System Audit Report Submission

Member Login :

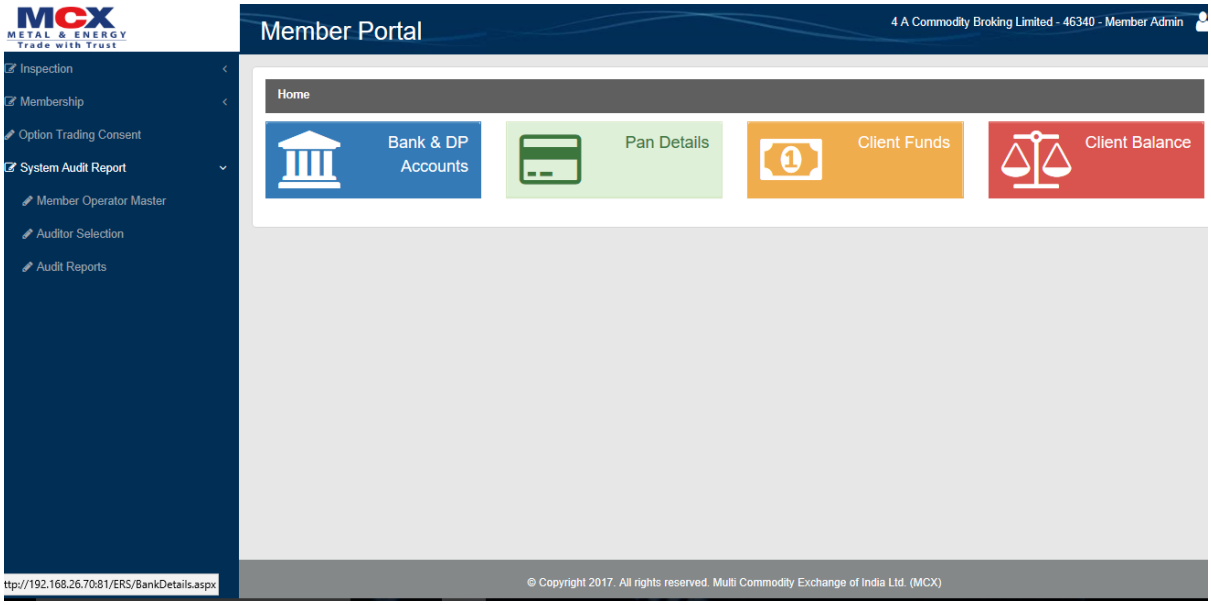
Process: Login with Member Login credentials-

User ID: <Member Id>

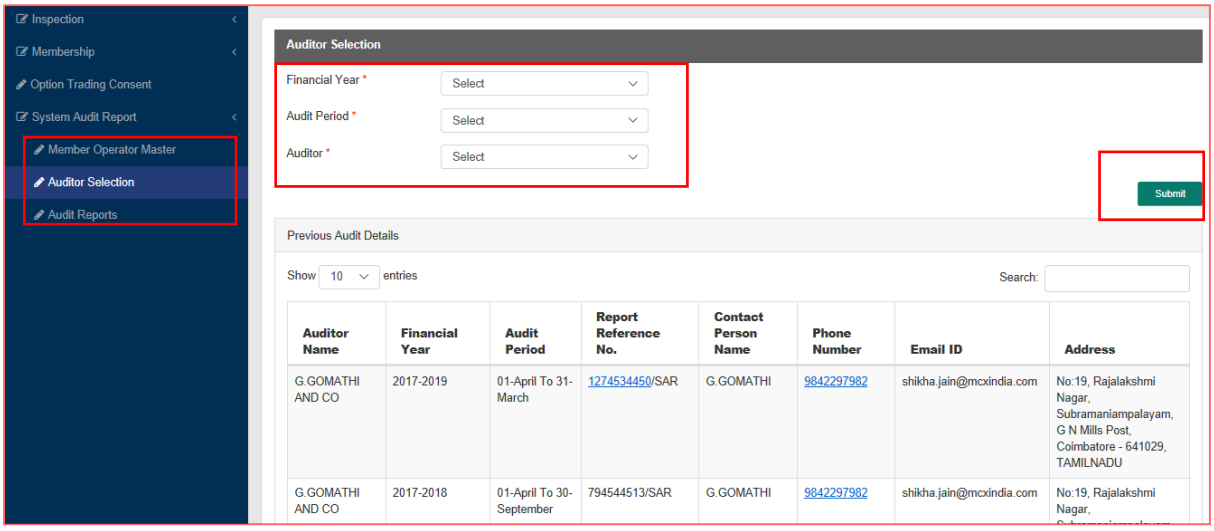
Password: Kindly reset through Forget password link



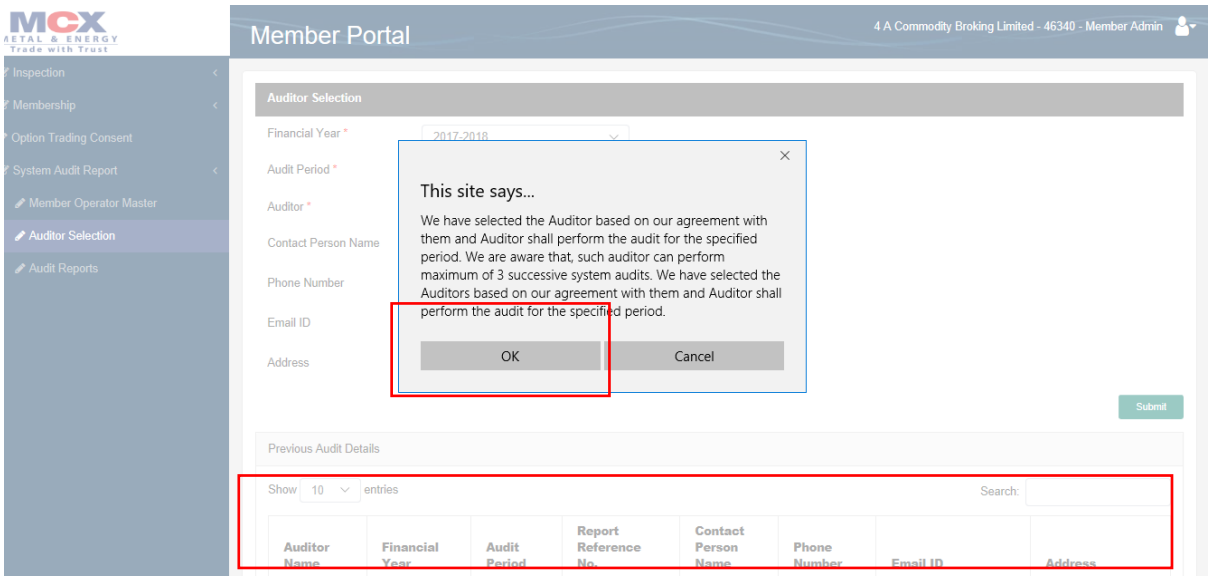
Home screen will display as below:



Click on System Audit report > click on Auditor Selection > Select Financial Year, Audit Period & auditor & then submit.



On Click of submit button Pop will display with terms & conditions, read & provide confirmation by click on "OK" Button for selection of Auditor.



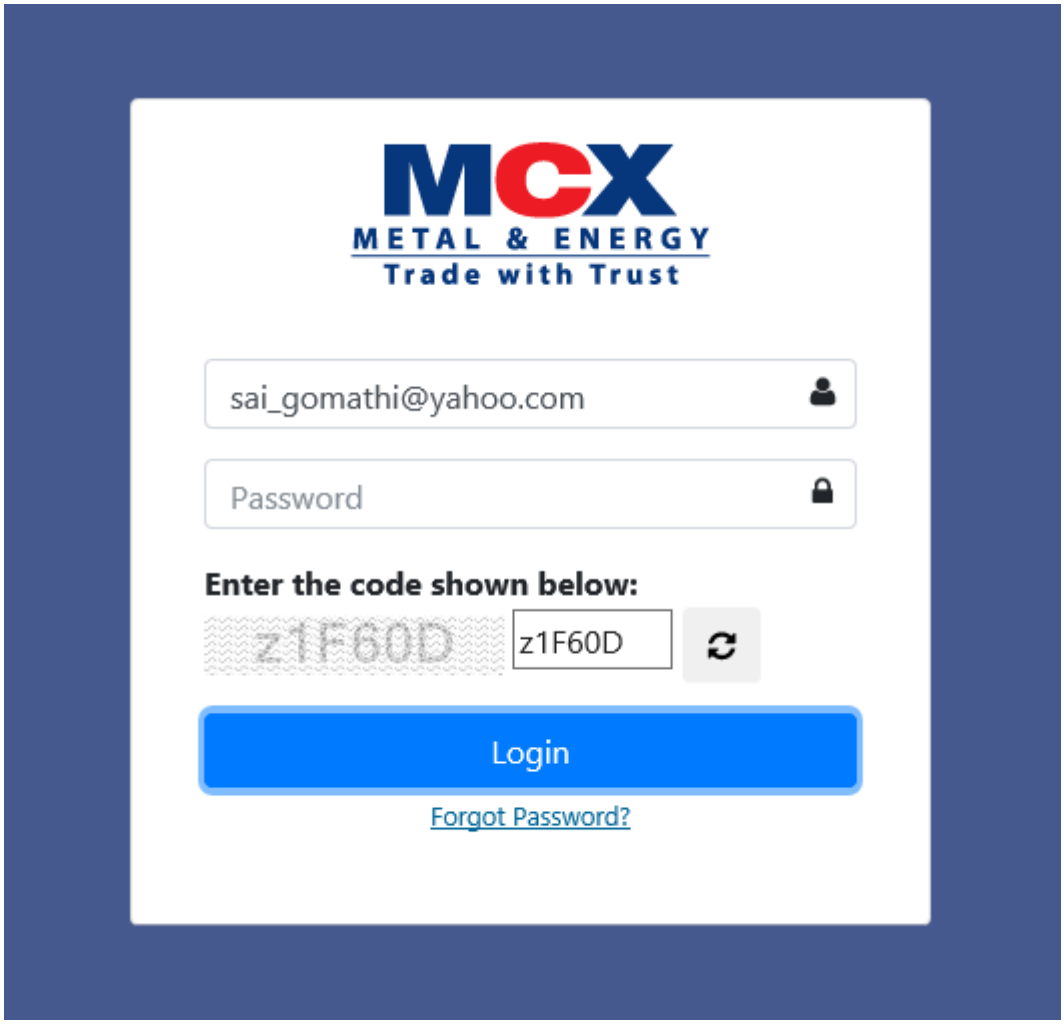
Assigned Auditor list will display on same page in summary grid.

