



# National Seminar On Corporate Compliance Management

March 29, 2006  
Napoleon Hall, Hotel Le Meridien, Janpath, New Delhi.



# Case Study on *Corporate Compliance Management*

Presented by

V.Pashupati Kumar, CFO  
Shujath Bin Ali, AM (Corporate Affairs, Legal & Tax)

Deloitte Consulting India Private Limited, Hyderabad

## Key Drivers

- What originated the need for implementing a Legal Compliance Management Framework?
- Cost of Non-compliance
- Reputation risk
- Automation
- Compliance Awareness with predictability
- Responsibility Fixing
- Compliance Monitoring
- Why E-based Compliance Management Tool?

## Way Towards Implementation.....

- Identification and analysis of applicable laws and compliances
- Responsibility Fixing
  - Function Wise  
(Finance/Tax/HR/IT/Operations/Commercial/Corporate Affairs)
  - Owner wise (Primary and Secondary owners)
- Using IT and a Web-Based approach for Compliance Management
- Used eRoom Technology- Web based Application
- Communication and Training on Technology and Compliance Framework

## Web Based e-room technology

- eRoom to contain
  - Compliance Calendar-Reminder Mechanism
  - Compliance Reporting Mechanism-Tasks
  - Escalations and Exception reporting
  - Repository of important information for compliance awareness
- Integration with email client
- Access control & Security



Let's see how this works...

Deloitte OnLine - Microsoft Internet Explorer

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Fields in **Bold** are required.

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ashujath

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Member support

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Security | Legal | Privacy

start

4 W...

8 M...

Blue ...

2 W...

Micro...

Deloi...

Internet

5:01 PM

Audit.Tax.Consulting.Financial Advisory.

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**R10 Legal Compliance Management**

Ali Bin Shujath, Welcome to Deloitte OnLine

My eRooms > R10 Legal Compliance Management

## R10 Legal Compliance Management [edit](#)

an eRoom created on 1 Feb 06

[create](#) [search](#) [events](#) [members](#)

# staycompliant

culture of compliance

**"R10 Legal Compliance framework aims to be a sustainable tool for maintaining higher standards of Corporate Governance and Compliance Risk Management".**

R10 Legal

- 1.Introduction
- 2.Finance Module
- 3.Procurement Module
- 4.Operations Module
- 5.Human Resources Module
- 6.ITS Module
- 7. Corporate Affairs
- Demo
- Recycle Bin

[create](#) [add file](#) [mark read](#) [commands](#)



2.Finance Module - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Search Web Bookmarks My Yahoo! Yahoo! Games Mail

Address [https://er8.deloitteonline.com/eRoom/Region10/R10LegalComplianceFramework/0\\_b441](https://er8.deloitteonline.com/eRoom/Region10/R10LegalComplianceFramework/0_b441) Go Links

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**R10 Legal Compliance Management**

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My eRooms > R10 Legal Compliance Management > 2.Finance Module

## 2.Finance Module [edit](#)

a folder created by Ali Bin Shujath on 4 Feb 06

**create**

- Income Tax
- Profession Tax
- Provident Fund
- Service Tax
- STPI, Excise and Customs

create add file mark read commands

**Comments**

[add a comment](#) [take a vote](#)

start R Co... 6 M... 2 I... C:\D... 2 M... Adob... Blue ... 12:39 PM

Income Tax - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites

Address [https://er8.deloitteonline.com/eRoom/Region10/R10LegalComplianceFramework/0\\_ec0b](https://er8.deloitteonline.com/eRoom/Region10/R10LegalComplianceFramework/0_ec0b) Go Links

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**R10 Legal Compliance Management**

Ali Bin Shujath, Welcome to Deloitte OnLine

My eRooms > R10 Legal Compliance Management > 2.Finance Module > Income Tax

**Income Tax** edit

a folder created by Varun1 Gupta on 21 Mar 06

create

Compliance Calendar-  
Income Tax

Compliance Tasks-Income  
Tax

create add file mark read commands

Comments

add a comment take a vote

Done Internet

start 19 M 7 L 2 W 2 W 6 M Mic... Mic... Ad... 4:57 PM

Compliance Calendar-Income Tax - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites

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**R10 Legal Compliance Management**

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My eRooms > R10 Legal Compliance Management > 2.Finance Module > Income Tax > Compliance Calendar-Income Tax

