| **Sl. No.** | **Issues / Description** | **Date of initiation of the issue** | **Status as on 01.08.2017** | **Status as on 12.09.2017** | **Current Status** | **Status update from MMCS on 06/01/2018** |
| --- | --- | --- | --- | --- | --- | --- |
| **1** | **Data Validation** | **15.05.2017** | **Options (FC/LC/PC/NC/NA) given/assigned for a particular obligation should be displayed in the respective drop down list.** | **The drop down box for each obligation should display those parameters that are particularly assigned to   that obligation.** | **The MMCS team verbally confirmed that Data Validation could not be done as the previous data available in the software would get deleted. Further, the compliance team asked for a written confirmation stating the same which was not provided by the MMCS team.** | **We  have highlighted that making this change will affect the previous report  checking and viewing.** |
| **2** | **Consolidated Branch Report** | **12.09.2017** | **\_** | **A consolidated report should be generated from the application wherein the certification provided by all the branches should be displayed.** | **The Consolidated Obligation Report can be generated through back-end, the obligation titles are not being displayed in the same sequence as they are uploaded in TRACe application** | **Completed** |
| **3** | **Pop-ups for missed obligations by the branches and departments** | **07.08.2017** | **a. When the checker/maker of any Branch/Department has left out any obligation, the system should display an alert message for the Maker - "You have completed \_\_ out of \_\_\_ obligations.” and alert message for the Checker - “You have verified \_\_ out of \_\_\_ obligations.”**  **b. A second pop-up displaying the message for the Branches only - "Please attach the DSC Compliance Certificate (Annexure IV) and/or the DSC Obligation list (Annexure III) in excel and pdf format for the linked DSCs" has to be enabled in every Maker/Checker account, requesting them to attach the required annexures before final submission through 'Attach/View Proof' button [which should be renamed as " Attachments of DSC Compliance Certificate and DSC Obligation List"]. However, the access to enclose documents should solely lie with the maker only. The Checker should only be able to view the attachments made by the Maker. No modification should be allowed by the Checker. Only accept/reject option should be given under Checker details.**  **Until and unless the documents/annexures are enclosed, the system should not allow the Maker/Checker of the Branch to submit the final compliance certificate.** | **Pending.** | **This issue stands resolved as per the testing done in the UAT server.** | **Completed**                  **Completed** |
| **4** | **Clusters and branches are being   reorganised in the Bank from time to time. As such, we need the feature in the application where shifting of branches from one cluster to another and shifting of clusters from one region to another is possible.** | **25.07.2017** | **The branches can be shifted from one cluster/region to another cluster/region through Branch Master module. However, shifting of clusters from one region to another in the application is not yet possible. For this activity, a "Cluster Master" may be allotted in the Master tab.** | **Pending** | **Pending** | **Completed** |
| **5** | **Scheduling of Branches** | **15.05.2017** | **During scheduling of the Branches, once few branches have been selected and saved for certifying, multiple selections for other branches are then not allowed in the application for further scheduling.** | **Pending** | **No update has been provided by FIS or MMCS team.** | **Completed** |
| **6** | **Percentage calculation under Pie/Bar charts is not correct. Also, Obligation wise and Branch wise analysis are required under Pie/Bar charts.** | **15.05.2017** | **The calculation displayed in the Pie/Bar charts for all the branches are correct. However, the charts are not getting displayed according to the Obligation Title, i.e. the content inside   is incorrect.** | **As the data displayed under the Report tab is incorrect, consequently the data displayed in the Pie/Bar charts are also incorrect.** | **No update has been provided by FIS or MMCS team.** | **We had informed the compliance team to check and give us the details as we are not able to identify.** |
| **7** | **Under 'Report' module, the serial number of the rejected points and FC/LC/PC/NC/NA points are not in accordance with the serial number of the original obligation list.** | **15.05.2017** | **For example, in the UAT, for Bemetara branch two obligations were Largely Complied which are as follows:**  **a. KYC for new Customers (i)**  **b. KYC for non-account holders**  **In the report tab, number of obligations Largely Complied is displayed as 2 which is correct. However, the Title/Description of these two obligations are not the ones that have been Largely Complied by Bemetara Branch.**  **The serial numbers are also distorted in the report tab. The same case applies for the Fully Complied, Partially Complied, Not Complied and Not Applicable points.** | **Partially resolved.**  **The point was moved to production and the compliance team did sample checks for few branches. The percentage calculation displayed in the report tab is incorrect when the data is sorted as per the Obligation Title.**  **The Serial numbers are getting displayed as required for the branches that were checked on a sample basis.** | **This point stands resolved in live server.** | **Completed**              **Completed** |
