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FNS281	FNS ADLA Supervision Division	Business travel in excess of R100000	It is currently a manual process to find, extract and report on data that exceeds allowable thresholds in order for make the RE aware of it so that it can provide reasons for the deviation. The requirement is for the ability to define thresholds on certain fields, and any field, in the database, such as category. The system must automatically monitor the performance against the threshold and must automatically generate an exception report when the thresholds are exceeded. The system must automatically report the exceptions to the RE and FNSD and prompt the RE to provide the reasons for the deviation. This will improve the current process of monitoring the industry.					x	x						x							
FNS282	FNS ADLA Supervision Division	Travel allowance in excess of R1000000	It is currently a manual process to find, extract and report on data that exceeds allowable thresholds in order for make the RE aware of it so that it can provide reasons for the deviation. The requirement is for the ability to define thresholds on certain fields, and any field, in the database, such as category. The system must automatically monitor the performance against the threshold and must automatically generate an exception report when the thresholds are exceeded. The system must automatically report the exceptions to the RE and FNSD and prompt the RE to provide the reasons for the deviation. This will improve the current process of monitoring the industry.					x	x						x							
FNS283	FNS ADLA Supervision Division	Report to show amount transferred in excess of R100000 in respect of gifts	It is currently a manual process to find, extract and report on data that exceeds allowable thresholds in order for make the RE aware of it so that it can provide reasons for the deviation. The requirement is for the ability to define thresholds on certain fields, and any field, in the database, such as category. The system must automatically monitor the performance against the threshold and must automatically generate an exception report when the thresholds are exceeded. The system must automatically report the exceptions to the RE and FNSD and prompt the RE to provide the reasons for the deviation. This will improve the current process of monitoring the industry.					x	x						x							
FNS284	FNS ADLA Supervision Division	Report to highlight cash receipts in excess of R25000	It is currently a manual process to find, extract and report on data that exceeds allowable thresholds in order for make the RE aware of it so that it can provide reasons for the deviation. The requirement is for the ability to define thresholds on certain fields, and any field, in the database, such as category. The system must automatically monitor the performance against the threshold and must automatically generate an exception report when the thresholds are exceeded. The system must automatically report the exceptions to the RE and FNSD and prompt the RE to provide the reasons for the deviation. This will improve the current process of monitoring the industry.					x	x						x							
FNS287	FNS ADLA Supervision Division	Flag limits approved	It is currently a manual process to find, extract and report on data that exceeds allowable thresholds in order for make the RE aware of it so that it can provide reasons for the deviation. The requirement is for the ability to define thresholds on certain fields, and any field, in the database, such as category. The system must automatically monitor the performance against the threshold and must automatically generate an exception report when the thresholds are exceeded. The system must automatically report the exceptions to the RE and FNSD and prompt the RE to provide the reasons for the deviation. This will improve the current process of monitoring the industry.					x	x						x							
FNS288	FNS ADLA Supervision Division	One touch information sharing (reminders)	Meta data fields on SharePoint, related to an Application Form, is used to define dates the user needs to follow up on the Application Form. This is then recorded in MS Excel spreadsheet for easy access by the user to monitor. The requirement is for the SharePoint system to automatically dispatch a reminder of events due for attention of the user. This will do away with the current manual, onerous and cumbersome process.																			
FNS289	FNS ADLA Supervision Division	Link to DHA	The names, surnames and identity numbers of individuals are reported inconsistently by RE, in spite of the RE's obligation to report correct information. The requirement is for an automated validation of the individual's information, as provided by the DHA, when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.			x			x	x							x					
FNS290	FNS ADLA Supervision Division	Data Mining System	The consistency of data (or rather the periodic lack thereof) when viewed from different peripheral systems is an issue. Mention was made of Analyst Notebook being a good data mining/reporting tool, but this tool was not implemented broadly due to cost constraints. The requirement was voice of needing to access the FRS database as the central reference, as opposed to going through ORM.			x									x							
FNS292	FNS ADLA Supervision Division	AML report information from ADLA	The implementation of functionality to facilitate the electronic submission of AML reports is a phase 2 project. The requirement is for the needs to be solicited, analysed and specified in order to design a conceptual solution for AML Reporting for ratification by all stakeholders.								x											
FNS294	FNS ADLA Supervision Division	Advise Adla Supervision Department of any cross border activity with regard to flagged entities	Individuals and Entities may be listed on the UNSC sanction lists - there are different lists for different countries. Transactions entered into by these Entities are monitored by the RE and by the Bank. The requirement is for the ability to record the sanction lists in the system and for the system to then automatically check transactions reported for the Entities on these lists to generate exception reports when it occurs. In the case of these exceptions, it needs to be reported to the RE for them to responds to why this was allowed as it contravenes the regulatory requirement they are obliged to comply with. FNSD should also receive an automated exception report. It also alleviates the manual intervention required to monitor the activity of Entities on the sanction lists.					x	x						x							
FNS295	FNS ADLA Supervision Division	Screen FRS daily with the names of individuals and entities listed on the UNSC sanction lists	Individuals and Entities may be listed on the UNSC sanction lists - there are different lists for different countries. Transactions entered into by these Entities are monitored by the RE and by the Bank. The requirement is for the ability to record the sanction lists in the system and for the system to then automatically check transactions reported for the Entities on these lists to generate exception reports when it occurs. In the case of these exceptions, it needs to be reported to the RE for them to responds to why this was allowed as it contravenes the regulatory requirement they are obliged to comply with. FNSD and BSD (FNSD ADLA Supervision Division regulates the ADLAs and the BSD the ADs.) should also receive an automated exception report. It also alleviates the manual intervention required to monitor the activity of Entities on the sanction lists.					x	x						x							
FNS001	FNS Administration and Risk Management Division	Early warning indicators, e.g. SARBDEX queued	A mechanism to monitor files that were submitted by the RE and its processing status, inclusive of automated notifications that informs internal and external stakeholders of the outcome thereof. This is to ensure error monitoring and logging of incidents in order to mitigate the risk of business failure due to lacking information and also to collate failure statistics for risk analysis purposes. A further purpose is to make the user aware when queues of inbound data are building up; because it could result in data being used for analysis that is not current (the updated information is still awaiting processing in the inbound queues).	x																		

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FNS002	FNS Administration and Risk Management Division	Valid and appropriate triggers to cover any eventuality	A mechanism to confirm that what needed to happen actually happens pertaining to files received from RE into SARBDEX and from SARBDEX to processing into the FRS and all peripheral systems. This is required as a control measure and ability to manage exceptions. In an event of interruptions and/or failure during file processing and/or data updates then visibility thereof is required and escalations / notifications are required. Business (Analysis & Information Flow division, System Development division and Compliance and Enforcement division) needs to be aware of failures as they are the point of contact for external stakeholders and need this information to service customers properly. Currently don't know when there are problems, only once BSTD is contacted do they become aware of issues. FNSD needs to be notified upfront to be afresh of latest developments. From a risk management point of view, this information is needed as it provides the required visibility to manage risks and to do trend analysis or statistics. These failures impact the quality of data - if data has not been processed completely and successfully and is presented to e.g. courts, causes reputational damage to the Bank.	X																		
FNS014	FNS Administration and Risk Management Division	Link Branch codes between systems	There are currently inconsistencies in the codes used to identify the branch of an entity that are submitting an application or reporting transactions. In some systems the MICR code is used and in other systems the Branch Code is used. The requirement is for the Branch Code to be used consistently across all systems. This will enable the ability to search for transactions across all systems using the Branch Code.		X	X											X					
FNS015	FNS Administration and Risk Management Division	FRS to link with SharePoint	Currently, in order to collate information, several individual searches have to be performed across multiple systems. It should be possible to perform a single search across both the FRS and SharePoint data stores. Results that match the search criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems to collate information for decision making.					X		X												
FNS016	FNS Administration and Risk Management Division	Verify reply date of SharePoint with FRS date supplied	The reply date in SharePoint refers to the date the Application Form submitted by the RE was approved. It should be possible to report all transactions in FRS that were conducted prior to obtaining approval from the Bank in order to identify transactions that were concluded without prior approval, thus highlighting contravention of RE obligations.					X	X							X						
FNS017	FNS Administration and Risk Management Division	Validate SharePoint reference numbers	The reference number in SharePoint refers to the Authority Number. The RE must provide the Authority Number for the transactions submitted to FRS, and FRS must ensure that the Authority Number provided is a valid Authority Number. In order to identify transactions that were concluded without prior approval by the Bank, thus highlighting contravention of RE obligations.			X		X	X													
FNS018	FNS Administration and Risk Management Division	Correspondence linked to Branch codes	There are currently inconsistencies in the codes used to identify the branch of an Entity (where applicable) that are reporting transactions or submitting an application. In some systems the MICR code is used and in other systems the Branch Code is used. The requirement is for the Branch Code to be used consistently across all systems. This will enable the ability to search for transactions across all systems using the Branch Code.		X	X											X					
FNS019	FNS Administration and Risk Management Division	Linking RE application numbers with reporting	The RE Application Form number must be provided when transactions are reported on FRS by the RE. This refers to the application number assigned to the Application Form by the Bank on registration. This will enable the ability to search for transactions across all systems using the Application Form Number.		X	X																
FNS022	FNS Administration and Risk Management Division	It would be good if SharePoint & FinSurv Reporting System can link	Currently, in order to collate information, several individual searches have to be performed across multiple systems. It should be possible to perform a single search across both the FRS and SharePoint data stores. Results that match the search criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems to collate information for decision making.					X		X												
FNS023	FNS Administration and Risk Management Division	CIPC link on SharePoint (icon)	Company registration information is currently validated manually via the CIPC portal as source. The requirement is for an automated validation of the company information, as provided by the CIPC, when an Application Form is processed in SharePoint. This will ensure the accuracy, integrity and consistency of the company information, ease the ability to search for a specific company's transactions, and provide the ability to notify the RE of issues in their data.						X	X							X					
