3.6.3 (a) USER GUIDE eROC SYSTEM

Auditors

(Public Interface)

Version 1.0

[This page is left blank intentionally]

Revision History

#	Version No.	Date	Purpose	Author
1	1.0	29/01/2019	Draft Document	KPMG

Document Approval

KPMG and Registrar of Companies have reviewed this document and hereby agree that the contents herein are acceptable and sufficient to meet the needs of the project. Any changes to this document must be communicated in writing and signed off by both parties.

KPMG Document Approval

The following KPMG Team members have reviewed this document and agree that the contents herein are acceptable and sufficient to meet the needs of the project. Any changes to this document must be communicated to all parties for agreement.

	Name	**Designation**
Authored by	Ganesh Wijenayake	Team KPMG
Verified By	Naomal de Silva	Engagement Manager
Authorized by	Priyanka Jayatilake	Engagement Partner
Authorized Signatory	……………………………………………………….. Authorized Signatory, KPMG	
Date	28/01/2019	

Development of Software for the e-Registration of Companies Project (e-ROC Project) for Department of Registrar of Companies

Deliverable Sign-off Form

Deliverable Name:

User Manual – Registration of Auditors (Public)

Name	Organization	Designation	Signature

Contents

1. Introduction

The Auditor Registration option in the eROC system facilitates online registration of auditors The individuals or firms can register as Auditors by selecting the appropriate options depicted in figure 1.1

(**Note:** In this guide Registration of an individual has been elaborated. The applicant has to select the 'Register as a firm' option and fill the required details to register an Audit firm, in this process the applicant has to enter the NIC number of the auditor who has been registered in the system using 'Register as a Person' option).

Figure 1.1

2. Register Individuals

An individual who wish to register as an auditor at ROC will have to click on the 'Register as a Person' option to commence the registration process. Upon clicking the 'Register as a Person' option the applicant will be requested to enter the NIC number in the next menu as depicted in figure 1.2.

Figure 1.2

Upon entering the NIC number the applicant has to click on the 'CONTINUE' option to proceed.

In the following menu the applicant is required to enter the personal details as depicted in figure 1.3

Figure 1.3

Upon completing the first page of the form the applicant can continue to the next page by clicking the 'Next' option.

In the following menu the applicant is required to enter the qualification details as depicted in figure 1.4

Figure 1.4

Note: If the applicant select 'Yes' as the answer for any of the questions which appear in the 'Qualification' menu system will not allow the applicant to proceed to the next stage.

Upon entering the qualification details the applicant has to click on the 'Next' option to proceed.

In the following menu the applicant is required to download the Auditor individual form as depicted in figure 1.5 which will be downloaded with the information filled in the previous menu.
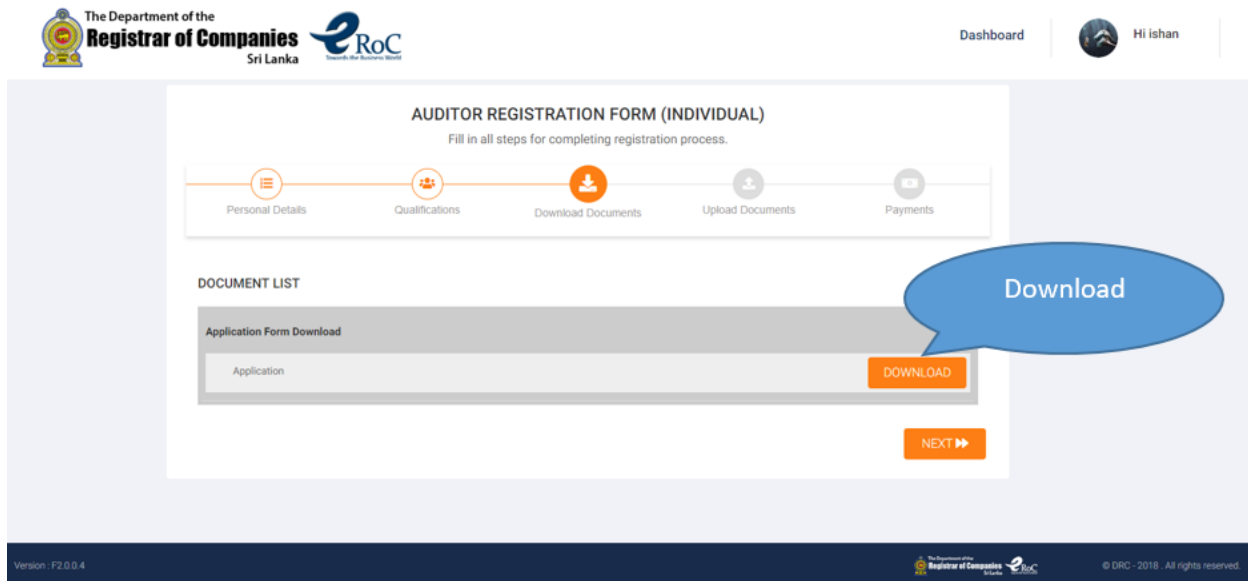
Figure 1.5

