

Auditor Registration Guide (Public Interface)

Version 1.1

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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).

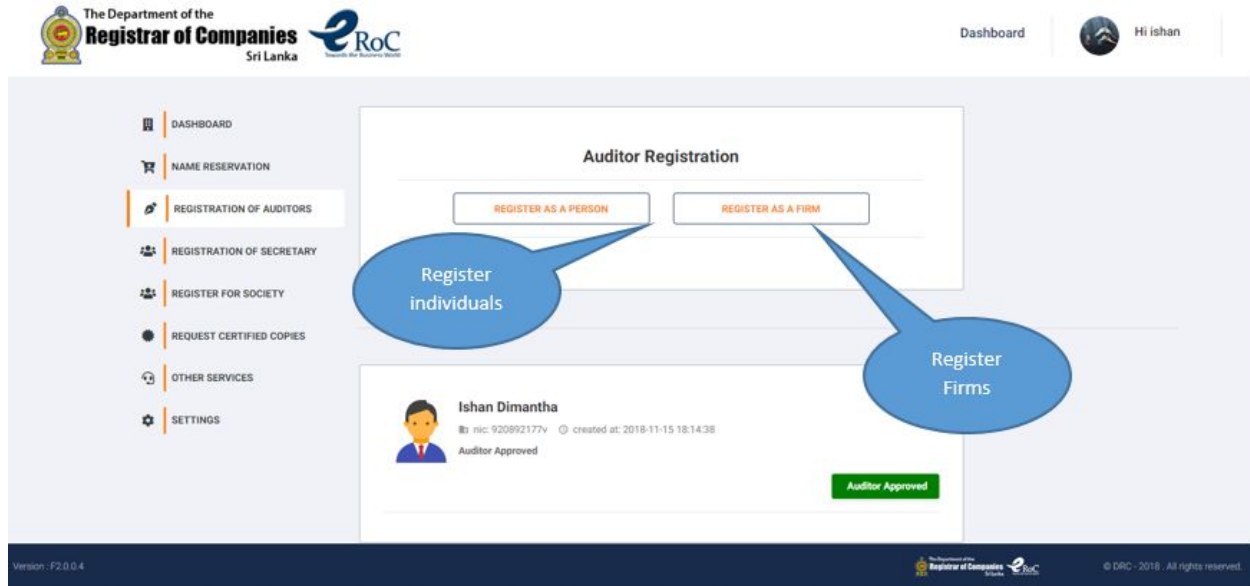


Figure 1.1

2. Register Individuals – Individual’s Details


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.


The screenshot shows a web interface for 'Country of Origin' registration. At the top, there is a title 'Country of Origin' with a close button 'x'. Below the title are two tabs: 'Sri Lankan' (highlighted in orange) and 'Non Sri Lankan' (grey). The main content area contains a form with a label 'NIC No *' and a text input field containing 'NIC'. Below the input field is an orange 'CONTINUE' button. At the bottom of the page, there is a dark grey sidebar with three menu items: 'REQUEST CERTIFIED COPIES', 'OTHER SERVICES', and 'SETTINGS'. To the right of the sidebar, a user profile card is visible for 'Shamil Ranatunga', showing a profile picture, the name 'Shamil Ranatunga', and details: 'nic: 900394241V' and 'created at: 2019-01-18 15:23:46'. Below the profile card, the text 'Auditor Processing' is partially visible.


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


Fill in all steps for completing registration process.


Personal Details


Qualifications


Download Documents


Upload Documents


Payments

Title * **First Name(s) *** **Surname ***

Mr. FRESH REGISTRATION

Full Name in Sinhala **Full Name in Tamil**

ලෙස් රෙගිස්ට්‍රේෂන් பிரெஷ் ரெஜிஸ்ட்ரானின்

Press the space bar after each word

Residential Address *

26, GALLE ROAD DEHIWALA 2020

The image shows a web form for entering residential address details. It includes the following fields:

- Residential Address ***: Three input boxes containing "26, GALLE ROAD", "DEHIWALA", and "2020".
- Province ***: A dropdown menu with "Western Province" selected.
- District ***: A dropdown menu with "Colombo" selected.
- City ***: A dropdown menu with "Dehiwala-Mount Lavinia" selected.
- GN Division ***: A dropdown menu with "Dehiwala West" selected.
- Full Address in Sinhala**: An input box containing "26, ගාලු පාර , දෙහිවිල".
- Full Address in Tamil**: An input box containing "26".