Auditor login:

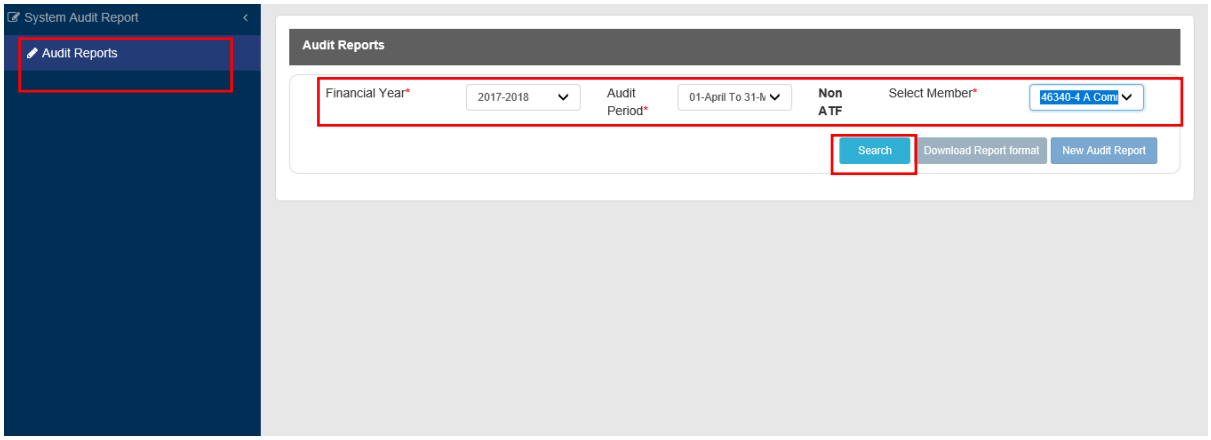
Process: Login details received on auditors registered email Address > Login with Auditor login credentials

Login ID: Registered E-mail ID

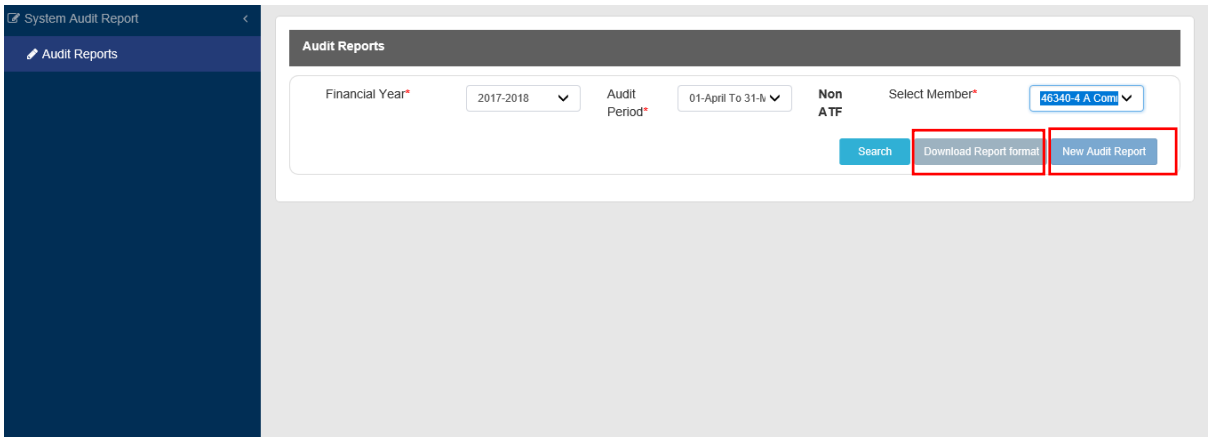
Password: Kindly reset through Forget password link

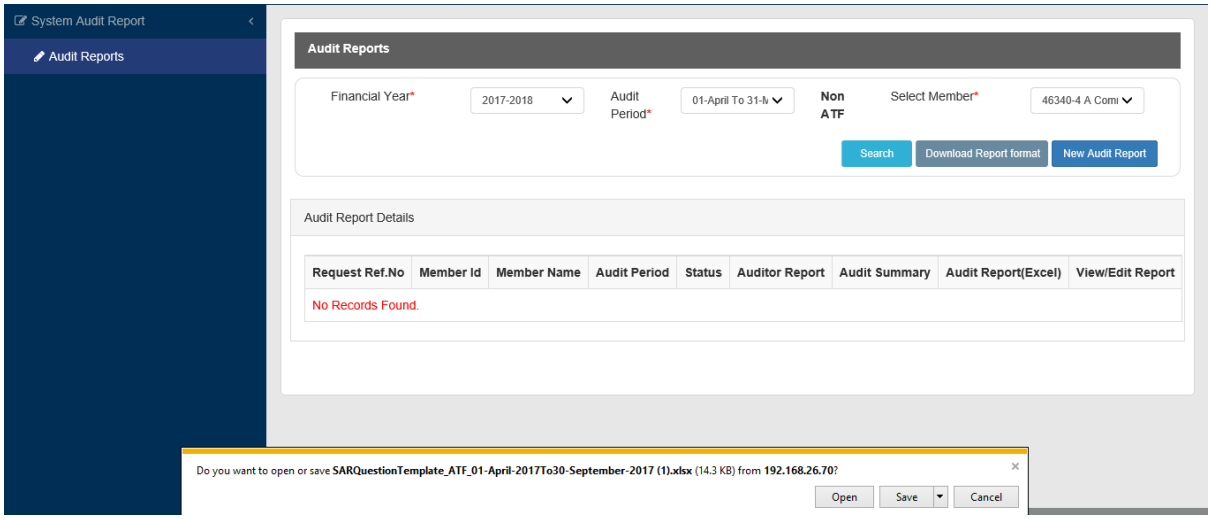


Click on System Audit Report> Audit report to start the audit > Select Period & member & then click on Search to find the Status.

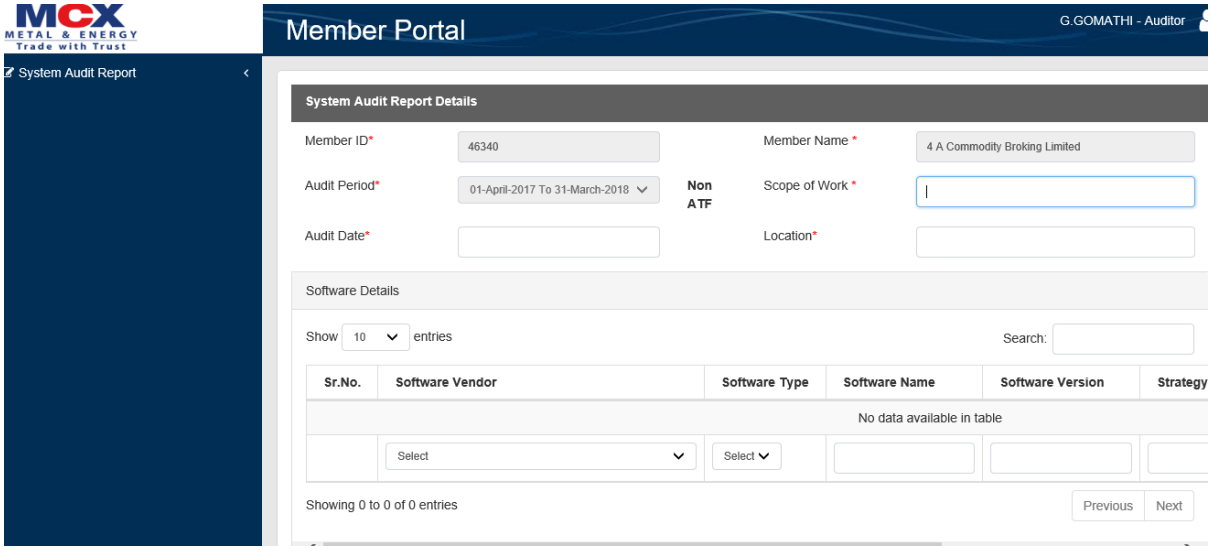


Click on Download Report Format- it will download the Checklist for System Audit Report or Auditor can directly Start Audit by clicking “New Audit Report”

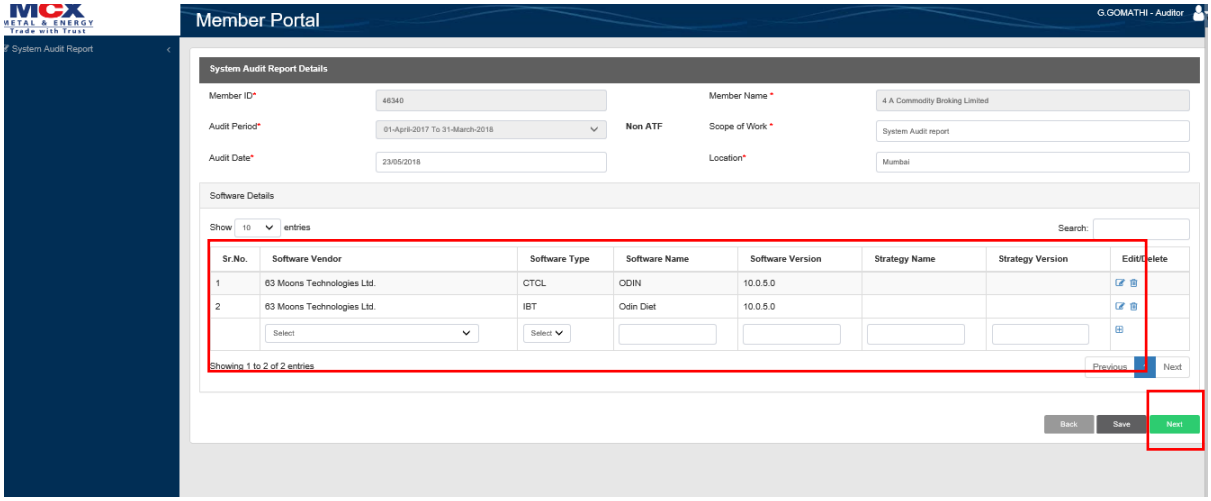




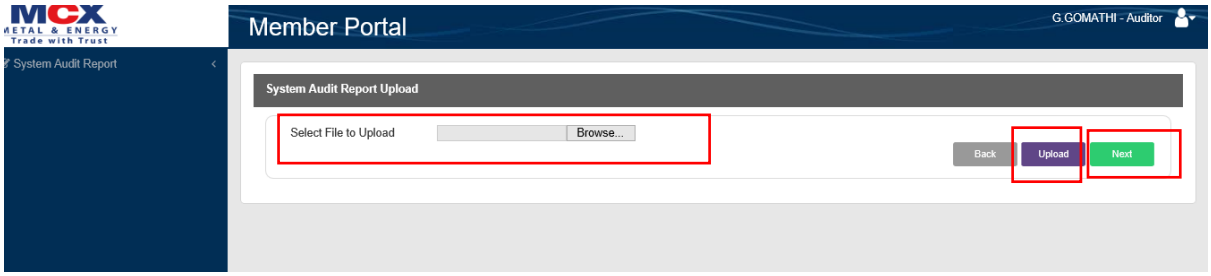
On click of “New Audit Report” new page will open to fill the correct details & Save the data & Press next to submit details.