**Compliance Calendar-Income Tax** edit

a calendar created by Varun1 Gupta on 21 Mar 06

new event search mine go today Export Calendar

February		March 2007					April
Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday	
26	27	28	1 March	2	3 Reminder for Payment of TDS (Non-Payroll) Reminder for Payment of TDS (Payroll)	4	
5	6	7 Payment of TDS (Non-Payroll) Payment of TDS (Payroll)	8	9	10	11 Reminder for Payment of Advance Tax Reminder for Payment of FBT	
12	13	14	15 Payment of Advance Tax Payment of FBT	16	17	18	
19	20	21	22	23	24	25	

start 19 M 7 L 2 W 2 W 6 M Mic... Mic... Ad... 4:59 PM

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**R10 Legal Compliance Management**

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My eRooms > R10 Legal Compliance Management > 2.Finance Module > Income Tax > Compliance Calendar-Income Tax > Reminder for Payment of TDS (Non-Payroll)

## Reminder for Payment of TDS (Non-Payroll) [edit](#)

an event created by [Varun1 Gupta](#) on 7 Oct 06

Start time	3 Mar 07
Duration	
Participating eRoom members	Varun1 Gupta, Devnath Iyengar, Srivalli Kandula, Pashupati Kumar, Balaji Rajagopal, Ali Bin Shujath
Participating non-members	

TDS deducted from non-payroll related payments to be paid by the 7th of the month.

### Attachments

create add file mark read commands

### Comments

[add a comment](#) [take a vote](#)

[change](#)  
Ganesh, Sri (US - Hyderabad)  
has just signed in.

Calendar - Microsoft Outlook

File Edit View Go Tools Actions Help

Back

Forward

Home

Outlook

outlook:Calendar

New

Today

Day

Work Week

Week

Month

Type a question for help

Back

Forward

Print

Refresh

Day/Week/Month View With A

Report as Spam

Calendar

March 2007

S	M	T	W	T	F	S
25	26	27	28	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

April 2007

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	1	2	3	4	5
6	7	8	9	10	11	12

My Calendars

Calendar (1)

Open a Shared Calendar...

Share My Calendar...

Mail

Calendar

Contacts

Tasks

Calendar

March 03, 2007

Saturday, March 03

Reminder for Payment of TDS (Non-Payroll)

Reminder for Payment of TDS (Payroll)

7 am

8<sup>00</sup>

9<sup>00</sup>

10<sup>00</sup>

11<sup>00</sup>

12 pm

1<sup>00</sup>

2<sup>00</sup>

3<sup>00</sup>

4<sup>00</sup>

5<sup>00</sup>

6<sup>00</sup>

7<sup>00</sup>

2 Items

All folders are up to date. Connected

start

12 M...

6 In...

2 W...

2 W...

6 Mi...

Micro...

Micro...

4:28 PM

Calendar - Microsoft Outlook

File Edit View Go Tools Actions Help

Back

Forward

Home

Outlook

outlook:Calendar

New

Today

Day

5 Work Week

7 Week

31 Month

Type a question for help

Back

Forward

Print

Find

Refresh

Day/Week/Month View With A

Report as Spam

Calendar

March 2007

S	M	T	W	T	F	S
25	26	27	28	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

April 2007

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	1	2	3	4	5
6	7	8	9	10	11	12

My Calendars

Calendar (1)

Open a Shared Calendar...

Share My Calendar...

Mail

Calendar

Contacts

Tasks

Calendar

March 07, 2007

Wednesday, March 07

Payment of TDS (Non-Payroll)

Payment of TDS (Payroll)

7 am

8<sup>00</sup>

9<sup>00</sup>

10<sup>00</sup>

11<sup>00</sup>

12 pm

1<sup>00</sup>

2<sup>00</sup>

3<sup>00</sup>

4<sup>00</sup>

5<sup>00</sup>

6<sup>00</sup>

4 Items

All folders are up to date. Connected

start

12 M...

6 In...

2 W...

2 W...

6 Mi...

Micro...

Micro...