Below the Sinhala and Tamil input boxes, there is a red instruction: "Press the space bar after each word".

Figure 1.3

Upon completing the entry of names, the applicant is required to fill the address details

The system offers the applicant the feature of entering the full name and address of the applicant in Sinhala and Tamil language. The applicant has to type the name and address and press the 'space bar' on the keyboard to convert the name into Sinhala and Tamil languages.

Upon completing the name and address section the applicant will be requested to enter the business name (if any) and business address together with the nationality, race and date of birth of the applicant as depicted in figure 1.4.

The applicant can move to the next menu after successfully entering the required data by clicking the 'Next' option provided in the bottom of the menu as depicted in figure 1.4.

Business Name, (if any)

ABC ASSOCIATES

Business Address

24, KOHUWALA ROAD DEHIWALA 2424

Province Western Province x ▾

District Colombo x ▾

City Dehiwala-Mount Lavinia x ▾

GN Division Kohuwala x ▾

Nationality * SRI LANKAN

Race * SINHALA

Date of Birth * 12/01/1990

NEXT ▶▶

Figure 1.4

The figure 1.5 depicts the menu where the applicant is required to enter the qualifications. The applicant can select the appropriate choice pertaining to Regulation 5(1) by clicking on the drop down. Upon entering the qualification details the applicant has to click on the 'Next' option to proceed.

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.

Sub-clauses of regulation 5(1) under which applicant is qualified *

Choose...

Choose...

5(1)a - Possess Certificate to Practice issued by the council of the Institute of chartered accountants of Ceylon

5(1)b - Has been an officer in the department of Inland revenue not below the rank of assessor

5(1)c - Posses Diploma in accountancy granted by the Ceylon Technical college or any institute or society recommend by the board

5(1)d - Has been a member of the Ceylon Audit service not below the rank of superintendent of audit. Class II, Being a person who has been appointed to that service on the results of compe

5(1)e - Has been a member of the Ceylon government Accountants service not below class III of that service being a person appointed to that service on the results of competitive examinati

5(1)f - A member of any other institute or society of accountants or secretaries approved by the board

Have you been adjudged by a competent court to be of unsound mind * No Yes

Have you been adjudged an insolvent or bankrupt * No Yes

Have you been convicted by any competent court in Sri Lanka / Overseas * No Yes

Any other particulars the applicant desires to state

Figure 1.5

3. Register as a Firm – Partner’s Details

‘Register as a Firm’ option offers the facility to register an audit firm in the ROC system. The applicant is required to select ‘Register as a Firm’ option and add the partners of the firm that is to be registered as an Audit firm. Adding partners of the audit firm is depicted in the figure 1.2 (a) below. Upon clicking ‘ADD NEW’ option the system will request the NIC number of the partner that is to be added as partner of the firm. Upon entering the NIC number of the partner the applicant is required to click on the ‘CONTINUE’ option and the system will display the details of the partner who **is registered** as an **individual auditor** in the ROC system as depicted in the figure 1.2 (b). The applicant is required to click on the ‘ADD’ option to add the partner.

Add Partner(s) *

ADD PARTNERS + ADD NEW

Figure 1.2 (a)

Add Partner Details x

Title * First Name(s) * Surname *

Nationality * Race * Date of Birth *

Any other particulars the partner desires to state

Figure 1.2 (b)

Upon adding the partners, the applicant has to enter the firm's details as depicted in figure 1.2 (c)

Business Name of Firm of which Applicants are Partners *

Business Name

Firm Name in Sinhala

Firm Name in Tamil

Press the space bar after each word

Press the space bar after each word

Business Address *

Address1

Address2

Post Code

Province

District

City

GN Division

Province

District

City

GN Division

Full Address in Sinhala

Full Address in Tamil

Press the space bar after each word

Press the space bar after each word

NEXT >>

Figure 1.2 (c)

Upon completing the individual's or firm's details, the next menu prompts the message displayed in figure 1.6 prior to proceeding further in the registration.



Figure 1.6

Upon the applicant selecting 'Yes' option as depicted in figure 1.6, the applicant will be directed to the downloading of the application menu. 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 1.7. Applicants can view the uploaded documents by clicking the 'View' option depicted in figure 1.7 and also the 'Delete' option can be used to delete an uploaded document.