FNS024	FNS Administration and Risk Management Division	Validating company numbers	The validity of the company information currently provided by the RE is in many cases questionable or not legit at all, in spite of the RE's obligation to report correct information. The requirement is for an automated validation of the company information, as provided by the CIPC, when transactions are reported or processed in any system. This will ensure the accuracy, integrity and consistency of the company information, ease the ability to search for a specific company's transactions, and provide the ability to notify the RE of issues in their data.						X	X							X					
FNS025	FNS Administration and Risk Management Division	Entity names linked, validated at database (correspondence)	Company registration information is currently validated manually via the CIPC portal as source. The requirement is for an automated validation of the company information, as provided by the CIPC, when an Application Form is processed in SharePoint. This will ensure the accuracy, integrity and consistency of the company information, ease the ability to search for a specific company's transactions, and provide the ability to notify the RE of issues in their data.						X	X							X					
FNS026	FNS Administration and Risk Management Division	Surnames linked and validated at database (correspondence)	The names, surnames and identity numbers of individuals are reported inconsistently by RE, in spite of the RE's obligation to report correct information. The requirement is for an automated validation of the individual's information, as provided by the DHA, when an Application Form is processed in SharePoint. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.						X	X							X					
FNS027	FNS Administration and Risk Management Division	Validating ID numbers	The names, surnames and identity numbers of individuals are reported inconsistently by RE, in spite of the RE's obligation to report correct information. The requirement is for an automated validation of the individual's information, as provided by the DHA, when transactions are reported or processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.						X	X							X					
FNS030	FNS Administration and Risk Management Division	Build in controls: Input & Output & Processing Controls	A detailed control management framework for the exchange control value chain is required to ensure an adequate system of control. The components of the control management framework include process, system, business and project risks. The requirement is for the system to enforce such controls where possible.	X															X			
FNS031	FNS Administration and Risk Management Division	Input controls should be included	A detailed control management framework for the exchange control value chain is required to ensure an adequate system of control. The components of the control management framework include process, system, business and project risks. The requirement is for the system to enforce such controls where possible.	X															X			

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FNS032	FNS Administration and Risk Management Division	Automatic reconciliations of data - system driven (SARBDEX)	The integrity of the data in the FRS is currently questioned as data is either missing, duplicated or inconsistent in terms of the data as it was provided by the RE. The requirement for a system of control to mitigate the risks associated with this and to respond to the requirements of the internal audit department: data accepted in SARBDEX (files submitted by RE) must be correctly processed and stored in the FRS in an accurate manner to achieve data integrity. Reconciliation of all transactions is required to match transactions received, processed and any exceptions. A dashboard view must also be provided.	X																		
FNS033	FNS Administration and Risk Management Division	Validation Engine - Ability to easily update without relying on BSTD	Currently a service request has to be logged with BSTD to change or add validation rules, which is then actioned and implemented by BSTD. The requirement is for the flexibility to amend or add rules into the system by FNSD. The system must therefore provide a robust validation engine to enable business to add, maintain and update validation rules in an easy to use manner without having to log a request with BSTD.					X														
FNS034	FNS Administration and Risk Management Division	Interbank reporting	The implementation of functionality to facilitate Interbank transactions is a phase 2 project. The requirement is for the needs to be solicited, analysed and specified in order to design a conceptual solution for Interbank Reporting for ratification by all stakeholders.								X											
FNS035	FNS Administration and Risk Management Division	Reduction of Excel databases	An extensive amount of time is spent to generate MS Excel databases / spreadsheets to manage the day-to-day operational activities and to collate information required for intelligent decision making. This is inefficient and prone to errors, e.g. Application Forms from the RE's are received manually, processed in SharePoint and then recorded in MS Excel to monitor the progress; OR e.g. data is extracted from systems and manipulated in MS Excel to gain insight into the state of affairs. The requirement is for the optimisation of the business processes by alleviating, or eliminating, the use of MS Excel databases / spreadsheets.									X										
FNS039	FNS Administration and Risk Management Division	Search Functionality	It is currently not possible to interrogate data across all the systems simultaneously. The requirement is that it must be possible to search for information per e.g. Application Form number, Entity code or Entity name across all systems. Results that match the criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems to collate information for decision making.			X				X												
FNS119	FNS Analysis Section & ERSD National Economy Section	Reports should also be able to provide totals per non-resident country, per merchant code, etc.	Currently, to satisfy some reporting and decision making requirements, after hours processing and aggregation of data needs to be performed. The requirement is for the data submissions from the RE to be processed immediately and made available for reporting and searches without delay. Any online analytical processing must be performed in real-time. This will make data available immediately without having to wait until the next day to access the data. Functionality must be able via online analytics and via a standard reporting tool - detailed transactions query or report & query or report with totals per e.g. non-resident country etc. according to their preferences.											X								
FNS120	FNS Analysis Section & ERSD National Economy Section	Standard reports and custom reports for RSH profile (this will also assist the Analysis Section)	Other than the querying capability and exporting of the results to a csv file or displaying the results to the user, there is currently no tool to develop standard reports. The requirement is for the ability to setup predefined reports and the generation of the reports. The requirement is for a reporting tool over and above the search functionality. The reporting tool must provide standard, pre-defined reports fuelled by user inputted parameters. The report must automatically be made available to the user, information must be automatically extracted from the system and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user in a defined location where it can be accessed. This will provide users the ability to develop and use standard and custom reports.										X					X				
FNS121	FNS Analysis Section & ERSD National Economy Section	Ability to create own reports (more flexible search functions)	Search results are currently constrained to a set of pre-defined columns. The requirement is for the ability to define the user's column preferences. This should include the ability to search a field using multiple parameters, and the ability to use a lookup list to define the search parameters. This will improve the user friendliness and effectives of the search function, provide more advanced search capabilities and improve the turnaround time to find relevant data.			X												X				
FNS122	FNS Analysis Section & ERSD National Economy Section	Report creator for RSH profile with specific criteria and parameters (this will also assist the Analysis Section)	Other than the querying capability and exporting of the results to a csv file or displaying the results to the user, there is currently no tool to develop standard reports. The requirement is for the ability to setup predefined reports and the generation of the reports. The requirement is for a reporting tool over and above the search functionality. The reporting tool must provide standard, pre-defined reports fuelled by user inputted parameters. The report must automatically be made available to the user, information must be automatically extracted from the system and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user in a defined location where it can be accessed. This will provide users the ability to develop and use standard and custom reports.										X					X				
FNS123	FNS Analysis Section & ERSD National Economy Section	Linking of all functionality into one database	It is currently not possible to interrogate data across all the systems. The requirement is that it must be possible to search for information per e.g. Application Form number, Entity code or Entity name across all systems. Results that match the criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems to collate information for decision making.			X				X												
FNS124	FNS Analysis Section & ERSD National Economy Section	Query multiple selection	It is currently not possible to search a field using multiple parameters or a fuzzy (wildcard) search criteria. The requirement is for the ability to search a field using multiple parameters, and the ability to use a lookup list to define the search parameters. It should be possible to fire a fuzzy (wildcard) search. This will improve the user friendliness and effectiveness of the search function, provide more advanced search capabilities and improve the turnaround time to find relevant data.			X																
FNS127	FNS Analysis Section & ERSD National Economy Section	System that allows uniform way of reporting	There is currently no uniform way of capturing data, in spite of the RE's obligation to report correct information. It becomes cumbersome to search for the data. The requirement is for the standardisation of the format and data to be reported by the RE's and others, the implementation of mandatory fields and the validation of data received to the allowable values across all systems. This will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.														X					
FNS129	FNS Analysis Section & ERSD National Economy Section	An error message that does not allow a person to proceed if not all information is captured	The provision of mandatory fields is currently not enforced. This results in incomplete data that cannot be searched. The requirement is for a message to the user when required information is not completed. The system must force the user to capture the missing information. Mandatory information must be clearly marked. The will improve the overall completeness of the information and improve the effectiveness of the mining exercises.														X					

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FNS133	FNS Analysis Section & ERSD National Economy Section	Notifications if there is data integrity issues	Currently, in order to monitor Entities under investigation, business has to interrogate data across all data stores using targeted search criteria that will identify transactions associated to these Entities. The requirement is for the ability to setup parameterised 'flags' i.e. define limits or values per field (as predefined search criteria - such as Entities, amount, amounts for certain period, categories etc.) that is then used by the system to automatically retrieve transactions that meet the predefined search criteria in the form of an exception report that is automatically provided to business. This includes setting up of parameters that include fuzzy search criteria. It should be possible to define these flags to monitor individual transactions or transactions that are reported over a period of time. This will reduce the amount of manual data mining that currently takes place.					x	x						x							
FNS134	FNS Analysis Section & ERSD National Economy Section	Better validation rules	Business rules related to the reporting of transactions are currently enforced by means of data validation rules. However, data passes the validation rules when they should not have passed the validation. The requirement is for a robust business rule validation engine that functions as intended. Data must not pass the validation rules when they were in fact meant to be rejected. This will ensure that quality data are provided by the RE. It will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.						x								x					
FNS135	FNS Analysis Section & ERSD National Economy Section	No duplicates	Business rules related to the reporting of transactions are currently enforced by means of data validation rules. However, data passes the validation rules when they should not have passed the validation. The requirement is for a robust business rule validation engine that functions as intended. Data must not pass the validation rules when they were in fact meant to be rejected. This will ensure that quality data are provided by the RE. It will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.						x								x					
FNS136	FNS Analysis Section & ERSD National Economy Section	Better validation rules	Business rules related to the reporting of transactions are currently enforced by means of data validation rules. However, data passes the validation rules when they should not have passed the validation. The requirement is for a robust business rule validation engine that functions as intended. Data must not pass the validation rules when they were in fact meant to be rejected. This will ensure that quality data are provided by the RE. It will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.						x								x					