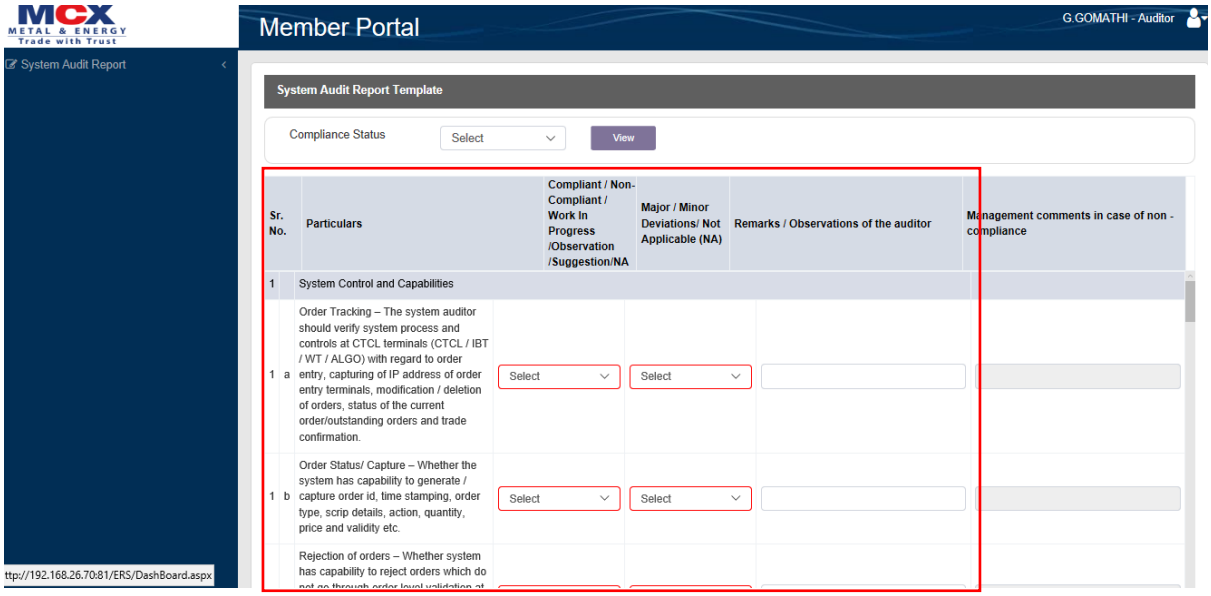
Fill The Approved Software also.



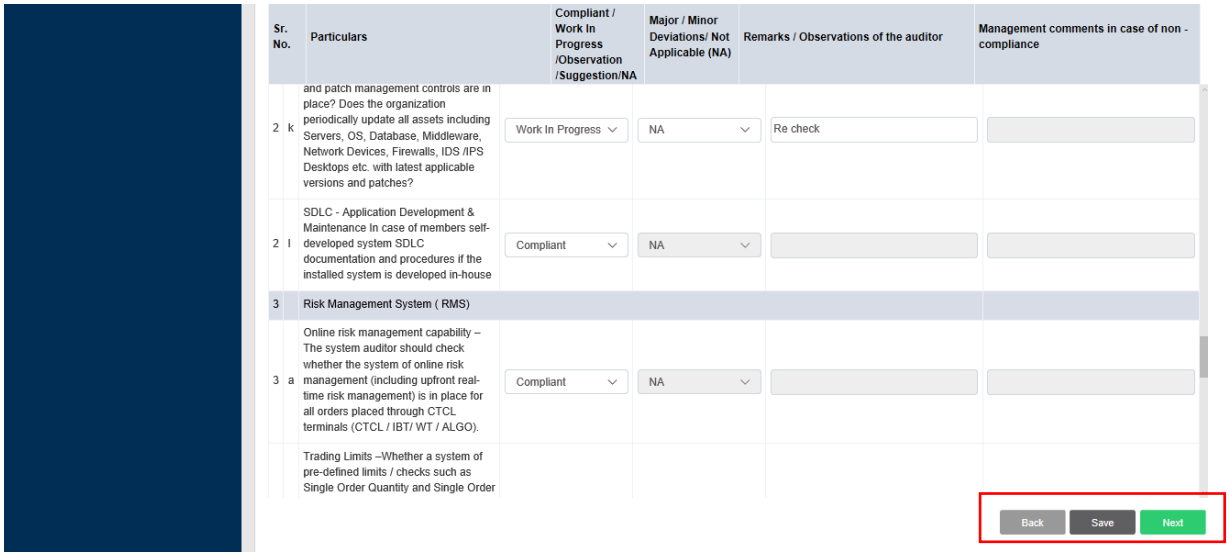
On clicking of Next Button new page will open with Select file to upload – auditor can fill the details in downloaded Excel file for system audit report & upload the same. The other option for Auditor is to directly fill the detail on portal by clicking on “Next” Button.

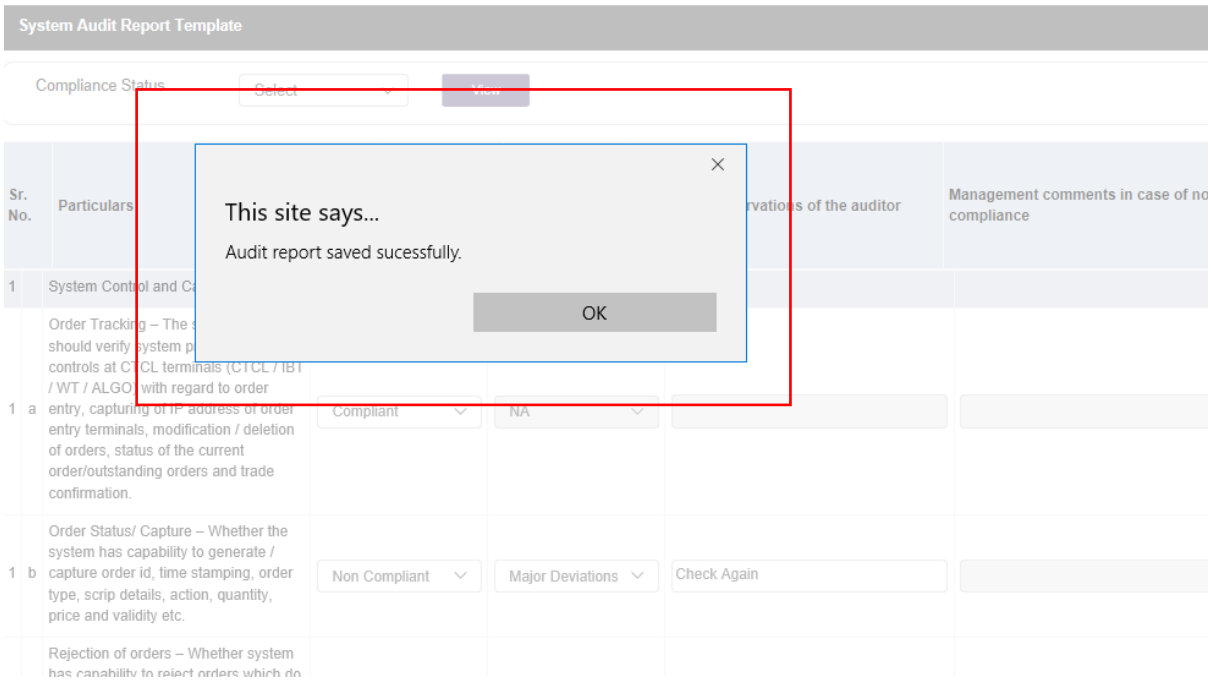


On Click of “Next” button below displayed screen will open & auditor have to fill details, Management comment will be filled by members after submission of report to member.

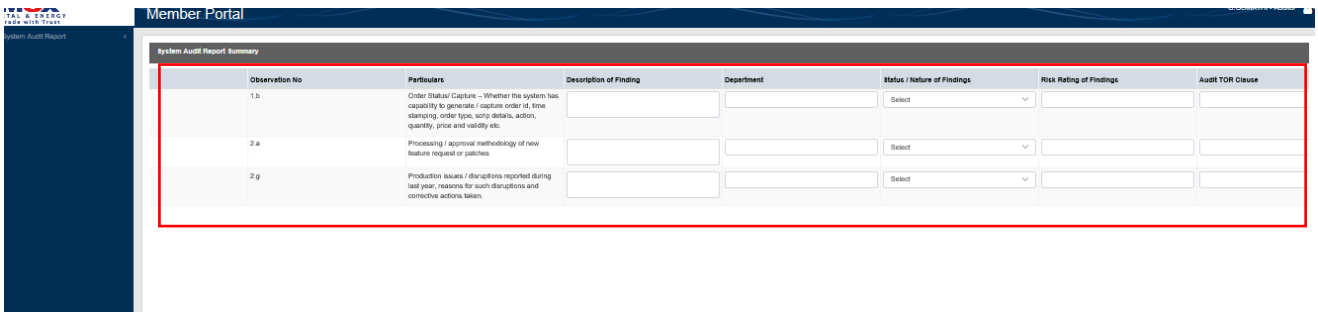


On submission of comment in all points click on save to save the data & press Next button to save the report & it will display new window with comment Audit Report saved successfully.

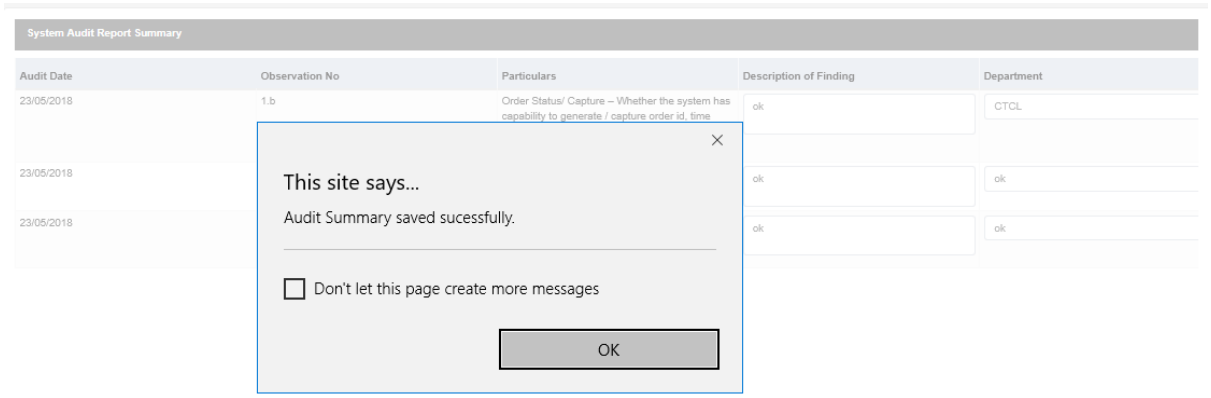




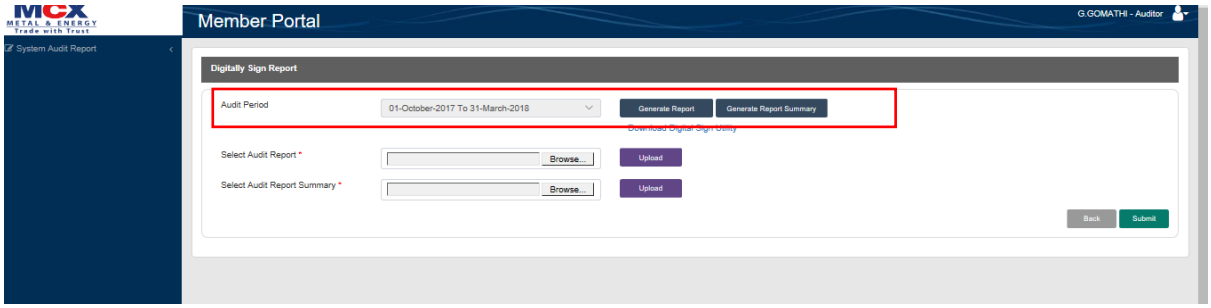
If in report there is Observation/Non-Compliant status Auditor needs to fill details of observation in Executive Summary, which will open in next window.