Note:

The applicant will be required to upload the certificates of the professional qualification during individual registration and during the registration of an audit firm, the applicant will be required to upload only the application form.

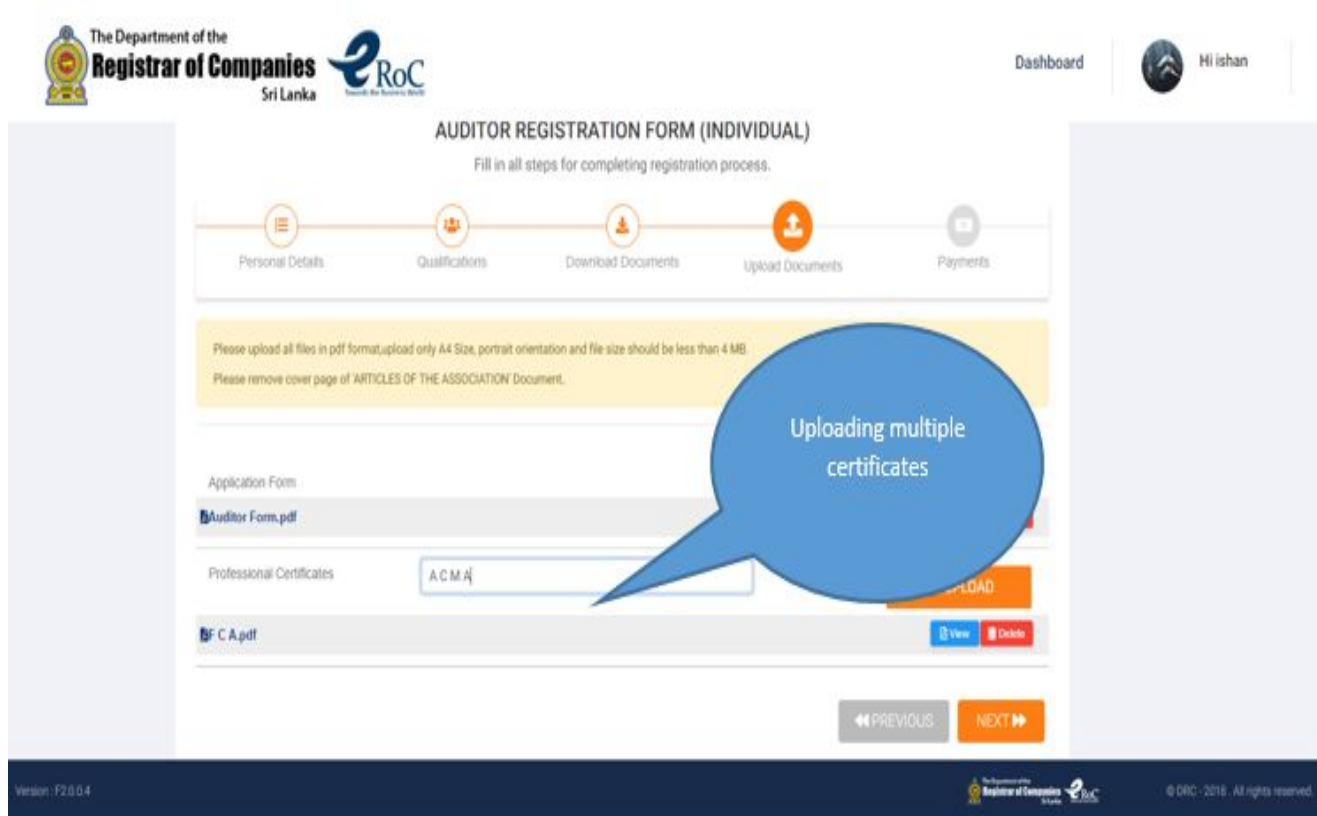


Figure 1.7

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 1.8.

