# User Manual / Operational Guidelines OID Application

This document provides detailed instructions for using the OID Application.
**Target Audience:** Bank Users

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# 1. INTRODUCTION

The OID Application has been created for Reserve Bank of India, Overseas Investment Division (OID) and will enable RBI to efficiently computerize, store, query and analyze data generated and received by OID.

## 1.1. Purpose of this Document:

This document provides detailed usage instructions for working with the OID Application and is intended to serve as a reference document for users of this Application.

## 1.2. Definitions and Acronyms Used in this Document:

| Phrase / Abbreviation | Description |
|---|---|
| AD | Authorized Dealer |
| OID | Overseas Investment Division |
| RBI | Reserve Bank of India |
| UIN | Unique Identification Number |
| ESOP | Employee Stock Option Plans |
| Transaction | A “Transaction” is a workflow-based task that is performed by banks and RBI. The current release of the OID Application supports the following Transactions:<br>❖ Part I (New Project Creation) – Automatic and Approval Routes<br>❖ Part I – Section C (Investments in Existing Projects)<br>❖ Part II – Reporting of Remittances<br>❖ Part III – Annual Performance Reporting<br>❖ ESOP Schemes – Annexure I and II<br>❖ Investment by Mutual Funds<br>❖ Portfolio Investments (AP DIR Circular 66) |

## 1.3. Application Users

There are broadly two categories of users:

1. Users from Banks reporting to RBI (**Bank Users**), and
2. Users from RBI's OID (**RBI Users**). Among RBI Users, three distinct categories of users exist as defined below:

| User Type | Description |
|---|---|
| Bank Users | All end-users of the Banks that report to RBI. There can be multiple user IDs for each Bank. All Bank Users have the same privileges. |
| RBI User – Viewer | An RBI user who has data-entry privilege, but no ratification privilege. |
| RBI User – Approver | An RBI user who can approve, refer-back or reject Transactions awaiting RBI ratification. |
| RBI User – Overrider | Currently, essentially the same as RBI Approver in terms of Application privileges. |

## 1.4. Transaction Status Codes and their Meaning

| Status Name | Description |
|---|---|
| **Pending** | The Transaction has been created and exists in the Database with a unique Transaction Number, **but is not yet visible to RBI Approver / Super-User roles, but is visible to RBI Viewer role**. A **Bank user or RBI Viewer** can work with the Transaction without any restrictions. |
| **Reported / Submitted to RBI** | The Transaction has been submitted to RBI successfully. **A Transaction can acquire this status only if the Application's validation logic determines that the Transaction does not require RBI's ratification**. In this case, the Transaction acquires this status immediately upon submission of the data. **Where applicable, the UIN is generated immediately.** |
| **Pending for RBI Ratification / Approval** | The Transaction has been submitted to RBI but is awaiting ratification from the authorized RBI user. |
| **Approved** | The Transaction was routed to RBI for ratification, and was subsequently successfully ratified by RBI. **Where applicable, the UIN is generated as soon as the authorized RBI user approves the Transaction.** |
| **Referred Back** | The Transaction was routed to RBI for ratification, but was subsequently sent back to the concerned Bank by an authorized RBI user. **This may happen if an approval could not be issued for the Transaction due to data discrepancies.** The concerned Bank must re-submit the Transaction; and the Transaction will again be routed to RBI for ratification. |
| **Rejected** | The Transaction was routed to RBI for ratification, **but RBI has, at its discretion, decided that the Transaction cannot be approved**. The Transaction then acquires this status and subsequently cannot be worked with by the submitting Bank. **The Transaction is effectively de-activated permanently and its status cannot be changed under any circumstances by any user.** |

## 1.5. User Permissions Matrix

A role-based permission matrix is implemented in the OID Application. **What a user can do with a Transaction in a particular status is defined in the tables below.**

| Transaction Status | PENDING | | | |
|---|---|---|---|---|
| User Role / Permission | Bank User | RBI Viewer | RBI Approver | RBI Overrider |
| Update Transaction | Y | Y | N* | N* |
| Delete Transaction | Y | Y | N* | N* |
| Submit Transaction to RBI | Y | Y | N* | N* |
| * The Transaction is not visible to this user. | | | | |

| Transaction Status | REPORTED / SUBMITTED TO RBI | | | |
|---|---|---|---|---|
| User Role / Permission | Bank User | RBI Viewer | RBI Approver | RBI Overrider |
| Update Transaction | N | N | Y | Y |
| Delete Transaction | N | N | N | N |
| View Transaction | Y* | Y* | Y | Y |
| * The Transaction is visible in READ-ONLY mode to this user. | | | | |

| Transaction Status | PENDING FOR RBI APPROVAL / RATIFICATION | | | |
|---|---|---|---|---|
| **User Role** / **Permission** | **Bank User** | **RBI Viewer** | **RBI Approver** | **RBI Overrider** |
| Approve Transaction | **N** | **N** | **Y** | **Y** |
| Reject Transaction | **N** | **N** | **Y** | **Y** |
| Update Transaction | **N** | **N** | **Y** | **Y** |
| Delete Transaction | **N** | **N** | **N** | **N** |
| View Transaction | **Y*** | **Y*** | **Y** | **Y** |
| *** - The Transaction is visible in READ-ONLY mode to this user.** | | | | |

| Transaction Status | APPROVED | | | |
|---|---|---|---|---|
| **User Role** / **Permission** | **Bank User** | **RBI Viewer** | **RBI Approver** | **RBI Overrider** |
| Change Transaction Status | **N** | **N** | **N**** | **N**** |
| Update Transaction | **N** | **N** | **Y** | **Y** |
| Delete Transaction | **N** | **N** | **N** | **N** |
| View Transaction | **Y*** | **Y*** | **Y** | **Y** |
| *** The Transaction is visible in READ-ONLY mode to this user.**<br>**** Once the Transaction is ratified (approved), its Status cannot be changed by any user.** | | | | |

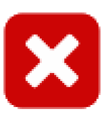
| Transaction Status | REFERRED-BACK | | | |
|---|---|---|---|---|
| **User Role** / **Permission** | **Bank User** | **RBI Viewer** | **RBI Approver** | **RBI Overrider** |
| Change Transaction Status | **Y** | **Y** | **N*** | **N*** |
| Update Transaction | **Y** | **Y** | **Y** | **Y** |
| Delete Transaction | **N** | **N** | **N** | **N** |
| View Transaction | **Y** | **Y** | **Y** | **Y** |
| *** Once the Transaction is Referred-Back to the Bank, RBI users cannot change the Status, but can otherwise modify the Transaction's data.** | | | | |

| Transaction Status | REJECTED | | | |
|---|---|---|---|---|
| **User Role** / **Permission** | **Bank User** | **RBI Viewer** | **RBI Approver** | **RBI Overrider** |
| Change Transaction Status | **N** | **N** | **N*** | **N*** |
| Update Transaction | **N** | **N** | **Y** | **Y** |
| Delete Transaction | **N** | **N** | **N** | **N** |
| View Transaction | **Y** | **Y** | **Y** | **Y** |
| *** Once the Transaction is Rejected, RBI users cannot change the Status, but can otherwise modify the Transaction's data.** | | | | |

# 2. UNDERSTANDING THE USER INTERFACE

## 2.1. GUI ELEMENTS

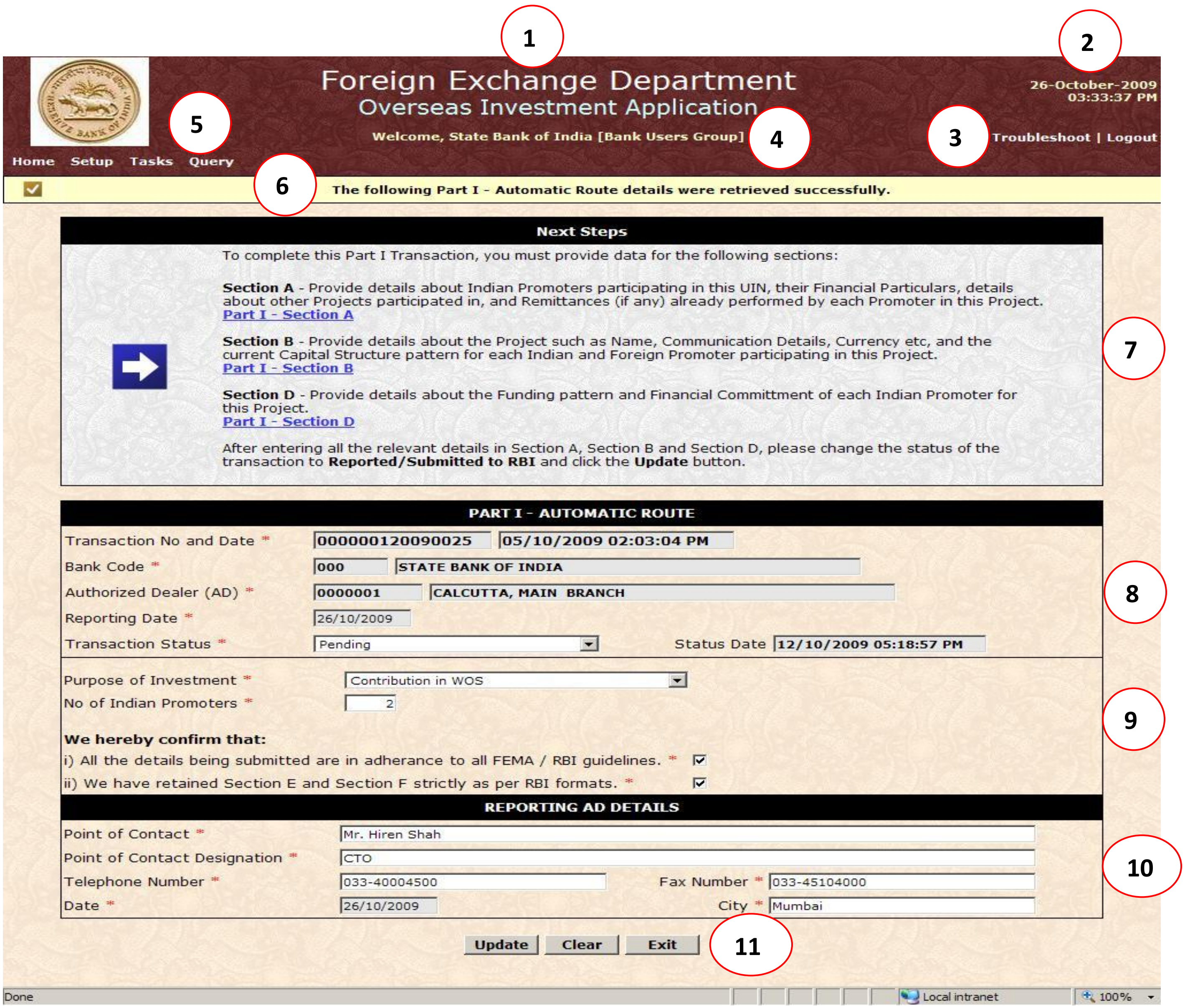
The Application uses various icons to provide you a friendly and easy-to-understand interface. Some of the important icons and their usage in the Application are shown below. **Note**: There may be slight changes in the Application GUI – the screenshots provided in this document may change slightly in the Production environment.

| Icon Image | What is this? | Description |
|---|---|---|
|  | Lock Icon | This icon appears on the login page and denotes that you are **currently not logged-in**. You must enter your credentials and login to continue working. |
|  | Information Icon | This icon indicates that some important information messages were generated by the Application. **You are advised to read the messages before performing any other action**. |
|  | Warning Icon | This icon appears to indicate that warning messages were generated by the Application. **Usually these messages pertain to business validation failures that require your immediate attention, before you can complete your task.** |
|  | Error Icon | This icon indicates that severe errors occurred while performing the operation you requested. If the icon appears on the top of the Transaction page, it indicates that your **page data could not be saved.** |
|  | Question Icon | This icon appears whenever **your confirmation is required** to perform the operation you requested. |

| | | |
|---|---|---|
|  | Next Steps Icon | This icon appears in the "**Next Steps**" dialog. The icon indicates that there are links to other (child) Transaction pages that you need to complete. |
|  | Calendar Button | This button appears next to all editable Date fields and enables you to select a desired date. |
|  | Search Button | This button appears next to all fields that have a search facility. Clicking this button opens the appropriate search window. |
|  | Confirmation Icon | This icon appears on the message bar when an operation completes successfully. |
|  | Failure Icon | This icon appears on the message bar when an operation does not complete successfully. |

## 2.2. General Screen Layout

Please refer the snapshot and the legend below to understand various screen elements in a Transaction screen:



| Legend | What is this? | Description |
|---|---|---|
| 1 | **Page Header** | The Page common header page appears in dark red color. **Transaction child (inner) pages do not contain the page header.** |
| 2 | **Date and Time** | The current system date and time appear on the page header at Top, Right. |
| 3 | **Contact Us, Help and Logout Links** | Contact Us leads to a page that displays RBI contact information for any assistance you may require with the OID Application. Help leads to the help screen for OID Application. The Logout link will log you out. **Any unsaved changes will be lost.** |
| 4 | **Welcome Panel** | The logged-in user name, Group and time of login are displayed in the Welcome Panel. |
| 5 | **Menu Panel** | The Menu Panel contains all the menu commands available to the logged-in user. **You can only work with the links which appear in the Menu Panel.** To open the menu, move your mouse over the menu bar and the menu will expand. |
| 6 | **Message Panel** | This information panel displays operational status messages returned by the database after each operation, such as the outcome of a Get, Add, or Modify command. |
| 7 | **Next Steps Dialog** | This dialog contains a link to each section exposed by this Transaction. Click the link for a particular section and enter information required on that page. **Transactions cannot be submitted to RBI unless all mandatory sections are filled with correct data.** |
| 8 | **Transaction Header** | Each Transaction has a set of common fields. These fields are: Transaction Number and Date, Bank Code and Name, AD Code and Name, Reporting Date, File Reference Number, Transaction Status, Status Date and Remarks. **Depending on the user privileges, one or more fields may not be visible. Only the Transaction main page display the Header. Inner (child) sections do not contain this Header.** |

| | | |
|---|---|---|
| 9 | **Transaction Body** | Each Transaction contains fields that appear below the Transaction Header. **These fields constitute the body of the Transaction.** You are expected to provide the actual data in these fields for submitting to RBI. |
| 10 | **Transaction Footer** | Each Transaction main page contains information about the Reporting AD. **If the Reporting Authorized Dealer details are available in the Authorized Dealer Master, the details will be populated into the Footer as soon as you type the Authorized Dealer Code or select an Authorized Dealer using the search screen.** |

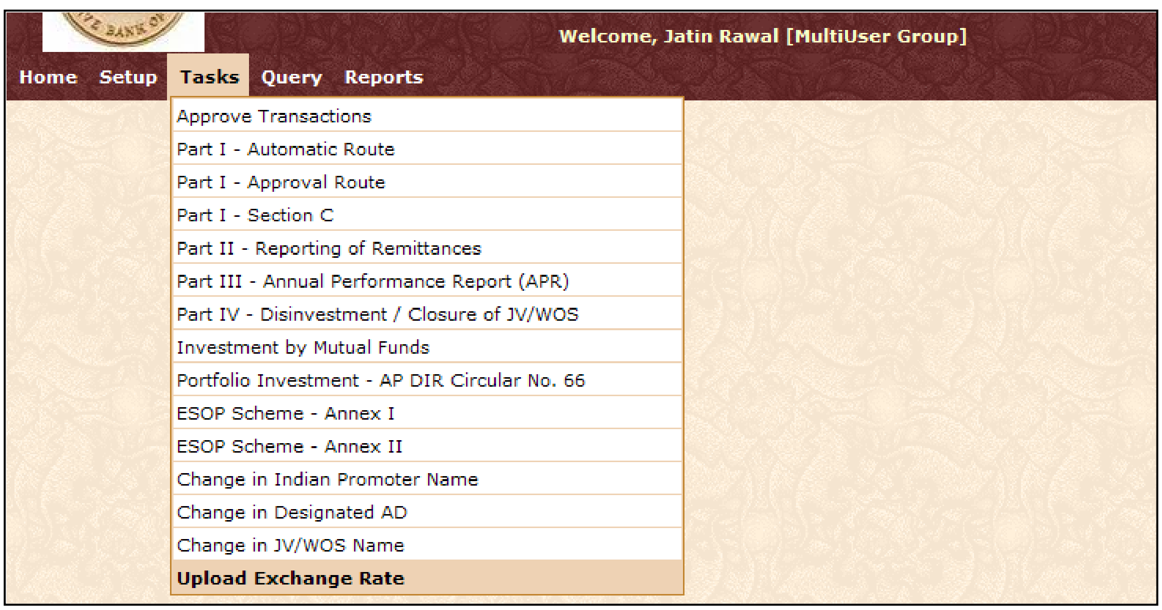
| | | |
|---|---|---|
| 11 | **Buttons Panel** | These buttons enable you to perform a desired action on the currently open screen. **Note that only valid actions are available, other actions are hidden from view.** For example, while modifying a Transaction, you will not see the **Add** button since this operation is not permitted when you are editing a Transaction.<br><br>**Click the corresponding Action button to perform an action with the currently opened screen.**<br><br>The following buttons are **always available** in the Buttons Panel:<br><br>❖ **<u>Clear</u>**: Clears the contents of the currently open Transaction. All unsaved changes are discarded.<br><br>❖ **<u>Exit</u>**: Takes you back to the Welcome page. All unsaved changes are discarded. On child pages, a **Close** button appears instead of **Exit**; its purpose is to **simply close** the **new window** that was opened for that screen.<br><br>❖ **<u>Reset</u>**: Clears your typing in all fields on the form, and restores the value of each field to what it was before you replaced them.<br><br>The following Action buttons are **conditionally available** in the Buttons Panel:<br><br>❖ **<u>Add</u>**: Available only in **ADD** mode. Click this button to add a new Transaction or Master record to the database.<br><br>❖ **<u>Update</u>**: Available only in **UPDATE** mode. Click this button to update an existing Transaction or Master record. |

## 2.3. Understanding Page Navigation

Page Navigation is implemented in a consistent manner throughout the OID Application. So, whether you are working with a Master, or completing a Transaction, or performing a query, you will find that navigation is always similar and easy to understand.

### 2.3.1. Finding Your Screen

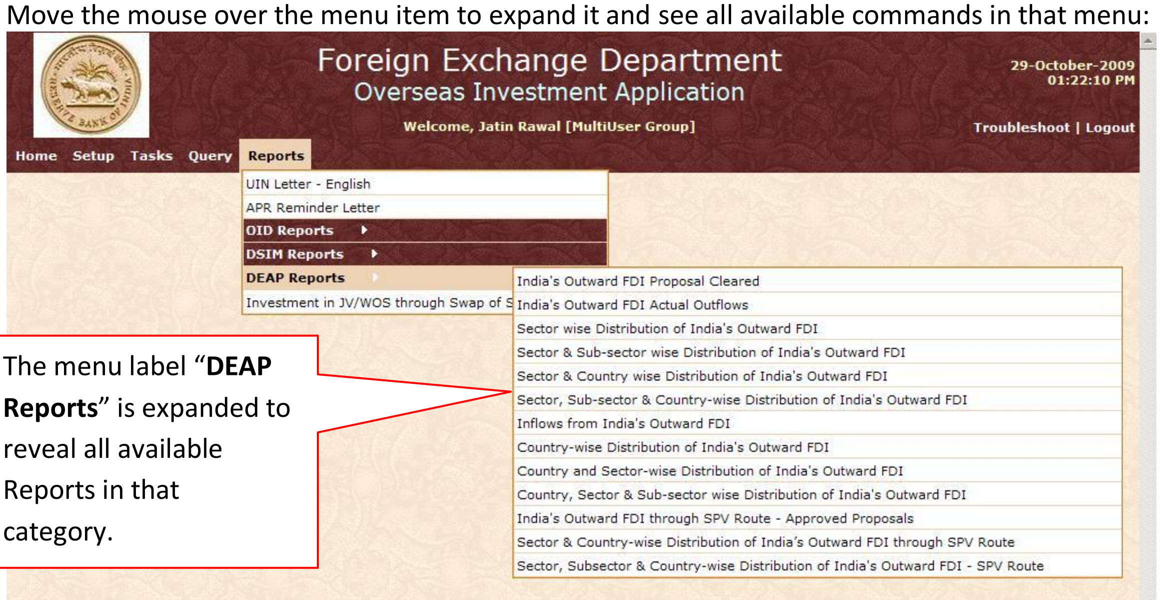
Your screen will be listed in the **Menu Panel**. Move the mouse over the **Menu Panel** and it will expand and show you all allowed **Master**, **Transaction**, **Query** and **Report** screens. The following series of screenshots shows how the menu looks like for a RBI User.


Note below that some Reports menu items are **differently formatted**; a menu item that contains sub-items appears on a dark background, with an arrow-mark located next to it, indicating that the menu can be expanded to reveal another set of menu items.

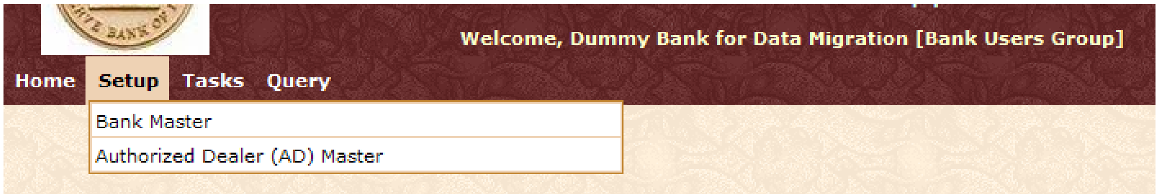

Some **Report Labels** in the Menu Table appear against a dark background with an arrow-mark that indicates that the **menu item contains more commands**.

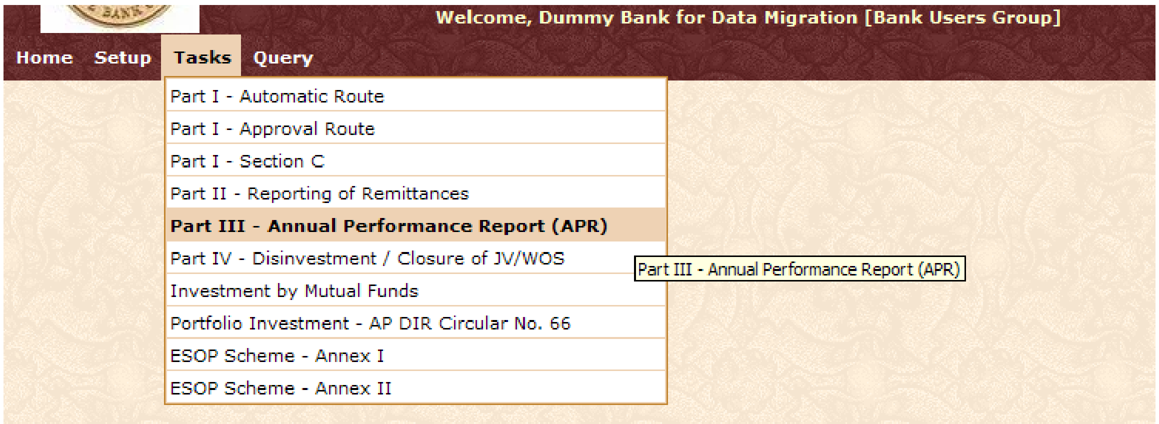
Move the mouse over the menu item to expand it and see all available commands in that menu:

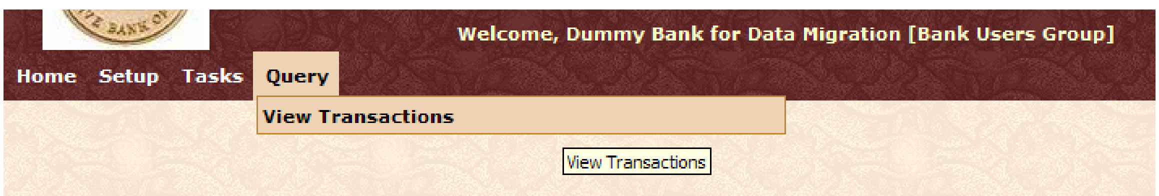



The menu label "**DEAP Reports**" is expanded to reveal all available Reports in that category.

The following screenshots show how the **Menu Panel** appears for a **Bank User** (who by default has **lesser privileges** than a RBI User):



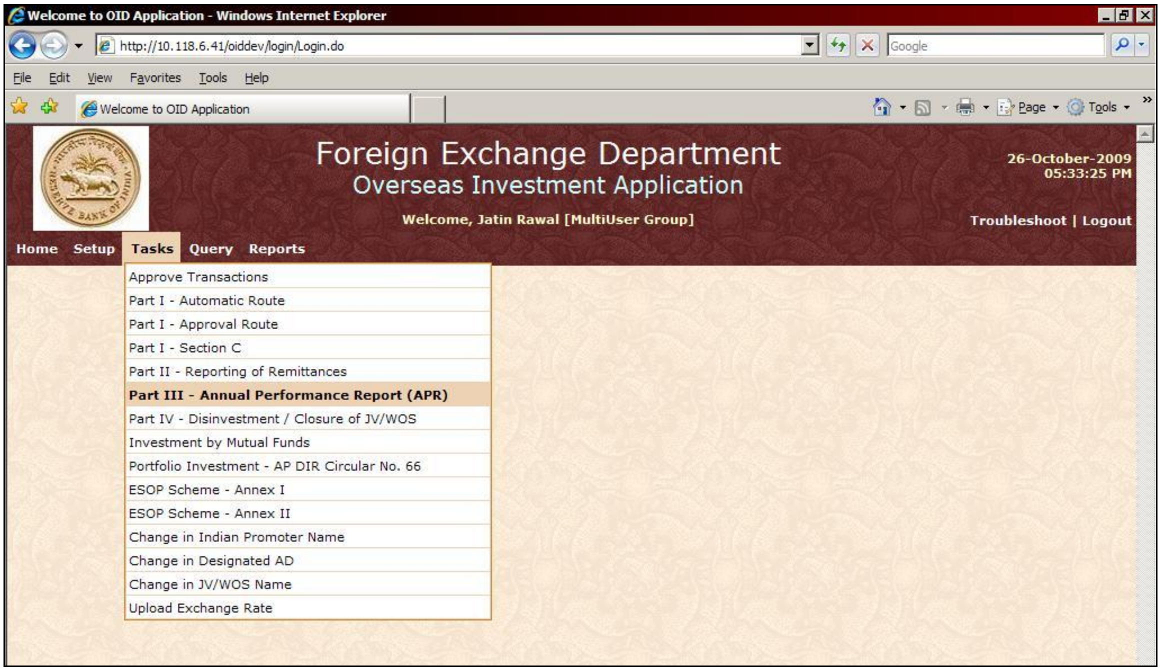




Note that, in general, **Bank Users have a much more restricted access to the Application than do the RBI Users**. **Not all Transactions are exposed to every Bank User**; this depends on what permissions are mapped for that **Bank Group**. Also, no "**Report**" menu item appears for the Bank User, as currently **no reports are exposed to the Bank Users Group**.

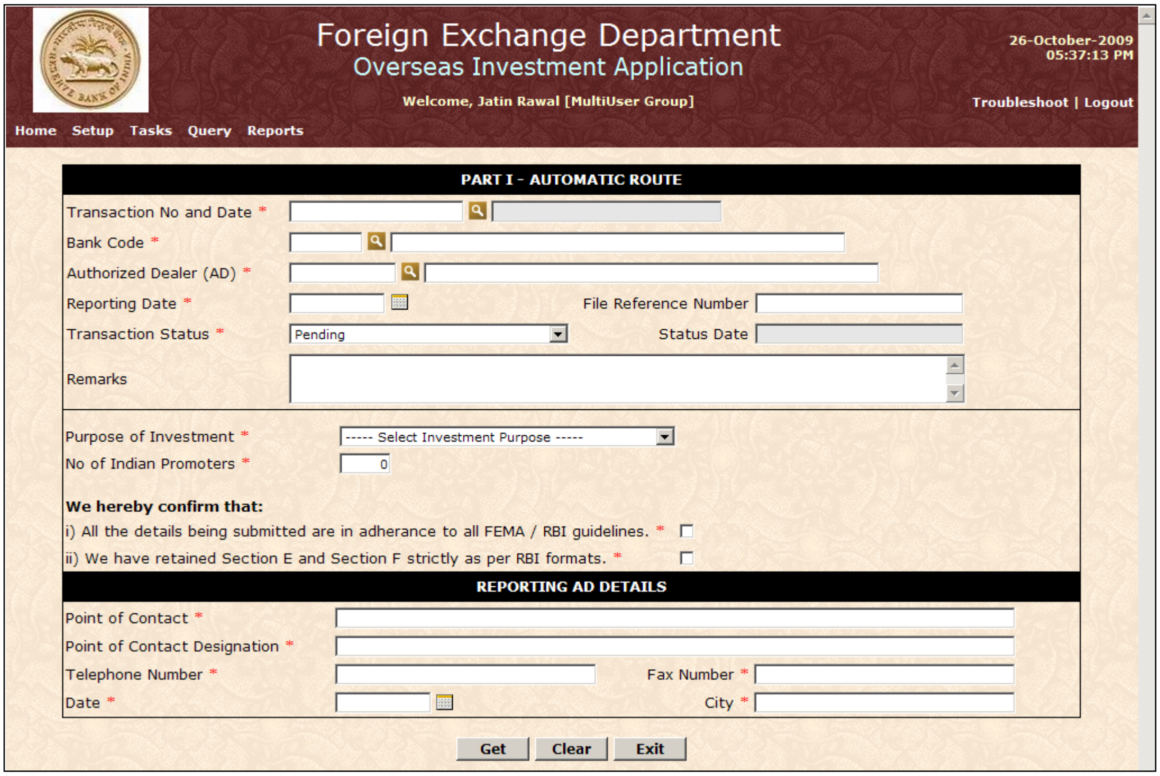
If you work with a particular Transaction but cannot see it on the Menu Panel, please send a request for access to your RBI contact person.

## 2.3.2. Opening Your Screen

1) Move the mouse over the Menu Panel. The Menu Panel will expand and reveal available commands:



2) Click on the screen you wish to open. In this example, **Part I – Automatic Route Transaction screen** has been chosen. The selected screen will open in the same browser window. The expanded **Menu Panel collapses automatically**.




3) You can now start working with the opened screen.

## 2.3.3. Using Navigation Buttons

As explained earlier in Section 2.2, navigation is implemented in the **Buttons Panel**. Each screen will contain this Panel, exposing the buttons relevant for that screen. **The Buttons Panel will only contain buttons that are relevant to you**; this is decided based on your permissions, the page status and other factors.

However, all screens will contain a **Clear** button and a **Close** or **Exit** button that allows you to leave the page. Master Screens additionally contain a **Reset** button that is explained in Section 2.2.

The **Buttons Panel differs slightly between Master, Transaction and other pages**. A series of screenshots below shows you how to enter and exit pages, work with buttons on a page and certain other navigational features.

The following table describes all **Action Panel Buttons** in detail:

| Button Name | Action |
| --- | --- |
| **Get** | Performs a **GET** command to fetch data from the backend. Information required for the **GET** operation must be provided. |
| **Add** | This button appears only when the screen is in **ADD** mode and the user has the permissions to insert data. This button performs an **INSERT** operation on the backend table(s). Before information can be added, all specified validations will be applied and must be successfully completed. |
| **Modify** | This button appears only when the screen is in **MODIFY** mode and the user has the permissions to modify existing data. This button performs an **UPDATE** operation on the backend table(s). Before information can be updated, all specified validations will be applied and must be successfully completed. |
| **Reset** | This button has **special functionality**: it can be used to reset your changes to all fields on the screen at one go. Whatever data was present in the fields originally will be restored.<br><br>**Caution: This button will discard newly typed information in all fields without warning.** |
| **Exit / Close** | The **Close** button is only visible for windows that were opened by a Transaction main page. When clicked, the **Close** button **simply closes the new window** and returns you to the Transaction main page.<br><br>The **Exit** button is present on all other screens, and when clicked, the button takes you back to the Home page.<br><br>**Caution: These buttons will discard all unsaved information on your current page without warning.** |
| **Clear** | This button will refresh the page, re-initialize all fields, and show you the same page in **ADD** mode, if applicable.<br><br>**Caution: This button will discard all unsaved information on your current page without warning.** |

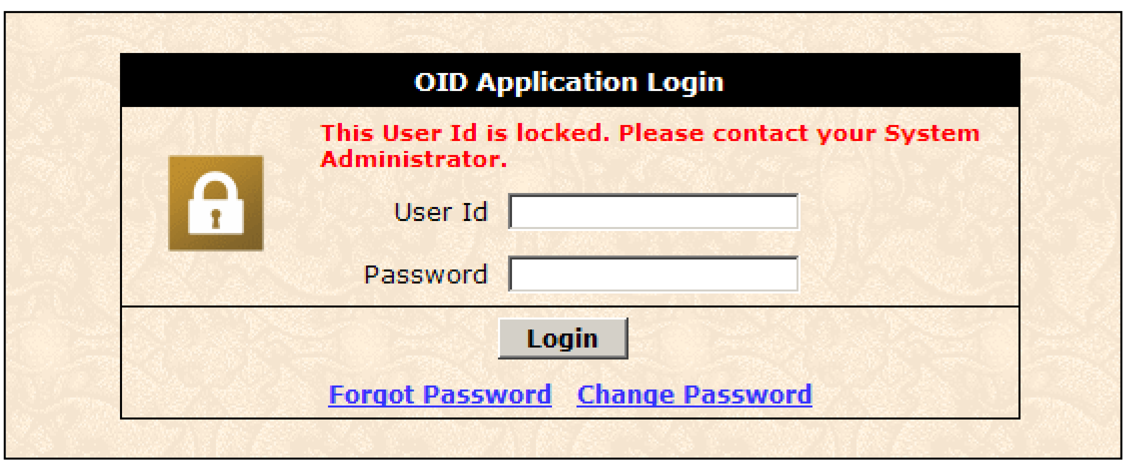
# 3. PERFORMING COMMON TASKS

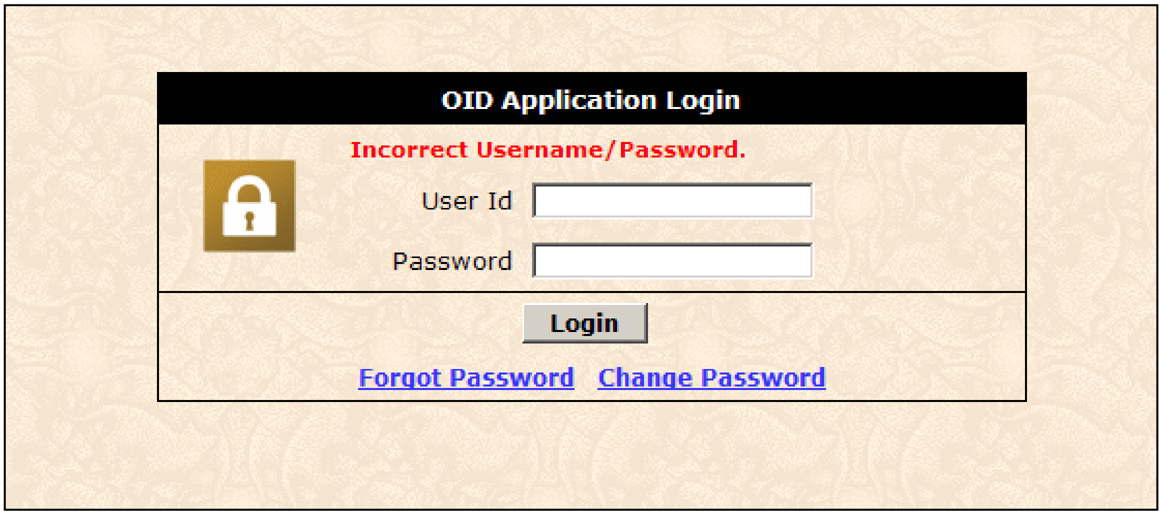
## 3.1. LOGGING-IN TO THE APPLICATION:

Users can connect to the OID Application through RBI's Secured Website using the URL:
[https://secweb.rbi.org.in/oid/login/Login.do](https://secweb.rbi.org.in/oid/login/Login.do)

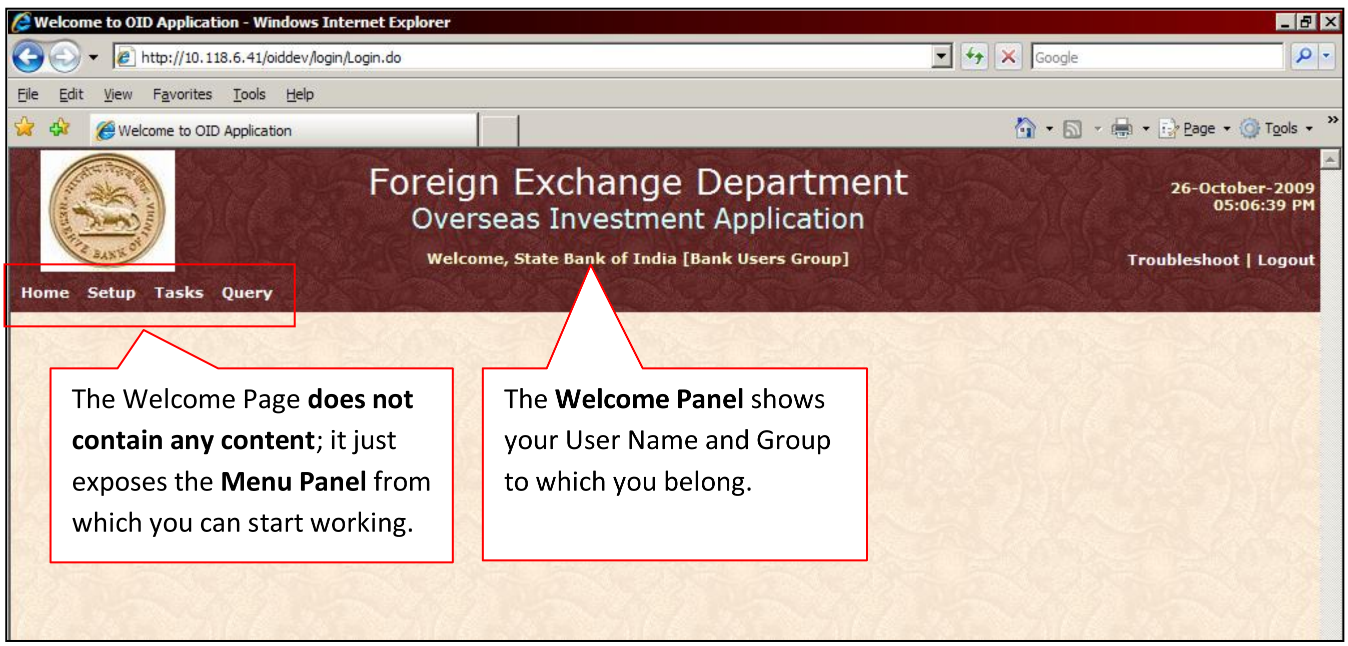
When you enter the above URL, the Application Login screen appears:


Enter your User Id and Password and **click Login** or **press Enter**. If your password does not match, or if your User ID is locked, you will see the appropriate message:






If your login was successful, you will be taken to the **Welcome Page.**

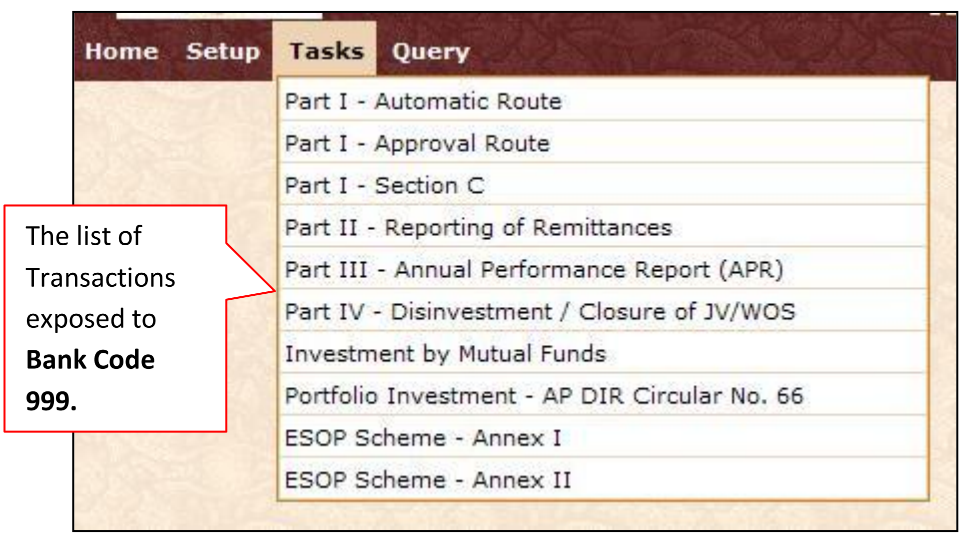


## 3.2. OPENING A PAGE

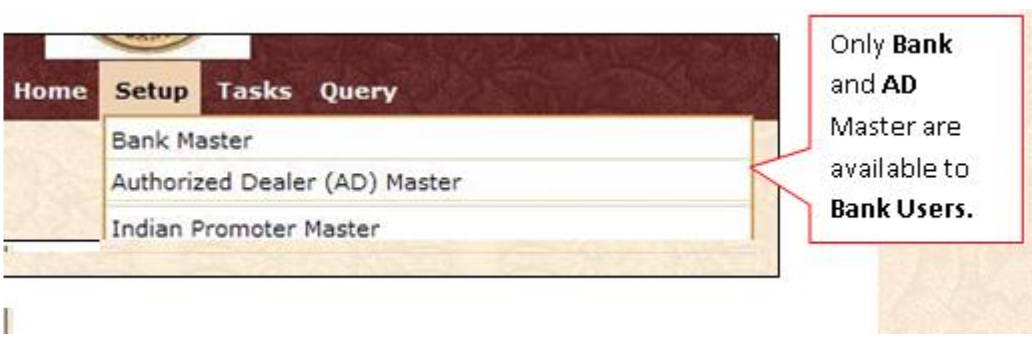
Links to available screens are contained in the **Setup**, **Tasks** and **Query** Menu items. **Move the mouse over a Menu item and the list of available screens in that item is displayed in a drop-down table**. Click the screen you wish to work with, and the Application will open the screen in the same browser window.

## 3.3. Accessibility Restrictions

All Transactions that provide data to RBI are exposed to all reporting Banks. Administrative tasks, such as change in the Designated AD for a particular Project (UIN), change in the Name of an existing Project etc, advanced query options, and reports are currently only available to RBI.

Among Masters, Bank Users have **restricted access** to only Bank Master and AD Master. In these Masters, Bank Users can **only access details pertaining to their own Bank and reporting ADs**. RBI Users are allowed unrestricted access to all Masters.

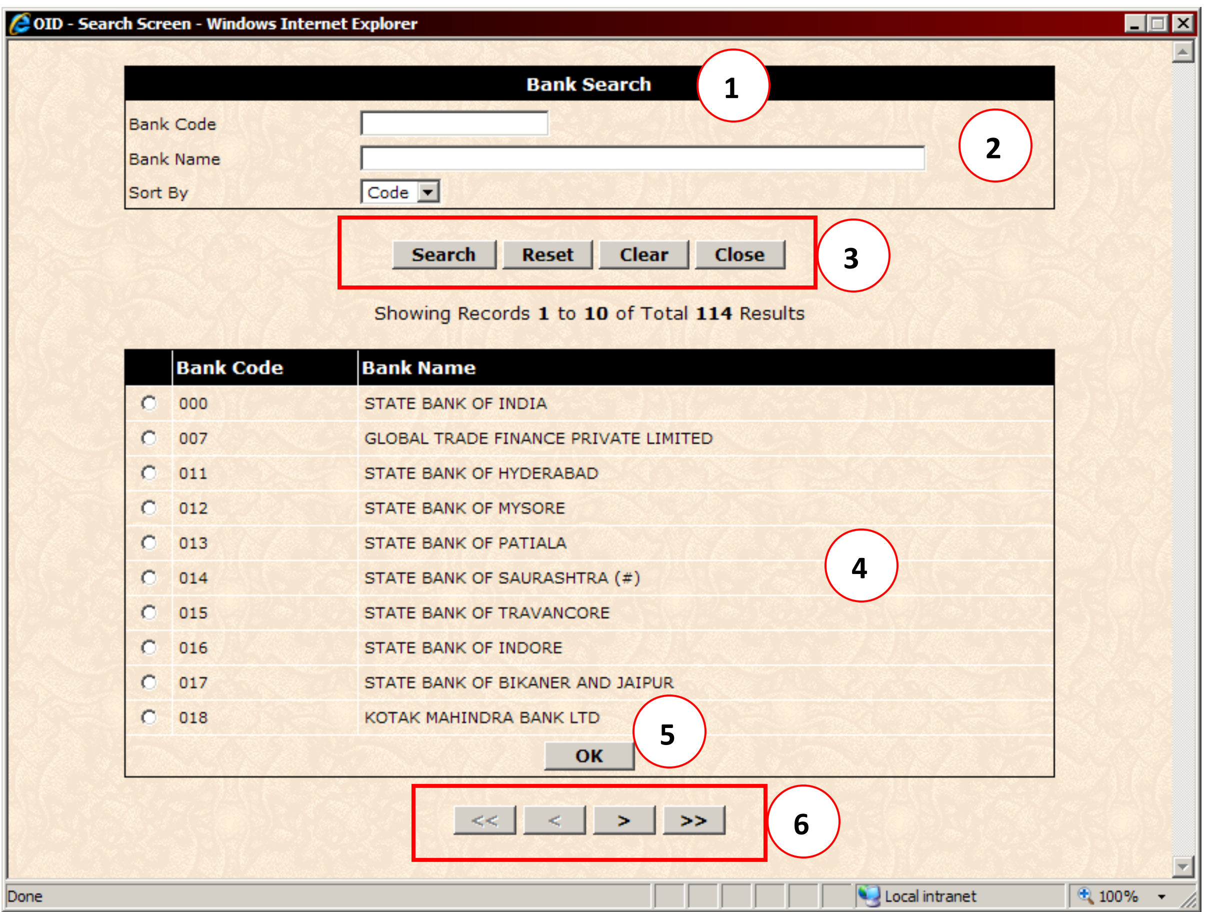



## 3.4. Opening and Working with Search Windows:

**Search buttons are available wherever there are data fields that can be searched from a corresponding Master or Transaction table.** It is not necessary to use the Search utility if you remember / know what data should be entered in the corresponding field. You can type the value for the field if you know it. You can also partially type the Code or Name field, and use the Search utility to obtain a filtered list of matches.

### 3.4.1. Understanding the Master Search Screen Layout

**The layout of all Search screens is the same (except for Transaction Search, whose layout is different and shown in the next section).** An example is the Bank Search screen below:

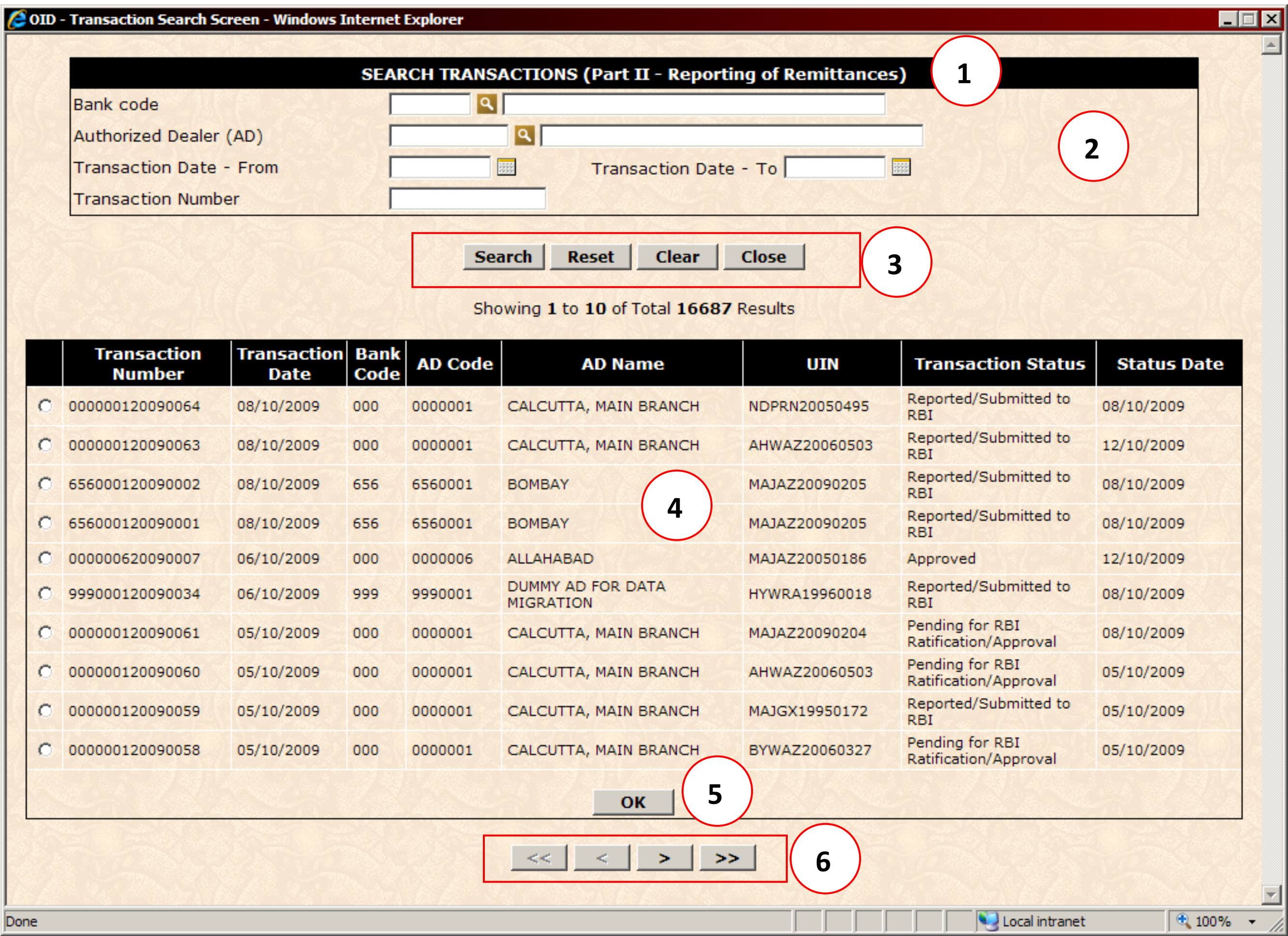


| Legend | What is it? | Description |
|---|---|---|
| 1 | **Search Title Panel** | The Search Title displays what is being searched for. |
| 2 | **Explicit Search Criteria section** | The **Explicit Search Criteria Section** enables you to filter (narrow-down) the Search results by providing additional information **specific to this Search**. For example, you can provide:<br>❖ **Partial or complete** AD Code or AD Name for AD Search.<br>❖ **Partial or complete** UIN or Project Name for UIN Search etc.<br><br>You can also control the **sort order**. **Implicit criteria** (such as **Bank Code** for a Bank User) are **propagated from the main page**, and **cannot be changed** here. |
| 3 | **Buttons Panel** | The Buttons Panel contains the commands buttons to apply your filtering criteria specified in the **Explicit Search Criteria Section.** The following are the buttons and their functionality:<br><br>❖ **Search**: This button applies whatever search criteria are specified in the **Explicit Search Criteria Section** and begins a search operation on the appropriate table.<br><br>❖ **Reset**: This button resets any manual typing you may have done in the Criteria section.<br><br>❖ **Clear**: This button removes all criteria specified in the **Explicit Search Criteria Section**. Inherited criteria (Implicit Search Criteria) **arising from the parent page are not affected.**<br><br>❖ **Close**: This button will close the window immediately, **without communicating your selection (if any)**, to the parent page. |
| 4 | **Search Results Section** | The **Search Results Section** contains one row for each record that matched your Search criteria in the corresponding Master table. **You can select a record by clicking the button at the beginning (extreme left) of each row, and clicking OK**. This will communicate your selection to the parent page where you started your Search from, **and will also automatically close the Search window.** |

| | | |
|---|---|---|
| 5 | **OK Button** | The OK button will **communicate your selection to the main Transaction page**. If you do **not** select a record from the Search results, the **OK** button will prompt you to do so. **If you do not wish to make a selection, use the Close button to close the Search window.** |
| 5 | **Navigation Buttons Panel** | The **Navigation Buttons Panel** contains **First**, **Previous**, **Next** and **Last** buttons. The **Next** and **Previous** buttons fetch 10 records in the **forward** or **reverse** direction, respectively. The **First** and **Last** buttons take you to the **beginning** or **end** of the result set. **Only 10 records will be shown at any time. If the search result count is less than 10, these buttons will not be visible.** |

## 3.4.2. Understanding the Transaction Search Screen Layout

The Transaction Search window searches for Transaction tables for records that match your search criteria. **The Transaction Search is implicitly filtered according to the page you initiated the search from. For example, if you clicked the Transaction Search button from 'Part II – Reporting of Remittances' main page, the Transaction Search will only show Part II Transaction Numbers and not others.** The layout of the Transaction Search screen is the same for all Transactions, and is shown below.



| Legend | What is it? | Description |
|---|---|---|
| 1 | Search Title Panel | The Search Title reflects the Transaction Name that is being searched. |
| 2 | Explicit Search Criteria section | The **Explicit Search Criteria Section** enables you to filter (narrow-down) the Search results by providing additional information **specific to this Search**. For example, you can provide:<br>❖ **Bank Code**: For Bank Users, this defaults to the logged-in Bank Code. RBI Users can specify any Bank Code to narrow-down their results. Note that a partial Bank Code is not acceptable – the Search will fail with an error message (illustrated in a later section).<br><br>❖ **AD Code**: Both RBI and Bank Users can specify a complete AD Code for filtering the search results. Note that a partial Bank Code is not acceptable – the Search will fail with an error message (illustrated in a later section).<br><br>❖ **Transaction Date – From**: Denotes the beginning of a Search-by-date range. The Transaction's Reporting Date is used for the Search.<br><br>❖ **Transaction Date – To**: Denotes the end of a Search-by-date range. The Transaction's Reporting Date is used for the Search. **You can provide only the "Transaction Date – To" or only the "Transaction Date – From" or neither or both. If you specify both, please note that the "Transaction Date – To" date is expected to be later than the "Transaction Date – From" date.**<br><br>❖ **Transaction Number**: You can specify a complete or partial Transaction Number to limit your search to only Transactions that contain the value you specified.<br><br>You can also control the **sort order**. **Implicit criteria** (such as **Bank Code** for a Bank User) are propagated from the main page, and cannot be changed here. |

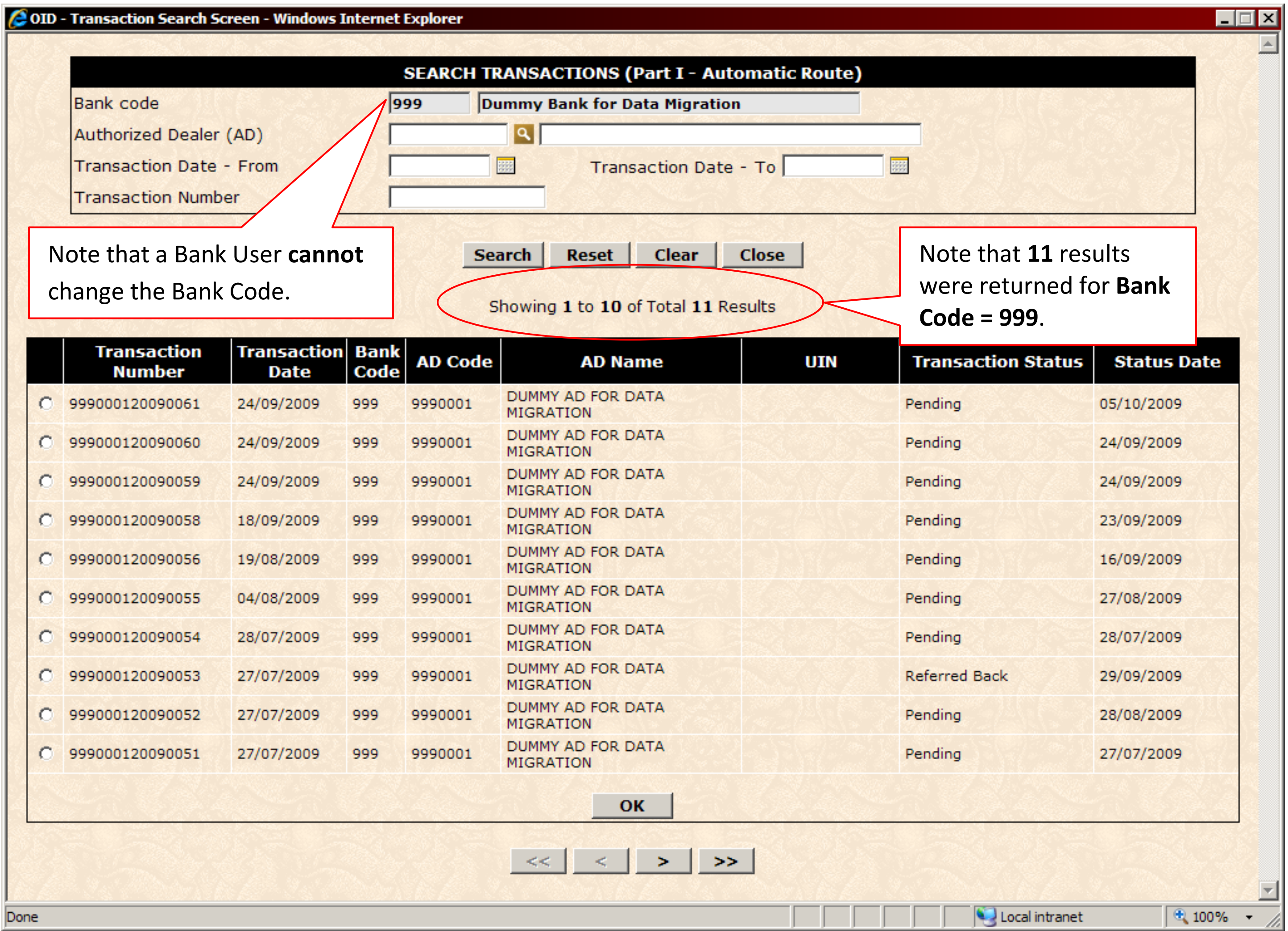
| | | |
|---|---|---|
| 3 | Buttons Panel | The Buttons Panel contains the commands buttons to apply your filtering criteria specified in the **Explicit Search Criteria Section.** The following are the buttons and their functionality:<br><br>❖ <u>**Search**</u>: This button applies whatever search criteria are specified in the **Explicit Search Criteria** section and begins a search operation on the appropriate table. **Note that a search will always include implicit criteria as well, though these are not visible on the Search page.**<br><br>❖ <u>**Reset**</u>: This button resets any manual typing you may have done in the **Explicit Search Criteria** section. Inherited criteria **(Implicit Search Criteria)** arising from the parent page are not affected.<br><br>❖ <u>**Clear**</u>: This button removes all criteria specified in the **Explicit Search Criteria Section**. All inherited criteria (Implicit Search Criteria) arising from the parent page are not affected.<br><br>❖ <u>**Close**</u>: This button will close the window immediately, **without communicating your selection (if any)**, to the parent page. |
| 4 | Search Results Section | The **Search Results Section** contains one row for each record that matched your Search criteria in the corresponding Transaction table. Sufficient information is provided in each row for you to identify the Transaction you searched for. **You can select a Transaction by clicking the record selector at the beginning (left) of each row, and clicking OK**. This will communicate your selection to the parent page where you started your Search from, **and will also automatically close the Search window.**<br><br>Note that the main page will immediately issue a **GET command** to retrieve the Transaction you selected in the Search window. |

| | | |
|---|---|---|
| 5 | OK Button | The **OK** button will **communicate your selection to the main Transaction page so that Transaction retrieval can begin**. If you do **not** select a Transaction from the Search results, the **OK** button will prompt you to do so. **If you do not wish to make a selection, use the Close button to close the Search window.** |
| 6 | Navigation Buttons Panel | The **Navigation Buttons Panel** contains **First**, **Previous**, **Next** and **Last** buttons. The **Next** and **Previous** buttons fetch 10 records in the **forward** or **reverse** direction, respectively. The **First** and **Last** buttons take you to the **beginning** or **end** of the result set. **Only 10 records will be shown at any time. If the search result count is less than 10, these buttons will not be visible.** |

Some Search examples are given below, for **User ID = 999 [Dummy Bank – Testing Purposes]**.