4:29 PM

R10 Legal Compliance Management eRoom report, 11 Mar 07 - Message (HTML)

File Edit View Insert Format Tools Actions Help

Reply
 Reply to All
 Forward

Follow up

From: Deloitte OnLine [DOLServer@Deloitte.com]

To: Shujath, Ali Bin (US - Hyderabad)

Cc:

Subject: R10 Legal Compliance Management eRoom report, 11 Mar 07

Sent: Mon 3/12/2007 4:41 AM

R10 Legal Compliance Management eRoom report, 11 Mar 07

Overall status

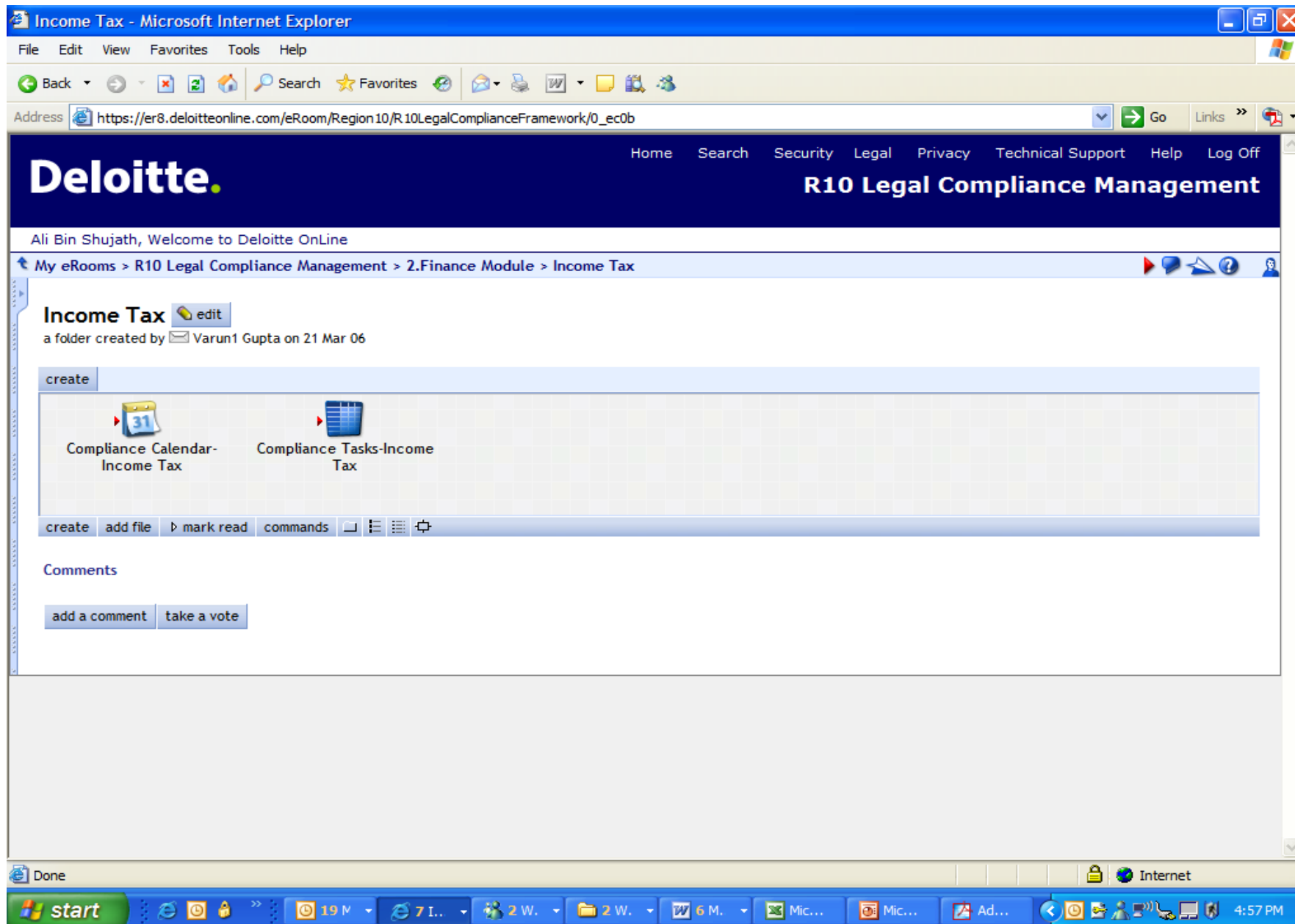
To stop receiving this report, change your [notification settings](#).

Upcoming Events

event	calendar	date	time	repeats
Reminder for Filing of Form 5 & 10	Compliance Calendar- Provident Fund	11 Mar 07		
Reminder for Payment of PF	Compliance Calendar- Provident Fund	11 Mar 07		
Reminder for Payment of Advance Tax	Compliance Calendar-Income Tax	11 Mar 07		
Reminder for Payment of FBT	Compliance Calendar-Income Tax	11 Mar 07		

This report was generated automatically by Documentum eRoom.

start
22 M
6 I...
2 W.
2 W.
6 M..
Micr...
Micr...
Ado...
5:20 PM





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**R10 Legal Compliance Management**

Ali Bin Shujath, Welcome to Deloitte OnLine

My eRooms &gt; R10 Legal Compliance Management &gt; 2.Finance Module &gt; Income Tax &gt; Compliance Tasks-Income Tax

**Compliance Tasks-Income Tax** edit

a database created by Varun1 Gupta on 21 Mar 06

new entry

The Tasks database template is designed to synchronize with Microsoft Outlook task lists.