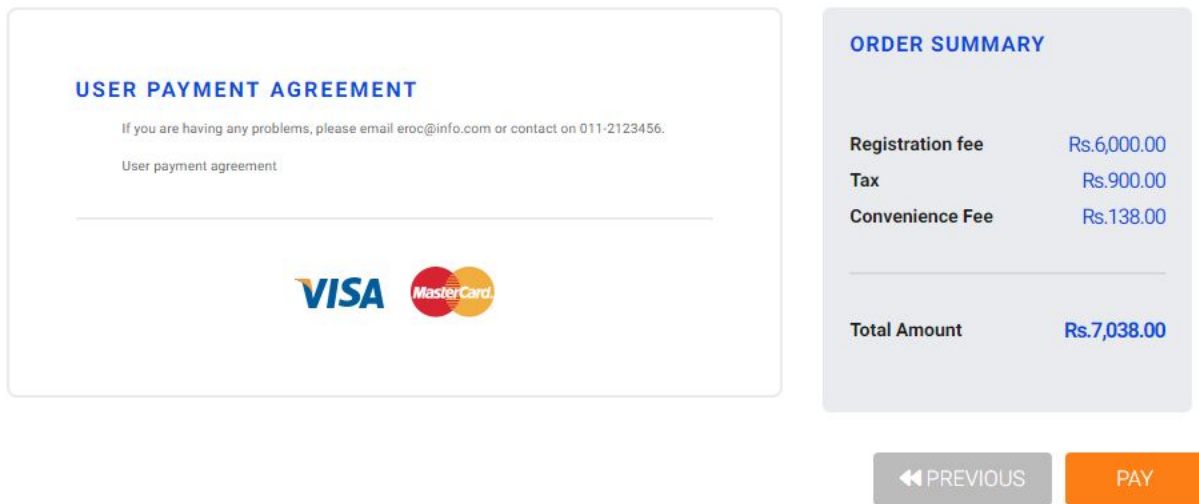


Figure 1.8

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



Figure 1.9

Once the applicant clicks on the 'Yes' option on the message described in figure 1.9, the applicant will be prompted to select the credit card for online payment processing as depicted in figure 1.10.

TEST20001

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 ▾)



Figure 1.10

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

TEST20001

Confirm Payment Details

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



Figure 1.11

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 1.12.

Name on Card	visa	✓
Card Number	4564456445644564	VISA ✓
CVV	311	✓
Expiry (MM/YY)	09/20	✓
Amount(Rs)	102.00	
<input type="button" value="Submit"/>		

Figure 1.12

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 1.13.

The Department of the Registrar of Companies Sri Lanka

RoC

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](#)

Version: F2.0.0.4

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Figure 1.13

The applicant can view and print the receipt by clicking on the 'Print Receipt' option shown in the above image (Figure 1.13).

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

4. 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.

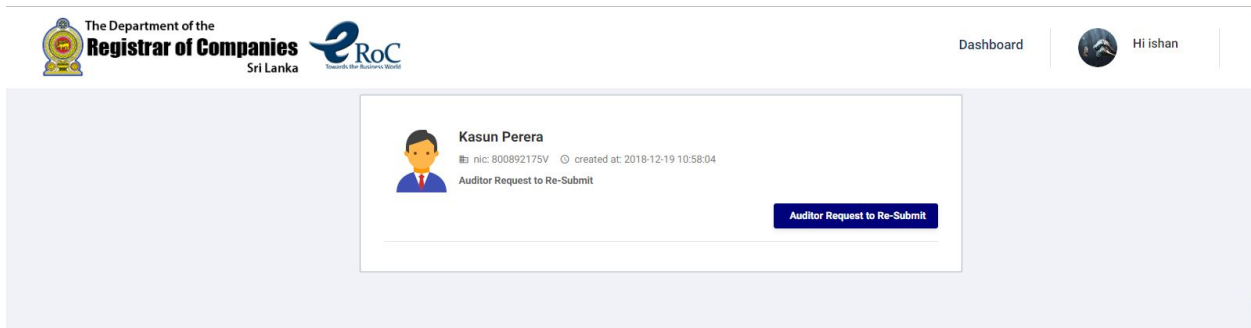


Figure 1.13

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.

