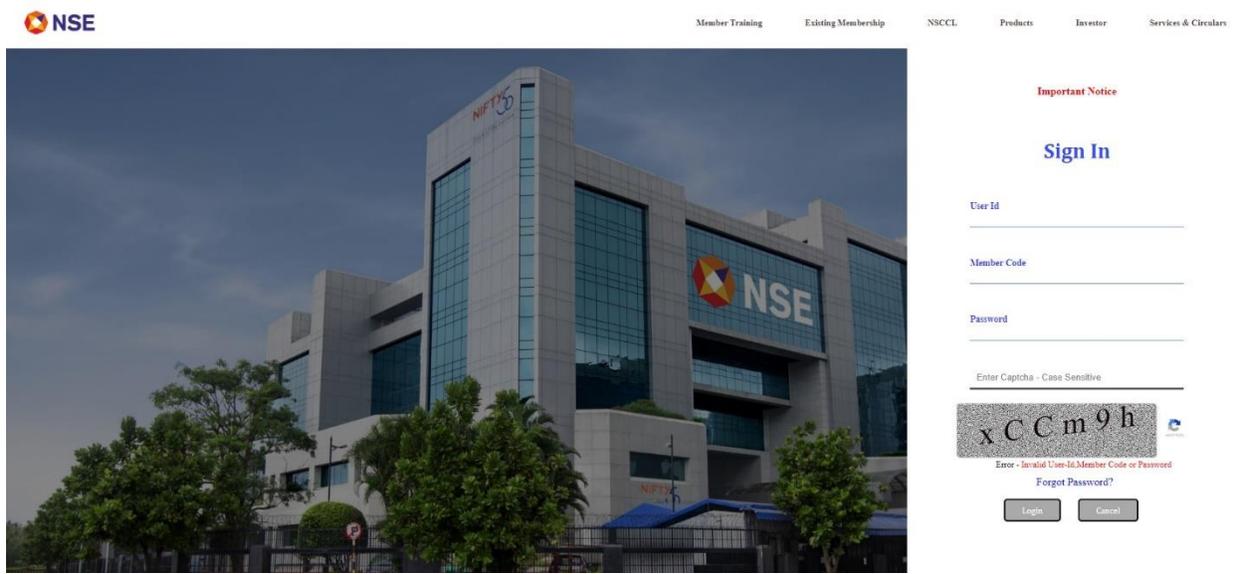


HELP GUIDE TO COMMON QUERIES RELATING TO INTERNAL AUDIT SUBMISSION

Query 1: Invalid User ID or Password



Solution:

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

Refer Screenshot below:

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

SERVICES Last Login: 10/04/2024

Inspection

Add Internal Auditor

Member Name

Member Code

Auditor Period OCT-23 To MAR-24

Auditor Firm Registration No*

Auditor Firms Name**

Auditor Membership No*

Auditor Email ID*

PAN of the Auditor*

Pan of the Audit Firm*

Auditor Id*

Auditor Password*

Auditor Qualification* CA CS CMA

Internal Audit Report For Segment [CA/FD/SLBM/CD/WDM/OBPP/CO]:*

CM FO SLBM CD WDM

OBPP IRF MFSS DEBT CO

I undertake to appoint the said auditor to conduct Internal Audit for the half year ended March, 2024 as per the requirement of SEBI and Exchange

Note:

1. Kindly create Auditor Login ID through Member's Admin ID and register the same Login ID.

2. Auditor Login ID created through Member Admin ID should match with the Auditor Login ID registered.

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

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

User Details

User Id:* Name:*

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)