registration link expires, you need to approach the Admin user to resend the link.



Enter the User

- ❖ Enter the User Id and Password.
- ❖ Enter the captcha given.
- ❖ Click Login.

Now having registered, user can use the credentials to login Simpliance Remo,

- ❖ Enter the login credentials in https://login.simplianceglobal.com to login into Simpliance Remo.

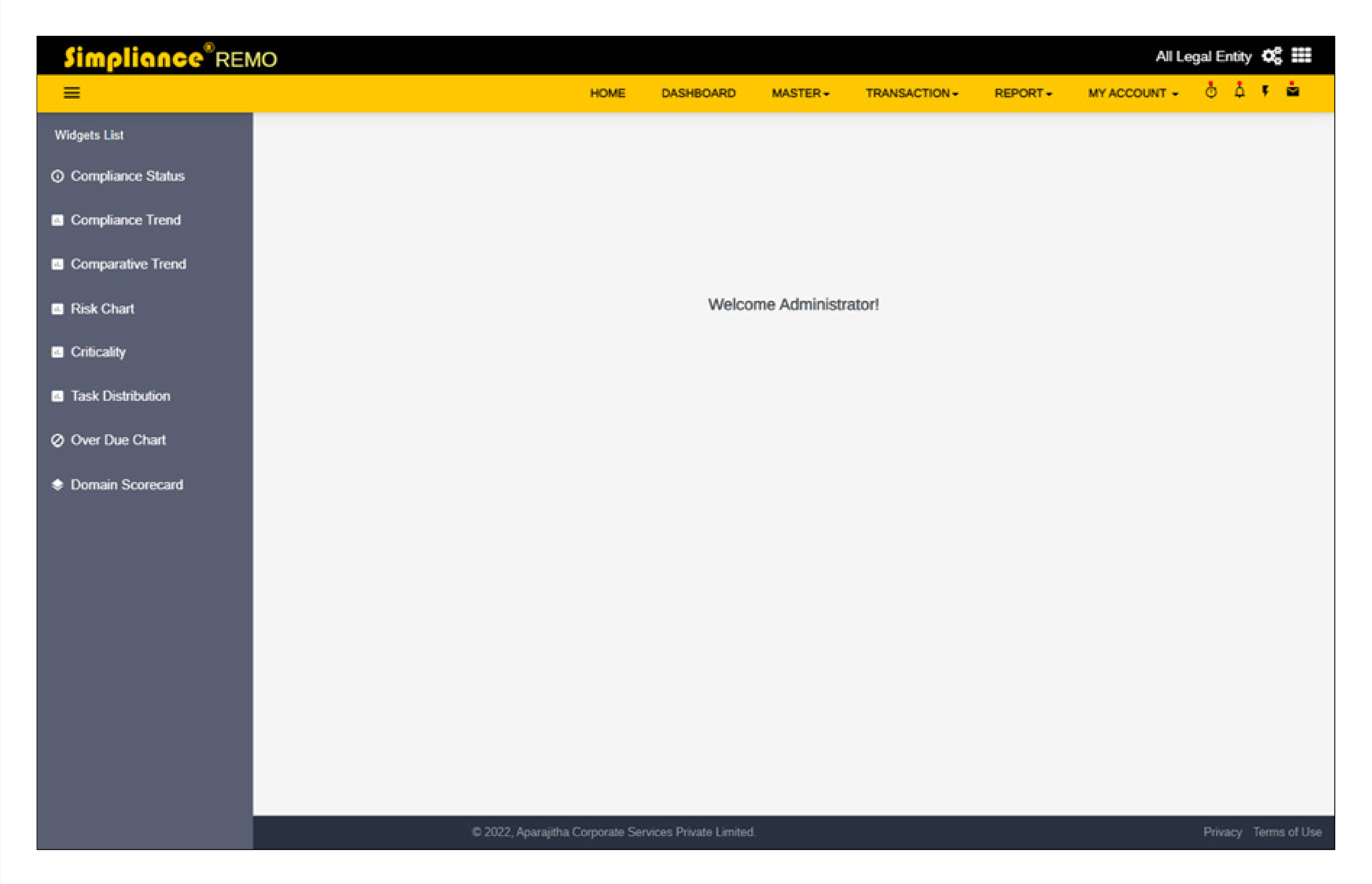
- ❖ Select either a particular legal entity or all legal entities.

3. Home Page

After logging into Simpliance Remo, you can view the home page displaying Welcome "User Name".

Now select the customized widgets in the Menu Page, under which you can explore:

- Compliance Status
- Compliance Trend
- Comparative Trend
- Risk Chart
- Criticality
- Over Due Chart
- User Scorecard
- Domain Scorecard



4. Dashboard

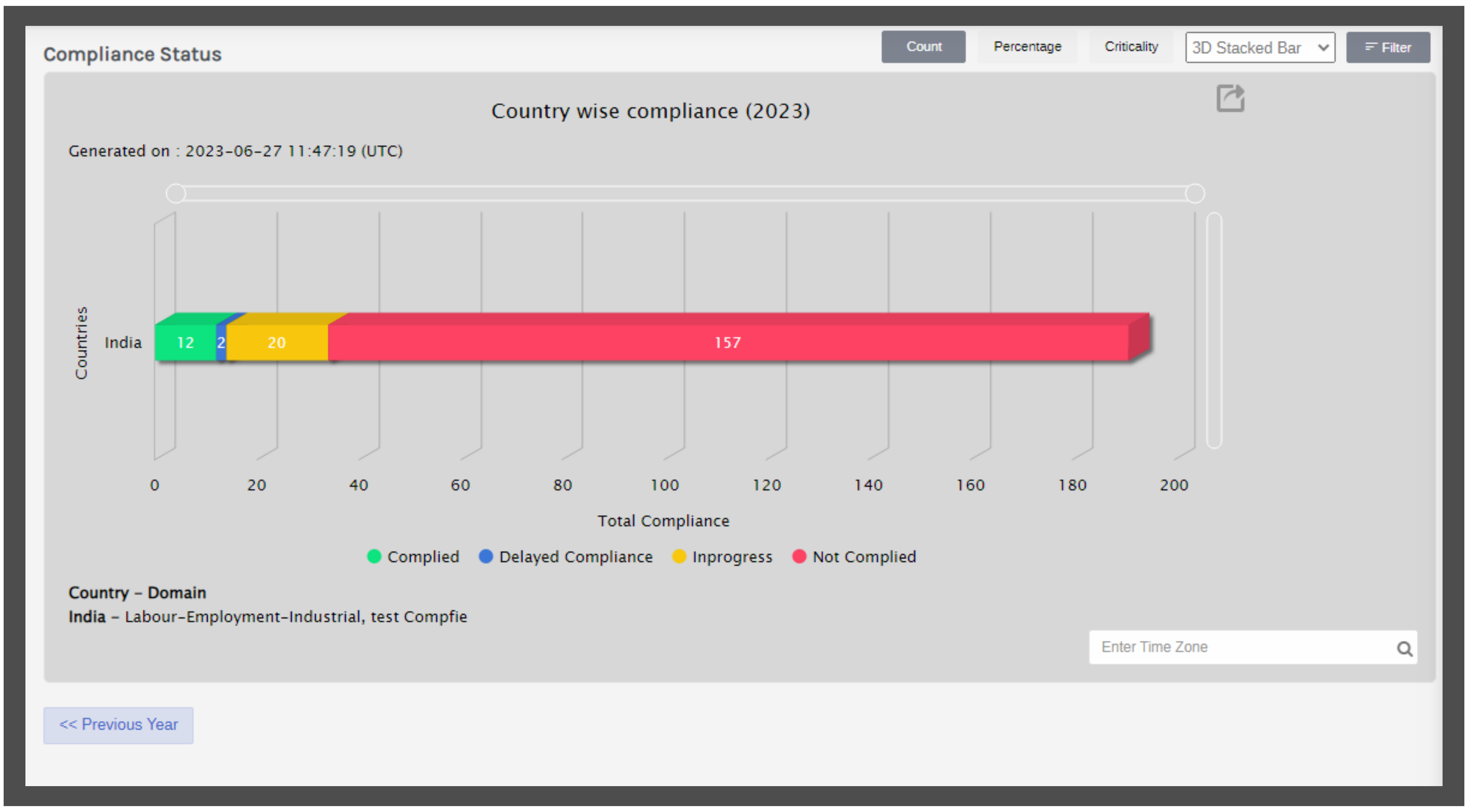
The User can click on the Dashboard option to get an at-a-glance view of his/her compliance status and the following graphical representation,

- Compliance Status
- Compliance Trend
- Comparative Trend
- Risk Chart
- Criticality
- Over Due Chart
- Event Statistics
- Assignee Wise Compliance

- User can view the Dashboard from macro to micro-level viz, Country, Domain, Legal entity, Division, Category, and unit to which user will have access.

- User can select the Compliance status, Compliance Trend, Comparative Trend, Risk Chart, Over Due Chart, Event Statistics and Assignee wise Compliance dashboard charts to get complete visibility on compliance till last-mile delivery.

- By clicking on the Hamburger option (chart context menu) you can download the chart in JPEG, PNG, PDF, SVG vector format.



5. Transaction

The Transaction tab consists of the following preliminary activities necessary for the user to complete the compliance tasks.

ADMIN	ASSIGNEE	CONCURRING PERSON / APPROVING PERSON
Statutory Setting	On Occurrence	Statutory Setting
Review Setting	Compliance Task Details	Assign Compliance
Assign Compliance	-	Reassign Compliance
-	Easy Upload	-
Reassign Compliance	-	Compliance Approval
Compliance Approval	-	Completed Task – Current Year
Completed Task – Current Year	-	Completed Task – Current Year – Bulk Upload
Completed Task – Current Year – Bulk Upload	-	-
Task Recall	Task Recall	Task Recall
Approve Task Recall	-	Approve Task Recall
Criticality Setting	-	-
-	-	Event start & schedule
-	-	Event Reschedule & cancel

Assignee to Click Transaction >> Compliance Task Details >> Legal Entity >> Unit >> Show

Once the task is submitted by the user, that particular task is moved from the User/ Assignee screen and sent for approval to Admin Users (i.e. Approve person of that particular task).

5.1. Tabs

Calendar / Current Task / Upcoming

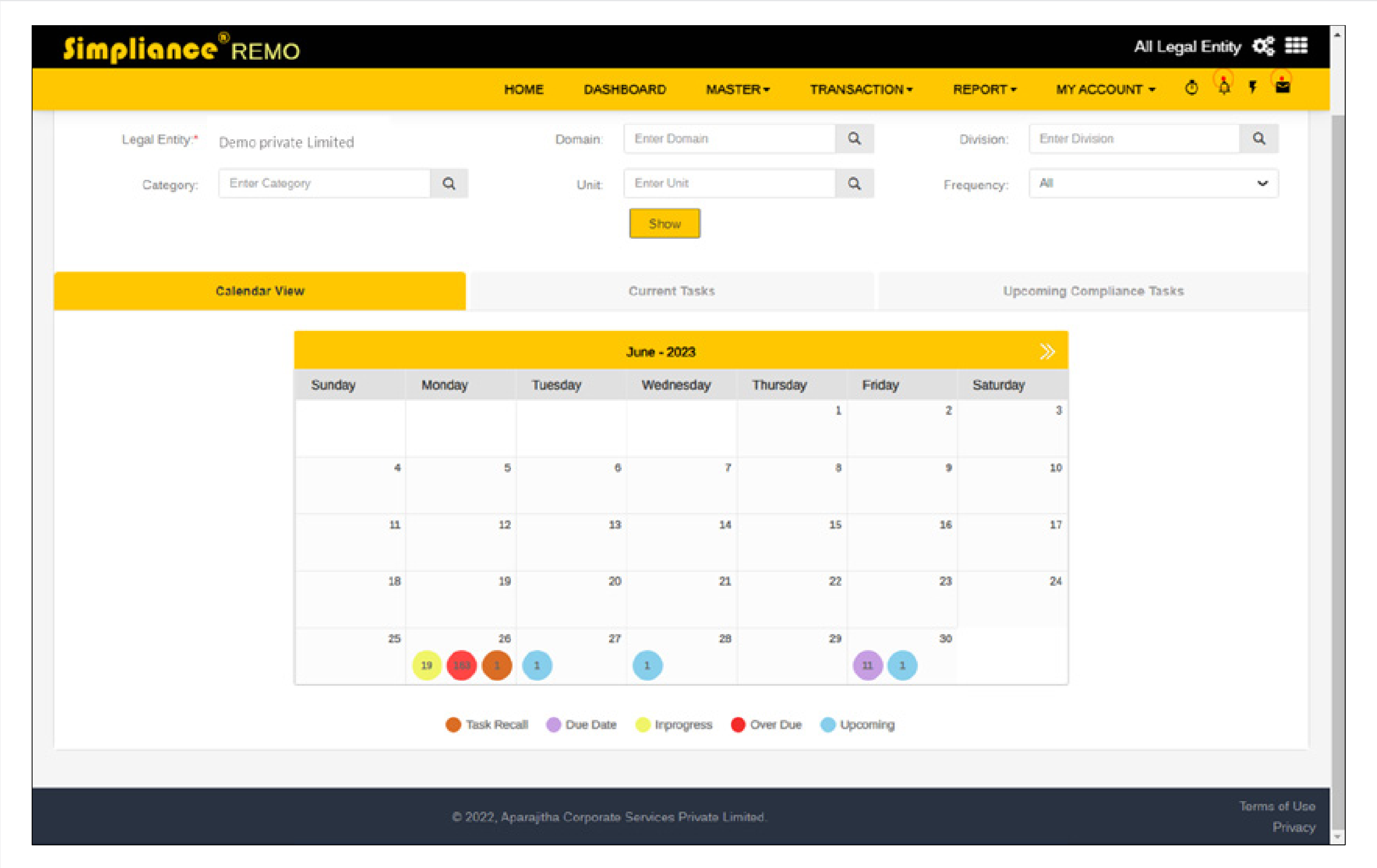
It's easy to get lost in details when you're in the heads-down process of completing compliance tasks, so having a monthly calendar to take regular peeks of your compliance status is necessary.