FNS139	FNS Analysis Section & ERSD National Economy Section	Minimize human intervention	An extensive amount of time is spent to generate MS Excel databases / spreadsheets to manage the day-to-day operational activities and to collate information required for intelligent decision making. This is inefficient and prone to errors, e.g. Application Forms from the RE's are received manually, processed in SharePoint and then recorded in MS Excel to monitor the progress; OR e.g. data is extracted from systems and manipulated in MS Excel to gain insight into the state of affairs; OR schedules managed by Ops Finance. The requirement is for the optimisation of the business processes by alleviating, or eliminating, the use of MS Excel databases / spreadsheets.									x										
FNS142	FNS Analysis Section & ERSD National Economy Section	Fault finder regarding data per category - individual entities.	Currently, in order to monitor Entities under investigation, business has to interrogate data across all data stores using targeted search criteria that will identify transactions associated to these Entities. The requirement is for the ability to setup parameterised 'flags' i.e. define limits or values per field (as predefined search criteria - e.g. abnormal amount for certain category) that is then used by the system to automatically retrieve transactions that meet the predefined search criteria in the form of an exception report that is automatically provided to business. It should be possible to define these flags to monitor individual transactions or transactions that are reported over a period of time. This will reduce the amount of manual data mining that currently takes place.					x	x						x							
FNS143	FNS Analysis Section & ERSD National Economy Section	Entity identification – companies with almost similar name – in order to differentiate	It is currently not possible to differentiate legal entities in a group structure. It is therefore possible to mask illegal transactions related to dividends declared if the specific entity is not reported. e.g. MTN Group with subsidiaries. The requirement is for the ability to define a hierarchical (parent-child) like structure, reporting of transactions according to the structure (need to identify if transaction is reported by a holding company or subsidiary), and ability for the user to lookup companies and their subsidiaries. This will improve the effectiveness of the data mining and analytics performed by FNSD.	x																		
FNS041	FNS Compliance & Enforcement Division	Super search not supported on FRS. ORM used instead.	There is currently no advanced search functionality in FRS or the peripheral systems. Currently ORM is used to perform super searches and fuzzy searches across databases (with limitations). The requirement is that all systems must allow separate as well as a super search and fuzzy search functionality; it should not just be constrained to ORM. This will eliminate the need to perform several individual and abridged searches across multiple systems to collate information for decision making. Also refer to FNS047			x												x				
FNS042	FNS Compliance & Enforcement Division	Able to generate reports	Other than the querying capability and exporting of the results to a comma separated values text file or displaying the results to the user (business), there is currently no tool to develop standard reports. The requirement is for the ability to setup predefined reports and the generation of the reports. The requirement is for a reporting tool over and above the search functionality. The reporting tool must provide standard, pre-defined reports fuelled by user (business) inputted parameters. The report must automatically be made available to the user (business), information must be automatically extracted from the systems and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user (business) in a defined location where it can be accessed. This will provide users (business) the ability to develop and use standard and custom reports.														x	x				
FNS044	FNS Compliance & Enforcement Division	Format of searches results	Search results are currently by default outputted as text columns, and remains as such unless the user changes the format of the column when the data is imported into MS Excel. The search results further contains a set of pre-defined columns. The requirement is an ability to define the user's column preferences and for the default format of the data in the column to persist when the search results are extracted from the system and imported into MS Excel. It must be possible to save the search results for access by standard office productivity tools. This will eliminate the need to reformat data once it is imported into MS Excel.															x				
FNS047	FNS Compliance & Enforcement Division	One search	Currently, in order to collate information, several individual searches have to be performed across multiple systems, it is therefore not possible to interrogate data across all the systems simultaneously (some features are provided by ORM) without a huge amount of effort. The requirement is that it must be possible to search for data across all systems (e.g. FRS, IVS, FIS, FLS, ORM, and SharePoint). Results which match the criteria from all systems must be returned at the same time. Also refer to FNS041			x				x												
FNS053	FNS Compliance & Enforcement Division	Real time information	Currently, to satisfy some reporting and decision making requirements, after hours processing and aggregation of data needs to be performed. The requirement is for the data submissions from the RE to be processed immediately and made available for reporting and searches without delay. Any online analytical processing and aggregation must be performed in real-time. This will make data available immediately without having to wait until the next day to access the data.											x								

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FNS061	FNS Compliance & Enforcement Division	Flag individuals, groups, categories, amounts, AD's and ADLA's	Currently, in order to monitor Entities under investigation, business (user) has to interrogate data across all data stores using targeted search criteria that will identify transactions associated to these Entities. The requirement is for the ability to setup parameterised 'flags' i.e. define limits or values per field (as predefined search criteria - flagging an Entity field with an Entity value, or other criteria such as categories) which is then used by the system to automatically retrieve transactions which meet the predefined search criteria in the form of an exception report that is automatically provided to business. This includes setting up parameters in the form of a fuzzy search criteria. It should be possible to define these flags to monitor individual transactions or transactions that are reported over a period of time. This will reduce the amount of manual data mining that currently takes place.			X	X								X							
FNS062	FNS Compliance & Enforcement Division	Stop transactions before finalisation at Authorised dealers (Bad Boys)	FNSD, through their foreign exchange monitoring function, identify Entities/individuals that/who are not in good standing and place them under investigation. However, this does not negate the fact that these Entities/individuals can still transact, as their activities are only discovered by the Bank after the fact once it is reported by the RE. The requirement is for the ability to prevent the Entity/individual from transacting at any AD or ADLA, without prior approval by the Bank. The transaction should therefore be interrupted before it is finalised at the AD or ADLA. It should be possible to flag these Entities/individuals. Therefore: 1) The AD and/or ADLA must have notification of Entities/individuals under investigation and on the Bad Boy list. This will make it possible to prevent the transaction from occurring. 2) When the AD and/or ADLA report/s a transaction for an Entity/individual under investigation on the Bad Boy list, then a warning message must be generated to them through the implementation of a validation rule. This will highlight the need for an application to be lodged to the Bank. 3) The system should also automatically generate an exception report when transactions for these flagged Entities/individuals are reported in any system. This will provide immediate and systematic visibility to FNSD of the activities of the Entities under investigation.			X	X			X					X							
FNS064	FNS Compliance & Enforcement Division	Communicate system backlogs, triggers, changes, capacity issues	FNSD are not pro-actively aware of challenges being experienced as a result of processing backlogs, processing failures, system changes and system capacity issues. The requirement is for a system monitoring capability that provides visibility when backlogs are being experienced in the processing of those files submitted by the RE, or errors detected in those files, or when storage capacity issues are being experienced, in order to pro-actively manage operational activities and customer engagements. Also includes continues communication when changes are made to systems in order to monitor releases of the system.	X																		
FNS068	FNS Compliance & Enforcement Division	Easy download of IVS information	Various problems are being experienced to query IVS data and to export the data to MS Excel for interrogation. This is due to issues such as system time outs during processing of files submitted that result in missing and/or incorrect data. The requirement is for an improved mechanism to load IVS data, to match IVS and FRS data and to report on the exceptions.	X		X	X			X					X							
FNS070	FNS Compliance & Enforcement Division	Integration between systems e.g. FinSurv & Foreign loans	Currently, in order to collate information, several individual searches have to be performed across multiple systems. The requirement is that it must be possible to search for data across all systems (FRS, FLS). Results that match the criteria from all systems must be returned at the same time, mutually.			X				X												
FNS072	FNS Compliance & Enforcement Division	Link SharePoint number with FRS transactions	The RE Application Form number must be provided when transactions are reported on FRS by the RE. This refers to the application number assigned to the Application Form by the Bank on registration. This will enable the ability to search for transactions across all systems using the Application Form Number. Only where necessary.		X																	
FNS073	FNS Compliance & Enforcement Division	Matching transactions IVS to FinSurv (electronic)	Currently import and export transactions are reported by the RE in FRS; and customs and tax related data are reported by SARS in IVS. The matching between the data sets is done manually once the data is exported to MS Excel. The requirement is for an automated reconciliation of data between FRS and IVS and the reporting of exceptions. System must automatically generate and deliver to RE and FNSD an exception report. The system must automatically report the exceptions to the RE and FNSD and prompt the RE to provide the reasons for the deviation. This will alleviate the amount of manual intervention required to perform the match.			X	X								X							
FNS075	FNS Compliance & Enforcement Division	Eliminate duplication re SharePoint finalisation	P-cards' are currently created on SharePoint for Entities/individuals under investigation. This then used by the SharePoint system, during the registration of an Application Form, to check if an Application Form is being processed for Entities/individuals under investigation. The Compliance and Enforcement division has to adjudicate the application if this is the case. In doing so (approving the application), the user has to perform a two step process to do so. This prolongs the process, especially when there is a list of applications to be processed. The requirement is for the process to be improved by doing away with unnecessary system steps.																			
FNS086	FNS Compliance & Enforcement Division	Publishing of Sanction lists	Individuals/Entities may be listed on the UNSC sanction lists - there are different lists for different countries. Transactions entered into by these Individuals/Entities are monitored by the RE and by the Bank. The requirement is for the ability to record the sanction lists in the system and for the system to then automatically check transactions reported for the Individuals/Entities on these lists to generate exception reports when it occurs. In the case of these exceptions, it needs to be reported to the RE for them to respond to why this was allowed as it contravenes the regulatory requirement they are obliged to comply with. FNSD should also receive an automated exception report. It also alleviates the manual intervention required to monitor the activity of Individuals/Entities on the sanction lists.			X	X								X							
FNS087	FNS Compliance & Enforcement Division	419 scam	The 419 scam refers to the Nigerian advance fee fraud scheme where invitations for donations are made to Entities/individuals in the name of the Bank. When this is discovered by the Bank, FNSD investigates, and engages with the victim/s to obtain more information. All information gathered are stored on SharePoint. FNSD notifies SAPS, SABRIC and commercial banks. The commercial banks are required to provide the banking details. The requirement is for the flagging of the entities/individuals under investigation, for the commercial banks to be notified to provide the banking information, using communication standards of the Bank.																			
