Annexure 3

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1 MIS and Exception Report

1.1 MIS Reports

List of MIS reports for Monitoring & Surveillance is detailed below.

Report Type	Description	MIS Report
RP related MIS reports		
RP	► Aggregate count of RPs licensed or registered, renewed, cancelled, etc. repository-wise within a specified time period along with relevant details such as similar counts of warehouses acting as limited RPs and comparison to similar counts in the previous time period;	► Consolidated Monthly Report showing aggregate count of Active RP's repository-wise and location-wise with similar count for the corresponding previous period ► Consolidated Monthly Report showing aggregate count of Warehouses as RPs repository-wise and location-wise with similar count for the corresponding previous period ► Consolidated Quarterly Report showing aggregate count repository-wise and location-wise with similar count for the corresponding previous period ► Consolidated Monthly Report showing aggregate count of Warehouses as RPs, repository-wise and location-wise with similar count for the corresponding previous period
Depositor Account	► Aggregate count of depositor accounts created, suspended, blocked, cancelled, etc. created RP-wise within a specified time period and comparison to similar counts in the previous time period;	► Consolidated Monthly Report showing aggregate count of Active/Suspended/Under Scrutiny Depositors repository-wise with similar count for the corresponding previous period ► Consolidated Quarterly Report showing aggregate count of Active/Suspended/Under Scrutiny Depositors repository-wise with similar count for the corresponding previous period
Warehouse related MIS Reports		
Warehouse Registration	► Applications submitted but pending approval including warehouseman and warehouse name, date of submission, documentation status and inspection details; ► Warehouses registered within a specified time period along with relevant details such as location, capacity, status of	► Consolidated Monthly Report of Number of Warehouses Registered location-wise and aggregate capacity with similar count for the corresponding previous period ► Consolidated Monthly Report of Number of Warehouses Pending Approval by different Status (such as Inspection Pending) with similar count for the corresponding previous period ► Consolidated Quarterly Report of Number of Warehouses Registered

Report Type	Description	MIS Report
	inspection, registration fees, etc.	location-wise and aggregate capacity with similar count for the corresponding previous period ► Consolidated Quarterly Report of Number of Warehouses Pending Approval by different Status (such as Inspection Pending) with similar count for the corresponding previous period
Warehouse Renewal	► List of warehouses whose registration is expiring within a specified time period, e.g. 90 days; ► Renewal applications submitted by warehouses but pending approval; ► List of warehouses whose registration is expiring within a specified time period (e.g. 90 days) but have not submitted renewal application	► Monthly Report of aggregate count of Warehouses whose Registration has Expired with similar count for the corresponding previous period ► Quarterly Report of aggregate count of Warehouses whose Registration has Expired with similar count for the corresponding previous period ► Monthly Report of list of Warehouses Pending Renewal in 90 Days with information on whether renewal application has been submitted
Cancellation of Registration	► Cancellation applications submitted by warehouses but pending approval including current status, location of warehouse, reason for cancellation, date of submission, outstanding or open e-NWRs or WRs; ► List of warehouses whose registration has been cancelled within a specified time period	► Monthly report of aggregate count of warehouses that have cancelled or in the process of cancelling registration with similar count for the corresponding previous period ► Quarterly report of aggregate count of warehouses that have cancelled or in the process of cancelling registration with similar count for the corresponding previous period
Inspections	► List of inspection agencies empanelled along with relevant details such as validity, etc.; ► List of inspections pending within a specified time period (e.g. 90 days) along with relevant details such as warehouse to be inspected, inspection agency allocated, inspector name, etc.; ► List of inspections completed within a specified time period along with relevant details such as warehouse inspected, inspection agency name, inspector name, etc.;	► Consolidated Monthly Report of aggregate count of inspections conducted location-wise with similar count for the corresponding previous period ► Monthly Report of details of Inspection by all agencies ► Consolidated Quarterly Report of aggregate count of inspections conducted location-wise with similar count for the corresponding previous period ► Quarterly Report of details of Inspection by all agencies
Complaints & Disputes	► Complaints & Disputes filed against warehouses	► Consolidated Monthly report showing aggregate count of complaints filed, resolved, pending