Our Monthly Calendar view of Assignee gives an insight of count of tasks falling under distinct category viz,

- Due Date
- In – Progress
- Overdue
- Upcoming Task

Clicking on the appropriate count will display the respective list of compliances. Different categories are distinguished with unique color representations. User can view compliance tasks which are in progress, overdue and Upcoming that are yet to be completed here.

In house User / Service Provider User can view upcoming compliance along with details such as Compliance task, Domain, Start Date, Due Date and format for reference.



Steps For

5.1.1. Task Completion
5.1.2. On Occurrence Task Trigger / Completion
5.1.3. Easy Upload
5.1.4. Task Recall
5.1.5. Event Start & Schedule
5.1.6. Event Reschedule & Cancel

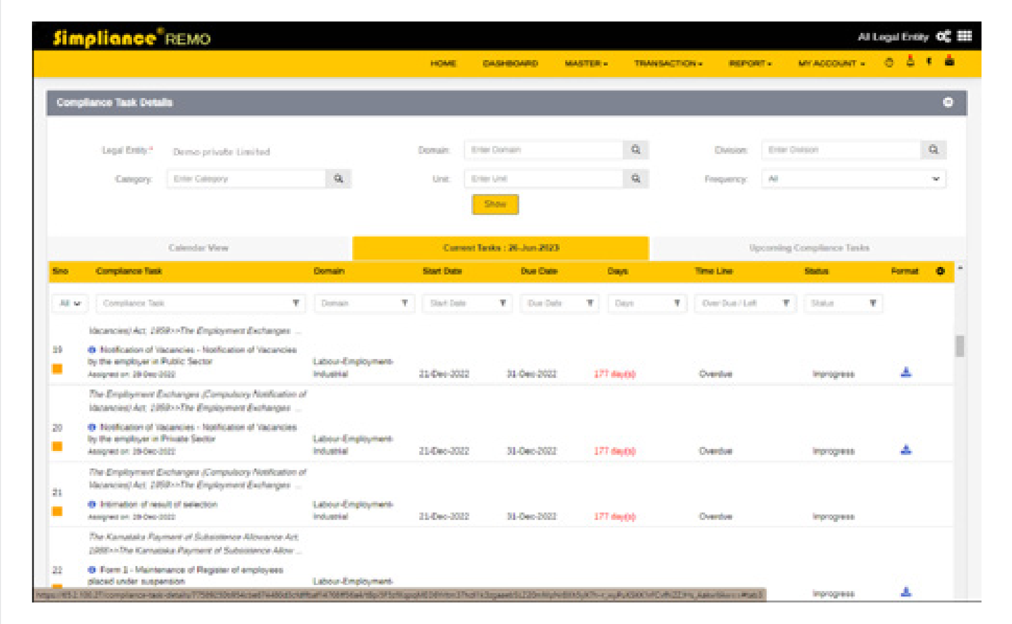
Steps For - Task Completion

For completing the current task in the tool, the user has to follow the below-mentioned points:

01. Using the format download icon, In-house / Service Provider User can download the format that can be used as a reference and can utilize it for task completion.

02. User can make use of filter options for fields such as Compliance task, Domain, Start date, Due date, Days, Timeline left for Completing the Compliance task and status to narrow down the search to save time when trying to complete particular compliance.

03. User can make use of advance search provisions which are available to filter compliance tasks - Legal entity wise, domain wise, Division, category, unit wise and compliance frequency wise

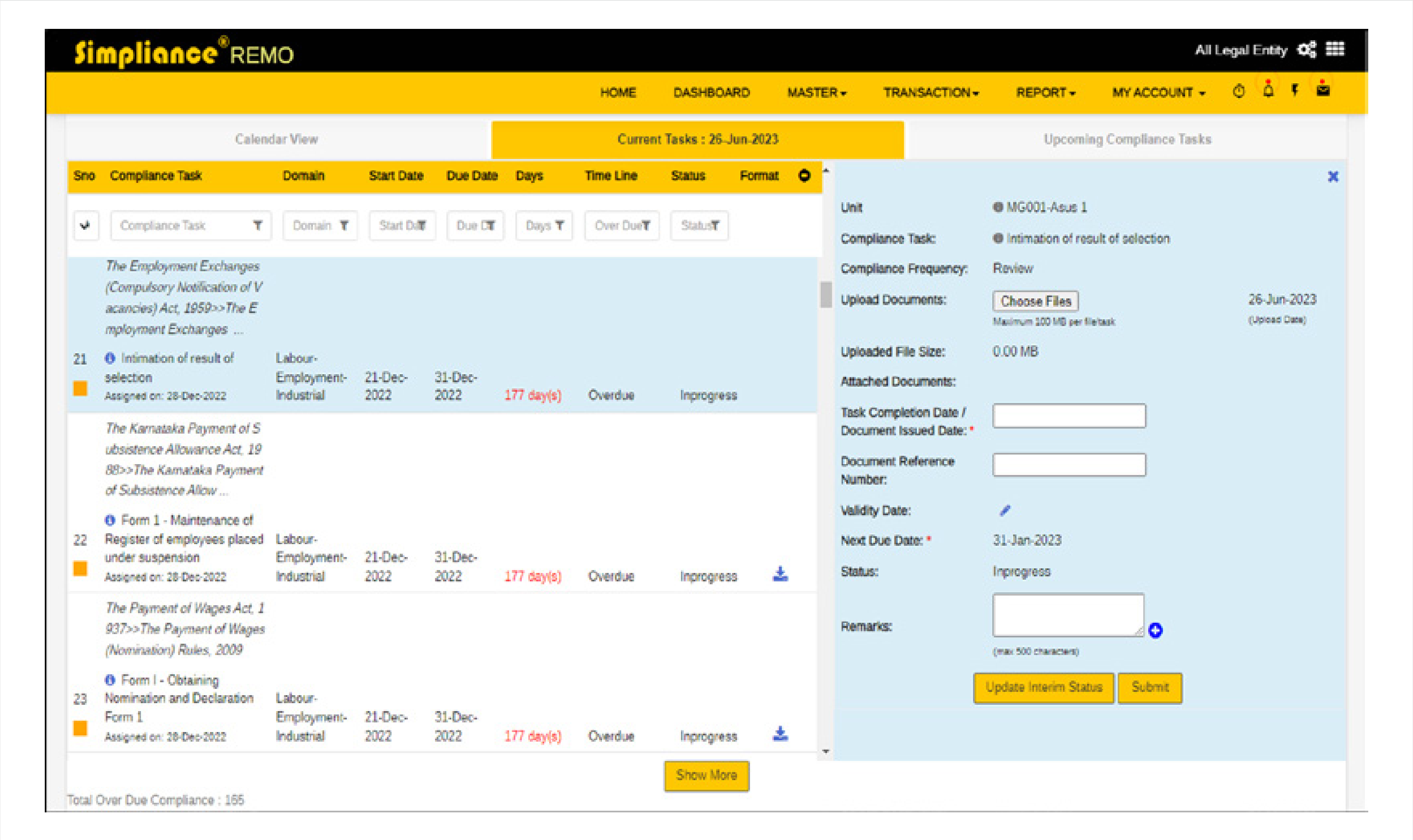


04. User can view Unit Name, Unit Address, Form Name, and Compliance Frequency type before completing the task.

05. User can complete the task with or without the document, the user should specify the completion date by selecting the date from the calendar view which is a mandatory field.

06. User can upload documents upto 100MB instead of 25 MB in compliance tasks details.

07. Also, the user can specify the Validity Date for periodical tasks by clicking edit Tool Tip to select the date from the calendar view, but it is a non-mandatory field. In doing so, the Next Due date will also become editable. Validity date must be before/after the “number of” days captured in the Validity date setting screen of Simpliance Remo Admin of the specified Next Due Date.



08. User can enter the Document reference number if required.

09. User can view the Next Due Date of that particular compliance. The next Due Date should be greater than Current Date.

10. User can give remarks in the Remarks field up to 500 characters are allowed, which is visible to Concurring person/ Approving person during compliance approval.

11. If the Executive user completes overdue compliance by giving the completion date as after the due date and submits, a pop-up will arise asking for the Confirmation (Yes/No), if Yes, the user has to provide a password and the task will move to Concurring/ Approving person.

12. In case of tasks being given as 'Rectify' by Concurring person/ Approving person then the same task will be highlighted in red color and the user has to do the required corrections as stated in the remarks and re-submit the task.

13. Update Interim status – There are certain processes and actions done in respect of completing the task, those activities performed before the final document is uploaded, is been updated in the interim remarks by the assignee. Which in turn is reflected to the approver while approving, and thus the approver will be able to know the reason behind the delay or the activities done for completing the particular task.