FNS089	FNS Compliance & Enforcement Division	Multiple search using Lookup List	Due to the inconsistent manner in which data is recorded (e.g. customer, individual information), multiple results are returned when a fuzzy search is performed. Once the results are retrieved, the user/business has to enter an individual search for each result obtained. The requirement is for the ability to use the list of the results as a lookup list from where multiple selections may be made. This includes the ability to search a field using multiple parameters, and the ability to use a lookup list to define the search parameters. This will provide more advanced search capabilities and improve to turn around time to find relevant data.			X												X				
FNS090	FNS Compliance & Enforcement Division	Search across any columns	It is currently not possible to search on any field not defined as a parameter inputted field i.e. available on the page where the search criteria may be entered. The requirement is for the ability to define a search criterion on any field available in the database (e.g. search by forex intermediator or by Entity or by MRN). This must be possible in all the systems. This will remove the search limitations.			X												X				

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FNS091	FNS Compliance & Enforcement Division	NOT search	It is currently not possible to define a search that will purposely exclude certain data from the result list e.g. selecting records where the Entity name is not 'Joe Blog'. This is required to limit the amount of unwanted data returned by a query. The requirement is for the ability to define a search criterion that will exclude certain data from the data set. This must be possible in all the systems. This will remove the search limitations.			X												X				
FNS180	FNS Development	The solution must be able to handle SARS external data submission. Below SARS data is required: · SAD 500 data , · Import data, · Export data	SAD = Customs Form: (Single Administrative Document). Contains information related to import or export transaction. This is currently received electronically from Customs / SARS and imported into a database linked to the IVS; however the process is not effective. The requirement is for the process to import the data received from Customs / SARS to be improved. This will improve the availability and credibility of the data. Submissions and responses must flow via SARBDEX.							X												
FNS181	FNS Development	The FRS must link to the Foreign Loan System	Transactional data from the FRS system is currently replicated to the FLS system as the loan amounts are updated to reflect the total re-payments or draw downs and to account for the cancellation of transactions. This is manually exported from FRS and manually imported into FLS. The requirement is for this process to be automated in order to improve the reliability of the process and to protect the integrity of the data. A re-design can be considered not to download data at all, but to link the transaction directly with the FinSurv data base.						X	X						X						
FNS183	FNS Development	Use of loan number in reported transactions	It is currently possible for a manual Application Form to be submitted to FNSD for processing. The requirement is for the e-docs (SharePoint) document number to be recorded against the loan number generated by the system in order to have the associated SharePoint document linked to the loan registered in FLS.								X										X	
FNS185	FNS Development	Use of loan interest payments in reported transactions	It is currently a manual process to find, extract and report on data that exceeds allowable thresholds in order for make the RE aware of it so that it can provide reasons for the deviation. The requirement is for the ability to define thresholds on certain fields, and any field, in the database, such as interest rate. The system must automatically monitor the performance against the threshold and must automatically generate an exception report when the thresholds are exceeded. The system should further automatically monitor whether the repayments equates to the drawdowns. The system must automatically report the exceptions to the RE and FNSD and prompt the RE to provide the reasons for the deviation. This will improve the current process of monitoring the industry.					X	X							X						
FNS187	FNS Development	Access to portfolio investment and disinvestment transactions	It is currently not possible for the Inward Listing and Institutional Reporting division to access portfolio investment and disinvestment transactions (category 615) from FRS via the Prudential system. The requirement is for them to have access to these transactions via the Prudential system. This will allow them to work with the transactions without having to rely on other divisions to provide them the data.			X																
FNS189	FNS Development	Persist customer information	Although customer information reported by the RE may be incorrect, it is required to be stored in FRS as reported, to comply with the FIC Act. This is not to say that the data may not be enriched in order to achieve data standardisation.														X					
FNS190	FNS Development	Persist name, surname information	Different transactions received for customers with exactly the same name and surname but with different identity numbers must not be merged or overwritten.														X					
FNS191	FNS Development	Persist identity information	Different transactions received for customers with different names and surnames but same identity numbers must not be merged or overwritten.														X					
FNS195	FNS Development	Hub code must link to branch codes	There is a requirement for Hub Code to be managed as master data.																			
FNS196	FNS Development	There must be data tables for Country Codes	There is a requirement for Country Code to be managed as master data.						X													
FNS197	FNS Development	There must be data tables for Currency Codes	There is a requirement for Currency Code to be managed as master data.						X													
FNS198	FNS Development	There must be data tables for Province	There is a requirement for Province to be managed as master data.						X													
FNS199	FNS Development	There must be data tables for City	There is a requirement for City to be managed as master data; data should be obtained from an authorised source.						X													
FNS200	FNS Development	There must be data tables for Postal Codes	There is a requirement for Postal Codes to be managed as master data; data should be obtained from an authorised source.						X													
FNS202	FNS Development	There must be data tables for Sub-Category Codes	There is a requirement for Sub Category to be managed as master data. Sub-category is a sub type of the Category code.						X													
FNS203	FNS Development	There must be data tables for Reporting Entities	There is a requirement for Reporting Entities to be managed as master data.						X													
FNS204	FNS Development	There must be data tables for Authorised Dealer Types	There is a requirement for Authorised Dealer Types to be managed as master data.						X													
FNS205	FNS Development	There must be data tables for Card indicators	There is a requirement for Card Indicators to be managed as master data; data should be obtained from an authorised source.						X													
FNS206	FNS Development	There must be data tables for Branch Codes	There is a requirement for Branch Code to be managed as master data; data should be obtained from an authorised source.						X													
FNS207	FNS Development	There must be data tables for Card Merchant Codes	There is a requirement for Merchant Code to be managed as master data; data should be obtained from an authorised source.						X													
FNS208	FNS Development	There must be data tables for Account Identifiers	There is a requirement for Account Identifier to be managed as master data.						X													
FNS209	FNS Development	There must be data tables for Resident Exception Names	There is a requirement for Resident Exception Names to be managed as master data.						X													

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FNS210	FNS Development	There must be data tables for Non-Resident Exception Names	There is a requirement for Non-Resident Exception Names to be managed as master data.						X													
FNS211	FNS Development	There must be data tables for Hub Codes	There is a requirement for Hub Code to be managed as master data.						X													
FNS212	FNS Development	There must be data tables for Error Codes	There is a requirement for Error Code to be managed as master data.						X													
FNS213	FNS Development	There must be data tables for Rulings Sections	There is a requirement for Rulings Section to be managed as master data. The format must be identified to facilitate ease of use thereof. In the RulingsTable exact codes of the Rulings are captured. This table is not linked to the validation rules since these number changes to often and the format is problematic e.g. Section B.4(A)(i)(aa). The RE should preferably use the same format if it is to be validated, to prevent rejections.						X													
FNS214	FNS Development	There must be data tables for Money Transfer Agents	There is a requirement for Money Transfer Agent to be managed as master data.						X													
FNS215	FNS Development	There must be data tables for Subject	There is a requirement for Subject to be managed as master data.						X													
FNS216	FNS Development	There must be data tables for Credit Card Point of Sale Entry Modes	There is a requirement for Credit Card Point of Sale Entry Mode to be managed as master data; data should be obtained from an authorised source.						X													
FNS217	FNS Development	There must be data tables for Electronic Commerce Indicator	There is a requirement for Electronic Commerce Indicator to be managed as master data; data should be obtained from an authorised source.						X													
FNS218	FNS Development	There must be data tables for Customs Client Codes	There is a requirement for Custom Client Code to be managed as master data; data should be obtained from an authorised source.						X													
FNS219	FNS Development	There must be data tables for Customs Office Codes	There is a requirement for Custom Office Code to be managed as master data; data should be obtained from an authorised source.						X													
FNS220	FNS Development	There must be data tables for IHQ Entity	There is a requirement for IHQ to be managed as master data.						X													
FNS221	FNS Development	There must be data tables for Institutional Sector	There is a requirement for Institutional Sector to be managed as master data; data should be obtained from an authorised source.						X													
FNS222	FNS Development	There must be data tables for Reporting Qualifier	There is a requirement for Reporting Qualifier to be managed as master data.						X													
FNS223	FNS Development	There must be data tables for Industrial Classification	There is a requirement for Industrial Classification to be managed as master data; data should be obtained from an authorised source.						X													
FNS224	FNS Development	There must be data tables for system users	There is a requirement to manage the details of the users that have access to the system.																			