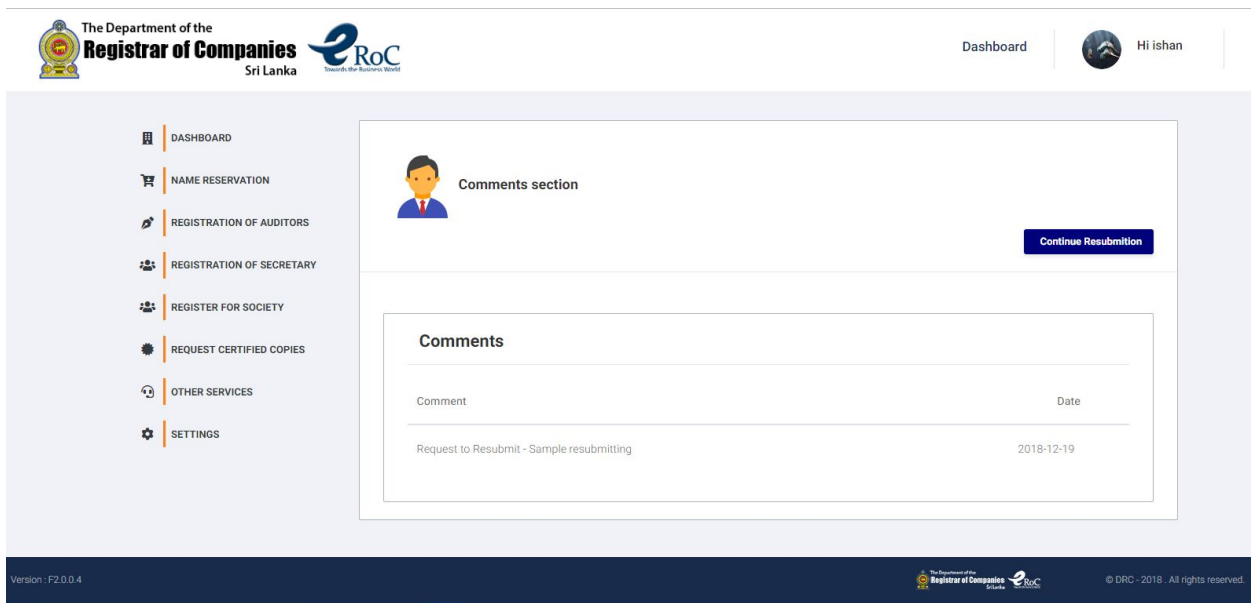


Figure 1.14

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.

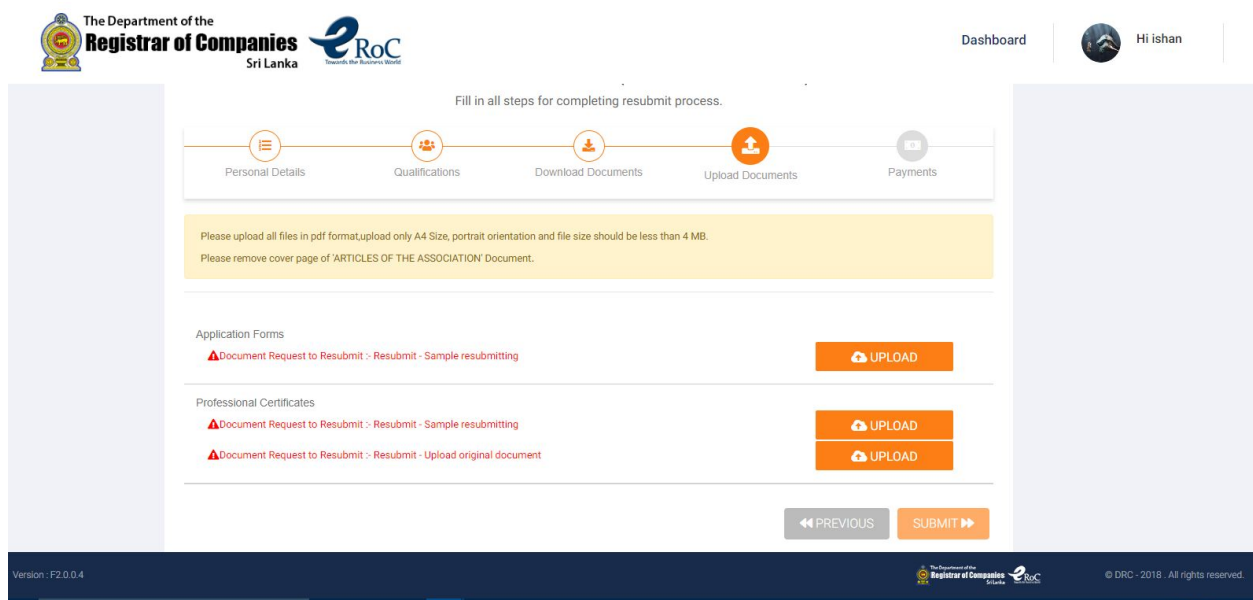


Figure 1.15

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.