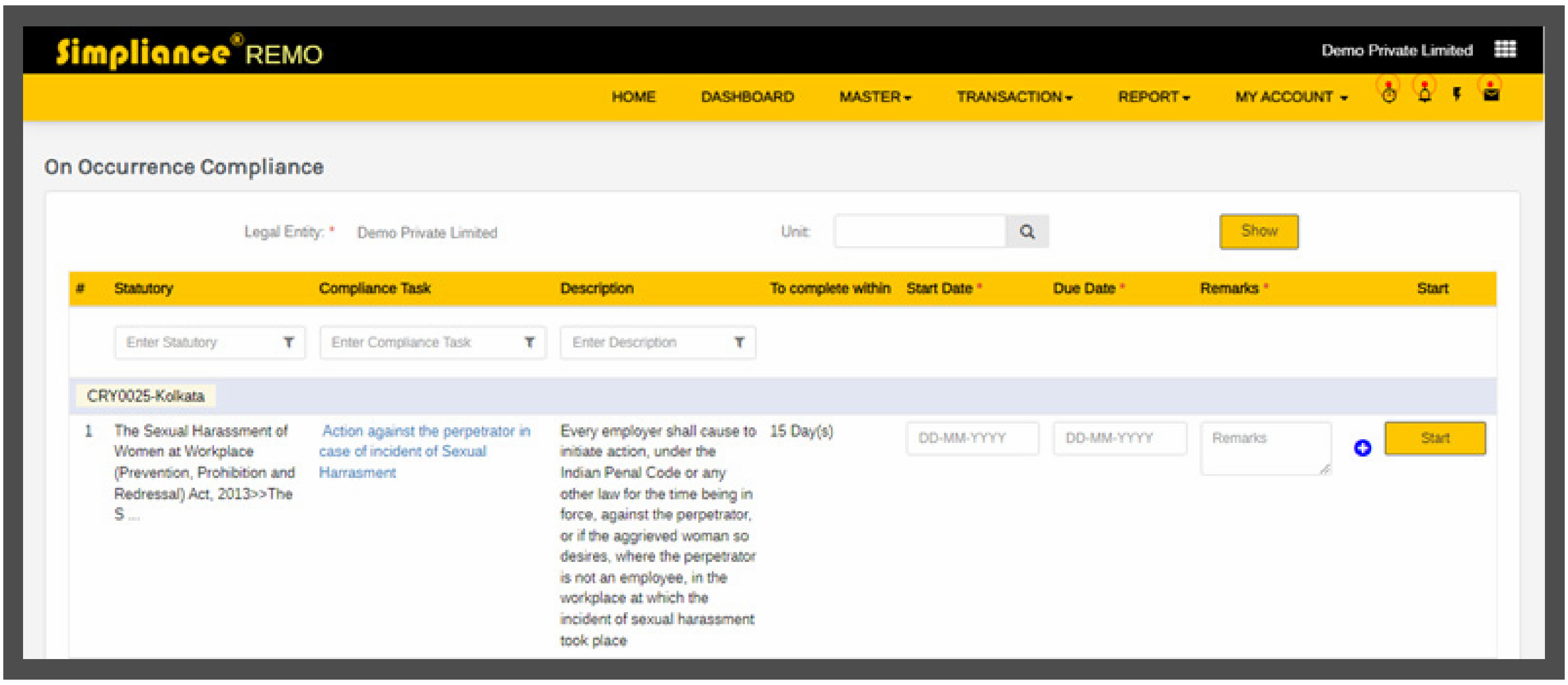
Steps For - On Occurrence Task Trigger / Completion

(Assignee to Click Transaction >> On Occurrence >> Legal Entity >> Unit >> Show)

01. On-Occurrence tasks can be triggered multiple times by the user himself as and when it is required.

02. The user needs to mention either the start date or the Due date which is mandatory and reason for the requirement which is mandatory and task history will be available for five such occurrences.

03. On-Occurrence compliance that is triggered will now be displayed in the compliance task details tab. Now User has to follow the same procedure, that's been followed as for other Compliance frequencies to complete the On Occurrence task.

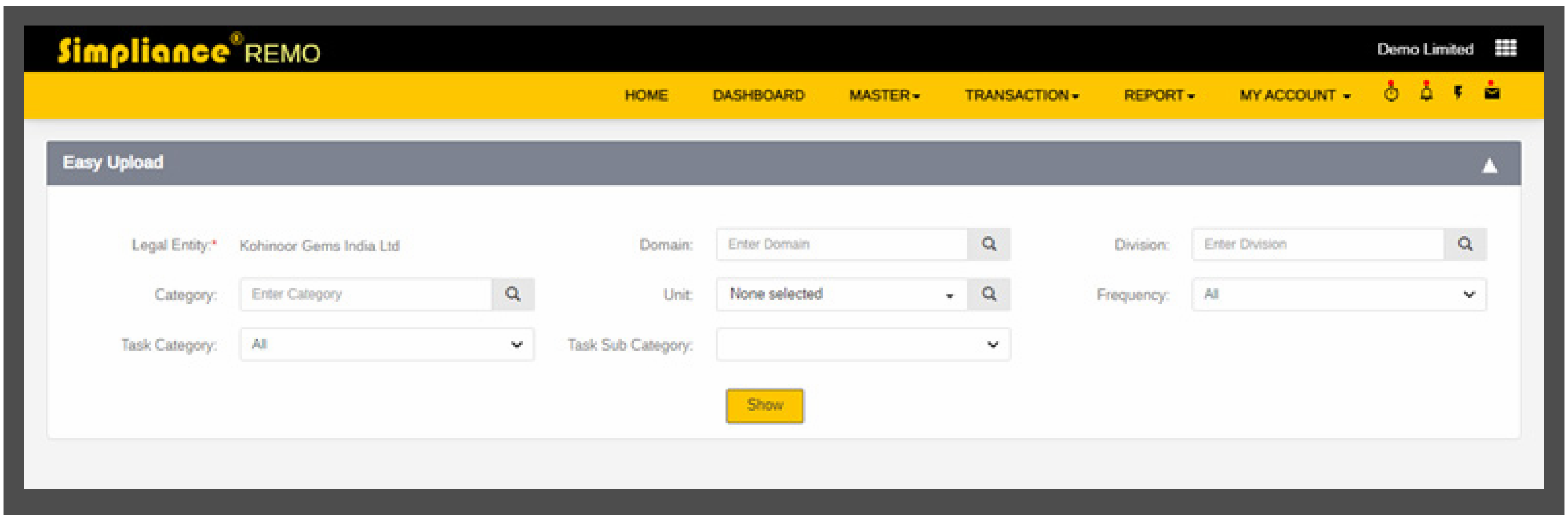


Steps For - Easy Upload

01. Simpliance REMO will ease the task completion through EASY UPLOAD process.

02. User can complete multiple tasks at same time.

03. Easy Upload helps the Client Executive/Service provider user with a better understanding of the month wise compliance.



04. Assignee can complete the tasks month-wise to whom the task has been mapped.

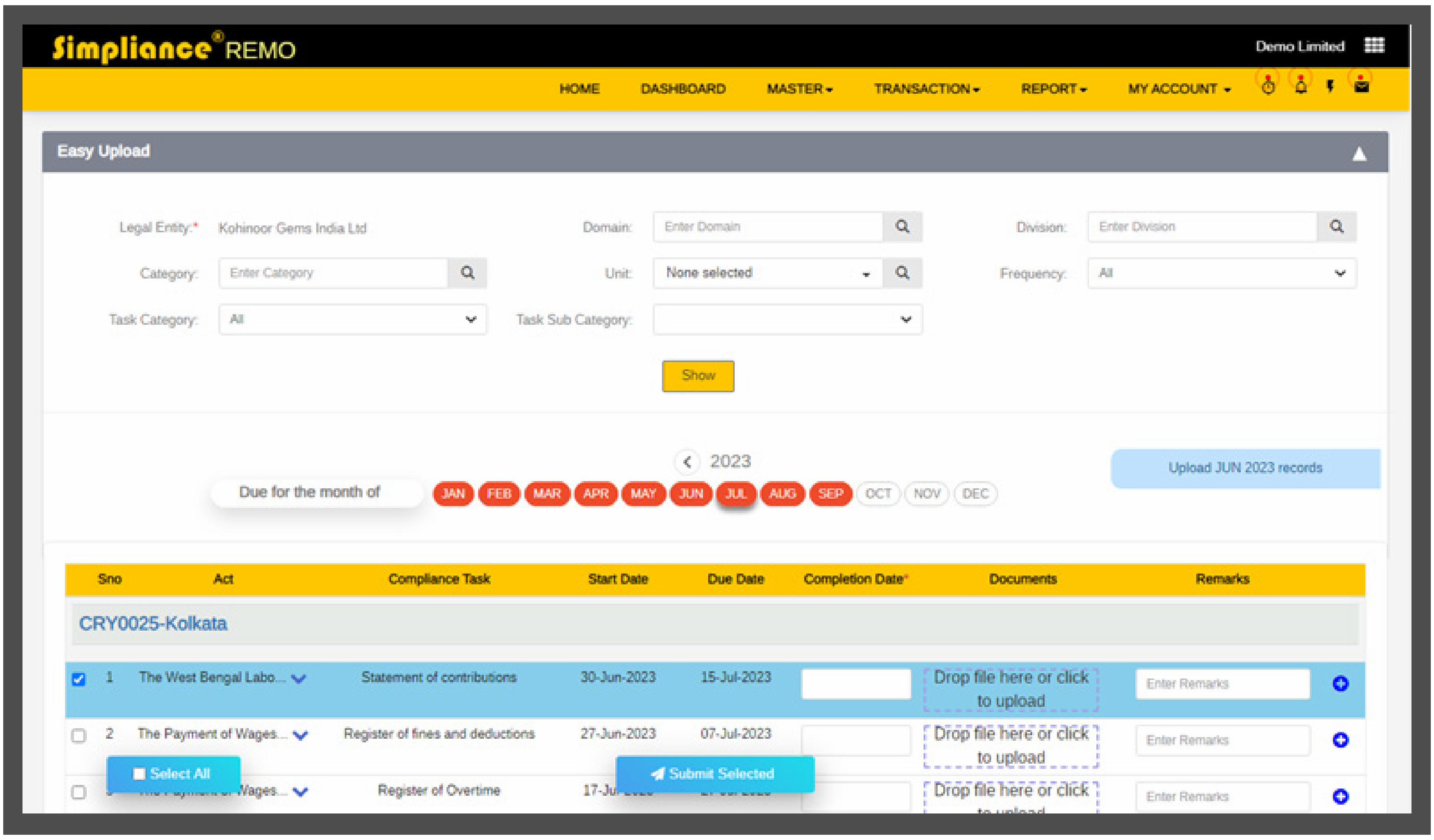
05. When task is completed by the assignee it goes for the approving person who they can verify all the details of the task.

06. Client executive person can upload the documents up to 100 MB limit.

07. Task Completion date will be mandatory.

08. User can select multiple tasks at one time and user can complete the tasks by click on the "Submit Selected" button.

09. User can give remarks in the Remarks field up to 500 characters are allowed, which is visible to Concurring person/ Approving person during compliance Approval.

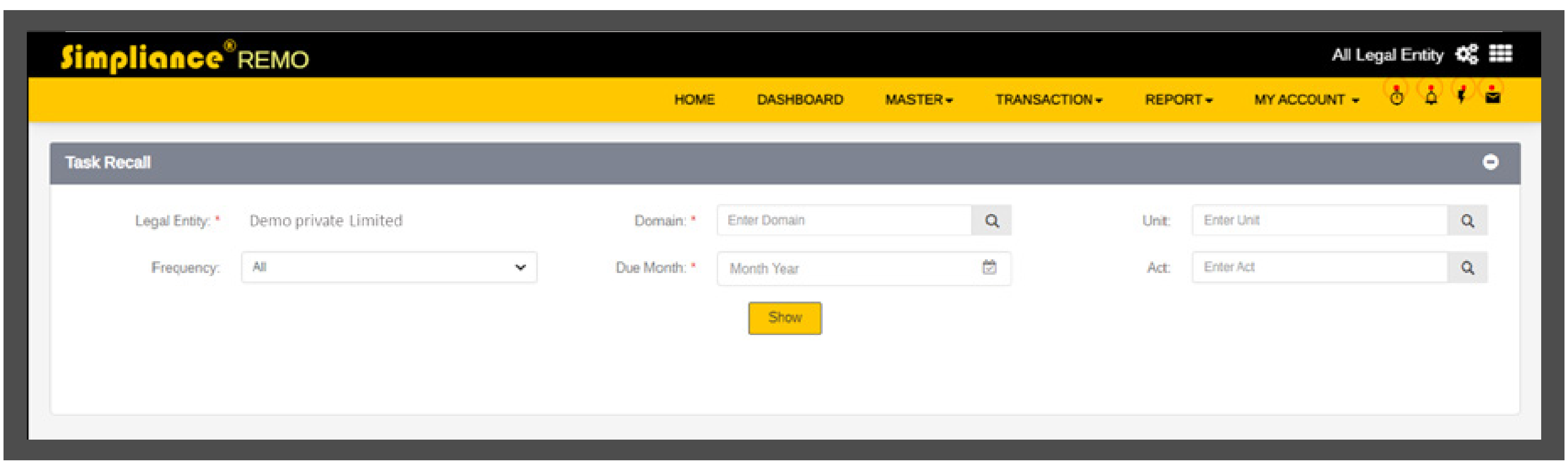


10. If the Executive user completes overdue compliance by giving the completion date as after the due date and submits, a pop-up will arise asking for the Confirmation (Yes/No), if Yes, the user has to provide a password and the task will move to Concurring/ Approving person.

11. In case of tasks being given as 'Rectify' by Concurring person/ Approving person then the same task will be sent back to the executive and the user has to do the required corrections as stated in the remarks and re-submit the task.