FNS227	FNS Development	Search code and name	It is currently not possible for the user to define the fields it wants to search. The requirement is for the ability to define the user's column preferences e.g. search functionality must be possible to be done on both the code and the name. This will improve the user's ability to extract the required results.		X													X				
FNS228	FNS Development	Fuzzy search	It is currently not possible to search a field using a fuzzy (wildcard) search criteria. The requirement is for the ability to fire a fuzzy (wildcard) search. This will improve the user friendliness and effectives of the search function, provide more advanced search capabilities and improve to turn around time to find relevant data.		X																	
FNS230	FNS Development	Non Resident Rand (NRR) transactions	The implementation of functionality to facilitate Non Resident Rand (NRR) transactions is a phase 2 project. The requirement is for the needs to be solicited, analysed and specified in order to design a conceptual solution for NRR for ratification by all stakeholders.							X												
FNS231	FNS Development	Interbank transactions	The implementation of functionality to facilitate Interbank transactions is a phase 2 project. The requirement is for the needs to be solicited, analysed and specified in order to design a conceptual solution for Interbank Reporting for ratification by all stakeholders.							X												
FNS232	FNS Development	Non-Reportable transactions	The current reporting solution for non-reportable transactions generates a lot of useless information. The requirement is for the needs to be solicited, analysed and specified in order to design a conceptual solution for Non-Reportable transaction for ratification by all stakeholders.							X												
FNS233	FNS Development	The new solution should use branch codes	There are currently inconsistencies in the codes used to identify the branch of an entity that are submitting an application or reporting transactions. In some systems the MICR code is used and in other systems the Branch Code is used. The requirement is for the Branch Code to be used consistently across all systems. This will enable the ability to search for transactions across all systems using the Branch Code.		X													X				
FNS234	FNS Development	The new solution should validate ID numbers and names/surnames	The names, surnames and identity numbers of individuals are reported inconsistently by RE, in spite of the RE's obligation to report correct information. The requirement is for an automated validation of the individual's information, as provided by the DHA, when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.		X				X	X								X				
FNS235	FNS Development	ID numbers must be validated according to the algorithm	The names, surnames and identity numbers of individuals are reported inconsistently by RE, in spite of the RE's obligation to report correct information. The requirement is for an automated validation of the individual's information, as provided by the DHA, when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.		X				X	X								X				
FNS236	FNS Development	A validation between the name, surname and identity number combination must be possible	The names, surnames and identity numbers of individuals are reported inconsistently by RE, in spite of the RE's obligation to report correct information. The requirement is for an automated validation of the individual's information, as provided by the DHA, when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.		X				X	X								X				

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FNS237	FNS Development	The new solution should validate Passport numbers	The requirement is for an automated validation of the individual's passport information, as provided by the DHA, when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.						X	X							X					
FNS238	FNS Development	The new solution should validate temporarily residents permit numbers	The requirement is for an automated validation of the individual's temporary residents permit information, as provided by the DHA, when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.			X			X	X							X					
FNS239	FNS Development	The new solution should validate Tax numbers	The requirement is for an automated validation of the tax numbers, as provided by the SARS, when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.			X			X	X							X					
FNS240	FNS Development	The new solution should validate Letter of Good Standing	The requirement is for an automated validation of the Letter of Good Standing, as provided by the SARS, when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the individual's information, ease the ability to search for a specific individual's transactions, and provide the ability to notify the RE of issues in their data.			X				X							X					
FNS242	FNS Development	The solution should accommodate new validation rules in an agile manner.	Regulation, market forces and the business environment changes all the time. This results in a constant need to change or add to the reporting requirements of the Bank on order to respond to the internal and external factors that shapes the business environment. The requirement is for a solution that will be agile and robust enough to accommodate constant changes to the reporting schemas and reporting needs of the Bank in order to improve the turnaround time to implement new changes or to empower business itself to enact changes to the solution.													X						
FNS320	FNS Development	Reporting Entity Category link	There is a requirement to allocate specific categories which may be used by a specific RE. Must be managed as master data. Transactions reported by the RE must use a valid combination (validation rule). The purpose is to limit the use of categories by a specific RE. If no categories are linked, that RE is free to use all the available categories. When the appointmen of a RE is authorised (i.e. ADLA), it can only deal in certain categories and a (in or out) flow of funds. Captured against that RE code the categories and flow of those categories, which may be used, is captured. The validation will then allow that category and flow combination for that RE. If the RE uses any other category not listed, the transaction will reject with an error "Invalid category" (the category could be valid BUT not for that particular RE).																			
FNS321	FNS Development	Reporting Entity Link table	There is a requirement to link reporting entities with the applicable Reporting Qualifiers and to link each Reporting Entity to a specific MoneyTransferAgentIndicator which can be used by a particular RE, which must be managed as master data. It addresses which Reporting Qualifier can be used with what combination of Money Transfer Agent Indicators per RE.																			
FNS093	FNS Financial Operations Division	Drawing reports automatically / dumping data for which currently spreadsheets are created per category	Other than the querying capability and exporting of the results to a csv file or displaying the results to the user, there is currently no tool to develop standard reports. The requirement is for the ability to setup predefined reports and the generation of the reports in ORM. The requirement is for a reporting tool over and above the search functionality. The reporting tool must provide standard, pre-defined reports fuelled by user inputted parameters. The report must automatically be made available to the user, information must be automatically extracted from the system and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user in a defined location where it can be accessed. This will provide users the ability to develop and use standard reports.										X					X				
FNS094	FNS Financial Operations Division	Enhanced search functionality	Search results are currently constrained to a set of pre-defined columns. The requirement is for the ability to define the user's column preferences. This will improve the user friendliness and effectives of the search function. It is also currently not possible to interrogate data across all the systems simultaneously. The requirement is that it must be possible to search for information across all systems. Results that match the criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems when collating information for decision making. There is further a specific requirement to expand the FRS search functionality to include more searchable fields.			X				X								X				
FNS095	FNS Financial Operations Division	Refined searches	Search results are currently constrained to a set of pre-defined columns. The requirement is for the ability to define the user's column preferences. This will improve the user friendliness and effectives of the search function. It is also currently not possible to interrogate data across all the systems simultaneously. The requirement is that it must be possible to search for information across all systems. Results that match the criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems when collating information for decision making. There is further a specific requirement to expand the FRS search functionality to include more searchable fields.			X				X								X				
FNS096	FNS Financial Operations Division	Better 'advance search' function	Search results are currently constrained to a set of pre-defined columns. The requirement is for the ability to define the user's column preferences. This will improve the user friendliness and effectives of the search function. It is also currently not possible to interrogate data across all the systems simultaneously. The requirement is that it must be possible to search for information across all systems. Results that match the criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems when collating information for decision making. There is further a specific requirement to expand the FRS search functionality to include more searchable fields.			X				X								X				
FNS098	FNS Financial Operations Division	Easier search functionality	Due to the inconsistent manner in which data is recorded (e.g. customer, individual information), multiple results are returned when a fuzzy search is performed. Once the results are retrieved, the user has to enter an individual search for each result obtained. The requirement is for the ability to use the list of the results as a lookup list from where multiple selections may be made. This includes the ability to search a field using multiple parameters, and the ability to use a lookup list to define the search parameters. The user interface should predict text based on the user behaviour. This will provide more advanced search capabilities and improve to turn around time to find relevant data.			X																
FNS099	FNS Financial Operations Division	Notification. If a transaction is approved, set FinSurv Reporting System to give you notification once transaction reported	It is required from the system to automatically notify the user of transactions reported by the RE that pertains to certain types of RE Application Forms (e.g. high value applications) - this is not currently achieved via manual interrogation of the data. The user who approved the Application Form wants to be notified when transactions are reported. This is to manage the exceptions to the rule.					X	X								X					
FNS100	FNS Financial Operations Division	Notification to business and industry if there's problems on SARBDEX and peripherals	RE and FNSD are currently unaware of problems being experienced and the RE will therefore continue to submit transactions that cannot be processed due to the downtime. The requirement is for the system to generate notifications to business and the RE when downtime or problems are being experienced. This pertains to SARBDEX and all systems. This will allow FNSD the ability to manage operational pressures that arise as a result of this and to manage the engagement with the RE.	X																		

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FNS101	FNS Financial Operations Division	Additional links / flags to certain reporting fields	Currently, in order to monitor Entities under investigation, business has to interrogate data across all data stores using targeted search criteria that will identify transactions associated to these Entities. The requirement is for the ability to setup parameterised 'flags' i.e. define limits or values per field (as predefined search criteria - such as Entities, amount, amounts for certain period, categories etc.) that is then used by the system to automatically retrieve transactions that meet the predefined search criteria in the form of an exception report that is automatically provided to business. This includes setting up of parameters that include fuzzy search criteria. It should be possible to define these flags to monitor individual transactions or transactions that are reported over a period of time. This will reduce the amount of manual data mining that currently takes place.					X	X						X							
FNS109	FNS Financial Operations Division	Reconciliation of data received from Ads vs data reflecting on FinSurv Rep System	The integrity of the data in the FRS is currently questioned as data is either missing, duplicated or inconsistent in terms of the data as it was provided by the RE. The requirement for a system of control to mitigate the risks associated with this and to respond to the requirements of the internal audit department: data accepted in SARBDEX (files submitted by RE) must be correctly processed and stored in the FRS in an accurate manner to achieve data integrity. Reconciliation of all transactions is required to match transactions received, processed and any exceptions. A dashboard view must also be provided.	X																		
FNS110	FNS Financial Operations Division	Integrity of reference data	There is currently no uniform way of capturing data, in spite of the RE's obligation to report correct information. It becomes cumbersome to search for the data. The requirement is for the standardisation of the format and data to be reported by the RE's and others, the implementation of mandatory fields and the validation of data received to the allowable values across all systems. This will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.														X					
FNS112	FNS Financial Operations Division	Upgrade FinSurv Reporting System – required fields	RE currently use different ways of capturing the name of the Entity e.g. Full Name+Surname, Initials+Surname. This makes it very difficult when doing research as you have to search each and every possible representation of the name when doing research. Many RE's do not capture the ID number of the individual, so you can also not rely on the ID search function to give you a true reflection of transactions recorded. The requirement is to make the ID and/or Registration Number field, as well as the name and surname fields mandatory, the correctness of the ID and/or company registration numbers must also be validated and the to standardise the reporting of the information and to provide intelligent capability to deal with data integrity issues. A further requirement is for FRS to make the "Loan Reference Number" field mandatory if the Loan category is selected on the system. It should also verify the provision made in the Ruling/Application# field for the category selected e.g. the ruling number must be provided in the cases when a category 500-600 is selected, an Application Form # for categories 700+ and a 'comment' must be provided when 'any other' category is selected.																			
