



3.6.3 (a) USER GUIDE eROC SYSTEM

Auditors

(Public Interface)

Version 1.0

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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.

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Contents

1. Introduction	2
2. Register Individuals	3
3. Auditor – Resubmission	9

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

The screenshot displays the 'AUDITOR REGISTRATION FORM (INDIVIDUAL)' for the Department of the Registrar of Companies, Sri Lanka. The form is titled 'Fill in all steps for completing registration process.' and features a progress bar with five steps: Personal Details, Qualifications, Download Documents, Upload Documents, and Payments. The 'Qualifications' step is currently active. The form includes several sections for professional qualifications and legal status:

- Professional Qualifications * (Gazette):** A dropdown menu with the selected option 'Has been an officer in the Department of Inland revenue not below the rank of Assessor'.
- Have you been adjudged by a competent court to be of unsound mind *:** Radio buttons for 'No' (selected) and 'Yes'.
- Have you been adjudged an insolvent or bankrupt *:** Radio buttons for 'No' (selected) and 'Yes'.
- Have you been convicted by any competent court in Sri Lanka / Overseas *:** Radio buttons for 'No' (selected) and 'Yes'.
- Mention the reason *:** Radio buttons for 'Pardoned' and 'Appeal' (selected).
- Any other particulars the applicant desires to state:** A text input field with 'Yes' entered.
- Sub-clauses of regulation 5(1) under which applicant is qualified *:** A text input field with 'Yes' entered.

At the bottom of the form, there are 'PREVIOUS' and 'NEXT' buttons. The footer of the page includes the version number 'Version : F2.0.0.4', the Department of the Registrar of Companies logo, and the copyright notice '© DRC - 2018 - All rights reserved.'

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.

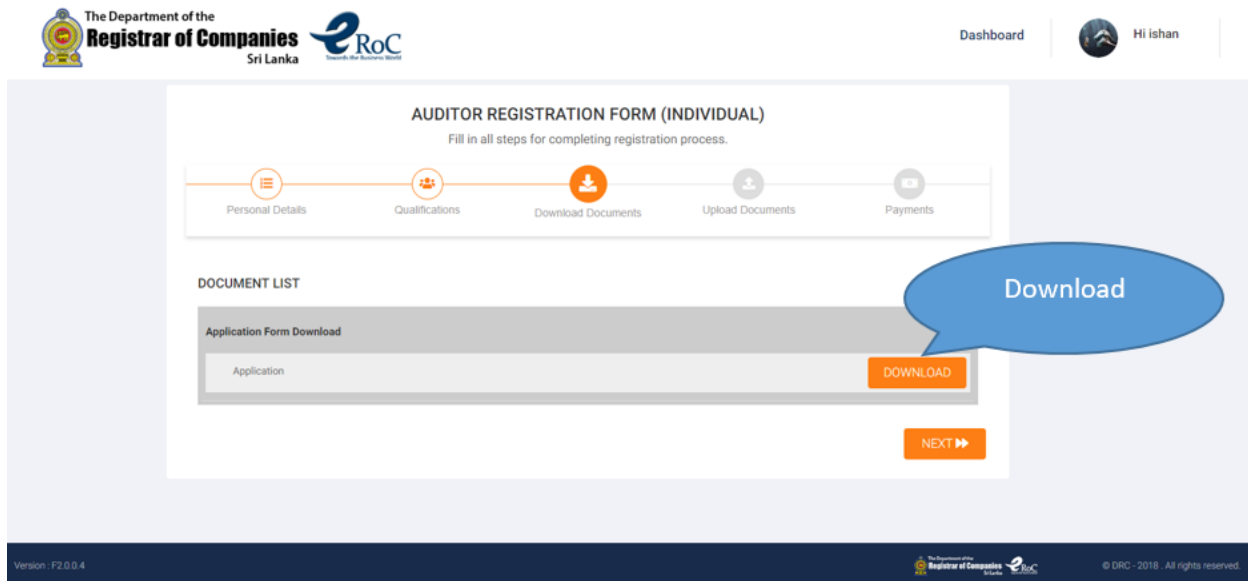


Figure 1.5

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.