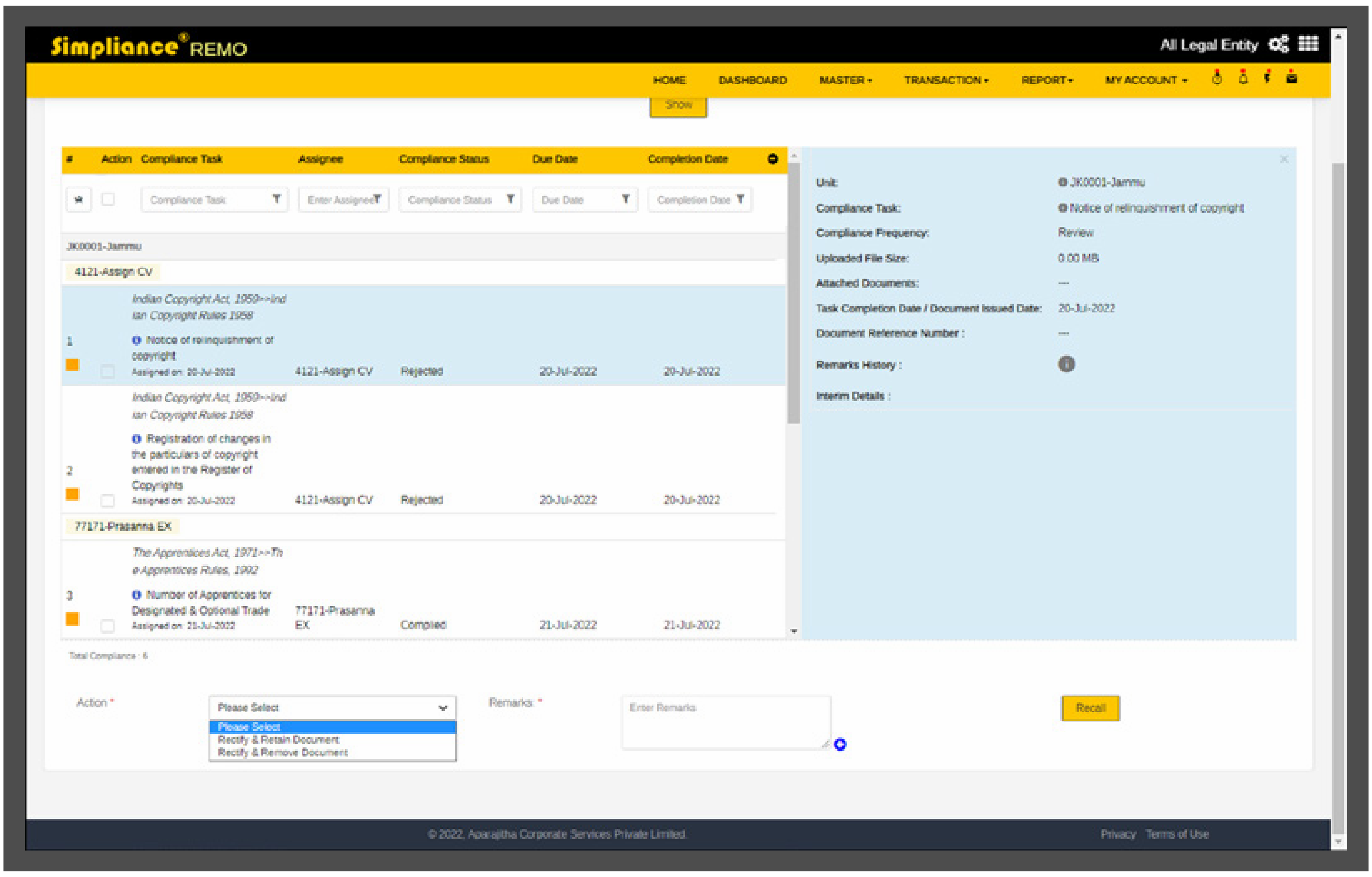
Steps For – Task Recall

01. The process of bringing back a task from the dashboard [Complied, Delayed Complied, and Not Complied (Rejected)] status to the respective executive screen is called a Task Recall.



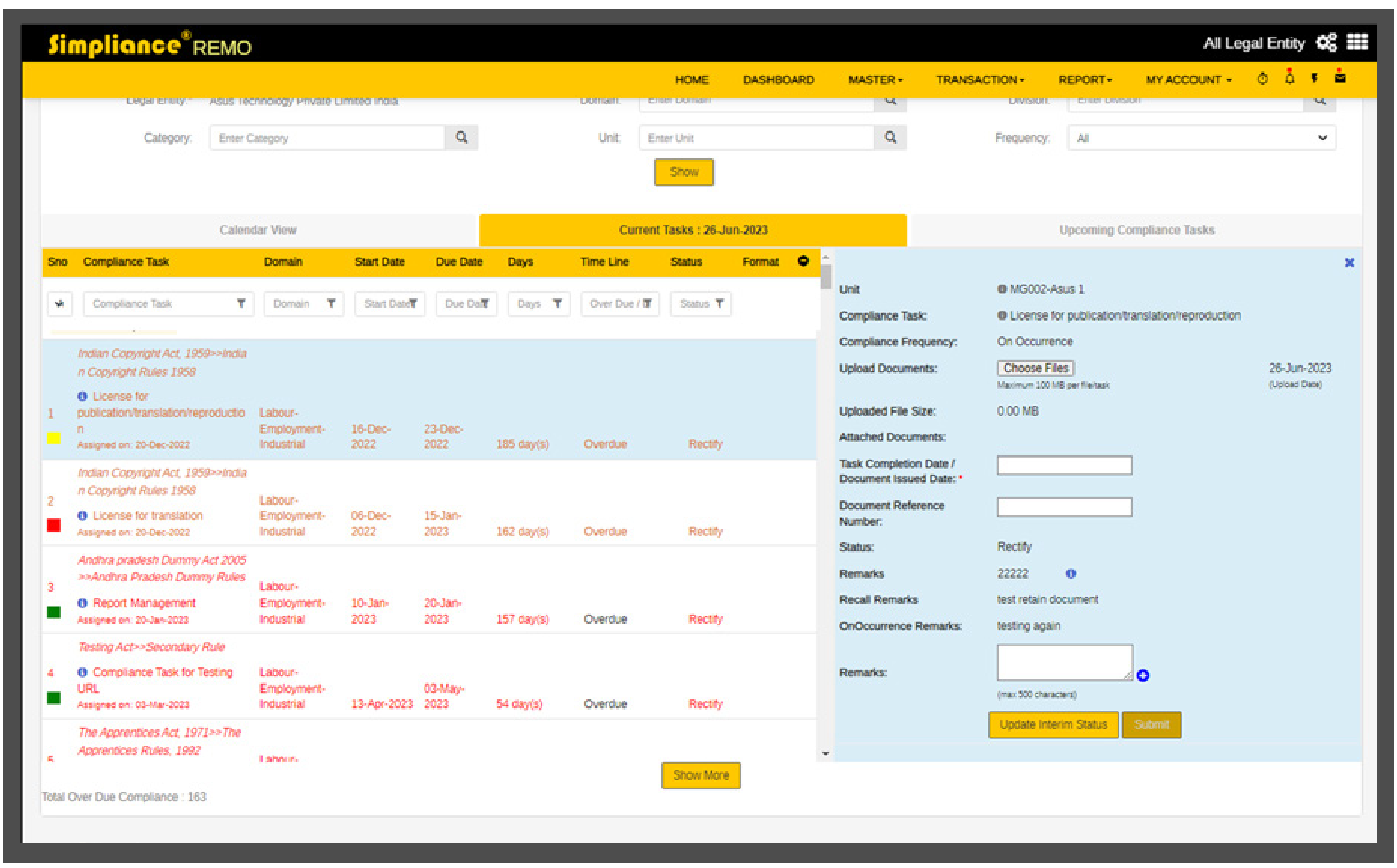
02. Admin Users (Approving person) and Assignee can recall a task to whom the task has been mapped.

03. When a task is recalled by an assignee it goes for approval to the Approving person where they can verify all the details of the task.



04. After validating, the User can select an action such as “Rectify and Retain Document”, “Rectify and Remove Document” and “Cancel”, where “Rectify and Retain document” keeps the document bound with the task, “Rectify and Remove document” will recall the task without document and “Cancel” by the approver will cancel the recall process done by the assignee and the task will return to its respective compliance status.

05. When the “Recalled Task” is approved, it gets reflected in the respective executive screen with an Orange color Code to differentiate it from other Tasks.