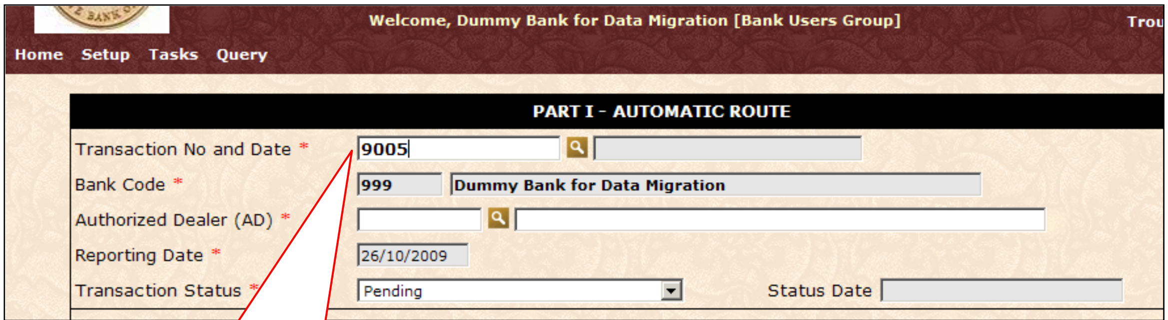
### 3.4.3. Performing a Transaction Search

Click the Search button next to the **Transaction Number** field to open **Transaction Search window**:



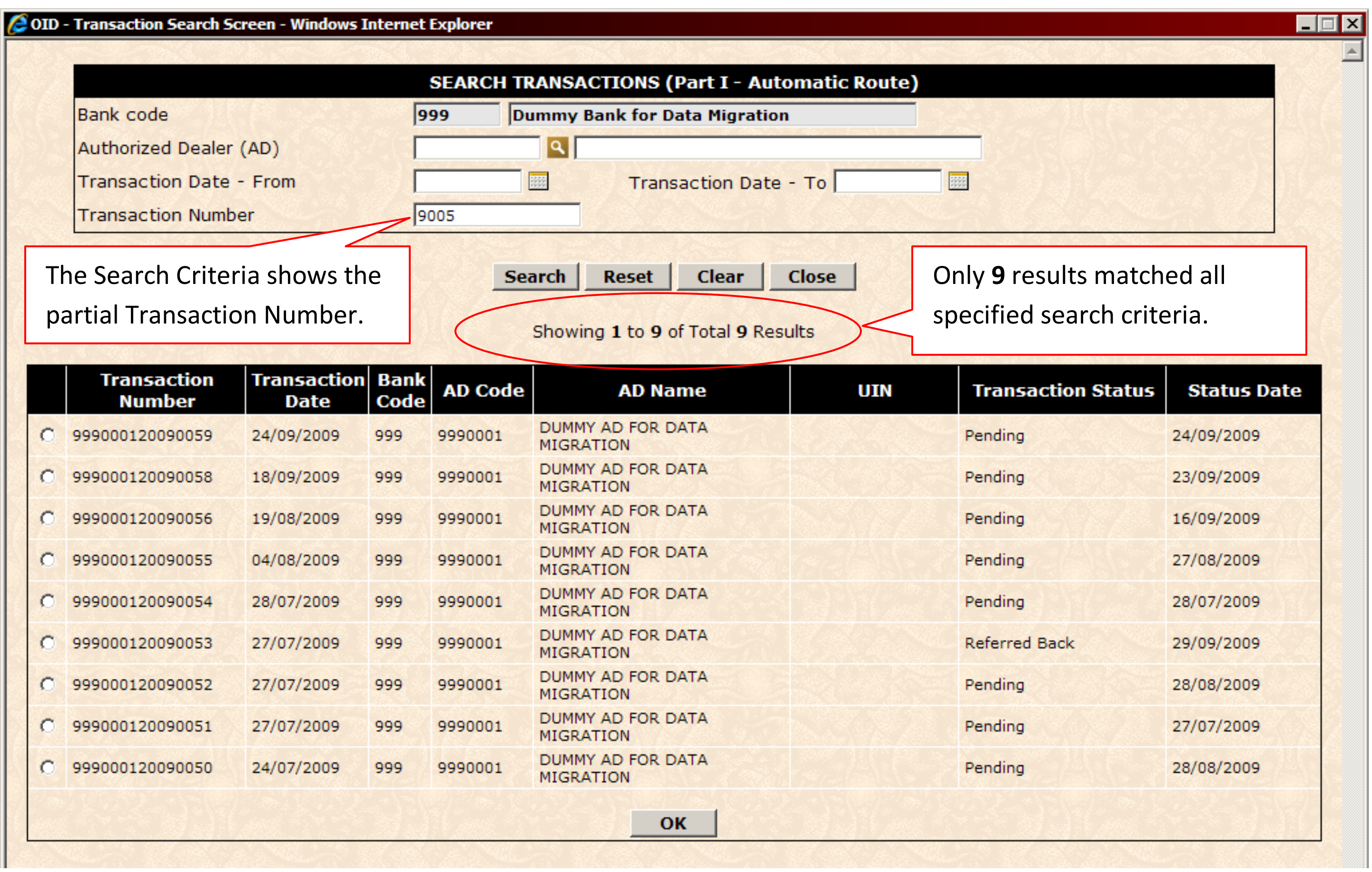

| | Transaction Number | Transaction Date | Bank Code | AD Code | AD Name | UIN | Transaction Status | Status Date |
|---|---|---|---|---|---|---|---|---|
| | 999000120090061 | 24/09/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 05/10/2009 |
| | 999000120090060 | 24/09/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 24/09/2009 |
| | 999000120090059 | 24/09/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 24/09/2009 |
| | 999000120090058 | 18/09/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 23/09/2009 |
| | 999000120090056 | 19/08/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 16/09/2009 |
| | 999000120090055 | 04/08/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 27/08/2009 |
| | 999000120090054 | 28/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 28/07/2009 |
| | 999000120090053 | 27/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Referred Back | 29/09/2009 |
| | 999000120090052 | 27/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 28/08/2009 |
| | 999000120090051 | 27/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 27/07/2009 |

Now provide a partial Transaction Number (9005) in the Transaction Number field:



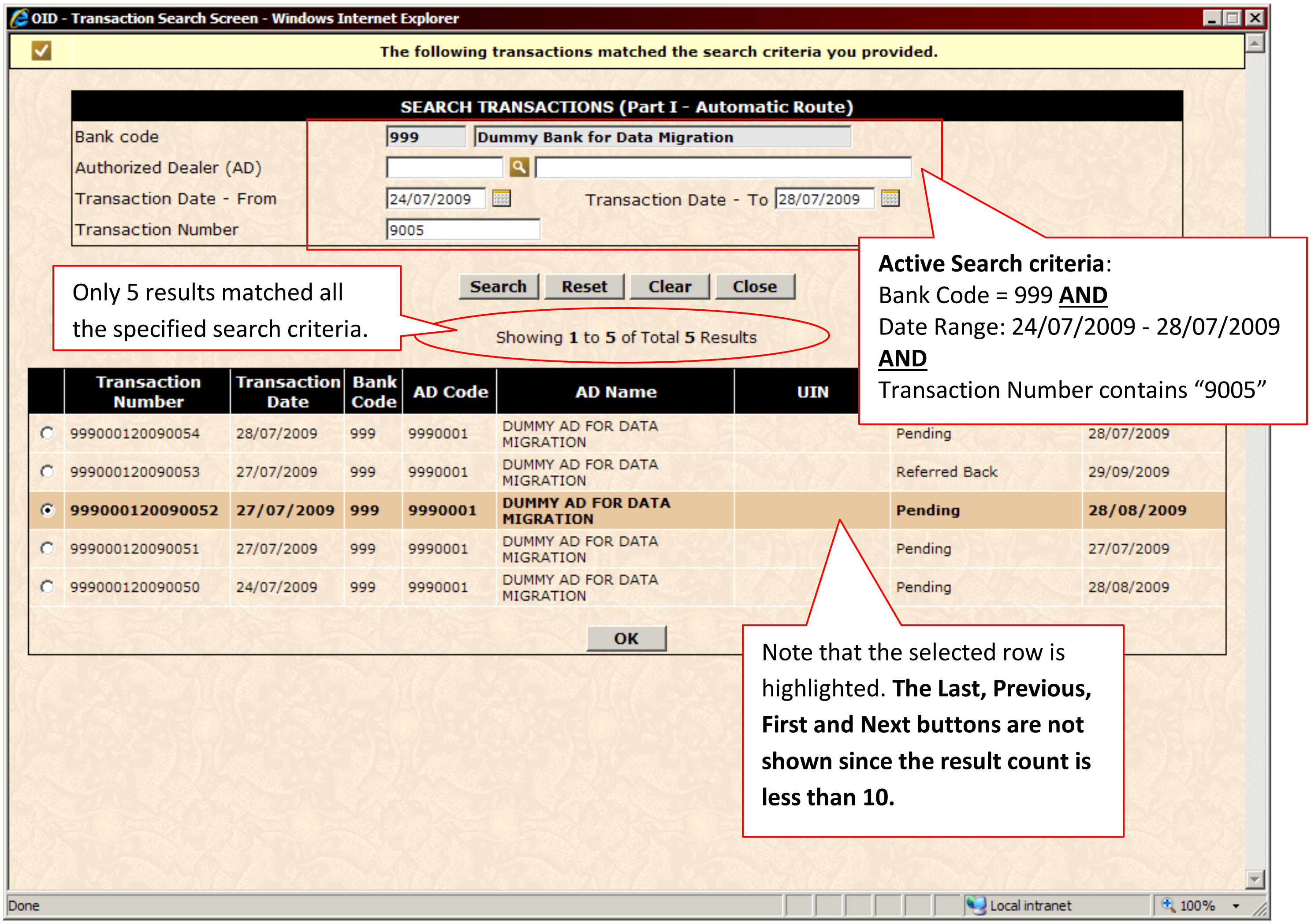

A partial (incomplete) Transaction Number is provided on the main page.

Clicking the Transaction Search button now produces the following filtered list containing 9 items:




| | Transaction Number | Transaction Date | Bank Code | AD Code | AD Name | UIN | Transaction Status | Status Date |
|---|---|---|---|---|---|---|---|---|
| ○ | 999000120090059 | 24/09/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 24/09/2009 |
| ○ | 999000120090058 | 18/09/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 23/09/2009 |
| ○ | 999000120090056 | 19/08/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 16/09/2009 |
| ○ | 999000120090055 | 04/08/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 27/08/2009 |
| ○ | 999000120090054 | 28/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 28/07/2009 |
| ○ | 999000120090053 | 27/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Referred Back | 29/09/2009 |
| ○ | 999000120090052 | 27/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 28/08/2009 |
| ○ | 999000120090051 | 27/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 27/07/2009 |
| ○ | 999000120090050 | 24/07/2009 | 999 | 9990001 | DUMMY AD FOR DATA MIGRATION | | Pending | 28/08/2009 |

You can provide further criteria in the Search window itself to narrow-down the results still further. In the example below, a **Start date and End Date** are specified:



Similarly, you can also provide an AD Code to fine-tune the Search even further.

In this manner, you can continue to refine your Transaction search until you find the Transaction you want. **Once you select a result, it will be communicated to the main page, and the search window will close automatically**. Depending on what you searched for, the main page performs appropriate actions:

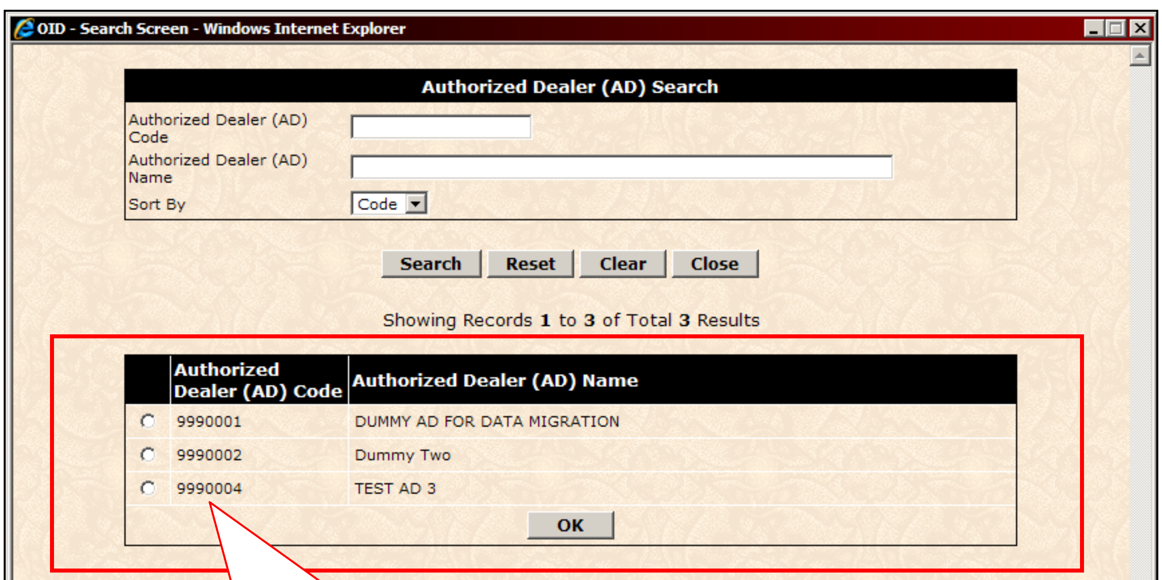
1) After a Transaction search, the Application will attempt to perform a **GET operation** automatically.

2) For some searches like Bank etc, the main page does not perform any action, but simply displays the selected Bank Code and Bank Name.

3) **For some searches like AD, UIN etc, the Application will fetch related data and update the page automatically.** For example, if you select an AD, the **Transaction Footer** will be automatically populated with AD Details that you can edit later on.

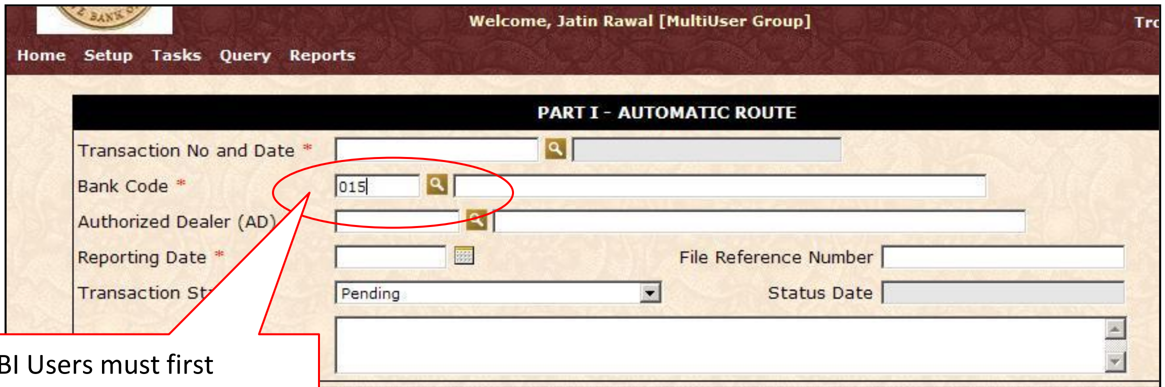
### 3.4.4. Performing a Master Search – Example 1: AD Search

Click the Search button next to Authorized Dealer field. The AD Search window will open, as shown below. For **Bank Users**, the corresponding Bank Code field will be picked up from the main page itself. **RBI Users** have to **manually specify a Bank Code** before initiating an AD Search.



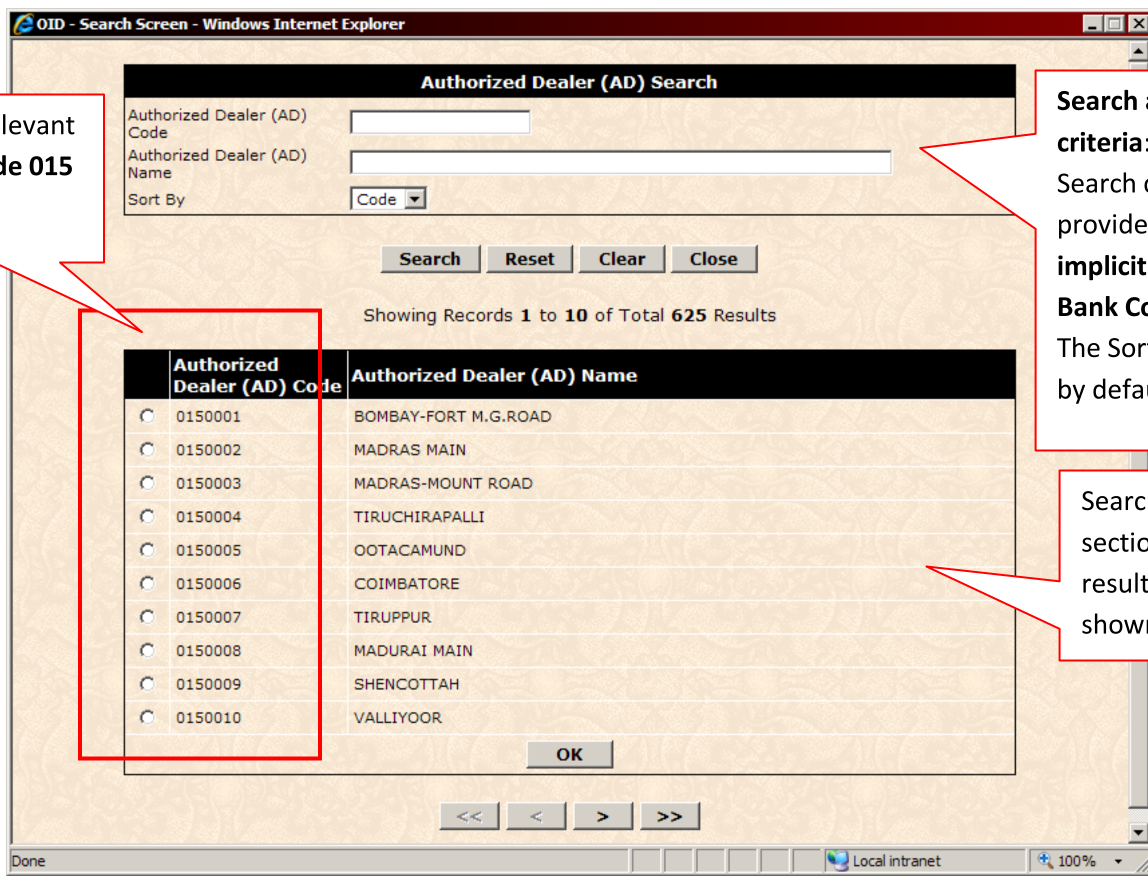

For logged-in Bank User **999**, only ADs pertaining to Bank Code 999 are fetched.

For **RBI User** (example) **JATIN**, a Bank Code must first be specified on the main page:




RBI Users must first manually specify a **Bank Code** before initiating an AD Search.

Then click the **AD Search** button. The AD Search window opens, and displays only ADs connected to the specified Bank Code (015):

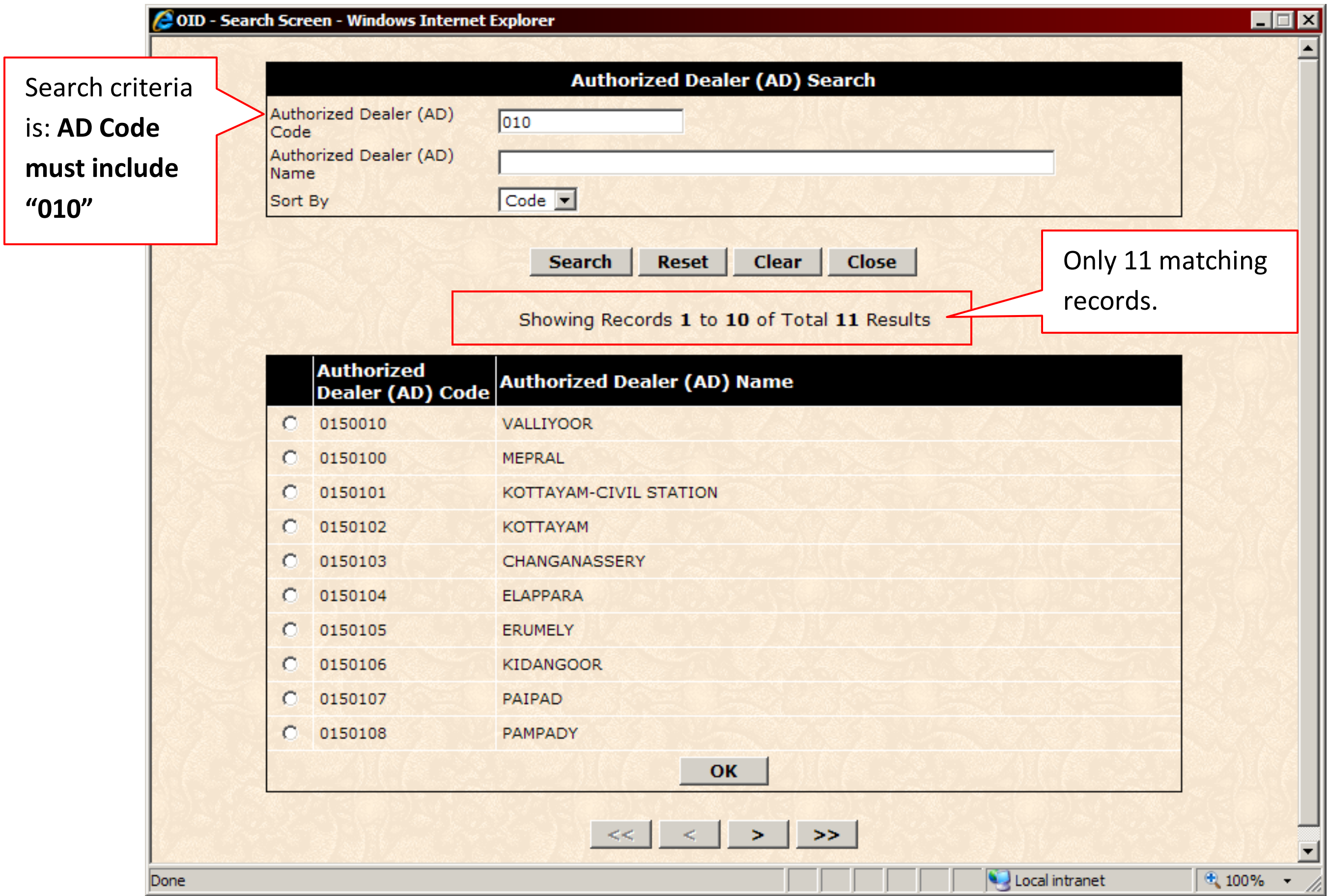



Only ADs relevant to **Bank Code 015** are shown.

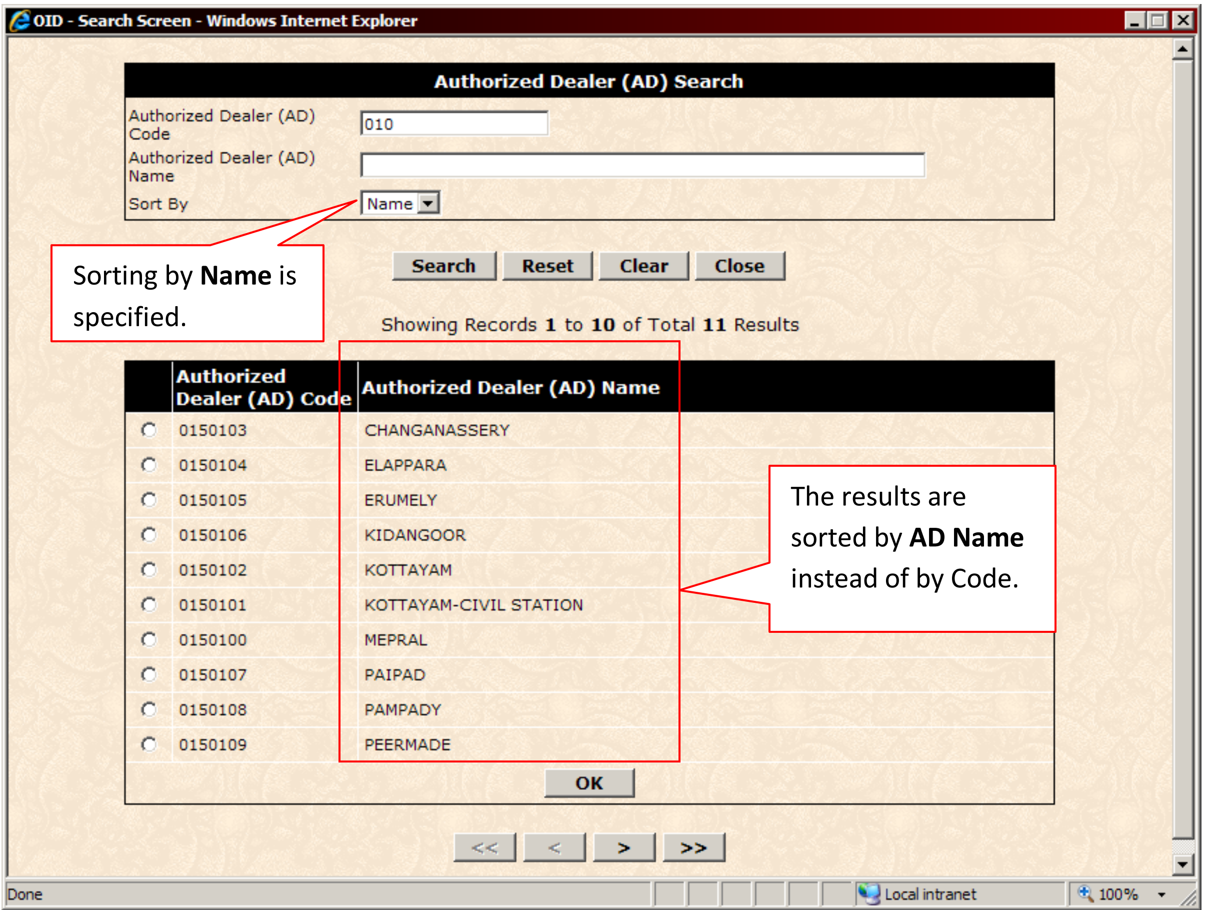
**Search and sort criteria**: No explicit Search criteria is provided; **but implicit criterion is: Bank Code = 015**. The Sort criterion is by default on **Code**.

Search results section. Only 10 results will be shown per page.

To further refine the AD Search, provide further filtering criteria. For example, type **010** in the "**Authorized Dealer Code**" field in the **Search criteria** section of the Search window. Only 11 results were obtained for this search combination.



You can sort the results by Code or Name. By default, the results are sorted by Code. Click the Sort combo and select “**Name**” to sort by AD Name instead:



You can further narrow-down your Search by typing a few characters of the **AD Name**, if you remember them. For example, type “**PAD**” and click **Search** button to filter the results even further:

### 3.4.5. Performing a Master Search – Example 2: UIN Search

UIN Search can be performed from several pages; in this example we will look at Part II – Reporting of Remittances Transaction.

UIN Search conforms to the following rules:

1) Both Bank Code and Authorized Dealer Code are optional.

2) If Bank Code is present, it will be used in the Search. This automatically means that **Bank Users will only see UINs relevant to their Bank**, since the Bank Code is not editable. **RBI Users, please note that the Bank Code must be in full – incomplete or partial Bank Code will lead to an error on the Search window.**

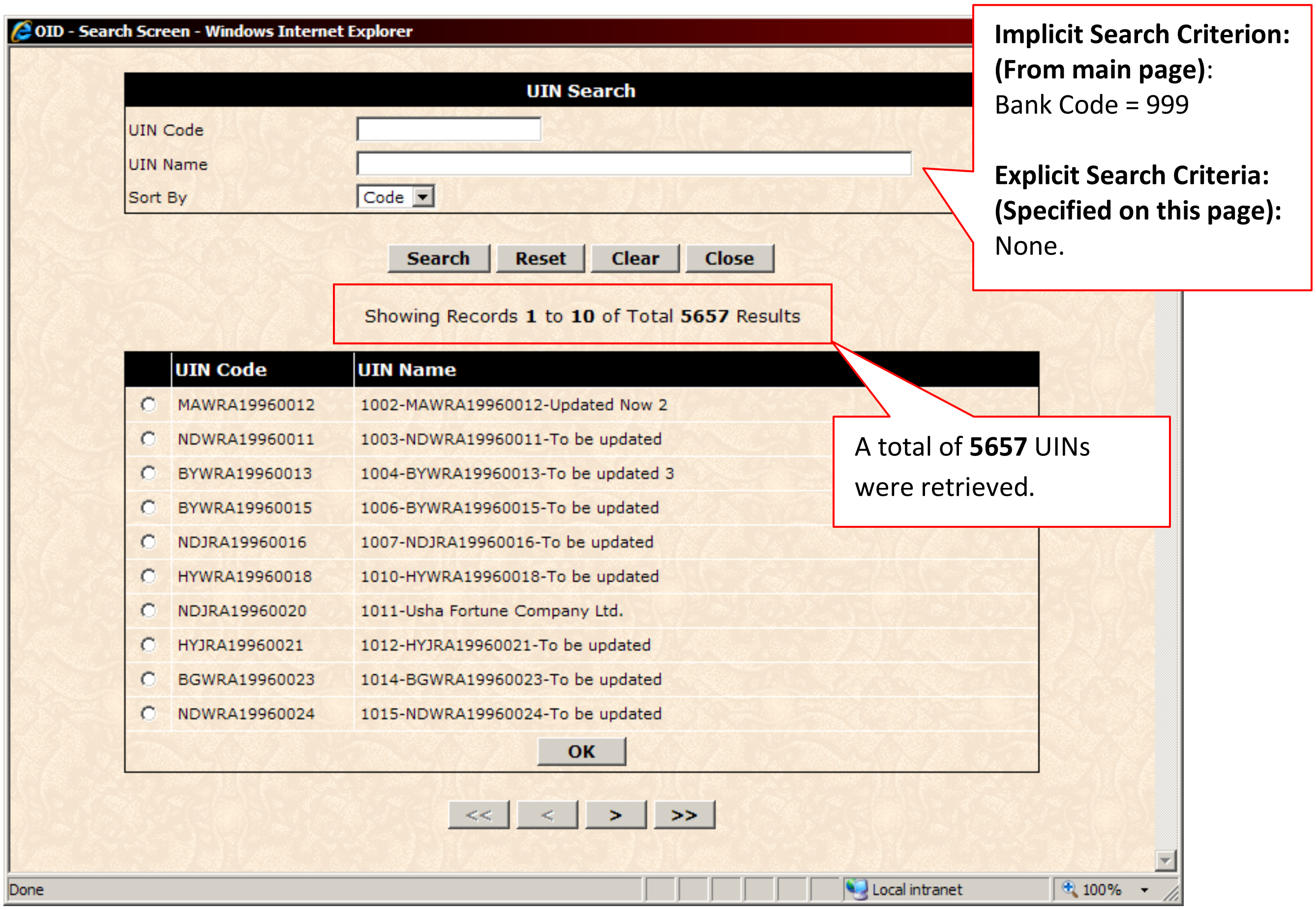
3) If AD Code is present, it will be used in the Search. **Please note that the AD Code must be in full – incomplete or partial AD Code will lead to an error on the Search window.** You may use this feature to narrow-down your UIN Search if you remember the complete AD Code.

#### 3.4.5.1. Example UIN Search: Bank User

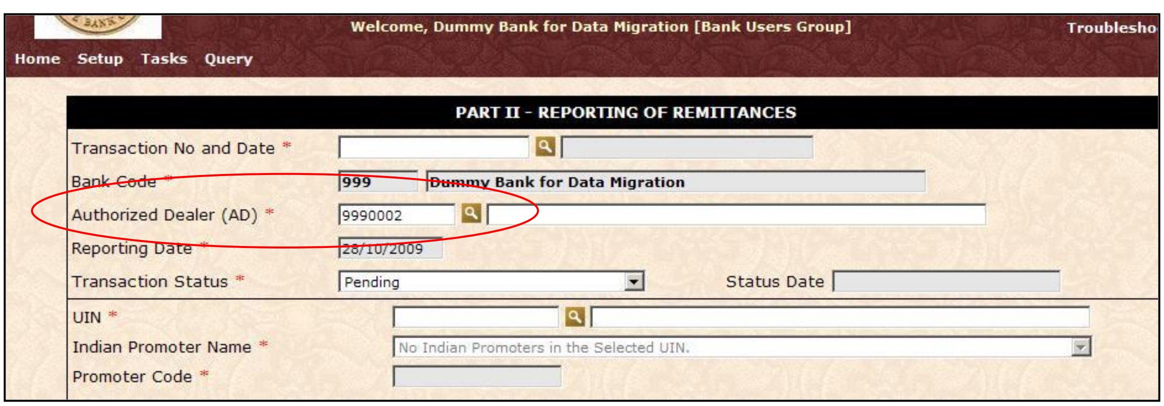
The User Id chosen for this example is **999 – Dummy Bank for Testing**. This User opens the Part II Transaction page and clicks the **UIN Search button**:


**UIN Search button**. Note that the Bank Code defaults to **999** and **cannot be changed**. No AD information is provided.

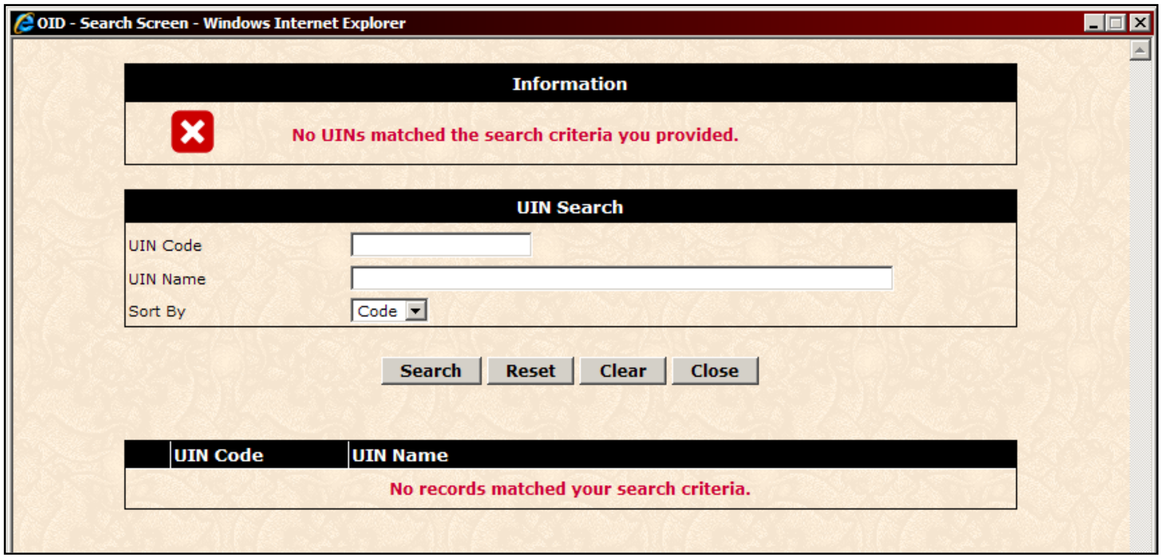
The resulting UIN Search window shows **5657** results:




Now click **Close** on this page to return to the main Transaction page. Type **9990002** in the **AD Code** field. (This is a valid AD Code for **Bank Code 999**).



Now click the **UIN Search** button. The resulting Search screen shows no results; an error message appears with the information that no UINs matched your search criteria.



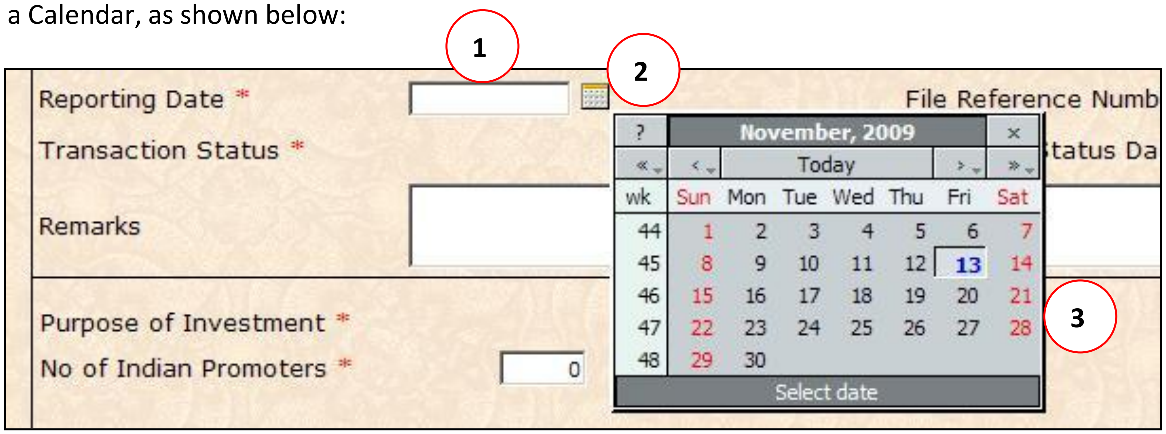

**In general, if your search criteria do not fetch any results, you will always see an error message, such as the above message for UIN.** Try to broaden your Search criteria and perform the search again. It is also possible that there are no results that match your search criteria. Please ensure that your criteria are accurate.

## 3.4.6. Working with Date fields

Many Transactions and Masters require a valid date to be provided as part of the data. All Search screens enable you to enter a specific date or date range to fine-tune the Search. In this section, we look at how to work quickly and efficiently with Date fields.

### 3.4.6.1. Using the Calendar

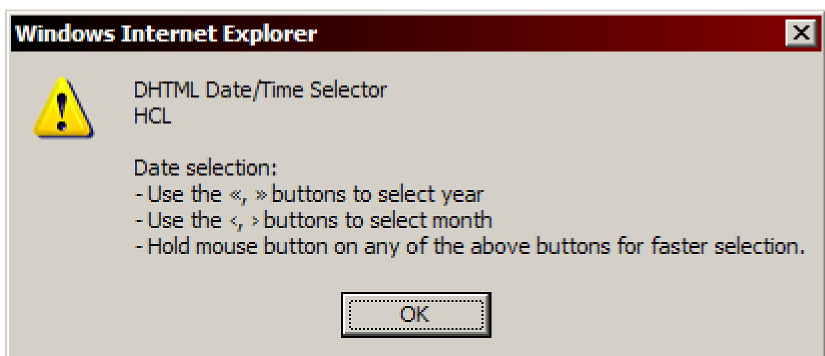
A Calendar button is provided next to every date field on all pages. Clicking the button brings up a Calendar, as shown below:

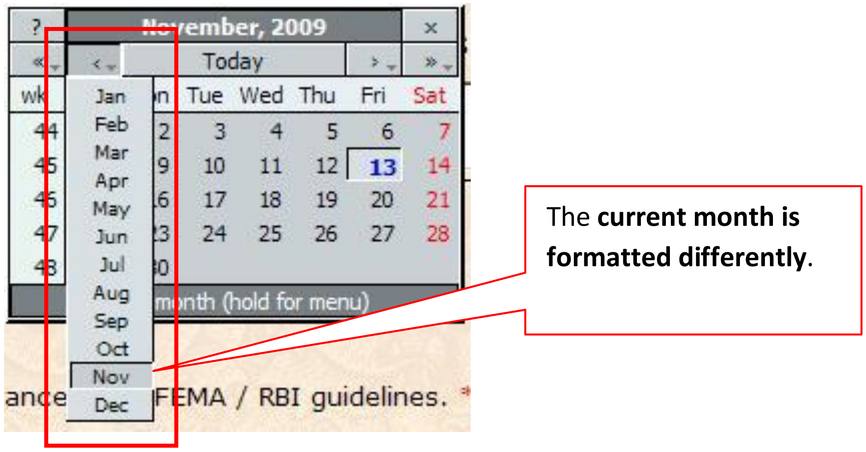



| Legend | Description |
|---|---|
| 1 | The **Date field** that will receive the date selected using the Calendar. |
| 2 | The **Calendar button**. Click this button to open the Calendar. |
| 3 | The **opened Calendar**. Various parts of the Calendar are explained below. Click on the desired date, and it will populate the selected date into the Date field (1) and automatically close itself. |

The various parts of the Calendar and their functionality are summarized below:


The **Calendar's Body** contains all the days of the month displayed in table format. Note that **current system date is differently formatted**. To choose a date, just click on it. The corresponding Date field will be **automatically updated with your selection** and the Calendar will close.

| Legend | Description |
|---|---|
| 1 | The **Calendar Information** button. Click this button to bring up a small help screen and information about the Calendar itself:<br> |
| 2 | The **Year Scroll (Previous)** button. Click this button once to move to previous year. Click and hold down the mouse button to obtain a list of years:<br> |

| | |
|---|---|
| | Click the desired year from the list. The Calendar remains open, and the Date field is immediately updated with your selection. |
| 3 | The **Month Scroll (Previous)** button. Click this button once to move to previous month. Click and hold down the mouse button to obtain a list of months:<br><br><br>Click the desired month from the list. The Calendar remains open, and the Date field is immediately updated with your selection. |
| 4 | The **Today** button. Click this button to set your date to today's date. The Calendar remains open, and the Date field is immediately updated with today's date. |
| 5 | The **Month Scroll (Next)** button. The function of this button is identical to **Month Scroll (Previous)** button described above. |
| 6 | The Calendar's **Header panel**. This panel shows the **currently selected month and year**. Click and hold down the mouse over this panel to **drag the Calendar** to a different location on your screen. |
| 7 | The Calendar's **Close** button. Click this button to close the Calendar. Note that the Calendar automatically closes when you:<br>❖ Select a date.<br>❖ Click anywhere else on the page. |
| 8 | The **Year Scroll (Next)** button. The function of this button is identical to **Year Scroll (Previous)** button described above; the only difference is that future years are shown in the list instead of previous years. |

### 3.4.6.2. Manually typing the date

All **Date fields on all screens allow you to manually type the date** instead of using the Calendar. This feature has been provided to **enable you rapidly type** the data. You can enter the **full date** in strict **DD/MM/YYYY format (such as 13/06/2009** for June 13, 2009**), or just enter specific portions of the date for automatic completion**. These date shortcuts are provided to further speed-up your data-entry tasks. These features are detailed below. The current system date is taken to be **13/11/2009**.

| When you type: | It is interpreted as: |
|---|---|
| 13 | A **day portion of the current month**. Hence, the interpreted date is **13/11/2009**. |
| Any number between 1 and 12 | A **day portion of the current month**. Hence, the interpreted date is **(1-12)/11/2009**. |
| A number **greater than current day** (13), for example, 15 | A **day portion of the previous month**. Hence the interpreted date is **15/10/2009**. |
| A 4-digit number such as 1206 | **First two digits are interpreted as a day portion, and the last two as a month portion of the current year**. Hence, the interpreted date is **12/06/2009**. |
| A 4-digit number such as 1215 | The **interpretation logic determines that 12/15/2009 is not a valid date**, and hence the **current date** (**13/11/2009**) is chosen. |
| A 6-digit number such as 020309 | **First two digits** are interpreted as a **day portion, the next two digits** as the **month portion,** and the **last two** as the **year portion**. Hence, the interpreted date is **02/03/2009**. |
| A 6-digit number such as 020315 | **First two digits** are interpreted as a **day portion, the next two digits** as the **month portion,** and the **last two** as the **year portion**. However, the **interpretation logic does not allow future dates**. Hence the date is interpreted as belonging to **current year**, that is, **02/03/2009** and **not 02/03/2015**. |
| An 8-digit number such as 02062007 | **First two digits** are interpreted as a **day portion, the next two digits** as the **month portion,** and the **last four** as the **year portion**. Hence, the interpreted date is **02/06/2007**. |

| | |
|---|---|
| An 8-digit number such as 02062013 | **First two digits** are interpreted as a **day portion, the next two digits** as the **month portion,** and the **last four** as the **year portion**. However, the **interpretation logic does not allow future dates**. Hence the date is interpreted as belonging to **current year**, that is, **02/06/2009** and **not 02/06/2013**. |

Even though the interpretation logic does not allow future dates, you can **always either type in the future date (for example, 13/11/2011) or select a future date from the Calendar**. Note that the **date you type must strictly be in DD/MM/YYYY** format. Only forward-slash / is supported, period (.) or hyphen (-) are not permitted in any date field.

## 3.5. Logging-Out of the Application

Click the Logout link on the top, right of the Welcome Panel. **All users are requested to logout after working with the application.** This will release Server resources allocated to that user, and enable the Server to serve other logged-in users more efficiently. **If you logged-in, but did not use the Application for 20 minutes or more, your session will expire automatically and you will be logged-out without warning. All unsaved changes will be lost.** (This is not an Application restriction, but a rule imposed by the Web Server configuration files.)


The **Logout** link is located on the **Welcome Panel**. Always logout after your work is finished.

# 4. WORKING WITH MASTERS

Masters contain the data store that is used for reporting various Transactions. Many Master tables are required for the OID Application, such as Indian Party Master, Bank Master, and Authorized Dealer Master etc.

Screens are provided to edit the data contained in the Master tables.

## 4.1. MASTER DATA ACCESSIBILITY

Details about Master data accessibility are provided in Section 3.3 – Accessibility Restrictions. **To summarize, RBI Approving Authorities retain complete control over Master data, with all add / update permissions granted to RBI users by default. Bank Users can only access the Bank Master and Authorized Dealer Master screens, and in those screens, they can only see data pertaining to their Bank and Authorized Dealers attached to their Bank.** Bank Users are not allowed access to data pertaining to other Banks or Authorized Dealers attached to other Banks.

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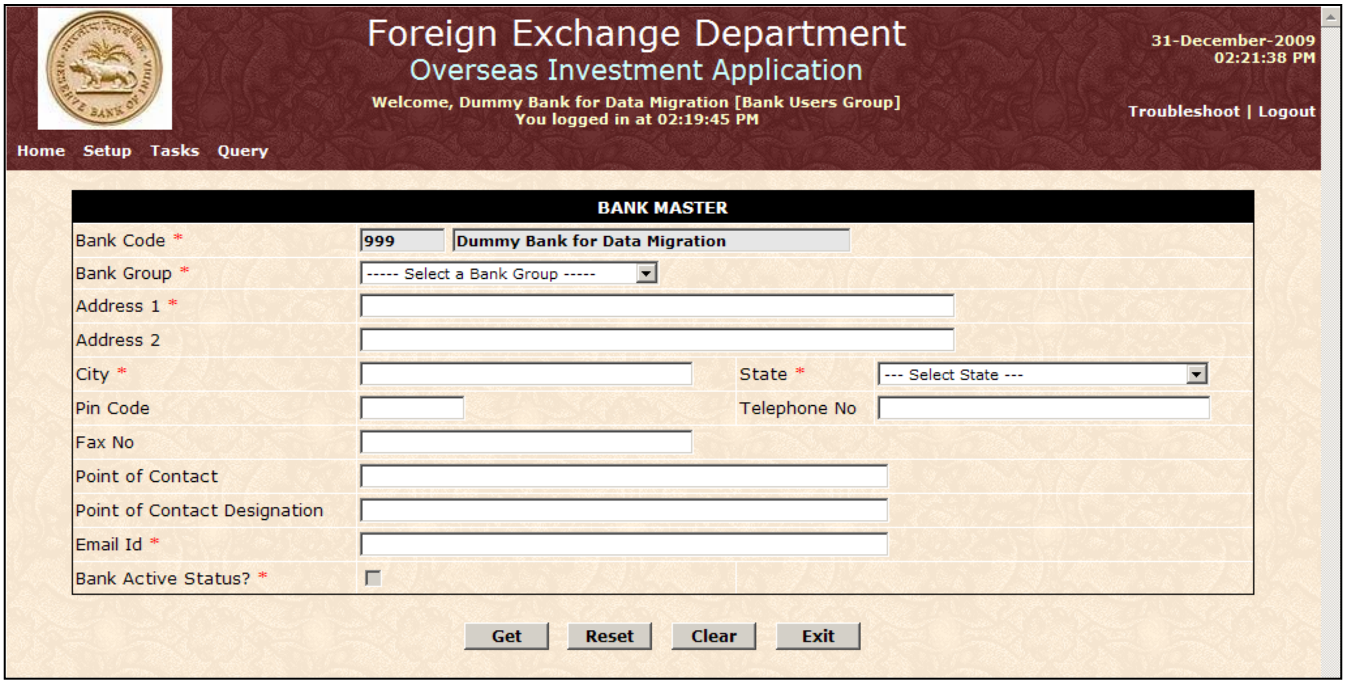
→>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>

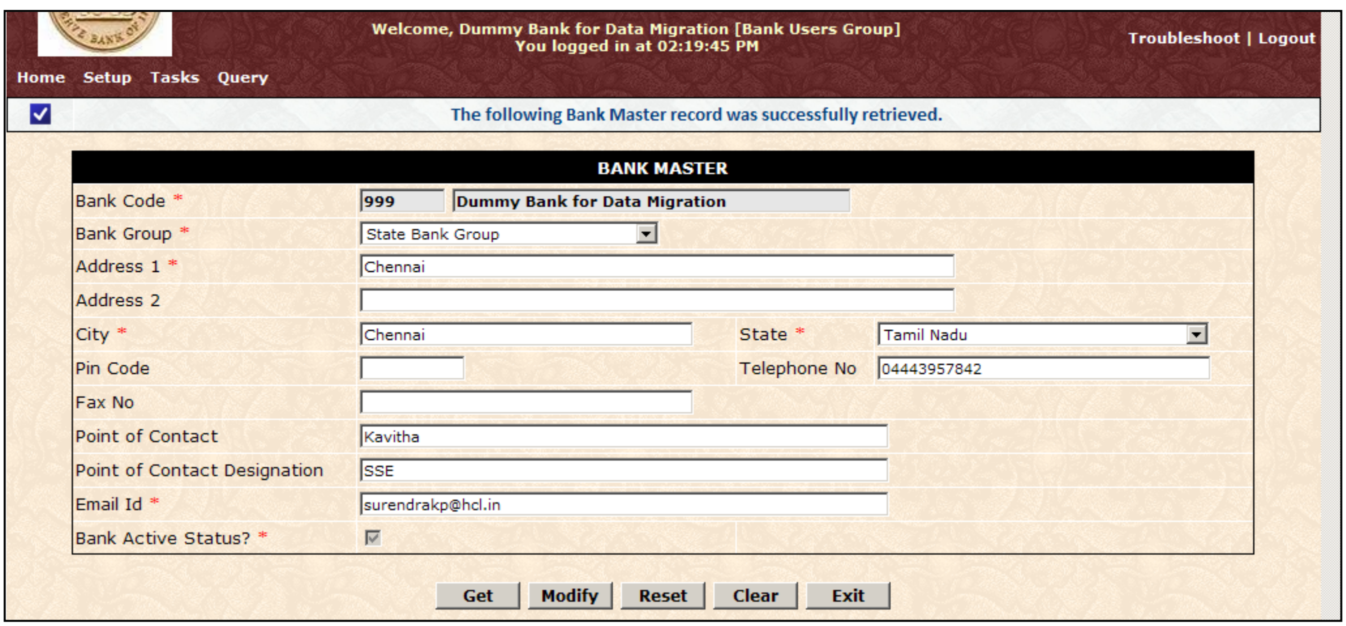
## 4.2. BANK MASTER

The Bank Master stores detailed information about each Reporting Bank.