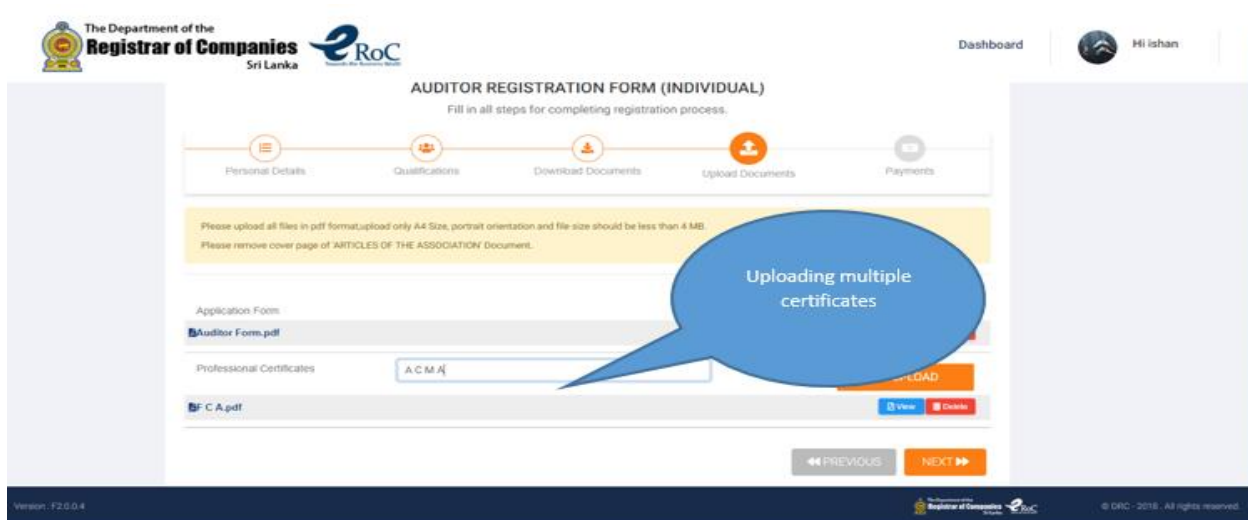
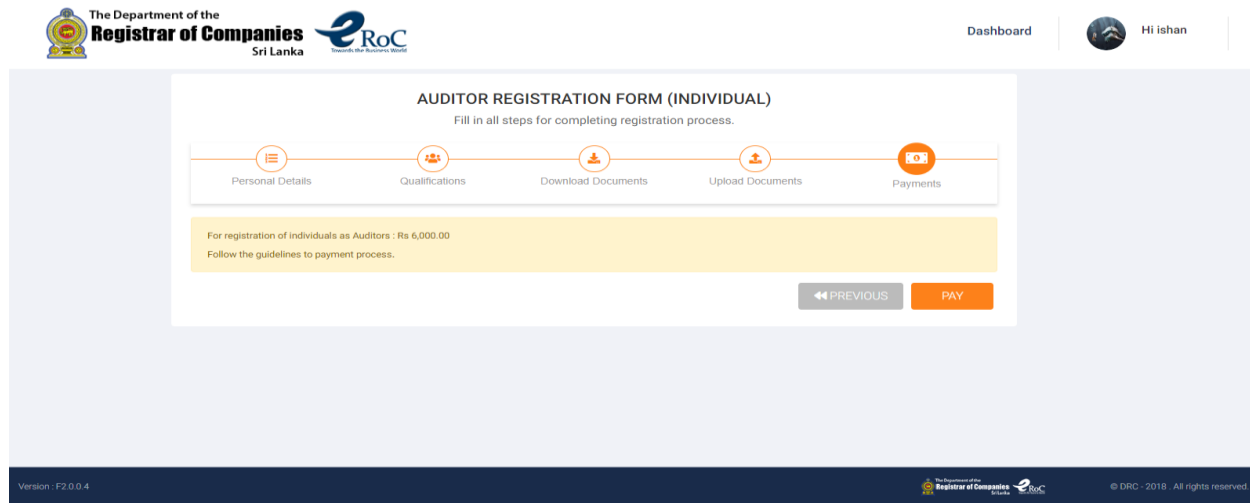


Figure 1.6

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.