FNS114	FNS Financial Operations Division	Link to SharePoint	The RE needs to report the Authority Number (or Ruling Section) as part of the transactional data, and this must be mandatory. The Authority Number must also be captured during the processing of the Application Form for the RE. This will enable the ability to search for transactions across systems (FRS & SharePoint) using the Authority Number. It must be possible to search for transactions across all systems that use an Authority Number.			X				X												
FNS115	FNS Financial Operations Division	Reporting on authority	The RE needs to report the Authority Number (or Ruling Section) and the Application Form # as part of the transactional data, and this must be mandatory (not currently always completed by the RE). The data must also be captured during the processing of the Application Form for the RE. This will enable the ability to search for transactions across systems (FRS & SharePoint) using the data. It must be possible to search for transactions across all systems that use the data. Includes the implementation of a validation rule that verifies whether it has been provided.			X		X	X													
FNS117	FNS Financial Operations Division	Better management tools (reports excel)	An extensive amount of time is spent to generate MS Excel databases / spreadsheets to manage the day-to-day operational activities and to collate information required for intelligent decision making. This is inefficient and prone to errors, e.g. Application Forms from the RE's are received manually, processed in SharePoint and then recorded in MS Excel to monitor the progress; OR e.g. data is extracted from systems and manipulated in MS Excel to gain insight into the state of affairs; OR schedules managed by Ops Finance. The requirement is for the optimisation of the business processes by alleviating, or eliminating, the use of MS Excel databases / spreadsheets.													X						
FNS118	FNS Financial Operations Division	Simplify uploading of categories and replies on SharePoint	A lot of unnecessary time is spent uploading replies and attachments on SharePoint as each document has to be uploaded individually i.e. uploading replies and 10 attachments the user have to click on "Add link document>Select reply/cat>browse and upload document>select which division folder> and with attachments, select which type of attachment for each of the documents. The requirement is for bulk load functioanlity - click on "Add Link Document" once, then add all the relative documents by browsing (uploading) and indicating whether it is a reply or cat by making use of a drop down list as well as indicate the type of cat by making use of a drop down list, then selecting the applicable (Financial) folder once. All documents go into the same folder, same date). This will improve the turnaround time to load documents, will go much quicker.																			
FNS144	FNS Information Flow & Debt Management Sections	Viewing transactions	It is currently not possible to browse any data. The requirement is for the ability to view all transactions to which access is allowed, browsing through the database. Not running queries.															X				
FNS145	FNS Information Flow & Debt Management Sections	Correct Matching	The integrity of the data in the FRS is currently questioned as data is either missing, duplicated or inconsistent in terms of the data as it was provided by the RE. The requirement is for a system of control to mitigate the risks associated with this and to respond to the requirements of the internal audit department: data accepted in SARBDEX (files submitted by RE) must be correctly processed and stored in the FRS in an accurate manner to achieve data integrity. Reconciliation of all transactions is required to match transactions received, processed and any exceptions. A dashboard view must also be provided.	X																		
FNS146	FNS Information Flow & Debt Management Sections	Automated report in respect off matching AD data with SARB data	The integrity of the data in the FRS is currently questioned as data is either missing, duplicated or inconsistent in terms of the data as it was provided by the RE. The requirement is for a system of control to mitigate the risks associated with this and to respond to the requirements of the internal audit department: data accepted in SARBDEX (files submitted by RE) must be correctly processed and stored in the FRS in an accurate manner to achieve data integrity. Reconciliation of all transactions is required to match transactions received, processed and any exceptions. A dashboard view must also be provided.	X																		
FNS147	FNS Information Flow & Debt Management Sections	Transaction matching capability	It is currently cumbersome to verify the accuracy of the data processed in FRS as opposed to that reported by the RE. The system uses a value date and processing date. The Value Date is when the account was debited or credited and the transaction was reported to the Bank. The Processing Date is the date when the transaction was processed and saved in FRS. The system can't match them and it is currently a manual process and the user needs to query the system using the transaction reference numbers. The requirement is for the system to automatically check if a transaction was reported already, instead of the user doing manual checks. This will eliminate a lot of work required to respond to such enquiries.			X	X								X							

FNS Derivatives	FLS Derivatives	PIRS Derivatives	#	Organisational Unit	Requirement Name	Comments	Systems Monitoring Tool	New Data Reporting Needs	Search Engine	Reports	Decision Model & Rules Engine	Master Data Management	Systems and Data Integration	Requirements Specification	Business Process Re-Engineering	Reporting Tool	OLAP	Advance Analytics	Agile Data Modelling and Application Development	Data Quality Assurance	Visualisation	FNSD Controls	FLS Derivatives	PIRS Derivatives	Requirement Met / Not Met
			FNS148	FNS Information Flow & Debt Management Sections	Specific reports	Other than the querying capability and exporting of the results to a csv file or displaying the results to the user, there is currently no tool to develop standard reports. The requirement is for the ability to setup predefined reports and the generation of the reports in ORM. The requirement is for a reporting tool over and above the search functionality. The reporting tool must provide standard, pre-defined reports fuelled by user inputted parameters. The report must automatically be made available to the user, information must be automatically extracted from the system and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user in a defined location where it can be accessed. This will provide users the ability to develop and use standard reports.										X					X				
			FNS149	FNS Information Flow & Debt Management Sections	Automated 833 procedure	A specific report for ADLAs is required, the requirement is that this must be automated. This is a report to automatically balance a bulk transaction reported by a Bank (category 833) with a specific transaction reference number with the individual transactions reported by a RE where the RE repeats the transaction reference number of the commercial bank with each transaction in a specific field "BOPDIRTrnReference".																			
			FNS150	FNS Information Flow & Debt Management Sections	User friendly reports	Search results are currently constrained to a set of pre-defined columns. The requirement is for the ability to define the user's column preferences. This will improve the user friendliness and effectives of the search function, provide more advanced search capabilities and improve to turn around time to find relevant data.			X												X				
			FNS151	FNS Information Flow & Debt Management Sections	No manual activation of processes i.e. downloads to 'n: drive'	Currently, data are downloaded into MS Excel and manipulated to produce the correct required format and data content. This takes time and sometimes the download fails in which case users then have to call IT to trigger a process for the download to work. The requirement is for a reporting tool that can be used to setup predefined reports, the scheduling thereof so that it is executed automatically for delivering to the user. The reporting tool must provide standard, pre-defined reports fuelled by user inputted parameters. The report must automatically be made available to the user, information must be automatically extracted from the system and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user in a defined location where it can be accessed. This will provide users the ability to develop and use standard and custom reports and it will improve operational efficiency.										X					X				
			FNS153	FNS Information Flow & Debt Management Sections	No programming errors	Business rules related to the reporting of transactions are currently enforced by means of data validation rules. However, data passes the validation rules when they should not have passed the validation. The requirement is for a robust business rule validation engine that functions as intended. Data must not pass the validation rules when they were in fact meant to be rejected. This will ensure that quality data are provided by the RE. It will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.					X									X					
			FNS154	FNS Information Flow & Debt Management Sections	Put validation in place to prevent garbage	Business rules related to the reporting of transactions are currently enforced by means of data validation rules. However, data passes the validation rules when they should not have passed the validation. The requirement is for a robust business rule validation engine that functions as intended. Data must not pass the validation rules when they were in fact meant to be rejected. This will ensure that quality data are provided by the RE. It will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.					X									X					
			FNS155	FNS Information Flow & Debt Management Sections	If interest or loan repayments on cancellation loan should have a flag	The system should report, to FNSD and the RE, any repayment and interest transactions that are reported on a cancelled loan. This is required in order for the user to be aware of such anomaly and in order to advise the RE of the issue.			X	X								X							
			FNS156	FNS Information Flow & Debt Management Sections	Loans not drawn down not allow repayments or interest reporting / capturing	The system should report, to FNSD and the RE, any repayment and interest transactions that are reported on a loan not yet drawn drown. This is required in order for the user to be aware of such anomaly and in order to advise the RE of the issue.			X	X								X							
			FNS160	FNS Information Flow & Debt Management Sections	Real time data	Currently, to satisfy some reporting and decision making requirements, after hours processing and aggregation of data needs to be performed. The requirement is for the data submissions from the RE to be processed immediately and made available for reporting and searches without delay. Any online analytical processing must be performed in real-time. This will make data available immediately without having to until the next day to access the data.											X								
			FNS174	FNS Information Flow & Debt Management Sections	Easy access to identify enrichment errors	There is currently no uniform way of capturing data, in spite of the RE's obligation to report correct information (e.g. enrichment means having to check names and surnames which are not in a standard format, having to check addresses which are also not in standard format). It becomes cumbersome to search for the data. The requirement is for the standardisation of the format and data to be reported by the RE's and others, the implementation of mandatory fields and the validation of data received to the allowable values across all systems. Integrity of RE's data must improve to ensure data coming in is correct. This will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.														X					
			FNS175	FNS Information Flow & Debt Management Sections	If transactions can be rejected by FinSurv prior to download on Loan Reporting System should it cause an anomaly on the FLS.	The system should report, to FNSD and the RE, any repayment and draw down transactions that exceed the authorised amount of the loan. This is required in order for the user to be aware of such anomaly and in order to advise the RE of the issue.			X	X								X							
			FNS176	FNS Information Flow & Debt Management Sections	When creating interest, repayments or draw downs, more lines than one item at a time	FNSD may process in FLS, on behalf of the RE, manual repayments or manual drawdown transactions. The current problem is that there is no functionality to process the transactions in bulk - required when multiple transactions are reported - the user has to capture the lot of transactions one by one. The requirement is for functionality to be provided to process multiple transactions at the same time, in bulk. This will increase the turnaround time required to manually process transactions.							X										X		
			FNS177	FNS Information Flow & Debt Management Sections	Able to change loan number if error in capturing	It is currently not possible to change a loan number once captured incorrectly in FLS. The requirement is for functionality to change a loan number after the loan was registered.																	X		

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FNS178	FNS Information Flow & Debt Management Sections	Immediate conversion of exchange rate as at date captured on LRS	The processing of back dated foreign loan transactions (manual repayments and draw downs) is currently cumbersome. In some cases the Bank may receive, for processing, loan transactions after the fact. In this case, it is required for the user to manually calculate the rand amount at the exchange rate applicable to the date the transaction applies. The requirement is for the system to automatically calculate the rand amount. The system should do this automatically, not only for back dated transactions, but for all transactions processed.					x												x		
FNS179	FNS Information Flow & Debt Management Sections	Transactions checking / verification ability	It is required that FNSD and RE is systematically and automatically notified of any exception / anomaly, such as: 1. loan cancelled, but repayments and interest transactions received on loan 2. interests exceeding base rate 3. loan overdrawn or overpaid 4. draw downs exceeding the authorised amount 5. interest rate is nill, but interest transactions are reported The system might reject the transaction on receipt thereof with the implementation of a validation rule.																			