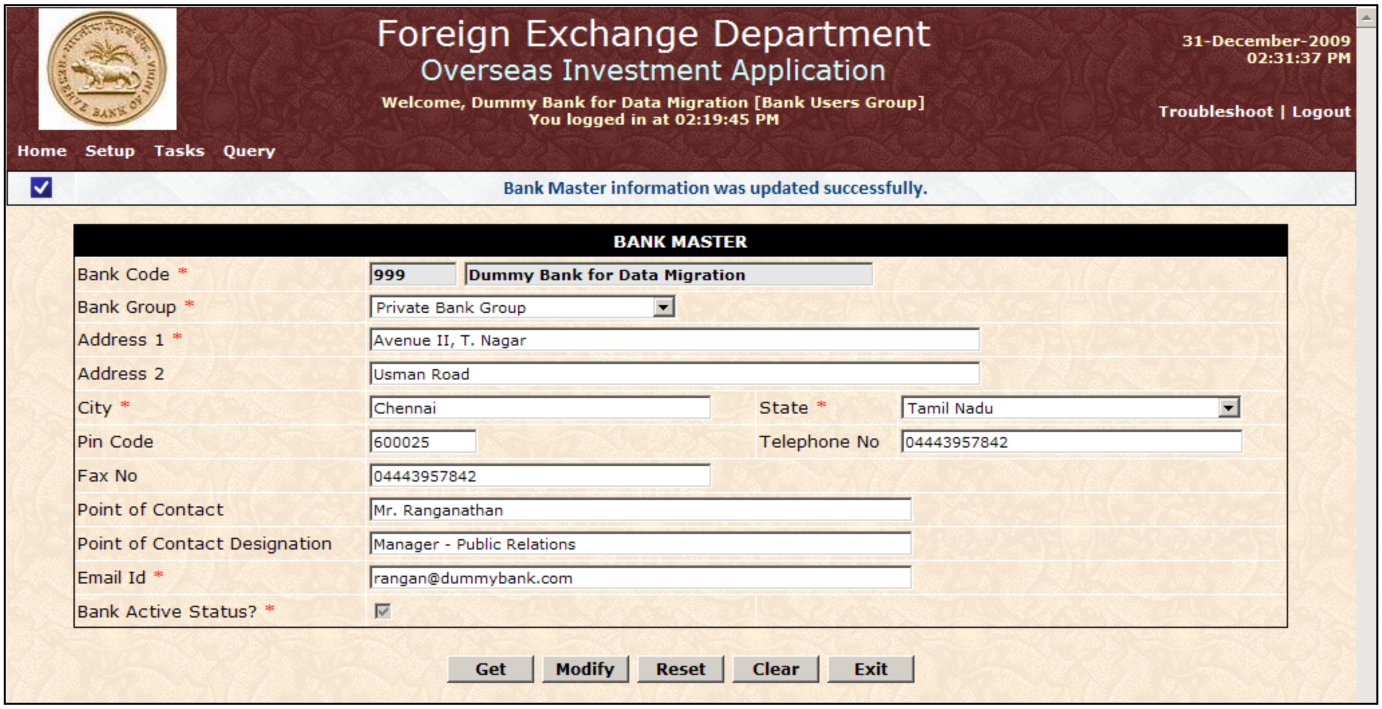
| Step Number | User Actions | Application Actions |
|---|---|---|
| 1 | ❖ Login to the OID Application as **Bank User;** for example: User ID **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click **Setup → Bank Master** | ❖ Application opens the Bank Master screen, with the Bank Code and Name populated and read-only, as shown below: |




| Step Number | User Actions | Application Actions |
|---|---|---|
| 2 | ❖ Click **Get** to retrieve the details for your Bank. | ❖ Application successfully retrieves your Bank's details and populates the fields, as shown below: |



| Step Number | User Actions | Application Actions |
|---|---|---|
| 3 | ❖ Update the data as required and click **Modify**. | ❖ Application successfully saves the data and once again returns to **MODIFY** mode: |


Foreign Exchange Department
Overseas Investment Application
Welcome, Dummy Bank for Data Migration [Bank Users Group]
You logged in at 02:19:45 PM
31-December-2009
02:31:37 PM
Troubleshoot | Logout
Home Setup Tasks Query
Bank Master information was updated successfully.

| BANK MASTER | | | |
|---|---|---|---|
| Bank Code * | 999 Dummy Bank for Data Migration | | |
| Bank Group * | Private Bank Group | | |
| Address 1 * | Avenue II, T. Nagar | | |
| Address 2 | Usman Road | | |
| City * | Chennai | State * | Tamil Nadu |
| Pin Code | 600025 | Telephone No | 04443957842 |
| Fax No | 04443957842 | | |
| Point of Contact | Mr. Ranganathan | | |
| Point of Contact Designation | Manager - Public Relations | | |
| Email Id * | rangan@dummybank.com | | |
| Bank Active Status? * | ☑ | | |

Get Modify Reset Clear Exit

**Notes:**

❖ The Bank User cannot modify the **Active Status** flag. Only RBI can activate or deactivate Banks.

❖ The RBI User can retrieve any Bank and update the data, including activating or deactivating that Bank.

❖ No provision is currently available for deleting a Bank Master record; however authorized RBI Users can de-activate a Bank to prevent that Bank from reporting any Transactions.

## 4.3. Authorized Dealer Master

The Authorized Dealer Master stores detailed information about each Authorized Dealer attached to each Bank.

| Step Number | User Actions | Application Actions |
|---|---|---|
| 1 | ❖ Login to the OID Application as **Bank User;** for example: User ID **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click **Setup → Authorized Dealer Master** | ❖ Application opens the Authorized Dealer Master screen, with the Bank Code and Name populated and read-only, as shown below: |

| Step Number | User Actions | Application Actions |
|---|---|---|
| **2** | ❖ Specify the Authorized Dealer Code and Click **Get** to retrieve the details for that Authorized Dealer. | ❖ Application successfully retrieves the Authorized Dealer for your Bank details and populates the fields, as shown below: |


| Step Number | User Actions | Application Actions |
|---|---|---|
| **3** | ❖ Update the data as required and click **Modify**. | ❖ Application successfully saves the data and once again returns to **MODIFY** mode: |


**Notes:**

- The Bank User cannot modify the **Active Status** flag. Only RBI can activate or deactivate Authorized Dealers.

- The RBI User can retrieve any Authorized Dealer and update the data, including activating or deactivating that Authorized Dealer.

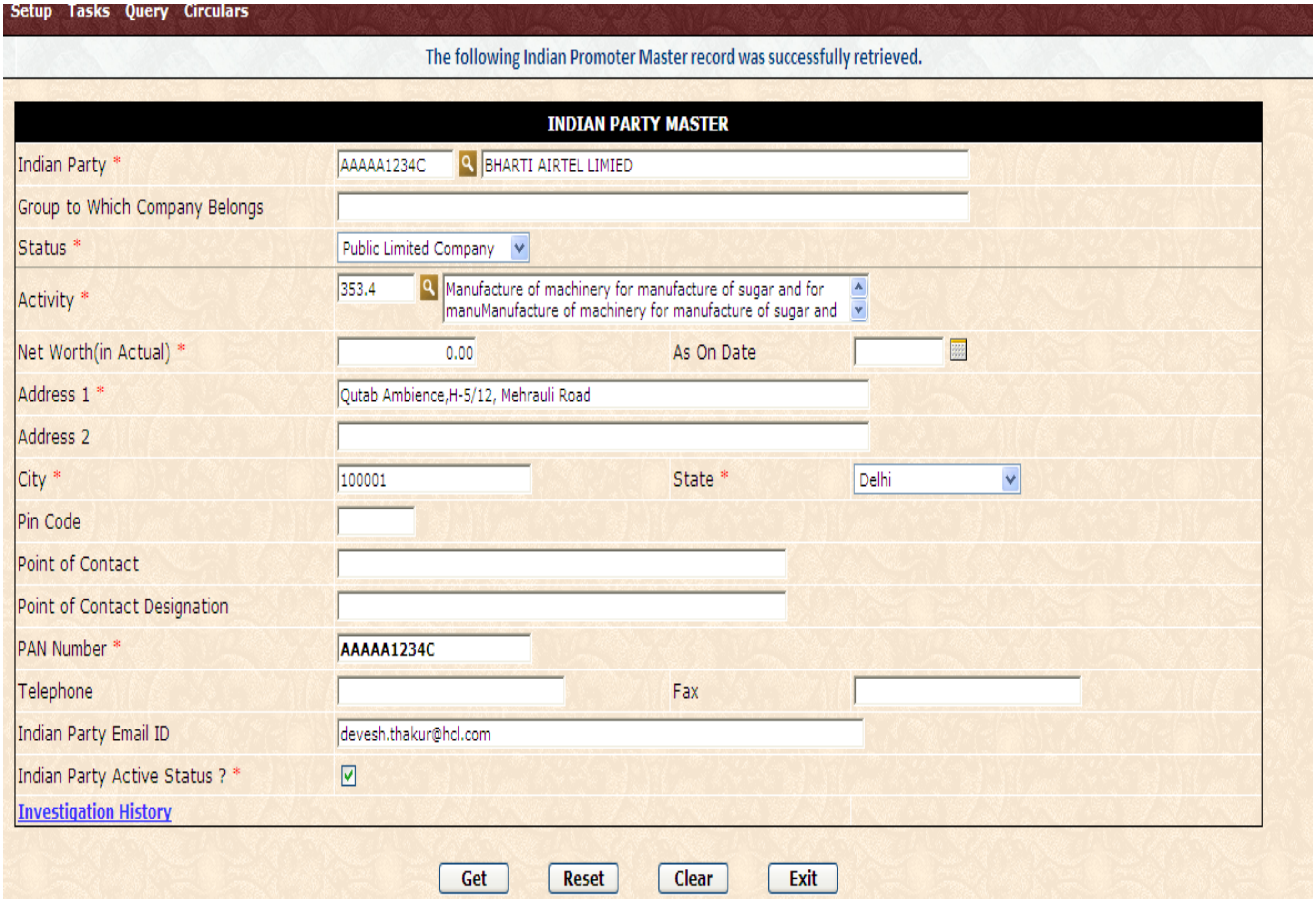
- No provision is currently available for deleting an Authorized Dealer Master record; however authorized RBI Users can de-activate that Authorized Dealer to prevent that Authorized Dealer from reporting any Transactions.

## 4.4. INDIAN PROMOTER MASTER

The Indian Promoter Master stores detailed information about each Reporting Bank.

| Step Number | User Actions | Application Actions |
| --- | --- | --- |
| 1 | ❖ Login to the OID Application as **Bank User;** for example: User ID **999** and Password **999**. (See Section **3.1** for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click **Setup → Indian Promoter Master** | ❖ Application open the Indian Promoter Master screen, as shown below: |


| Step Number | User Actions | Application Actions |
|---|---|---|
| 2 | ❖ Give Indian Party code and Click on **Get button** to retrieve the details of Indian Promoter. | ❖ Application successfully retrieves Indian Promoter details and populates the fields, as shown below: |

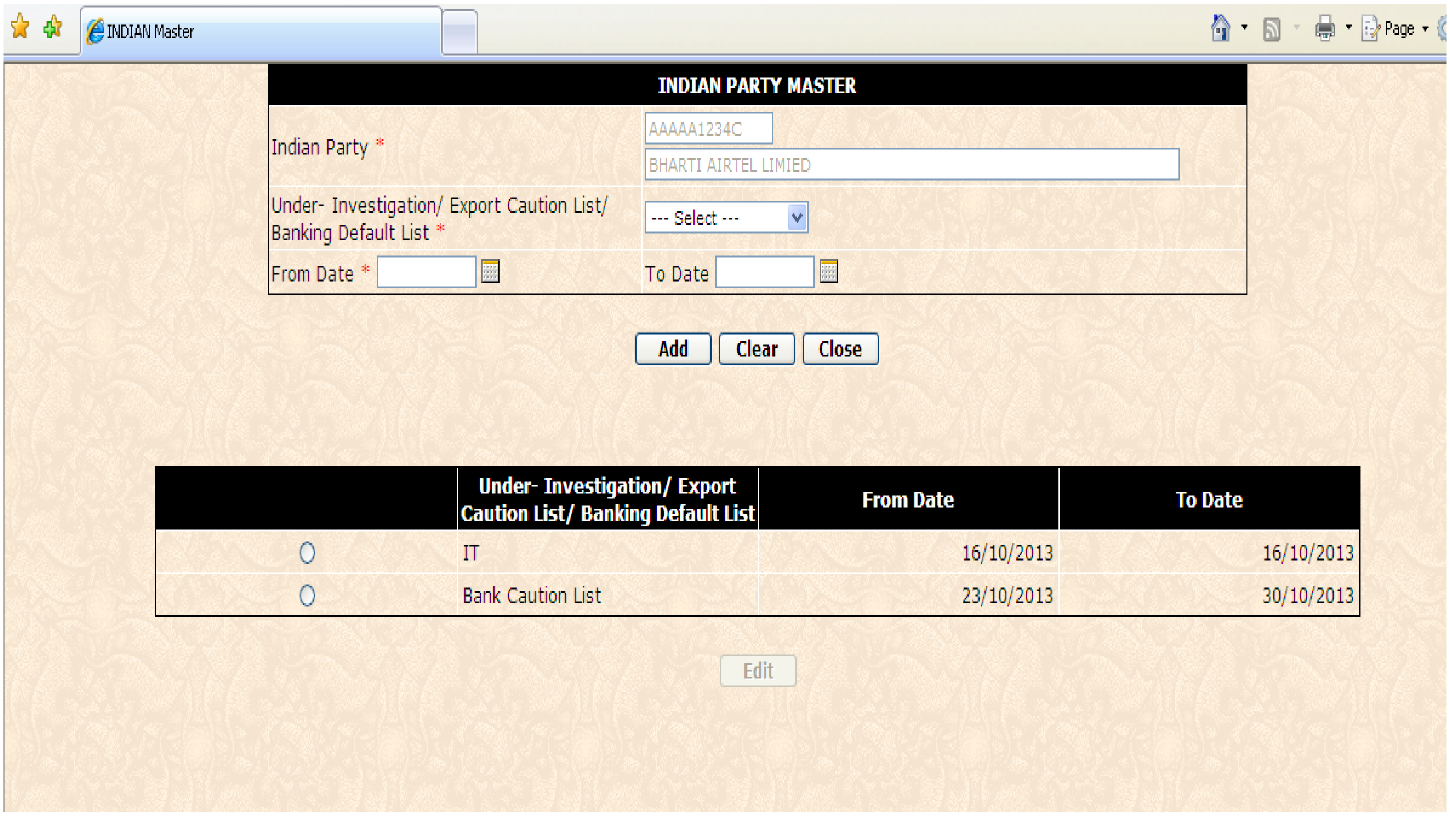



**Notes:**

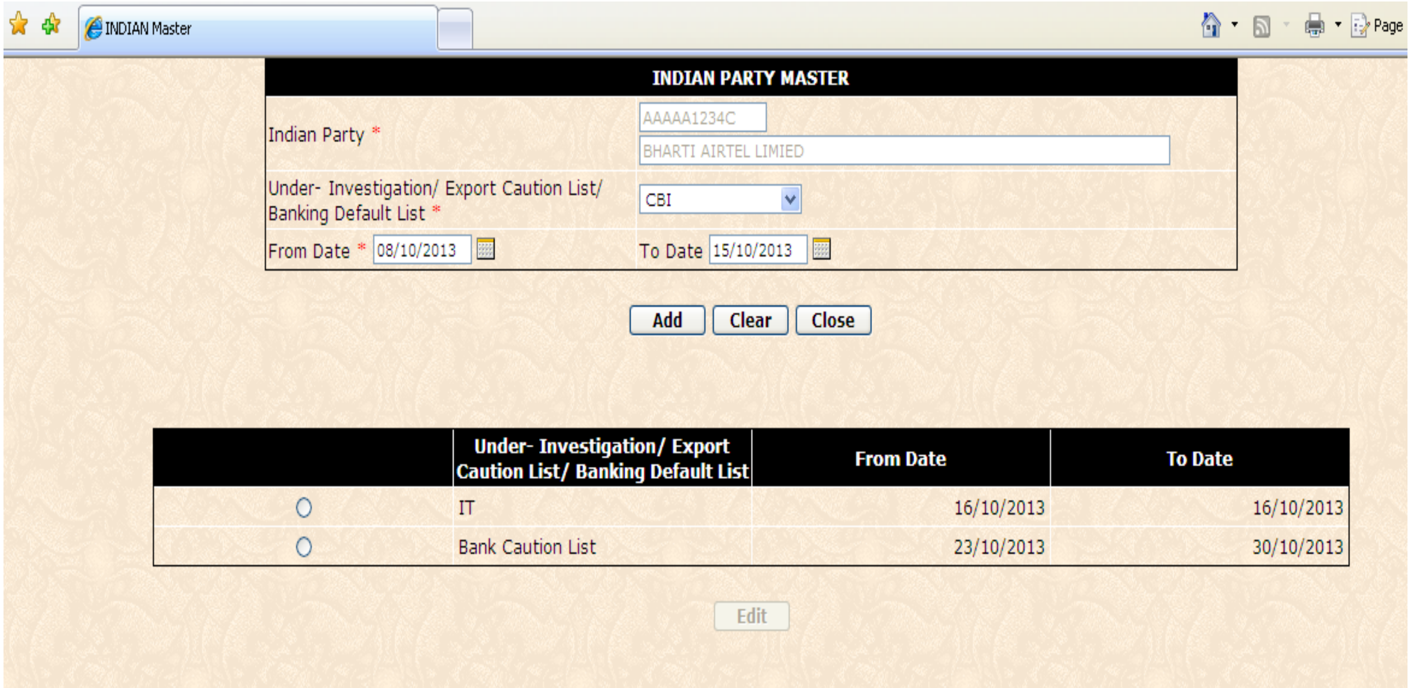
❖ The Bank User cannot modify the data. Only RBI can modify the data.

❖ No provision is currently available for deleting the Indian Promoter Master record; however authorized RBI Users can de-activate an Indian Promoter.

| Step Number | User Actions | Application Actions |
|---|---|---|
| 2 | ❖ Click on Investigation History to retrieve the Investigation history details for Indian Promoter. | ❖ Application successfully retrieves Indian Promoter Investigation history details and populates the fields, as shown below: |




| Step Number | User Actions | Application Actions |
|---|---|---|
| 3 | ❖ To add Investigation history required to select Under Investigation/Export Caution List /Banking Default List **drop down box** and select one value.<br>❖ Enter Investigation from date and to date<br>❖ To save data, click on **add button** | ❖ Application successfully saves the Investigation history detail data. |




**<u>Notes:</u>**

- The Bank User cannot modify the Investigation history data. Only RBI can modify the Investigation history data.

- No provision is currently available for deleting the Investigation history record

**No other Master screens are accessible to Bank Users.**

# 5. WORKING WITH TRANSACTIONS

Transactions represent the data flows that happen between reporting banks and RBI. Transactions are the equivalent of the hard-copy data exchanged between the reporting banks and RBI. **Transactions can be keyed-in by the Bank Users once they receive data from their ADs; or the data can be keyed-in by a special category of RBI Users with the privilege to enter data on behalf of a Bank.**

Note that many Transactions will require to be ratified by authorized RBI Users before they become active. These scenarios will be discussed in the following sections.

## 5.1. Opening an Existing Transaction

You can open an existing Transaction of any type by the following these steps:

| Method 1: By Entering the Transaction Number | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 1 | ❖ Access the OID Application and login with your credentials. | ❖ If your credentials are valid, the Application logs you in successfully. The Home Page is displayed. |
| 2 | ❖ Click **Tasks → ESOP Scheme – Annexure I Transaction** (for example). | ❖ The selected Transaction page opens in **ADD** mode. All enterable fields are cleared. |
| 3 | ❖ Enter the complete Transaction Number, and click **Get**. | ❖ The Application opens the Transaction with that Number, if it exists. If the Transaction with that Number does not exist, an error will be displayed. If the Transaction exists but its current status does not permit modifications, the data will be loaded in **read-only** mode. |

| Method 2: By Searching for a Transaction Using the Search Screen | | |
|---|---|---|
| 1 | ❖ Access the OID Application and login with your credentials. | ❖ If your credentials are valid, the Application logs you in successfully. The Home Page is displayed. |
| 2 | ❖ Click **Tasks → ESOP Scheme – Annexure I Transaction** (for example). | ❖ The selected Transaction page opens in **ADD** mode. All enterable fields are cleared. |
| 3 | ❖ Click the search button next to the 'Transaction Number' field. **If you remember a portion of the Transaction Number, you can type it in the Transaction Number field** and then click the search button. | ❖ The Application opens the Transaction search window. If you typed a partial Transaction Number, the results are filtered accordingly; otherwise, all available Transactions are shown. For Bank Users, only Transactions created by own Bank are shown. By default, the search window displays **10** results only. |
| 4 | ❖ Click the Transaction you want to work with. If you cannot find the Transaction, use the navigation buttons to scroll forward or backward. | ❖ The Application retrieves a maximum of **10** results at a time. |
| 5 | ❖ Click the record selector next to the Transaction you wish to open. | ❖ The selected row is highlighted. |
| 6 | ❖ Click **OK** to choose the selected Transaction. | ❖ The search window closes and the Transaction main page automatically performs a **GET** operation with the selected Transaction Number. If the **GET** operation was successful, the data is loaded into page fields, and page changes to **UPDATE** mode. |

## 5.2. DELETING AN EXISTING TRANSACTION

You can only delete a Transaction that is in **PENDING** status. That is, **as long as you have not submitted a Transaction to RBI, you can delete it at any time**. The deletion is permanent and the deleted Transaction cannot be recovered.

| Deleting a Transaction | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 1 | ❖ Access the OID Application and login with your credentials. | ❖ If your credentials are valid, the Application logs you in successfully. The Home Page is displayed. |
| 2 | ❖ Click **Tasks → ESOP Scheme – Annexure I Transaction** (for example). | ❖ The selected Transaction page opens in **ADD** mode. All enterable fields are cleared. |
| 3 | ❖ Retrieve the Transaction you want to delete, using the retrieval procedure described in the previous section. | ❖ The Application displays the Transaction data on the screen. |
| 4 | ❖ Change the Transaction Status to **CANCELLED**, and click **Update**. | ❖ The Application displays a **Delete Confirmation Dialog**, asking for your permission to proceed. |
| 5 | ❖ Click **Yes** on the **Delete Confirmation Dialog** if you are sure you want to permanently delete this Transaction. | ❖ The Application deletes the selected Transaction from the database. **No information is conveyed to RBI about deletion of Transactions by the Bank, since Transactions in PENDING status are not visible to RBI.** |
| | ❖ Click **No** if you do not wish to delete this Transaction. | ❖ The Application saves your Transaction in **PENDING** status. |

## 5.3. Common Elements in all Transaction Screens

Some concepts and GUI elements are common across all Transaction pages, and are explained in the following sections.

### 5.3.1. The Confirmation Dialogs

Whenever your confirmation is required to proceed and perform an operation, a confirmation dialog will be shown. There will be 2 buttons – **Yes** and **No**. Click **Yes** to perform the operation, or click **No** to cancel the operation. The kinds of dialogs that appear to you depend upon your privilege level, as discussed below.

#### 5.3.1.1. The Submit Confirmation Dialog

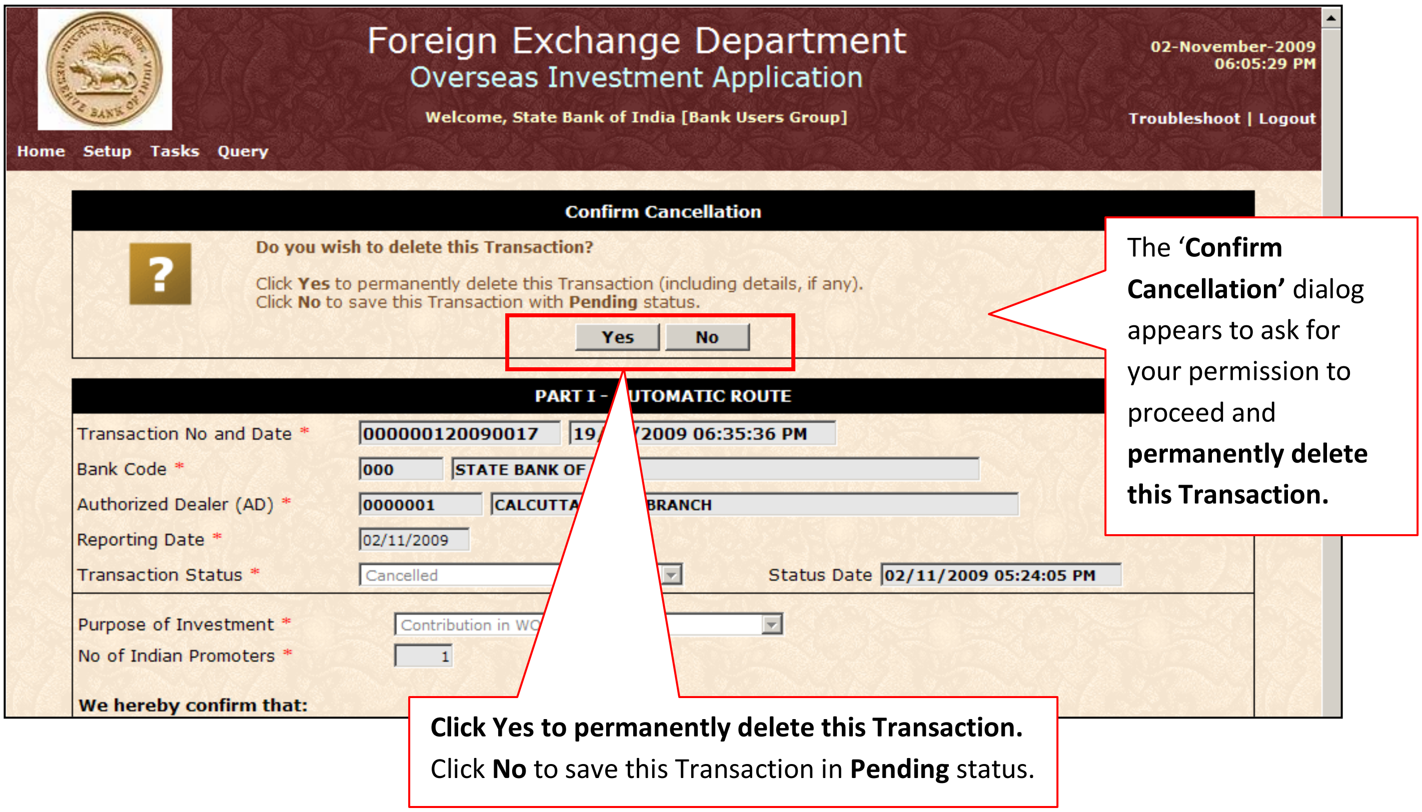
This dialog appears to **all Bank Users and RBI Users with the privilege level to create new Transactions**. The dialog is only shown when you **change the status of the Transaction from PENDING** to **REPORTED/SUBMITTED TO RBI**; that is, you wish to **send the Transaction to RBI**.


Click **Yes** to send your Transaction to RBI. Click **No** to remain in Pending status.

The '**Confirm Submission**' dialog appears to ask for your permission to proceed and **submit data to RBI**. The dialog **does not** appear when you save Transactions in **PENDING** status.

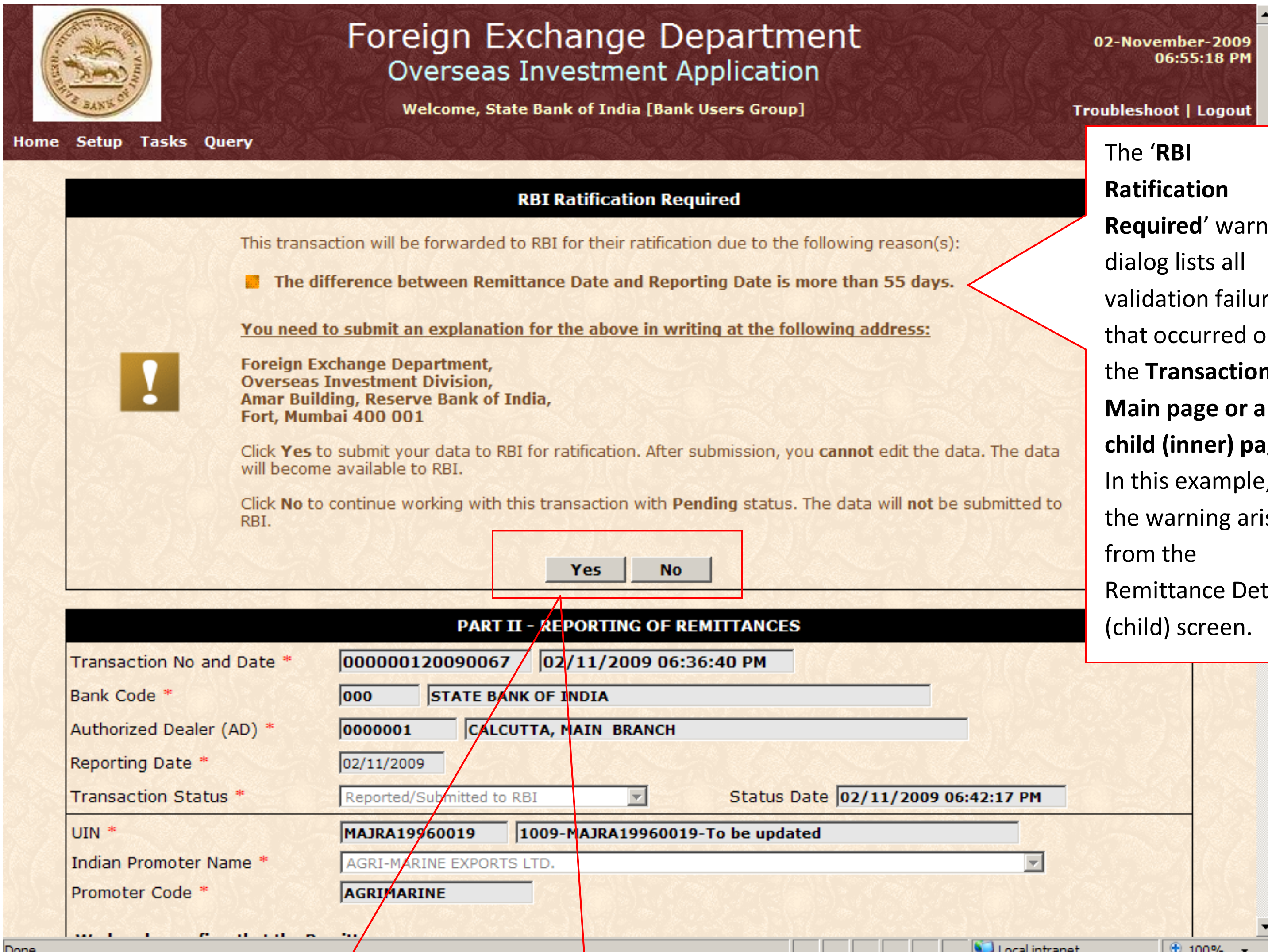
### 5.3.1.2. The Cancel (Delete) Confirmation Dialog

This dialog appears to **all Bank Users and RBI Users with the privilege level to create new Transactions**. The dialog is only shown when you **change the status of the Transaction from PENDING** to **CANCELLED**; that is, you wish to **permanently delete the Transaction** without submitting it to RBI.



### 5.3.1.3. The RBI Ratification Required Warning Dialog

This dialog appears to **all Bank Users and RBI Users with the privilege level to create new Transactions**. The dialog is only shown after you click **Yes** in the **Submit Confirmation** dialog to submit your data; **but data validation failures occur that require your attention**. That is, when the data you are submitting fails one or more validation rules specified by RBI, you will see this dialog. **All validation failures are shown in the dialog and you can choose to proceed and submit or cancel and edit your Transaction.**



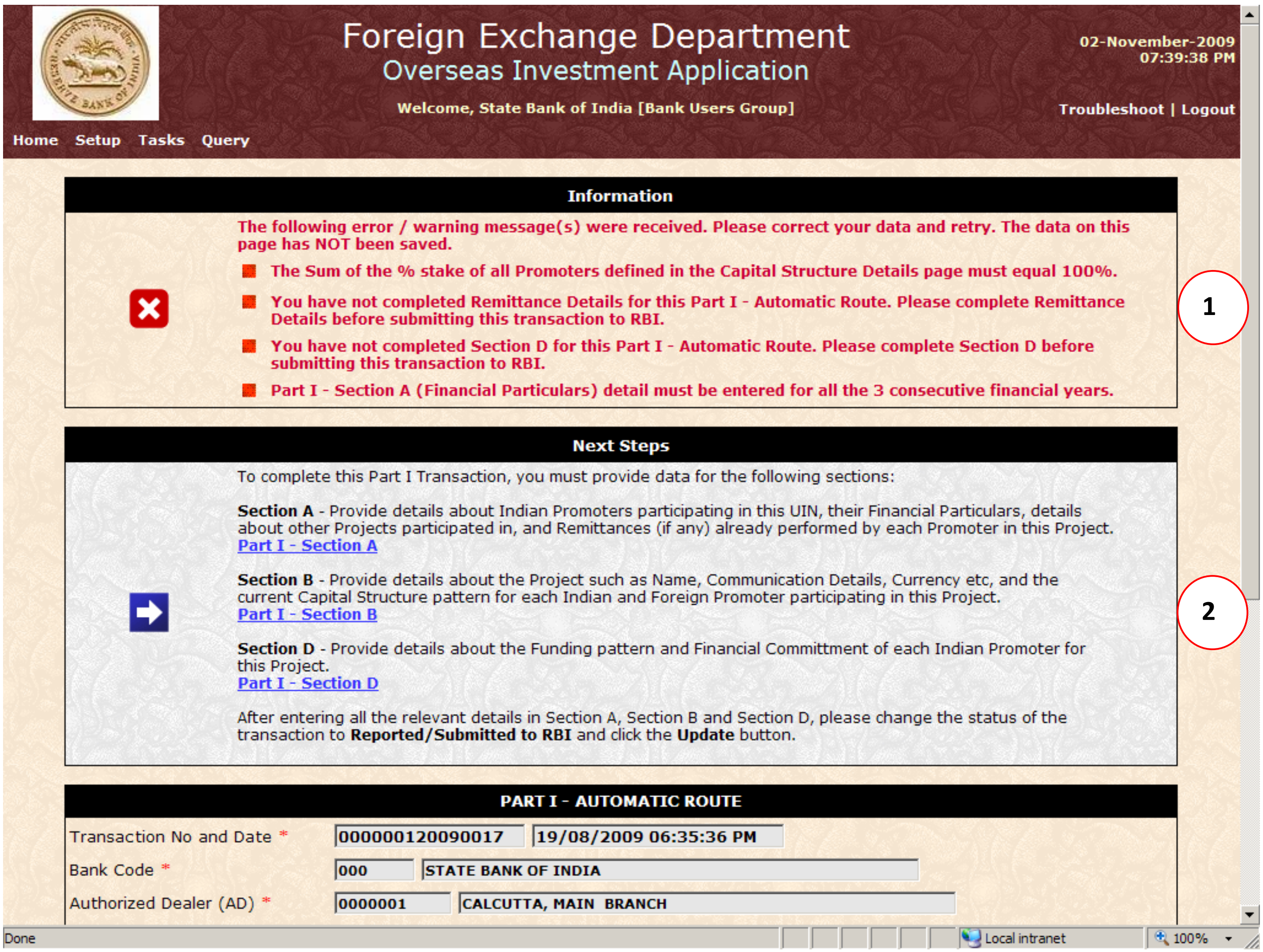

The '**RBI Ratification Required**' warning dialog lists all validation failures that occurred on the **Transaction Main page or any child (inner) page**. In this example, the warning arises from the Remittance Details (child) screen.

Note that you can click **Yes** to **send the data to RBI despite the presence of validation failures**. However, such a Transaction will **always require RBI ratification**; and will be **inactive unless and until RBI approves it.** Click **No** to save the Transaction in the **default status** – **Pending** (for new Transactions) or **Referred-Back** (for Transactions that have been referred-back by RBI).

### 5.3.1.4. The Information Dialog

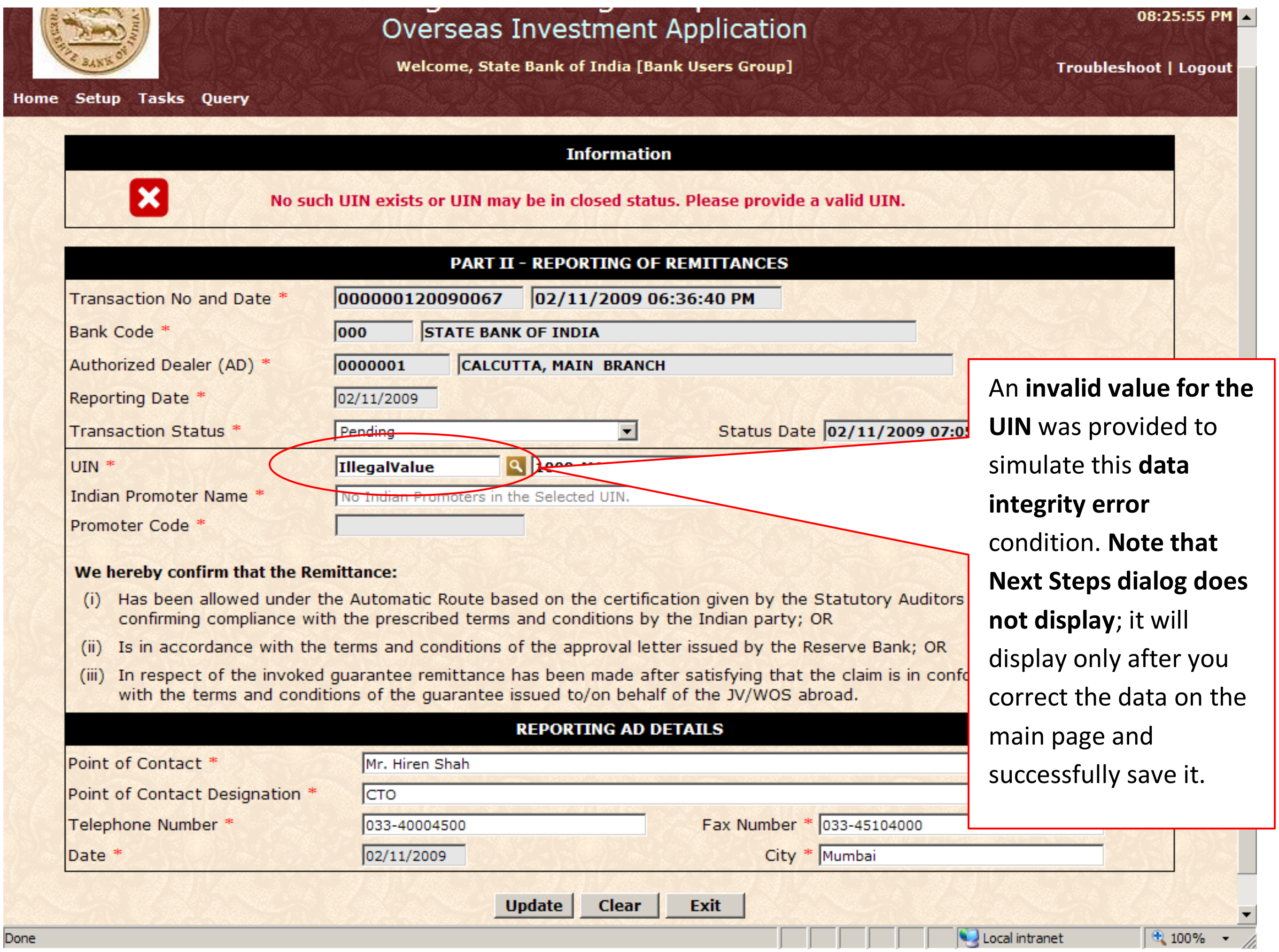
This dialog appears for all users whenever one or more **error, warning** or **information messages** have to be displayed. The information dialog has different behavior depending on what kind of message it is displaying.

**Error Messages**: When one or more **severe business validation errors** occur in your Master or Transaction page, the messages are displayed in the **Information Dialog** as follows:

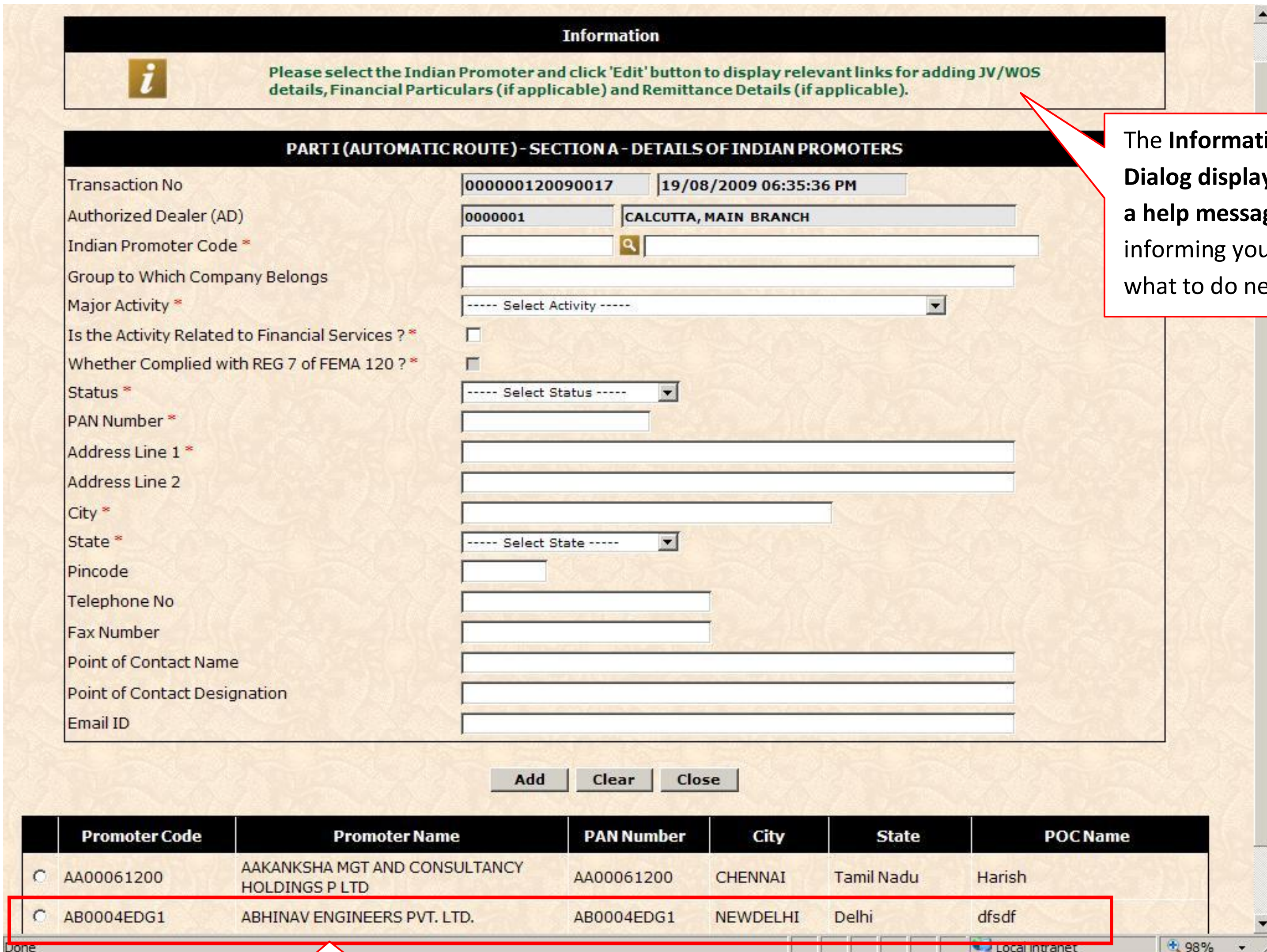


| Legend | Description |
|---|---|
| 1 | **Multiple severe validation failures** occurred when attempting to MODIFY this Transaction. **The nature of the errors is such that the Transaction cannot be posted to RBI without correction at your end.** Error messages are displayed in a bulleted list in bold red color. The **Next Steps dialog** is shown to enable you to enter child (inner) sections and perform corrections. Unless all errors are corrected, this Transaction **cannot** be submitted to RBI. |
| 2 | The '**Next Steps**' dialog appears to enable you correct errors in Transaction child (inner) pages. |

When one or more **data integrity errors** occur, the **Information Dialog** displays the errors as above; but in this case the **Next Steps dialog will not be shown, since the errors are on the main Transaction page** itself.



**Information Messages**: These messages appear to help you understand what to do next. For example, after adding a new Indian Party in **Part I – Section A**, the following message appears:




The **Information Dialog displays a help message** informing you what to do next.

A new **Indian Party record** was added to the existing Part I Transaction.

## 5.3.2. The Fatal Error Page

This page displays when your command could not be processed at all due to a **serious data error**, an **unknown command**, or when an **inappropriate command** is received that cannot be executed. If you see this page, it is possible that your data was corrupted in transit, or the URL was altered in some way.


When you see this page, you will see the '**Home Page'** button if you were working with a Transaction main page (above); or a '**Close'** button for an inner page. In either case, **you cannot return to the screen you were working with**. **The unsaved has already been discarded. It is recommended that you do not use your browser's Back or Forward buttons. Instead, re-open the Transaction from the menu.**

Please contact RBI Application Administrators to determine the exact cause of the error(s). **Before contacting RBI, please see the checklist below to determine if the problem lies at your end**:

1) **<u>Incomplete Data</u>**: The most common cause for this error screen. Whenever expected data (mandatory fields) are not completely filled-in, and you attempt to proceed to a

child page, this error screen may appear. Ensure that all mandatory fields (marked with a * on the screen) are duly filled up with accurate data.

2) **Access Declined**: If you attempt to access a screen for which you do not have access permission granted by RBI, you will see this error page. If you need access to the concerned screen (Master / Transaction / Report), please submit a request for access to RBI. **After access is granted by RBI, you must re-login to gain access to that screen.**

3) **Corrupted Data**: The Application employs encryption to protect data. If data provided by you was **corrupted in transit and could therefore not be decoded at the Server side**, you will not be able to proceed, and you will see this error page. Please contact RBI to troubleshoot the problem.

4) **Invalid or Misspelled URL**: If you manually alter the URL in the browser's address bar, you may see this error page. Never edit the URLs appearing the address bar; instead always work through the Menu items. **We strongly recommend that you do not use the Back, Forward, Refresh and Go buttons on your browser while working with this Application. Doing so can lead to issues due to page expiration, or non-submission of required data.**

### 5.3.3. The Concurrent Modification Error Page

**This error may occur if more than one user is working on the same Transaction or Master page**. For example, Banks are allowed to have multiple user IDs for the OID Application. **If more than one user attempts to modify the same Transaction or Master screen, the user who updated the data first will succeed, while the other user's operation will fail.** The objective of this feature is that **if data has been updated by another user, the current user must be informed, and required to reload the data in order to get the most current information.** Hence, this feature ensures that you are always working with the latest data, and not stale data that have been modified by another user. This feature is known as **Concurrency Handling**.

There are multiple levels of checking implemented to ensure data integrity. Taking Part I – Automatic Route as an example, we explain below how Concurrency Handling has been implemented.

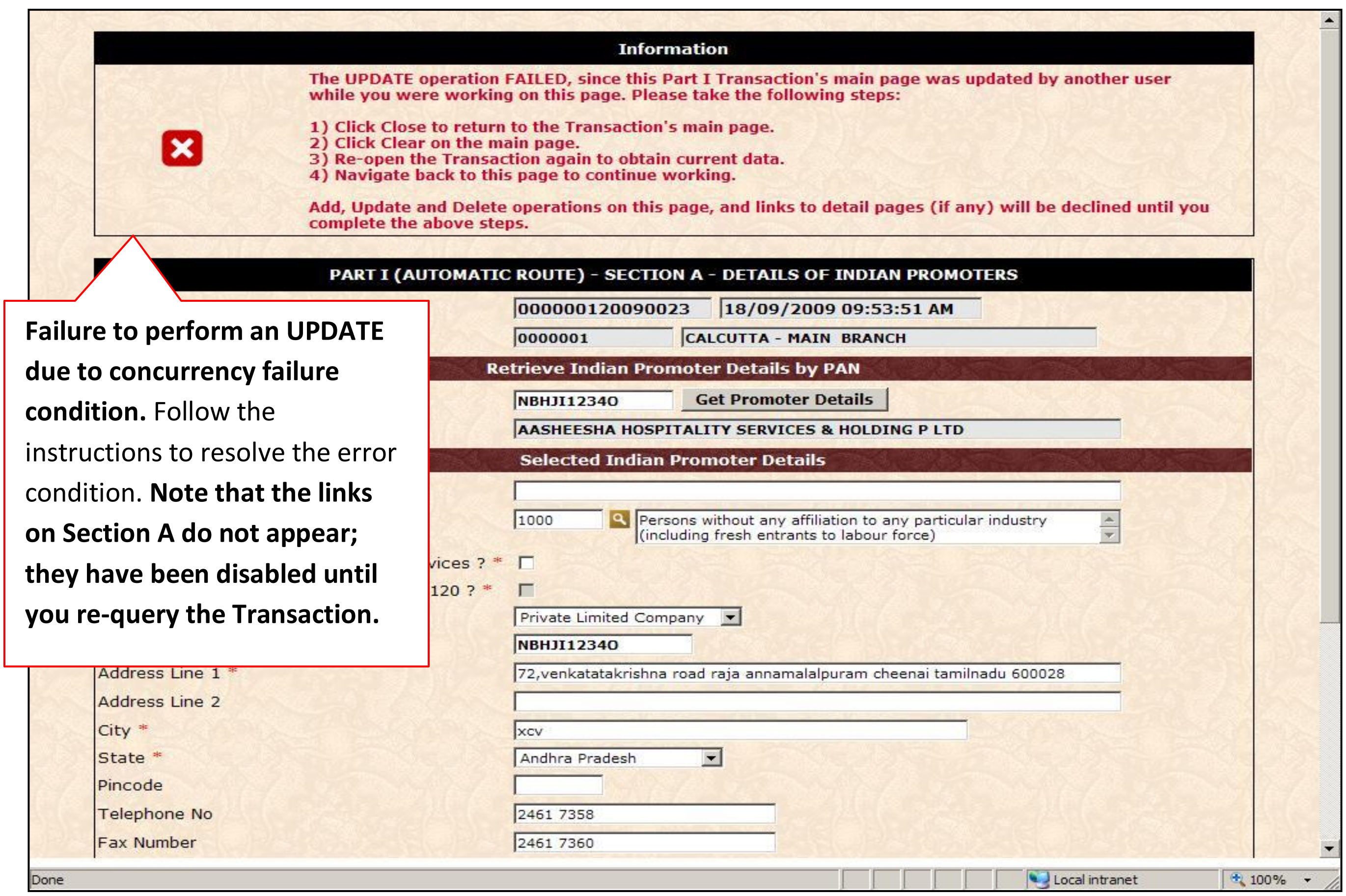
**Two users, A and B, are working with the same Part I – Automatic Route Transaction Number: 000000120090023.**

| Step | User A's Action | User B's Action | OID Application's Response |
|---|---|---|---|
| 1 | Opens Transaction (selects Transaction Number and clicks Get button). | Opens Transaction (selects Transaction Number and clicks Get button). | Application permits both users to open the same Transaction. |
| 2 | User A changes data on the Transaction main page and clicks Update. | Clicks on Section A Link. | Application successfully completes both actions. |
| | | Selects a Section A – Indian Party record and clicks Edit. | Application allows User B to open the requested Indian Party details. |

| Step | User A’s Action | User B’s Action | OID Application’s Response |
|---|---|---|---|
| | | Changes the selected Indian Party record and clicks Update. | Application fails to perform User B’s update, and shows Concurrency Error Message. **Reason: User A updated Transaction main page before User B attempted to update Section A record. Since the Transaction main page information has changed, User B’s request is declined.** |
| 3 | Enters Section B. | Re-queries Part I Transaction and enters Section A again. | Application successfully performs both operations. |
| 4 | Updates Section B. | Updates a record from Section A. | Application successfully performs both operations. |
| 5 | Closes Section B and opens Section A. | | Application successfully performs User A’s actions. |
| 6 | Opens the same Section A record that was just modified by User B. Performs data changes and clicks Update. | | Application successfully performs User A’s actions. **Note that User A has the latest copy of data, that is, User A can now see changes made by User B.** |
| 7 | Opens Remittance Details page from Section A. | Closes Section A and returns to Transaction main page. Changes the Transaction status to ‘Submitted to RBI’ and clicks Update. | Application successfully performs both operations. |

| Step | User A's Action | User B's Action | OID Application's Response |
|---|---|---|---|
| 8 | Attempts to add a new Remittance Detail record. | | Application fails to perform User A's update, and shows Concurrency Error message. **<u>Reason</u>: User B updated the Transaction's main page before User A attempted to add a Remittance detail record. Since the Transaction main page information (status) has changed, User A's request is declined.** |

Concurrency messages are displayed on top of the page.



**You can only recover from a Concurrency error condition by following the instructions provided in the error message. No further actions (add / update / delete) are permitted on the page that displayed the error.**

To minimize Concurrency errors, we recommend that you:

1. Do not distribute work in a single Transaction to more than one user.
2. Do not update anything on the main Transaction page when you are working with a detail page as this will cause a Concurrency error on the detail page.

### 5.3.4. Attaching Documents to a Transaction

You can attach documents to a Transaction as part of the Transaction data. Such attached files can contain additional information about the Transaction. The following file formats are currently supported:

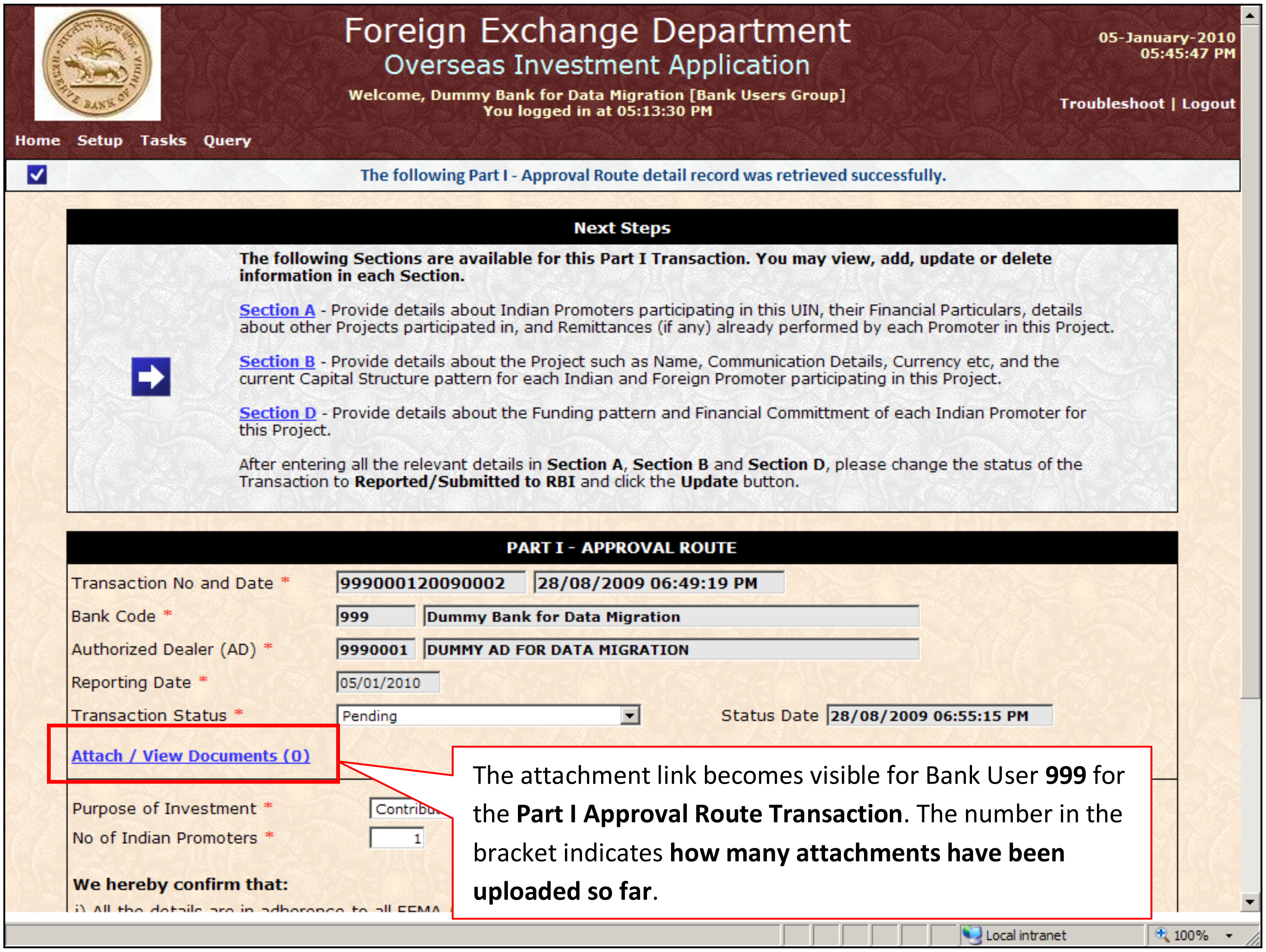
| File Extension | Description |
|---|---|
| .jpg, .gif, .tiff | These are Image file types. You can, for example, obtain a scanned copy of a document in one of these formats and upload it. |
| .doc | Microsoft Word Document type. |
| .xls | Microsoft Excel Document type. |
| .pdf | Adobe Portable Document Format type. |
| .txt | Text type. |

**Notes:**

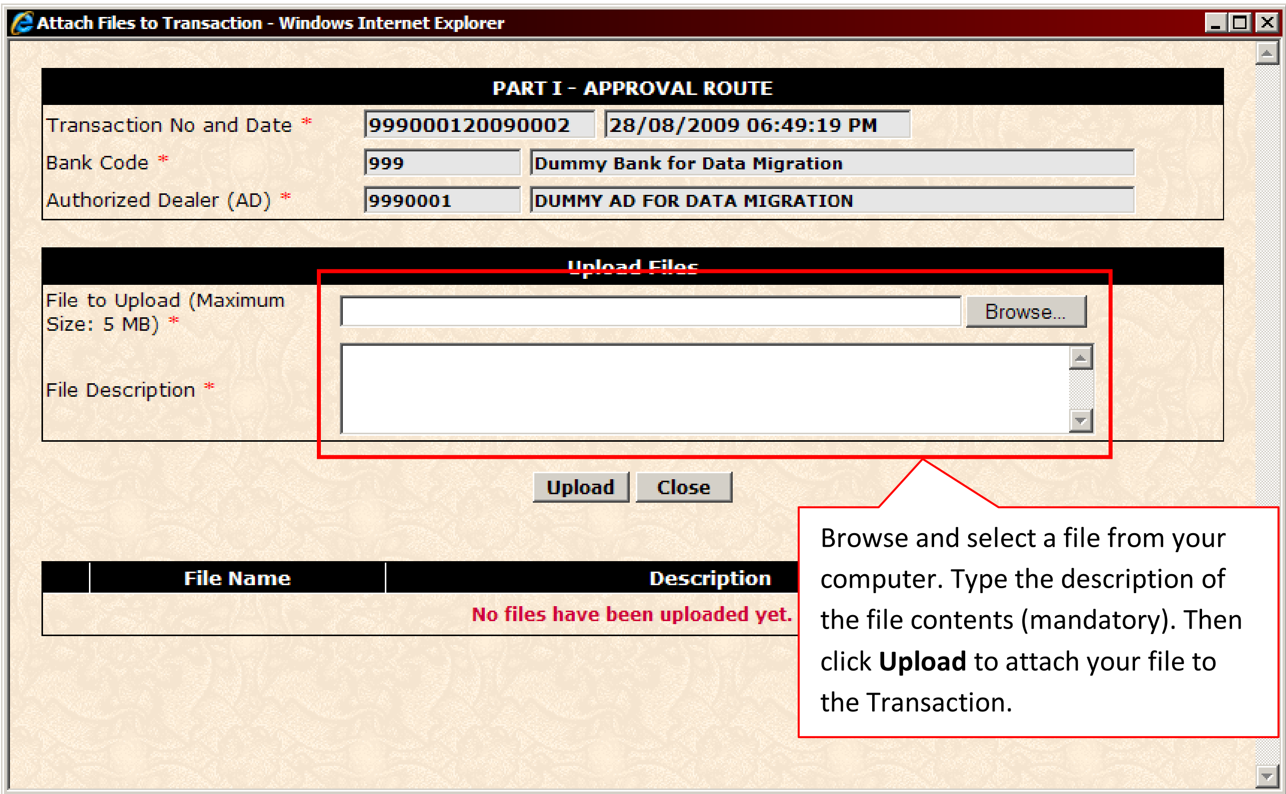
- Bank Users can only upload (optionally) documents for Part I – Approval Route Transaction. The attachments are expected to contain further information to enable RBI decide whether to approve the Transaction or not.
- RBI Users can attach documents to any Transaction.
- A single attachment can be up to 5 MB in size. Attachments larger than this size cannot be uploaded.
- There is no upper limit on the number of attachments for any Transaction.
- Attachments are optional and Transaction workflow is not affected.
- The file name cannot contain more than 50 characters.