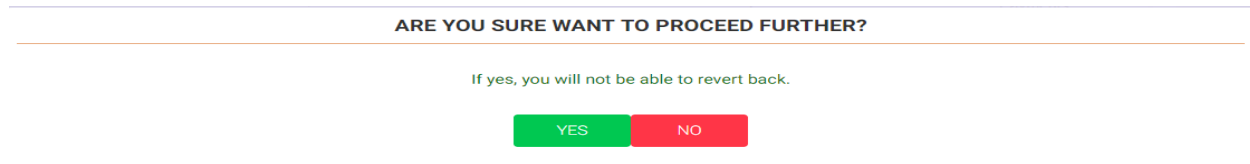
The applicant is required to click on the 'PAY' option to commence the online payment processing for registration of an auditor as depicted in figure 1.7.



The screenshot displays the 'AUDITOR REGISTRATION FORM (INDIVIDUAL)' interface. At the top, it says 'Fill in all steps for completing registration process.' Below this is a progress bar with five steps: Personal Details, Qualifications, Download Documents, Upload Documents, and Payments. The 'Payments' step is currently active and highlighted in orange. Below the progress bar, a yellow box contains the text: 'For registration of individuals as Auditors : Rs 6,000.00' and 'Follow the guidelines to payment process.' At the bottom right of the form, there are two buttons: 'PREVIOUS' (grey) and 'PAY' (orange). The top navigation bar includes the Registrar of Companies Sri Lanka logo, a 'Dashboard' link, and a user profile for 'Hi ishan'.

Figure 1.7

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



The screenshot shows a confirmation dialog box with the title 'ARE YOU SURE WANT TO PROCEED FURTHER?'. Below the title, it says 'If yes, you will not be able to revert back.' At the bottom, there are two buttons: 'YES' (green) and 'NO' (red).

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

 **LGPS**
LANKA GOVERNMENT
PAYMENT SERVICE

Powered by


 **ICTA**
ideas actioned

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 :	
Description	Amount (LKR)
Amount to be paid :	100.00
Convenience Fee :	2.00
Total Payment Amount :	102.00

Cancel

Pay Now

 **LGPS**
LANKA GOVERNMENT
PAYMENT SERVICE

Powered by


 **ICTA**
ideas actioned


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.




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Registrar of Companies
Sri Lanka




RoC
Towards the Success World

Dashboard

Hi ishan

Payment Success




Mr.ishan Dimantha

Your payment has been processed successfully. We have sent you an email to "idishan7@gmail.com". Please check your email for details.

[Click, Go to Home](#) [Print Receipt](#)

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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.

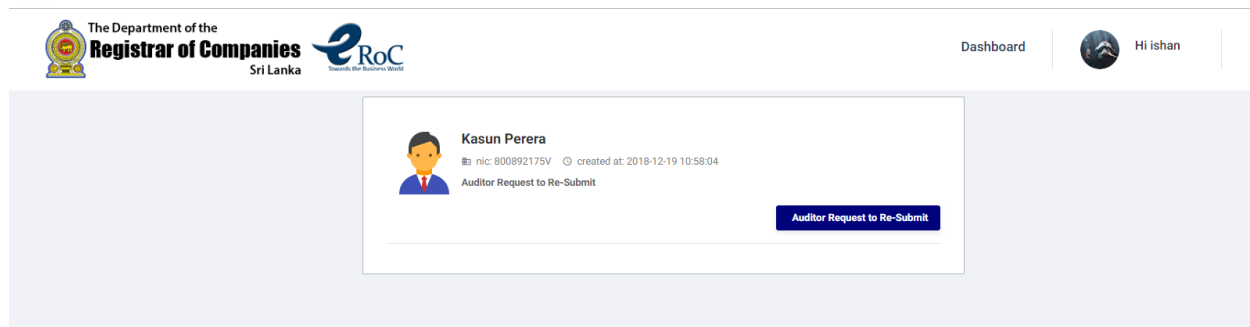


Figure 1.13

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.