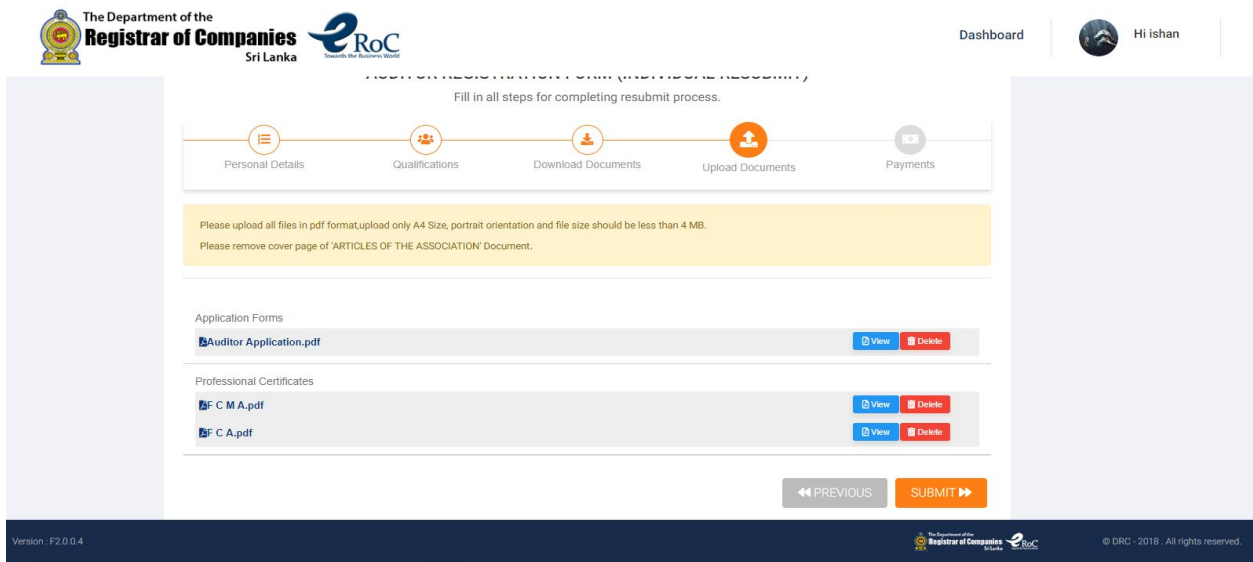


Figure 1.16

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.

