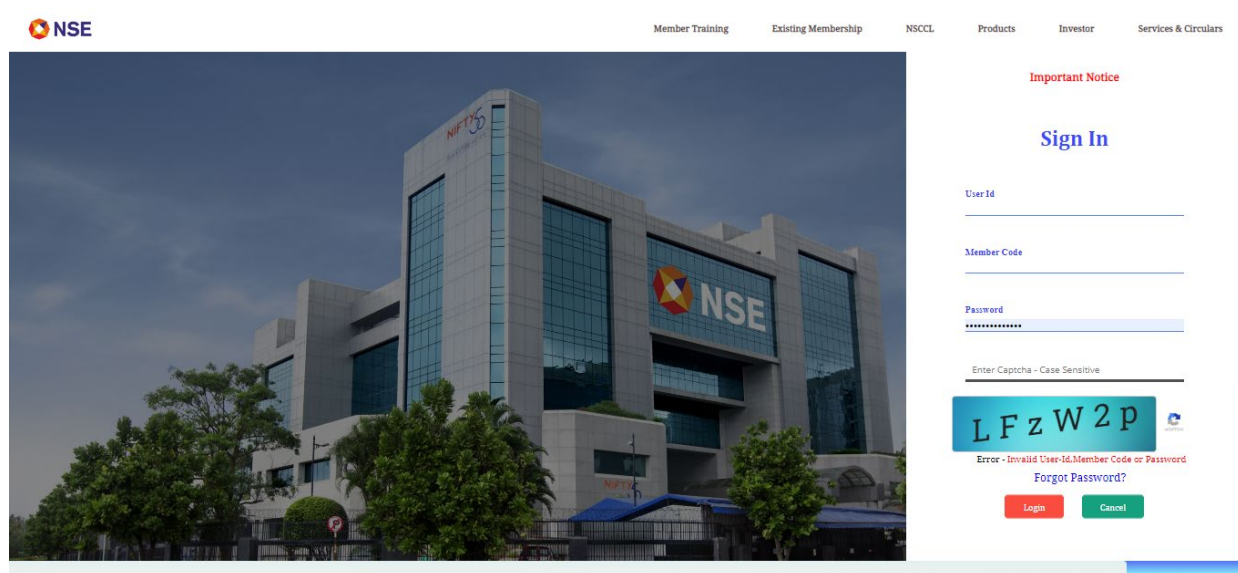


HELP GUIDE TO COMMON QUERIES RELATING TO INTERNAL AUDIT SUBMISSION

Query 1: Invalid User ID or Password

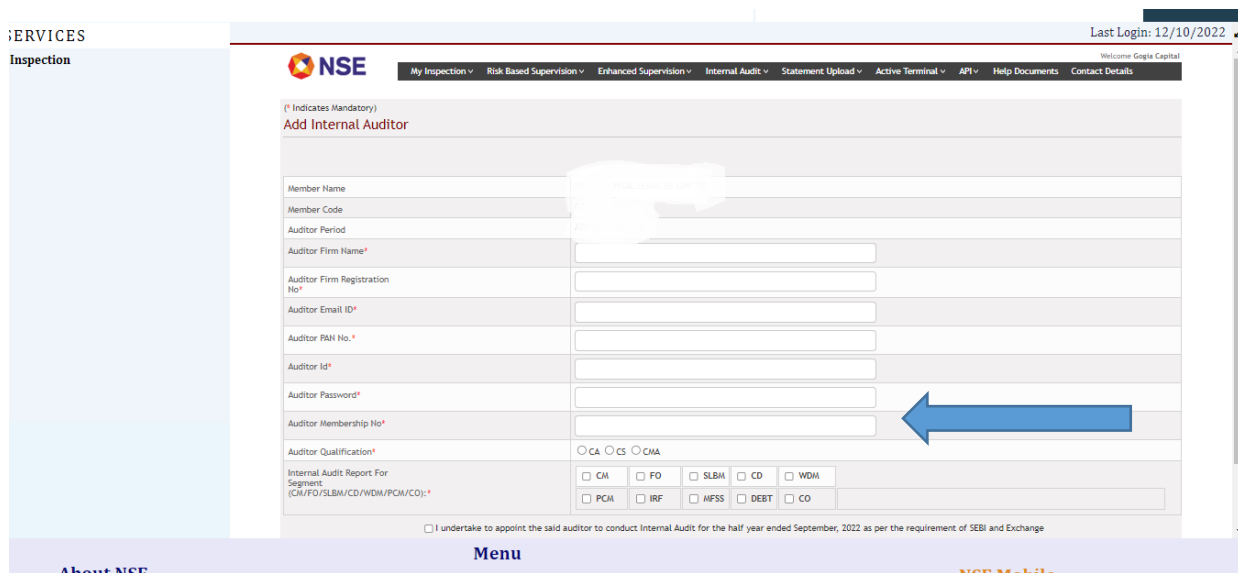


The screenshot shows the NSE Member Portal Sign In page. The page features the NSE logo and a navigation menu at the top. The main content area displays a large image of the NSE building. On the right side, there is a 'Sign In' section with fields for 'User Id', 'Member Code', and 'Password'. Below these fields is a 'Forgot Password?' link and a 'Login' button. An error message is displayed below the password field: 'Error - Invalid User-Id, Member Code or Password'. A blue arrow points to the 'Forgot Password?' link.

Solution:

Please ensure that Auditor ID allocated to auditor while registration in the Inspection system, and user ID while creating login for Auditor through (MemberPortal>>User Management) must be the same.

Refer Screenshot below:



The screenshot shows the NSE Member Portal 'Add Internal Auditor' form. The form is titled 'Add Internal Auditor' and includes a sidebar with 'SERVICES' and 'Inspection' options. The form fields are as follows:

- Member Name
- Member Code
- Auditor Period
- Auditor Firm Name*
- Auditor Firm Registration No*
- Auditor Email ID*
- Auditor PAN No.*
- Auditor Id*
- Auditor Password*
- Auditor Membership No*
- Auditor Qualification* (CA, CS, CMA)
- Internal Audit Report For Segment (CA/FO/SLBM/CD/PDM/PCM/CO)*

A blue arrow points to the 'Auditor Password*' field. At the bottom of the form, there is a checkbox for 'I undertake to appoint the said auditor to conduct Internal Audit for the half year ended September, 2022 as per the requirement of SEBI and Exchange'.