	Task	Description	Primary Responsibility	Secondary Responsibility	Observer	Due	Complied (Yes/No)	Compliance Date	Reasons for Variance,
	Payment of TDS (Non-Payroll)	Section 200 and Rule 30	Srivalli Kandula	Devnath Iyengar, Balaji Rajagopal	PK, ABS	✓ 7 Sep 2006	Yes	5 Sep 2006	
	Payment of TDS (Payroll)	Section 200 and Rule 30	Sowbhagya Tanneru	Sri Prasad Mohan Ankem	PK, ABS	✓ 7 Sep 2006	Yes	6 Sep 2006	
	Payment of Advance Tax	Section 211	Divya Baru, Siva Sunder Rajan	Devnath Iyengar, Balaji Rajagopal	PK, ABS	✓ 15 Sep 2006	Yes	13 Sep 2006	
	Payment of TDS (Non-Payroll)	Section 200 and Rule 30	Srivalli Kandula	Devnath Iyengar, Balaji Rajagopal	PK, ABS	✓ 7 Oct 2006	Yes	6 Oct 2006	

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OK

Next

Add Another

Cancel

## Payment of TDS (Non-Payroll)

**Edit Database Entry**

Task

Payment of TDS (Non-Payroll)

Description

Section 200 and Rule 30

Primary Responsibility

Srivalli Kandula

Secondary Responsibility

Devnath Iyengar, Balaji Rajagopal

Observer

Pashupati Kumar, Ali Bin Shujath

Due

9/7/2006

☒ Done

Complied (Yes/No)

Yes

Compliance Date

9/5/2006



Reasons for Variance, if any

 For more information, see [To add a database entry.](#)

Payment of TDS (Non-Payroll) - Microsoft Internet Explorer

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### R10 Legal Compliance Management

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My eRooms > R10 Legal Compliance Management > 2.Finance Module > Income Tax > Compliance Tasks-Income Tax > Payment of TDS (Non-Payroll)

#### Payment of TDS (Non-Payroll) [edit](#)

a database entry created by [Varun1 Gupta](#) on 20 Sep 06

next	summary
Task	Payment of TDS (Non-Payroll)
Description	Section 200 and Rule 30
Primary Responsibility	Srivalli Kandula
Secondary Responsibility	Devnath Iyengar, Balaji Rajagopal
Observer	Pashupati Kumar, Ali Bin Shujath
Due	✓ 7 Sep 2006
Complied (Yes/No)	Yes
Compliance Date	5 Sep 2006
Reasons for Variance, if any	
Attachment (upload the supporting document)	 Aug 06- Challans.pdf
Discussion	<a href="#">create</a> <a href="#">add file</a> <a href="#">mark read</a> <a href="#">commands</a> <a href="#">add a comment</a> <a href="#">take a vote</a>

start 6 Mi... 2 Int... C:\Do... 2 Mi... Adobe... Blue P... 12:55 PM

**Taxpayers Counterfoil** (To be filled up by tax payer)

TAN

Received from

Cash/ Debit to A/c /Cheque No.  Rs.

Rs. (in words)

Drawn on   
(Name of the Bank and Branch)

Company ☒ Non- Company ☐ Deducte

on account of Tax Deducted at Source (TDS) from   
(Strike out whichever is not applicable )

for the Assessment Year -  -

**SPACE FOR BANK SEAL**  
NIFT, E.C. MADHAPUR, HYD - 8  
BSR 3360008  
DEPOSIT DATE 05/09/06  
SERIAL No. 00109  
Qms  
Rs.  MANAGER



From: Deloitte OnLine [DOLServer@Deloitte.com]

Sent: Fri 3/2/2007 4:49 AM

To: Shujath, Ali Bin (US - Hyderabad)

Cc:

Subject: R10 Legal Compliance Management eRoom report, 1 Mar 07

#### R10 Legal Compliance Management eRoom report, 1 Mar 07

##### Overall status

To stop receiving this report, change your [notification settings](#).