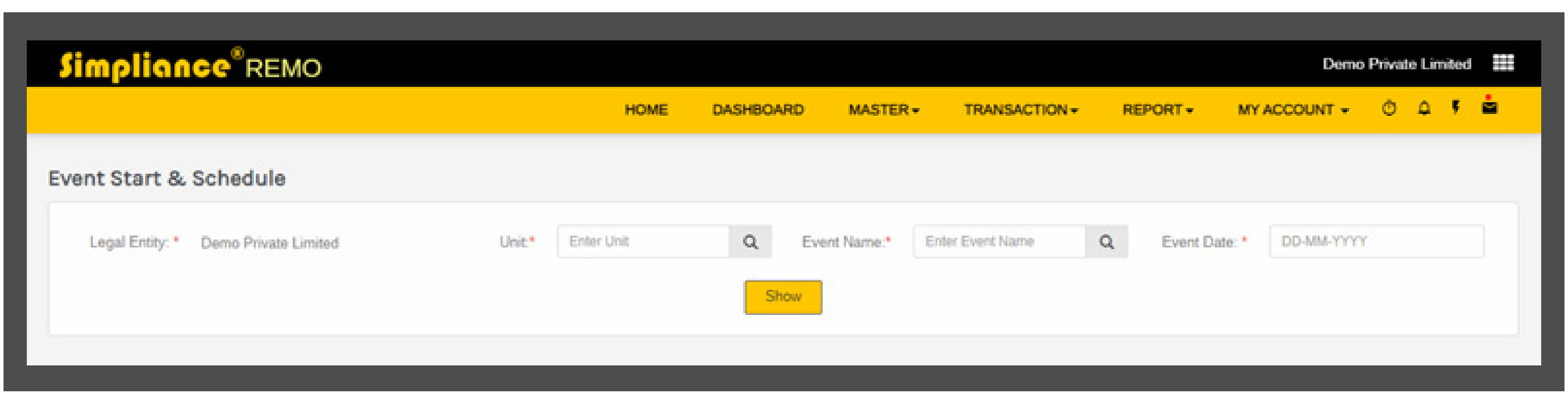


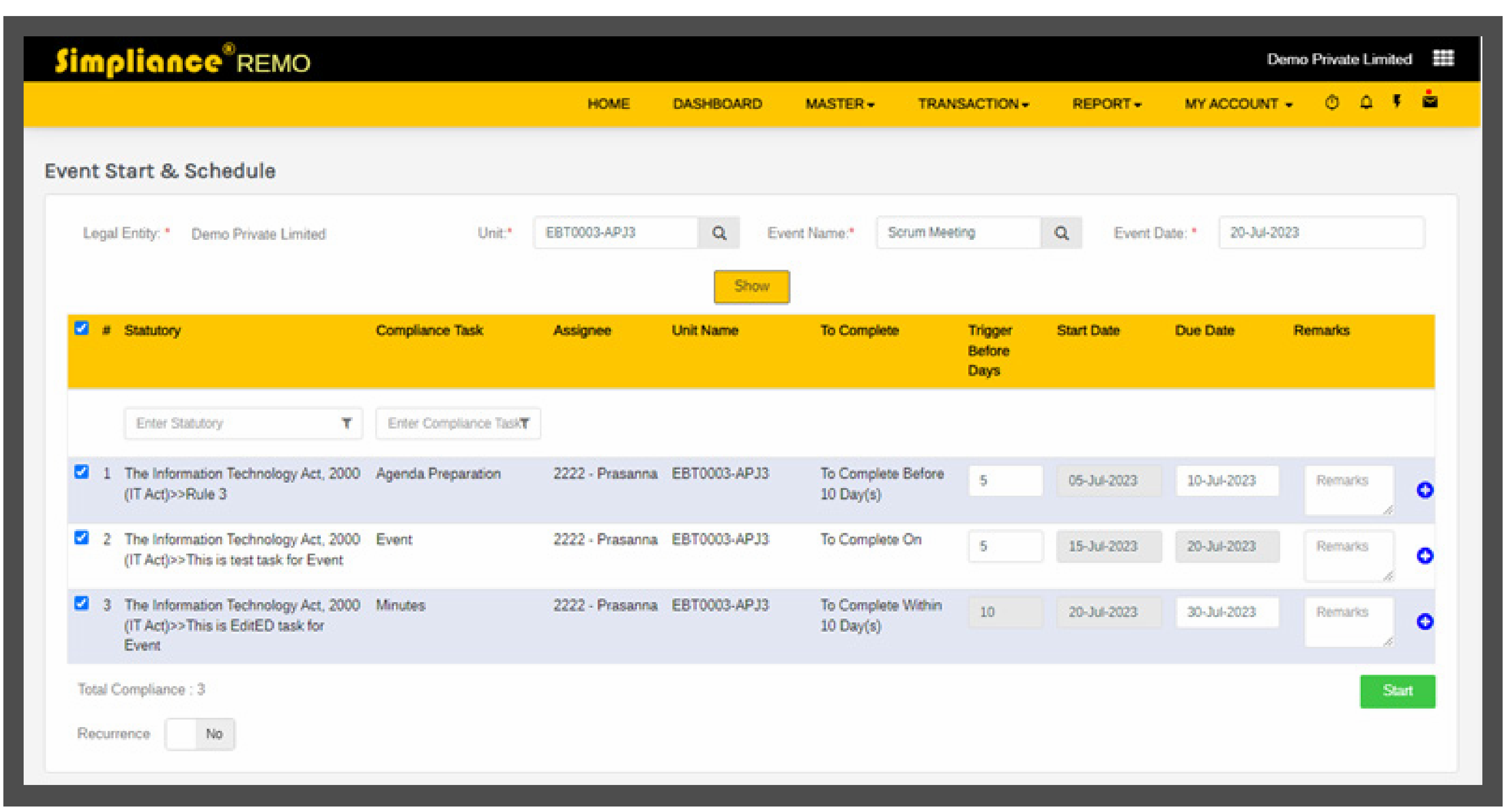
Steps For –
Event Start & Schedule

01. Event based tasks will be start and scheduled by the Admin.

02. Bunch of pre, post & on time activity of the particular event will be triggered wholesome just by start the Event.

03. User can Reschedule, Cancel and close the Event.





04. User able to fix the Recurrence for the Event like Days, Week, Month, Yearly wise by click the Recurrence button "Yes".

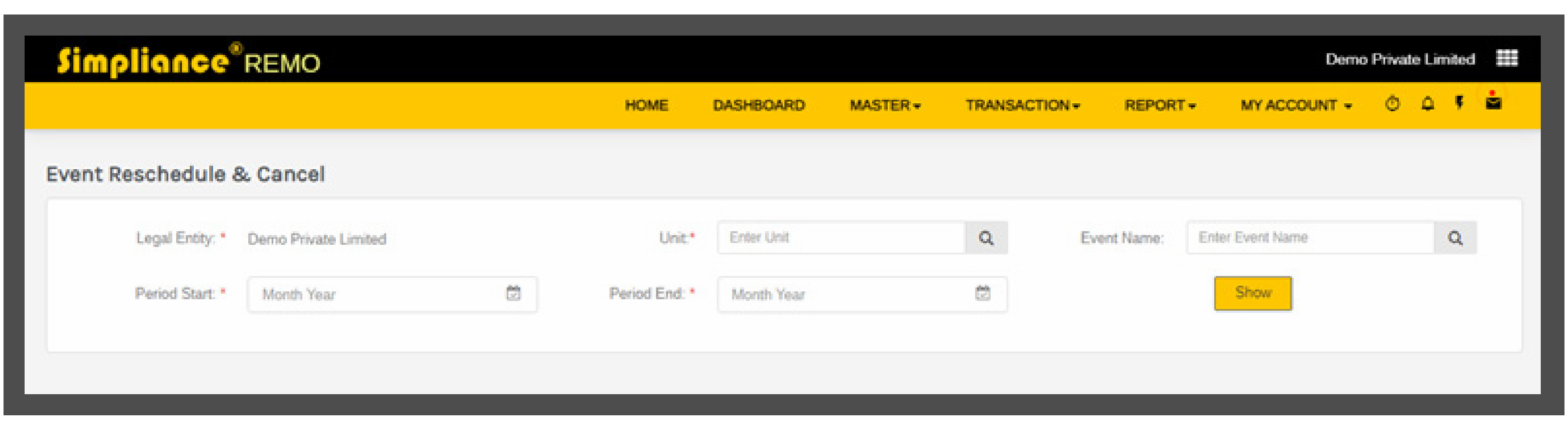
Steps For -
Event Reschedule & Cancel

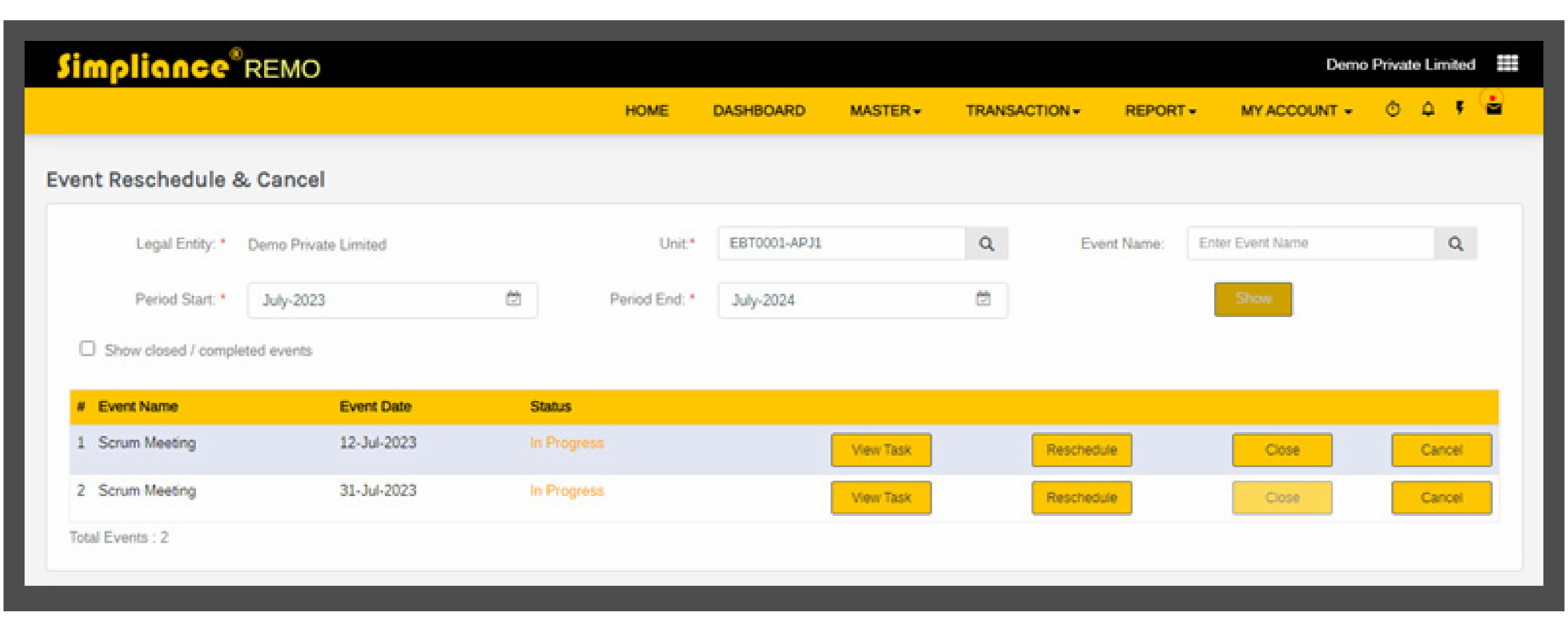
01. Triggered Event can be rescheduled to the New Date.

02. User can cancel the Event if the Event called off due to some occasion.

03. Admin can close the events which will be reflected in the dashboard as "Complied".

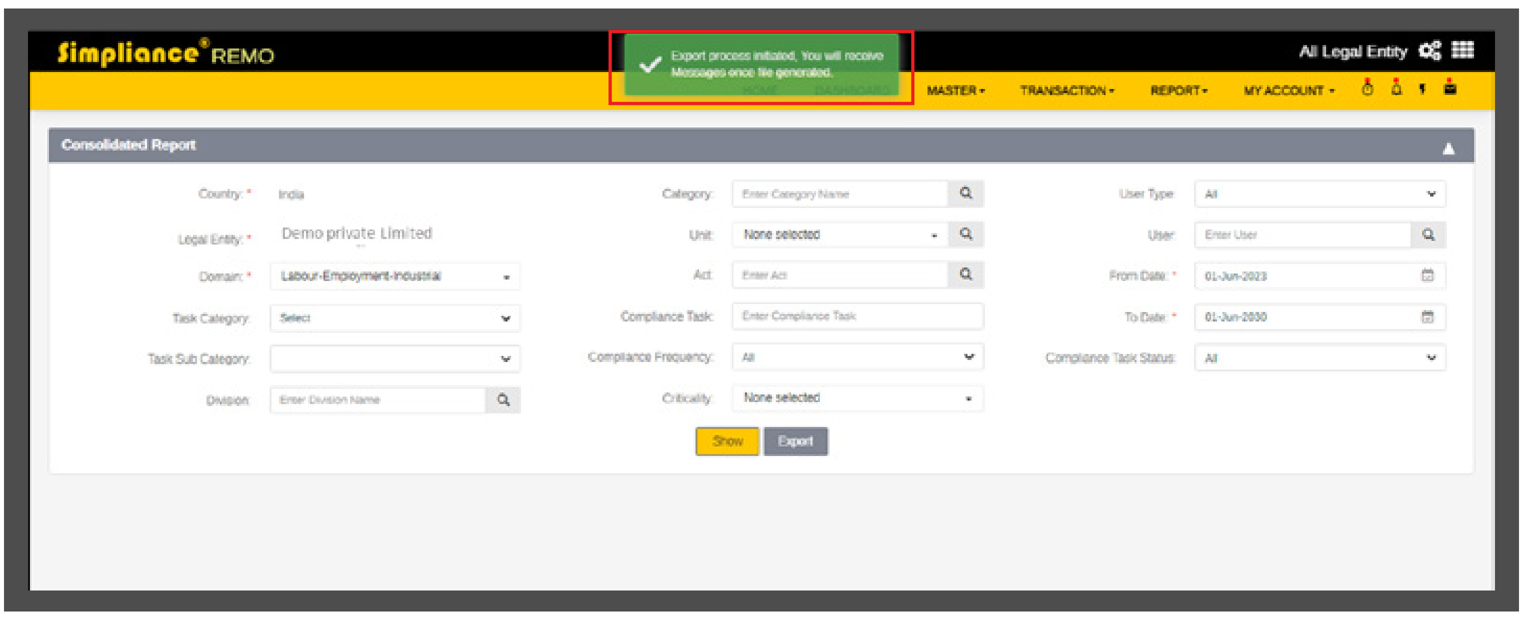
04. Alert message will be thrown while doing actions such as cancel & close to ensure the confirmation.