FNS243	FNS Inward Listings and Institutional Reporting Division	Utilisation / Vostro reporting	The RE are currently required to submit a schedule of how much of an investment was utilised for a specific period that is reported via the Vostro account. The Bank also receives Application Forms of Inward Listings on the JSE from different RE (JSE Schedules). It is sometimes not possible to match these to transactions in FRS because the RE reports the transactions incorrectly, using incorrect categories. The requirement is for an exception report to manage the mismatch showing the amount allowed by the RE for an investment and the total amount reported for different transactions. Issue 1: The banks are not reporting what they supposed to be reporting i.e. correct categories are not being used Issue 2: The banks are reporting a different amount – this requires an exception report							x	x				x		x					
FNS244	FNS Inward Listings and Institutional Reporting Division	Excel and JSE Web	Currently, if there is a new product on the market, the JSE sends an email notification. Products listed are currently maintained manually on spreadsheets. The requirement is for the automation of the process - the JSE to update the newly listed products automatically; the Inward Listings and Institutional Reporting division approves the listing and notifies the JSE who then lists the product. A report is also required of all products approved but not yet utilised. This will improve the process to manage the listing of products.							x	x	x			x							
FNS245	FNS Inward Listings and Institutional Reporting Division	To avoid copy and paste from JSE stats	Currently JSE spreadsheet 57 files are received, separately, via SARB e-mail address. The spreadsheets are used and data manually copied and pasted to FNSD spreadsheet that computes and aggregates the information (data receive from JSE is the secondary trades and their values for the particular month. FNSD spreadsheet has got formulas for the totals i.e. trades and values for the months). This is required to be automated to avoid copying each file and pasting to another to avoid manual intervention and by this it could save time.											x								
FNS246	FNS Inward Listings and Institutional Reporting Division	Generate exception reports on QAARS over exposure (reconciliation automatically)	There are currently 3 ways to submit Quarterly Assets Allocation Reports (QAAR) to PIRS – bulk, externally by Asset Manager and manual by the Bank. Bulk submissions are done through SARBDEX and validated before being recorded in PIRS. External submissions are provided via the Bank website with similar validations and manual submissions are captured directly on PIRS. The status of the QAAR will be pending until it has been ratified by FNSD. Potential over exposures are then monitored manually using limits defined in PIRS - data are downloaded from FRS to MS Excel monthly to assess the exposure of the fund. Data is also downloaded from PIRS to MS Excel and manipulated to illustrate the over exposure (the limit has been exceeded). Asset Managers are contacted and have to give an explanation of the over exposure. The requirement is for this process to be automated in order to improve it.							x	x				x							
FNS247	FNS Inward Listings and Institutional Reporting Division	Report automatically outstanding QAAR	There is a requirement to monitor the submission of Quarterly Assets Allocation Reports (QAAR) to PIRS. QAAR has to be submitted on a quarterly basis by the Asset Managers. The requirement is for a notification to be published to the Asset Manager and FNSD highlighting outstanding QAAR on a daily basis in order to mitigate the risk associated with missing information.							x	x				x							x
FNS248	FNS Inward Listings and Institutional Reporting Division	Linking SharePoint and PIRS for finalisation	QAAR submitted manually are captured and finalised in SharePoint. When a manual QAAR is received it needs to be followed by a correspondence to confirm receipt and to indicate whether the report was accepted or not. The correspondence is recorded on SharePoint. Those QAAR accepted are recorded on PIRS. There is currently no synchronisation mechanism between PIRS and SharePoint in so far as it relates to the finalisation on SharePoint vs the finalisation on PIRS. The requirement is for a daily report of the status of the QAAR on SharePoint in comparison to the status of the QAAR in PIRS in order to be able to ensure synchronisation of the finalisation of both.							x	x				x							
FNS252	FNS Inward Listings and Institutional Reporting Division	Link FSB website and PIRS to verify correctness	The requirement is for an automated validation of the Asset Manager and Institutional Investor information, as provided by the FSB, when it is processed in PIRS or when a transaction is processed in any system. This will ensure the accuracy, integrity and consistency of the information, ease the ability to search for specific transactions related to the information, and provide the ability to notify the RE of issues in their data. The information is further required to properly govern access to the PIRS.						x	x							x					
FNS253	FNS Inward Listings and Institutional Reporting Division	Verifications of Validations / data	There is currently no uniform way of capturing data, in spite of the RE's obligation to report correct information. It becomes cumbersome to search for the data. The requirement is for the standardisation of the format and data to be reported by the RE's and others, the implementation of mandatory fields and the validation of data received to the allowable values across all systems. This will ensure the accuracy, integrity and consistency of the data, ease the ability to search for a specific transaction, and provide the ability to notify the RE of issues in their data.														x					
FNS254	FNS Inward Listings and Institutional Reporting Division	Transactional reconciliation of PIRS and FRS	PIRS is a quarterly transactions reporting system where FRS is a daily transactions reporting system. In FRS figures might be reported in different transactions that make up the quarterly figure. It is currently a manual process to reconcile and match the data in PIRS to the data in FRS - this is done to verify transactions reported on FRS with what has been recorded in PIRS to confirm the validity of either. The requirement is for the automation of this process and the delivery of an automated exception report. This will improve the efficiency of the business process and outputs it generates.							x	x				x							
FNS255	FNS Inward Listings and Institutional Reporting Division	Exception report for insto's with foreign investments without transactions on FinSurv Rep System	There is a requirement for an exception report to be delivered automatically by the system for those foreign investments not yet transacted on - i.e. no transactions in FRS.							x	x				x							
FNS256	FNS Inward Listings and Institutional Reporting Division	Link Institutional investors (insto's) with AD's they've transferred and transacted with	The AD reports the institutional investors cross border transactions via FRS. On a quarterly basis the Bank receives the asset allocation report from the institutional investors in PIRS. The requirement is to be able to access the FRS system from PIRS i.e. use the institutional name and at a click of a button in PIRS be able to get the cross border transactions from FRS and those be displayed on the PIRS system. This process involves a certain range of categories from FRS. This requirement is for the use of the institutional investors name to access FRS and extract all the cross border transactions for a specified period and link these transactions to the submitted quarterly asset allocation report.			x			x	x					x		x					

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FNS257	FNS Inward Listings and Institutional Reporting Division	Matching PIRS figures to FinSurv Rep System	PIRS is a quarterly transactions reporting system where FRS is a daily transactions reporting system. In FRS figures might be reported in different transactions that make up the quarterly figure. It is currently a manual process to reconcile and match the data in PIRS to the data in FRS - this is done to verify transactions reported on FRS with what has been recorded in PIRS to confirm the validity of either. The requirement is for the automation of this process and the delivery of an automated exception report. This will improve the efficiency of the business process and outputs it generates.			x	x								x							
FNS258	FNS Inward Listings and Institutional Reporting Division	Add institutional investors names / fund administrators on FRS	Currently, in order to collate information, several individual searches have to be performed across multiple systems. It should be possible to perform a single search across both the FRS and PIRS data stores (using the institutional investor, fund name, 3rd party, account holder, Entity name). This includes the ability to search a field using multiple parameters, and the ability to use a lookup list to define the search parameters. It should be possible to fire a fuzzy (wildcard) search. Results that match the search criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems to collate information for decision making, improve the user friendliness and effectives of the search function, provide more advanced search capabilities and improve to turn around time to find relevant data.			x				x								x			
FNS259	FNS Inward Listings and Institutional Reporting Division	Have all possible required identifies e.g. institutional investor, fund administrator, legal entity, applicant, account holder etc.	Currently, in order to collate information, several individual searches have to be performed across multiple systems. It should be possible to perform a single search across both the FRS and PIRS data stores (using the institutional investor, fund name, 3rd party, account holder, Entity name). This includes the ability to search a field using multiple parameters, and the ability to use a lookup list to define the search parameters. It should be possible to fire a fuzzy (wildcard) search. Results that match the search criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems to collate information for decision making, improve the user friendliness and effectives of the search function, provide more advanced search capabilities and improve to turn around time to find relevant data.			x				x								x			
FNS260	FNS Inward Listings and Institutional Reporting Division	Risk profile of institutional investors on PIRS,	The Bank adopts a risk-based approach (RBA) to combat money laundering and financing of terrorism. In support of this, new functionality is required in PIRS. The requirement is for a risk questionnaire to be made available in the system to which the Institutional Investor / Asset Manager must respond periodically. The system will use the input to develop a risk profile for the Entity.								x										
FNS264	FNS Inward Listings and Institutional Reporting Division	Comments fields	The 'comments' field on PIRS is currently a fixed size text input field. The requirement is for the 'comments' field to be allowed the input of more feedback, as the field are not large enough for all comments.																		x
FNS265	FNS Inward Listings and Institutional Reporting Division	Increased limits on fields for comment purposes	The 'comments' field on PIRS is currently a fixed size text input field. The requirement is for the 'comments' field to be allowed the input of more feedback, as the field are not large enough for all comments.																		x
FNS266	FNS Inward Listings and Institutional Reporting Division	Reports for stats be downloaded directly instead of excel	Currently, data are downloaded into MS Excel and manipulated to produce the correct required format and data content. This takes time. The requirement is for a reporting tool that can be used to setup predefined reports, the scheduling thereof so that it is executed automatically for delivering to the user. The reporting tool must provide standard, pre-defined reports fuelled by user inputted parameters. The report must automatically be made available to the user, information must be automatically extracted from the system and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user in a defined location where it can be accessed. This will bring improve operational efficiency.										x	x				x			
FNS268	FNS Inward Listings and Institutional Reporting Division	Combine bulk external / internal as one application	One system for internal and external users BULK qaars are submitted as .xml files via SARBDexII (electronic submissions). EXTERNAL qaars (from Fund Administrators) are captured and submitted via the web interface (portal). INTERNAL qaars are captured manually by FNSD onto the database. For each submission type, the validation rules differ e.g. INTERNAL qaars can be captured if the previous qaar is still PENDING whereas EXTERNAL & BULK submissions cannot be submitted if the previous qaar is still PENDING, INTERNAL qaars captured are all PENDING whereas BULK & EXTERNAL qaars could be ACCEPTED if there are no over-exposures or deviations, BULK submissions have 1 comment space to capture deviation or over-exposure whereas EXTENAL have separate "Reason Prompts", EXTERNAL qaars cannot be submitted if the Institional NameList is not attached, BULK submitted must send their Institutional NameList to us via SARBPortfolio@resbank.co.za. When there are changes to our validations or requirements, these 3 applications have to be updated individually. The requirement is for one system.																		