##### Overdue

entry	database	days overdue
TAX: Preparation of Feb 22, 07 Board Meeting Minutes	Post Board Meeting Actions	1

##### Upcoming Events

event	calendar	date	time	repeats
Reminder for Payment of TDS (Non-Payroll)	Compliance Calendar-Income Tax	3 Mar 07		
Reminder for Payment of TDS (Payroll)	Compliance Calendar-Income Tax	3 Mar 07		
Reminder for payment of Profession Tax	Compliance Calendar-Profession Tax	3 Mar 07		
Reminder for Payment of Service Tax	Compliance Calendar-Service Tax	1 Mar 07		
Filing of Monthly Softex Form	Compliance Calendar-STPI, Excise and Customs	2 Mar 07		

##### New Information and Changes

##### Compliance Tasks-Service Tax

Payment of Service Tax	changed entry	Divya Baru
------------------------	---------------	------------

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Provident Fund - Microsoft Internet Explorer

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## R10 Legal Compliance Management

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My eRooms > R10 Legal Compliance Management > 2.Finance Module > Provident Fund

### Provident Fund [edit](#)

a folder created by Varun1 Gupta on 23 Mar 06

[create](#)

Compliance Tasks-  
Provident Fund

Compliance Calendar-  
Provident Fund

A.Compliance Infoway-  
Provident Fund Act

[create](#) [add file](#) [mark read](#) [commands](#)

#### Comments

[add a comment](#) [take a vote](#)

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start 12 M 3 M... 2 W... Micr... 3 W... Ado... Pro... 11:21 AM

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## R10 Legal Compliance Management

Ali Bin Shujath, Welcome to Deloitte OnLine

My eRooms > R10 Legal Compliance Management > 2.Finance Module > Provident Fund > A.Compliance Infoway-Provident Fund Act

### A.Compliance Infoway-Provident Fund Act [edit](#)

a folder created by Ali Bin Shujath on 22 Feb 06

create				
Name	Modified	Owner	Size	
<input type="checkbox"/> 1. PF Registration Documents.PDF	24 Feb 06 4:35pm	Ali Bin Shujath	1521 k	
<input type="checkbox"/> 2. PF Compliance Check List.xls	24 Feb 06 5:21pm	Ali Bin Shujath	24 k	
<input type="checkbox"/> 3. Inspection Powers & Statutory Records.pdf	24 Feb 06 5:11pm	Ali Bin Shujath	24 k	
<input type="checkbox"/> For any legal queries on PF	24 Feb 06 5:38pm	Ali Bin Shujath		
<input type="checkbox"/> Important Web Links.pdf	29 Mar 06 9:43pm	Ali Bin Shujath	102 k	
<input type="checkbox"/> Legal Updates.pdf	30 Mar 06 1:23pm	Ali Bin Shujath	742 k	

create add file access notification

select all cut copy copy link paste delete mark read mark unread

#### Comments

[add a comment](#) [take a vote](#)



AP/STY& Stores/99-2000/Ptg/99/33-15,000



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ఈ దరఖాస్తు ఫారము ఉచితముగా సరఫరా చేయబడును  
Grams : Bhavishyanidhi  
Phone : 664571-08  
Telex No. : 0426-6641  
Fax No. : 040-661977

REGISTERED POST ACK. DUE

**OFFICE OF THE REGIONAL PROVIDENT FUND COMMISSIONER**  
**ANDHRA PRADESH, Bhavishyanidhi Bhavan, 3-4-763, Barkatpura, HYDERABAD-500 027.**

No. /AP/HY/37885 /Enl/Cir-II/2-V/2000/4657 Dated. 29/9/2000

To

Srl Jagdish Paulabi, Director,  
M/s. Deloitte Consulting India Pvt Ltd,  
Building 'C' Plot no-17,  
Software Units layout,  
M. V. Road, D. D. Road.