How to attach, view, delete and download documents is explained in the following pages.

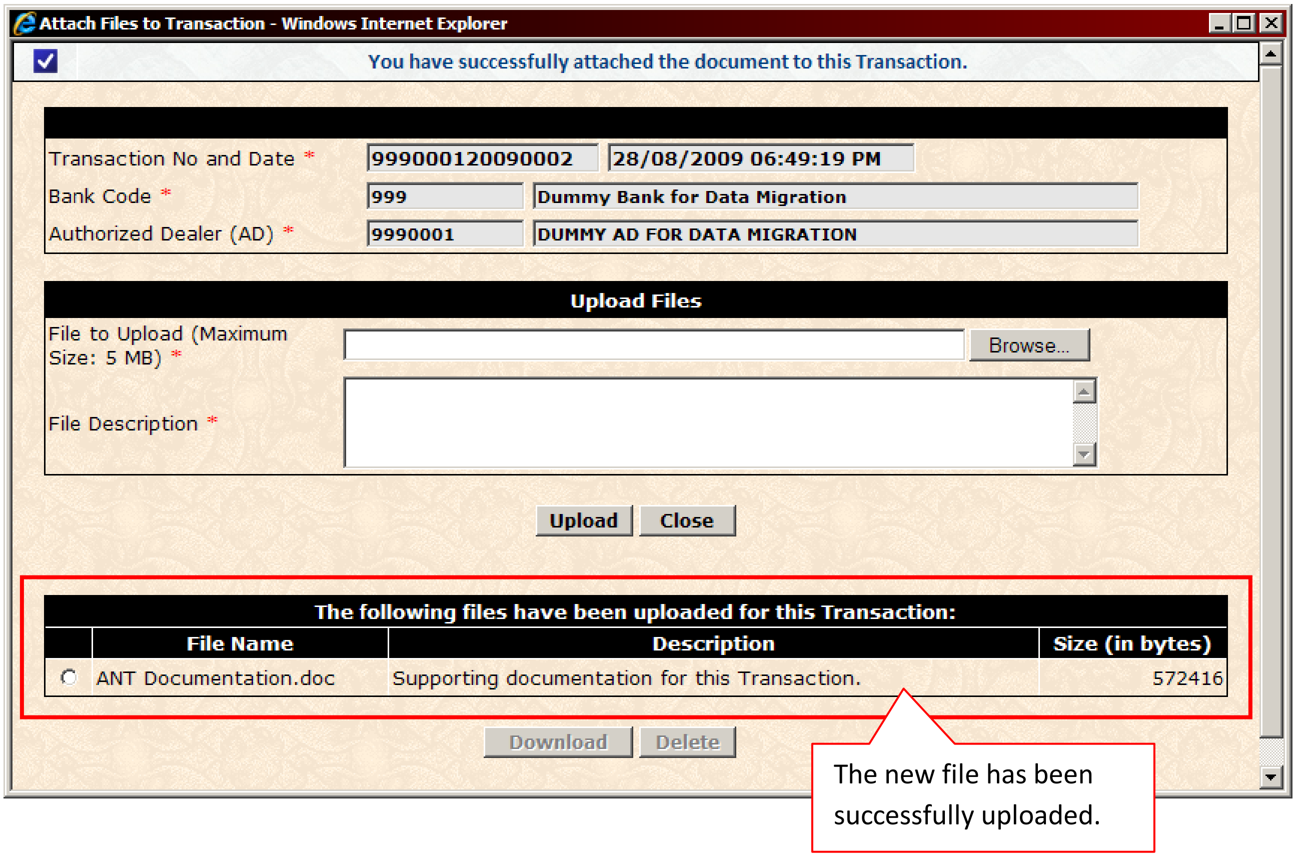
1. When the Attach Document functionality is available, **a link appears in the Header portion of the Transaction**, as shown below:



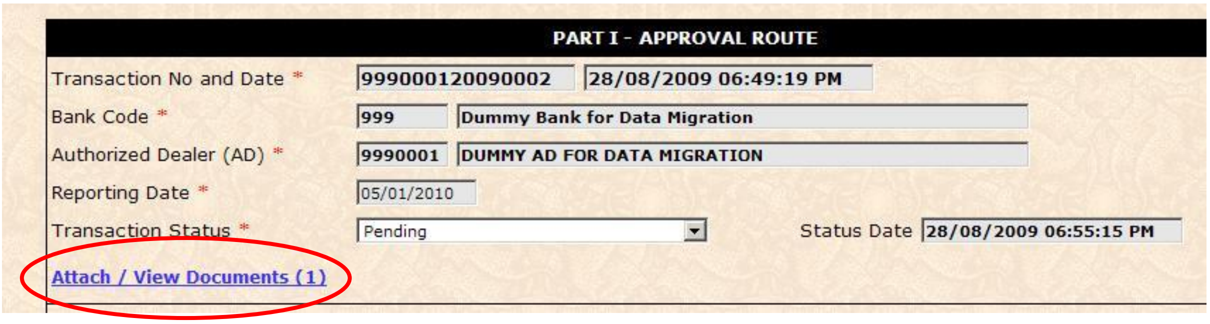
2. Click the **Attach / View Documents** link. The link opens in a new window, as shown below:



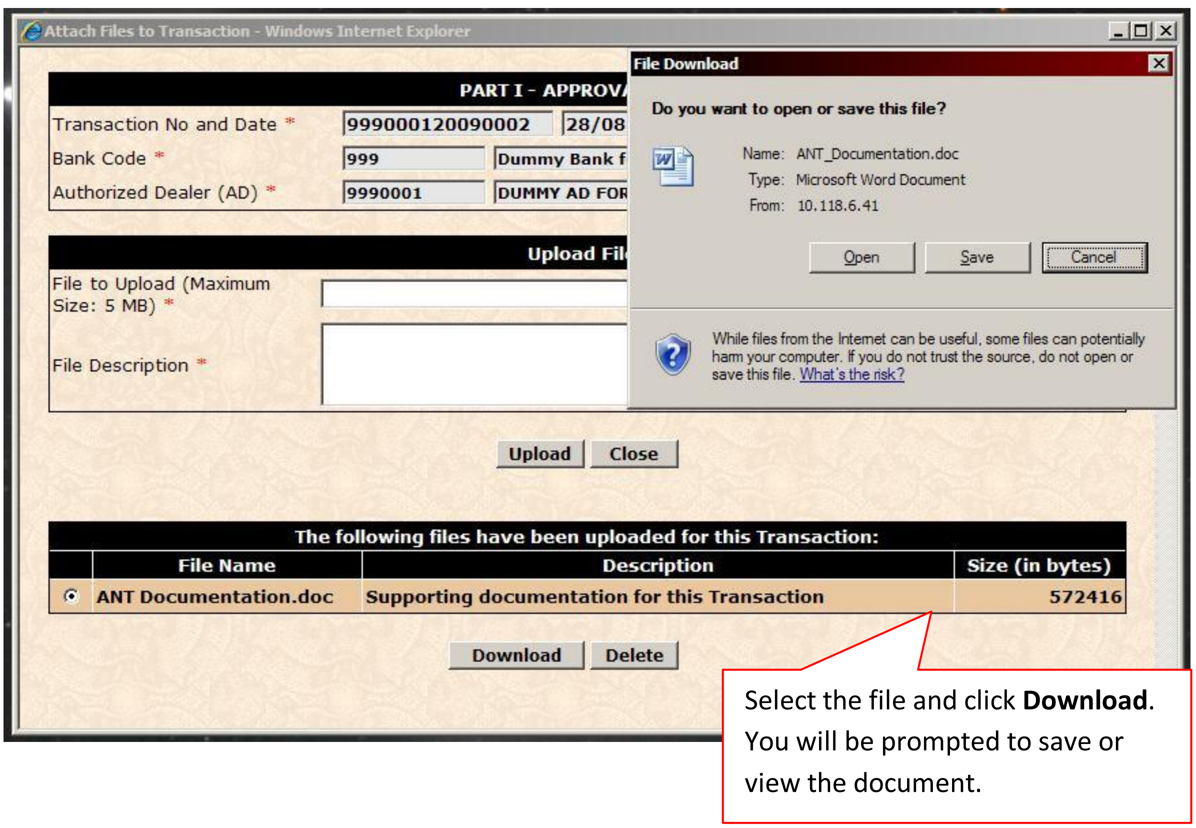
3. Once your file is uploaded, it will appear in the list of uploaded files. The **Download** and **Delete** buttons become available:



4. Note that on the Transaction main page, the attachment count is immediately updated:




5. To view the contents of an attachment, click the selector and click Download. You can then view or download the file:




6. To permanently **delete** an attached document, select that record and click **Delete**. The **Delete Confirmation dialog** will appear. Click **OK** to permanently delete the attached document. Deleted attachments cannot be recovered.

### 5.3.5. Working with the History List

On most Transaction detail pages (accessed through links from the **Next Steps** Dialog), you will find that **multiple records are allowed / required**. This section helps you work with such records.

For example, in Part I – Automatic Route Transaction – Section A, multiple Indian Party records are expected to be added depending on how many Indian Parties were declared on the main page. The records added to the Transaction are shown in a 'history list' near the bottom of the page. The 'history list' appears on a number of Transaction pages; these are listed below:

- Part I – Section A.
- Part I – Section A – Financial Particulars.
- Part I – Section A – Details of Existing JV/WOS.
- Part I – Section A – Remittance Details.
- Part I – Section B – Capital Structure Details
- Part I – Section D.
- Part I – Section C – Capital Structure Details
- Part I – Section C – Section D.
- Part II – Remittance Details.
- Part III – Investment in Step-down Subsidiaries.

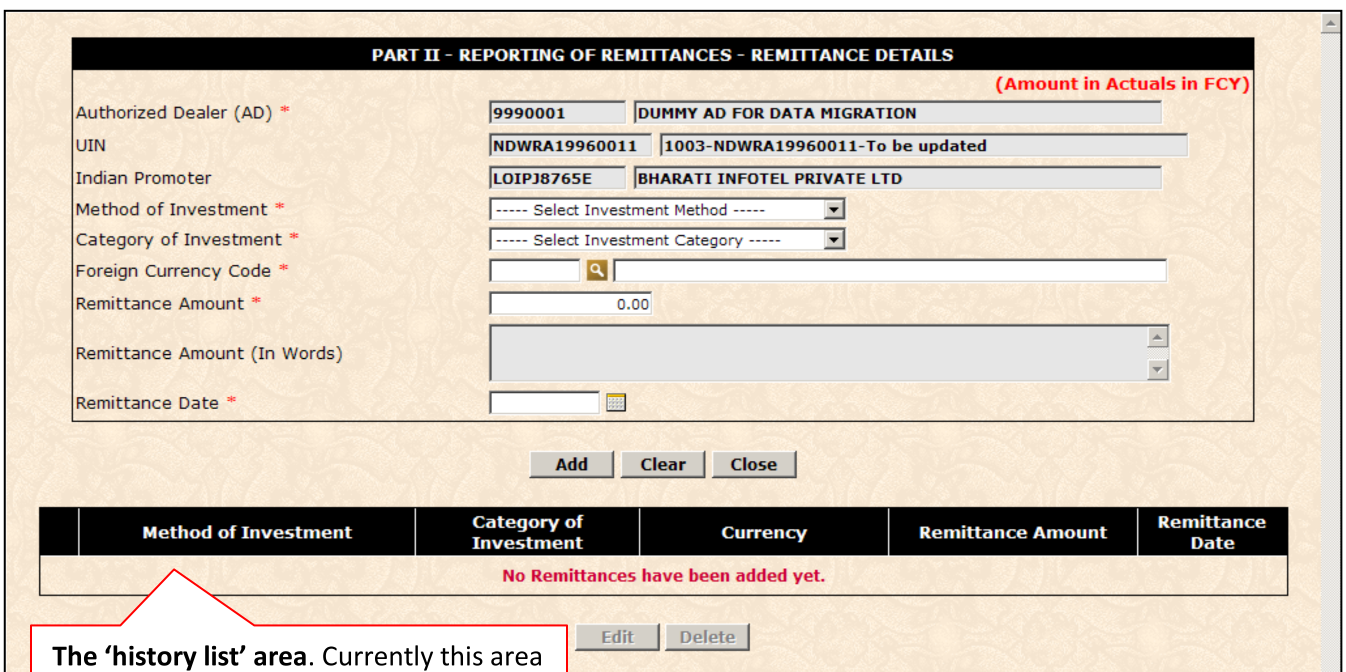
**Part II – Remittance Details page is used as an example for the following sub-sections.**

#### 5.3.5.1. Adding a detail record

1. Login as Bank user 999, select Tasks → Part II – Reporting of Remittances, and open an existing Part II Transaction in Pending status. The '**Next Steps Dialog**' is displayed, as shown below:

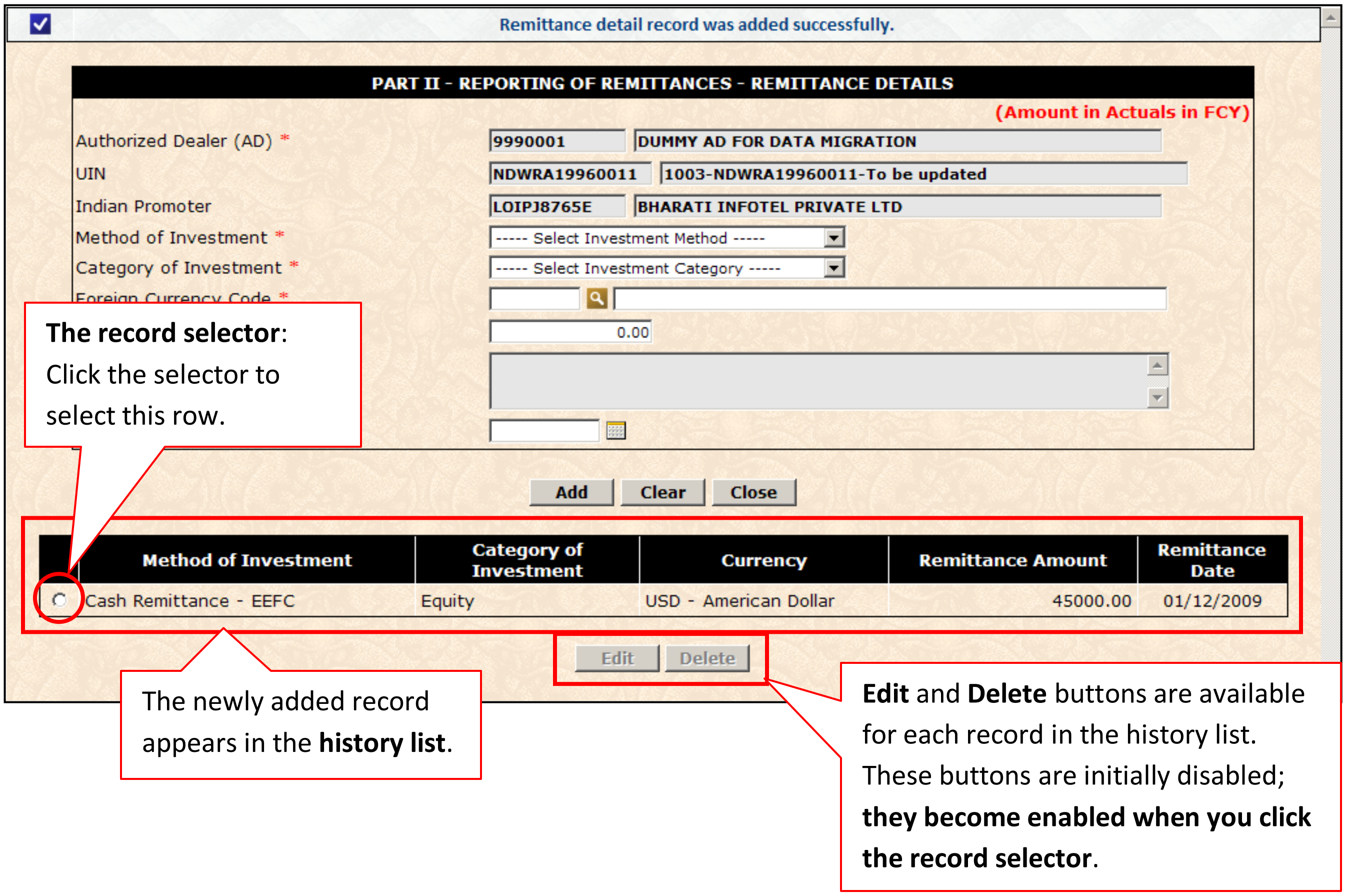

The '**Next Steps Dialog**' box containing a link to the **Remittance Detail page** is displayed after a successful Get operation.

2. Click the Remittance Details link. The blank details page opens as shown below:

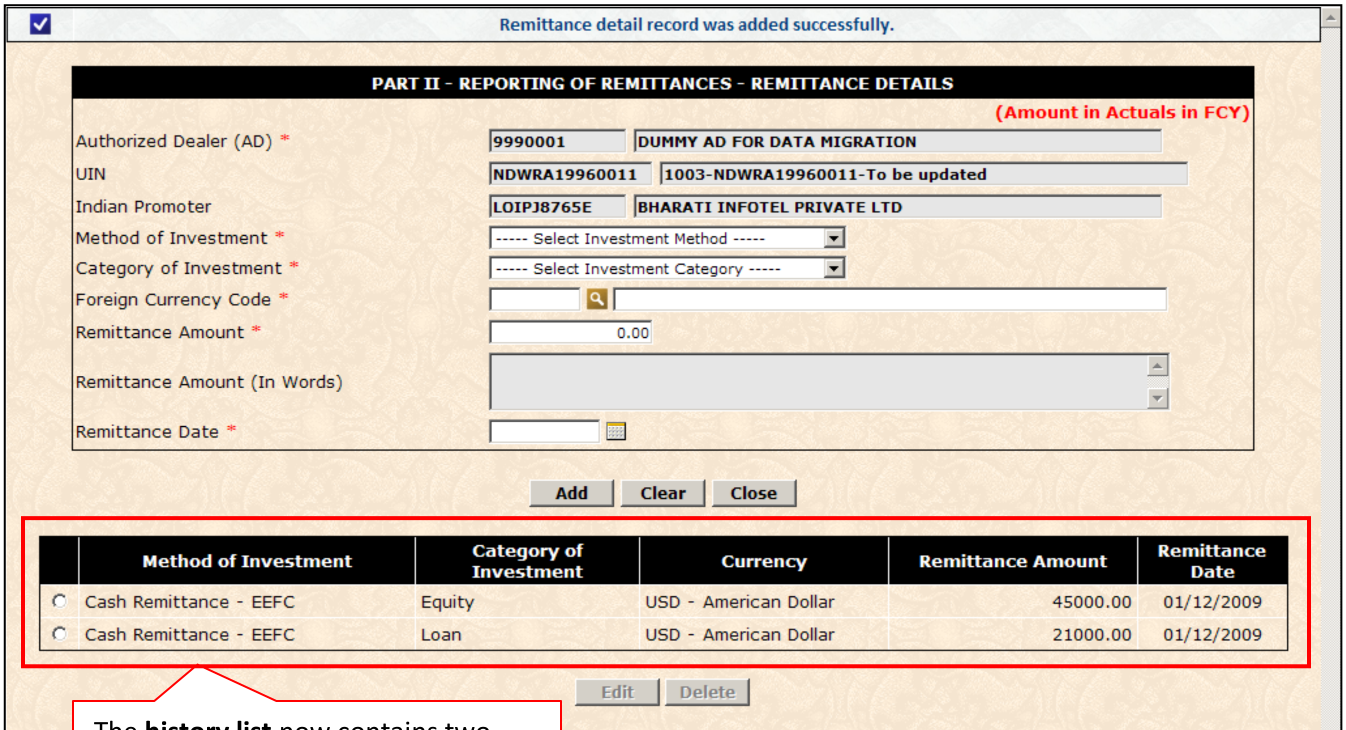



**The 'history list' area**. Currently this area is empty, as no remittances have been added so far.

3. Add all mandatory information on this page, and click **Add**. The record is successfully added (assuming that all validations were passed) and appears in the history list:



4. Add one more record. The newly added record also appears in the history list:



Remittance detail record was added successfully.

PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS

(Amount in Actuals in FCY)

Authorized Dealer (AD) * 9990001 DUMMY AD FOR DATA MIGRATION

UIN NDWRA19960011 1003-NDWRA19960011-To be updated

Indian Promoter LOIPJ8765E BHARATI INFOTEL PRIVATE LTD

Method of Investment * ----- Select Investment Method -----

Category of Investment * ----- Select Investment Category -----

Foreign Currency Code *

Remittance Amount * 0.00

Remittance Amount (In Words)

Remittance Date *

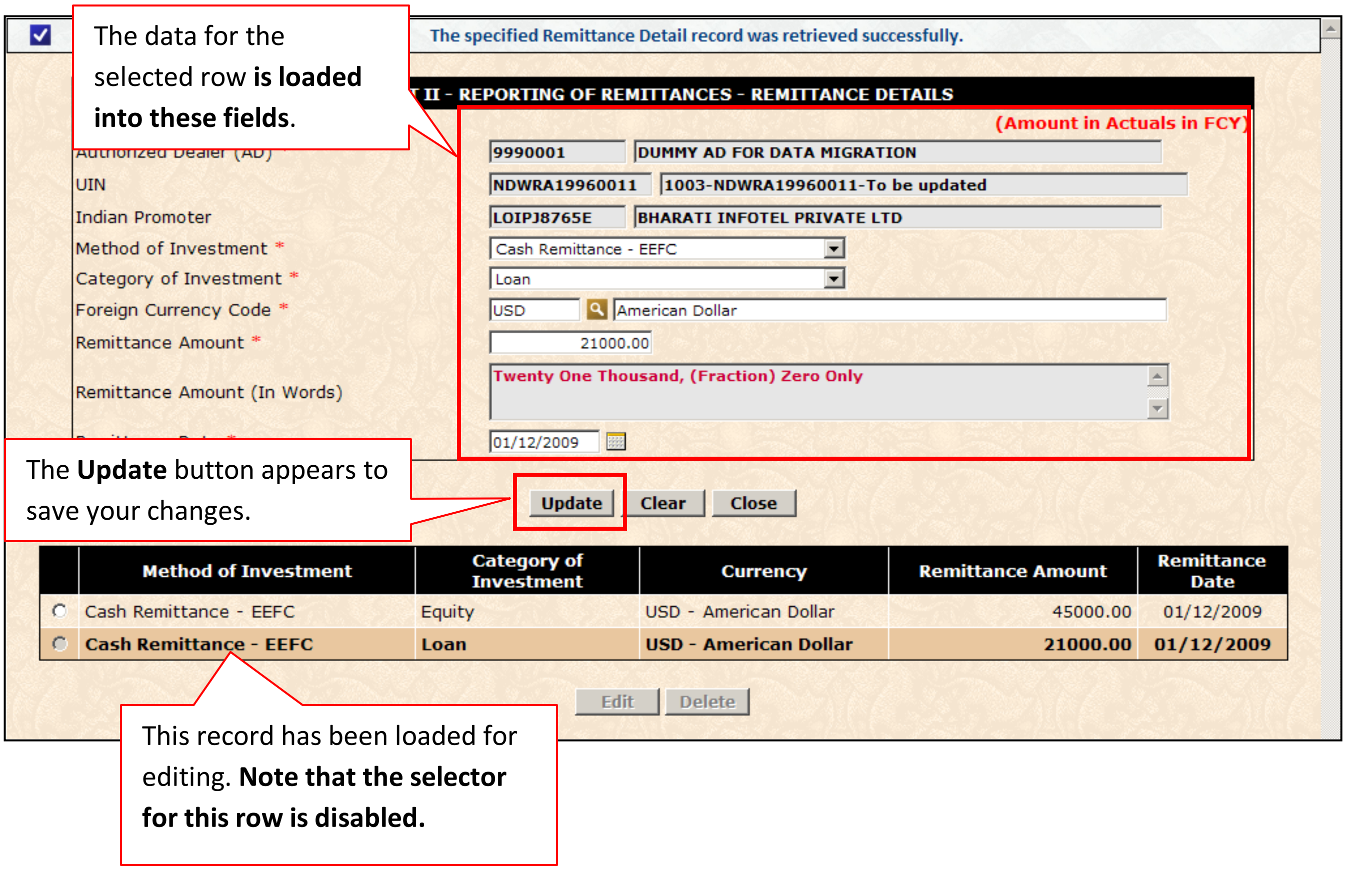
Add Clear Close

| | Method of Investment | Category of Investment | Currency | Remittance Amount | Remittance Date |
|---|---|---|---|---|---|
| ○ | Cash Remittance - EEFC | Equity | USD - American Dollar | 45000.00 | 01/12/2009 |
| ○ | Cash Remittance - EEFC | Loan | USD - American Dollar | 21000.00 | 01/12/2009 |

Edit Delete

The **history list** now contains two rows, one for each record. Note that **each record has a selector** on the extreme left.

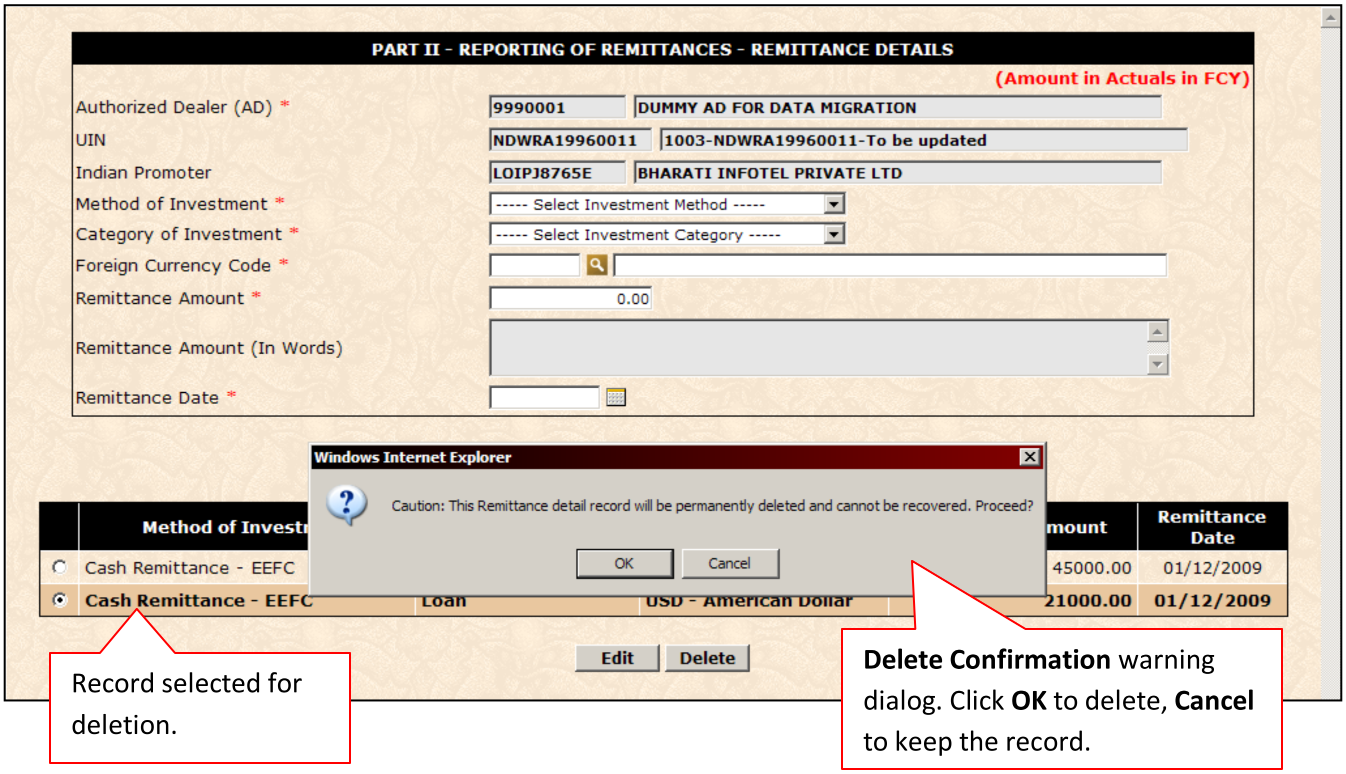
5. To work with a particular record, first **click the selector for that row**. The row becomes highlighted. Then click **Edit** to load that record into the fields on the page for editing. The **Add** button is replaced with the **Update** button:



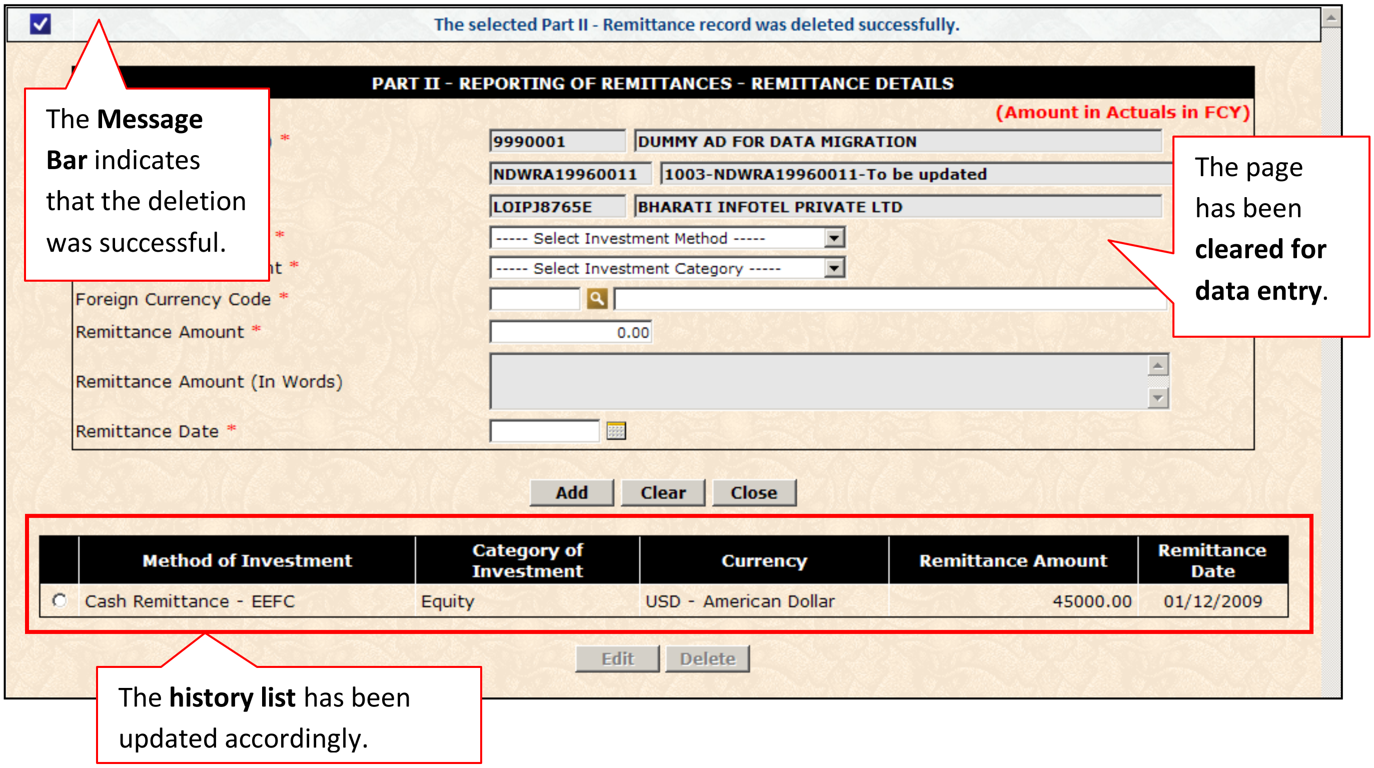

6. After performing your changes, click Update to save the record into the database.

**Note: Upon a successful Add or Update operation, enterable fields are immediately cleared; this is meant to enable you rapidly add another record.**

7. To delete a record, click that record's selector, and click Delete. You will receive a Delete Confirmation Warning box. **The warning is meant to alert you that the deletion will be permanent, and the record cannot be recovered under any circumstances:**



8. Click OK to permanently delete this record. **The** record **will be physically deleted from the database, and the history list will be updated accordingly**:



## 5.4. UNDERSTANDING TRANSACTION WORKFLOW

### 5.4.1. Introduction to Workflow in the OID Application

Essentially, Workflow refers to two features:

1) **Transaction Routing Mechanism**: Every Transaction that has data discrepancies (and some Transactions by default) will be routed to RBI for scrutiny and further action. The Data Providers (Banks and ADs) have no control over the routing mechanism. RBI retains the final authority to approve, reject or refer-back any pending Transaction at its discretion.

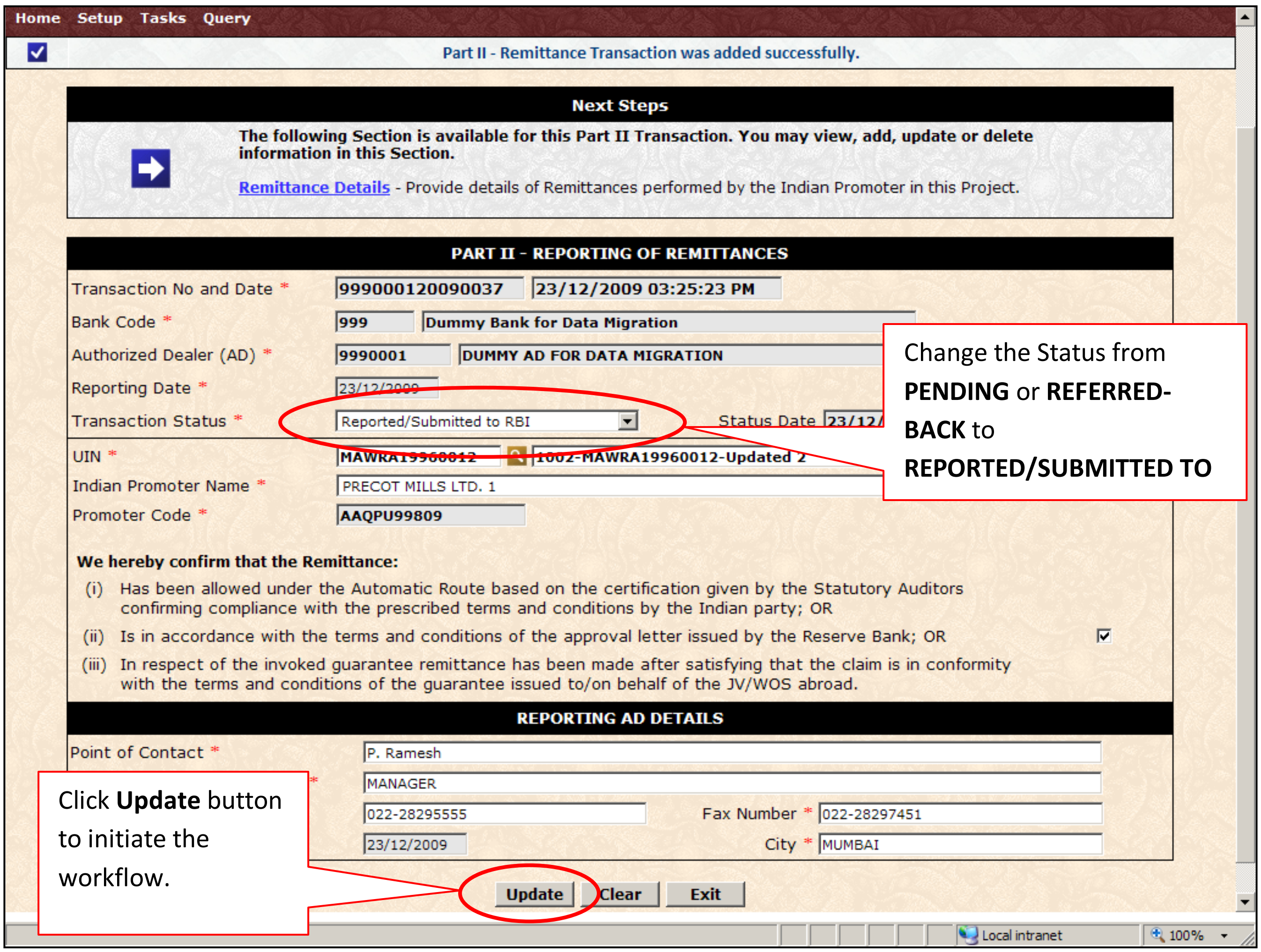
2) **Data Accessibility Restrictions**: Users are grouped into Roles and permissions are applied to those Roles. As described in the **User Permissions Matrix**, the Application ensures that Transactions lying in a particular status have restricted visibility or are un-modifiable.

## 5.4.2. When is the Workflow Triggered?

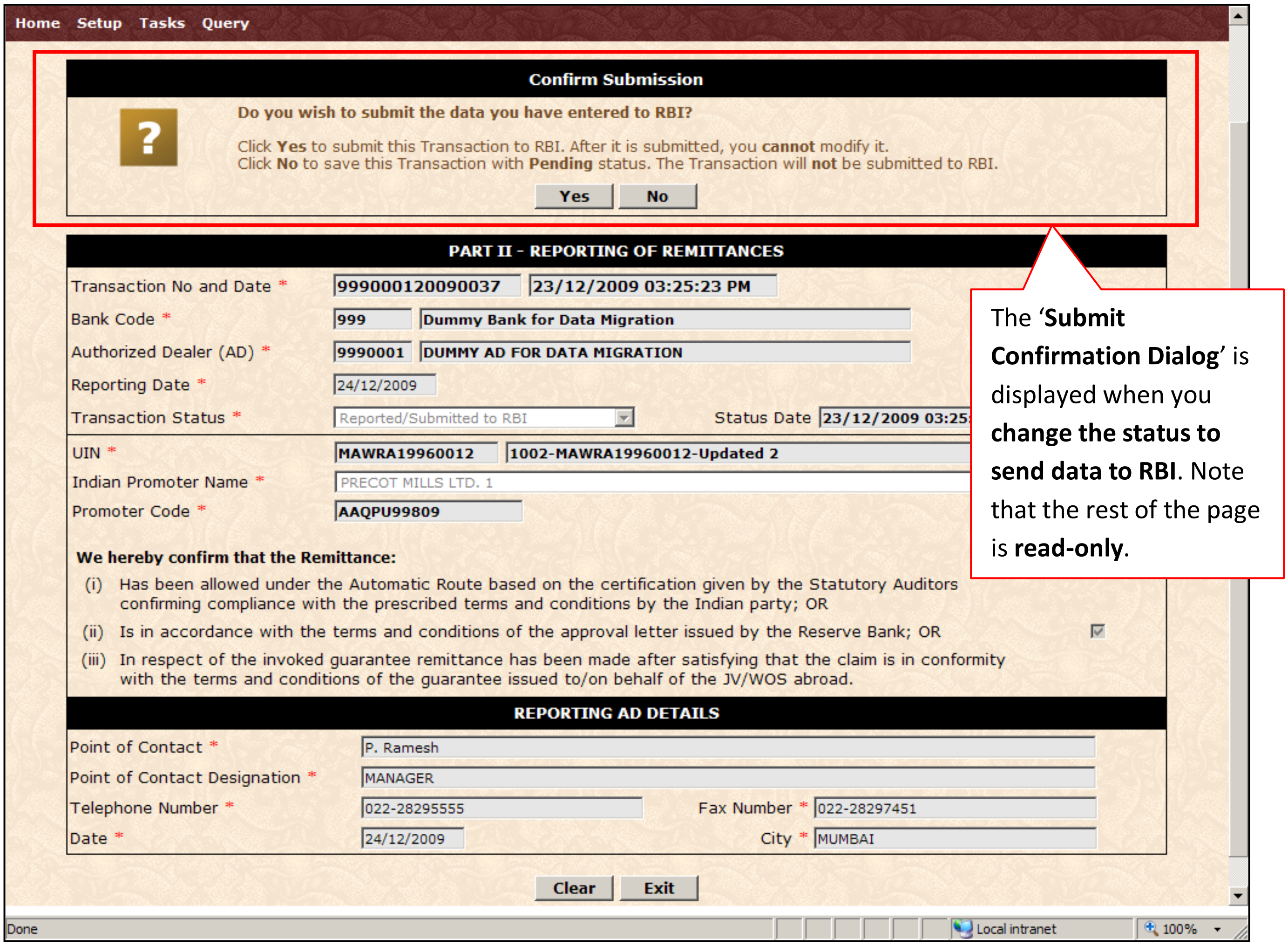
The Workflow is triggered when the **status of a Transaction changes**.

## 5.4.3. Bank Users' Workflow (Reporting a New Transaction to RBI)

1) The workflow for a Bank User begins when you create a fresh Transaction (or open a referred-back Transaction) and change the Transaction Status to "**Reported/Submitted to RBI**".



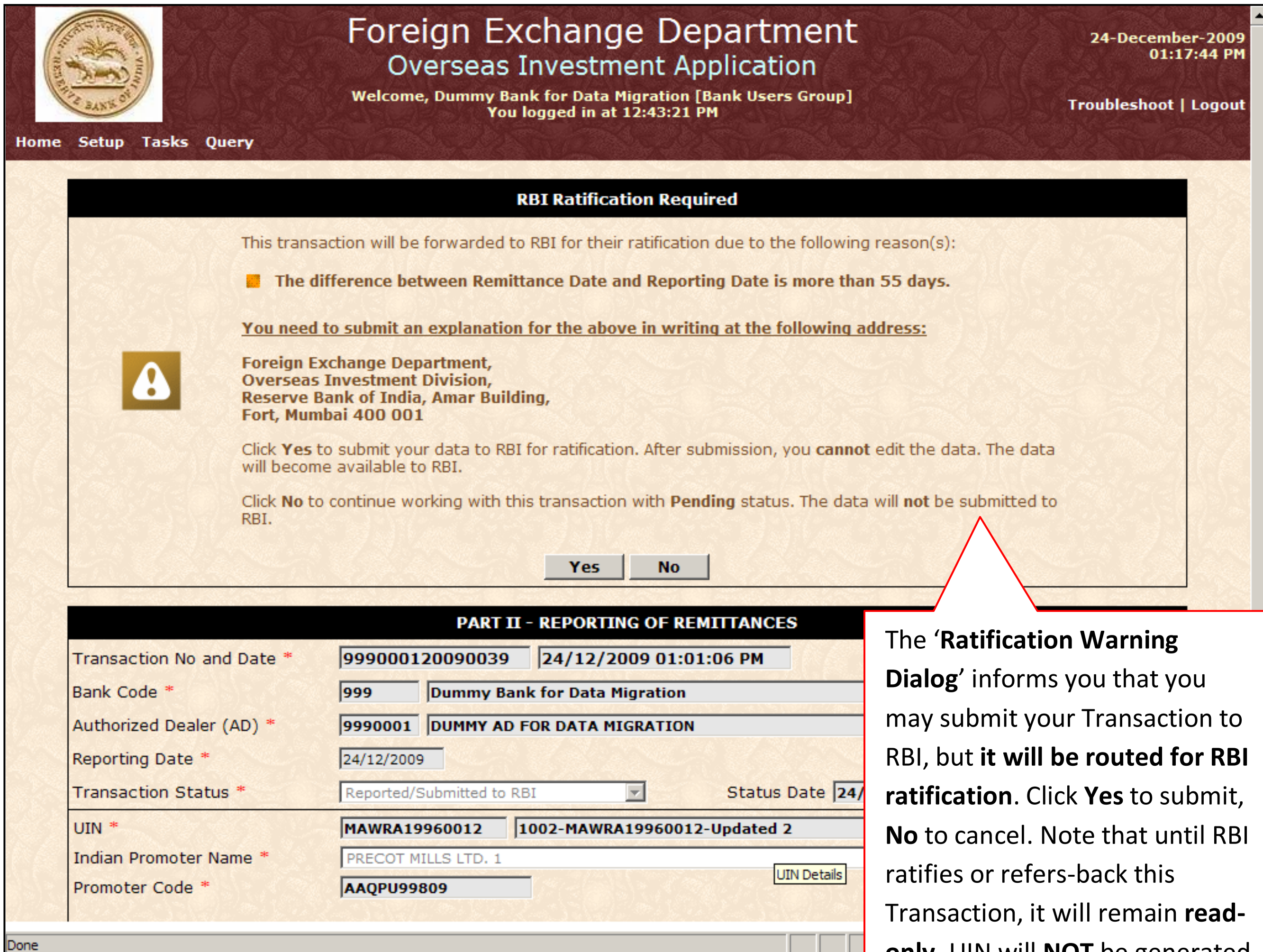
2) The Application displays a ‘Submit Confirmation’ dialog box:




3) Click **Yes** if you want to continue and submit this Transaction to RBI. Click **No** to remain in Pending status.

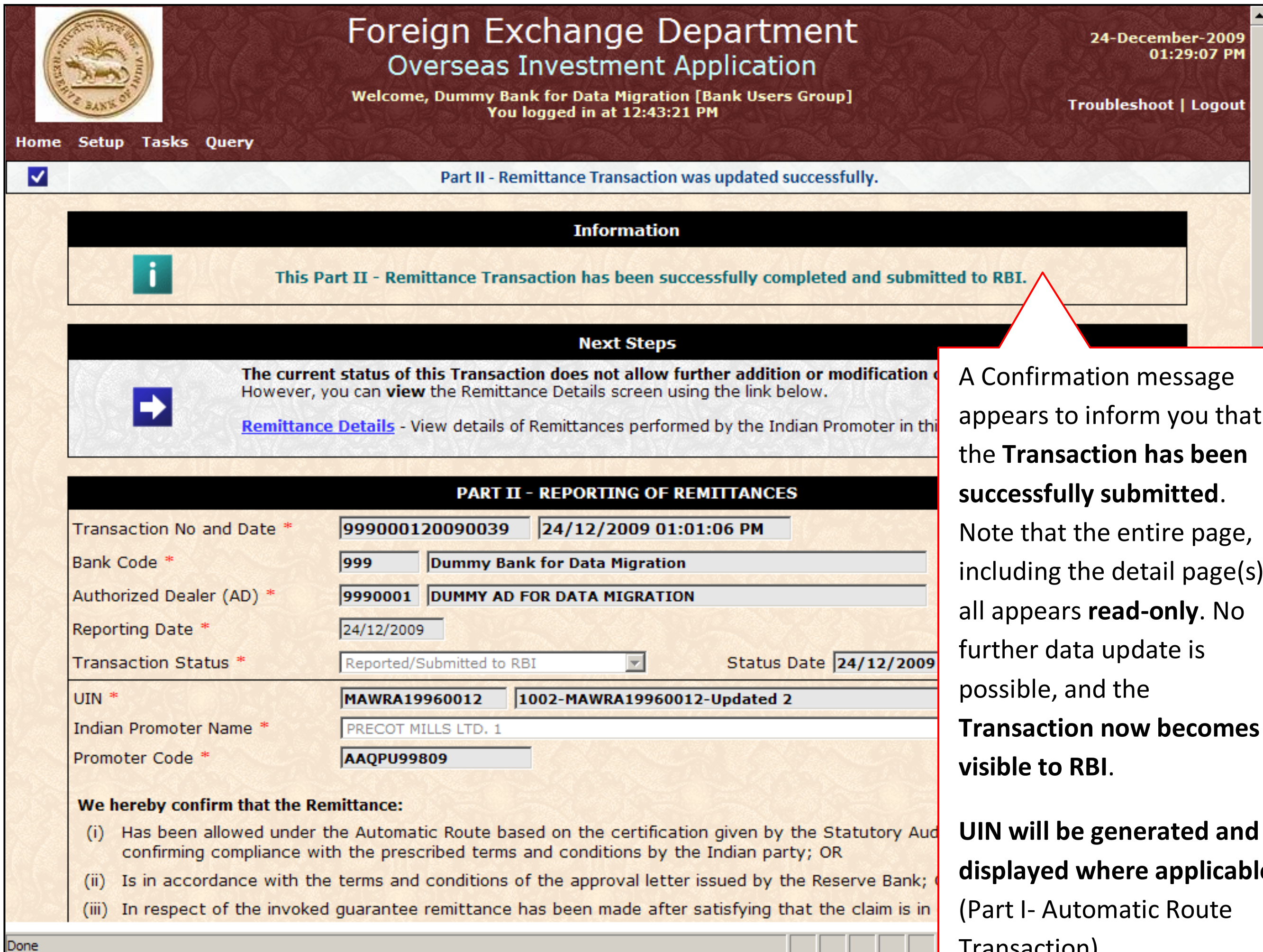
4) If you click **Yes**, **business validations will run** on the data you are attempting to submit. This may generate errors, **if there are discrepancies in the data** such that the Transaction cannot be submitted without further correction:


5) If there are discrepancies that require RBI's approval, you will be informed accordingly through the '**Ratification Warning Dialog**', as shown below:




The '**Ratification Warning Dialog**' informs you that you may submit your Transaction to RBI, but **it will be routed for RBI ratification**. Click **Yes** to submit, **No** to cancel. Note that until RBI ratifies or refers-back this Transaction, it will remain **read-only**. UIN will **NOT** be generated (for Part I Transaction).

6) If the Transaction contains no errors or discrepancies, it will be submitted to RBI successfully. The confirmation message appears as shown below:




A Confirmation message appears to inform you that the **Transaction has been successfully submitted**. Note that the entire page, including the detail page(s), all appears **read-only**. No further data update is possible, and the **Transaction now becomes visible to RBI**.

**UIN will be generated and displayed where applicable** (Part I- Automatic Route Transaction).

## 5.4.4. Email Updates Triggered by Workflow

Emails are automatically sent to **relevant email IDs maintained in RBI database when certain workflow actions are performed.** These emails are sent from an automated mailbox. Such emails are for your information only; you should not reply to these emails since replies are automatically discarded.