Report Type	Description	MIS Report
	by depositors, repositories or other warehouses	by complainant type with similar count for the corresponding previous period ► Consolidated quarterly report showing aggregate count of complaints filed, resolved, pending by complainant type with similar count for the corresponding previous period
Warehouse Commodity Stock Position	► Annual & Monthly Commodity Stock Position warehouse-wise along with relevant details such as change in stock position from the previous time period (month or year)	► Consolidated Monthly Report showing commodities deposited & withdrawn across different warehouses with quantity and total market value with similar count for the corresponding previous period (sorted by quantity and total market value) ► Consolidated Quarterly Report showing commodities deposited & withdrawn across different warehouses with quantity and total market value with similar count for the corresponding previous period (sorted by quantity and total market value)
Warehouse Space Management	► Real-time reports showing space allocation & availability in warehouse	► Show space allocation in warehouse by stack (for warehouseman); ► Show warehouses where space available within specific area (for depositors);
Warehouse Quality Control Historical information	► On-demand report showing historical quality control information for a specific stack & lot in warehouse	► On-demand report showing historical quality control information including inspection & sampling parameters, categorization & classification
Repository related MIS Reports		
eNWR Issuance	► Daily & Monthly aggregate count of eNWRs issued warehouse-wise, total value; ► Daily & Monthly commodity-wise aggregate count of eNWRs issued with details such as commodity code & grade, total quantity, total value, etc.; ► Daily & Monthly location-wise aggregate count of eNWRs issued, total value, etc.; ► Daily & Monthly aggregate count of eNWRs issued repository-wise;	► Consolidated Monthly Report showing aggregate count of e-NWRs issued, transferred, pledged, de-pledged, delivered, expired with total value and with similar count for the corresponding previous period ► Consolidated Quarterly Report showing aggregate count of e-NWRs issued, transferred, pledged, de-pledged, delivered, expired with total value and with similar count for the corresponding previous period
eNWR Transfer	► Daily & Monthly aggregate count of eNWR transfers	

Report Type	Description	MIS Report
	depositor account-wise along with comparison to aggregate counts in the previous time period; ► Daily & Monthly aggregate count of eNWR transfers commodity-wise along with comparison to aggregate counts in previous time period; ► Daily & Monthly aggregate count of eNWR transfers repository-wise along with comparison to aggregate counts in previous time period;	
eNWR Pledge	► Daily & Monthly aggregate count of eNWR pledges pledgee-wise along with relevant details such as total value, etc.; ► Daily & Monthly aggregate count of eNWR pledges warehouse-wise along with relevant details such as total value, etc.; ► Daily & Monthly aggregate count of eNWR pledges pledgor-wise along with relevant details such as total value, etc.; ► Daily & Monthly aggregate count of eNWR pledges repository-wise along with relevant details such as total value, etc.;	
eNWR Delivery	► Daily & Monthly Aggregate count of eNWR deliveries warehouse-wise along with relevant details and comparison to similar counts in the previous time period; ► Daily & Monthly Aggregate count of eNWR deliveries repository-wise along with relevant details and comparison to similar counts in the previous time period; ► Daily & Monthly Aggregate count of eNWR deliveries depositor account-wise along with relevant details and comparison to similar counts in the previous time period;	
eNWR Expiry	► Daily & Monthly Aggregate count of eNWR expiry	

Report Type	Description	MIS Report
	warehouse-wise along with relevant details and comparison to similar counts in the previous time period; ► Daily & Monthly Aggregate count of eNWR expiry repository-wise along with relevant details and comparison to similar counts in the previous time period; ► Daily & Monthly Aggregate count of eNWR expiry depositor account-wise along with relevant details and comparison to similar counts in the previous time period;	
eNWR Auction	► Daily & Monthly Aggregate count of eNWR auctions warehouse-wise along with relevant details such as total value and comparison to similar counts in the previous time period; ► Daily & Monthly Aggregate count of eNWR auctions repository-wise along with relevant details such as total value and comparison to similar counts in the previous time period; ► Daily & Monthly Aggregate count of eNWR auctions pledgee-wise along with relevant details such as total value and comparison to similar counts in the previous time period;	
Complaints & Disputes	► Complaints & Disputes filed against repositories by depositors, other repositories or warehouses	► Consolidated Monthly report showing aggregate count of complaints filed, resolved, pending by complainant type with similar count for the corresponding previous period ► Consolidated quarterly report showing aggregate count of complaints filed, resolved, pending by complainant type with similar count for the corresponding previous period

1.2 Exception Reports

List of Exception Reports for Monitoring & Surveillance is detailed below.