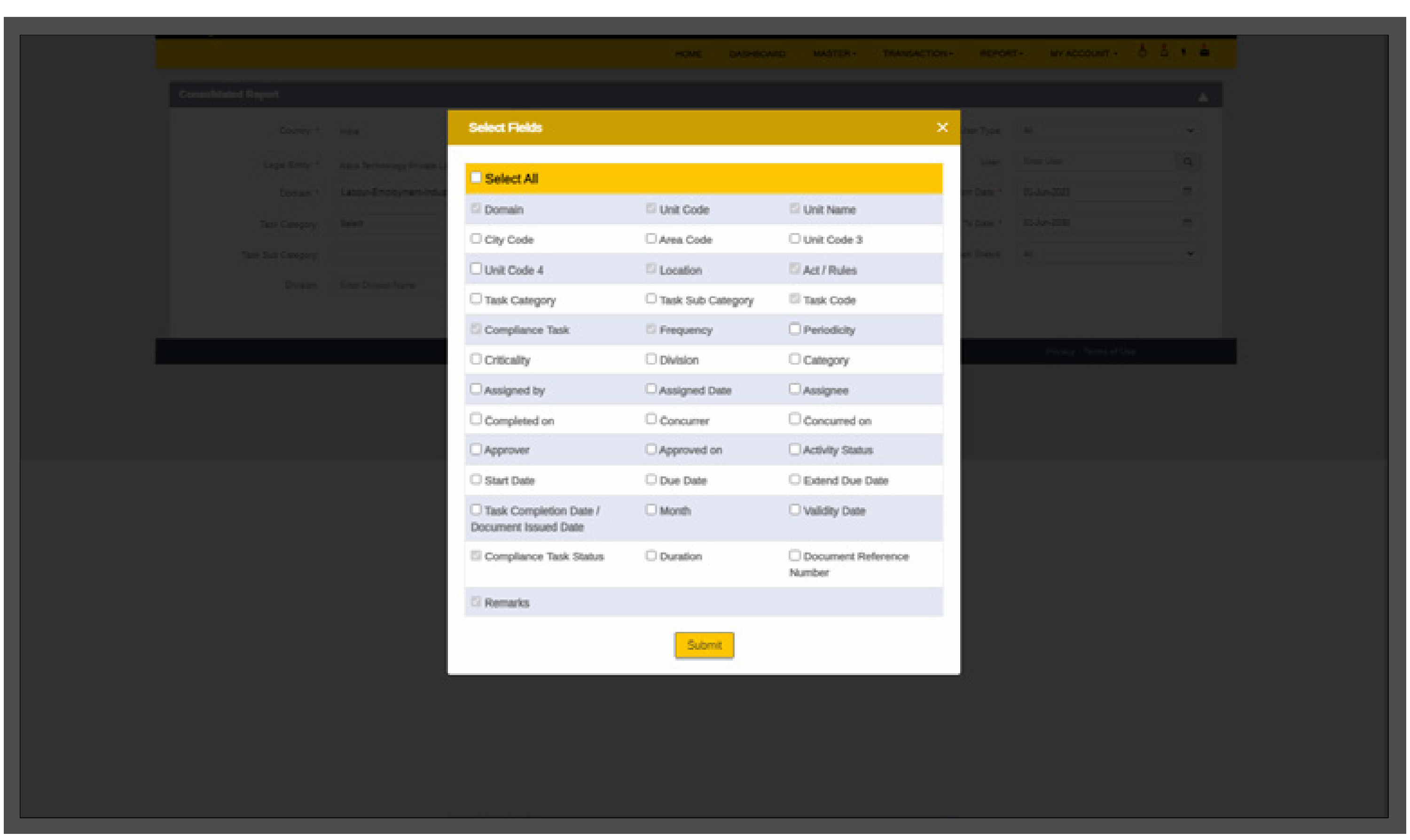


6. Reports

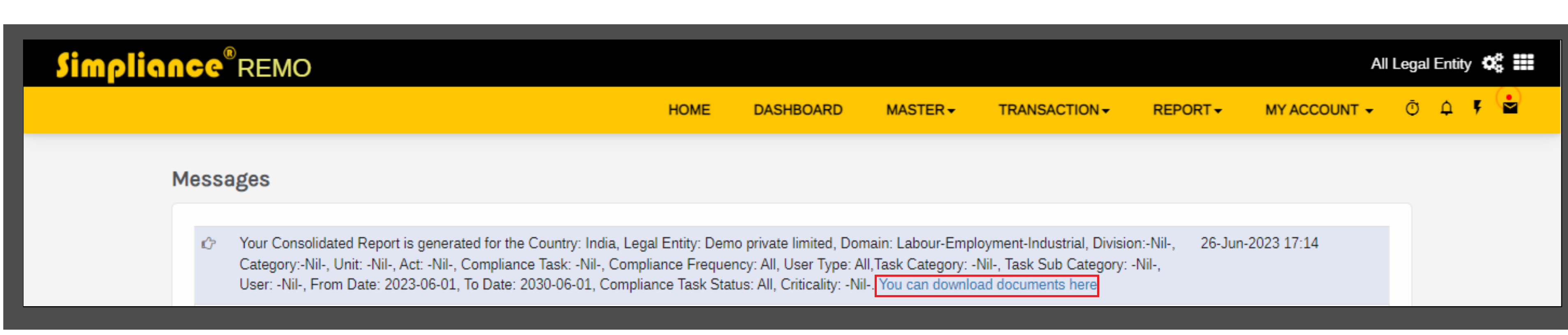
The report gives an overall insight view of the transactional and master activities of all the users in one go. User can view the reports based on Legal Entity, Domain, Unit, User, and Service provider. The Reports are available to all users based on the form access set in user privilege. User can download one-year data but data that is displayed on the screen is restricted to 3 months period, user can download the records upto 7 years if filters applied.



Customizations in field columns of the report is available. User can select the fields that is required to be shown in the exported file.



The File download link will be available in the message icon and the user can download the report by clicking that link.



Status Report Consolidated	**Purpose:** To generate a Legal entity-wise Consolidated report on the compliance status of tasks. Gives an overview of compliance task status of the compliance assigned for a particular legal entity based on the domain for any time period along with the details of Compliance Frequency, Due Date, Compliance Task Status, User Name, Activity Status, Activity Date, Uploaded Document (if any) and Completion Date. User can download the records upto 7 years if filters applied.
Unit wise Compliance Report	**Purpose:** To view detailed information on compliance status of tasks for a particular unit. Gives an overview of compliance tasks of the selected unit of a particular legal entity for any time period along with the details of Compliance Frequency, Due Date, Compliance Task Status, User Name, Activity Status, Activity Date, Uploaded Document (if any) and Completion Date.
Service Provider wise Compliance Report	**Purpose:** To view detailed information on compliance status of tasks for a particular Legal entity. Gives an overview of compliance tasks that were assigned for a particular legal entity for any time period along with the details of Compliance Frequency, Due Date, Compliance Task Status, User Name, Activity Status, Activity Date, Uploaded Document (if any) and Completion Date.
User wise Compliance Report	**Purpose:** To view detailed information on the compliance status of tasks for a particular User. Gives an overview of compliance tasks that were assigned to a User based on the domain for the units of a particular legal entity for any time period along with the details of Compliance Frequency, Due Date, Compliance Task Status, User Name, Activity Status, Activity Date, Uploaded Document (if any) and Completion Date.
Task wise Report	01. To retrieve documents for any time period as this report acts as a document store. 02. To view and download, task wise all the uploaded documents like, Registers, Returns, Abstract @ Notice, Registration Certificate & License (New, Amendment & Renewal), and Remittance. 03. To view detailed information on the compliance status of a particular task.

Statutory Setting Unit wise Report	01. To view the applicability of statutes (Tasks) under various acts. 02. To view task by status viz, Opt-out, Not applicable, Assigned & Unassigned for each unit. To fetch forms under all applicable laws for each unit. 03. This report presents a viewpoint of all applicable statutes with task status for each unit along with Compliance Frequency, Due Date, Task Status, and Format.
Statutory Setting History Report	**Purpose:** To view the detailed information of a compliance task. To view the Current and the Previous statutory applicability decision taken for a particular compliance task. Provides insight to each and every compliance task's applicability, displays all the Current Status of the task and the previous decision/ applicability chosen for a particular compliance task along with the details of Compliance task, Compliance frequency, Task status, Date, User Name, and Format
Reassigned History Report	**Purpose:** To view the history of Reassigned tasks and to fetch the details of Old and new Assignee/Approver. This report shows the reassigned details of the selected domain and unit of the legal entity for any specific time period.
Risk Report	**Purpose:** To view detailed information of tasks falling underexposed and hidden risk category. For a particular Legal entity domain wise for any time period, tasks can be viewed under each Risk parameter like, **Hidden Risk** - Not Opted, Unassigned Compliance, and Not Applicable **Exposed Risk** - Delayed Compliance and Not Complied Displays all the tasks that fall under risk parameters viz., the Delayed Compliance, Not Complied, Not Opted, Unassigned Compliance, and the Not Applicable of the selected legal entity based on the domain for any time period.
Unit List	Shows all the units that fall under the particular Legal entity along with other unit details like Domain, Location, Address and Active/-Closed Status for any time period.
Statutory Notification List	Displays all the amended tasks that have been notified for a Legal entity based on domain for any time period.

Service Provider Details	Report shows all the details of the selected service provider for any time period. This report gives the details of the number of units and contract period of active, inactive and blocked service providers.
Audit Trail	Reveals all the actions done by the Users for various activities of the selected Legal entity for the selected time period till current date.
Log in Trace	Reveals the Log in/Log out details of all users for the selected time period till current date and also shows the details of login information with date, time and IP address.
Task Category wise Report	Report to view the tasks grouped under various categories based on their nature- Registrations, Returns, Remittances etc;
Scorecard Report	**Domain scorecard:** To view count of tasks by status viz, Assigned, Unassigned, Not opted and Not Applicable domain wise. To get an insight of count of tasks under Assigned category viz, complied, delayed compliance, In progress, not complied **Legal Entity wise scorecard:** To view count of tasks by status viz, Completed, In progress and Overdue for a particular Legal entity domain wise both Unit wise and User wise **Approver Scorecard:** To view count of tasks by status viz, Completed, In progress and Overdue for Approver both unit wise and Assignee wise and also to view count of pending tasks (both In progress and Overdue) for each assignee mapped to him/her

7. Screen Notification Icons

The screen Notification icon is a significant feature to get notifications like Reminders, Statutory Notifications, and Messages for various activities on an event, priority, or severity basis. When the user clicks any message in any of the notification icons and reads it, the message moves out of the queue and will no longer be available for view.

Screen notification icons like reminder icon receive reminders other than task-related, escalation icon is retained but no escalations will be shown, the statutory notification icon is retained to receive statutory notifications and Message icon is to receive all messages.

Reminder User can view reminder messages that act as a reminder alert for both executives and admin users in the reminder icon. It reminds about contract expiry, reassigning the compliance after service provider block, etc.

Message User can view messages for various Master and Transactional activities displayed under the message icon and task-related messages reach the Assignee, Concurring person, Approving person for whom the compliance tasks have been reassigned and rejected. Message for rejected task reaches Group Admin also.

Notification User can view the statutory notification sent from Simpliance Remo in case of any amendment in existing acts/tasks and for new acts/tasks

8. My Account

View Profile:

User can view his/her profile information in the View Profile tab. User will be able to see all user basic details regarding Employee Name, short-name of the group, email ID, contact number, mobile number, Employee ID and User ID, User Group, and Address.