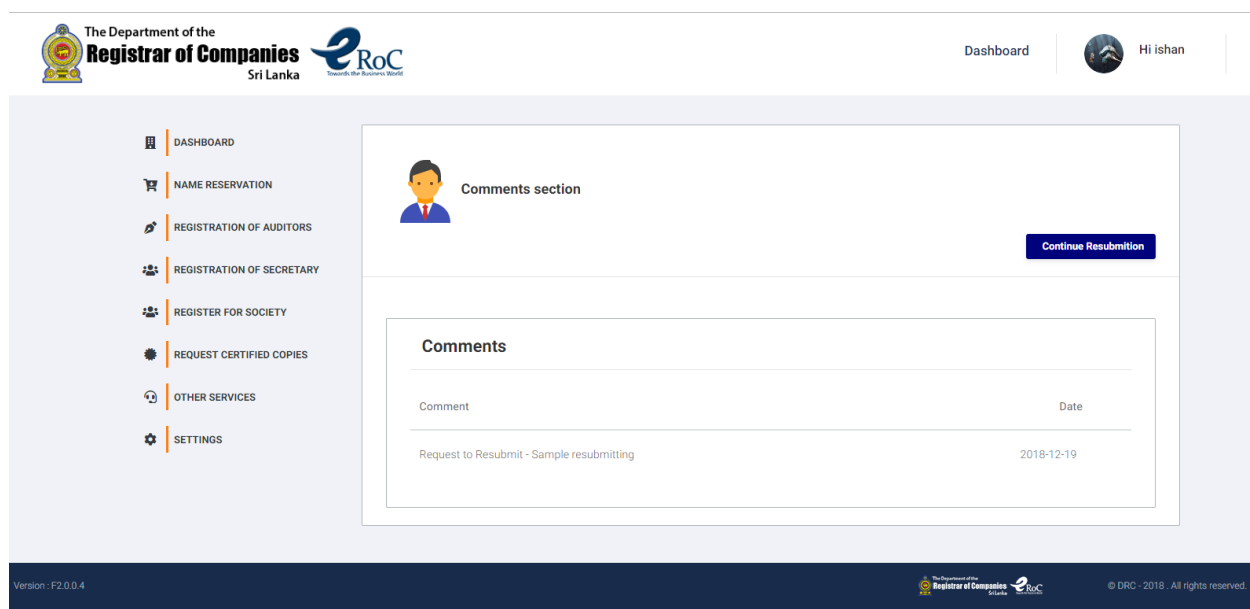


Figure 1.14

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.

Fill in all steps for completing resubmit process.

Personal Details Qualifications Download Documents Upload Documents Payments

Please upload all files in pdf format, upload only A4 Size, portrait orientation and file size should be less than 4 MB.
Please remove cover page of 'ARTICLES OF THE ASSOCIATION' document.

Application Forms

⚠ Document Request to Resubmit - Resubmit - Sample resubmitting **UPLOAD**

Professional Certificates

⚠ Document Request to Resubmit - Resubmit - Sample resubmitting **UPLOAD**

⚠ Document Request to Resubmit - Resubmit - Upload original document **UPLOAD**

⏪ PREVIOUS **SUBMIT** ⏩

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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.

The Department of the Registrar of Companies Sri Lanka

RoC

Dashboard Hi ishan

Fill in all steps for completing resubmit process.

Personal Details Qualifications Download Documents Upload Documents Payments

Please upload all files in pdf format. upload only A4 Size, portrait orientation and file size should be less than 4 MB.
Please remove cover page of 'ARTICLES OF THE ASSOCIATION' Document.

Application Forms

Auditor Application.pdf View Delete

Professional Certificates

F C M A.pdf View Delete

F C A.pdf View Delete

PREVIOUS SUBMIT

Version: F2.0.0.4

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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.

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RoC

Dashboard Hi ishan

Kasun Perera
nic: 800892175V created at: 2018-12-19 10:58:04
Auditor Approved
Auditor Approved

Kith Erandani
nic: 932459892V created at: 2018-12-14 11:35:00
Auditor Approved
Auditor Approved

Version: F2.0.0.4

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Figure 1.17