Once the downloading of the application is completed, the applicant is required to obtain hard copy of the form and place the signature. Once the signature is placed by the applicant the hard copy needs to be scanned and uploaded using the 'Upload' option. The certificates pertaining to the professional qualifications entered by the applicant are required to be scanned and uploaded to the system using the 'Upload' option located below the 'Upload' option of the application form. The description of the professional qualification too can be entered in the space provided next to the professional certificates label. Multiple uploads are possible for the professional qualification section and the applicant has to click on the 'Upload' option once a particular certificate is uploaded to upload the next available certificate as depicted in figure 1.6. Applicants can view the uploaded documents by clicking the 'View' option depicted in figure 1.6 and also the 'Delete' option can be used to delete an uploaded document.
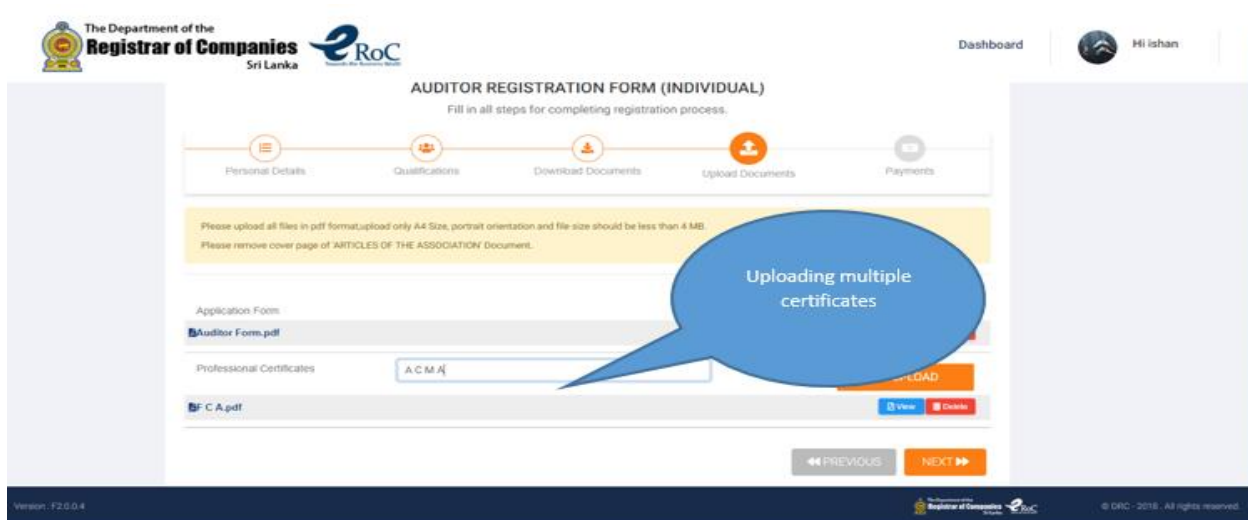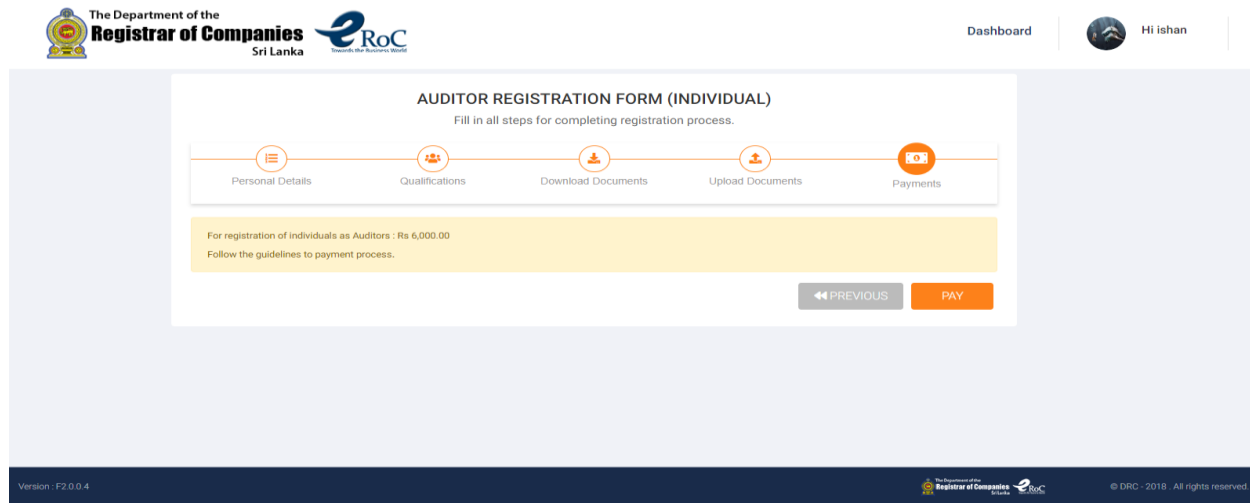
Figure 1.6