Change Password:

User can change the Password using Change Password tab

Settings:

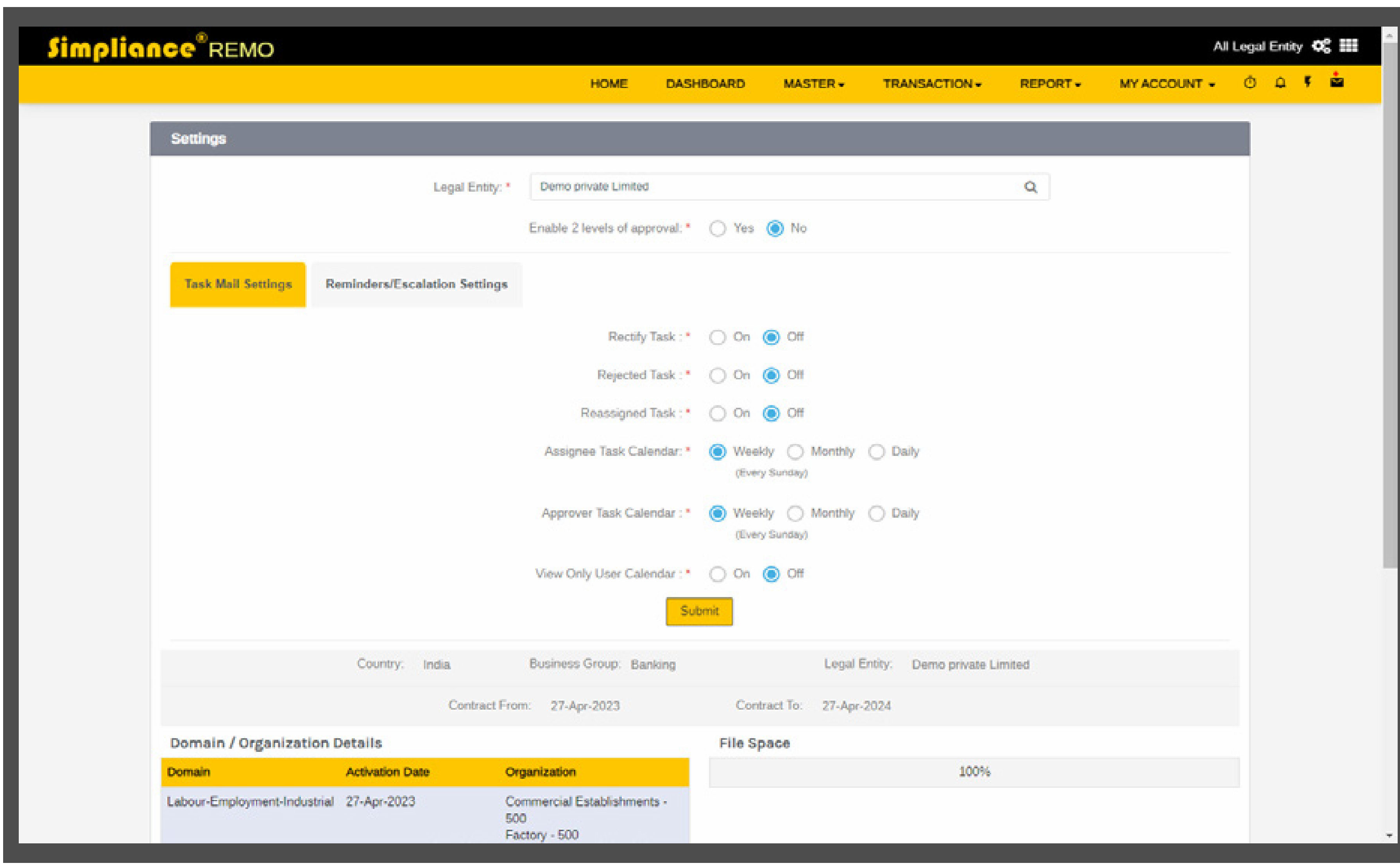
- Account Setting is the first and foremost activity that has to be done once the user logs in.
- User can enter a few alphabets of legal entities pertaining to the selected country and the list legal entities will be shortlisted based on characters typed and is available for selection. Select a legal entity and this is a mandatory field and set the level of approval.

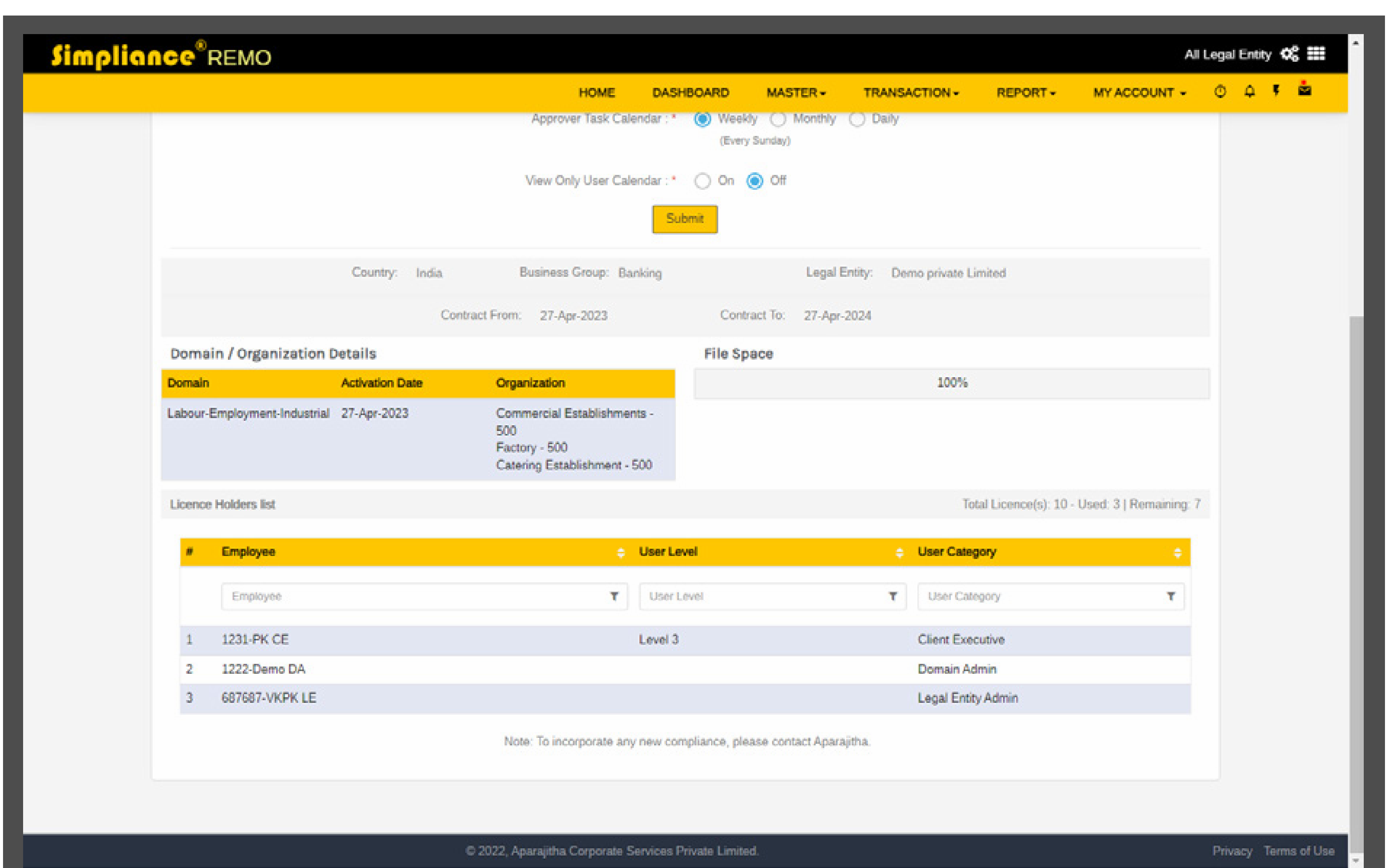
Mail Settings:

- Separate provision for Mail setting is provided in My Account-Setting before Reminder setting.
- Mail On/Off provision is made available for Group Admin/Legal Entity Admin to set his/her preference for mail reception.
- Calendar view of Assignee includes the count of in-progress task status (as a reminder before due date) and Overdue count (as escalation after due date), along with Due date count and Upcoming task count.
- Calendar view of Approving person includes the count of In-progress task status (as a reminder before due date) and Overdue count (as escalation after due date).
- Calendar view for Assignee and Approving person is sent Legal Entity wise and a provision is enabled to select configuration setting as Weekly or Monthly by Admin users.
- Mail-Off is not possible for a standard feature like Calendar view for the assignee and Approving person that is configured for a periodicity.

Reminder settings:

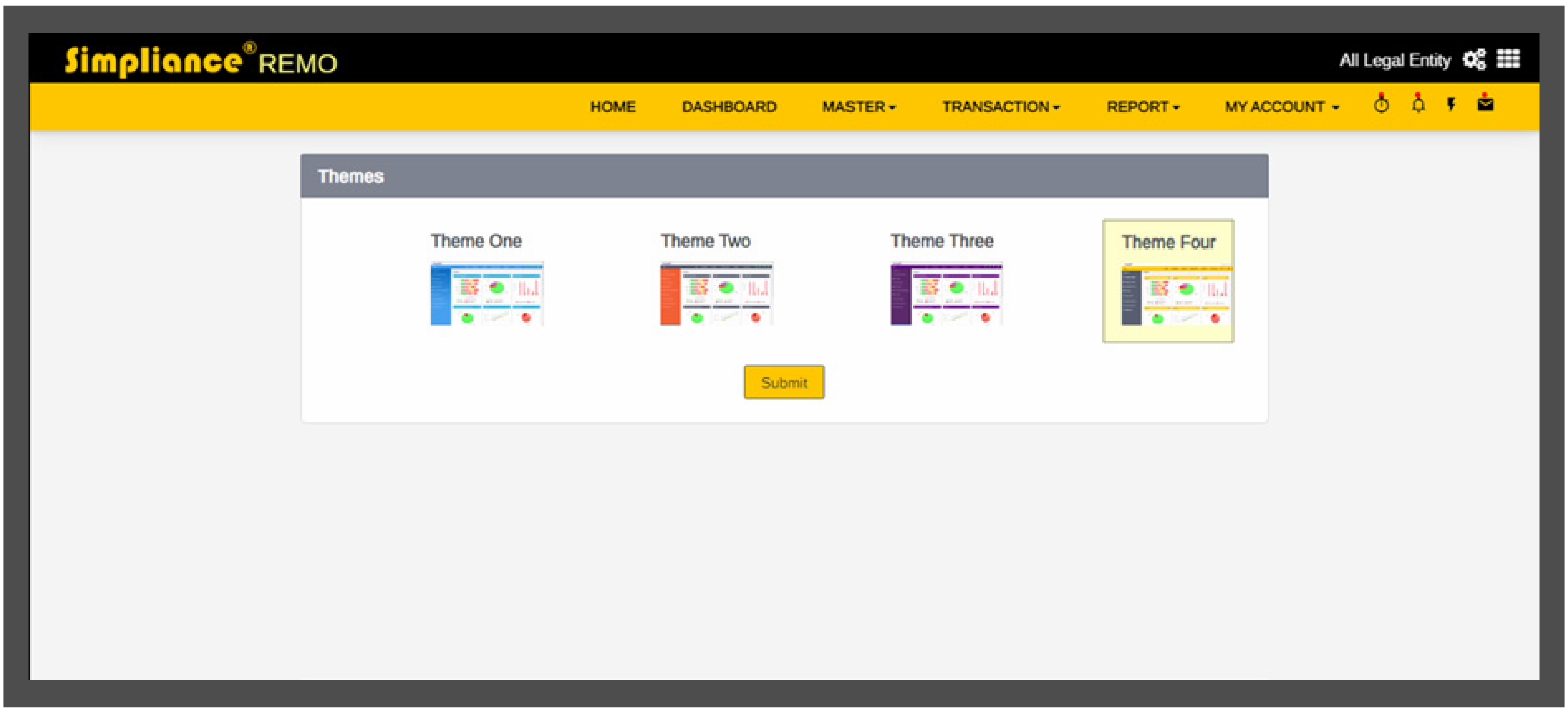
- User can enter the number of days for which a reminder is to be sent to reassign compliance of Service Provider who is blocked.
- User can also view the domain, organization details, and user license details in the profile setting.





Theme:

- ❖ User can change the color of the backdrop setup of the user interface screen in the Theme tab.