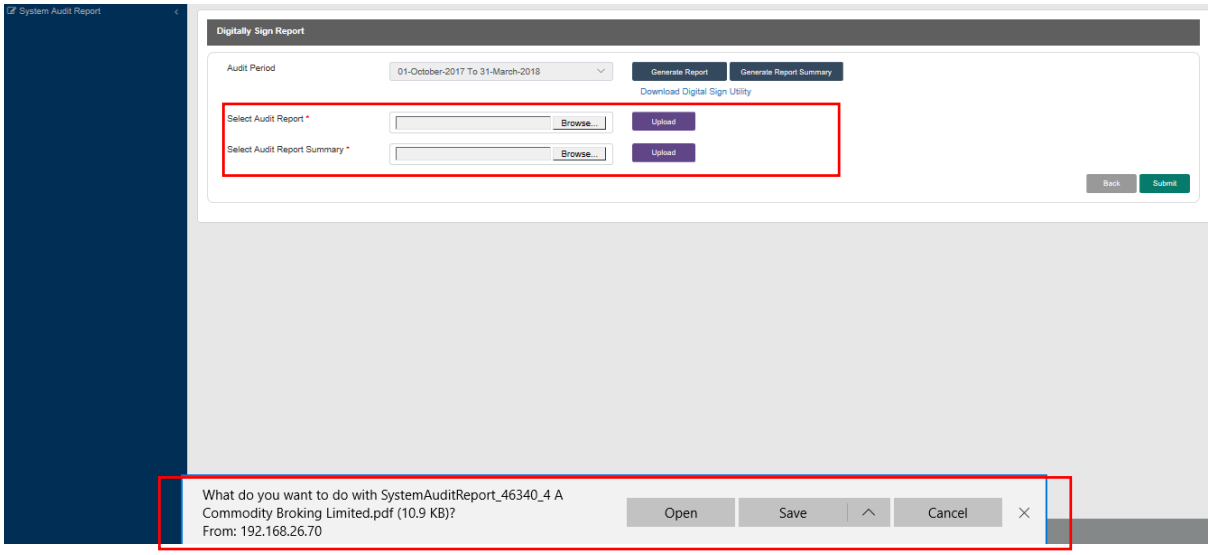
Pop up will display on correct details submission:



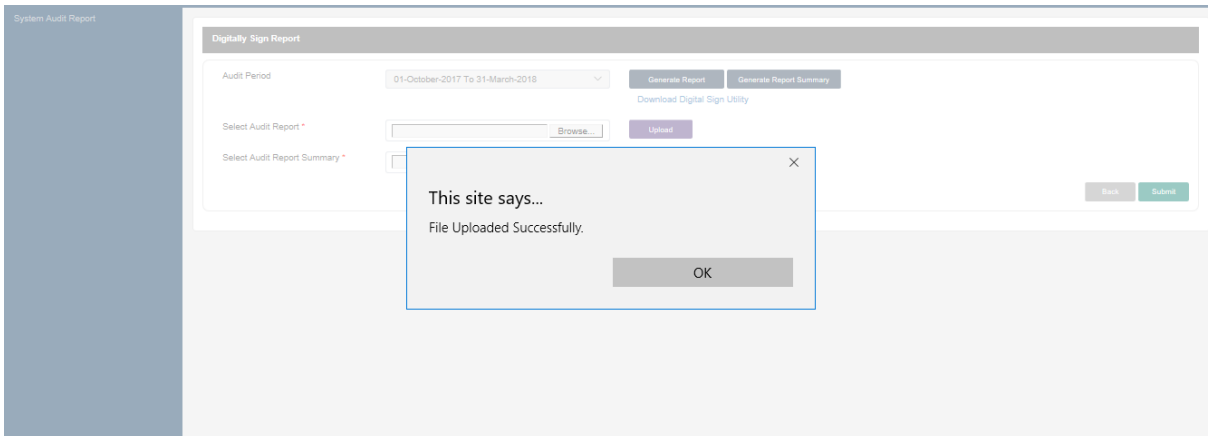
New window will open from where Auditor needs to generate Report & Report Summary.



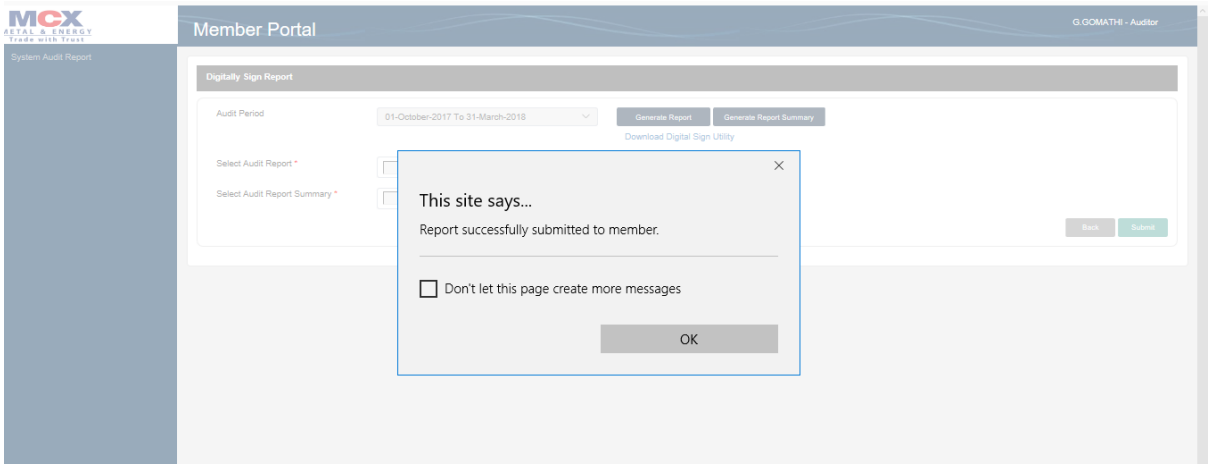
Auditor Can Download the files & make it Digitally signed & uplaod the digitally signed report & summary.



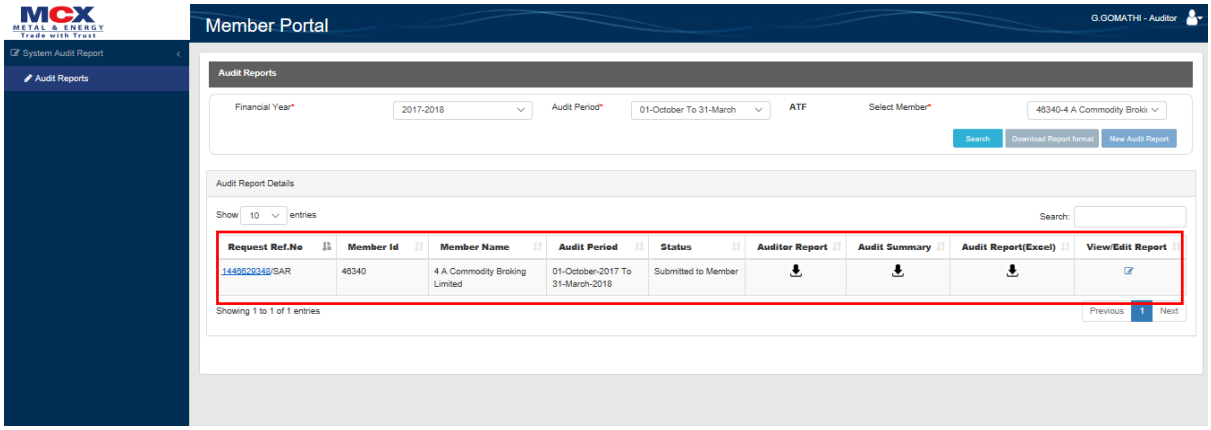
On upload file below screen will display:



After uploading files successfully, Auditor should press “Submit” button to submit the report to the member. Pop message for same will display:

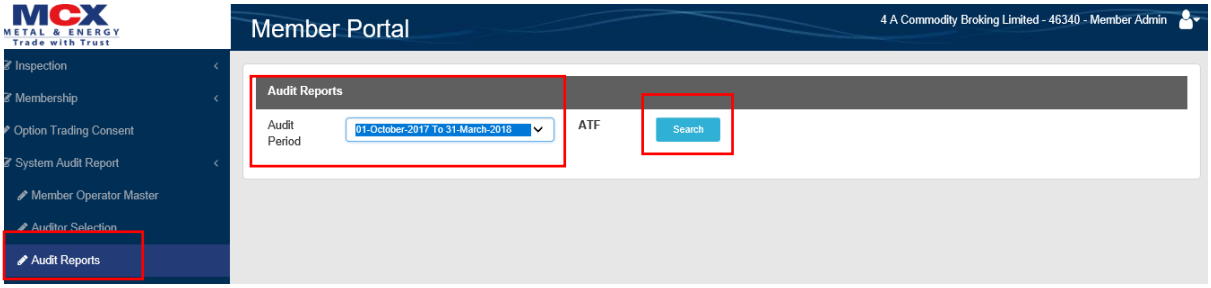


Auditor can view/download the submitted reports:

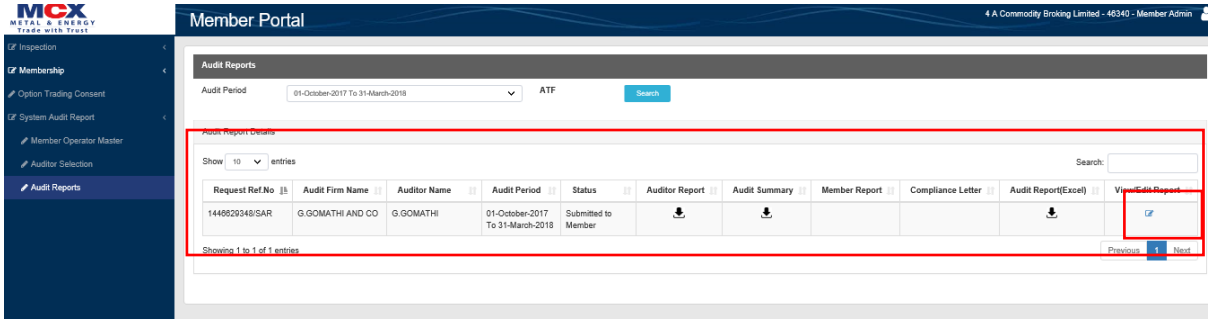


Member Login:

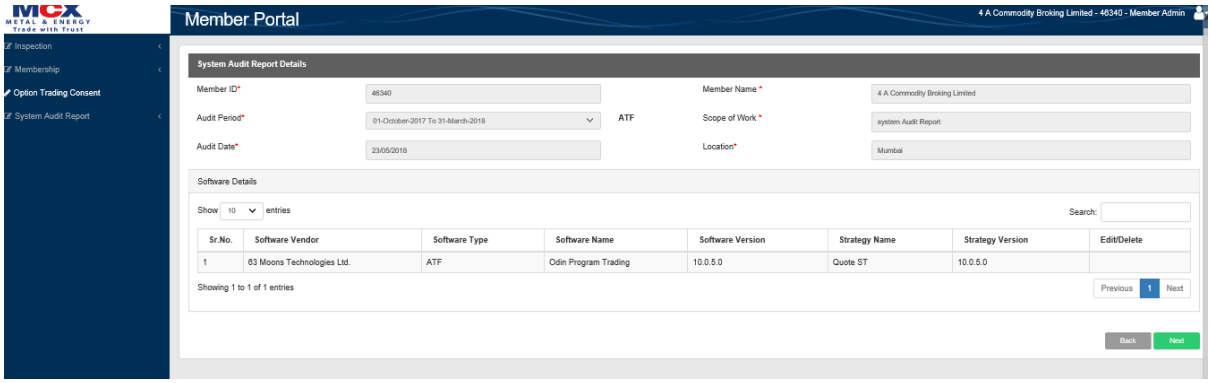
To View report submitted by Auditor: Select Audit Reports> audit period >Search



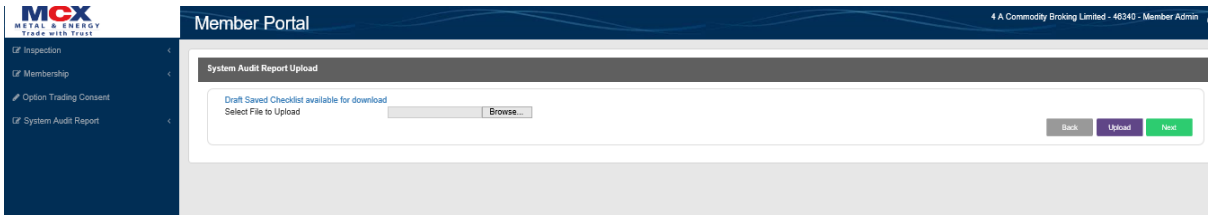
Click on search button will Display submitted Report in summary grid.



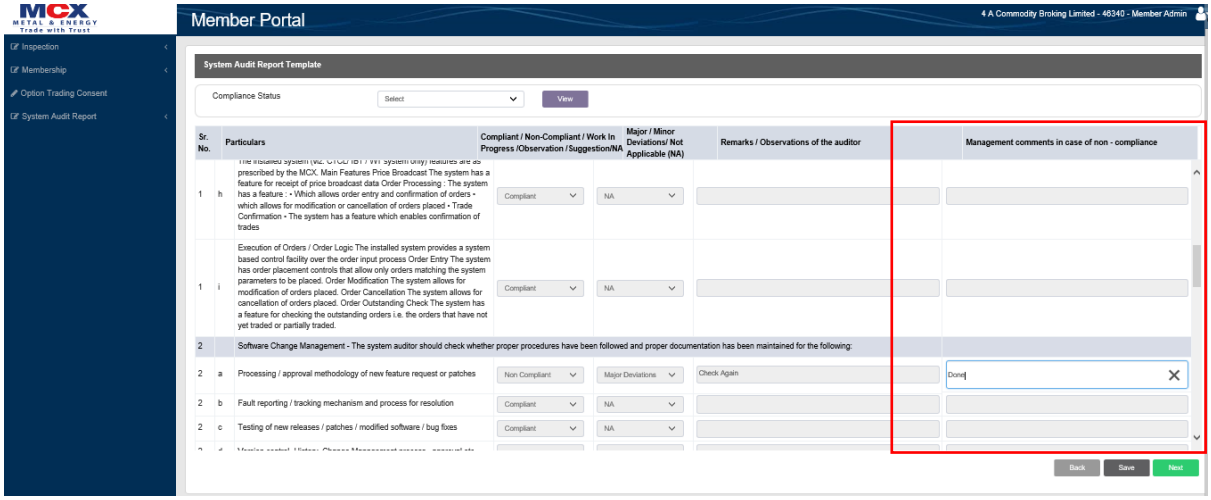
Click on View/Edit to see the reports



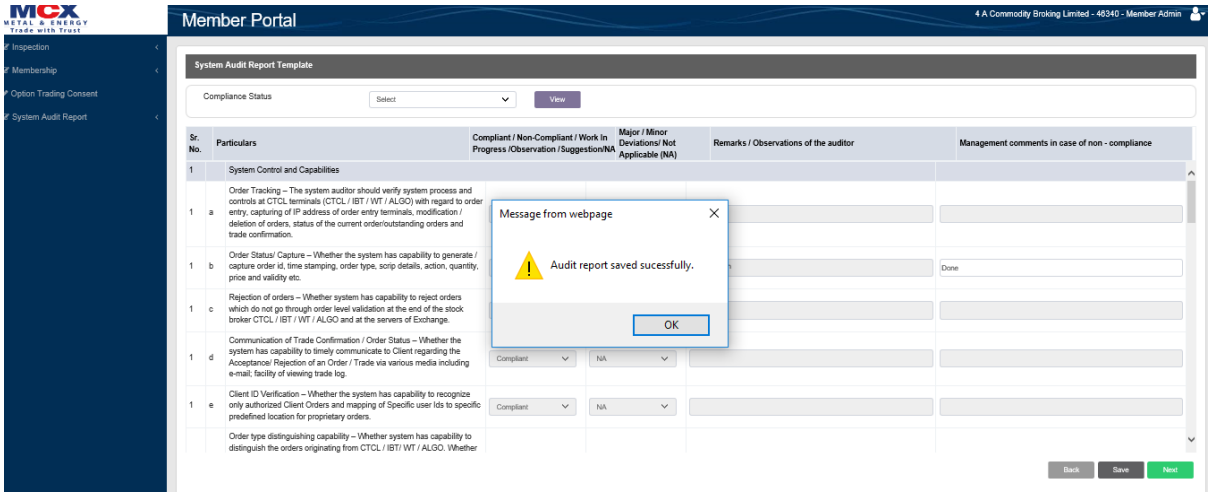
Click on “Next” for next page:



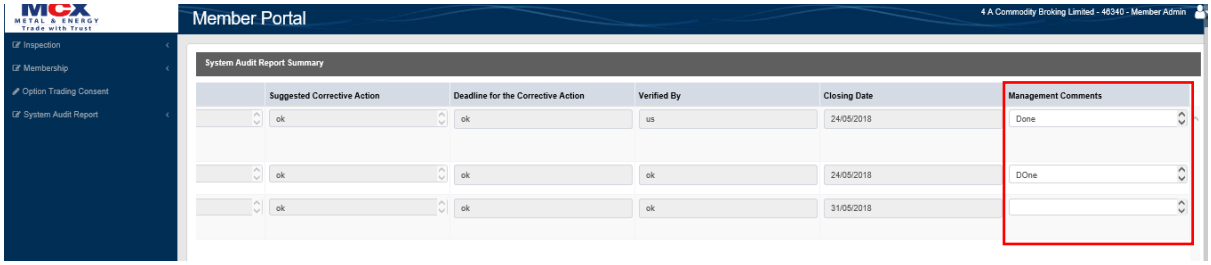
Enter the management comments for non –complied points & press Save & then Submit

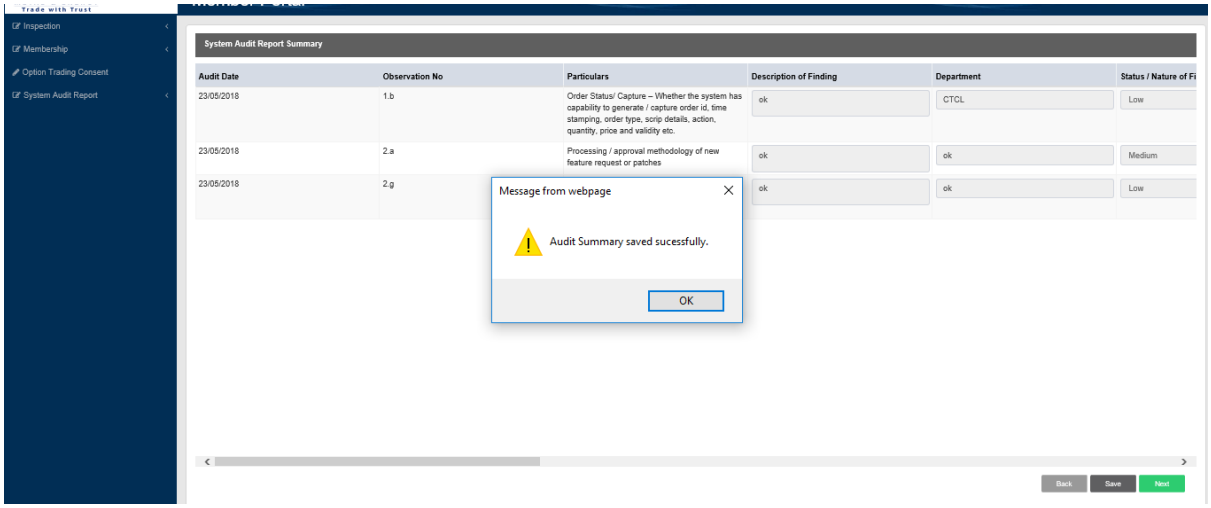


After submission, pop- up window provide confirmation for Record saved successfully:



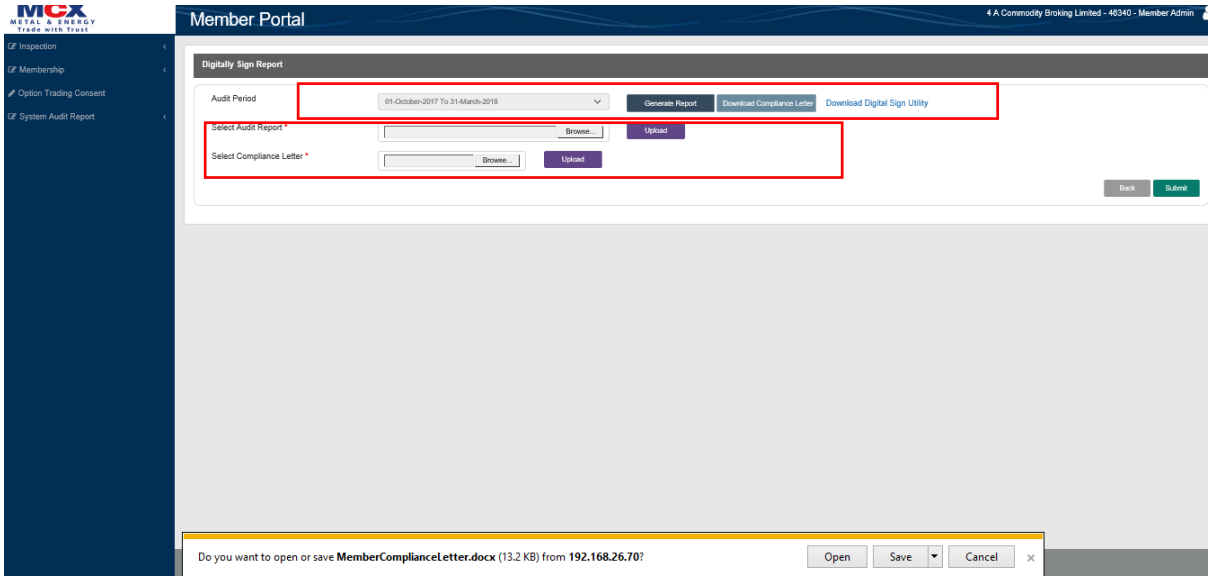
Member have to fill management comments in Summary sheet also & submit the saved report.