Below screen is used to create login user, for auditor in the Member Portal.

NSE Existing Membership ▾ NSCCL Products ▾ Investor ▾ Services & Circulars ▾ Dashboards ▾ User Management ▾ User ▾ Sign-Out

User Details

User Id:* Name:* Name not valid

Password:* Confirm Password:*

Address Line 1 :* Address Line 2 :

Mobile No. :* Std Code. :

Landline : Fax No. :

Email :*

* Indicates mandatory fields , and all fields are mandatory for NSE-ASSIST service.

[Password Policy](#)

Please note: Auditor ID in the 1st screen and User ID in the 2nd screen must be the same.

Query 2: You have put incorrect membership no. or have submitted the report for all the segment assigned to you.

Solution: This error occurs when roles are not assigned to the auditor.

Steps to assign roles:

- 1) Ask the member to login to member portal from **admin ID**
- 2) Click on User Management
- 3) Click on Modify user (in case of Existing auditor)/Add user (in case of new auditor).
- 4) Click on assign roles against the auditor ID reflecting in the portal.
- 5) Tick on **“Inspection_Internal Audit”** and save.

Please note: Rights for member -‘Inspection’

For Auditors- ‘Inspection_Internal Audit’.

Query 3: Error while Installing Digital Signature

Solution: Refer E-lock Client Software Installation and Troubleshooting Guide

Path: Member Portal>Inspection- Internal Audit>Help Document- (available in Member login)

Member Portal>Inspection_Internal Audit>Internal Audit> Help Document (available in Auditor login)