Logout:

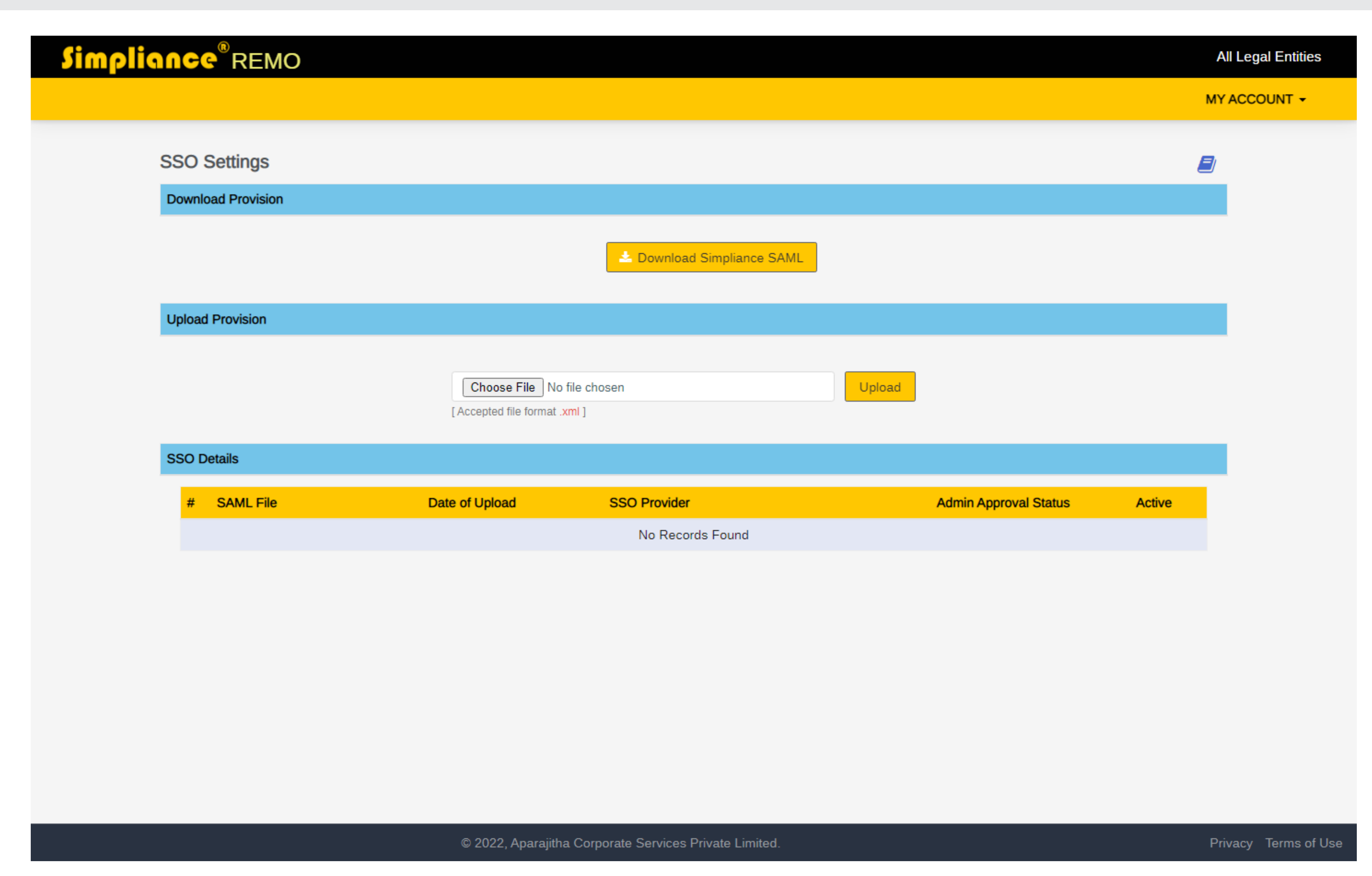
User can log out of Simpliance Remo, by clicking on Log Out option.

Key Features

9.1. Single Sign On
9.2. Multi Factor Authentication
9.3. Criticality

Key Features – Single Sign On (SSO)

- Single Sign On (SSO) is an authentication method that enables the user to securely access multiple applications using one set of credentials.
- To enable SSO, contact Simpliance Remo Administrator at Simpliance customersupport@aparajitha.com.
- After enabling SSO in Simpliance Remo, workflow and configuration of SSO application guide will be available in Group Admin 'SSO Setting' screen.



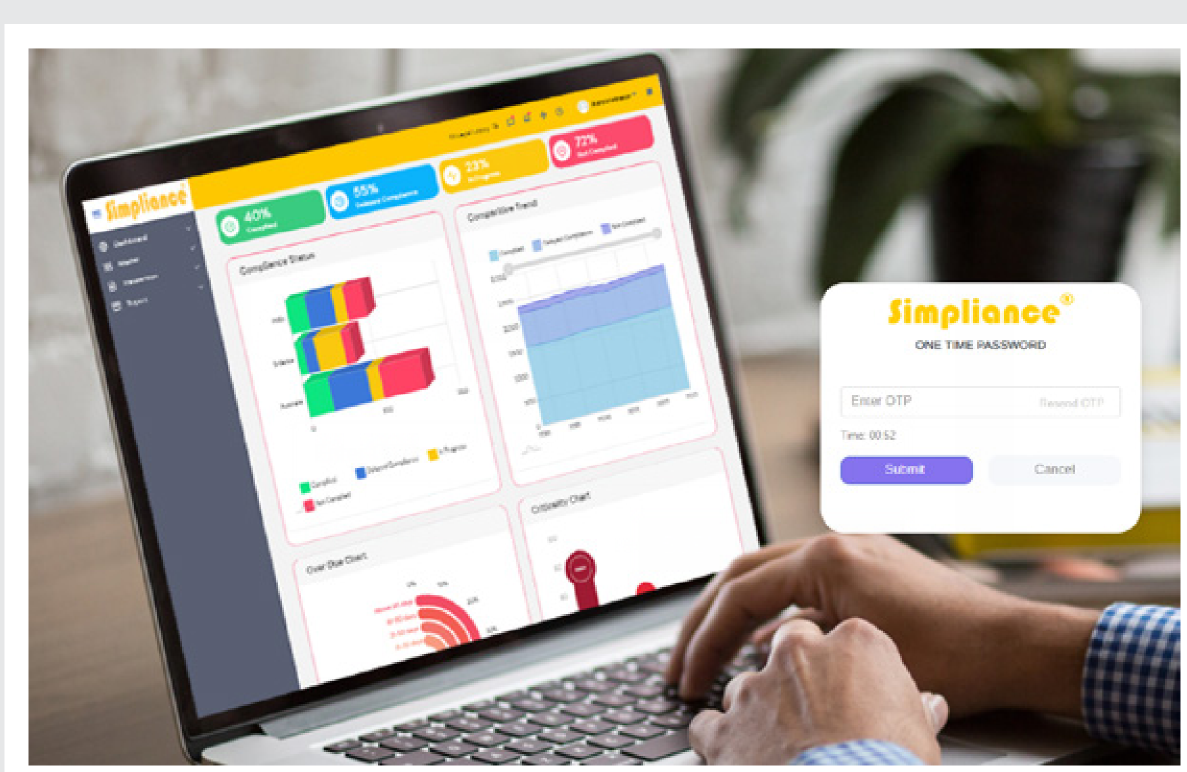
Key Features - Multi Factor Authentication(MFA)

- Multi-factor authentication is an electronic authentication method in which user will be permitted to access Simpliance Remo application only after successfully presenting two or more pieces of evidence to an authentication mechanism.

- MFA protects user data from being accessed by an unauthorized third party that may have been able to discover with single password.

- The use of multiple authentication factors to prove one’s identity is based on the premise, the user will be blocked access to the Simpliance Remo application even if anyone of the authentication factor is missing or supplied incorrectly.

- The multi-factor authentication in Simpliance Remo application is based on the supply of:
  - User Name & Password
  - Captcha (Automatic)
  - One time password sent to the user mobile number (This is optional client wise)
- If MFA is opted by the client, below screen will appear to enter OTP received in user’s registered mobile number



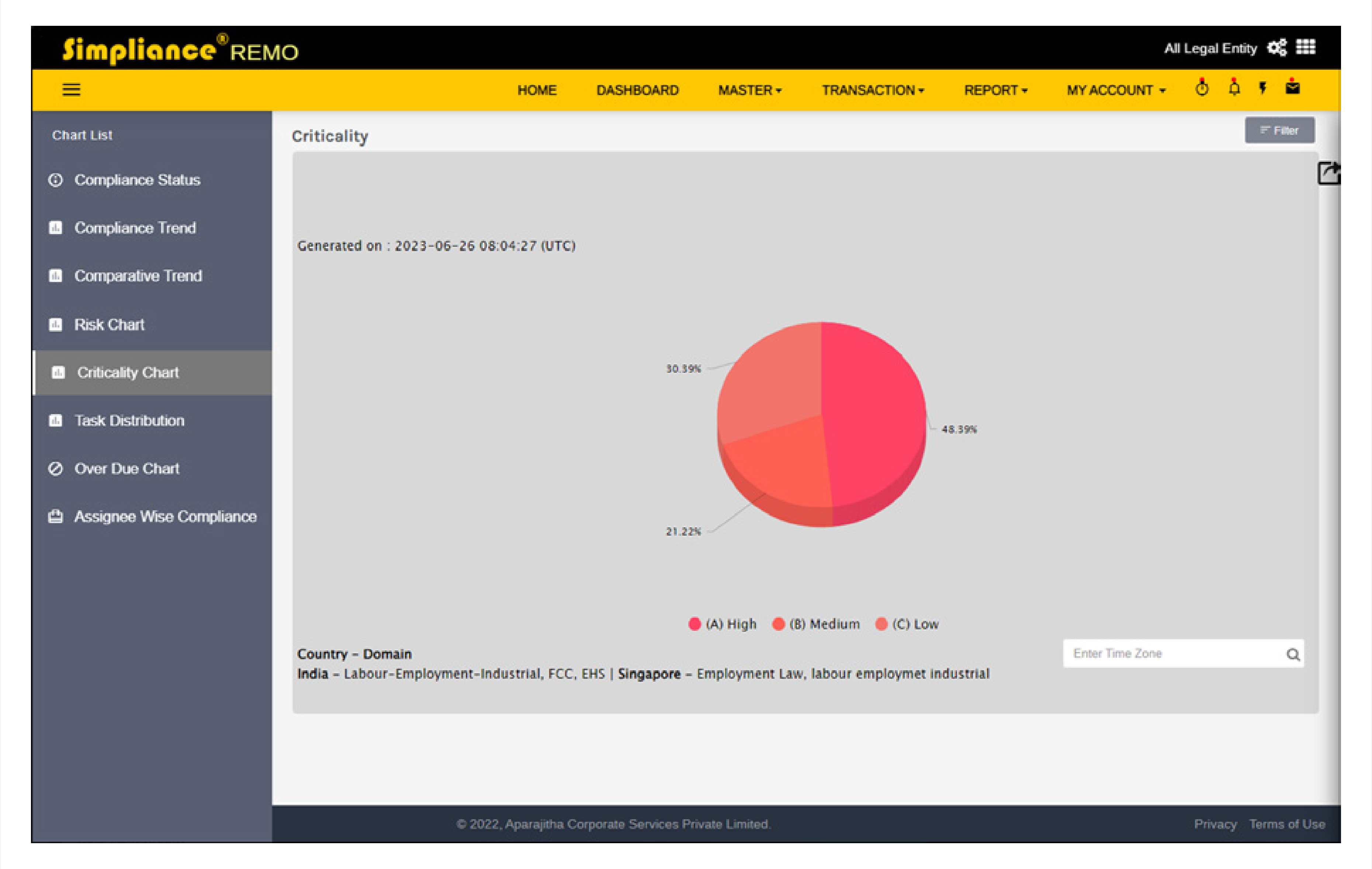
Key Features – Criticality

- To analyze the risk involved in non-compliance the Criticality Chart has been brought in Simpliance Remo application.

- This is a systematic approach to evaluate potential risks involved in case of non-compliance.

- Simpliance Remo application provides following 3 criticality factors:
    - A – Penal Financial Exposure and imprisonment
    - B – Prosecution Exposure and Imprisonment
    - C – Prosecution Exposure with simple fine

- Client can change the criticality factor according to their practice or the parameters fixed by the client.




Compliance Status
Count
Percentage
Criticality
3D Stacked Bar
Filter
Country wise compliance (2023)
Generated on : 2023-06-27 11:47:19 (UTC)
Countries
India
12
2
20
157
0 20 40 60 80 100 120 140 160 180 200
Total Compliance
Complied
Delayed Compliance
Inprogress
Not Complied
Country - Domain
India - Labour-Employment-Industrial, test Compfie
Enter Time Zone
<< Previous Year


Criticality Status
Compliance Status
A
B
C
Filter
Country wise compliance (2023)
Generated on : 2023-06-27 12:01:14 (UTC)
Countries
India
4
1
1
48
0 5 10 15 20 25 30 35 40 45 50 55
Total Compliance
Complied
Delayed Compliance
Inprogress
Not Complied
Country - Domain
India - Labour-Employment-Industrial, test Compfie
Criticality - A
Enter Time Zone
<< Previous Year