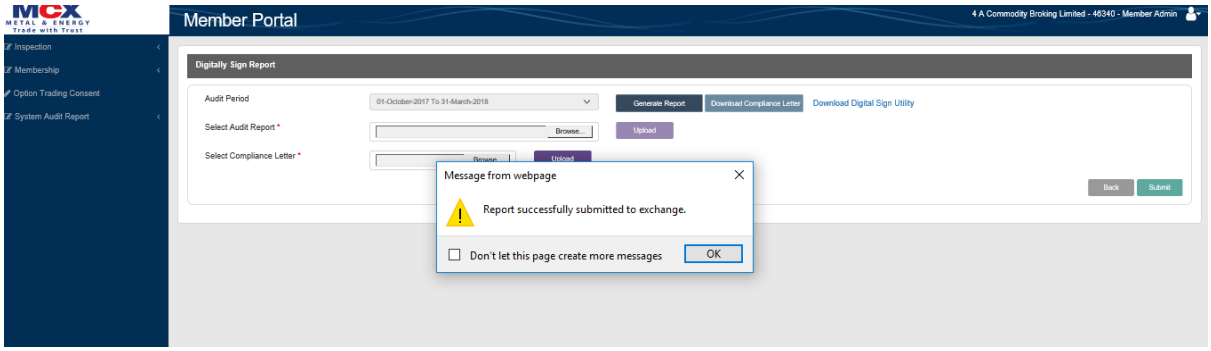


Now member Need to generate Audit Report & compliance letter (if applicable)

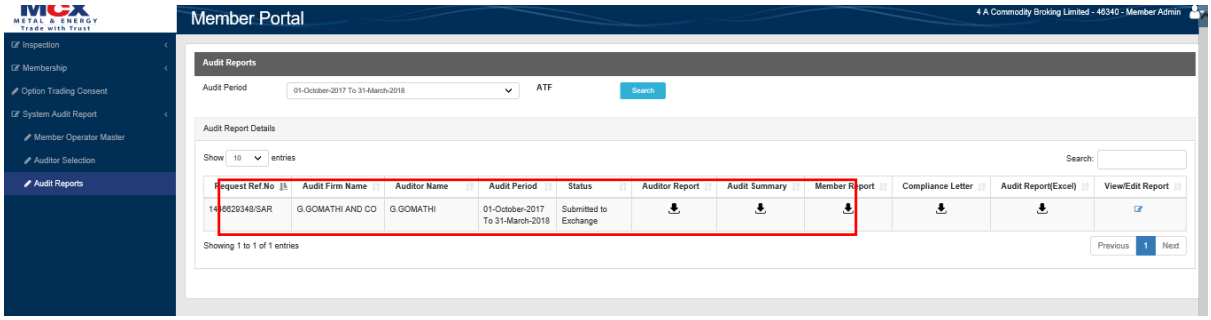
& same needs to be upload after digital signed.



After upload the digitally signed audit report & compliance letter (if applicable) Click on submit button it will submit the report to the Exchange & get a confirmation message for Successful submission of reports:



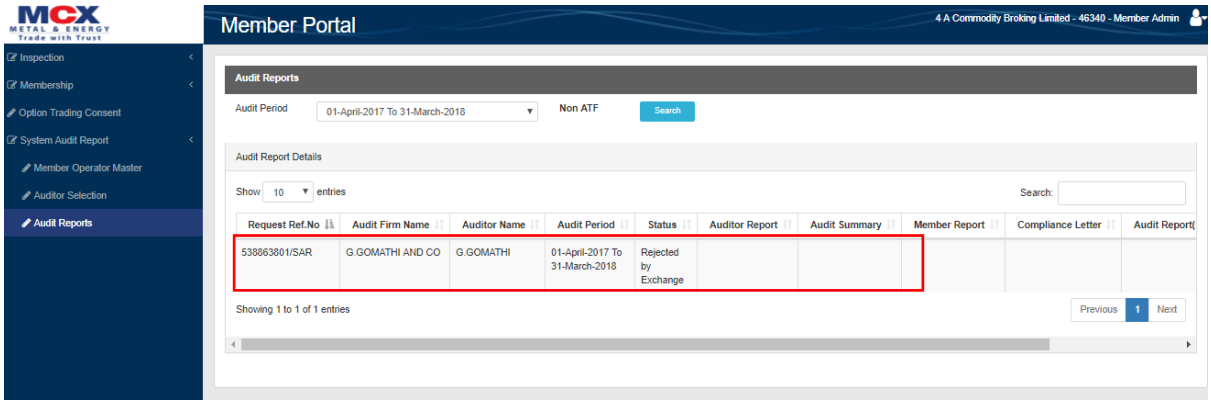
Member can check current status of report from Audit report Menu



If Audit Report is rejected by Exchange member & auditor will get Mail intimation for the same:

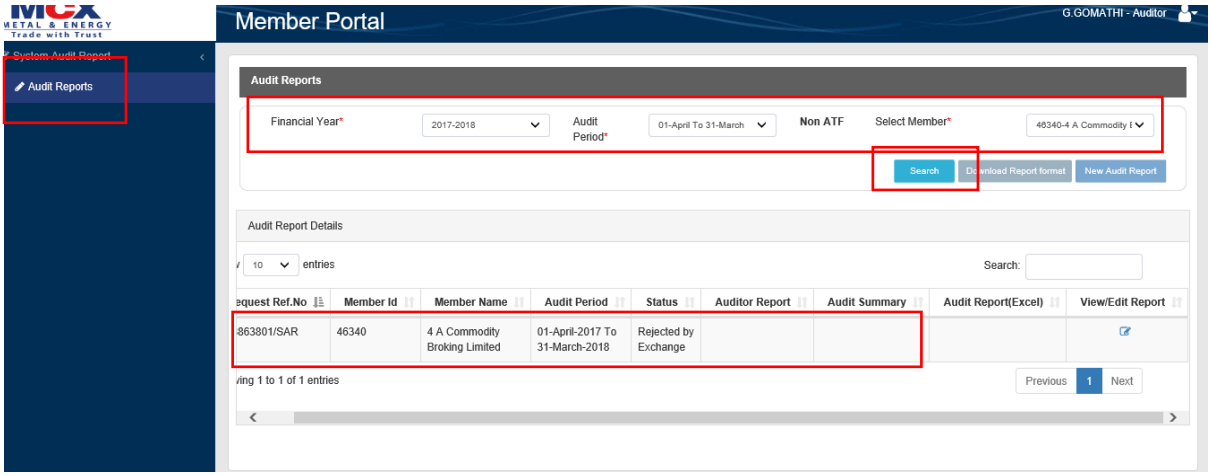
Process for Resubmission of revised report:

Check The status of Report from: System Audit Report>Audit Report> select Audit Period & click on Search:

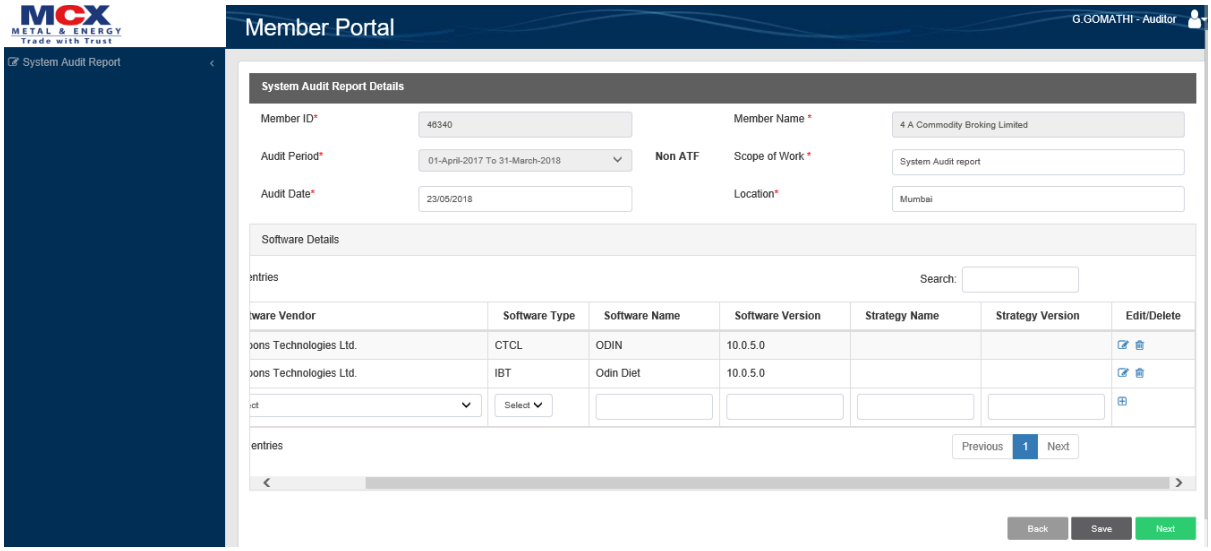


Auditor need to login & Check the status of submitted report: System Audit Report>Audit Report> select Audit Period & click on Search:

Auditor needs to edit the report by clicking on “View /Edit report” Button

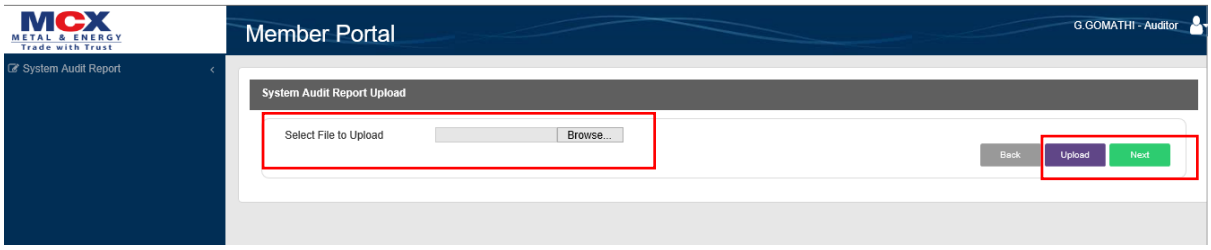


If there is changes in software details auditor can edit the same:

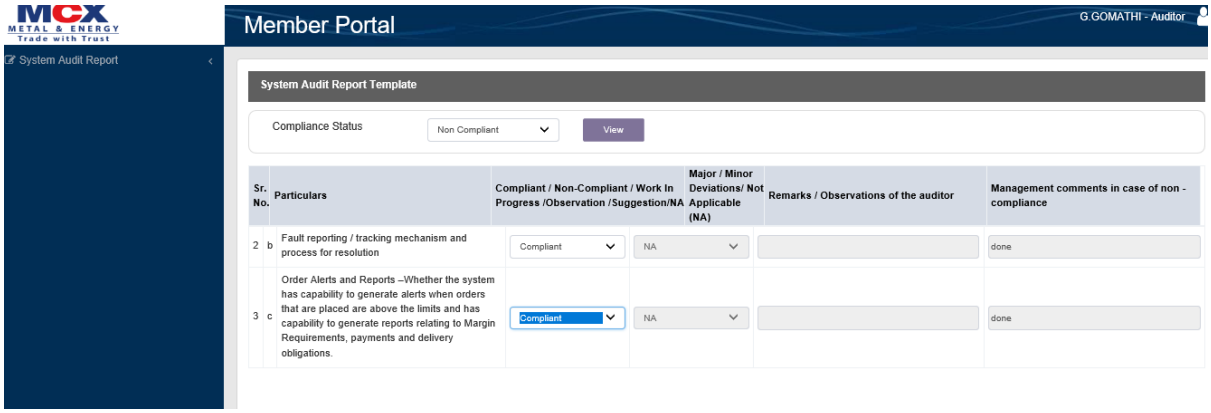


On submission of Next button below displayed screen will open

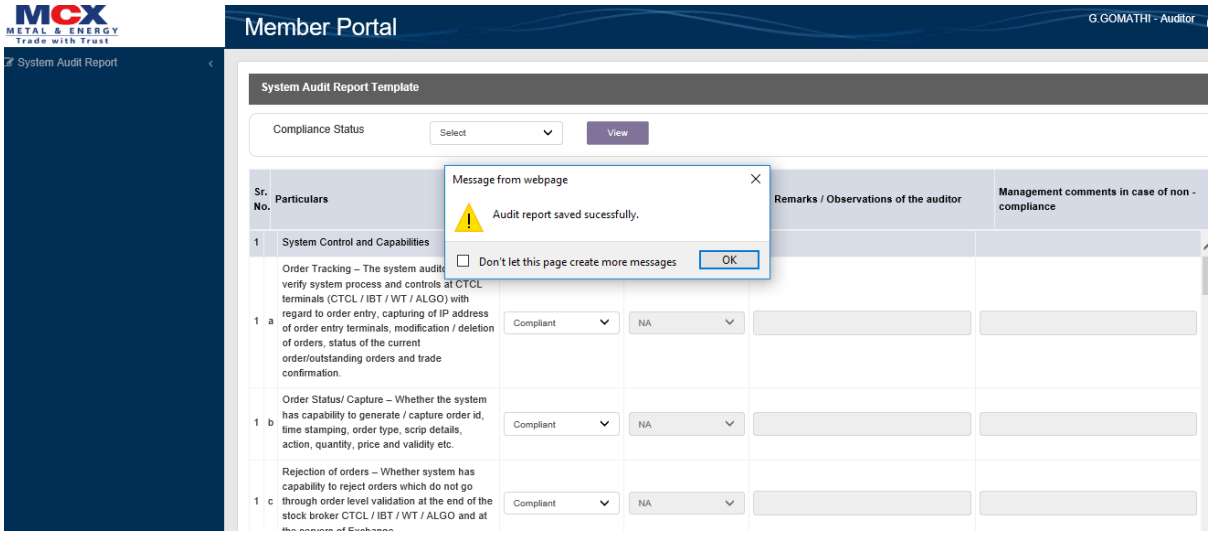
Auditor can upload the revised Audit report from below screen or click on next to fill the details directly from portal:



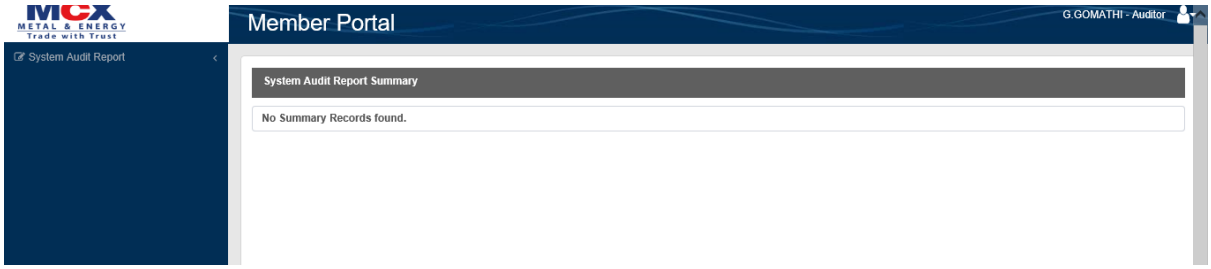
Make the points Complaint which is non-Compliant/Observation/Work in progress/suggestion & Click on submit:



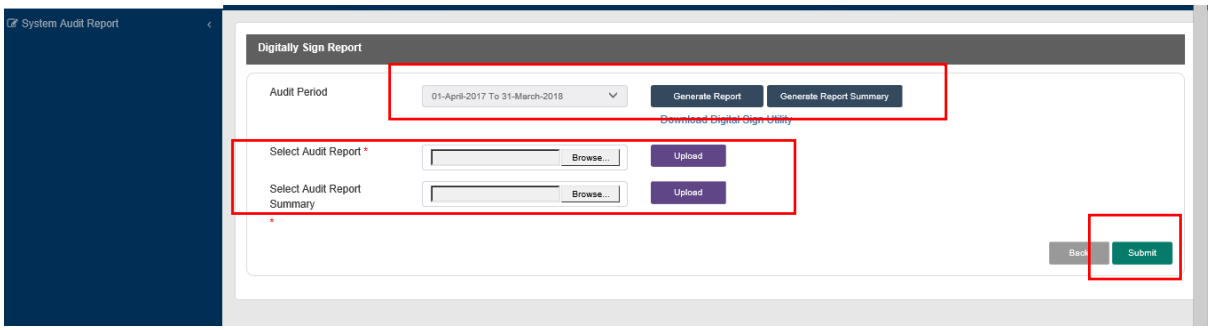
On Successful Report submission below displayed window will open:

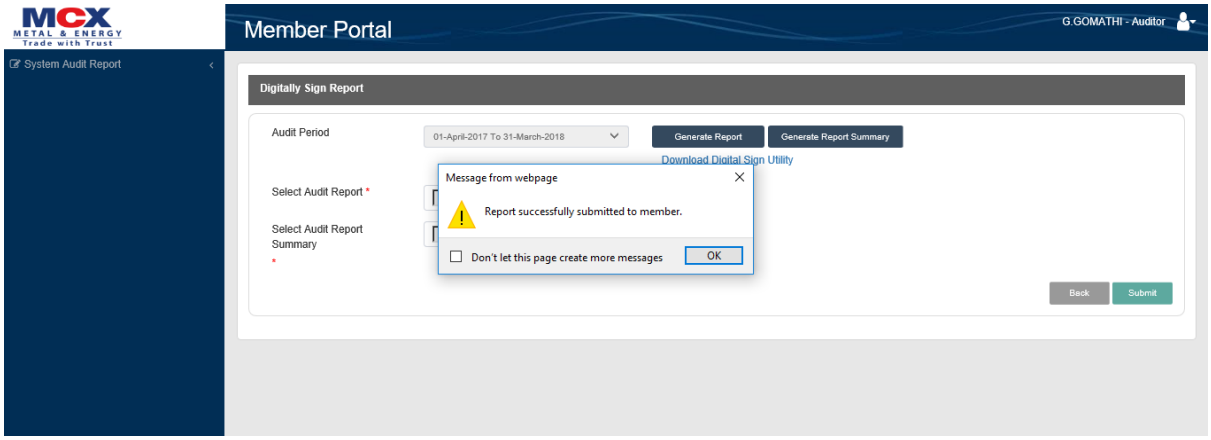


On corrective report submission Executive summary will not display entry fields:

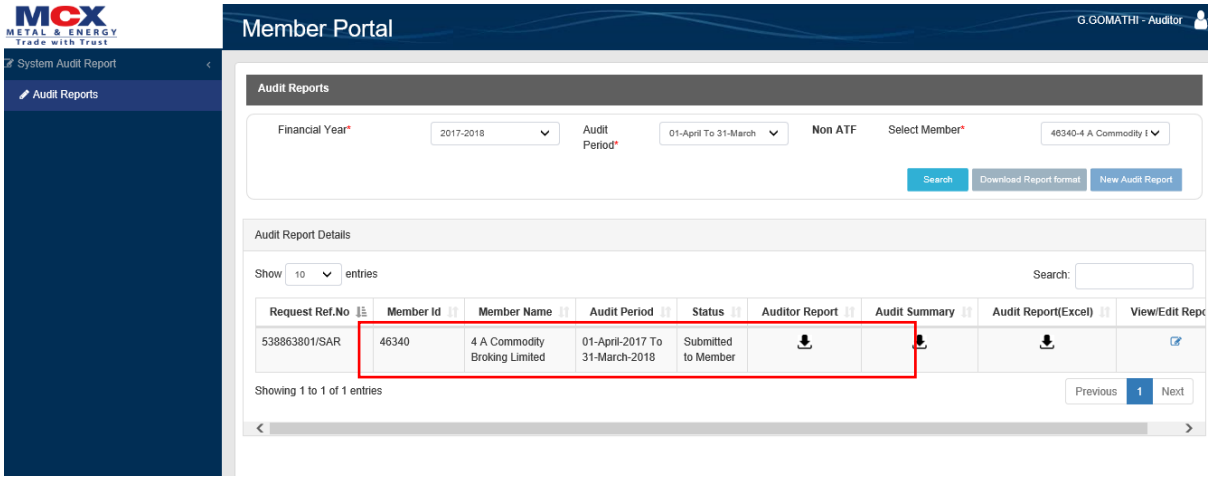


Now The Auditor needs to download the generated Report & Executive summary & after digital signature upload the files & Press Submit it will submit the report to the member:



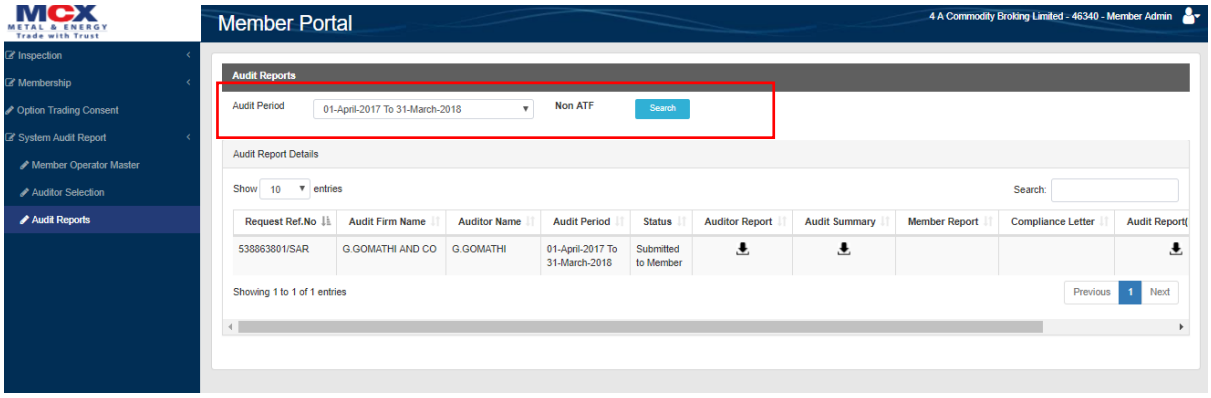


Auditor can now check the status it will display “Submitted to member”:

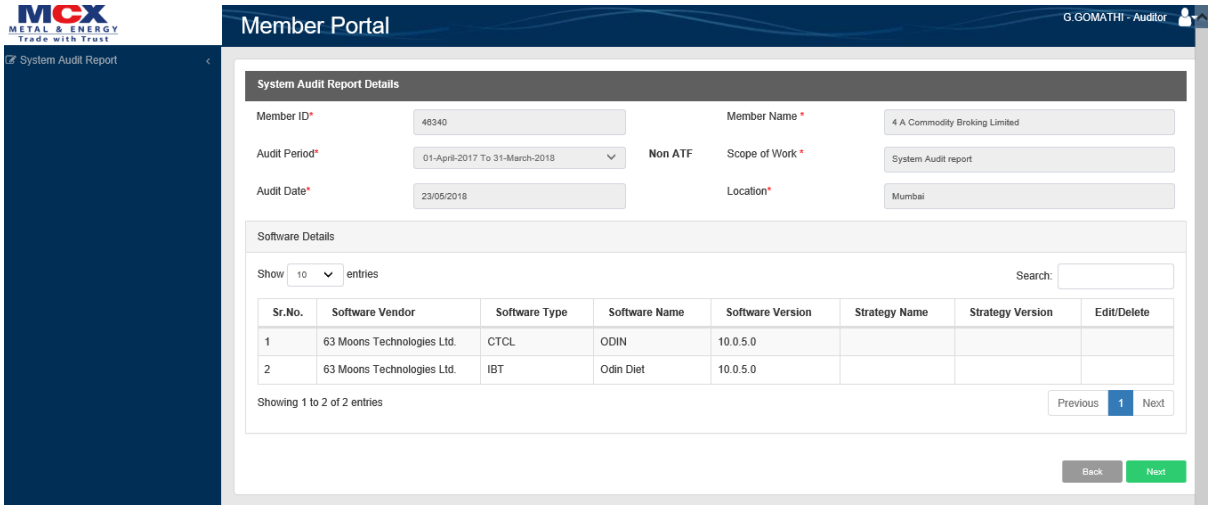


Member Login:

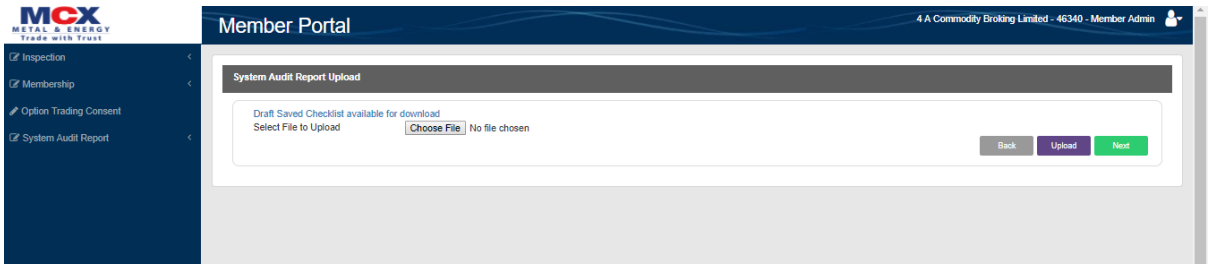
To View report submitted by Auditor: Click on System Audit Report>select “Audit Reports”> audit period >Search: it will display the Report submitted by Auditor, Press View/Edit reports to edit the report:



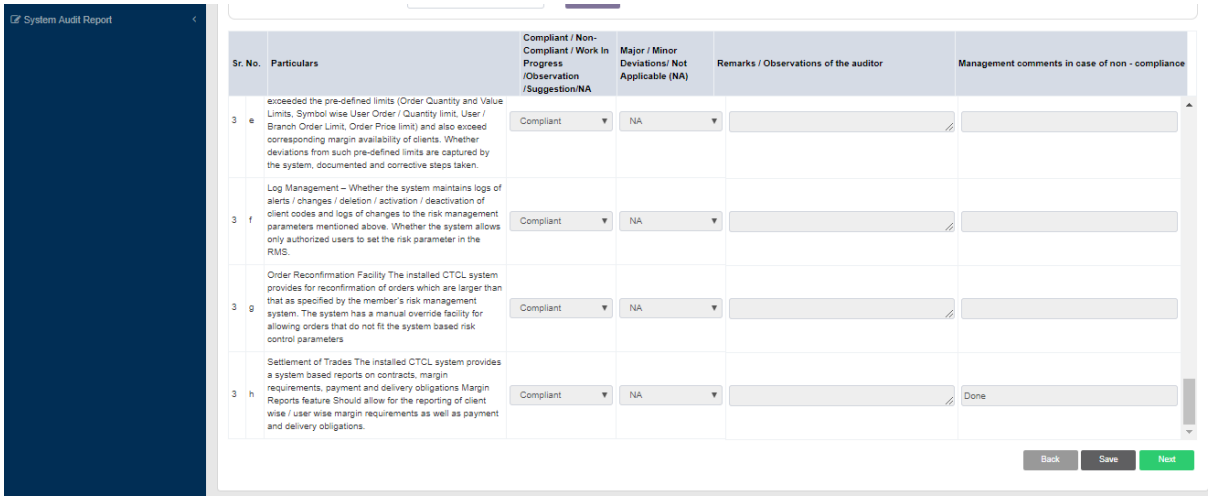
Click on Next Button to go to next page:



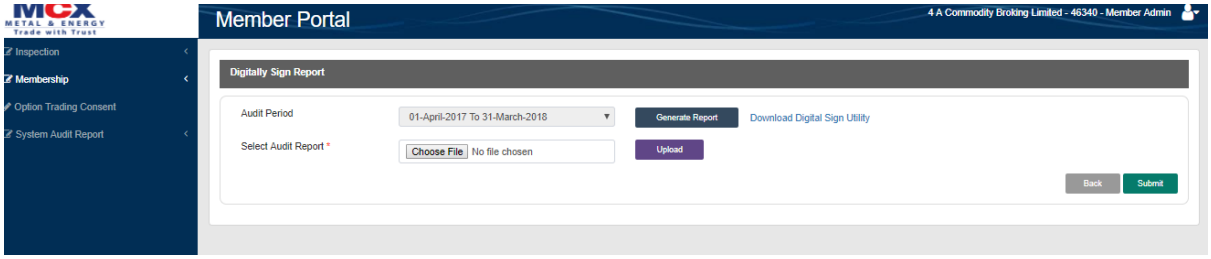
Member can upload the revised report format with removal of management comment or same can be change from portal directly on click of “Next” Button :



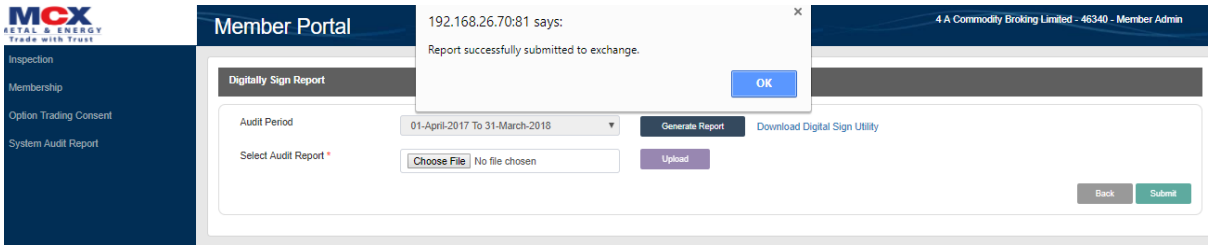
Member should just Click on “save” Button & click on “Next” It will remove existing management Comments”



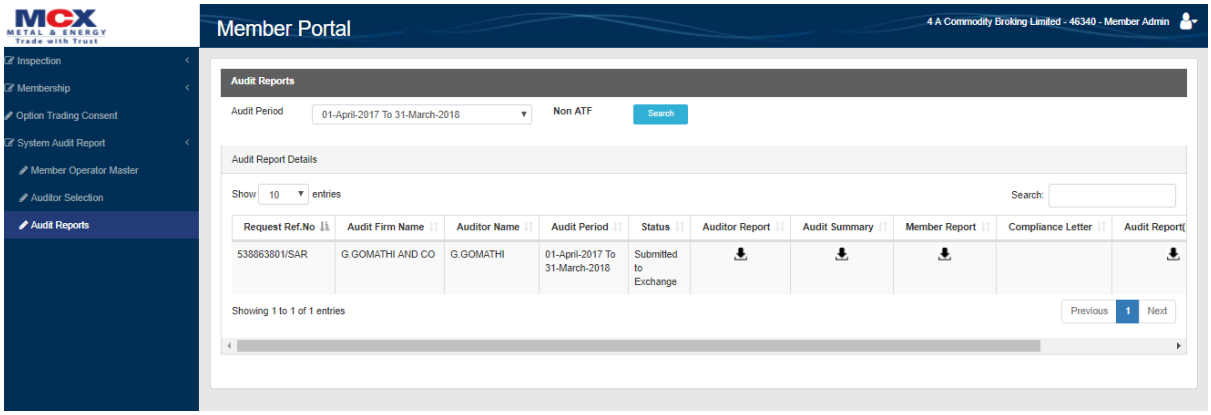
Next page will Display for Generate the Audit Report & after Digital signature member needs to upload the same file & submit the report:



Pop up will display on successful Submission of report to the Exchange:



Now Member can check the current status by Click on System Audit Report>select “Audit Reports”> audit period >Search : it will display the Status “Submitted to Exchange”:



Submission Completed