| **8** | **Cluster-wise and Region wise analysis along with analysis of ‘N’ number of branches** | **07.08.2017** | **In obligation charts and reports module, cluster wise and region wise segregation are needed for reflecting the status of compliance (in both pie and bar chart) for the number of branches present in the clusters and regions. Also, the option to select ‘N’ number of branches should be given in the obligation charts and report module for checking the compliance of ‘N’ branches.** | **Pending. The option for Cluster and Region have been provided. However, the option for ‘N’ no. of branches is yet to be given.** | **No update has been provided by FIS or MMCS team.** | **Completed** |
| **9** | **Export of charts** | **07.08.2017** | **The application should allow the export of bar and pie charts displayed under the "Obligation Charts" in word (.doc) or PowerPoint (.ppt) format.** | **Pending. The option for export of charts has been provided. However, from the exported excel file, no chart or graph or any content is visible.** | **No update has been provided by FIS or MMCS team** | **Completed**  **As informed earlier this needs MS excel to generate the report.** |
| **10** | **Attachments corresponding to the obligations for the Branches and Departments** | **07.08.2017** | **Documents/enclosures for all the obligations can be done through 'Attachments'. However, the column should display the actual name of the document (for better understanding and clarity) which has been enclosed by the branches in respect to each obligation. The column should have a header ‘Attachments for Branches’.** | **The “Attachment” column that existed beside the “Remarks” column for the Checker has been removed by the MMCS team, following which the branches are not being able to attach the supporting documents/enclosures against each obligation.** | **No update has been provided by FIS or MMCS team.** | **Common attachment has been provided for the entire assignment. Obligation wise attachment - needs some more time. We are working on it.** |
| **11** | **Correction in the Bar Chart and Pie Chart** | **07.08.2017** | **In obligation charts, the filter for selection of "Obligation Title" has been provided under charts, the result when a particular obligation title is chosen, should display the bar graph where the Y-axis should denote "No. of Branches" instead of "No. of obligations".**  **a. The notation "No. of Obligations" stated in Y-axis is upside down which needs to be corrected.**  **b. Under Pie-chart, the above respective changes should also be made available.  The changes needed in respect of the pie-chart is enclosed in the mail.**  **The Legend "Status of Compliance" should be denoted vertically beside the pie-chart. On the pie-chart the numeric value along with the percentage of the parameter should be displayed. For example, there are 279 Fully Complied obligations by all   the Branches are present in UAT for the month of June, 2017. This should be displayed on the Pie-Chart as - 279, 66%.** | **Pending.** | **No update has been provided by FIS or MMCS team.** | **This will be done.**              **This will be done.**          **Completed - On the pie-chart the numeric value along with the percentage of the parameter should be displayed.** |
| **12** | **Export for FC/NC/LC/PC/NA points displayed under ‘Report’ module.** | **07.08.2017** | **The "Export" button is not present for the FC/NC/LC/PC/NA points under reports tab for any particular Branch.** | **Pending.** | **The button has been provided by the MMCS team however, the same needs to be renamed to “Export” from “Report”** | **completed** |
| **13** | **Non – Compliance Report: Calculation for compliance status will be only on the applicable parameters i.e., after subtracting the NA parameter.**  **For instance, if out of 600 branches 100 branches have certified a particular point as NA then from amongst the 600 branches,100 branches need to be subtracted and on the remaining 500 branches the percentage has to be calculated.** | **12.09.2017** | **\_** | **Non -Compliance report should be generated branch wise as a separate report.** | **No update has been provided by FIS or MMCS team.** | **completed** |
| **14** | **Data Swapping** | **12.09.2017** | **\_** | **DSC Certification uploaded by one branch is getting displayed under another branch name.** | **No update has been provided by FIS or MMCS team.** | **We had replied to this. When we checked for few branches it was coming correct. So we asked for a particluar branch where this was happening. But we didn't get the response form the team.** |