Upon successfully uploading the application and the certificates the applicant will be directed to the payment section by clicking the 'Next' option available in the bottom of the upload documents menu.
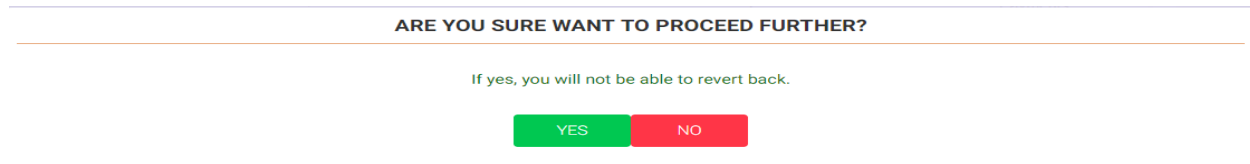
The applicant is required to click on the 'PAY' option to commence the online payment processing for registration of an auditor as depicted in figure 1.7.

Figure 1.7

Upon the applicant clicking on the 'PAY' option, the applicant will be prompted the message depicted in figure 1.8.

Figure 1.8

Once the applicant clicks on the 'Yes' option on the message described in figure 1.8, the applicant will be prompted to select the credit card for online payment processing as depicted in figure 1.9.

Terms and Conditions.

- Refunds that will be made due to service not delivered/cancelled, will be made to original credit/debit card or device.
- Convenience fee charged for the financial services provided through Lanka Gate initiative is not refundable.
- All the payment related information will be collected and kept with the relevant banks while the rest of the user information that had been collected here is for the use of Lanka Gate.

Note: If you wish to use a Debit Card, please make sure that the Debit Card supports on-line payments, and necessary configurations are done. You may contact the issuing bank for verification.

☑ I ACCEPT

* Choose your Payment Method:

Any Visa/Master Card(Sampa ▼

Back   Cancel   Proceed

Figure 1.9

Upon clicking on the 'Proceed' option the applicant will be directed to the menu depicted in figure 1.10 to commence online payment.

Confirm Payment Details

Payment Gateway :	Paycorp payment services
Description	**Amount (LKR)**
Amount to be paid :	100.00
Convenience Fee :	2.00
Total Payment Amount :	102.00

Cancel   Pay Now

Figure 1.10

The applicant is required to click on the 'Pay Now' option to enter the card details to effect the online payment pertaining to registration of auditor as depicted in figure 1.11.

Name on Card — visa ✔
Card Number — 4564456445644564 **VISA** ✔
CVV ❓ — 311 ✔
Expiry (MM/YY) — 09/20 ✔
Amount(Rs) — 102.00
Submit

Figure 1.11

Upon successful online payment the system will prompt the following menu to the applicant to print the receipt pertaining to the payment as depicted in figure 1.12.

Figure 1.12

The applicant can view and print the receipt by clicking on the 'Print Receipt' option shown in the above image (Figure 1.12).

The applicant will be directed back to the dashboard upon clicking on the 'Back to Dashboard' option.