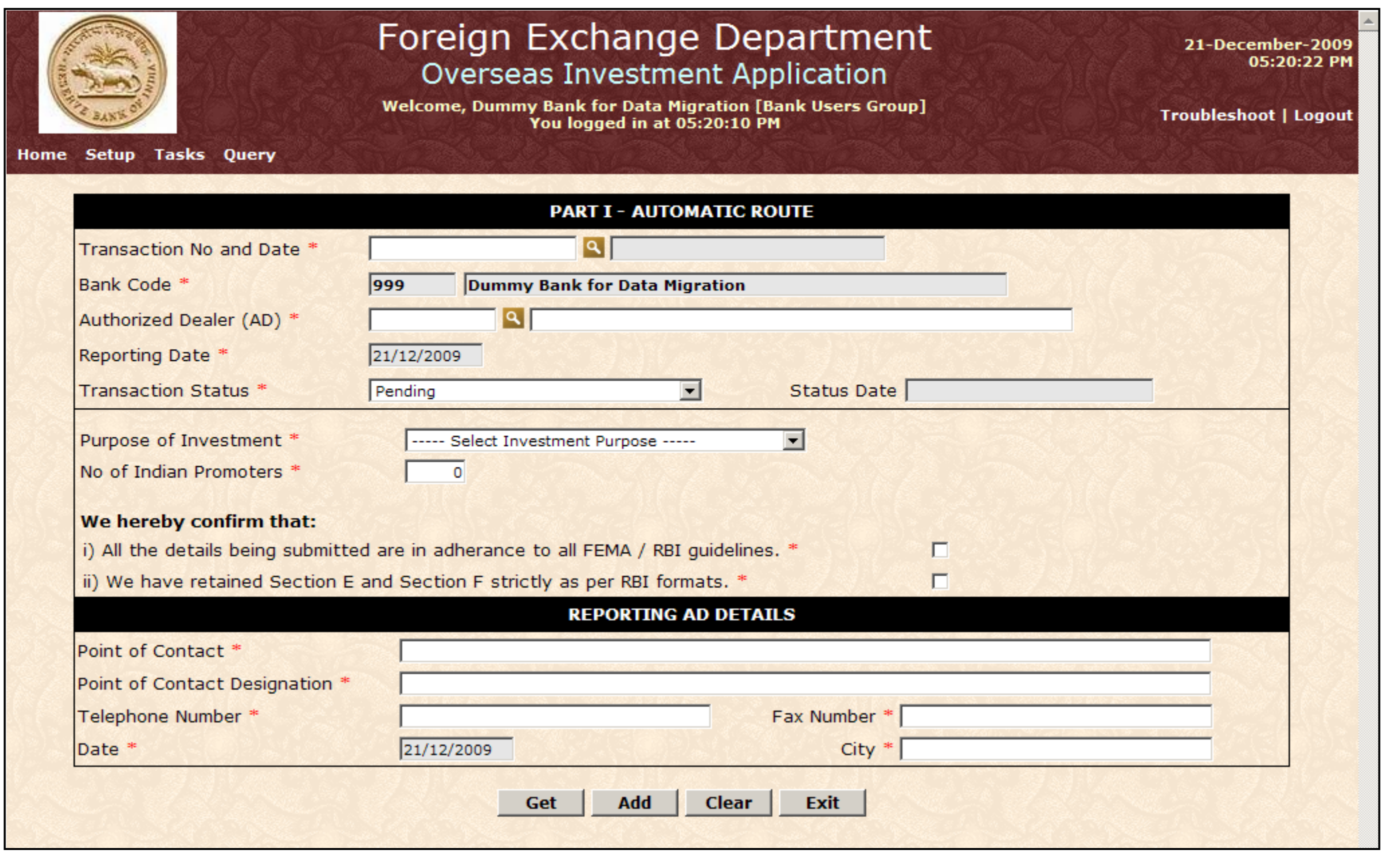
The following table specifies when and to whom emails are automatically sent.

| Transactions | Triggering Action | Application Response |
|---|---|---|
| ❖ Part I (both Automatic and Approval Routes)<br>❖ Part II – Reporting of Remittances<br>❖ Part III - Annual Performance Report Transaction<br>❖ Part I – Section C | ❖ Bank User changes Transaction status from **PENDING** to **REPORTED / SUBMITTED TO RBI**.<br><br>❖ RBI User **Approves**, **Rejects**, or **Refers-Back** a Transaction to the concerned Bank. | Email containing the relevant information is sent to the following recipient list:<br><br>**TO:** Bank<br>**CC:** RBI Approving authorities for this Transaction type, Concerned Authorized Dealer, Concerned Indian Party. |
| ❖ ESOP Scheme – Annexure I Transaction<br>❖ ESOP Scheme – Annexure II Transaction<br>❖ Investment by Mutual Funds Transaction<br>❖ Portfolio Investments (Under AP DIR Circular 66) Transaction | ❖ Bank User changes Transaction status from **PENDING** to **REPORTED / SUBMITTED TO RBI**.<br><br>❖ RBI User **Approves**, **Rejects**, or **Refers-Back** a Transaction to the concerned Bank. | Email containing the relevant information is sent to the following recipient list:<br><br>**TO:** Bank<br>**CC:** RBI Approving authorities for this Transaction type, Concerned Authorized Dealer. |

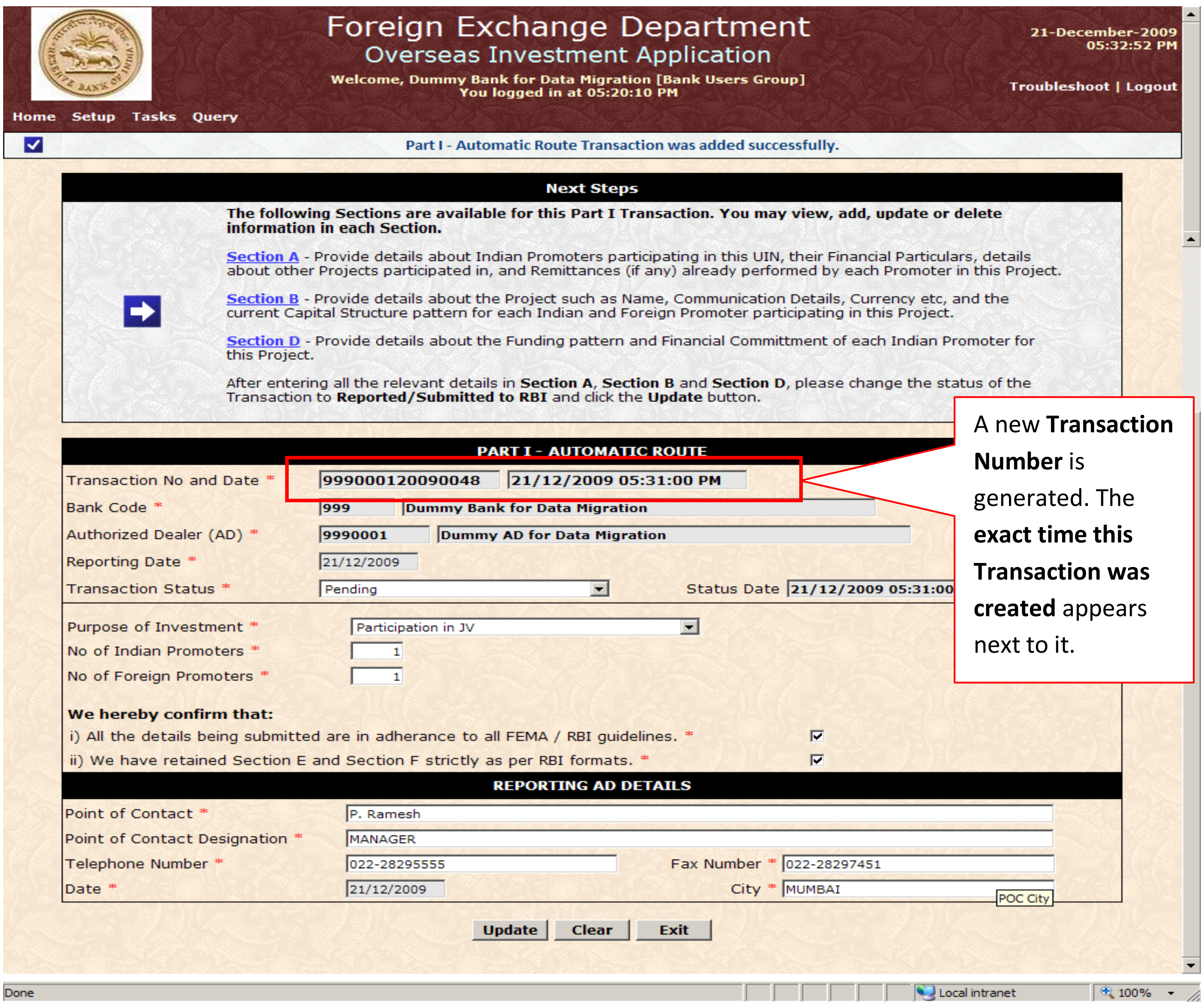
## 5.5. PART I – AUTOMATIC ROUTE TRANSACTION

Part I Transaction enables the Bank user to provide information to RBI about the new Projects set up by one or more Indian companies with or without foreign collaboration. The Bank can report a Project under Automatic Route **only if the Transaction complies with all extant RBI guidelines**. The following table shows you, step by step, the complete workflow for the Part I – Automatic Route Transaction. **The Bank User login used is 999 – Dummy Bank.**

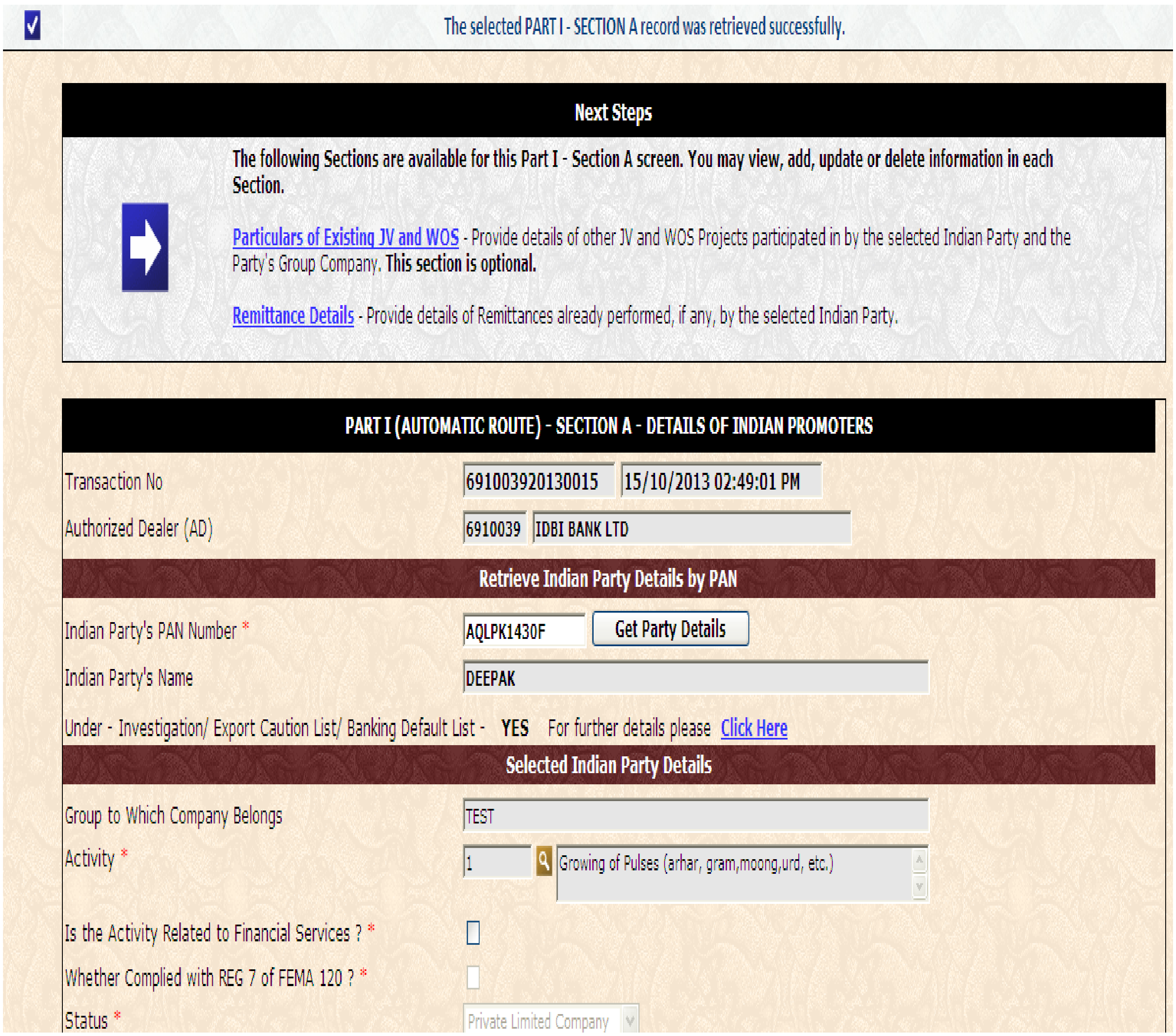
| Step Number | User Actions | Application Actions |
|---|---|---|
| 1 | ❖ Login to the OID Application with User Name **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click the **Menu link** titled '**Part I – Automatic Route**' | ❖ Application opens the Part I – Automatic Route Transaction page. The blank screen is shown below: |



| Step Number | User Action | Application Response |
| --- | --- | --- |
| 2 | ❖ Enter all required details for this Transaction. The mandatory fields are marked by a * symbol on the page. | ❖ The Application successfully creates a new Part I – Automatic Route Transaction and displays the Transaction Number, and links for Section A, B and D, as shown below: |



| Step Number | User Action | Application Response |
|---|---|---|
| **3** | ❖ Click the link for Section A. | ❖ Application opens Section A in a new window. The blank Section A page is shown below: |



## INVESTIGATION DETAILS:

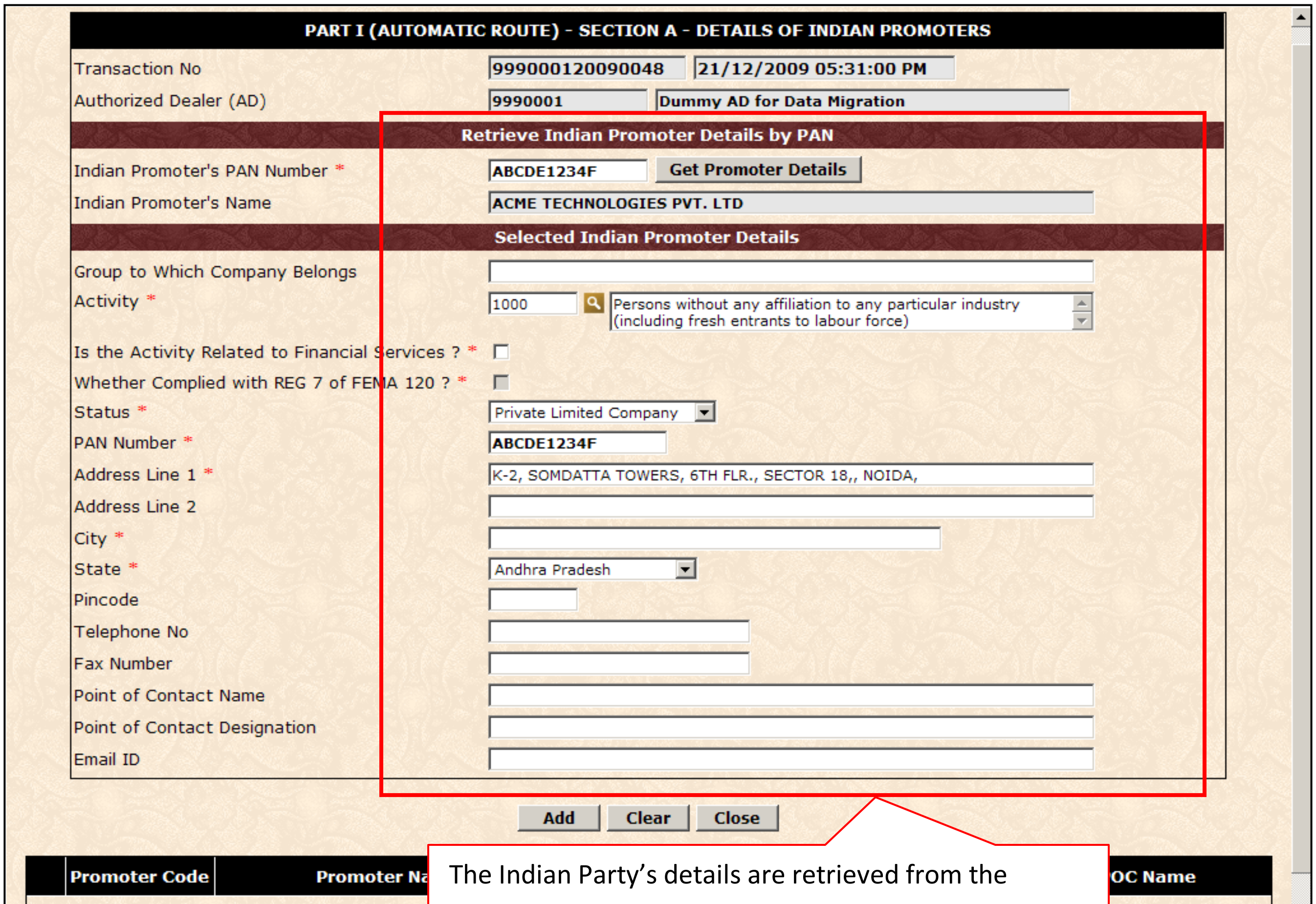
**INVESTIGATION DETAILS**

Indian Party AQLPK1430F

| Under- Investigation/ Export Caution List/ Banking Default List | From Date | To Date |
|---|---|---|
| Bank Caution List | 14/10/2013 | 15/10/2013 |
| DOE | 01/08/2013 | |
| CBI | 03/08/2013 | |

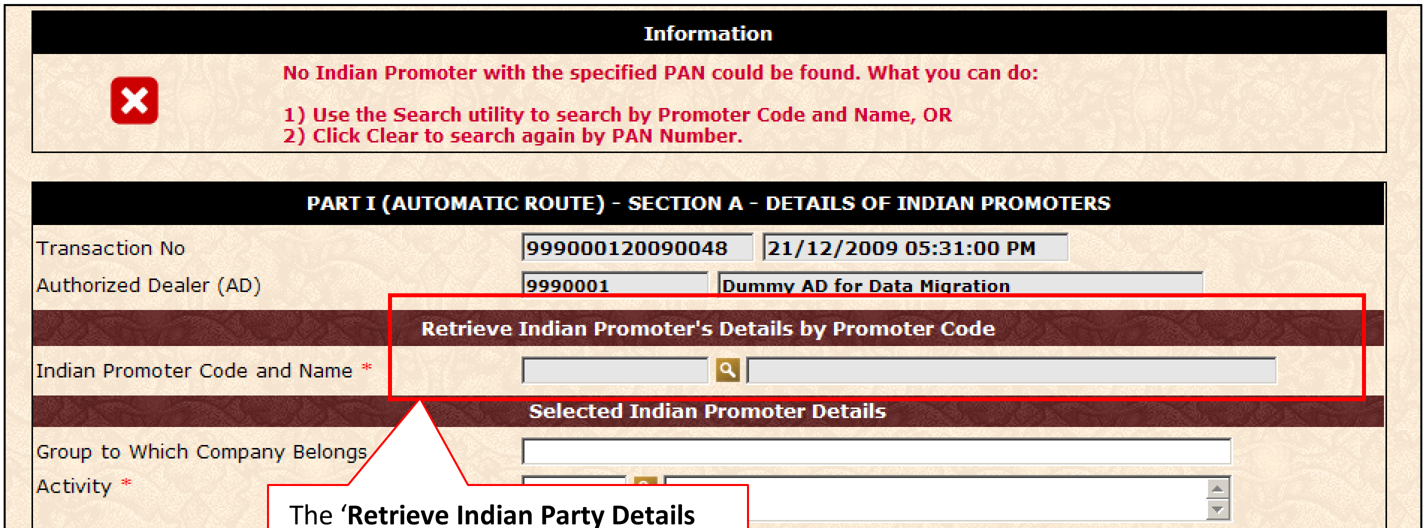
| Part I (Automatic Route) – Section A Page – ADD mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **4** | You have the option to specify the Indian Party by PAN Number, or by Party Code.<br><br>❖ Enter the valid 10-character PAN (example: **KJHUI9988Y**) and click **Get Party Details** button. | ❖ If the PAN was valid and available in the application's database, the application will populate the details from the Indian Party Master. |
| | **- OR In Case:**<br><br>❖ If the PAN Number you entered does not exist in the application's database, **you will be prompted to search for the Indian Party by Party Code and/or Name**. The search button now becomes available. Type the Code and/or the Name of the Indian Party (partially or completely) and click the search button. All Indian Parties with the matching name will be displayed in the search results window. Select the correct Indian Party and click **OK**. | ❖ The Application loads the data pertaining to the Indian Party you selected and populates the data into the fields. Both scenarios are shown below: |

**Scenario 1**: The specified PAN was valid and matched an Indian Party in the Master. The Party's details are obtained from the Indian Party Master and populated into Section A page:

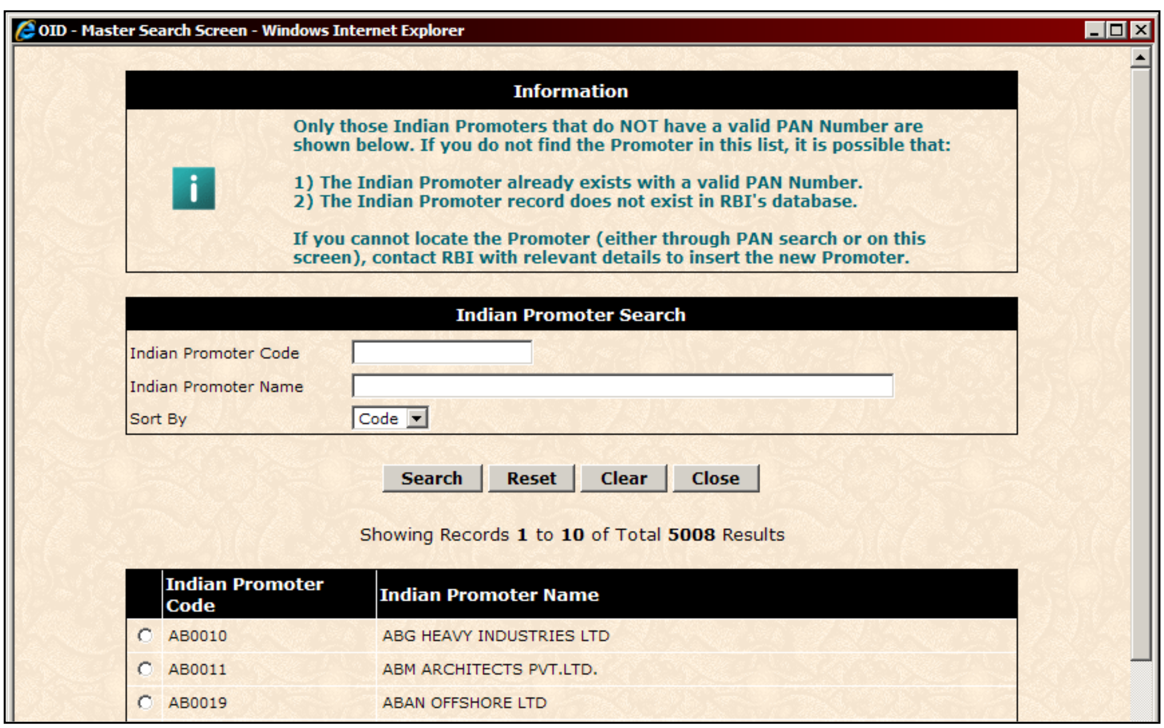



The Indian Party's details are retrieved from the Master and populated into Section A fields. Any changes you make will be saved with the **Transaction**; the **Master will NOT be updated, except for change to the PAN, which will be updated into the Master**.

**Scenario 2**: The specified PAN was invalid; the **Party Search** option becomes available:




The '**Retrieve Indian Party Details by Party Code**' becomes available. Clicking the search button brings up the Party Master search, as shown below:

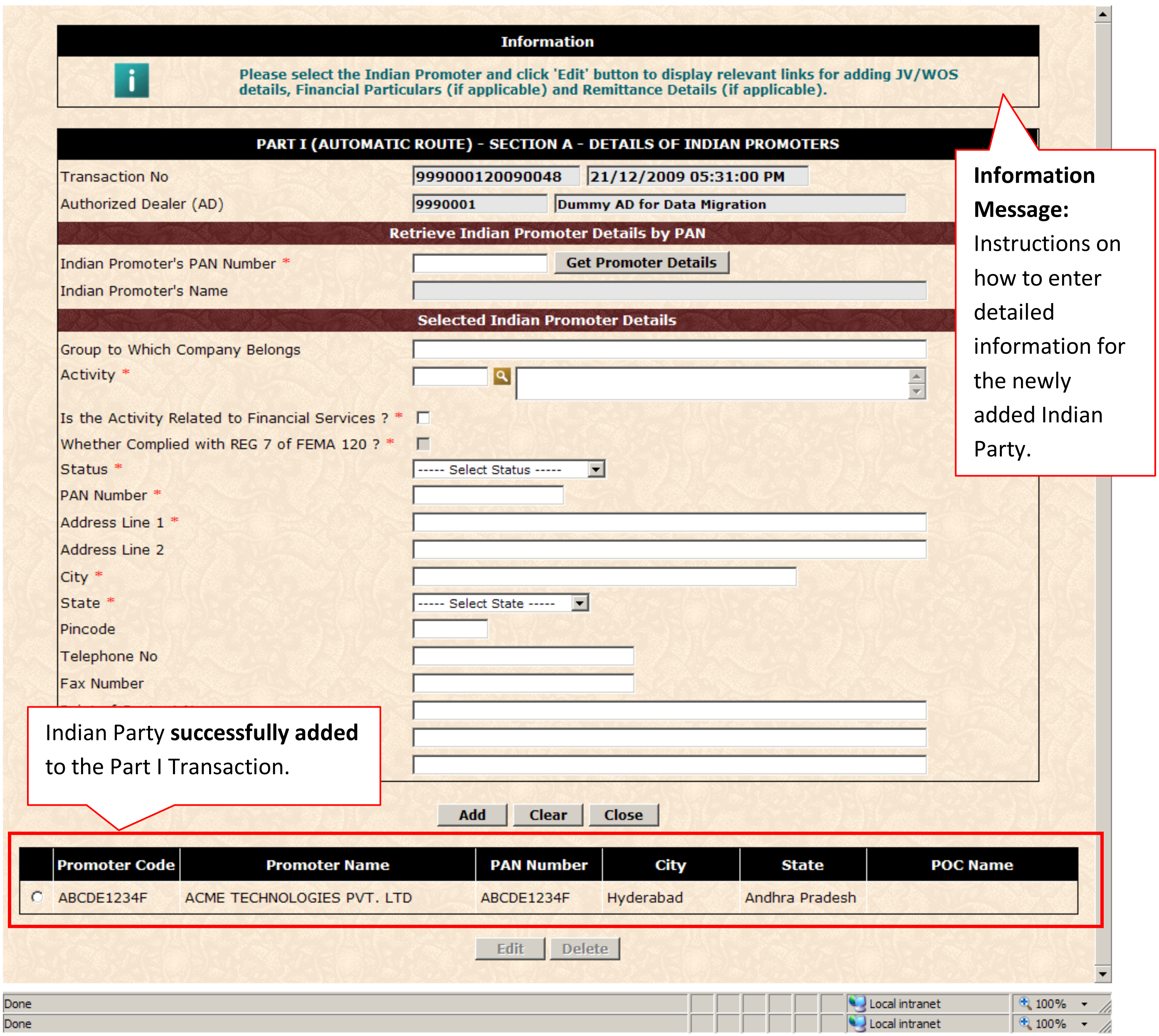


**Note:**

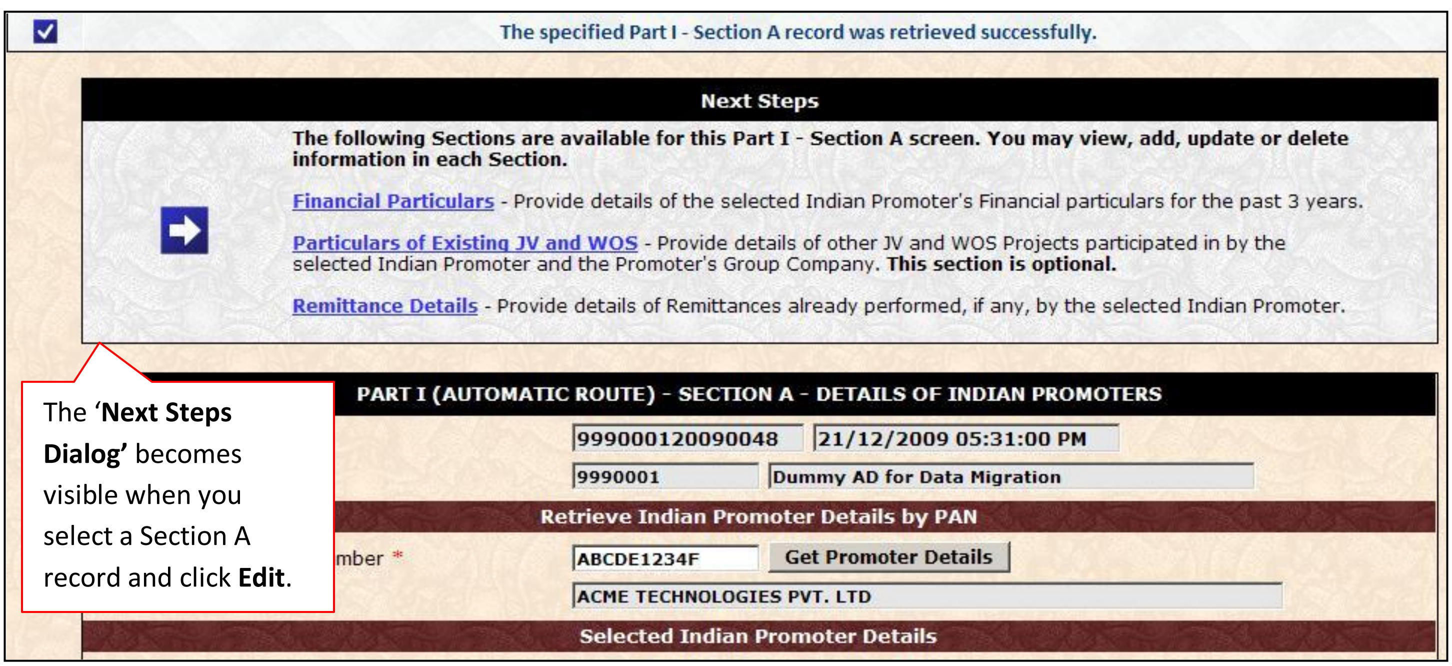
If you cannot locate the Indian Party from the search screen, the Indian Party may not exist in the OID application's database. You will have to send an email requesting addition of the new Indian Party (**with the new Indian Party details in the prescribed format – below**) to RBI's Centralized Helpdesk at **helpoid@rbi.org.in**.

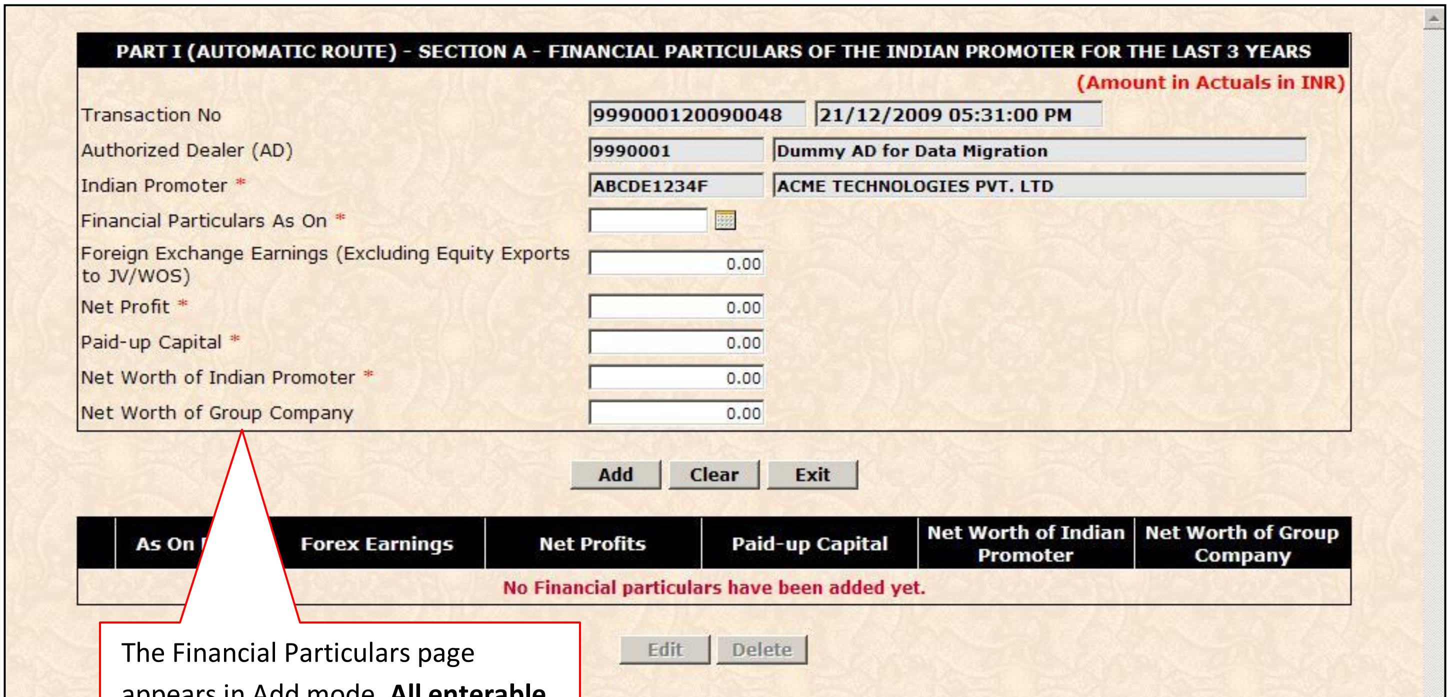
| | |
|---|---|
| **Indian Party Name** * | |
| **Group to Which Company Belongs** | |
| **Status** * | Public Limited Company/Private Limited Company/Public Sector Undertaking/Registered Partnership/Proprietorship/Unregistered Partnership/Trust/Society/Others |
| **Activity Code as per NIC 1987 Classification** * | |
| **Address 1** * | |
| **Address 2** | |
| **City** * | |
| **State** * | |
| **Pin Code** | |
| **Point of Contact** | |
| **Point of Contact Designation** | |
| **PAN Number** * | |
| **Telephone Number with STD Code** | |
| **Fax Number** | |
| **Indian Party Email ID** | |

| Part I (Automatic Route) – Section A Page – ADD mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **4** | ❖ Once the Party Details are populated, ensure that all mandatory fields are entered with valid data. Check the '**Is the Activity Related to Financial Services**' and '**FEMA Compliance**' flags. Click **Add** to add this Party to this Project. | ❖ Application successfully adds the new Party into this Project. The PAN provided will replace the existing IP code in the second scenario. An **Information message** appears at the top, providing instructions on how to proceed: |



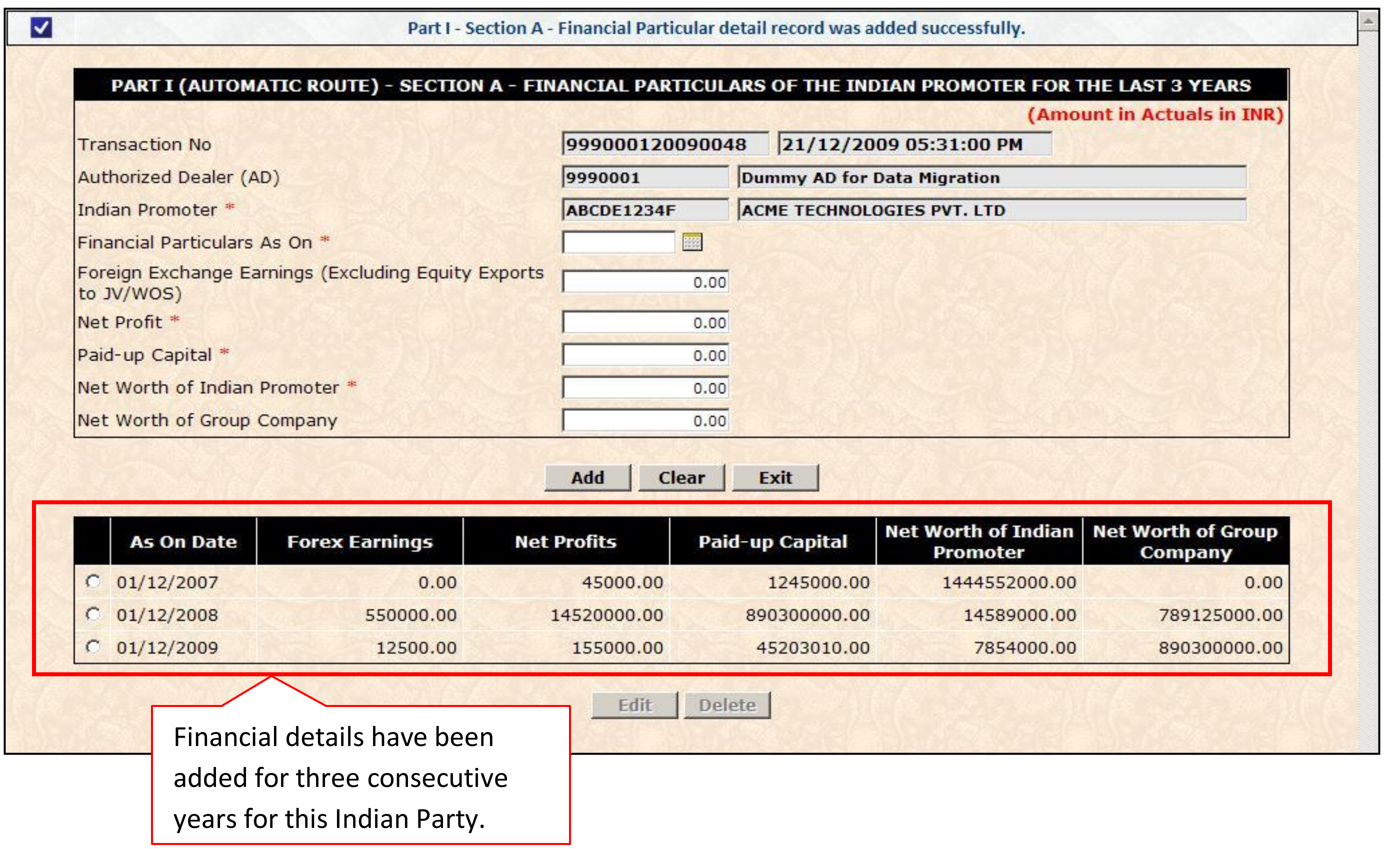
| Part I (Automatic Route) – Section A Page – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 5 | ❖ Click the Indian Party record selector and click **Edit**. | ❖ Application loads the data for the Indian Party, and shows the **Next Steps Dialog**, containing links to detail pages. |
| | ❖ Change any data you wish to change on the page. For example, enter or update the email address, POC Name etc. Click Update. | ❖ The Application successfully updates the data. **All data fields are cleared to enable you add another record.** An Information message appears at the top, providing instructions on how to proceed. |
| | ❖ Again, click the Indian Party record selector and click **Edit**. | ❖ Application loads the data for the Indian Party, and shows the **Next Steps Dialog**, containing links to detail pages. |
| | ❖ Click the '**Financial Particulars**' link. | ❖ The '**Financial Particulars for the Past 3 Years**' page opens. Both screens are shown below: |






The Financial Particulars page appears in Add mode. **All enterable fields are empty**. Type your data into the fields and click **Add**.

| Part I (Automatic Route) – Section A – Financial Particulars Page – ADD mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 6 | ❖ Enter the mandatory fields and click **Add** button. | ❖ Application successfully inserts the record and displays it in the list at the bottom of page. All data fields are cleared automatically, so that you can add another record. |
| | ❖ Add Financial Details for three consecutive years. | ❖ Application inserts data successfully for 3 consecutive years. |


Part I - Section A - Financial Particular detail record was added successfully.

PART I (AUTOMATIC ROUTE) - SECTION A - FINANCIAL PARTICULARS OF THE INDIAN PROMOTER FOR THE LAST 3 YEARS

(Amount in Actuals in INR)

| | | |
|---|---|---|
| Transaction No | 999000120090048 | 21/12/2009 05:31:00 PM |
| Authorized Dealer (AD) | 9990001 | Dummy AD for Data Migration |
| Indian Promoter * | ABCDE1234F | ACME TECHNOLOGIES PVT. LTD |
| Financial Particulars As On * | | |
| Foreign Exchange Earnings (Excluding Equity Exports to JV/WOS) | 0.00 | |
| Net Profit * | 0.00 | |
| Paid-up Capital * | 0.00 | |
| Net Worth of Indian Promoter * | 0.00 | |
| Net Worth of Group Company | 0.00 | |

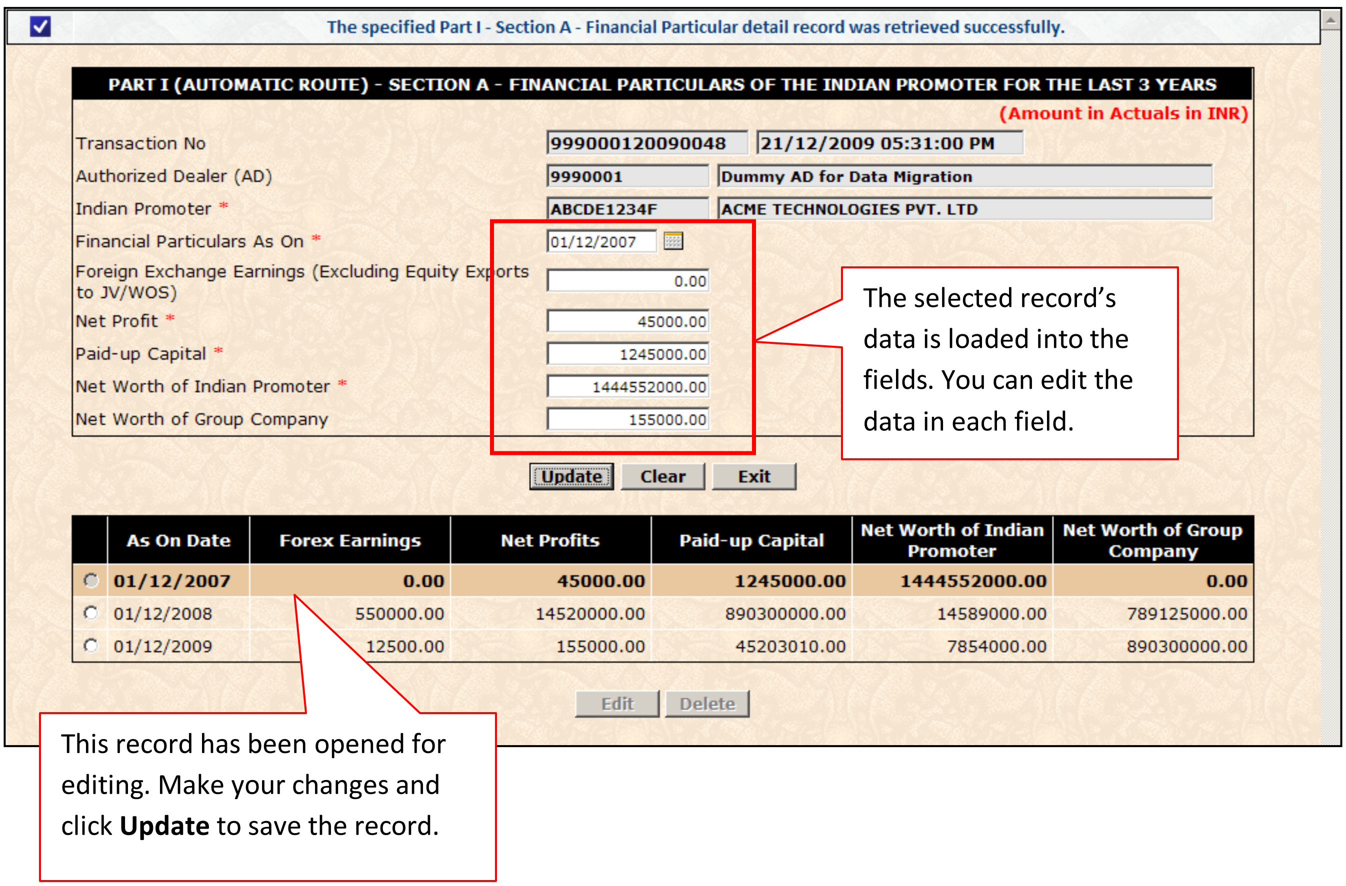
Add Clear Exit

| As On Date | Forex Earnings | Net Profits | Paid-up Capital | Net Worth of Indian Promoter | Net Worth of Group Company |
|---|---|---|---|---|---|
| 01/12/2007 | 0.00 | 45000.00 | 1245000.00 | 1444552000.00 | 0.00 |
| 01/12/2008 | 550000.00 | 14520000.00 | 890300000.00 | 14589000.00 | 789125000.00 |
| 01/12/2009 | 12500.00 | 155000.00 | 45203010.00 | 7854000.00 | 890300000.00 |

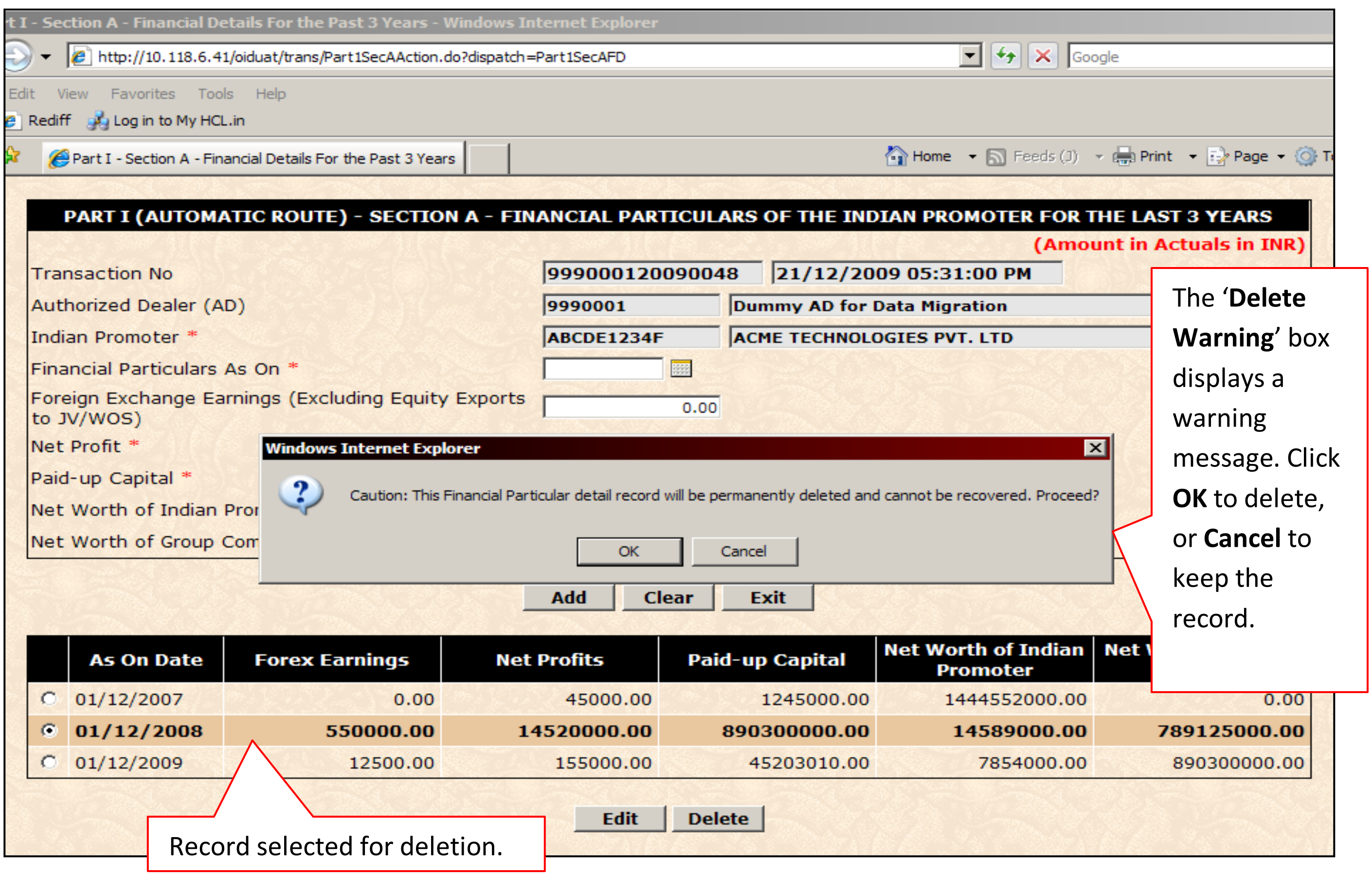
Edit Delete

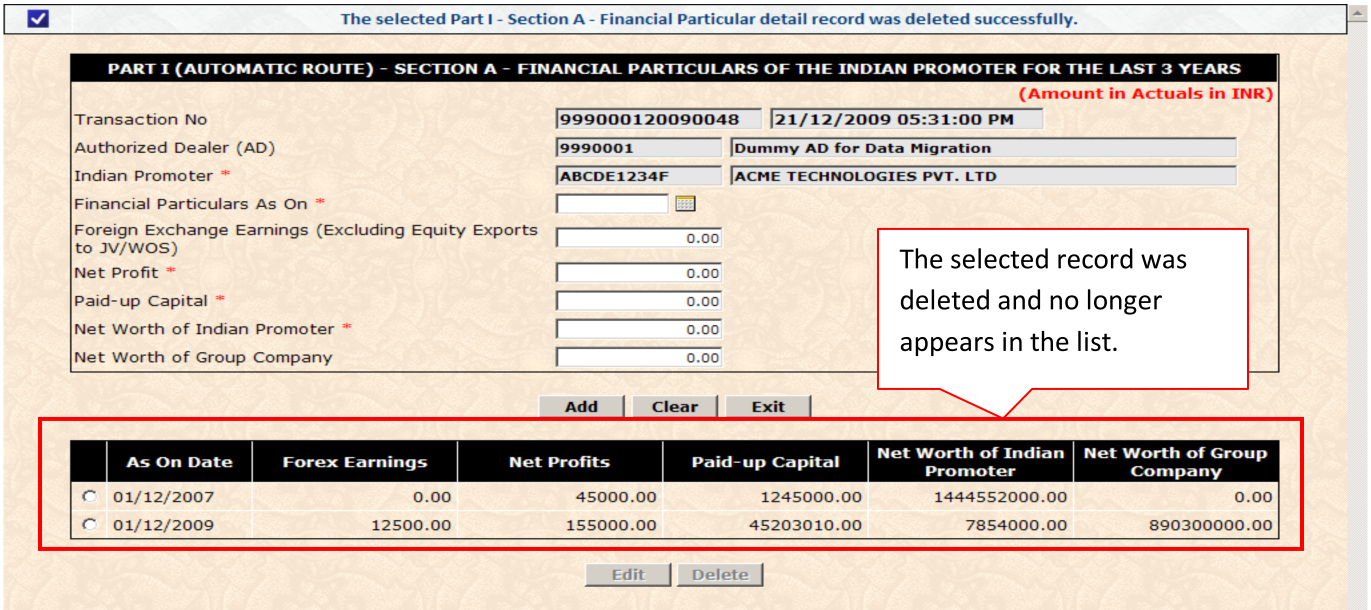
Financial details have been added for three consecutive years for this Indian Party.

| Part I (Automatic Route) – Section A – Financial Particulars Page – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 7 | ❖ To modify a record, click the selector button to the left, and click Edit. | ❖ Application opens the selected record and populates all the fields. |
| | ❖ Perform the desired changes to data, and click Update. | ❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list. |



| Part I (Automatic Route) – Section A – Financial Particulars Page – DELETE mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **8** | You can delete one or more Financial Particular detail records, but the delete is permanent and you cannot recover any record you have deleted. Also, note that without Financial data for past three consecutive years, you cannot submit your data to RBI, if the Indian Party in question is engaged in Financial Services activities.<br><br>❖ Select the record you want to delete.<br>❖ Click the **Delete** button. | ❖ Application displays a **Delete Warning box** asking for your confirmation. |
| | ❖ Click the **OK** button on the Delete Warning box. | ❖ Application deletes the selected record and updates the list. |




The selected Part I - Section A - Financial Particular detail record was deleted successfully.

PART I (AUTOMATIC ROUTE) - SECTION A - FINANCIAL PARTICULARS OF THE INDIAN PROMOTER FOR THE LAST 3 YEARS

(Amount in Actuals in INR)

Transaction No 999000120090048 21/12/2009 05:31:00 PM

Authorized Dealer (AD) 9990001 Dummy AD for Data Migration

Indian Promoter * ABCDE1234F ACME TECHNOLOGIES PVT. LTD

Financial Particulars As On *

Foreign Exchange Earnings (Excluding Equity Exports to JV/WOS) 0.00

Net Profit * 0.00

Paid-up Capital * 0.00

Net Worth of Indian Promoter * 0.00

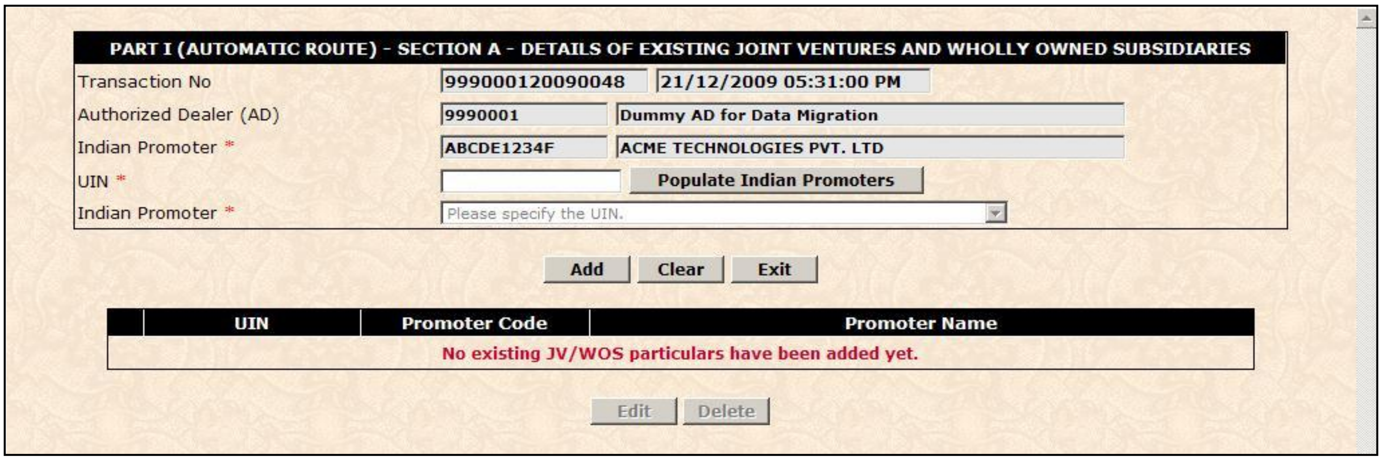
Net Worth of Group Company 0.00

Add Clear Exit

| | As On Date | Forex Earnings | Net Profits | Paid-up Capital | Net Worth of Indian Promoter | Net Worth of Group Company |
|---|---|---|---|---|---|---|
| ○ | 01/12/2007 | 0.00 | 45000.00 | 1245000.00 | 1444552000.00 | 0.00 |
| ○ | 01/12/2009 | 12500.00 | 155000.00 | 45203010.00 | 7854000.00 | 890300000.00 |

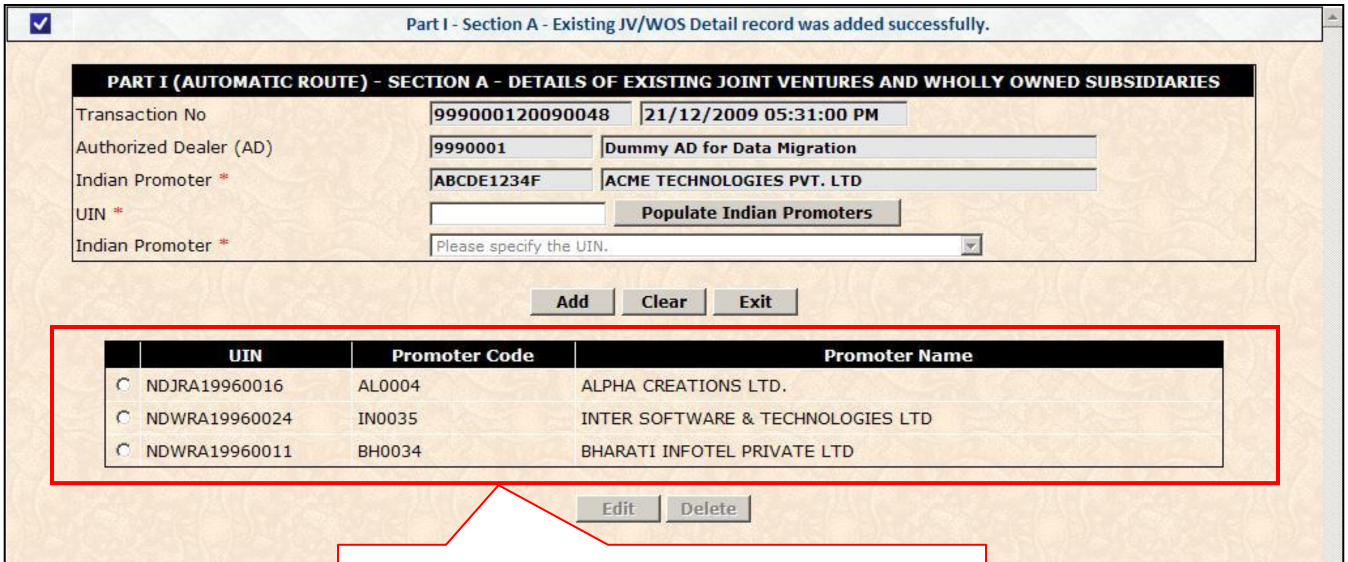
Edit Delete

| Part I (Automatic Route) – Section A – Details of Existing JV/WOS Page – ADD mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 9 | ❖ You have **successfully completed the Financial particulars details** for the selected Indian Party. Click **Exit**. | ❖ Application takes you back to Section A page. |
| | ❖ Click the '**Particulars of Existing JV/WOS**' link. | ❖ Application opens the '**Details of Existing JV/WOS**' screen. The blank screen is shown below: |



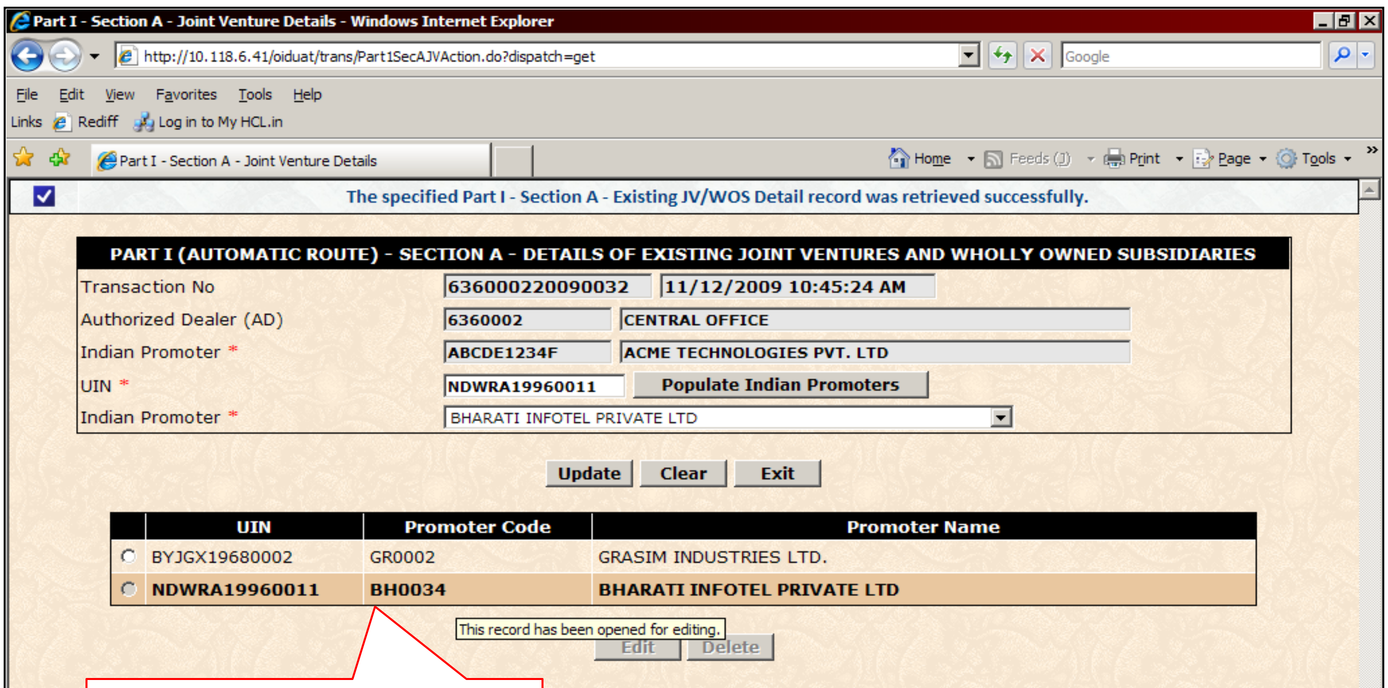

| Part I (Automatic Route) – Section A – Details of Existing JV/WOS Page – ADD mode | | |
|---|---|---|
| **Step Number** | **User Actions** | **Application Actions** |
| 9 | In this page, you can provide the UIN of other Projects in which the specified Indian Party has participated.<br><br>❖ Type a valid UIN and click 'Populate Indian Parties' button. | ❖ The Application populates a list of **Indian Parties who have participated in that Project**. If no such UIN was found, the application shows an appropriate error message. |

| | | |
|---|---|---|
| | ❖ Select an Indian Party from the list, and click Add button. | ❖ Application successfully inserts the record and displays it below the buttons panel, as shown: |




A list of other Projects the specified Indian Party (**ACME TECHNOLOGIES PVT LTD** in this example) or the Indian Party's Group Company has participated in.

| Part I (Automatic Route) – Section A – Details of Existing JV/WOS Page – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 10 | ❖ To modify a record, click the selector button to the left, and click **Edit**. | ❖ Application opens the selected record and populates all the fields. |
| | ❖ Perform the desired changes to data, and click **Update**. | ❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list. |




This record has been opened for editing. Make your changes and click **Update** to save the record.