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My eRooms > R10 Legal Compliance Management > 2.Finance Module > Provident Fund > A.Compliance Infoway-Provident Fund Act

## A.Compliance Infoway-Provident Fund Act [edit](#)

a folder created by Ali Bin Shujath on 22 Feb 06

create				
Name	Modified	Owner	Size	
<input type="checkbox"/> 1. PF Registration Documents.PDF	24 Feb 06 4:35pm	Ali Bin Shujath	1521 k	
<input type="checkbox"/> 2. PF Compliance Check List.xls	24 Feb 06 5:21pm	Ali Bin Shujath	24 k	
<input type="checkbox"/> 3. Inspection Powers & Statutory Records.pdf	24 Feb 06 5:11pm	Ali Bin Shujath	24 k	
<input type="checkbox"/> For any legal queries on PF	24 Feb 06 5:38pm	Ali Bin Shujath		
<input type="checkbox"/> Important Web Links.pdf	29 Mar 06 9:43pm	Ali Bin Shujath	102 k	
<input type="checkbox"/> Legal Updates.pdf	30 Mar 06 1:23pm	Ali Bin Shujath	742 k	

create	add file	access	notification										
select all	cut	copy	copy link	paste	delete	mark read	mark unread						

Comments

[add a comment](#) [take a vote](#)

► Sheet1 / Sheet2 / Sheet3 /

A.Compliance Infoway-Provident Fund Act - Microsoft Internet Explorer

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A.Compliance Infoway-Provident Fund Act

edit

a folder created by Ali Bin Shujath on 22 Feb 06

create

Name	Modified	Owner	Size
<input type="checkbox"/> 1. PF Registration Documents.PDF	24 Feb 06 4:35pm	Ali Bin Shujath	1521 k
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<input type="checkbox"/> 3. Inspection Powers & Statutory Records.pdf	24 Feb 06 5:11pm	Ali Bin Shujath	24 k
<input type="checkbox"/>	24 Feb 06 5:38pm	Ali Bin Shujath	
For any legal queries on PF			
<input type="checkbox"/> Important Web Links.pdf	29 Mar 06 9:43pm	Ali Bin Shujath	102 k
<input type="checkbox"/> Legal Updates.pdf	30 Mar 06 1:23pm	Ali Bin Shujath	742 k

create

add file

access

notification

select all

cut

copy

copy link

paste

delete

mark read

mark unread

Comments

add a comment

take a vote

(16 items remaining) Opening page https://er8.deloitteonline.com/eRoom/Region10/R10LegalComplianceFramework/0\_e4b6...

Internet

start

12 M

3 M..

2 W..

Micr...

3 W...

Ado...

A.C...

11:22 AM

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Save a Copy Print Email Search Review & Comment Sign

Select Text 121%

# Inspection Powers & Statutory Records

## Inspection Powers of Authority

According to Section 13 an Inspector may

- Ask an employer to furnish such information as he may consider necessary at any reasonable time where the in the establishment
- To make copies of or take extracts from any book, register or document maintained
- If Inspector has reason to believe that any offence under this Act has been committed by an employer, seize with such assistance may he think fit, such book, register or other document or portions he may consider relevant in respect of that offence.

## Statutory Records

An employer is required to keep the wage book/register and EPF records which contain details of the employees as listed below for a minimum of six years from

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## A.Compliance Infoway-Provident Fund Act [edit](#)