Exception Reports
► Depositor doing transactions more than ⬠ 1 crore per month (value is configurable);   ► Warehouses issuing eNWRs greater than ⬠ 1 crore per day or ⬠ 10 crores per month (value is configurable);   ► eNWR expired but goods not collected from warehouse;   ► Non-compliance of periodic reporting by the repository;   ► Non-compliance of periodic reporting by the warehouse;   ► Inspection Agency reported discrepancies for warehouses;   ► Inspection not conducted as per the specified date;   ► Deposit of goods greater than a certain quantity;   ► List of complaints not resolved within the stipulated time period;   ► Monthly Report for Warehouses non-compliant with QC processes (not reporting or partially reporting QC data or not following QC processes);   ► Monthly Report for Warehouses showing degradation in category of commodity as per the Warehouse Quality Reporting;

1.3 Alerts

List of Event-based Alerts for Monitoring & Surveillance is detailed below.

Criteria	Description
High Value Transactions	Transactions above a certain quantity, for specific commodities, will be flagged and an instantaneous alert will be sent to WDRA.
Delivery of eNWR	► Delivery taken by any other person than the authorized person ► No delivery taken even after expiry of eNWR
Pledge of eNWR	The information flow of pledge of eNWR will be real time and the repository and warehouse will be immediately informed about the pledge for appropriate necessary action.
e-Auction	► When e-auction is conducted, WDRA will receive real time updates on the process right till the clearing and settlement is done and the transfer has been made to the winning bidder ► WDRA will receive the details of the e-auction including: · Quantity of Goods auctioned · Rate at which auction takes place · Excess/Deficit of Amount Owed to the Bank · Amount deposited by the bidders · eNWR details such as issuance, expiry, last holder, etc.
Exceeding capacity limit	In case the issue of Warehouse receipts and eNWRs exceeds the total registered capacity of warehouse, an immediate alert will be sent to WDRA.
e-NWR issuance by warehouse under observation	All e-NWRs issued, transferred, pledged, etc. by warehouses under observation

| Notification to warehouses | Notification to warehouse to renew insurance 90 days (configurable) prior to expiry |

1.3 Executive Dashboard

List of executive dashboards is detailed below.

Status & Operational Dashboard

Status and Operational Dashboard Reports
► Pending Applications for New Warehouse Registration ► Pending Applications for Renewal Warehouse Registration ► Total Warehouses Registered and Monthly/Yearly Comparison ► Monthly or Quarterly Report of aggregate count of RPs registered with different repositories ► Monthly report of Depositor Accounts across RP and Warehouses and Monthly/Yearly Comparison ► Total Capacity Registered and Monthly/Yearly Comparison ► Capacity Utilisation of Warehouses – Monthly Aggregated Report ► Monthly Inspections Conducted (General Inspections, Surprise Inspections, etc.) ► Aggregated Monthly eNWR Issuance (by Value and Volume) and Monthly/Yearly Comparison ► Aggregated Monthly eNWR Pledge Financing (by Value and Volume) and Monthly/Yearly Comparison ► Aggregated eNWR Issuances to Pledge Ratio (or Percentage) and Monthly/Yearly Comparison ► Aggregated Monthly eNWR Loan Default (by Value and Volume) and Monthly/Yearly Comparison ► Aggregated Monthly eNWR Auctions (by Value and Volume) and Monthly/Yearly Comparison. The data may also be segregated repository wise in case multiple repositories are operating in the market. ► Aggregated eNWR (by Value and Volume) Expired but no delivery taken ► Cumulative Extinguished eNWR – Monthly Report ► Top 10 Commodity with highest issuance of eNWR ► Monthly Status of Grievances – (Received, In Process, Resolved)

Financial Dashboard

Financial Dashboard Reports
► Grants Received from Government ► Registration Fees from Repositories ► Registration Fees from Warehouses ► Renewal Fees from Warehouses ► Revenue Sharing from Repositories ► Different categories of Expenses of WDRA ► Ticker of commodity prices aggregated from Agmark.net

Regulatory Collaboration Dashboard

Regulatory Collaboration Dashboard Reports
► eNWR traded on exchanges (by Value and Volume) and Monthly/Yearly Comparison, and Status of Settlements ► eNWR Pledged with Banks (by Value and Volume) and Monthly/Yearly Comparison ► Default on eNWR pledged (by Value and Volume) and Monthly/Yearly Comparison ► eNWR Auctions (by Value and Volume) and Monthly/Yearly Comparison.