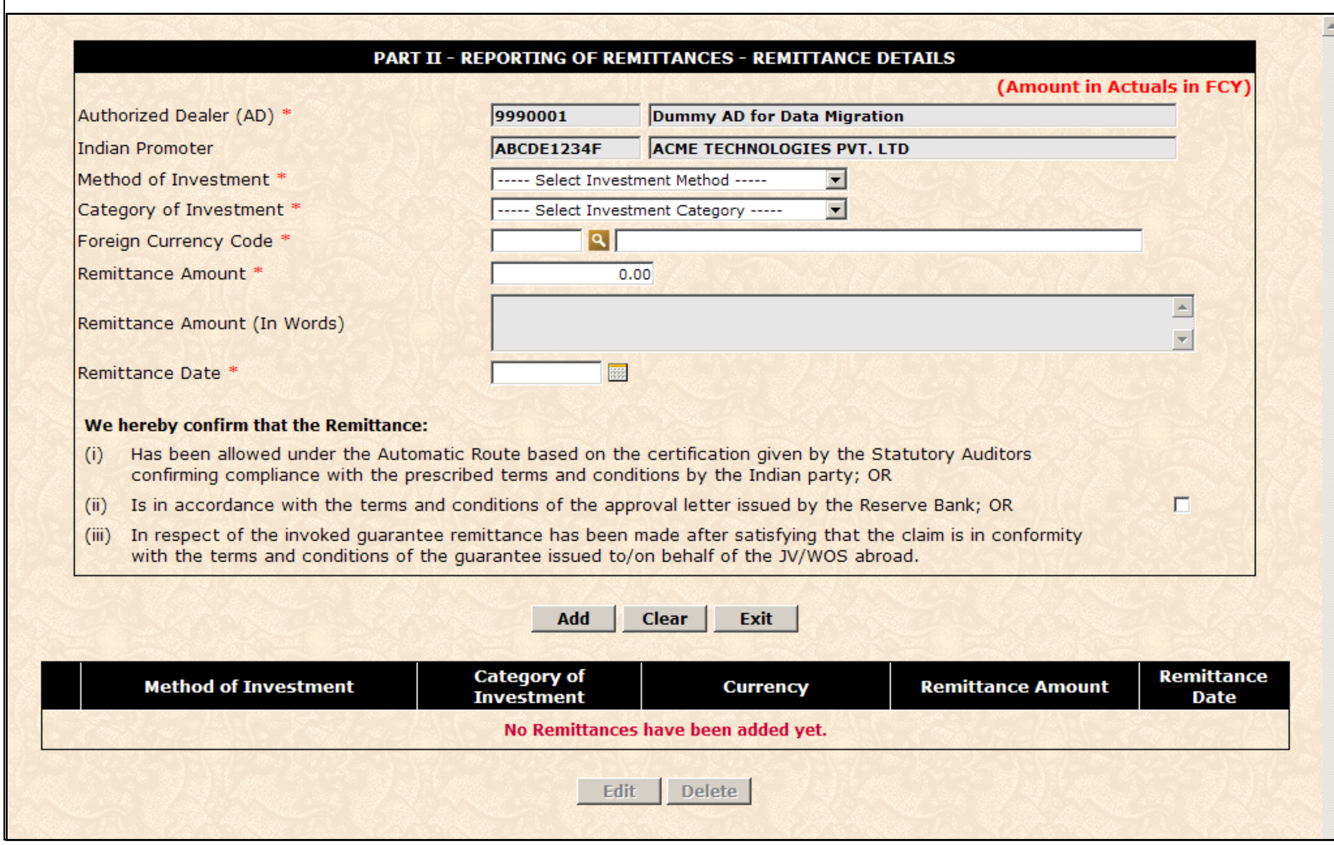
**Remittance Details Page-** Detail of Method of investment and Category of Investment.

<table>
<tr><th>Method or Source of Investments</th><th colspan="5">Category of Investments</th></tr>
<tr><td>Cash Remittance – EEFC</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>Cash Remittance – Market Purchase</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>ECB</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>FCCB</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>ADR</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>GDR</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>Swap of Shares</td><td colspan="5">Equity</td></tr>
<tr><td>Capitalization – Exports</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>Capitalization – Others (Specify)</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>Others – Fund based (Specify)</td><td>Equity</td><td>CCPS</td><td>Other Preference Shares</td><td>Loan</td><td>Guarantee Invoked</td></tr>
<tr><td>Corporate or Personal Guarantee Issued</td><td colspan="2">Corporate Guarantee by Indian party</td><td>Personal Guarantee by third party</td><td colspan="2">Corporate Guarantee by third party</td></tr>
<tr><td>Performance Guarantee</td><td colspan="5">Performance Guarantee</td></tr>
<tr><td>Bank Guarantee Issued (Name of the Bank)</td><td colspan="5">Bank Guarantee Issued</td></tr>
<tr><td>Creation of Charge</td><td colspan="2">Shares of JV /</td><td>Movable &</td><td colspan="2">Other Financial</td></tr>
</table>

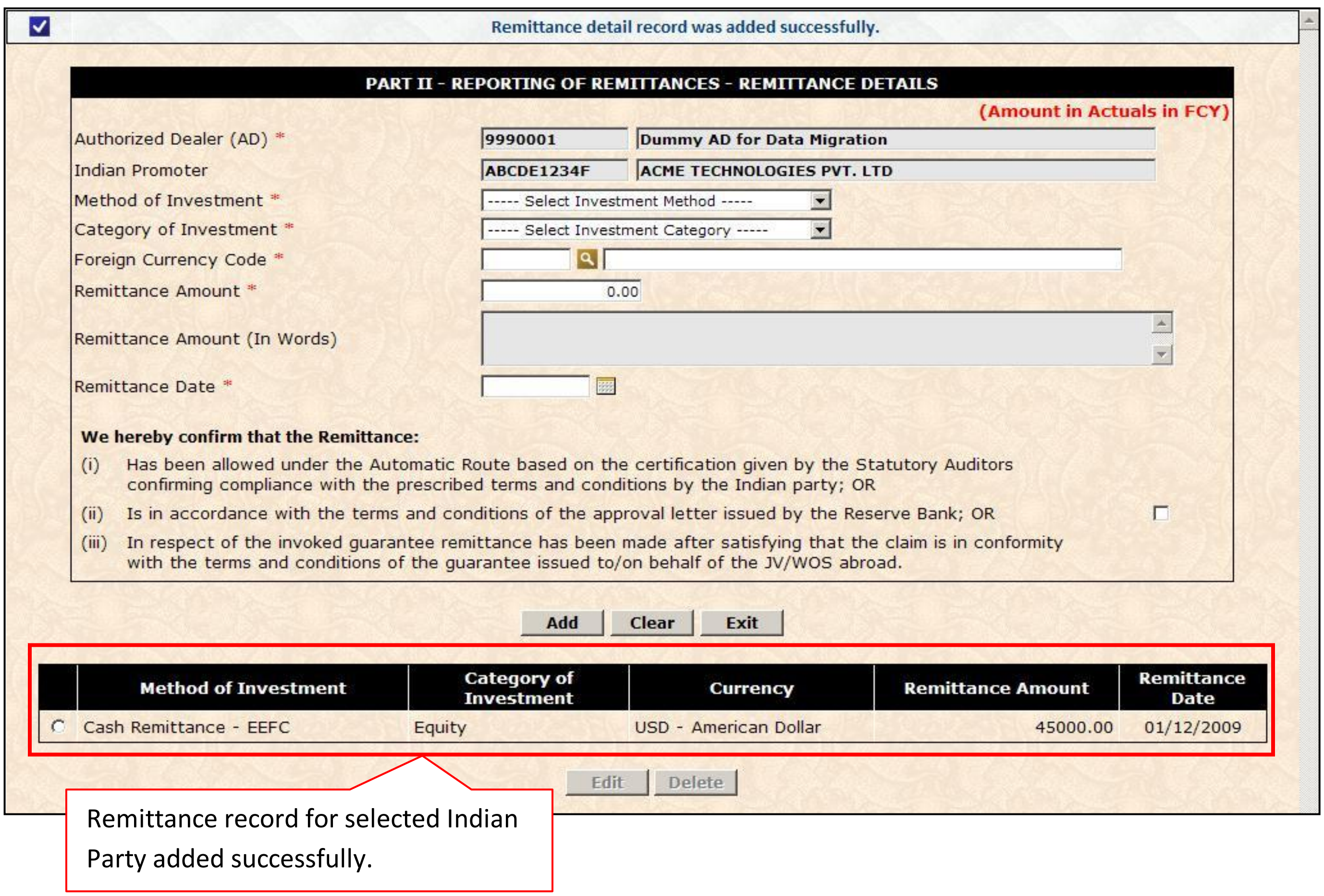
| | WOS | Immovable Properties | Assets |
|---|---|---|---|
| Others – Non fund based<br>(Specify) | | (Specify) | |

| Part I (Automatic Route) – Section A – Remittance Details Page – ADD mode | | |
|---|---|---|
| **Step Number** | **User Actions** | **Application Actions** |
| **11** | ❖ You have **successfully completed the 'Details of Existing JV and WOS'** screen for the selected Indian Party. Click **Exit**. | ❖ Application takes you back to Section A page. |
| | ❖ Click the 'Remittance Details' link. | ❖ Application opens the '**Remittance Details**' screen. The blank screen is shown below: |

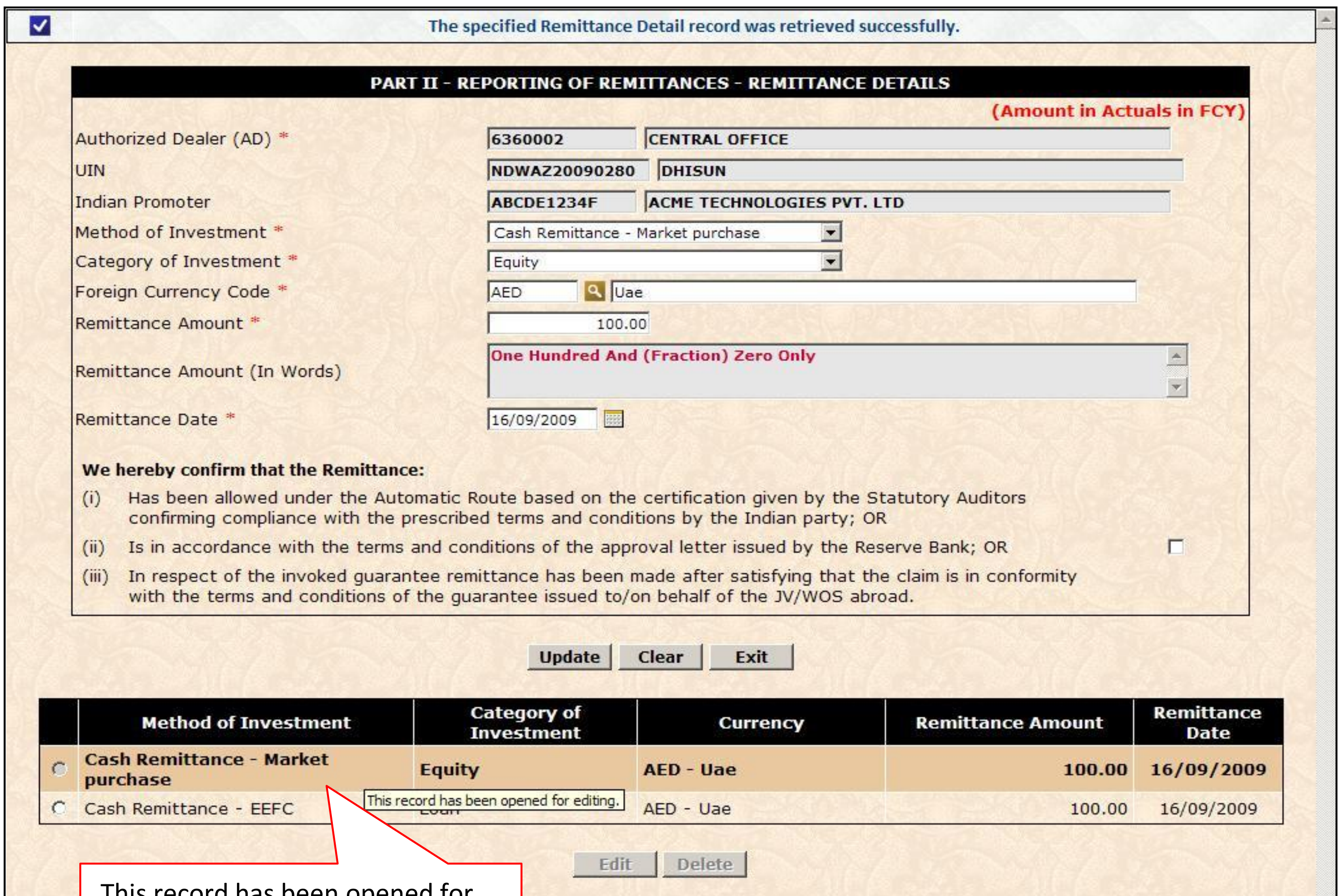
**Part I (Automatic Route) – Section A – Remittance Details Page – ADD mode**



| Step Number | User Actions | Application Actions |
|---|---|---|
| 11 | ❖ Enter the mandatory fields and click **Add** button. | ❖ Application successfully inserts the record and displays it in the list below buttons panel. All data fields are cleared automatically, so that you can add another record. |
| | ❖ Add all the remittances for this Indian Party. | ❖ Application inserts Remittance data successfully against the selected Indian Party. This is shown below: |



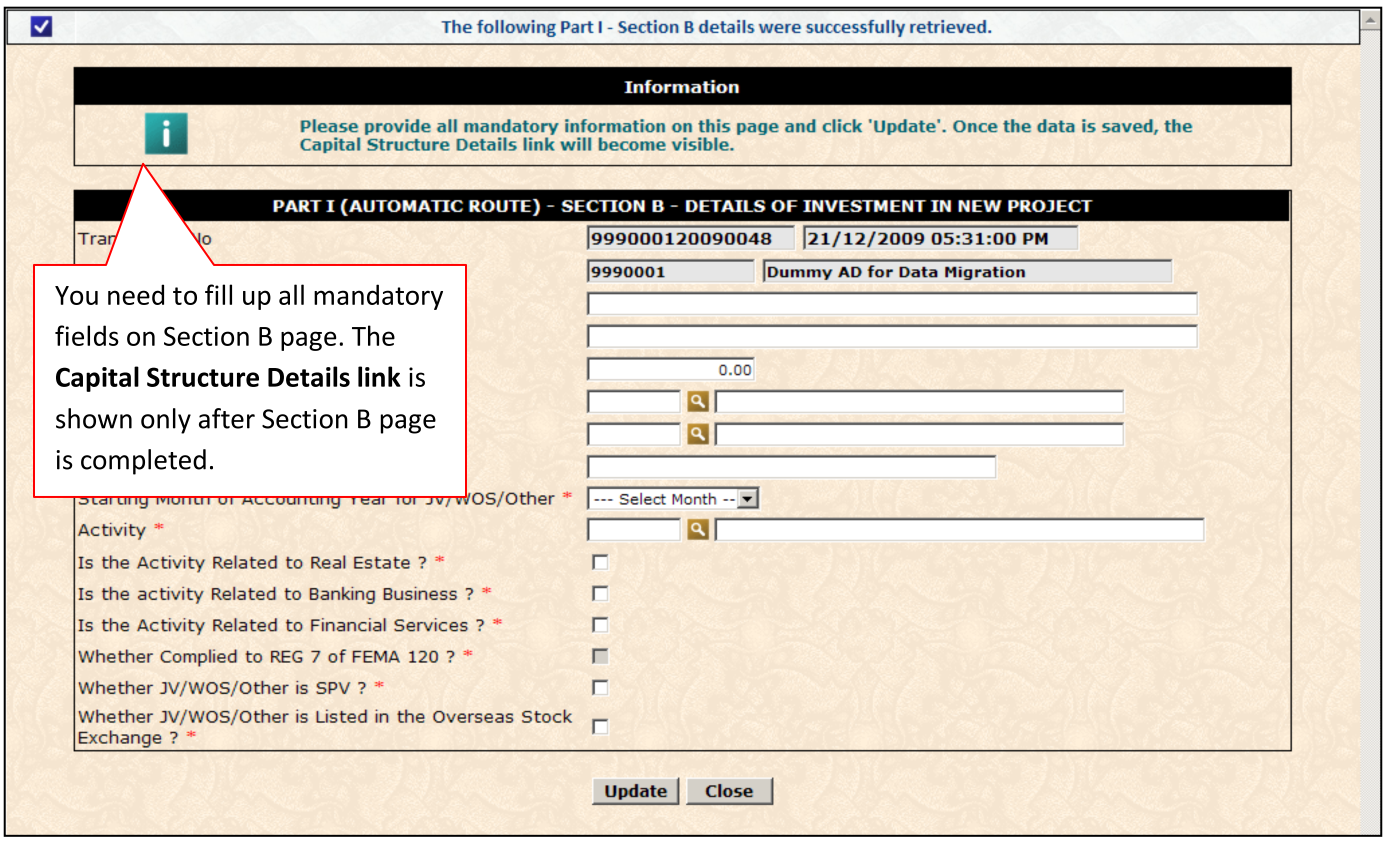
| Part I (Automatic Route) – Section A – Remittance Details Page – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Actions** | **Application Actions** |
| **12** | ❖ To modify a record, click the selector button to the left, and click **Edit**. | ❖ Application opens the selected record and populates all the fields. |
| | ❖ Perform the desired changes to data, and click **Update**. | ❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list. |



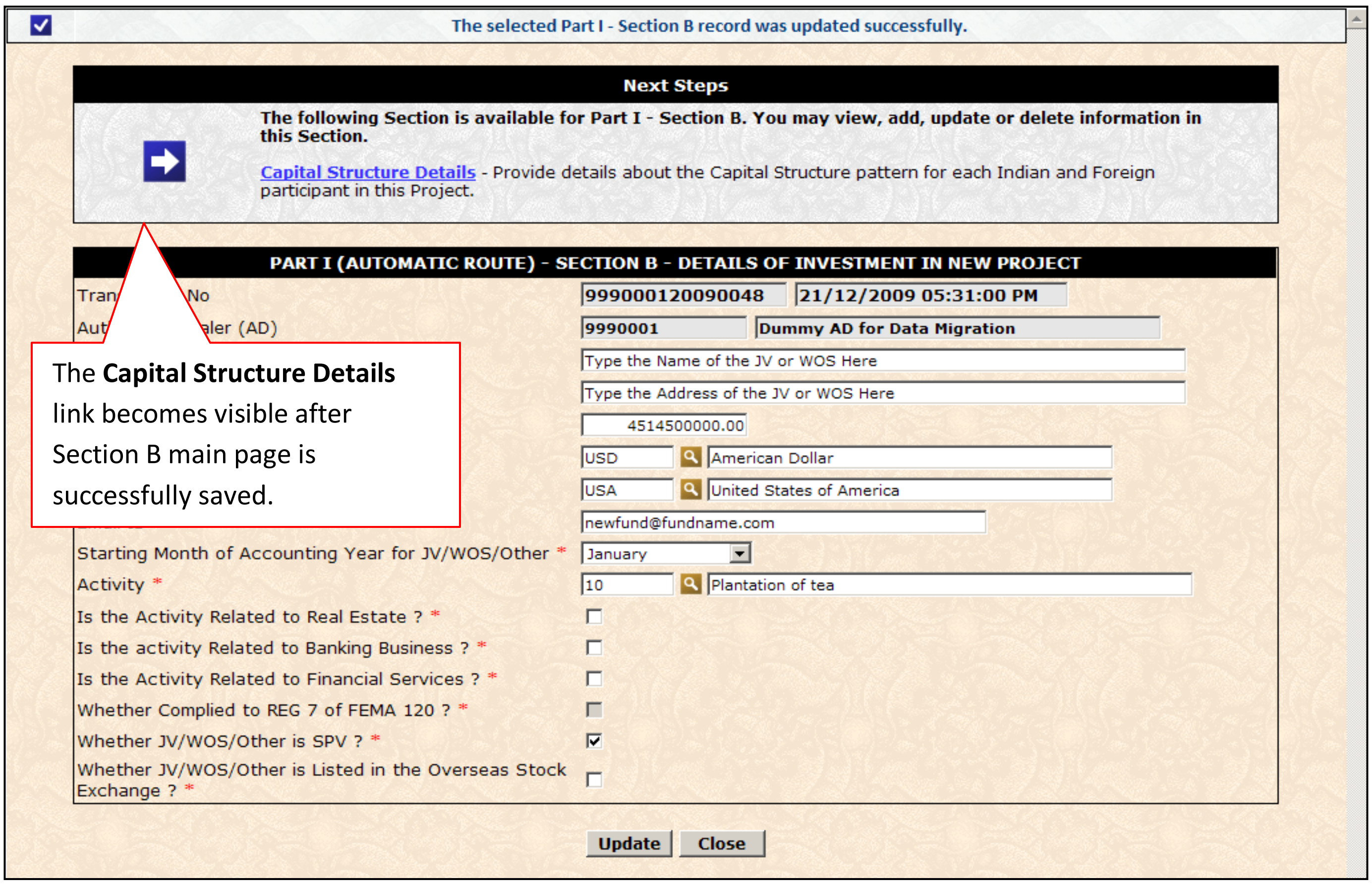

This record has been opened for editing. Make your changes and click **Update** to save the record.

| Part I (Automatic Route) – Leaving Section A | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **13** | ❖ Click **Exit** on the 'Remittance Details' page. | ❖ Application **reloads the Section A page** from where you opened Remittance page. |
| | ❖ Click **Close** on the Section A page. | ❖ Application displays an information box asking for confirmation. Click **OK** and the Section A page closes. |

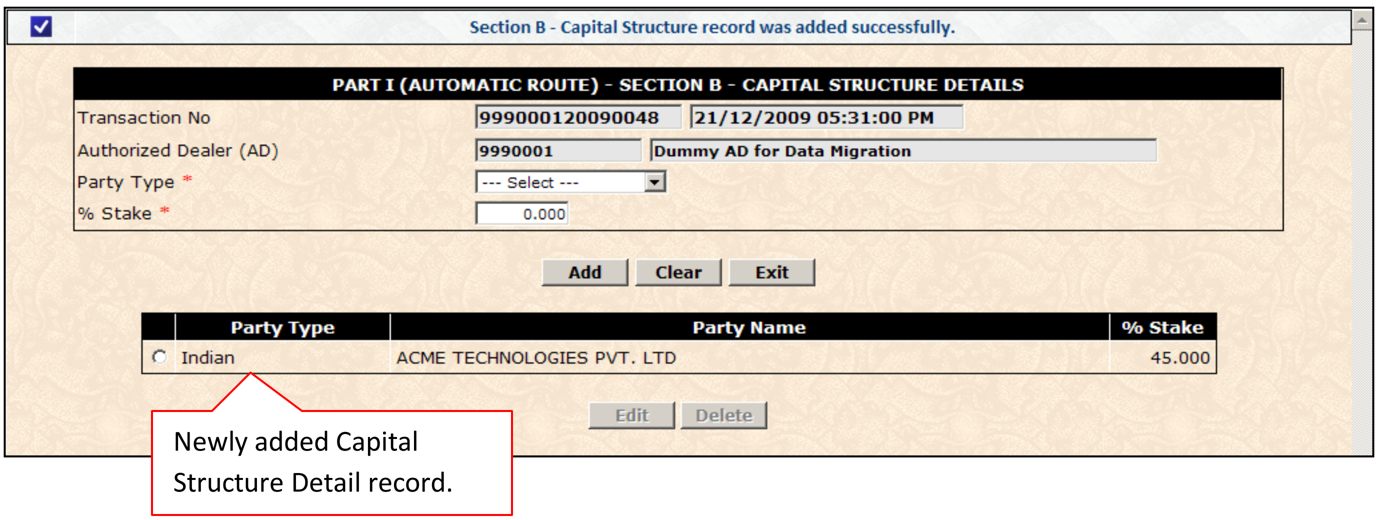
| Part I (Automatic Route) –Section B – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **14** | ❖ Click the link for Section B on the Transaction main page. | ❖ Application opens the Section B page, as shown below. **The Capital Structure Details link is initially not shown. You must fill up the Section B main page before the links will be shown to you.** |



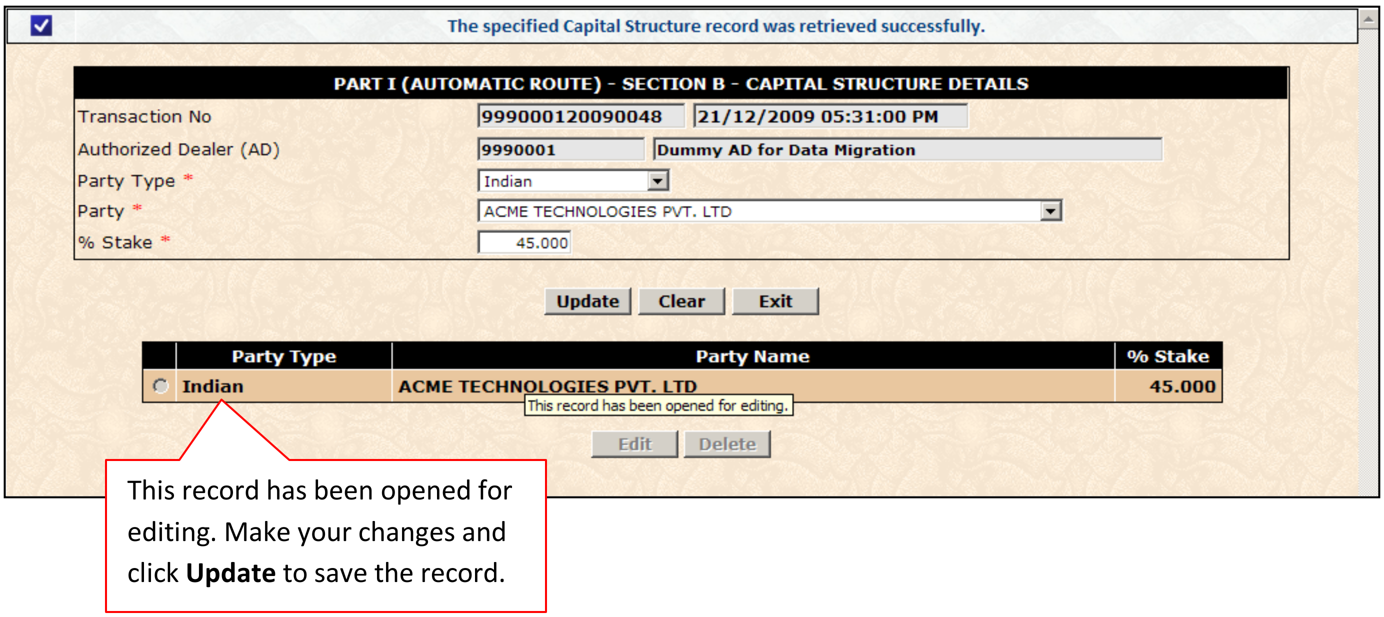
| Part I (Automatic Route) – Section B – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **14** | ❖ Provide all mandatory data and click **Update**. | ❖ Application saves your data and shows the link for entering **Capital Structure Details**. The screenshot is shown below: |



| Part I (Automatic Route) – Section B – Capital Structure Details – ADD mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **15** | ❖ Provide all mandatory data and click **Add**. | ❖ Application saves your data and shows the newly added record in a list below the buttons panel. The screenshot is shown below: |

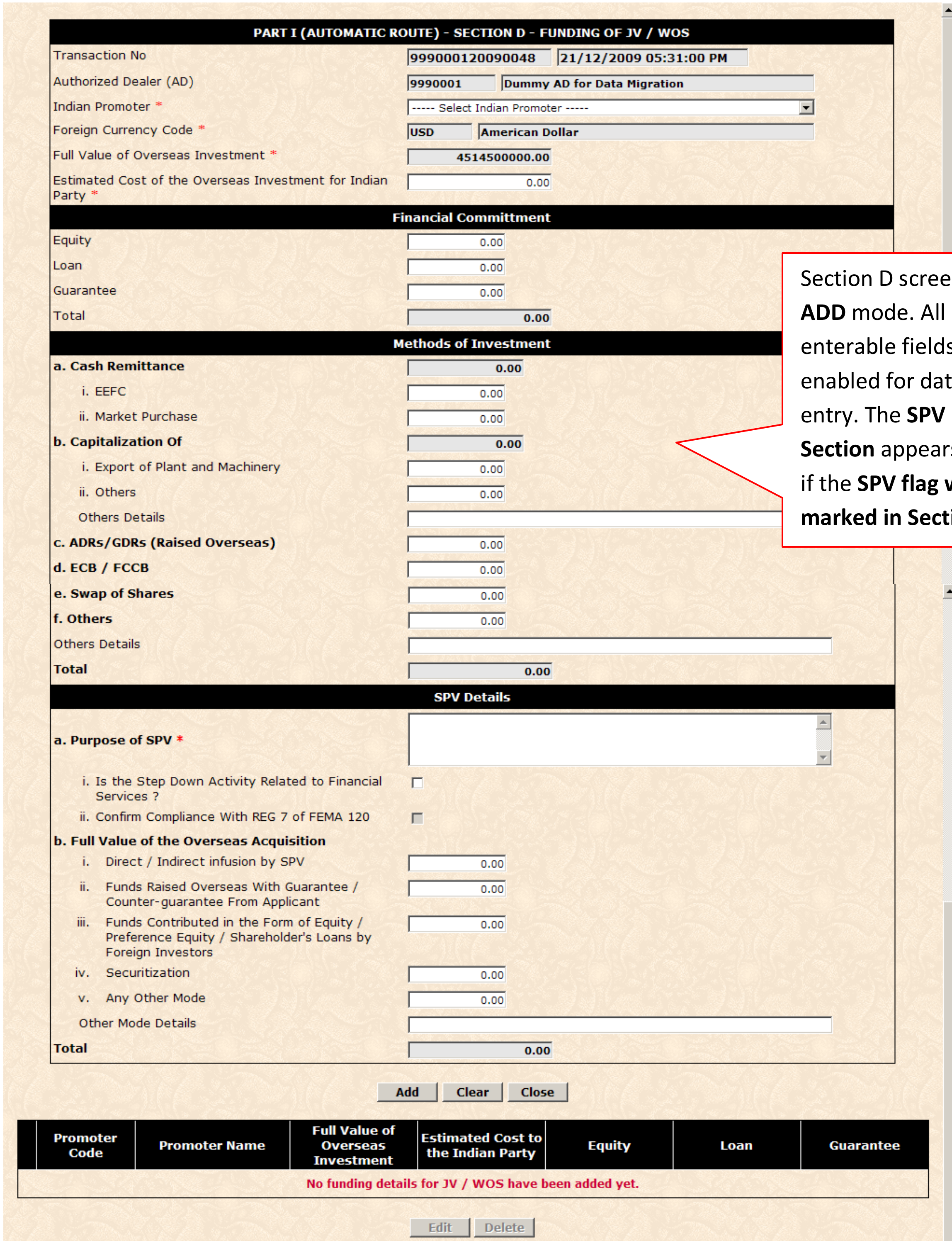


| Part I (Automatic Route) – Section B – Capital Structure Details – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **16** | ❖ To modify a record, click the selector button to the left, and click **Edit**. | ❖ Application opens the selected record and populates all the fields. |
| | ❖ Perform the desired changes to data, and click **Update**. | ❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list. |



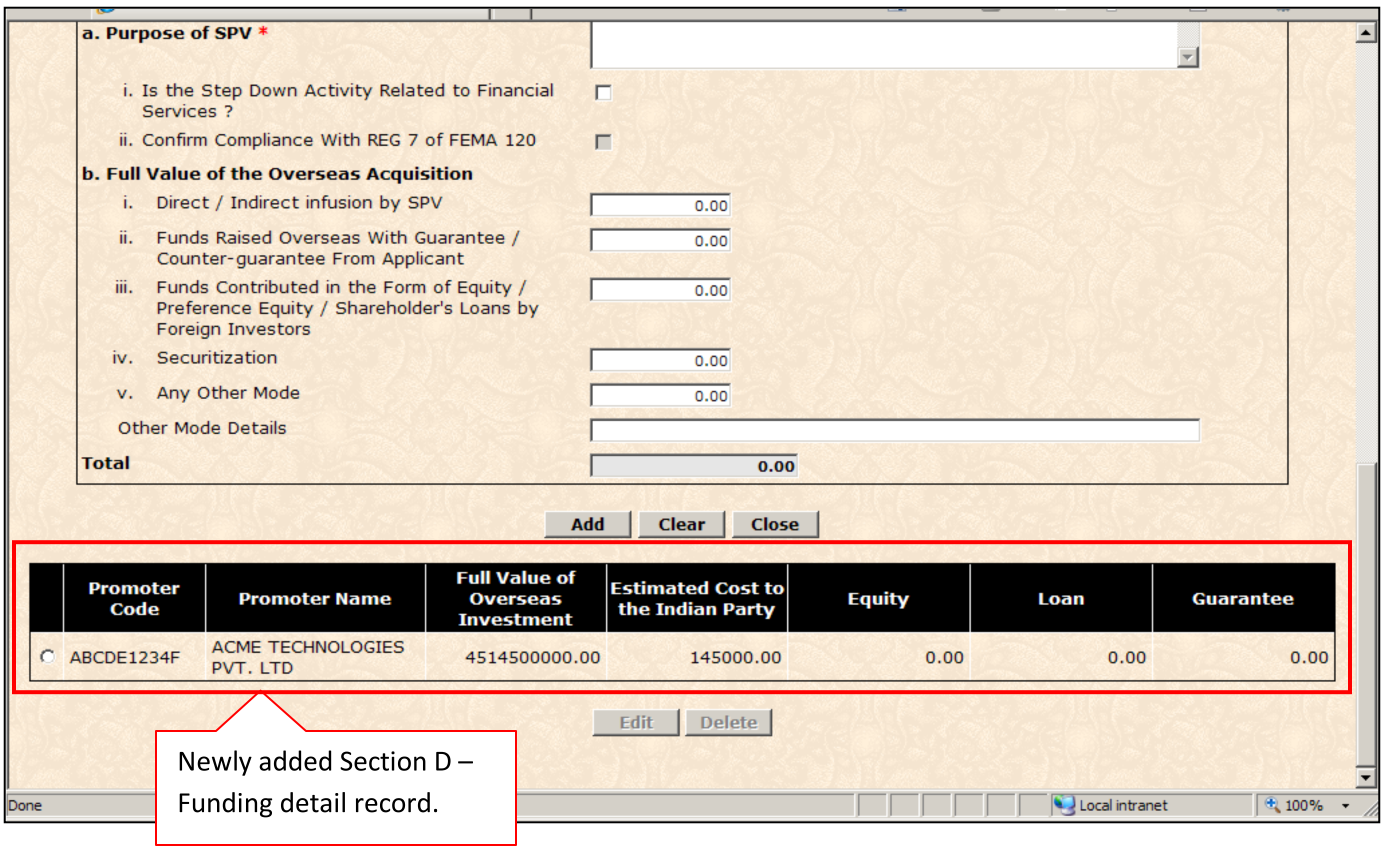

| Part I (Automatic Route) – Section B – Capital Structure Details – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **16** | ❖ Enter the Capital Structure Details for all participants in the Project. The sum of stakes held by all stakeholders must equal 100%<br>❖ Once all data is entered, click **Exit** to go back to Section B page.<br>❖ Click Close on the Section B page. | ❖ Application reloads and displays the Section B page.<br>❖ The Application closes Section B page and returns to the Transaction main page. |

| Part I (Automatic Route) – Section D – Funding of JV/WOS – ADD mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **17** | ❖ Click the Section D link on the main Transaction page. | ❖ Application opens the Section D page in **ADD** mode. All fields are cleared and enabled for data entry, as shown in the screenshot: |

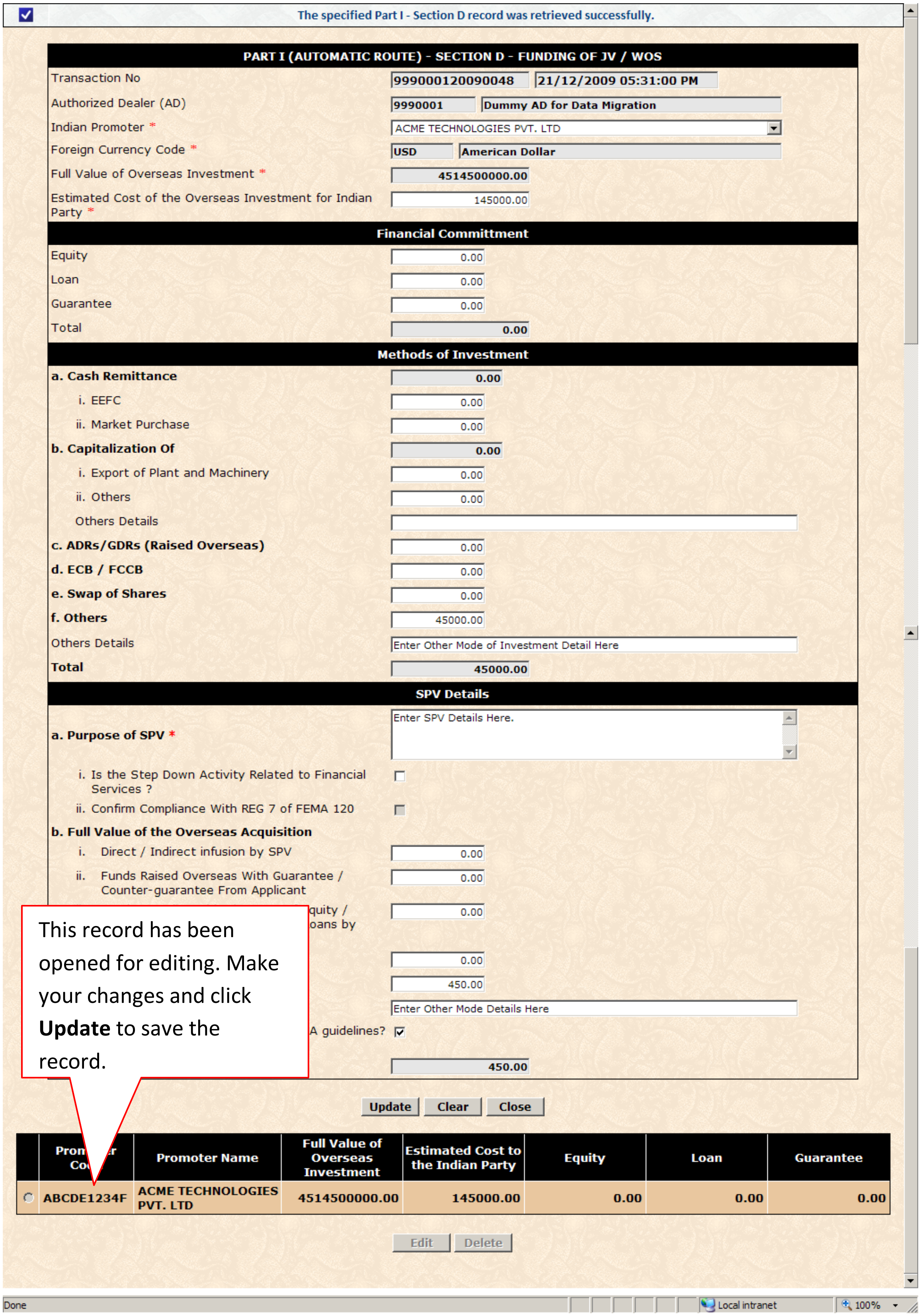



Section D screen in **ADD** mode. All enterable fields are enabled for data entry. The **SPV Section** appears only if the **SPV flag was marked in Section B**.

| Part I (Automatic Route) – Section D – Funding of JV/WOS – ADD mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **17** | ❖ Enter all mandatory data and click **Add**. | ❖ Application saves your data and shows the newly added record in a list below the buttons panel. The screenshot is shown below: |

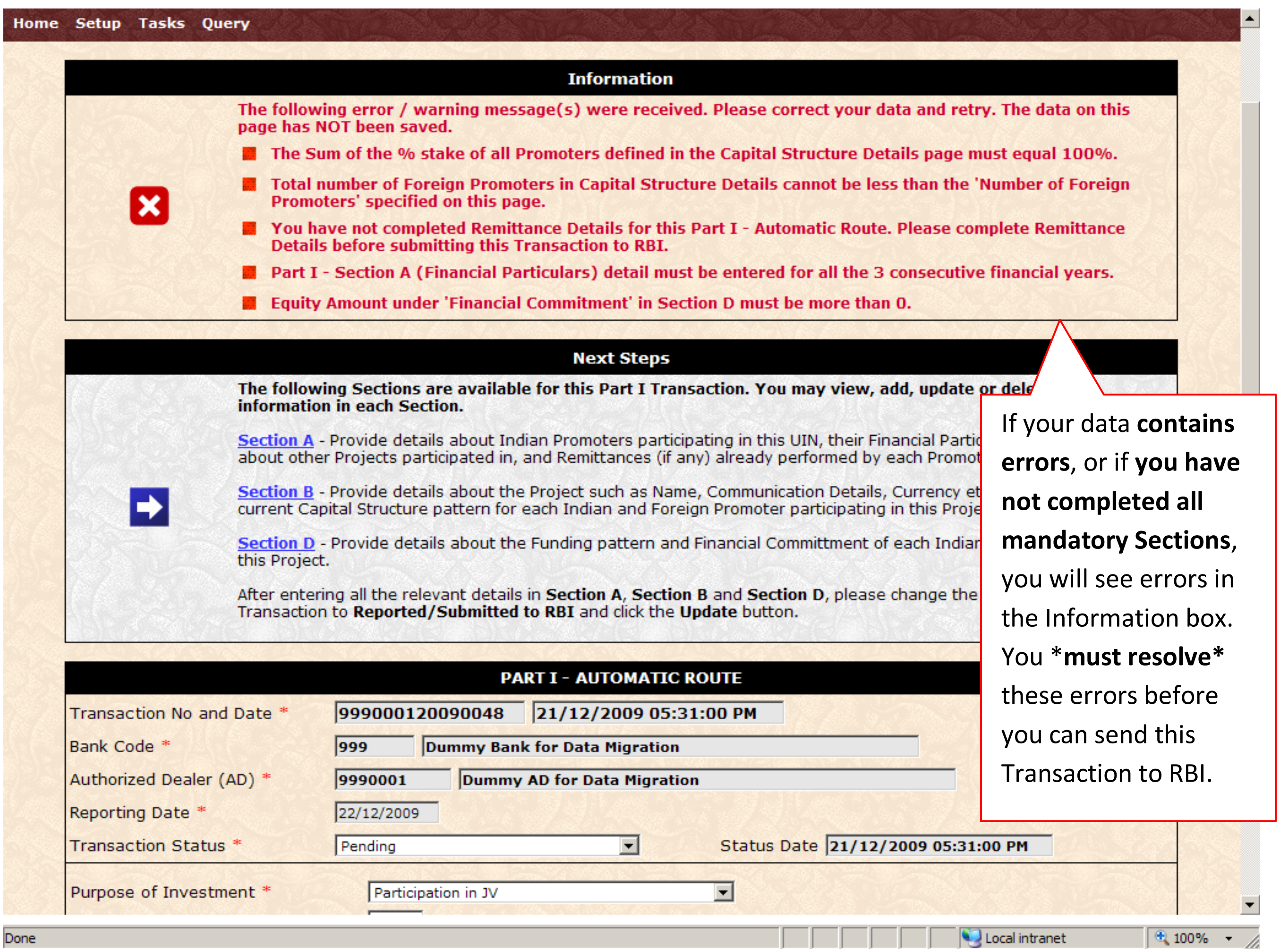


| Part I (Automatic Route) – Section D – Funding of JV/WOS – MODIFY mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **18** | ❖ To modify a record, click the selector button to the left, and click **Edit**. | ❖ Application opens the selected record and populates all the fields. |
| | ❖ Perform the desired changes to data, and click **Update**. | ❖ Application successfully updates your changes. All data fields are cleared. The updated record appears in the list, as shown below: |

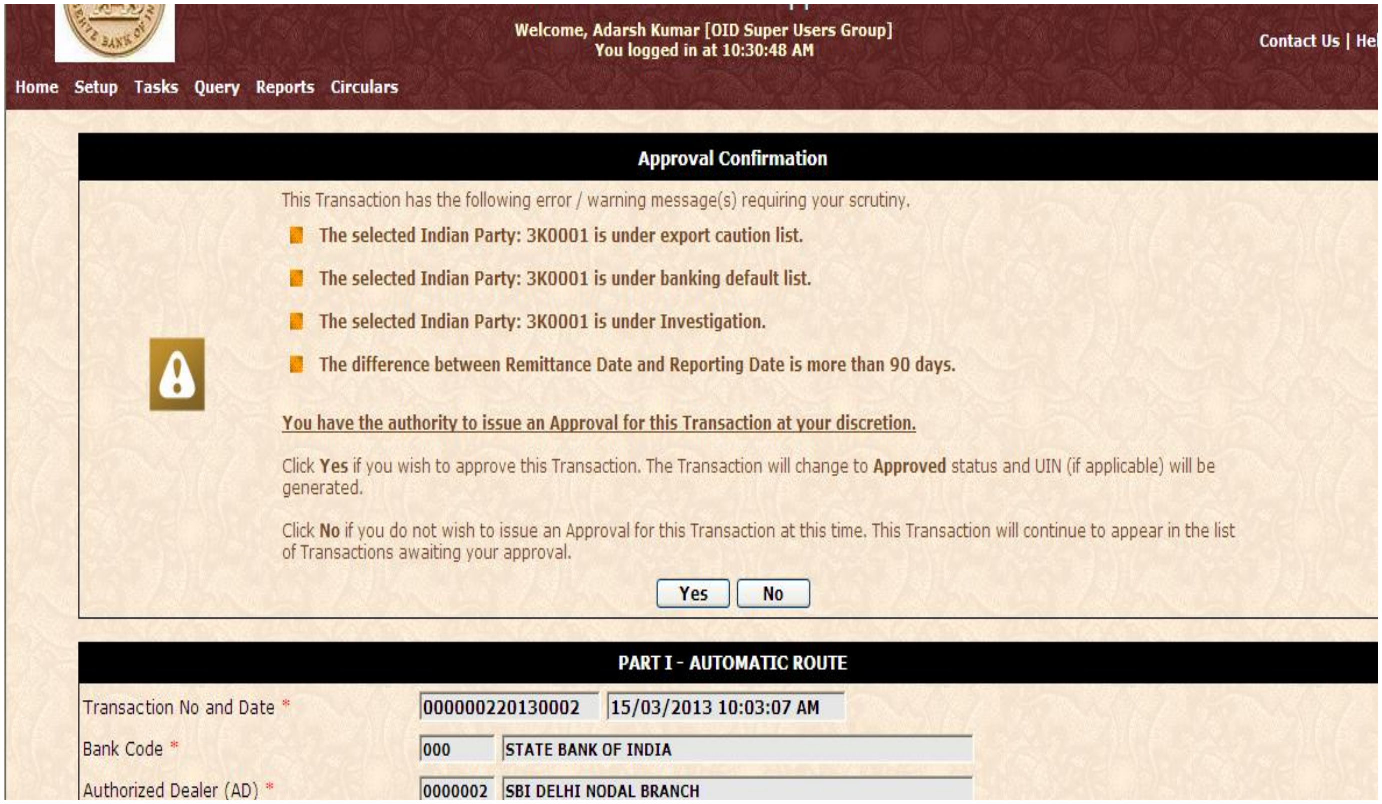

The specified Part I - Section D record was retrieved successfully.
PART I (AUTOMATIC ROUTE) - SECTION D - FUNDING OF JV / WOS
Transaction No
999000120090048
21/12/2009 05:31:00 PM
Authorized Dealer (AD)
9990001
Dummy AD for Data Migration
Indian Promoter *
ACME TECHNOLOGIES PVT. LTD
Foreign Currency Code *
USD
American Dollar
Full Value of Overseas Investment *
4514500000.00
Estimated Cost of the Overseas Investment for Indian Party *
145000.00
Financial Committment
Equity
0.00
Loan
0.00
Guarantee
0.00
Total
0.00
Methods of Investment
a. Cash Remittance
0.00
i. EEFC
0.00
ii. Market Purchase
0.00
b. Capitalization Of
0.00
i. Export of Plant and Machinery
0.00
ii. Others
0.00
Others Details
c. ADRs/GDRs (Raised Overseas)
0.00
d. ECB / FCCB
0.00
e. Swap of Shares
0.00
f. Others
45000.00
Others Details
Enter Other Mode of Investment Detail Here
Total
45000.00
SPV Details
a. Purpose of SPV *
Enter SPV Details Here.
i. Is the Step Down Activity Related to Financial Services ?
ii. Confirm Compliance With REG 7 of FEMA 120
b. Full Value of the Overseas Acquisition
i. Direct / Indirect infusion by SPV
0.00
ii. Funds Raised Overseas With Guarantee / Counter-guarantee From Applicant
0.00
quity /
oans by
0.00
0.00
450.00
Enter Other Mode Details Here
A guidelines?
450.00
This record has been opened for editing. Make your changes and click **Update** to save the record.
Update
Clear
Close
Pron r Co
Promoter Name
Full Value of Overseas Investment
Estimated Cost to the Indian Party
Equity
Loan
Guarantee
ABCDE1234F
ACME TECHNOLOGIES PVT. LTD
4514500000.00
145000.00
0.00
0.00
0.00
Edit
Delete
Done
Local intranet
100%

| Part I (Automatic Route) – Closing Section D | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **19** | ❖ Once all required data has been entered into Section D, click **Close**. | ❖ The Application closes Section D window. |

| Part I (Automatic Route) – Submitting Transaction to RBI | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **20** | Once you have completed Sections A, B and D, you can submit the data to RBI.<br><br>❖ On the Part I – Automatic Route Transaction's main page, change the Transaction Status from **Pending** to **Reported/Submitted to RBI**. | ❖ Application displays a **Submit Confirmation dialog** box. |
| | ❖ Click **Yes** on the **Submit Confirmation dialog** to proceed. | ❖ The Application applies validations on your data. You may receive error and/or warning messages, as shown in the example below: |



| Part I (Automatic Route) – Submitting Transaction to RBI | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **20** | Once you have corrected errors (if any), you can once again attempt to submit the data to RBI.<br><br>❖ On the Part I – Automatic Route Transaction's main page, change the Transaction Status from **Pending** to **Reported/Submitted to RBI**. | ❖ Application displays a **Submit Confirmation dialog** box. |
| | ❖ Click Yes on the **Submit Confirmation dialog** to proceed. | ❖ The Application once again applies validations on your data. In the following screenshot, warning messages are generated and displayed. |


Welcome, Adarsh Kumar [OID Super Users Group]
You logged in at 10:30:48 AM
Contact Us | He
Home Setup Tasks Query Reports Circulars
Approval Confirmation
This Transaction has the following error / warning message(s) requiring your scrutiny.
The selected Indian Party: 3K0001 is under export caution list.
The selected Indian Party: 3K0001 is under banking default list.
The selected Indian Party: 3K0001 is under Investigation.
The difference between Remittance Date and Reporting Date is more than 90 days.
You have the authority to issue an Approval for this Transaction at your discretion.
Click Yes if you wish to approve this Transaction. The Transaction will change to Approved status and UIN (if applicable) will be generated.
Click No if you do not wish to issue an Approval for this Transaction at this time. This Transaction will continue to appear in the list of Transactions awaiting your approval.
Yes
No
PART I - AUTOMATIC ROUTE
Transaction No and Date *
000000220130002
15/03/2013 10:03:07 AM
Bank Code *
000
STATE BANK OF INDIA
Authorized Dealer (AD) *
0000002
SBI DELHI NODAL BRANCH

| Part I (Automatic Route) – Submitting Transaction to RBI | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **20** | You can choose to send the data to RBI. The Transaction will be automatically routed for RBI ratification. The UIN will NOT be generated until after RBI ratifies your Transaction.<br><br>❖ On the '**Approval Warning**' dialog, click **Yes** to submit your Transaction to RBI. | ❖ Application successfully saves the Transaction with the status '**Pending for RBI Ratification**'.<br><br>❖ **For Bank Users, the entire Transaction becomes read-only.**<br><br>❖ The Transaction is **now made visible to appropriate RBI users** with the privilege to approve, reject, refer-back this Transaction. |
| | ❖ On the '**Approval Warning**' dialog, click **No** to cancel submission to RBI. | ❖ Application saves the Transaction in the default status – **Pending for new Transaction, or Referred-Back** for Transaction which has been previously referred-back by RBI.<br><br>❖ The Transaction is **still available to you (Bank User) in edit mode**. You can edit and submit the data later. |

The Bank User's workflow stops at this point until the submitted Transaction is acted upon by RBI.

**Notes:**

- In case there are no discrepancies, the **UIN is generated and displayed immediately**.
- Please see the Section Understanding Transaction Workflow section for a detailed explanation of the Bank User workflow.

## 5.6. Part I – Approval Route Transaction

Part I Transaction enables the Bank user to provide information to RBI about the new Projects set up by one or more Indian companies with or without foreign collaboration. The Bank must report a Project under Approval Route **if the Transaction may not comply with one or more extant RBI guidelines, and therefore requires explicit approval from RBI**. The data entry screens and workflow are identical to the Automatic Route with the following exceptions:

1. **Remittances cannot be reported** as part of Part I – Section A screen.

2. Upon submission, the Transaction **will always go into 'Pending for RBI Ratification / Approval' status**. The UIN **will not be generated** at this point.

3. The UIN will be generated by the system **after an authorized RBI user grants approval**. This UIN will be communicated to the Bank through an email and also through offline mechanism (hard-copy).

4. The authorized RBI User will have to explicitly set the **UIN status** to **Live** before any further actions are possible for that UIN (such as reporting Remittances etc).