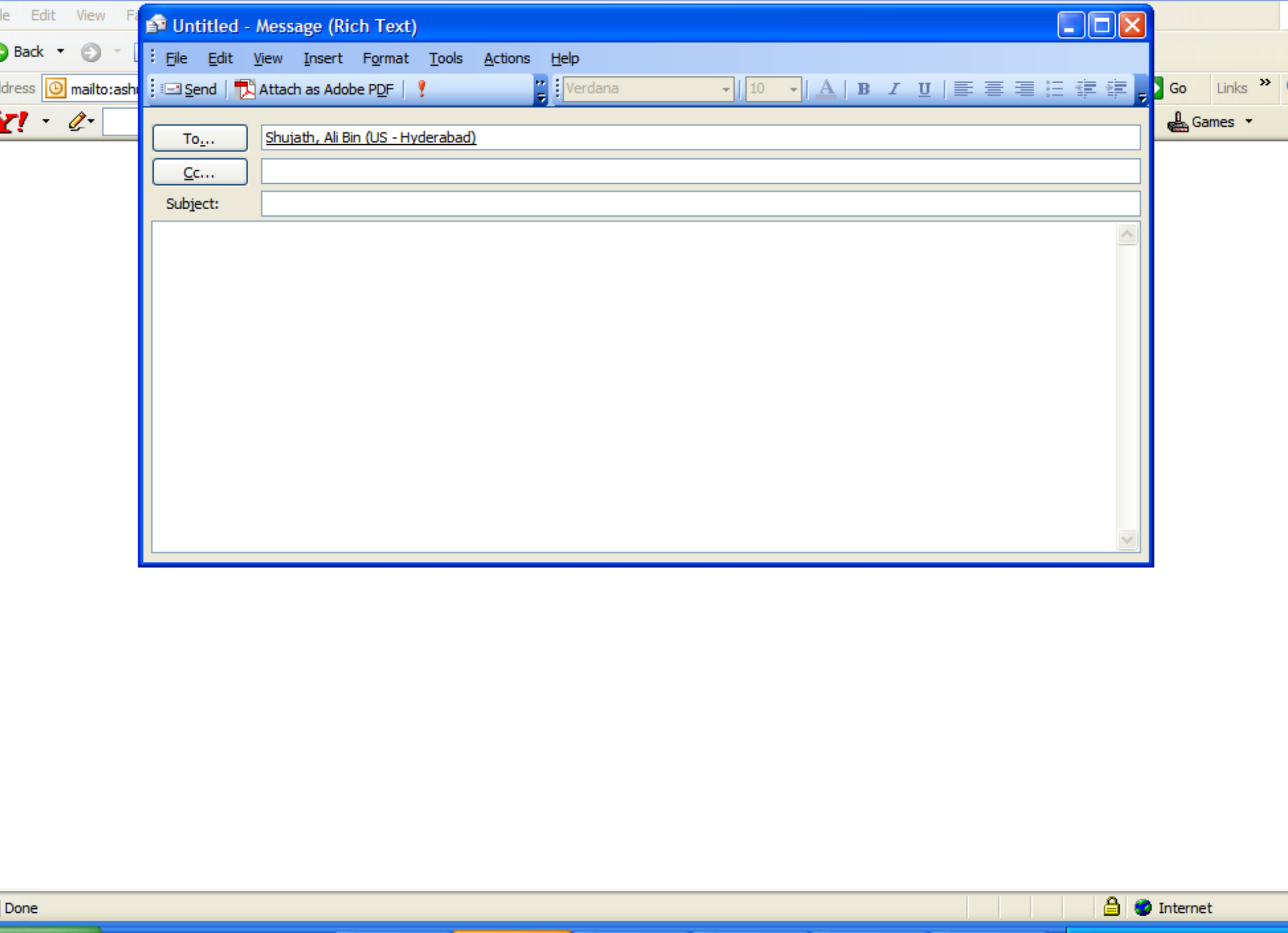
a folder created by Ali Bin Shujath on 22 Feb 06

create				
Name	Modified	Owner	Size	
<input type="checkbox"/> 1. PF Registration Documents.PDF	24 Feb 06 4:35pm	Ali Bin Shujath	1521 k	
<input type="checkbox"/> 2. PF Compliance Check List.xls	24 Feb 06 5:21pm	Ali Bin Shujath	24 k	
<input type="checkbox"/> 3. Inspection Powers & Statutory Records.pdf	24 Feb 06 5:11pm	Ali Bin Shujath	24 k	
<input type="checkbox"/> For any legal queries on PF	24 Feb 06 5:38pm	Ali Bin Shujath		
<input type="checkbox"/> Important Web Links.pdf	29 Mar 06 9:43pm	Ali Bin Shujath	102 k	
<input type="checkbox"/> Legal Updates.pdf	30 Mar 06 1:23pm	Ali Bin Shujath	742 k	

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**R10 Legal Compliance Management**

Ali Bin Shujath, Welcome to Deloitte OnLine

My eRooms > R10 Legal Compliance Management > 2.Finance Module > Provident Fund > A.Compliance Infoway-Provident Fund Act