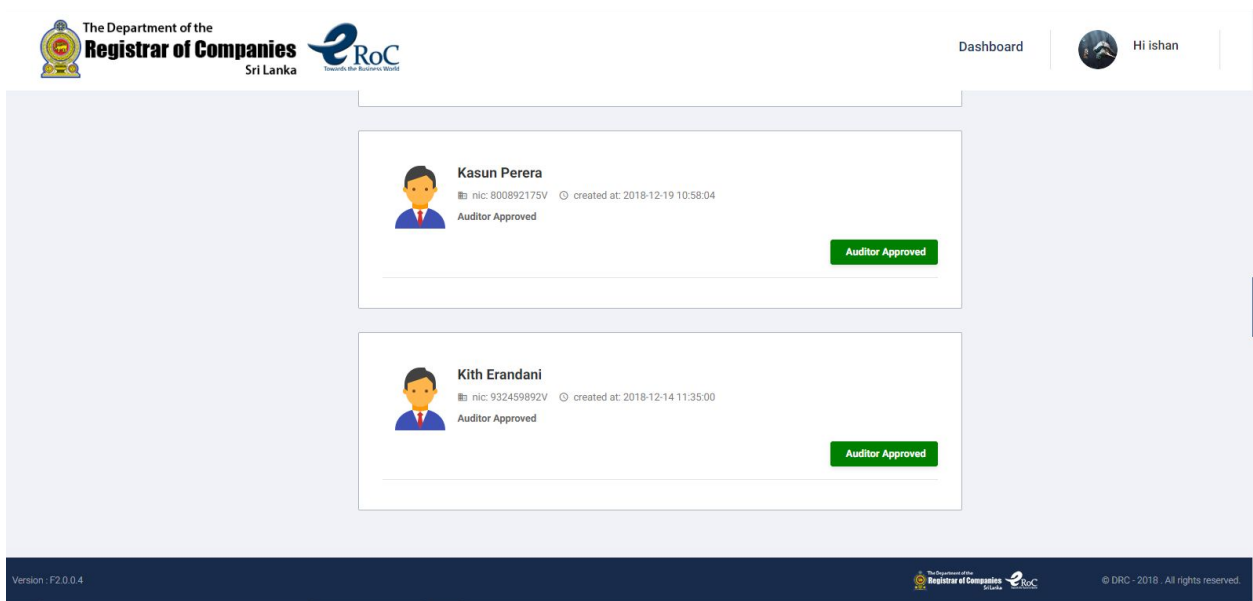


Figure 1.17

5. Auditor Renewal

The auditor who is registered at ROC will receive a notification in the dashboard to renew the present registration prior to completion of one year of the present registration. The applicant is required to click on the renewal option and download the form and place the required signature, scan the signed form and upload the form. The applicant will be required to pay (online payment) the renewal fee to submit the renewal application to ROC.

6. Auditor Renewal – Re-Submit

Auditor Renewal applications submitted by the applicant which are resubmitted by the ROC officer will appear in the dashboard of the applicant with the record marked as 'Renewal Request to Re-Submit' as depicted in figure 1.19.



Figure 1.19

The applicant is required to click on the 'Renewal Request to Re-Submit' option to commence Re-submission process. Upon clicking on the 'Renewal Request to Re-Submit' option the applicant will be directed to the 'Download Applications' section as depicted in figure 1.20.

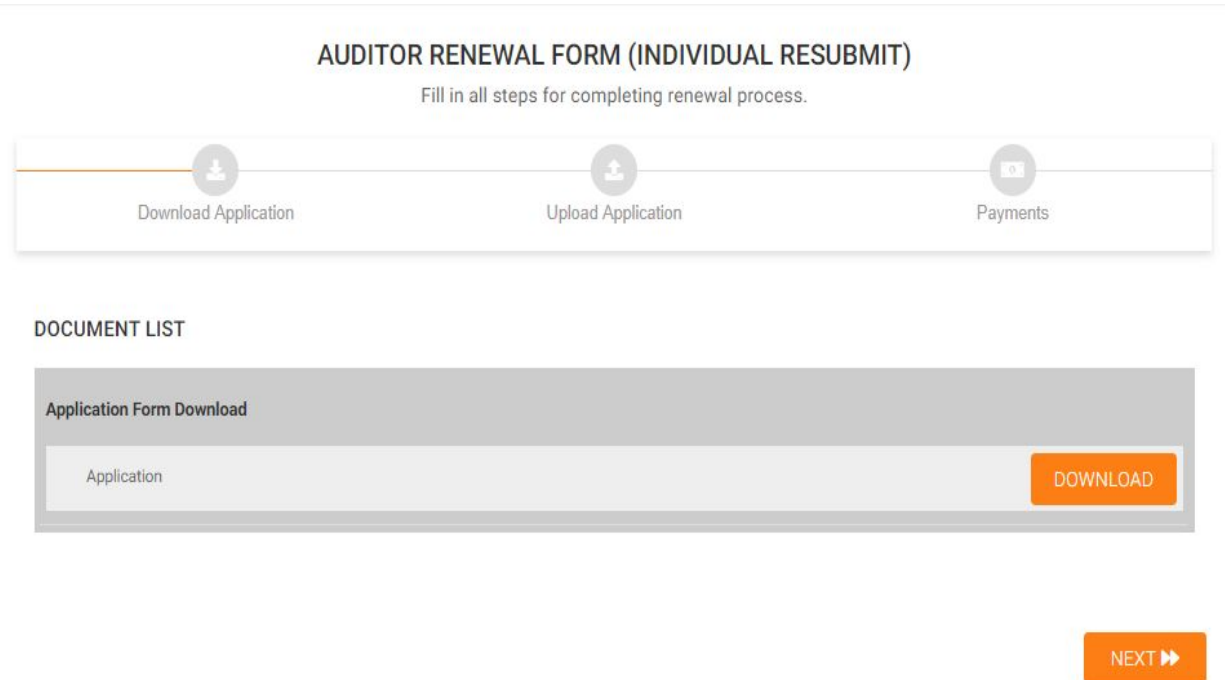


Figure 1.20

The applicant is required to click on the 'Next' button after down loading the application. The next section facilitates uploading of the application. The applicant is required to upload the signed application and re-submit the renewal application.

Upon uploading the documents successfully, the applicant will be required to click on the Resubmit option to complete the registration resubmission process.

Note:

Though only the individual resubmission example is depicted in the diagram, the process of resubmission is the same for firms.