**All other workflow actions and screen layouts are similar to the Automatic Route Transaction described above; please go through the same for usage instructions.**

## 5.7. PART I – SECTION C TRANSACTION

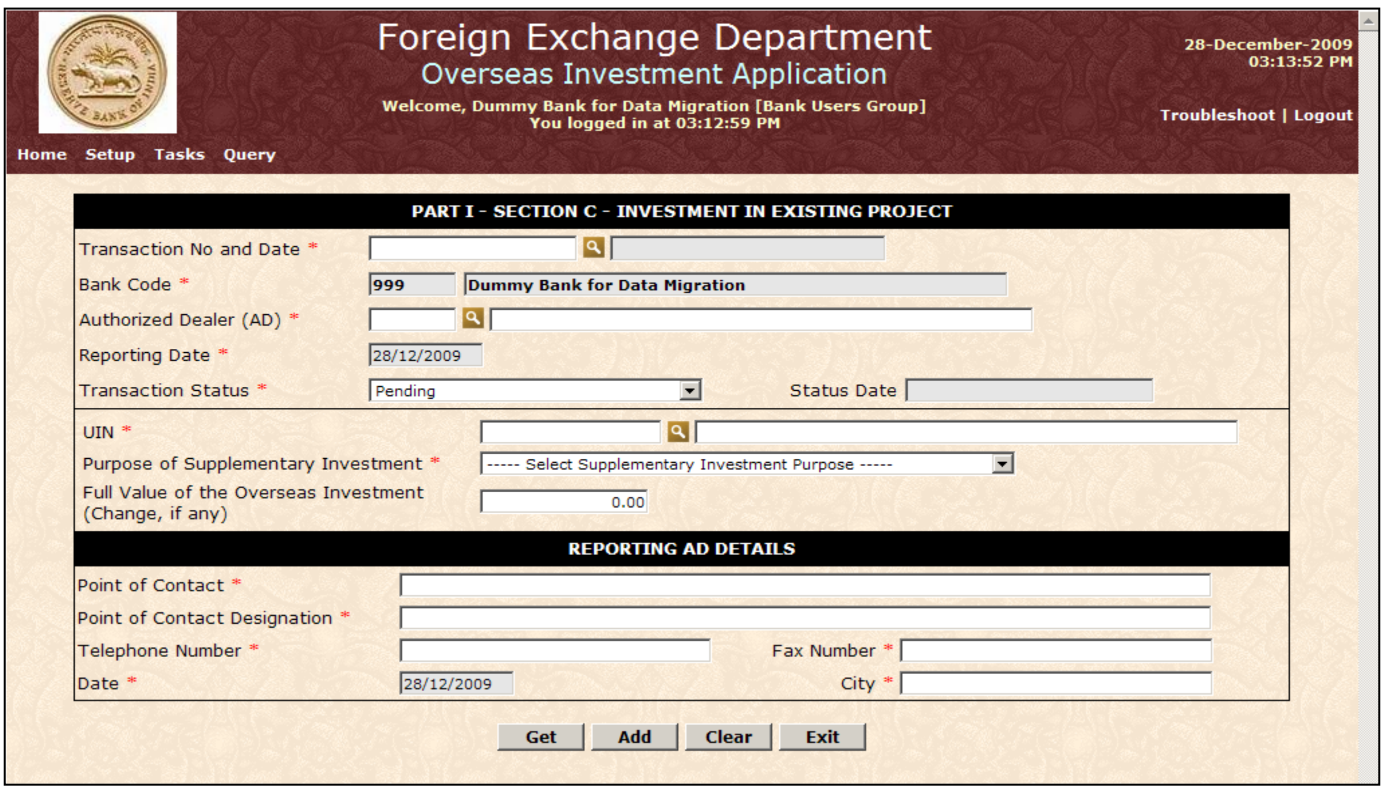
This screen is used to update the Capital Structure and Funding pattern of a JV/WOS in case of any changes in the existing capital or financial structure of the Project: for example, if an Indian Party wants to enhance the investment by purchasing stake from either an Indian Party or Foreign Party as part of an UIN. Every change in the investment pattern would also affect the funding pattern committed to in Part I – Section D. **So in each Part I – Section C Transaction, the Part I – Section D can also be updated by the user.**

The restructuring in the existing Capital Structure may also undergo changes by way of expansion, merger, complete or partial disinvestment, or infusion of additional capital etc.

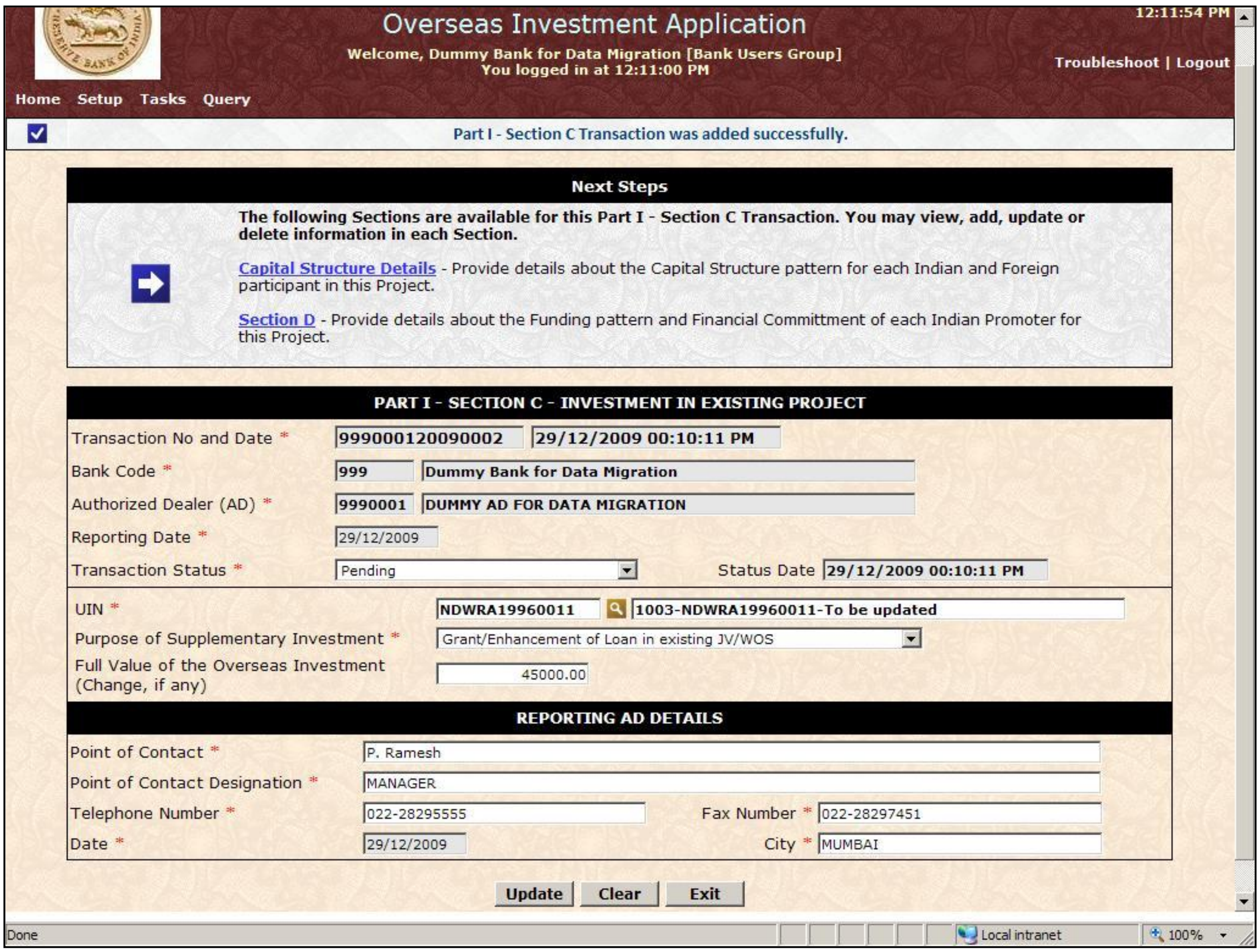
If no existing transaction for the UIN exists, the User must add the Capital structure details of the UIN. Otherwise, user would be able to both add (in case new Indian Party is added) or update the existing capital structure details.

Detailed instructions for working with Part I – Section C Transaction are provided below.

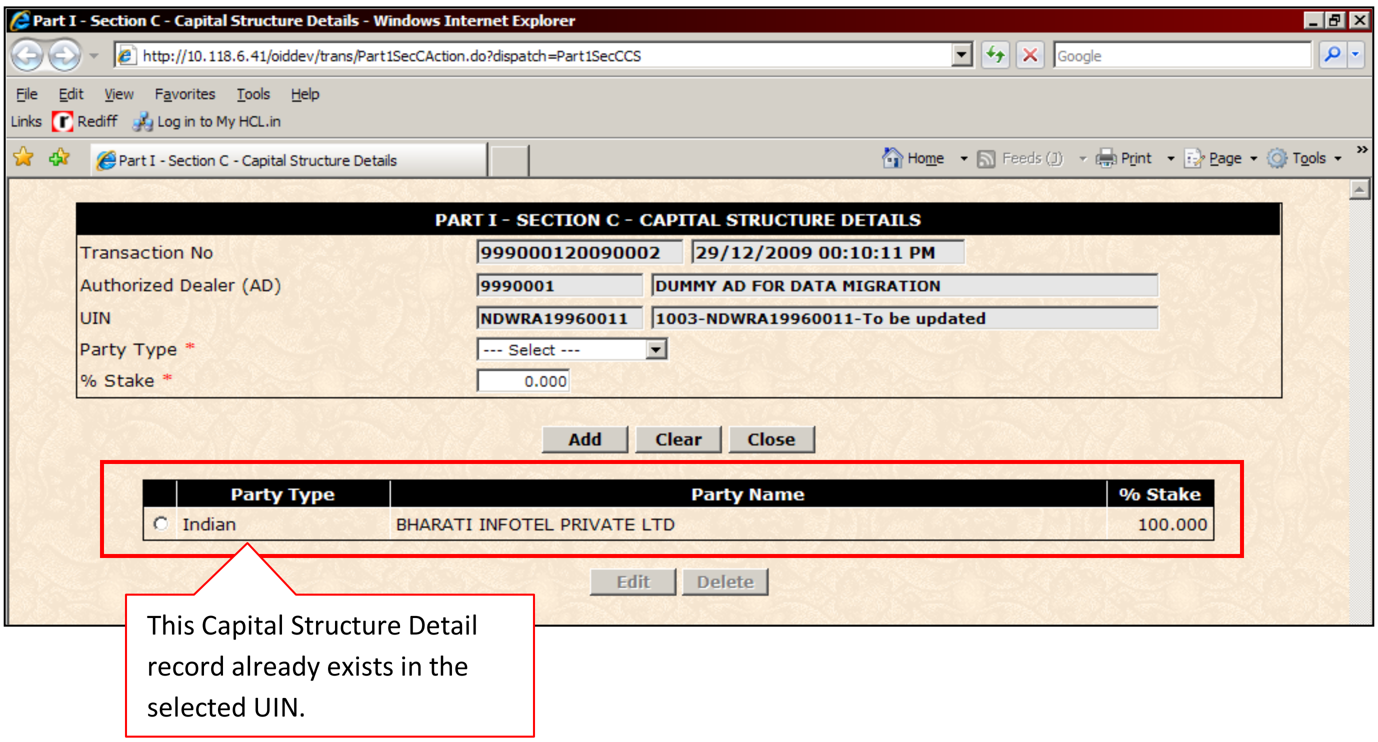
| Part I – Section C Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Actions** | **Application Response** |
| 1 | ❖ Login to the OID Application with User Name **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click the **Menu link** titled '**Part I – Section C**' | ❖ Application opens the Part I – Section C Transaction page. The blank screen is shown below: |



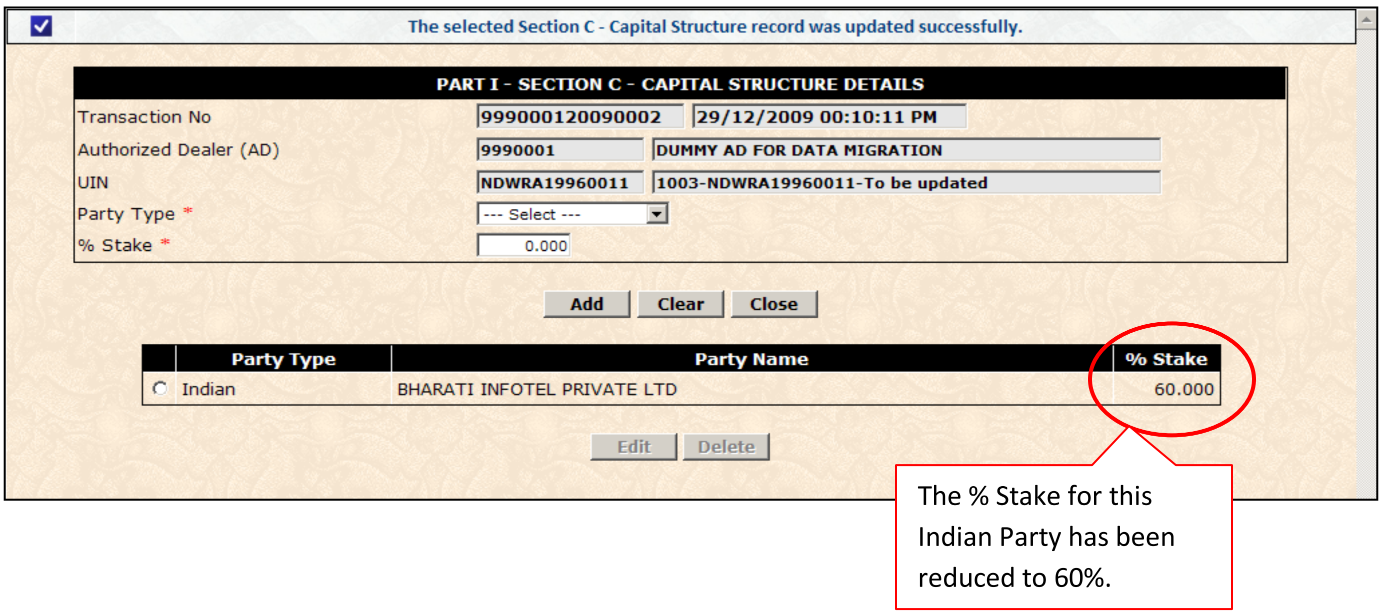
| Part I – Section C Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **2** | ❖ Enter all required details for this Transaction. The mandatory fields are marked by a * symbol on the page. | ❖ The Application successfully creates a new Part I – Section C Transaction and displays the Transaction Number, and **links for Capital Structure Details and Section D**, as shown below. The page now goes into **UPDATE** mode. |



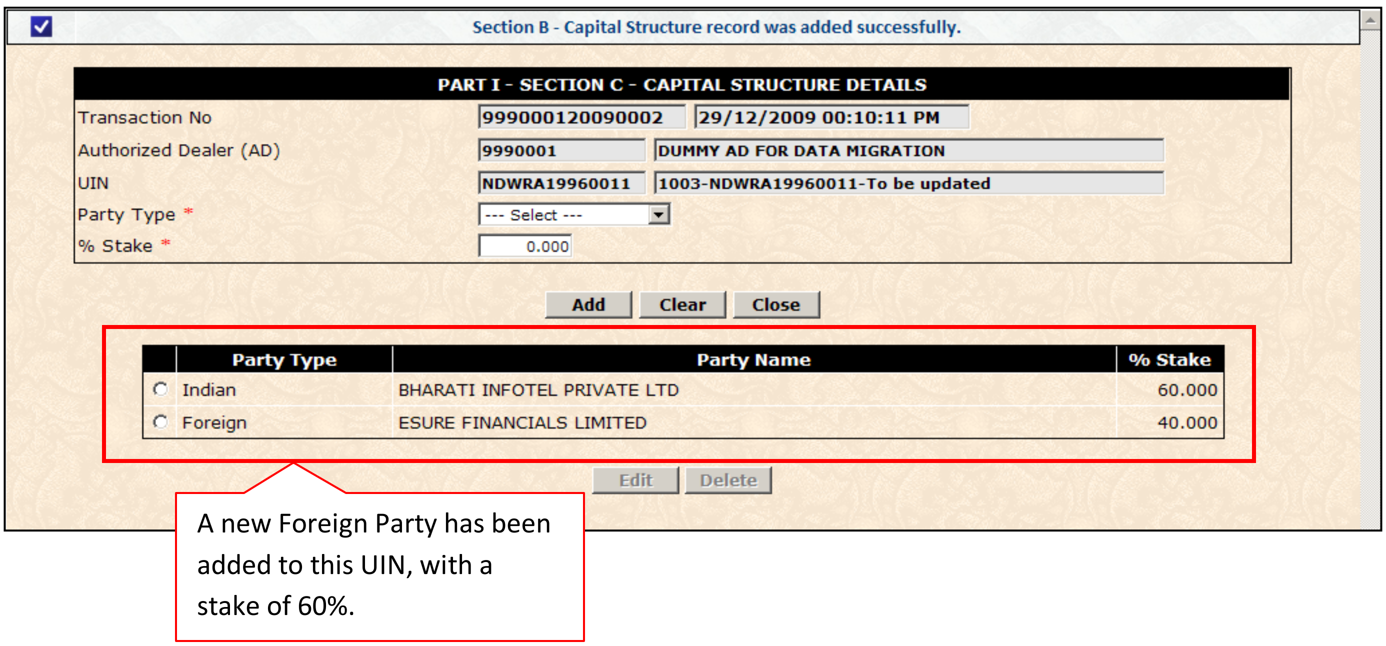
| Part I – Section C Transaction – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 3 | ❖ If any data was wrongly entered, you can correct it and click **Update** button. | ❖ The Application saves your data successfully and returns back to the same mode (UPDATE). |
| | ❖ Click the link titled **'Capital Structure Details'**. | ❖ Application opens the **Capital Structure Details** screen in a new window in ADD mode, as shown below: |



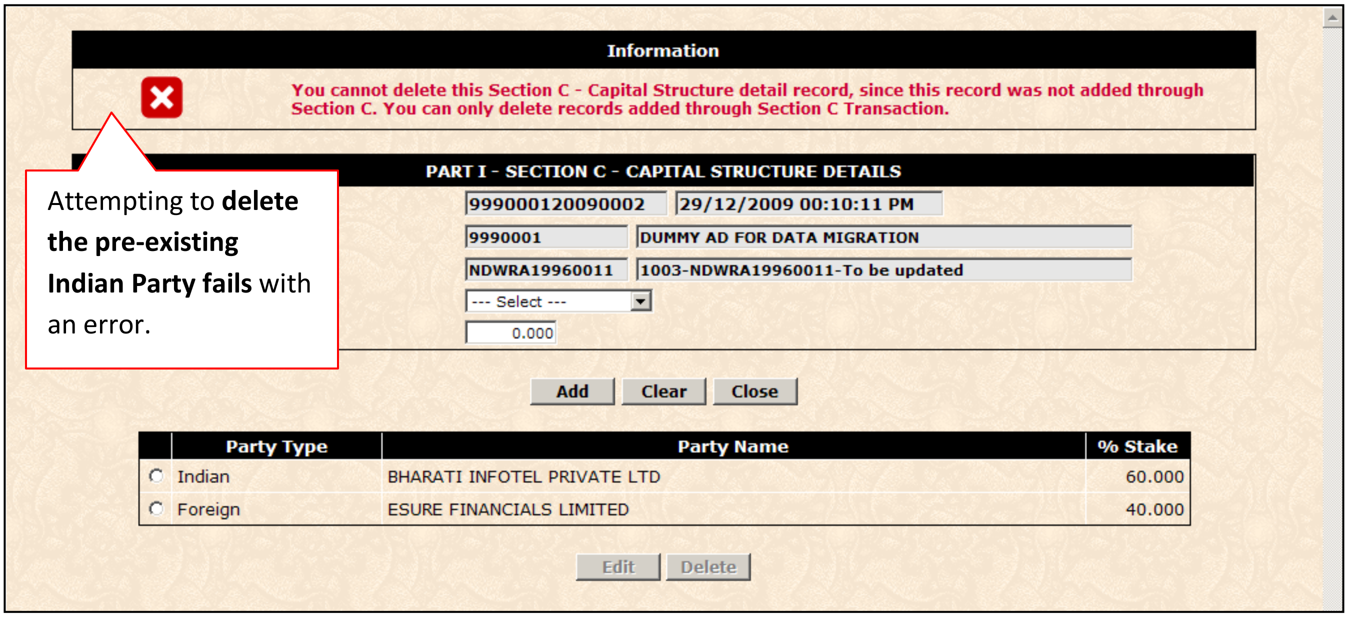
| Part I – Section C Transaction – Capital Structure Details – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **4** | ❖ Select the existing record and click **Edit**. | ❖ The Application loads the selected record and populates the data into the fields. The screen goes into **UPDATE** mode. |
| | ❖ Change the stake percent to 60% and click **Update** button. | ❖ Application successfully saves the record. The page once again goes into **ADD** mode, as shown below: |



| Part I – Section C Transaction – Capital Structure Details – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **5** | ❖ Add a new Foreign Party with a stake of 40%<br><br>❖ Change the stake percent to 60% and click **Update** button. | ❖ Application successfully adds the new Foreign Party and returns the page to **ADD** mode. All enterable fields are cleared.<br><br>❖ The newly added Foreign Party record appears in the history list, as shown: |



**Note 1: You cannot delete any record not added through Part I – Section C.** For example, if you attempt to delete the pre-existing Indian Party (BHARTI INFOTEL in this example), you will receive an error:


Information

You cannot delete this Section C - Capital Structure detail record, since this record was not added through Section C. You can only delete records added through Section C Transaction.

PART I - SECTION C - CAPITAL STRUCTURE DETAILS

999000120090002 29/12/2009 00:10:11 PM

9990001 DUMMY AD FOR DATA MIGRATION

NDWRA19960011 1003-NDWRA19960011-To be updated

--- Select ---

0.000

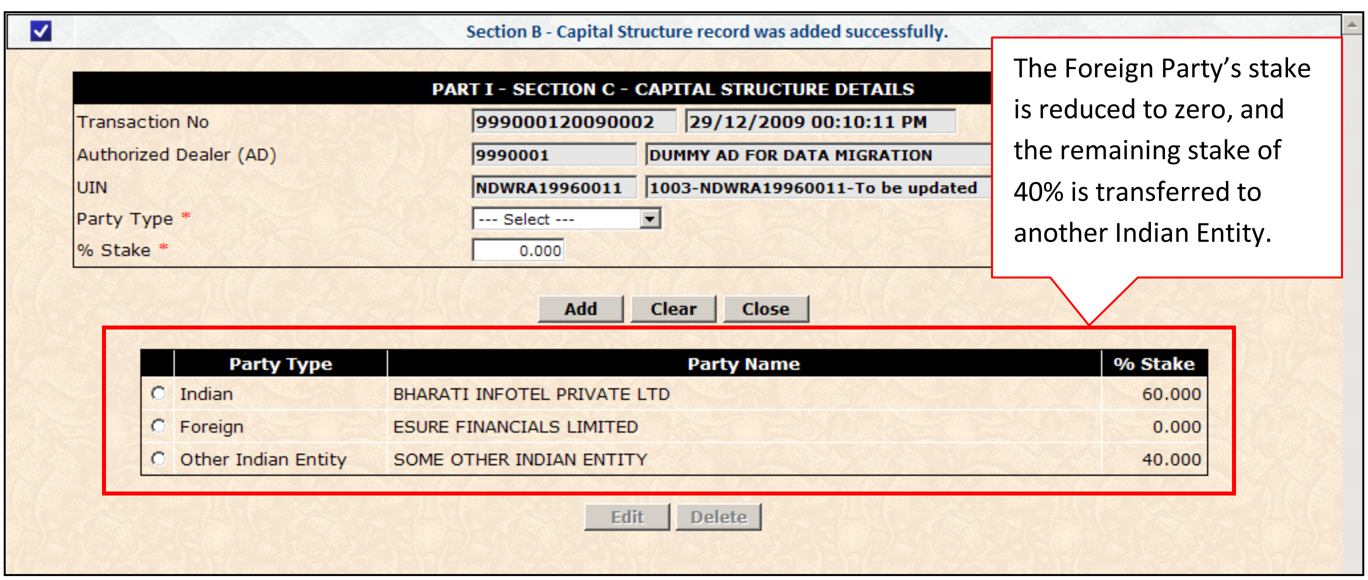
Add Clear Close

| | Party Type | Party Name | % Stake |
|---|---|---|---|
| ○ | Indian | BHARATI INFOTEL PRIVATE LTD | 60.000 |
| ○ | Foreign | ESURE FINANCIALS LIMITED | 40.000 |

Edit Delete

Attempting to **delete the pre-existing Indian Party fails** with an error.

**Note 2: If an existing stake-holder in this UIN is to be removed from the UIN, you must make the % Stake for that Indian Party or Foreign Party to zero.** That stake can then be distributed to a new or existing stake-holder for this UIN. **This is subject to the condition that the sum total of % Stake held by Indian Parties can never be zero.** This scenario is shown below:


Section B - Capital Structure record was added successfully.

PART I - SECTION C - CAPITAL STRUCTURE DETAILS

Transaction No 999000120090002 29/12/2009 00:10:11 PM

Authorized Dealer (AD) 9990001 DUMMY AD FOR DATA MIGRATION

UIN NDWRA19960011 1003-NDWRA19960011-To be updated

Party Type * --- Select ---

% Stake * 0.000

Add Clear Close

| | Party Type | Party Name | % Stake |
|---|---|---|---|
| ○ | Indian | BHARATI INFOTEL PRIVATE LTD | 60.000 |
| ○ | Foreign | ESURE FINANCIALS LIMITED | 0.000 |
| ○ | Other Indian Entity | SOME OTHER INDIAN ENTITY | 40.000 |

Edit Delete

The Foreign Party's stake is reduced to zero, and the remaining stake of 40% is transferred to another Indian Entity.

| Part I – Section C Transaction – Leaving Capital Structure Details screen | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **6** | ❖ Click Close button to leave the page. | ❖ Application closes the page and returns you back to **Part I – Section C main page**. |

| Part I – Section C Transaction – Section D – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **7** | ❖ Click the link for **Part I – Section D**. | ❖ Application opens the Section D screen in a new window in **ADD** mode. All enterable fields are cleared for data entry. |
| | ❖ Enter all mandatory fields (marked with * on the page). Click **Add** button to save the new record. | ❖ Application successfully saves the new Section D record. The screen is brought back to **ADD** mode and all enterable fields are cleared. |

| Part I – Section C Transaction – Section D – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **8** | ❖ Click the link for Part I – Section D. | ❖ Application opens the Section D screen in a new window in **ADD** mode. All enterable fields are cleared for data entry. |
| | ❖ Enter all mandatory fields (marked with * on the page). Click **Add** button to save the new record. | ❖ Application successfully saves the new Section D record. The screen is brought back to **ADD** mode and all enterable fields are cleared. |

| Part I – Section C Transaction – Submitting to RBI | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **9** | ❖ On the Part I – Section C – Main page, change the Transaction status from **PENDING** to **REPORTED/SUBMITTED** TO RBI. Click the **Update** button. | ❖ Application submits the data to RBI, provided that all business validations are passed. **If there are discrepancies that require RBI approval, the warning message(s) will be shown to you. If you choose to proceed, the Transaction will be automatically routed for RBI approval. The data is now available to RBI.** Read-only permissions are applied to the page for Bank User. |

## 5.8. Part II - Reporting of Remittances Transaction

This screen will be used by authorized OID users to submit supplementary remittances (second remittance and onwards) made by an Indian Party overseas in respect of a live UIN. User would not be able to submit any remittances without an existing UIN. Remittance amount must be entered in Actuals of the specified foreign currency.

The link to enter supplementary remittances appears in the '**Next Steps**' dialog once the main Transaction has been added successfully.

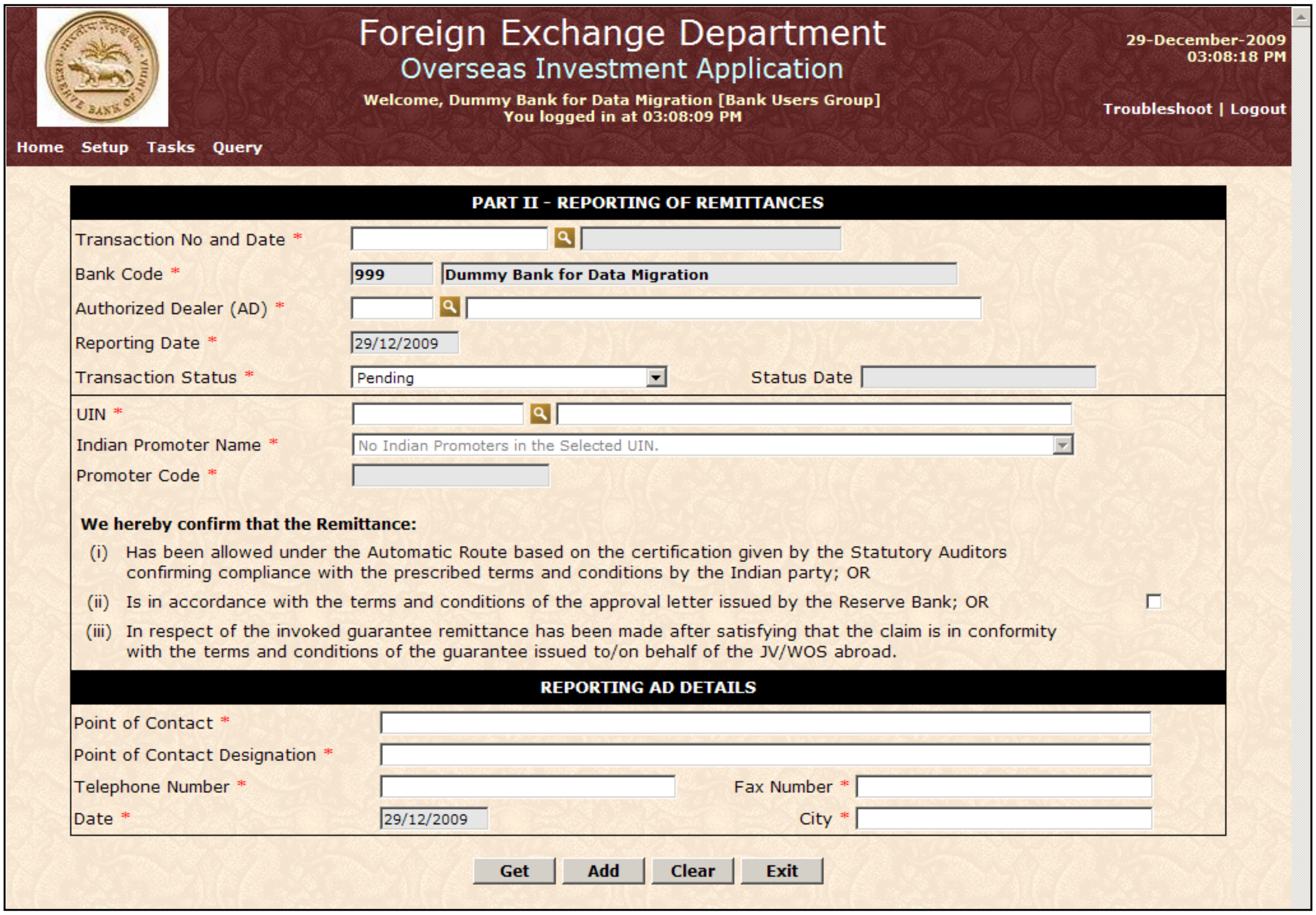
If all the information is correct and do not violate any business rules then the Part II transaction will be submitted directly to RBI. If there are discrepancies, the data will be routed to RBI for ratification.

**Table Remittance Details Page-** Detail of Method of investment and Category of Investment.

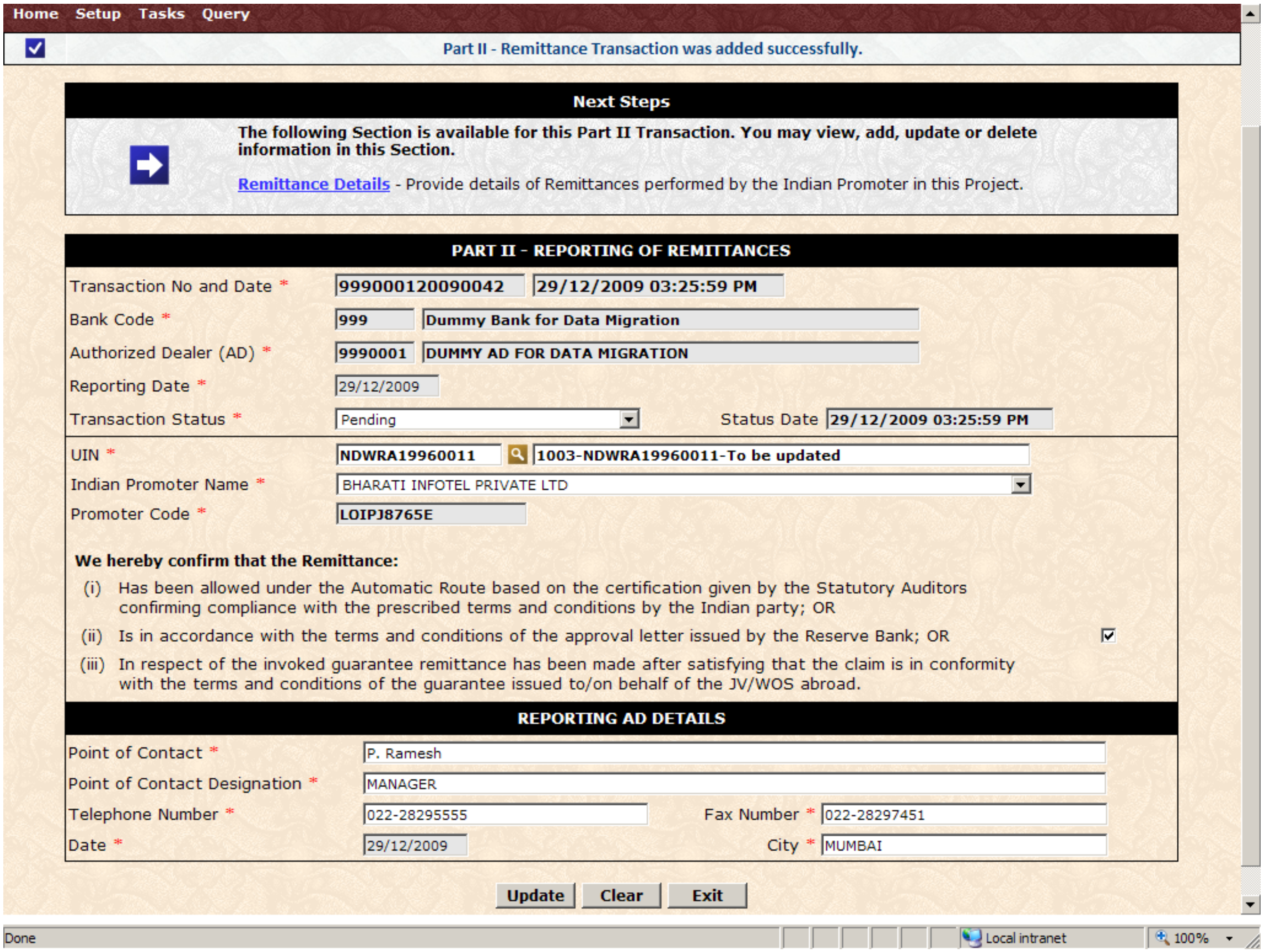
| Method or Source of Investments | Category of Investments | | | | |
|---|---|---|---|---|---|
| Cash Remittance – EEFC | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |
| Cash Remittance – Market Purchase | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |
| ECB | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |
| FCCB | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |
| ADR | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |
| GDR | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |
| Swap of Shares | Equity | | | | |
| Capitalization – Exports | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |
| Capitalization – Others (Specify) | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |

| | | | | | |
|---|---|---|---|---|---|
| Others – Fund based (Specify) | Equity | CCPS | Other Preference Shares | Loan | Guarantee Invoked |
| Corporate or Personal Guarantee Issued | Corporate Guarantee by Indian party | | Personal Guarantee by third party | | Corporate Guarantee by third party |
| Performance Guarantee | Performance Guarantee | | | | |
| Bank Guarantee Issued (Name of the Bank) | Bank Guarantee Issued | | | | |
| Creation of Charge | Shares of JV / WOS | | Movable & Immovable Properties | | Other Financial Assets |
| Others – Non fund based (Specify) | (Specify) | | | | |

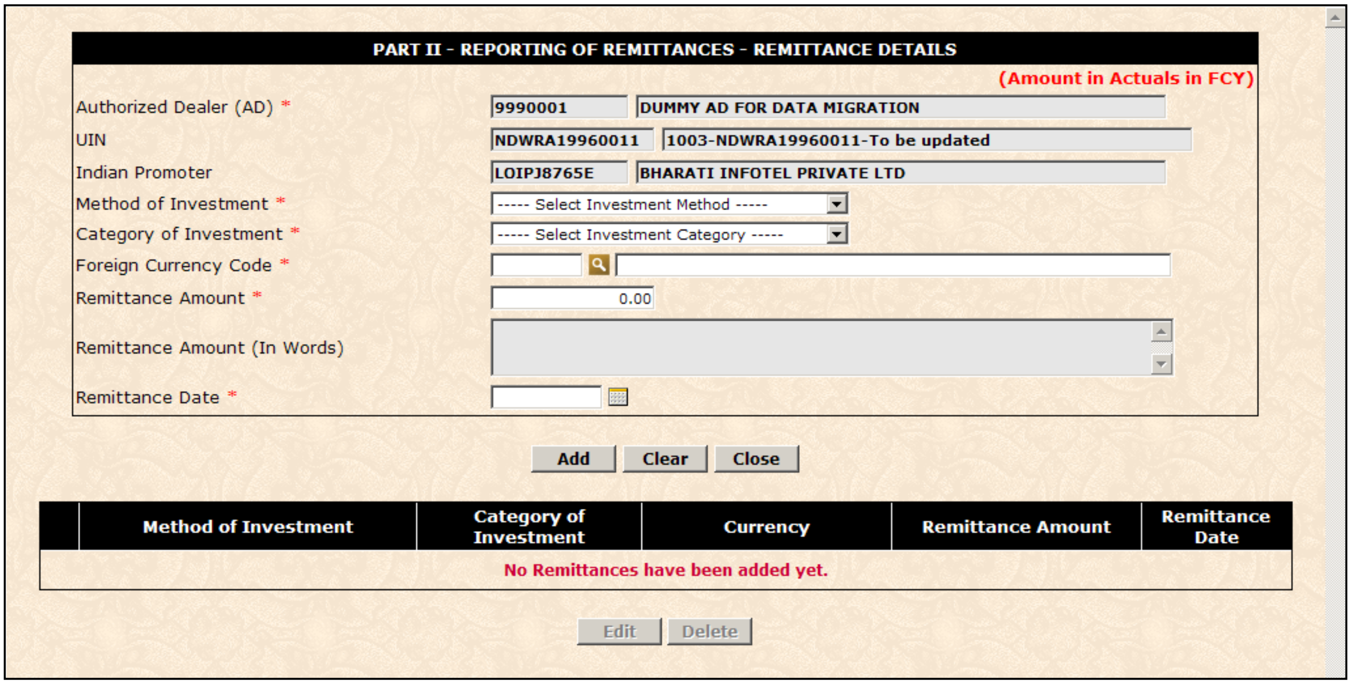
| Part II - Reporting of Remittances – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Actions** | **Application Response** |
| 1 | ❖ Login to the OID Application with User Name **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click the **Menu link** titled '**Part II - Reporting of Remittances**' in **Tasks** menu item. | ❖ Application opens the Part II - Reporting of Remittances Transaction page. The blank screen is shown below: |




| Part II – Reporting of Remittances – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **2** | ❖ Enter all required details for this Transaction. The mandatory fields are marked by a * symbol on the page. | ❖ The Application successfully creates a new Part II – Reporting of Remittances Transaction and displays the Transaction Number and a **link for Remittance Details screen (**in the **Next Steps** section), as shown below. The page now goes into **UPDATE** mode. |



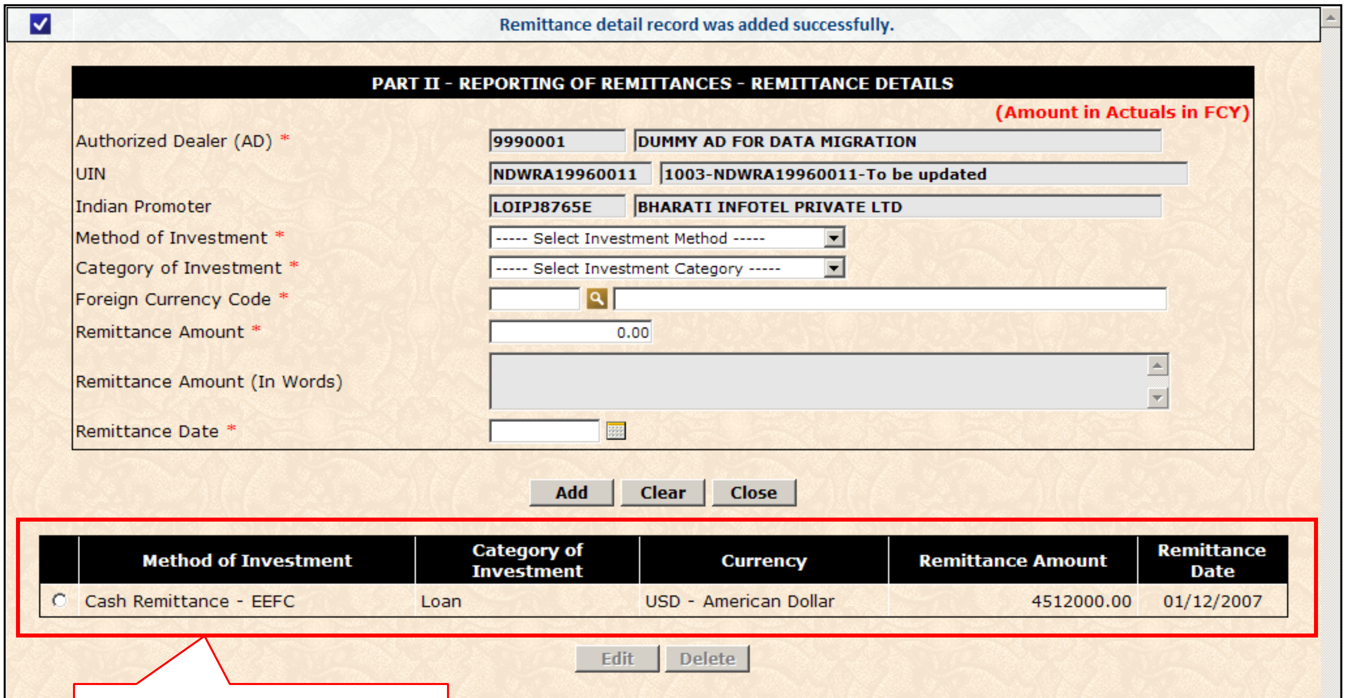

| Part II – Reporting of Remittances Transaction – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 3 | ❖ If any data was wrongly entered, you can correct it and click **Update** button. | ❖ The Application saves your data successfully and returns the screen back to the same mode (**UPDATE**). |
| | ❖ Click the link titled '**Remittance Details**'. | ❖ Application opens the Remittance Detail screen in **ADD** mode with all enterable fields cleared, as shown below: |




| Part II – Reporting of Remittances – Remittance Detail screen – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **4** | ❖ Enter all mandatory information and click Add. | ❖ If any business validation warnings were generated, these will be shown above the page, as shown below: |


**Note:** The Application requires a response from you before it can complete the **ADD** or **UPDATE** operation. Click **Yes** to continue, or **No** to cancel the operation.

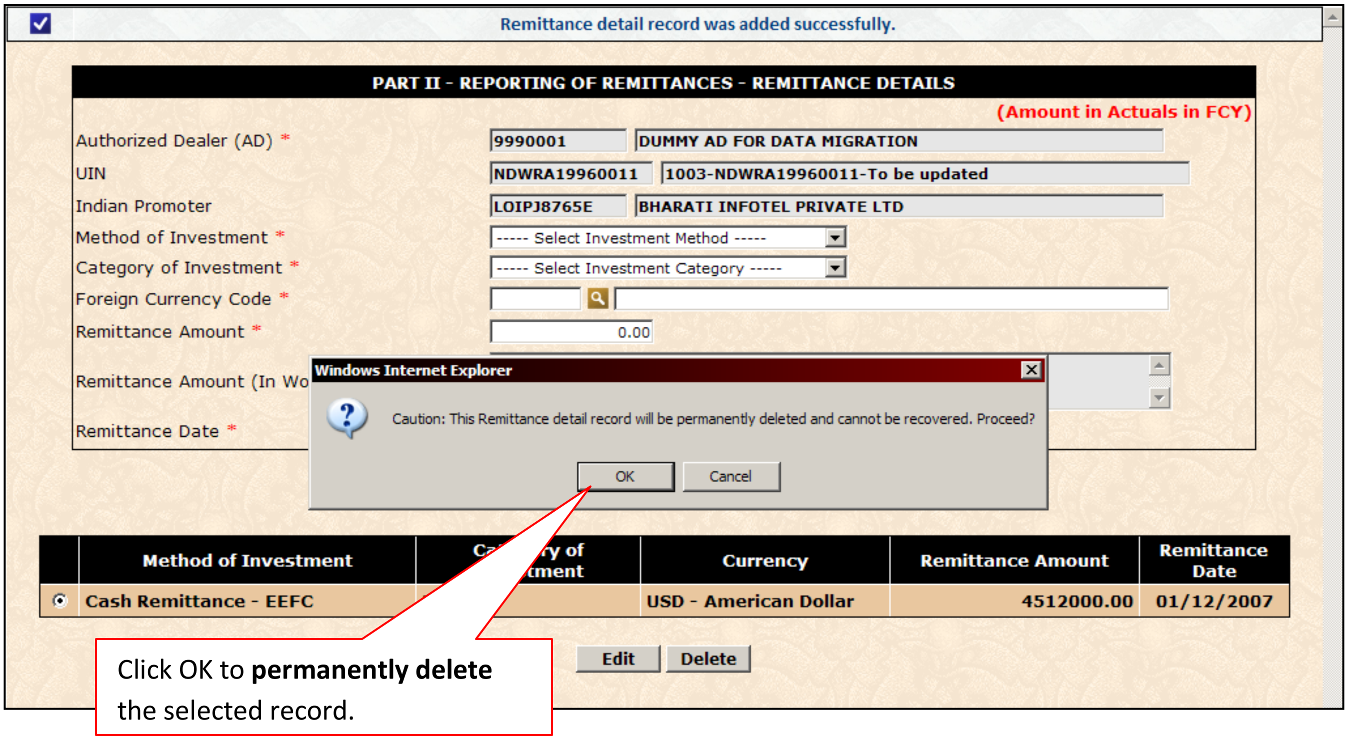
| **Part II – Reporting of Remittances – Remittance Detail screen – ADD Mode** | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **5** | ❖ Click **Yes** to add the new record. | ❖ The Application successfully adds the new record. The page returns back to **ADD** mode and all enterable fields are cleared. The record appears in the history list. |

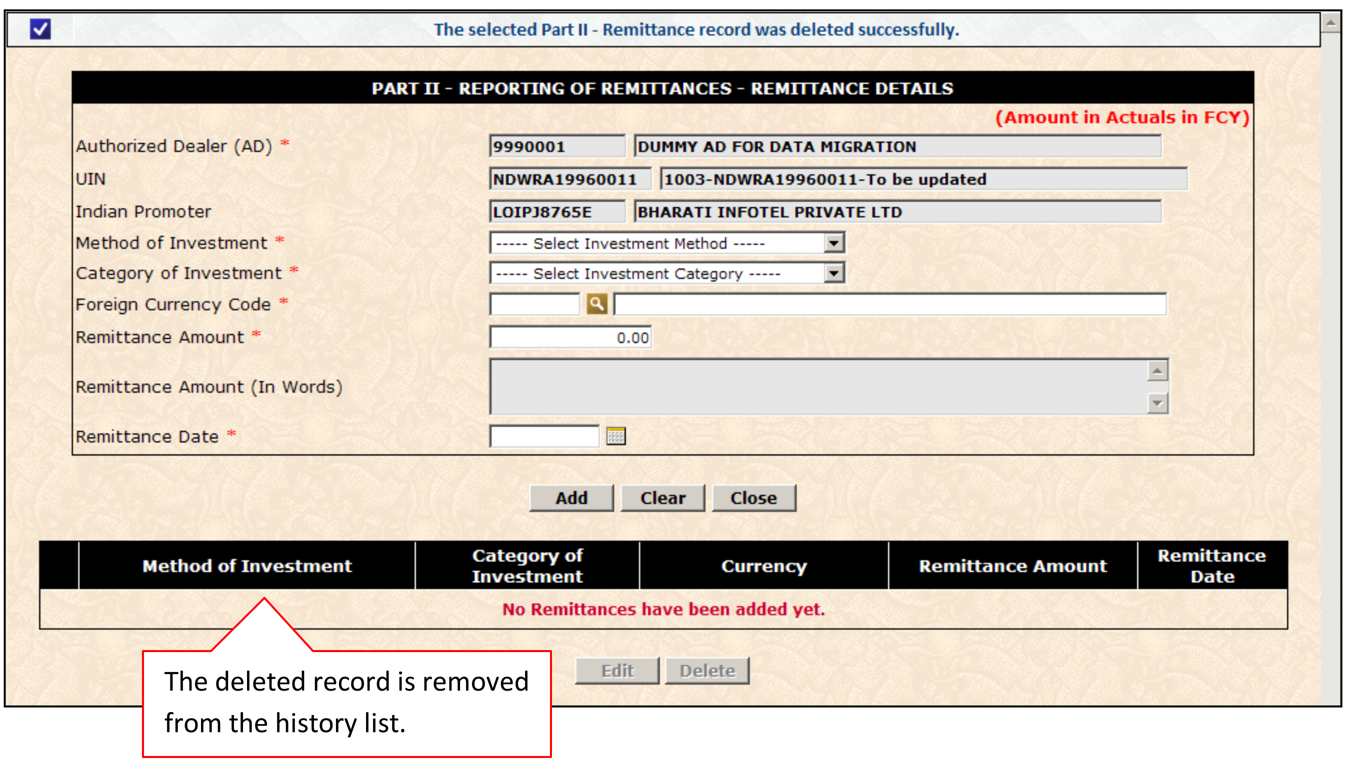



Newly added record appears in the history list.

| Part II – Reporting of Remittances – Remittance Detail screen – Adding and Updating records | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 6 | ❖ Click the **record selector** and click **Edit** button. | ❖ The Application loads the selected record and populates data into the fields. The screen goes into **UPDATE** mode. |
| | ❖ Change the data as required and click **Update** button. | ❖ Application successfully saves the record. The page once again goes into **ADD** mode. |
| | ❖ Add all the remittances, as described above, for this Indian Party. | ❖ Application successfully saves each record. The page goes into **ADD** mode after each successful **ADD** operation. |

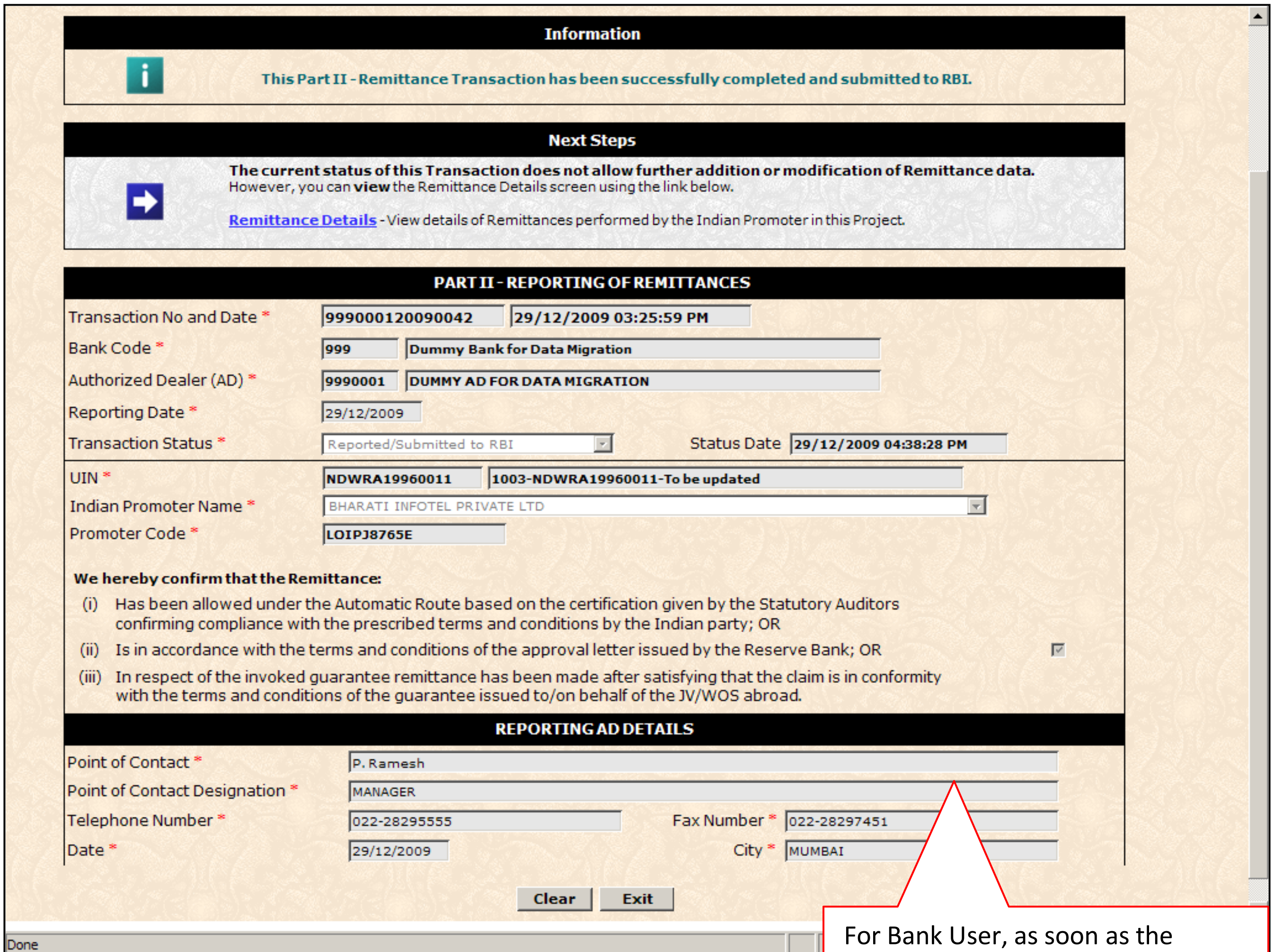
| Part II – Reporting of Remittances – Remittance Detail screen – Deleting records | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **7** | ❖ Click the **record selector** and click **Delete** button. | ❖ The Application displays a Delete Confirmation Warning dialog, as shown below. |
| | ❖ Click OK on the Confirmation dialog. | ❖ The Application permanently deletes the selected record. The deleted record is removed from the history list. |


Remittance detail record was added successfully.
PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS
(Amount in Actuals in FCY)
Authorized Dealer (AD) *
9990001
DUMMY AD FOR DATA MIGRATION
UIN
NDWRA19960011
1003-NDWRA19960011-To be updated
Indian Promoter
LOIPJ8765E
BHARATI INFOTEL PRIVATE LTD
Method of Investment *
----- Select Investment Method -----
Category of Investment *
----- Select Investment Category -----
Foreign Currency Code *
Remittance Amount *
0.00
Remittance Amount (In Wo
Remittance Date *
Windows Internet Explorer
Caution: This Remittance detail record will be permanently deleted and cannot be recovered. Proceed?
OK
Cancel
Method of Investment
Currency
Remittance Amount
Remittance Date
Cash Remittance - EEFC
USD - American Dollar
4512000.00
01/12/2007
Edit
Delete
Click OK to **permanently delete** the selected record.


The selected Part II - Remittance record was deleted successfully.
PART II - REPORTING OF REMITTANCES - REMITTANCE DETAILS
(Amount in Actuals in FCY)
Authorized Dealer (AD) *
9990001
DUMMY AD FOR DATA MIGRATION
UIN
NDWRA19960011
1003-NDWRA19960011-To be updated
Indian Promoter
LOIPJ8765E
BHARATI INFOTEL PRIVATE LTD
Method of Investment *
----- Select Investment Method -----
Category of Investment *
----- Select Investment Category -----
Foreign Currency Code *
Remittance Amount *
0.00
Remittance Amount (In Words)
Remittance Date *
Add
Clear
Close
Method of Investment
Category of Investment
Currency
Remittance Amount
Remittance Date
No Remittances have been added yet.
Edit
Delete
The deleted record is removed from the history list.

| Part II – Reporting of Remittances – Closing Remittance Detail screen | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **8** | ❖ Click **Close** button, and click **OK** on the confirmation dialog. | ❖ The Application closes the Remittance Detail screen and takes you back to **Part II – Reporting of Remittances main page**. |

| Part II – Reporting of Remittances – Submitting the Transaction to RBI | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **9** | ❖ On the **Part II – Reporting of Remittances Transaction main page**, change the Transaction status from **PENDING** to **REPORTED/SUBMITTED** TO RBI. Click the **Update** button. | ❖ Application submits the data to RBI, provided that all business validations are passed. **If there are discrepancies that require RBI approval, the warning message(s) will be shown to you. If you choose to proceed, the Transaction will be automatically routed for RBI approval. The data then becomes available to RBI.** Read-only permissions are applied to the page for Bank User, as shown below. |




For Bank User, as soon as the Transaction is submitted, **data becomes read-only**. No further modifications are allowed since the Transaction is now visible to RBI.