## A.Compliance Infoway-Provident Fund Act [edit](#)

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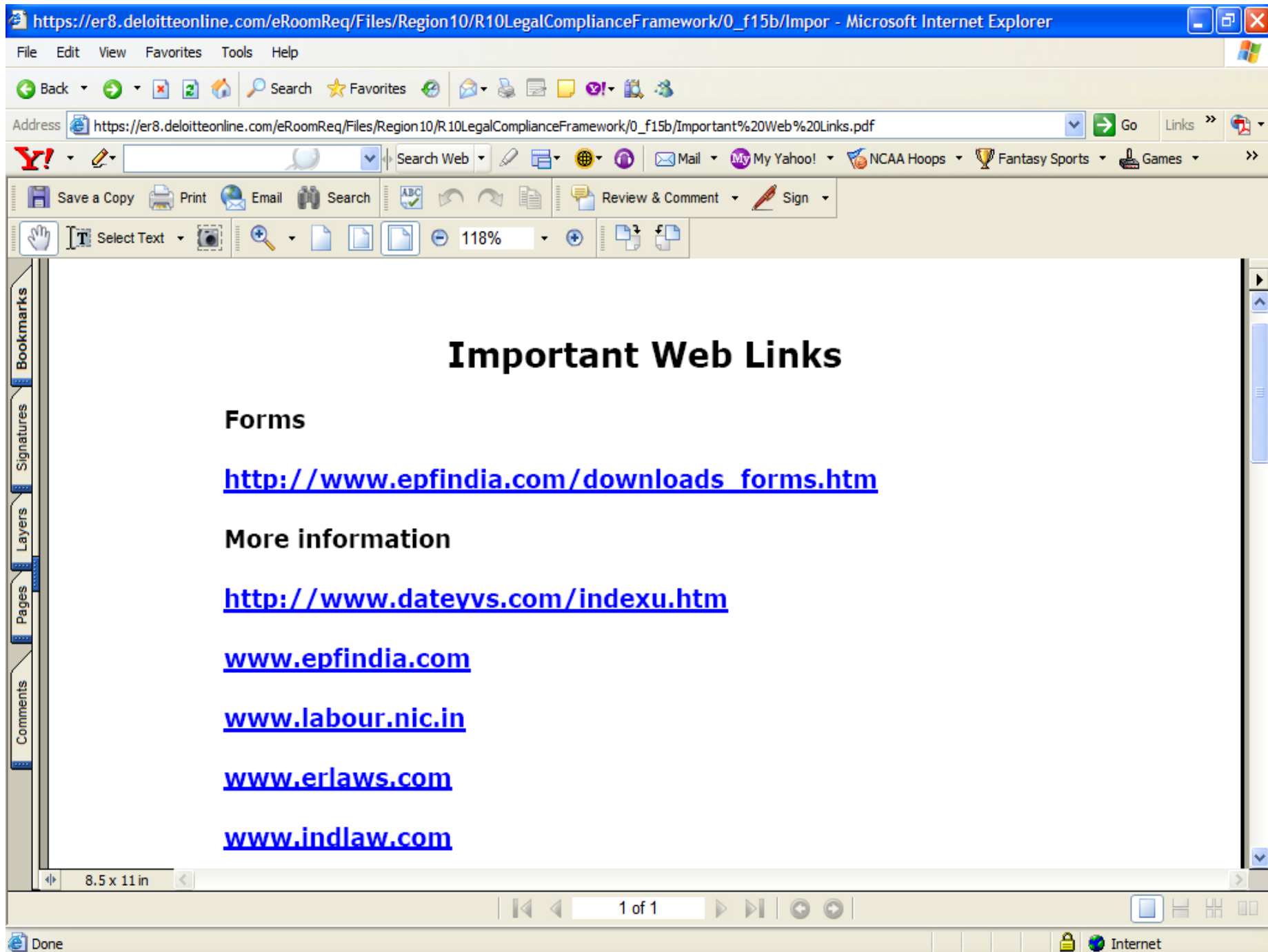
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<input type="checkbox"/> 2. PF Compliance Check List.xls	24 Feb 06 5:21pm	Ali Bin Shujath	24 k	
<input type="checkbox"/> 3. Inspection Powers & Statutory Records.pdf	24 Feb 06 5:11pm	Ali Bin Shujath	24 k	
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### FORMS FOR CLAIMING BENEFITS UNDER THE EMPLOYEES' PROVIDENT FUND SCHEME

FORM NO.	PURPOSE	
13	For transferring the Provident Fund account of a member from one establishment to (revised) another establishment covered under the act / scheme.	<a href="#">Preview and download form</a>
14.	Application for financing a life insurance policy out of Provident Fund account.	<a href="#">Preview and download form</a>
19.	To be submitted by a member to withdraw his Provident Fund dues on leaving service/retirement/termination.	<a href="#">Preview and download form</a>
20.	In the event of death of member, this form is to be used by a nominee / family member to claim the member's Provident Fund accumulation.	<a href="#">Preview and download form</a>

## How did we Benefit?

- Established Systems, Processes
- Online Compliance Monitoring
- MIS Reports
  - Monthly Compliance reports Function wise, Act wise
  - Exception reports generation
- Repository of Compliance Proofs
- Reduction in risk of non-compliance
- Reduce the likelihood of payment of fines /penalties
- Reduce the likelihood of receiving Government Notices
- Part of performance appraisal



*Do we really need an Automated Compliance Management System???*

*Thank You*

*Let the Culture of Compliance  
Prevail*

*Questions????????*



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