FNS274	FNS Inward Listings and Institutional Reporting Division	SARB portfolio – Automated reply "acknowledgment of email"	External users can currently submit a Quarterly Assets Allocation Reports (QAAR) via email (MS Outlook). An acknowledgement of receipt is required to be provided by FNSD, currently users send a manual correspondence each time the QAAR is received. The requirement is for an automated acknowledgement response in order to eliminate the manual intervention.																		
FNS277	FNS Inward Listings and Institutional Reporting Division	PIRS - Deviations and over exposure reasons in PIRS must be standardised.	External users need to provide a reason for a deviation to defined thresholds in PIRS, these needs to be captured in PIRS. It is currently a free text field that accepts any value captured. Inevitably, the user may capture an empty space. The requirement is for a list of reason codes to be provided which is mandatory for the user to select, with further information to be provided in the current field. This will at least ensure that some information is provided.					x	x								x				x
FNS314	FNS Inward Listings and Institutional Reporting Division	System should be flexible & stable when changes are made	The system must be flexible to cater for changes in the market practises.													x					
FNS315	FNS Inward Listings and Institutional Reporting Division	Registering new instro's, then system should notify of bb, reminders etc.	The user needs a capability, during the registration of a fund in PIRS, to be notified of information that exists in peripheral systems. It must be possible to return information from all peripheral systems based on the fund name or other "standard" identifiers, in order to collect any information relevant to the entity in question. The implication is that all systems must be integrated for data query purposes (searches).			x				x					x				x		x
FNS316	FNS Inward Listings and Institutional Reporting Division	Search across all systems	Currently, in order to collate information, several individual searches have to be performed across multiple systems. It should be possible to perform a single search across all the data stores. Results that match the search criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems to collate information for decision making.			x				x											

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FNS317	FNS Inward Listings and Institutional Reporting Division	Close to limits flag and report risk	It is currently a manual process to find, extract and report on data that exceeds allowable thresholds in order for make the RE aware of it so that it can provide reasons for the deviation. The requirement is for the ability to define thresholds on certain fields, and any field, in the database, such as foreign asset holdings. The system must automatically monitor the performance against the threshold and must automatically generate an exception report when the thresholds are exceeded. The system must automatically report the exceptions to the RE and FNSD and prompt the RE to provide the reasons for the deviation. This will improve the current process of monitoring the industry.				X	X							X							
FNS318	FNS Inward Listings and Institutional Reporting Division	Notify intro's of comments made by SARB on request on external submissions	FNSD currently comment in PIRS on the deviation reasons provided by the RE, however this is not visible to the RE unless provided to it via a formal communique. The requirement is that PIRS must enable the outward communication of additional comments from FNSD to the RE. This will improve transparency.							X											X	
FNS319	FNS Inward Listings and Institutional Reporting Division	Approval function by external users	There is currently no external approval mechanism in PIRS for the Quarterly Assets Allocation Reports (QAAR) submitted by the Asset Managers. The requirement is for an approval workflow initiated after the QAAR is submitted by the Asset Manager in order for external authorisation to take place prior to submitting it for approval to the Bank. This is required to meet the governance and audit requirements of especially institutional investors and fund managers.								X	X									X	
FNS296	FNS Trade Exports Section	Automation of data d/down w/in specific limits / requirements	Currently, data are downloaded into MS Excel and manipulated to produce the correct required format and data content. This takes time. The requirement is for a reporting tool that can be used to setup predefined reports, the scheduling thereof so that it is executed automatically for delivering to the user. The reporting tool must provide standard, pre-defined reports fuelled by user inputted parameters. The report must automatically be made available to the user, information must be automatically extracted from the system and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user in a defined location where it can be accessed. This will provide users the ability to develop and use standard and custom reports and it will improve operational efficiency.								X	X						X				
FNS297	FNS Trade Exports Section	Creation of spreadsheets with specific data with limited intervention	Currently, data are downloaded into MS Excel and manipulated to produce the correct required format and data content. This takes time. The requirement is for a reporting tool that can be used to setup predefined reports, the scheduling thereof so that it is executed automatically for delivering to the user. The reporting tool must provide standard, pre-defined reports fuelled by user inputted parameters. The report must automatically be made available to the user, information must be automatically extracted from the system and a predefined report generated per defined parameters, sorting, filtering and grouping, and made available for the user in a defined location where it can be accessed. This will provide users the ability to develop and use standard and custom reports and it will improve operational efficiency.								X	X						X				
FNS298	FNS Trade Exports Section	Macro matching report for IVS	Currently import and export transactions are reported by the RE in FRS; and import customs data are reported by SARS in IVS. The matching between the data sets is done manually once the data is exported to MS Excel. The requirement is for an automated reconciliation of data between FRS and IVS and the reporting of exceptions; system must automatically generate and deliver to FNSD an exception report. The system must automatically report the exceptions to the FNSD. This will alleviate the amount of manual intervention required to perform the match.				X	X							X							
FNS300	FNS Trade Exports Section	Pre-identifying certain errors in advance: macro matching & exceptions	Currently import and export transactions are reported by the RE in FRS; and import customs related data are reported by SARS in IVS. The matching between the data sets is done manually once the data is exported to MS Excel. The requirement is for an automated reconciliation of data between FRS and IVS and the reporting of exceptions; system must automatically generate and deliver to FNSD an exception report. The system must automatically report the exceptions to the FNSD. This will alleviate the amount of manual intervention required to perform the match.				X	X							X							
FNS301	FNS Trade Exports Section	Generate relevant comments for every mismatch	The system should, during the automated macro-matching (matching of different data sets) process, assign predefined comments to mismatches, using a standard set of failure reasons as reference.					X							X							
FNS302	FNS Trade Exports Section	Auto exception report of transfers over R1M & no customs data	The purpose of the macro matching process between FRS and IVS is to reconcile the movement of goods and payments. The requirement is for an automated report to be generated and provided to FNSD where no customs data were received for reported transactions in FRS or vice versus.				X	X							X							
FNS305	FNS Trade Exports Section	Upgrade / automate data interaction with external party (SARS e.g.)	The requirement is for the current channels and mechanisms used to receive and record data from the external parties to be improved.							X												
FNS306	FNS Trade Exports Section	Data gathering unreliable – too many down loads taking place	Currently, in order to collate information, several individual searches have to be performed across multiple systems. It should be possible to perform a single search across all the data stores. Results that match the search criteria from all systems must be returned at the same time. This will eliminate the need to perform several individual searches across multiple systems to collate information for decision making.		X					X												
FNS307	FNS Trade Exports Section	System check to ensure all (customs) data received	The integrity of the data in the IVS is currently questioned as data is either missing or inconsistent in terms of the data as it was provided by Customs / SARS. The requirement for a system of control to mitigate the risks associated with this and to respond to the requirements of the internal audit department: files submitted by Customs / SARS must be correctly processed and stored in the IVS in an accurate manner to achieve data integrity. Reconciliation of all transactions is required to match transactions received, processed and any exceptions. A dashboard view must also be provided. The import and export data are totally different streams of data received from Customs / SARS. The source document in both instances is the SAD 500 document, imports will utilise the MRN number to match data received from SARS with data received from the commercial banks while exports will utilise the CCN and UCR to match both streams of data. Export data is not stored on the IVS it is stored on another database. FNSD needs confirmation that all import and export data send by SARS is on the database, IVS and Export data respectively.	X																		
FNS308	FNS Trade Exports Section	Access to export data (export data from mainframe)	It is currently not possible to search on any field not defined as a parameter inputted field i.e. available on the page where the search criteria may be entered - relates to the export data on the mainframe. The requirement is for the ability to define a search criterion on any field available in the database. This will remove the search limitations.		X													X				
FNS311	FNS Trade Exports Section	Choose columns that we want to import	Search results are currently by default outputted as text columns, and remains as such unless the user changes the format of the column when the data is imported into MS Excel. The search results further contains a set of pre-defined columns. The requirement is for the ability to define the user's column preferences and for the default format of the data in the column to persist when the search results are extracted from the system and imported into MS Excel. This must however not compromise standardisation in terms of he reports to reporting entities.															X				

#	Organisational Unit	Requirement Name	Comments	Systems Monitoring Tool	New Data Reporting Needs	Search Engine	Reports	Decision Model & Rules Engine	Master Data Management	Systems and Data Integration	Requirements Specification	Business Process Re-Engineering	Reporting Tool	OLAP	Advance Analytics	Agile Data Modelling and Application Development	Data Quality Assurance	Visualisation	FNSD Controls	FLS Derivatives	PIRS Derivatives	Requirement Met / Not Met
FNS313	FNS Trade Exports Section	Simplify input / parameter screen	IVS APEX not user friendly. Requirement is for a more intuitive easy to use report (query) generation capability.			X												X				