3. Auditor – Resubmission

An Auditor Registration application could be sent back by the ROC officer perusing the application if there are shortcomings in the application. Once an application is resubmitted by the ROC officer, the applicant's dashboard would indicate the said application as 'Auditor Request to Re-Submit' as depicted in figure 1.13.
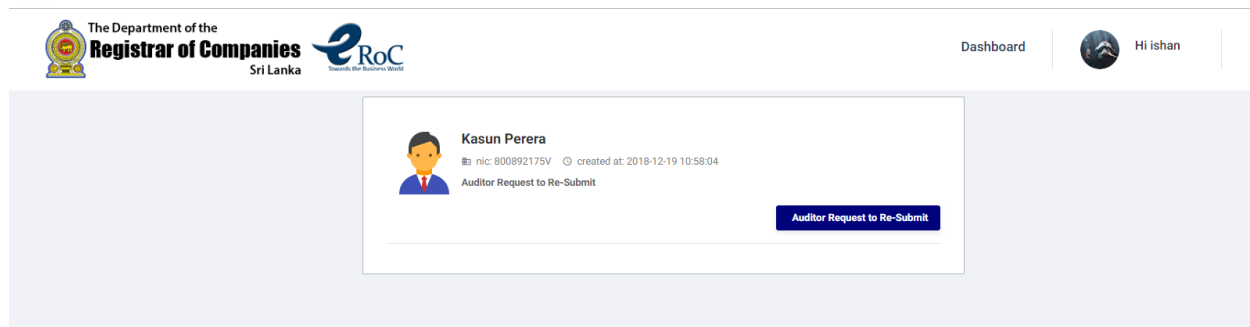

Figure 1.13

Upon clicking on the 'Auditor Request to Re-Submit' option the applicant will be directed to view the comments of the ROC officer as depicted in figure 1.14.
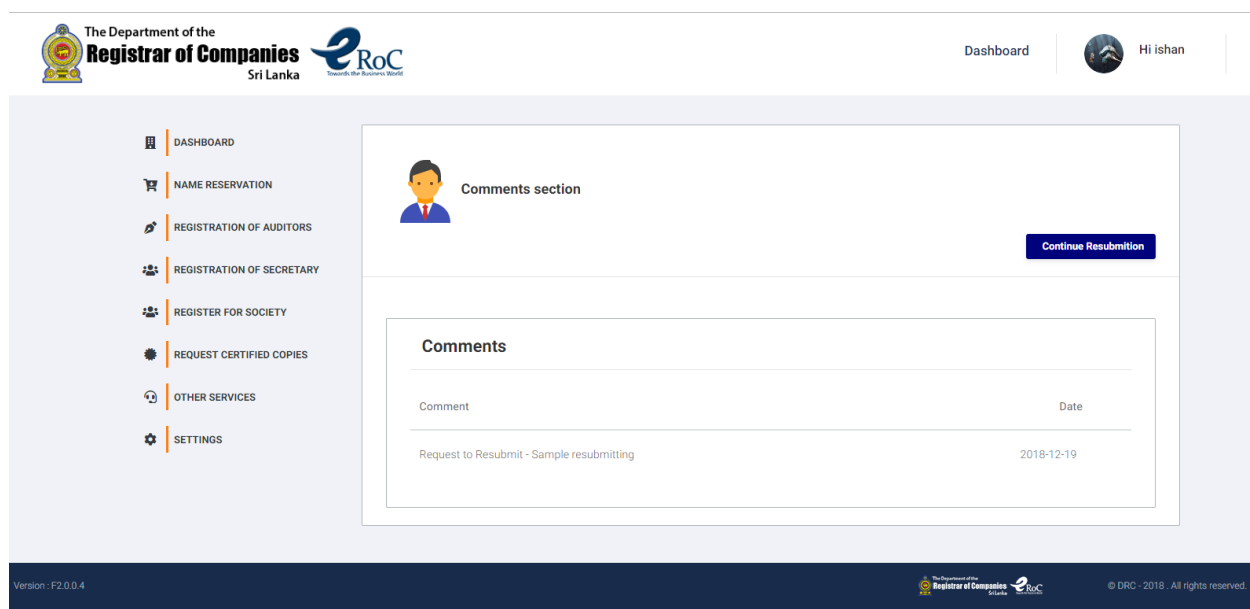
Figure 1.14

The applicant can proceed to make the necessary corrections by clicking on the 'Continue Resubmission' option. Suppose the ROC officer has requested the forms / certificates uploaded in the application to be resubmitted, then the applicant will be requested to resubmit the forms / certificates as depicted in figure 1.15.

Figure 1.15

Note:

The 'Submit' option will not be enabled till all the requested documents are uploaded by the applicant during the resubmission process as depicted in figure 1.15. Once all the required documents are uploaded by the applicant the 'Submit' option will be enabled for submission (Resubmission) as depicted in figure 1.16.

Figure 1.16

Once the record is approved by the ROC officer the applicant's dashboard will indicate the status of the application as 'Auditor Approved' as depicted in figure 1.17.

Figure 1.17