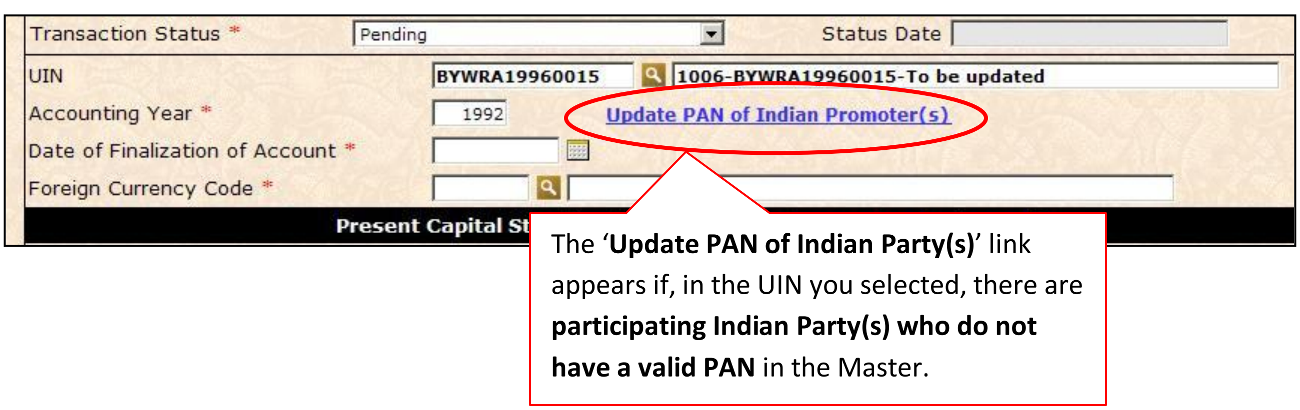
## 5.9. PART III - ANNUAL PERFORMANCE REPORT TRANSACTION

This screen is used to capture, at the Project (UIN) level, the Annual Performance Report (APR) for that Project (UIN).

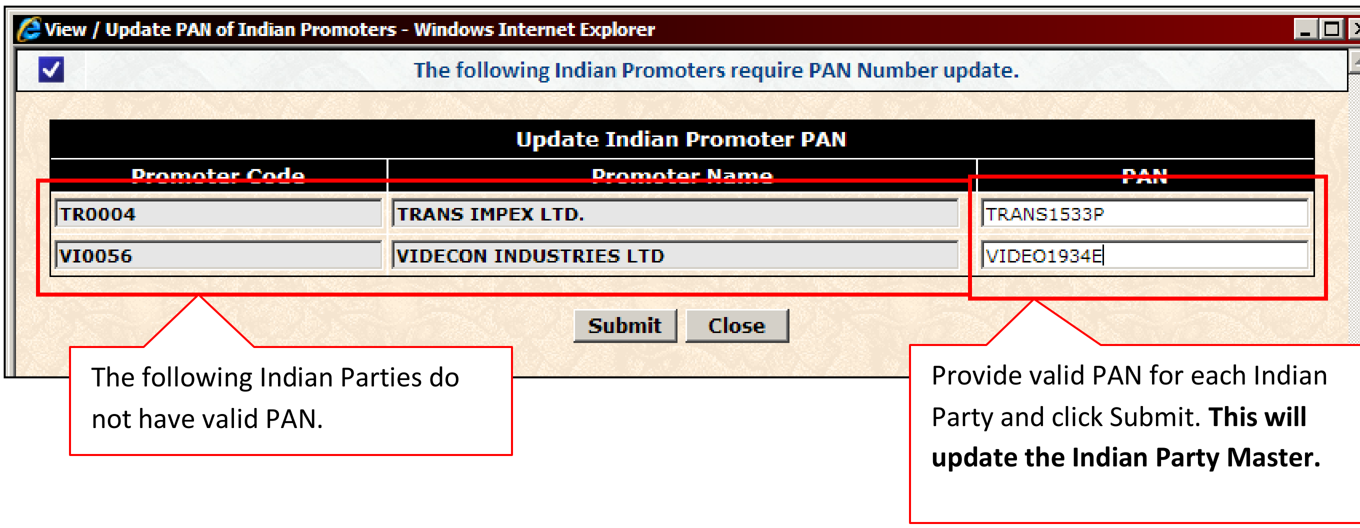
The "**Update Indian Party PAN**" link is provided on the Transaction's main page, to enable the user update the PAN of Indian Parties involved in the UIN selected. User needs to update the PAN of Indian Party(s) for whom a valid PAN is not available in the Master. Without updating the PAN, the transaction cannot be submitted to RBI.

Another link is provided to capture **investment in Step down subsidiaries, if any**. The link appears in the '**Next Steps**' dialog once the main Transaction is successfully added.

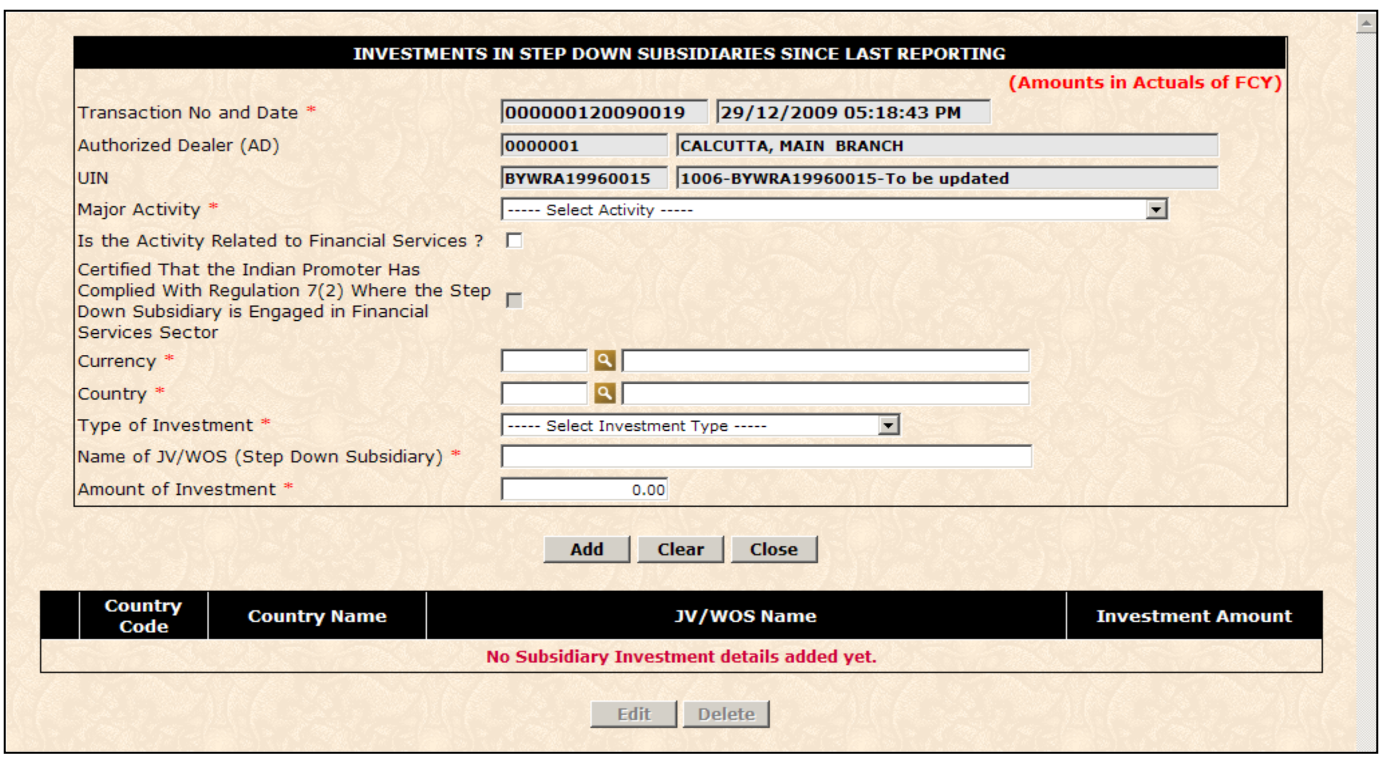
| Part III - Annual Performance Report Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 1 | ❖ Login to the OID Application with User Name **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click the **Menu link** titled '**Part III - Annual Performance Report**' in **Tasks** menu item. | ❖ Application opens the Part III - Annual Performance Report Transaction page. |
| 2 | ❖ Select the UIN for which you are entering this Part III - Annual Performance Report Transaction. | ❖ If one or more Indian Parties in the UIN do not have a valid PAN in the Master, the '**Change Party PAN**' link appears, as shown below: |



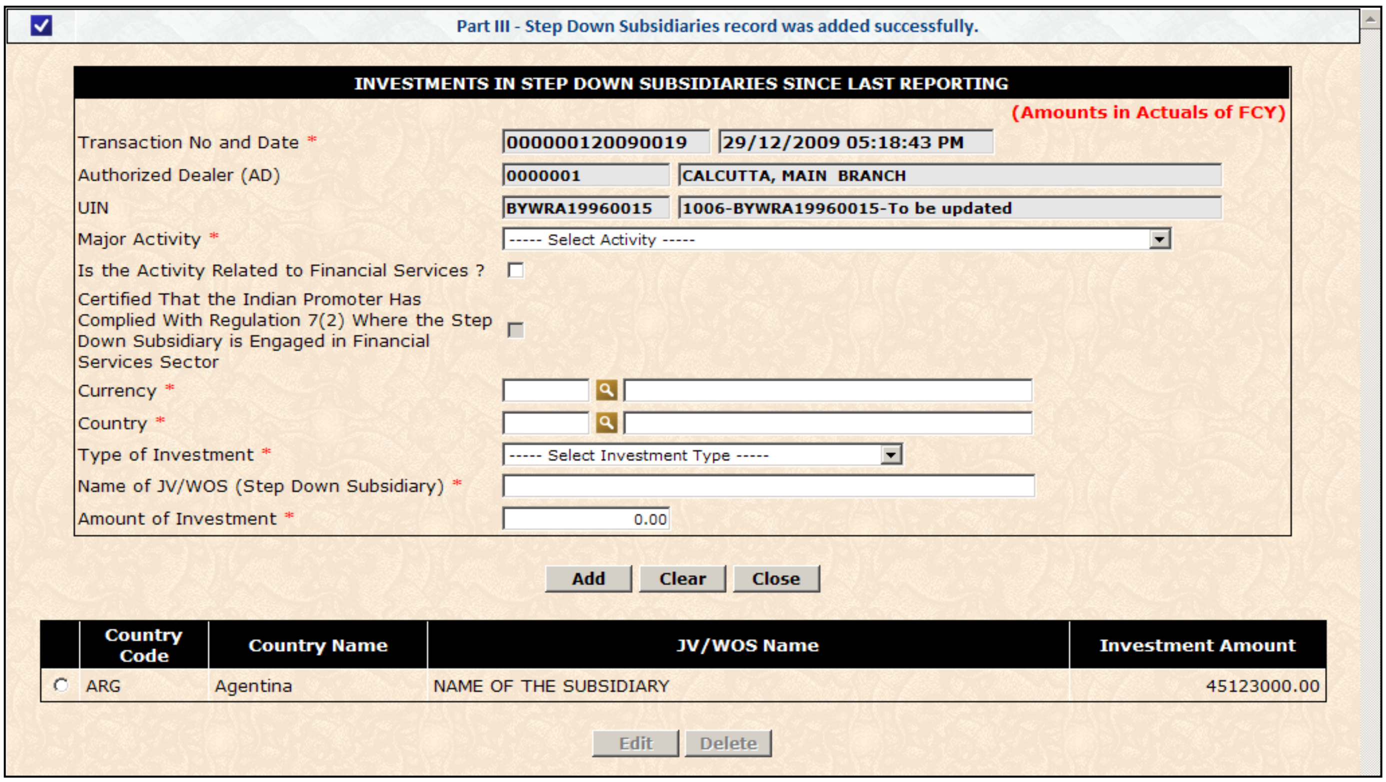
| Part III - Annual Performance Report Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **3** | ❖ Click the '**Update PAN of Indian Party(s)**' link. | ❖ The Application opens the PAN change screen, as shown below. |
| **4** | ❖ Provide valid PAN for each Indian Party who does not have one, and click Submit. | ❖ The Application successfully updates the Master with the PAN you provided. |



| Part III - Annual Performance Report Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **5** | ❖ Enter all mandatory fields on the main page and click **Add**. | ❖ The Application successfully adds the new Part III - Annual Performance Report Transaction. The screen goes into **UPDATE** mode. |
| **Part III - Annual Performance Report Transaction – UPDATE Mode** | | |
| **Step Number** | **User Action** | **Application Response** |
| **6** | ❖ If any data was wrongly entered, you can correct it and click **Update** button. | ❖ The Application saves your data successfully and returns the screen back to the same mode (**UPDATE**). |
| | ❖ Click the link titled 'Investments in Step Down Subsidiaries' in the Next Steps dialog. | ❖ The Application opens the Investments in Step Down Subsidiaries screen in a new window, as shown below: |

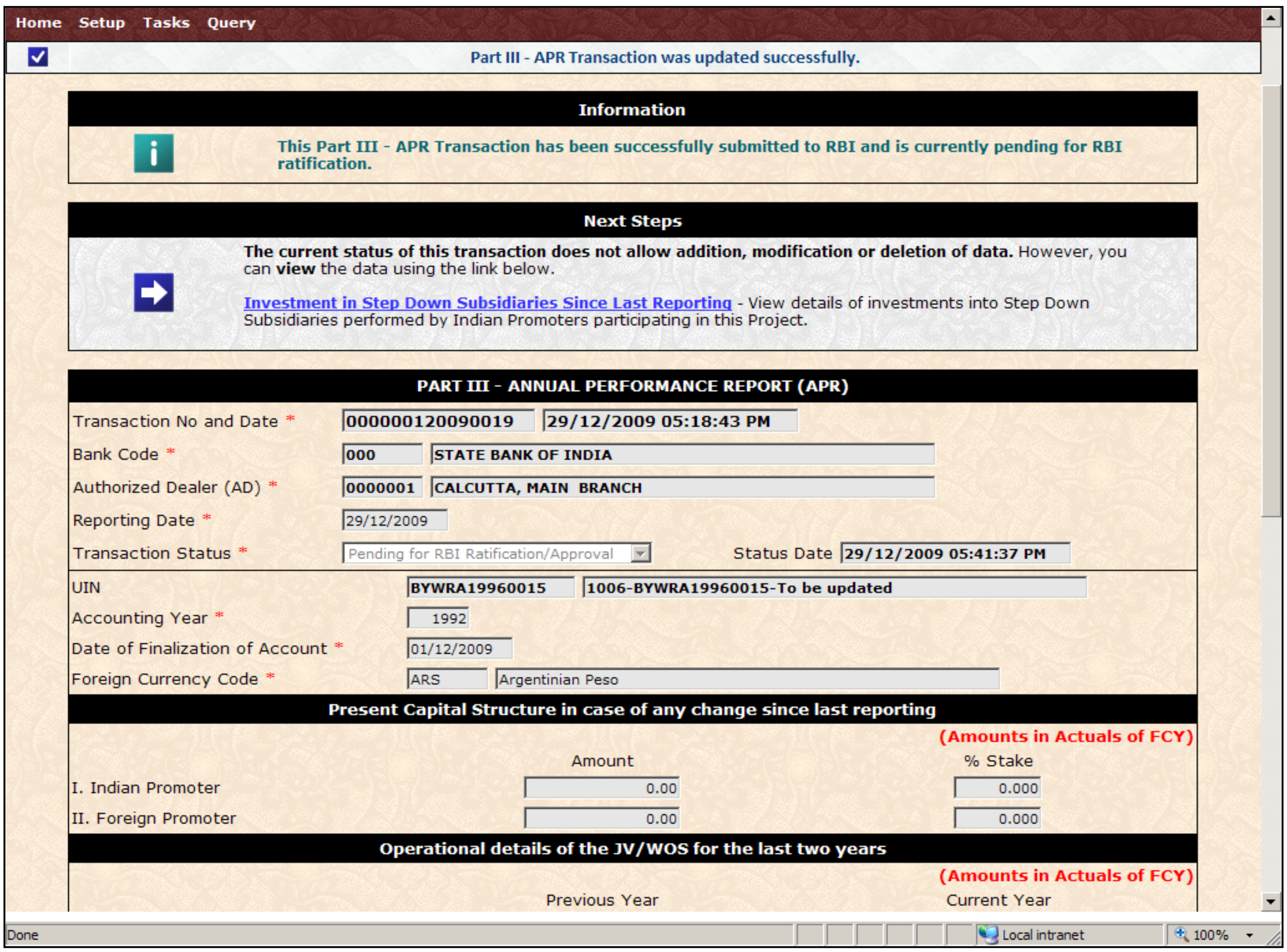


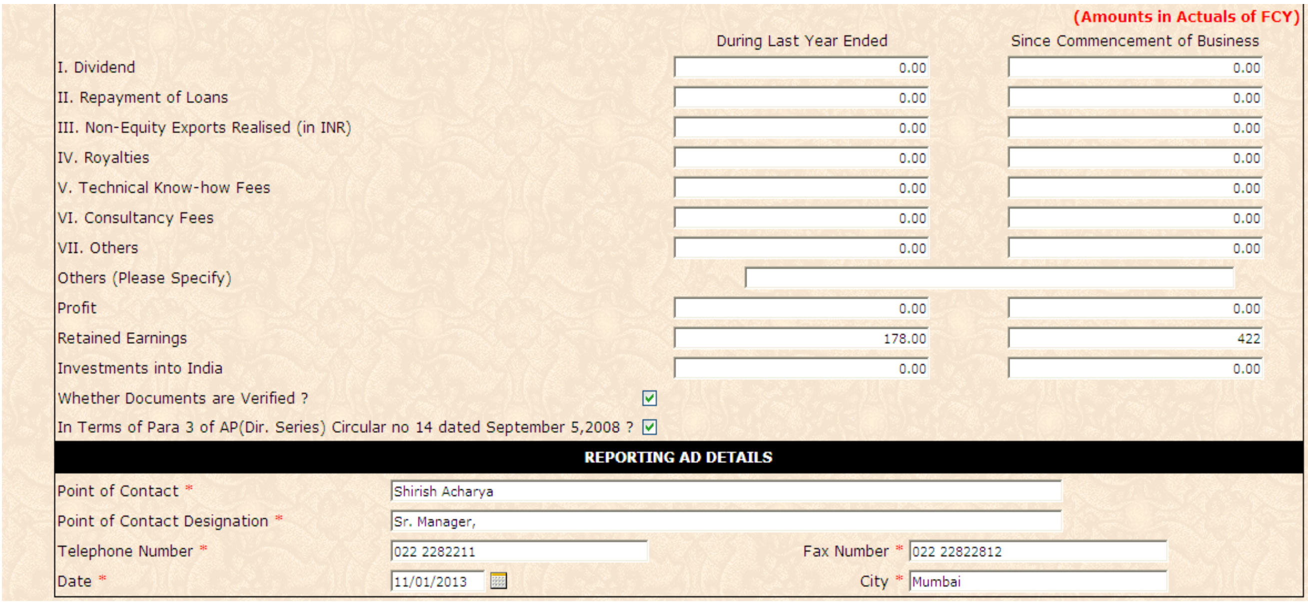
| Part III - Annual Performance Report Transaction – Investments in Step Down Subsidiaries – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **7** | ❖ Enter all mandatory information and click Add. | ❖ If any business validation warnings were generated, these will be shown above the page, in the 'User Confirmation Required' dialog. If there are no validation failures, the record is added and appears in the history list: |

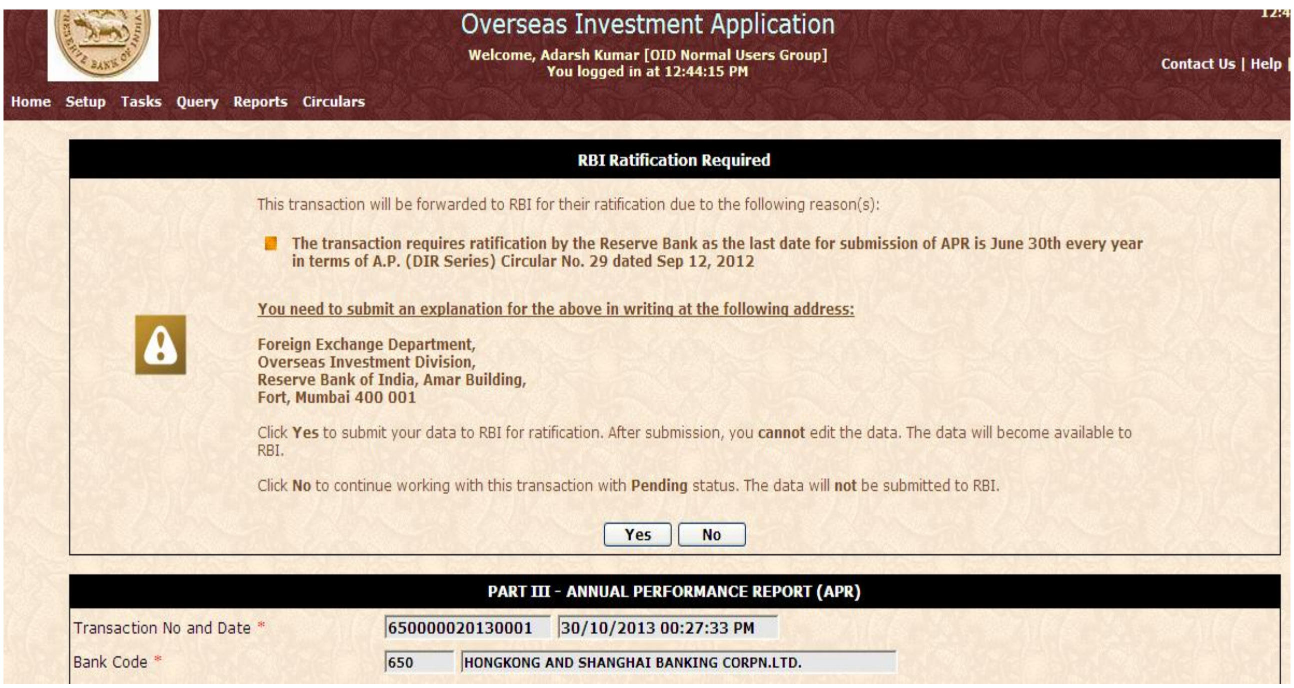


| Part III - Annual Performance Report Transaction – Investments in Step-Down Subsidiaries – Adding and Updating records | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **8** | ❖ Click the **record selector** and click **Edit** button. | ❖ The Application loads the selected record and populates data into the fields. The screen goes into **UPDATE** mode. |
| | ❖ Change the data as required and click **Update** button. | ❖ Application successfully saves the record. The page once again goes into **ADD** mode. |
| | ❖ Add all the available Investments data, as described above, for this UIN. | ❖ Application successfully saves each record. The page goes into **ADD** mode after each successful **ADD** operation. |
| **Part III - Annual Performance Report Transaction – Investments in Step-Down Subsidiaries – Deleting records** | | |
| **Step Number** | **User Action** | **Application Response** |
| **9** | ❖ Click the **record selector** and click **Delete** button. | ❖ The Application displays a **Delete Warning** dialog. |
| | ❖ Click OK on the **Delete Warning** dialog. | ❖ The Application permanently deletes the selected record. The deleted record is removed from the history list. |
| **Part III - Annual Performance Report Transaction – Investments in Step Down Subsidiaries – Closing** | | |
| **Step Number** | **User Action** | **Application Response** |
| **10** | ❖ Click **Close** button, and click **OK** on the confirmation dialog. | ❖ The Application closes the Remittance Detail screen and takes you back to **Part III - Annual Performance Report Transaction main page**. |
| **Part III - Annual Performance Report Transaction – Submitting the Transaction to RBI** | | |
| **Step Number** | **User Action** | **Application Response** |

| | | |
|---|---|---|
| **11** | ❖ On the **Part III - Annual Performance Report Transaction main page**, change the Transaction status from **PENDING** to **REPORTED/SUBMITTED TO RBI**. Click the **Update** button. | ❖ Application submits the data to RBI, provided that all business validations are passed. **If there are discrepancies that require RBI approval, the warning message(s) will be shown to you. If you choose to proceed, the Transaction will be automatically routed for RBI approval. The data then becomes available to RBI.** Read-only permissions are applied to the page for Bank User, as shown below. |





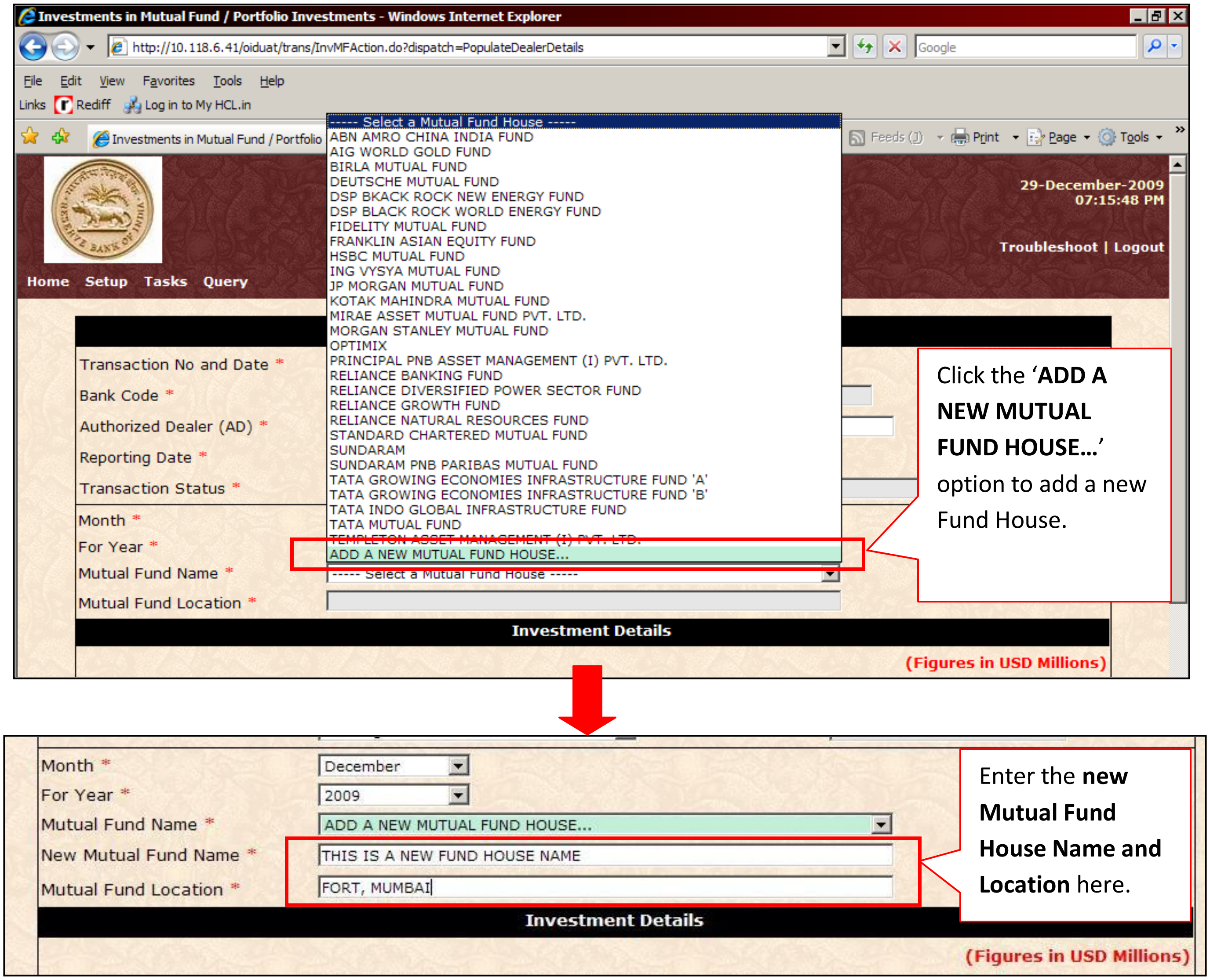




## 5.10. Investment by Mutual Funds Transaction

This screen is used to submit investment details made in terms of AP Dir series Circular No. 72. This Transaction needs to be submitted on a monthly basis by Authorized Dealers. If no investment is made during a month, the user can submit the Transaction without entering the amount fields. This will be treated as a NIL statement.

No approval is required from RBI users for these transactions submitted by ADs.

| **Investment by Mutual Funds Transaction – ADD Mode** | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **1** | ❖ Login to the OID Application with User Name **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click the **Menu link** titled '**Investment by Mutual Funds**' in **Tasks** menu item. | ❖ Application opens the **Investment by Mutual Funds Transaction** page. |
| **2** | ❖ Enter all mandatory information. Select the Mutual Fund House from the list provided. However, if the Mutual Fund House does not appear in the list, you can it, as shown below: | ❖ The Application adds the new Mutual Fund House Name and Location into the Master table. |

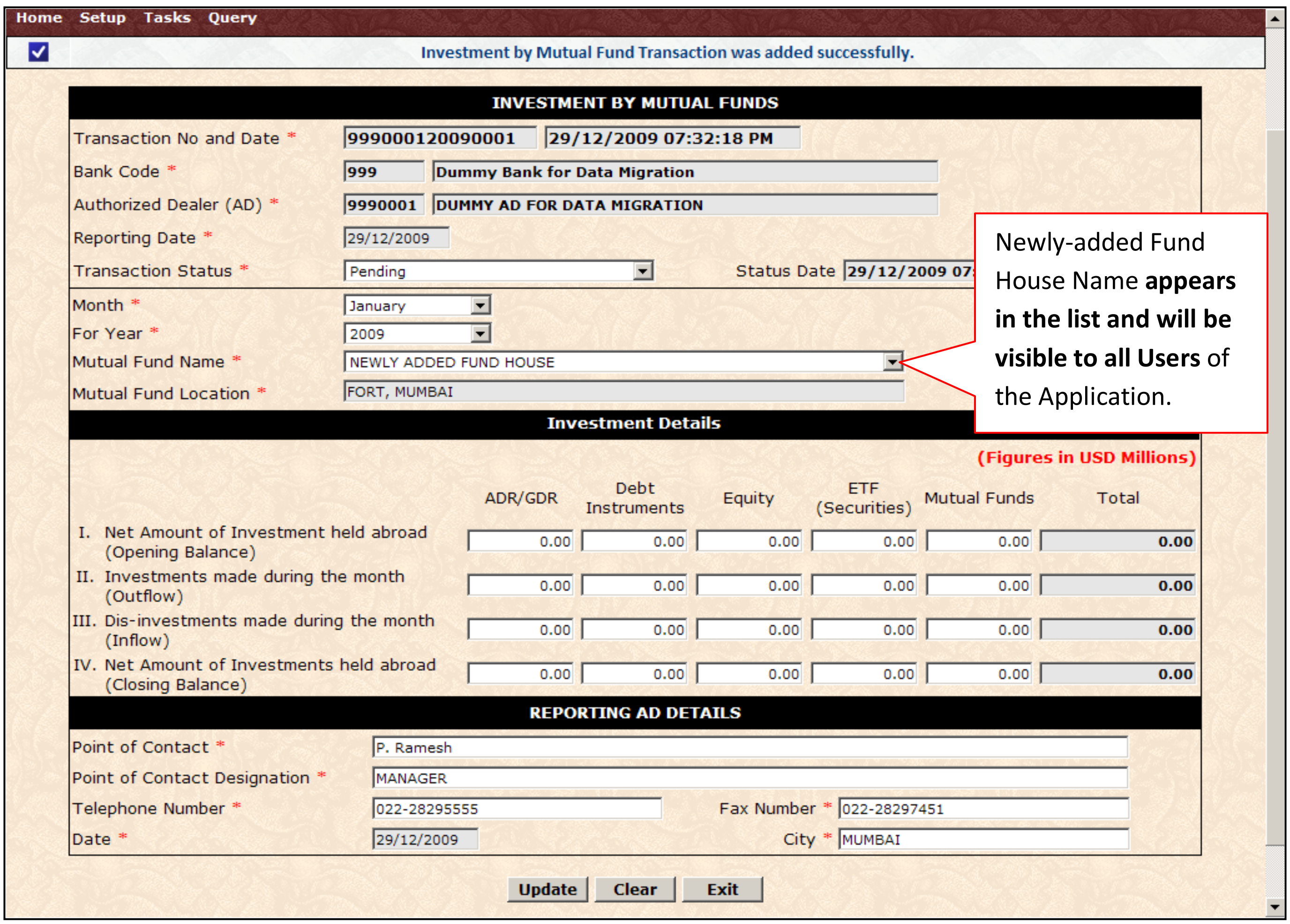



**Notes:**

- Before adding a new Mutual Fund House Name and Location, **please ensure that the Fund House Name does not already appear in the list provided.** Adding duplicate Fund House Names violates data integrity and may cause errors in reports.

- The newly entered Fund House will be **added to the Master table when you successfully save your Investment by Mutual Funds Transaction**. Subsequently, the **new name will appear in the list and will be visible to all users** of the Application.

| Investment by Mutual Funds Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **3** | ❖ After entering all required fields, click **Add**. | ❖ The Application successfully adds a new Investment by Mutual Funds Transaction record. The Transaction Number is generated and page changes to **UPDATE** mode, as shown below. If a new Mutual Fund House was added, it is inserted into the Master and appears in the list. |



| Investment by Mutual Funds Transaction – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **4** | ❖ If any data was wrongly entered, you can correct it and click **Update** button. | ❖ The Application saves your data successfully and returns the screen back to the same mode (**UPDATE**). |

| Investment by Mutual Funds Transaction – Submitting to RBI | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **5** | ❖ On the Transaction page, change the Transaction status from **PENDING** to **REPORTED/SUBMITTED TO RBI**. Click the **Update** button. | ❖ Application submits the data to RBI**. The data then becomes available to RBI.** Read-only permissions are applied to the page for Bank User. |

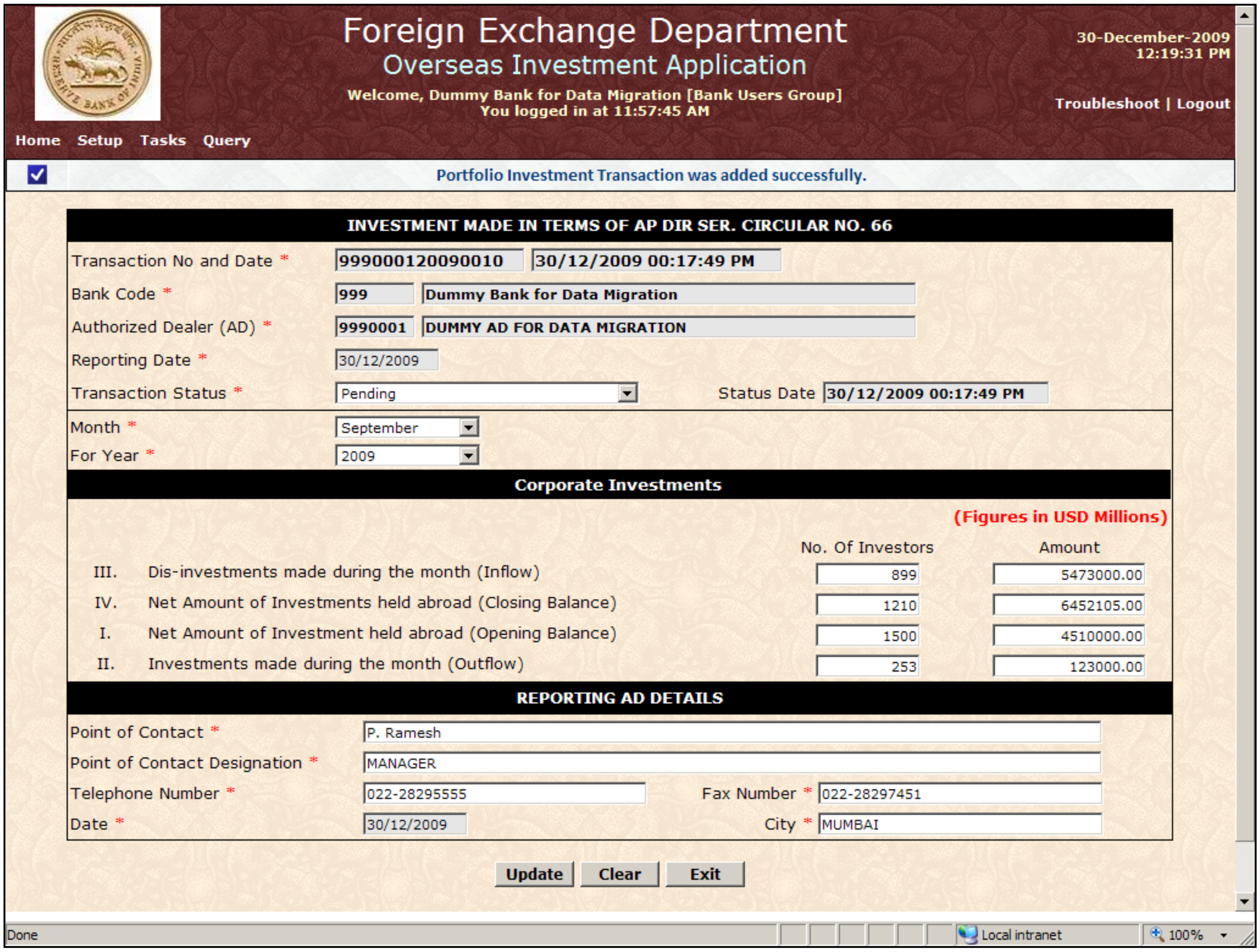
**Note:** As of now, no business validations are defined for this Transaction; and so **Investment by Mutual Funds Transactions do not require RBI ratification**.

## 5.11. Portfolio Investments (Under AP DIR Circular 66) Transaction

This screen is used to submit investment details made in terms of AP Dir series Circular No. 66. This Transaction needs to be submitted on a monthly basis by Authorized Dealers. If no investment is made during a month, the user can submit the Transaction without entering the amount fields. This will be treated as a NIL statement.

No approval is required from RBI users for these transactions submitted by ADs.

| Portfolio Investments (Under AP DIR Circular 66) Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 1 | ❖ Login to the OID Application with User Name **999** and Password **999**. (See Section **3.1** for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click the **Menu link** titled '**Portfolio Investments (Under AP DIR Circular 66)**' in **Tasks** menu item. | ❖ Application opens the **Portfolio Investments (Under AP DIR Circular 66) Transaction** page. |
| 2 | ❖ Enter all mandatory information. If there is no investment for the month, you can leave the '**Number of Investors**' and '**Amount**' fields to the default value of 0. Click **Add**. | ❖ The Application adds the new Portfolio Investments (Under AP DIR Circular 66) Transaction record. The Transaction Number is generated and page changes to **UPDATE** mode, as shown below. |




| Portfolio Investments (Under AP DIR Circular 66) Transaction – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **3** | ❖ If any data was wrongly entered, you can correct it and click **Update** button. | ❖ The Application saves your data successfully and returns the screen back to the same mode (**UPDATE**). |
| **Portfolio Investments (Under AP DIR Circular 66) Transaction – Submitting to RBI** | | |
| **Step Number** | **User Action** | **Application Response** |

| | | |
|---|---|---|
| **4** | ❖ On the Transaction page, change the Transaction status from **PENDING** to **REPORTED/SUBMITTED TO RBI**. Click the **Update** button. | ❖ Application submits the data to RBI. **The data then becomes available to RBI.** Read-only permissions are applied to the page for Bank User. |

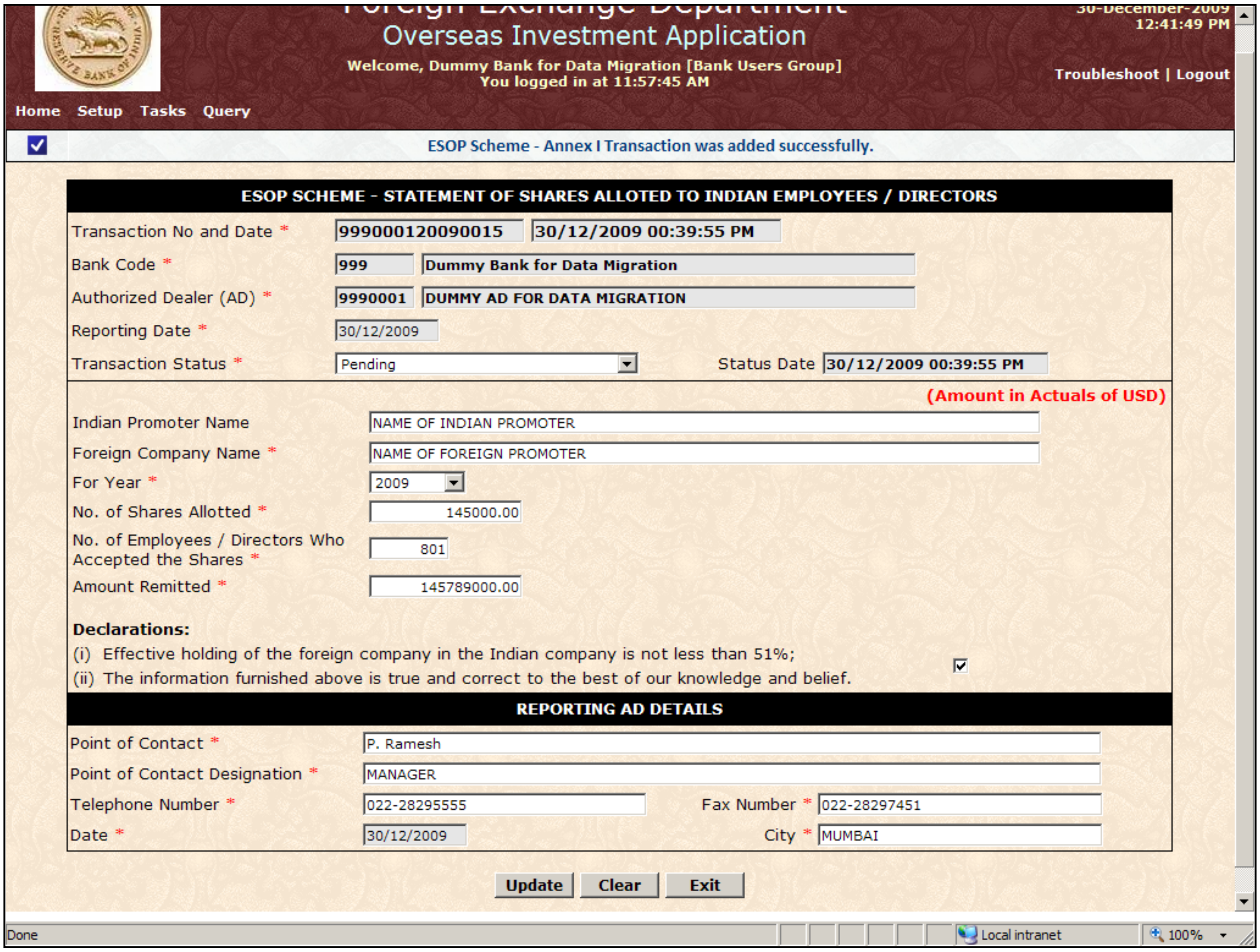
**Note:** As of now, no business validations are defined for this Transaction; and so **Portfolio Investment (Under AP DIR Circular 66) Transactions do not require RBI ratification**.

## 5.12. ESOP Scheme – Annexure I Transaction

This screen is used to inform RBI about the number of shares allotted by a Foreign Company to Indian employees belonging to an Indian company. This Transaction needs to be submitted annually.

**No approval is required from RBI users for these transactions submitted by ADs.**

| ESOP Scheme – Annexure I Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 1 | ❖ Login to the OID Application with User Name **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click the **Menu link** titled '**ESOP Scheme – Annexure I**' in **Tasks** menu item. | ❖ Application opens the **ESOP Scheme – Annexure I Transaction** page. |
| 2 | ❖ Enter all mandatory information and click **Add**. | ❖ The Application adds the new ESOP Scheme – Annexure I Transaction record. The Transaction Number is generated and page changes to **UPDATE** mode, as shown below. |




| ESOP Scheme – Annexure I Transaction – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **3** | ❖ If any data was wrongly entered, you can correct it and click **Update** button. | ❖ The Application saves your data successfully and returns the screen back to the same mode (**UPDATE**). |
| **ESOP Scheme – Annexure I Transaction – Submitting to RBI** | | |
| **Step Number** | **User Action** | **Application Response** |

| | | |
|---|---|---|
| **4** | ❖ On the Transaction page, change the Transaction status from **PENDING** to **REPORTED/SUBMITTED TO RBI**. Click the **Update** button. | ❖ Application submits the data to RBI. **The data then becomes available to RBI.** Read-only permissions are applied to the page for Bank User. |

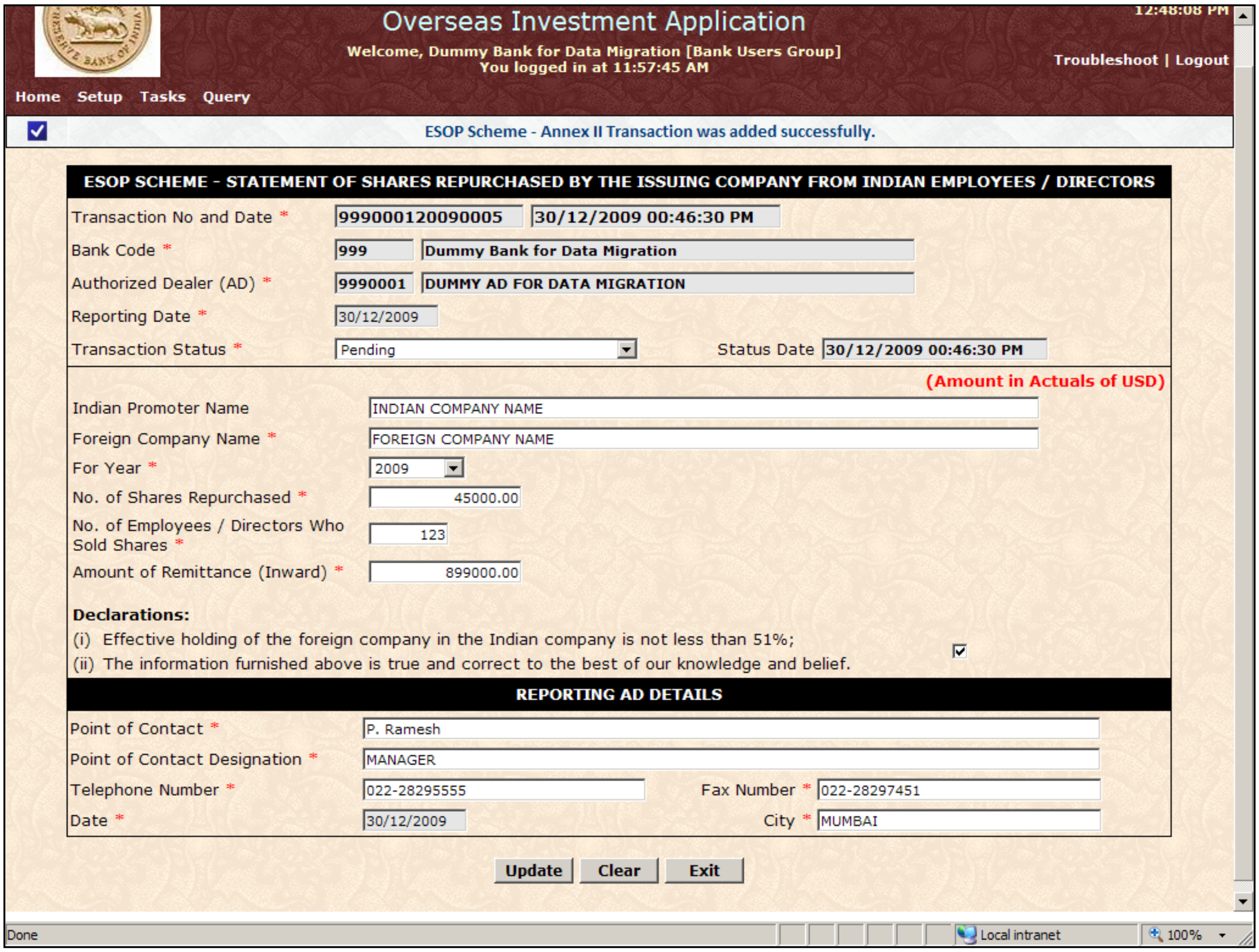
**Note:** As of now, no business validations are defined for this Transaction; and so **ESOP Scheme – Annexure I Transactions do not require RBI ratification**.

## 5.13. ESOP Scheme – Annexure II Transaction

This screen is used to inform RBI about the number of shares re-purchased by a Foreign Company from Indian employees and directors belonging to an Indian company. This Transaction needs to be submitted annually.

**No approval is required from RBI users for these transactions submitted by ADs.**

| ESOP Scheme – Annexure II Transaction – ADD Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 1 | ❖ Login to the OID Application with User Name **999** and Password **999**. (See Section 3.1 for help with login.) | ❖ Application successfully logs you in. |
| | ❖ Click the **Menu link** titled '**ESOP Scheme – Annexure II**' in **Tasks** menu item. | ❖ Application opens the **ESOP Scheme – Annexure II Transaction** page. |
| 2 | ❖ Enter all mandatory information and click **Add**. | ❖ The Application adds the new ESOP Scheme – Annexure II Transaction record. The Transaction Number is generated and page changes to **UPDATE** mode, as shown below. |




| ESOP Scheme – Annexure II Transaction – UPDATE Mode | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| 3 | ❖ If any data was wrongly entered, you can correct it and click **Update** button. | ❖ The Application saves your data successfully and returns the screen back to the same mode (**UPDATE**). |
| **ESOP Scheme – Annexure II Transaction – Submitting to RBI** | | |
| **Step Number** | **User Action** | **Application Response** |

| | | |
|---|---|---|
| **4** | ❖ On the Transaction page, change the Transaction status from **PENDING** to **REPORTED/SUBMITTED TO RBI**. Click the **Update** button. | ❖ Application submits the data to RBI. **The data then becomes available to RBI.** Read-only permissions are applied to the page for Bank User. |

**Note:** As of now, no business validations are defined for this Transaction; and so **ESOP Scheme – Annexure II Transactions do not require RBI ratification**.

# 6. WORKING WITH QUERIES

Query screens are provided to enable users search for Transactions that match a given set of criteria.

## 6.1. Accessibility Restrictions for Queries

Bank Users have restricted access to queries. The only option available from the Menu is '**View Transactions**', as shown below:

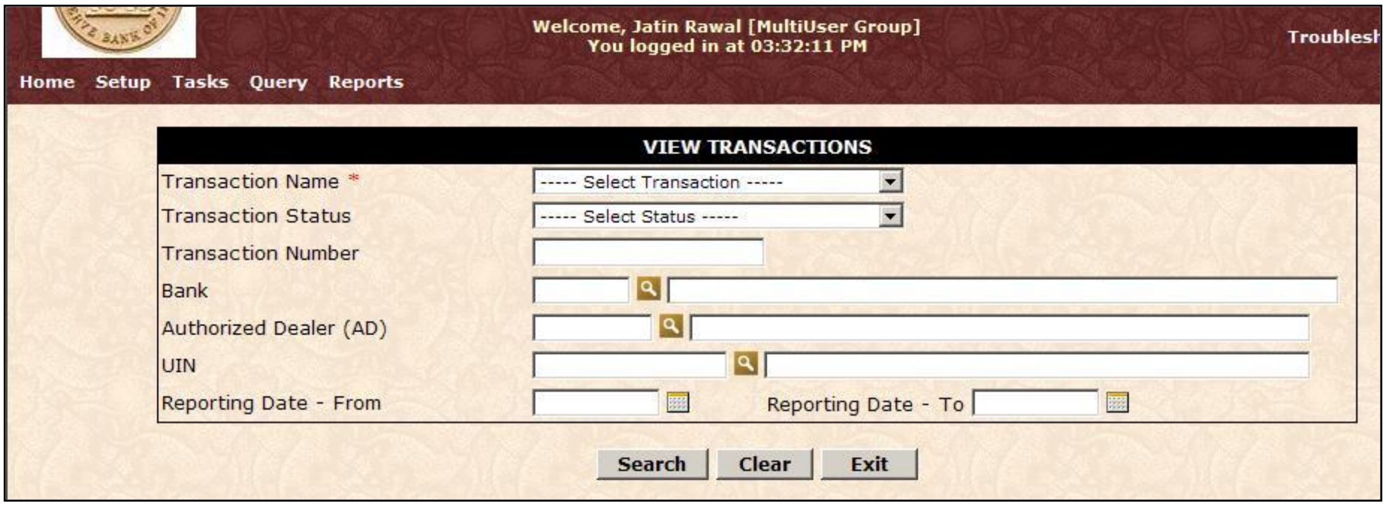

RBI Approving authorities have **unrestricted access** to all query options. The RBI User's menu is shown below:


## 6.2. View Transactions

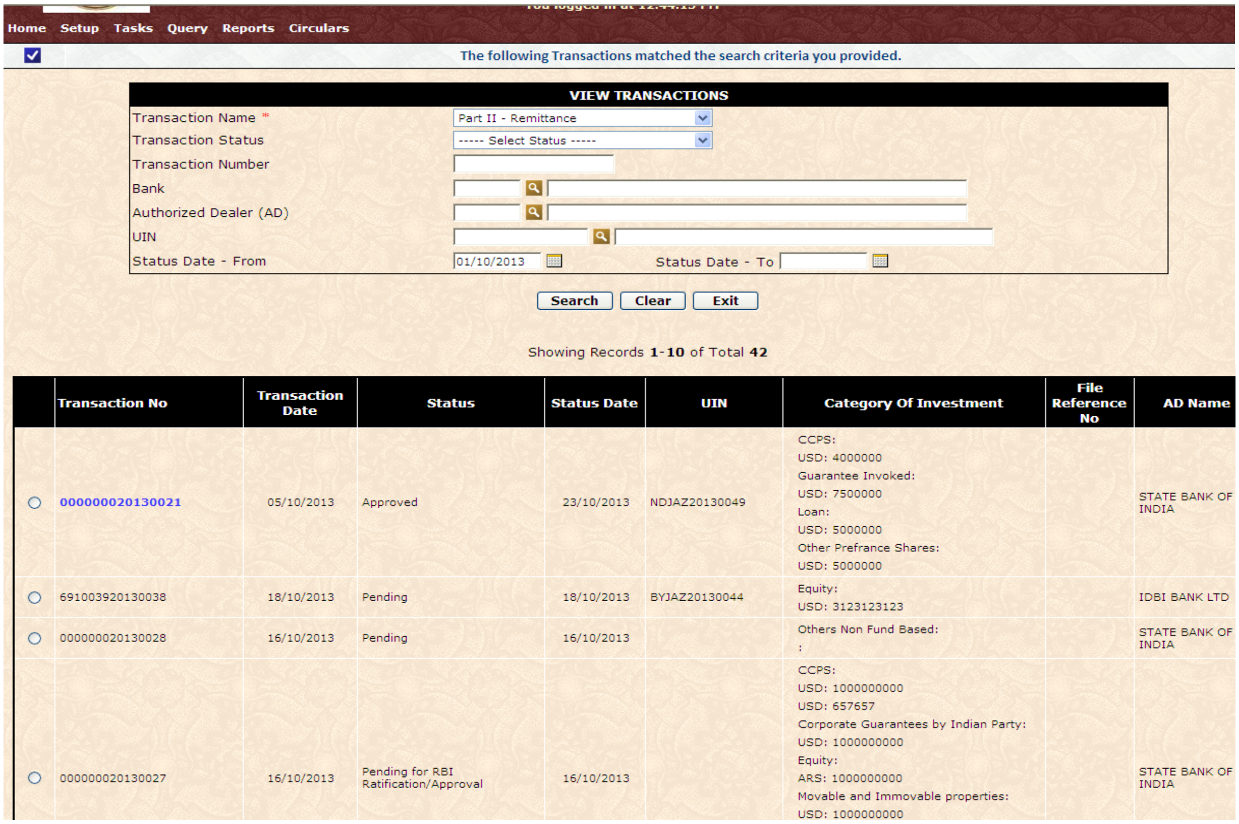
**This query option is available to all Users.** This option **searches for all Transactions that fulfill the user's criteria**. Matching Transactions are listed in the search results. The user may then select Transactions, one at a time, to view the data contained in that Transaction.

Bank Users have restricted access to this query option – they cannot change the Bank Code or Name. **In effect, they can only view Transactions reported by their Bank.** No restrictions apply to RBI Approver / Overrider profiles.

| View Transactions | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **1** | ❖ Click Query → View Transactions | ❖ The Application opens the query screen, as shown below: |




| View Transactions | | |
|---|---|---|
| **Step Number** | **User Action** | **Application Response** |
| **2** | ❖ Select the Transaction Name (mandatory). Optionally, you can provide the Status, Transaction Number, Bank Code (NA for Bank Users), Authorized Dealer Code, UIN and Reporting Date range. Click **Search**. | ❖ The Application performs a search using your criteria and shows the Transactions that matched, as shown below: |




**View Transactions**

| Step Number | User Action | Application Response |
|---|---|---|
| **3** | ❖ Select the Transaction you wish to open, and click **View Transaction**. | ❖ The Application opens the selected Transaction in a **new window**. Restricted permissions may apply to the Bank User depending on Transaction Status. |

**Notes:**

❖ The first time you click **View Transaction**, the selected Transaction will **open in a new browser window**. Subsequently, that same window will be used when you open another Transaction from the search results. That is, the **same browser window will be re-used**. This is done to **conserve computer resources**. **The implication of this is that, if you change data for a Transaction, and open another Transaction before you save the previous one, your changes will be lost. Hence, we recommend that you work with one Transaction at a time, and ensure you save the Transaction before opening another one from the search results.**

**No other query options are currently available to Bank Users.**

**~~~~~ END OF DOCUMENT ~~~~~**