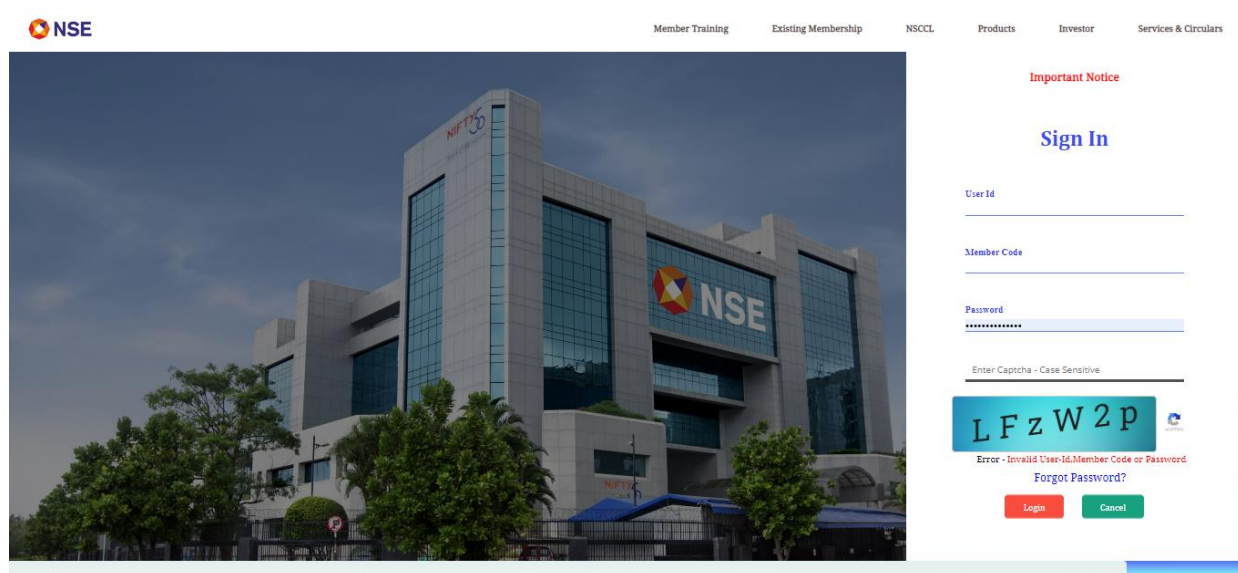


HELP GUIDE TO COMMON QUERIES RELATING TO INTERNAL AUDIT SUBMISSION

Query 1: Invalid User ID or Password

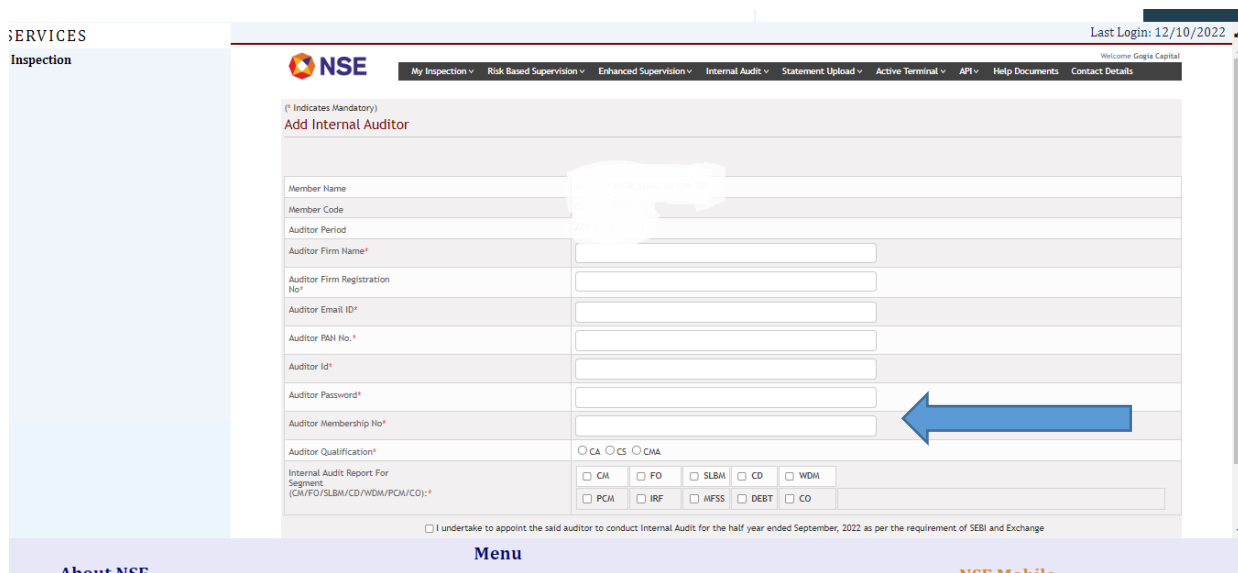


The screenshot shows the NSE Member Portal Sign In page. The page features the NSE logo and a navigation bar with links: Member Training, Existing Membership, NSCL, Products, Investor, and Services & Circulars. A large image of the NSE building is on the left. On the right, there is a 'Sign In' section with fields for User Id, Member Code, and Password. Below these fields is a Captcha image showing 'LFZW2P'. An error message is displayed: 'Error - Invalid User-Id, Member Code or Password. Forgot Password?'. There are 'Login' and 'Cancel' buttons at the bottom of the sign-in section.

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 'Add Internal Auditor' form in the NSE Member Portal. The form is titled 'Add Internal Auditor' and includes a sidebar with 'SERVICES' and 'Inspection'. The form fields are: Member Name, Member Code, Auditor Period, Auditor Firm Name*, Auditor Firm Registration No*, Auditor Email ID*, Auditor PAN No.*, Auditor Id*, Auditor Password*, and Auditor Membership No*. Below these fields are checkboxes for Auditor Qualification* (CA, CS, CMA) and Internal Audit Report For Segment (CA/FO/SLBM/CD/WDN/PCM/CO)*. A blue arrow points to the 'Auditor Id*' field. At the bottom, 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)