Annexure 1

Procedure for submission of Risk Assessment Template (RAT) through Screen

A. User IDs Auditors

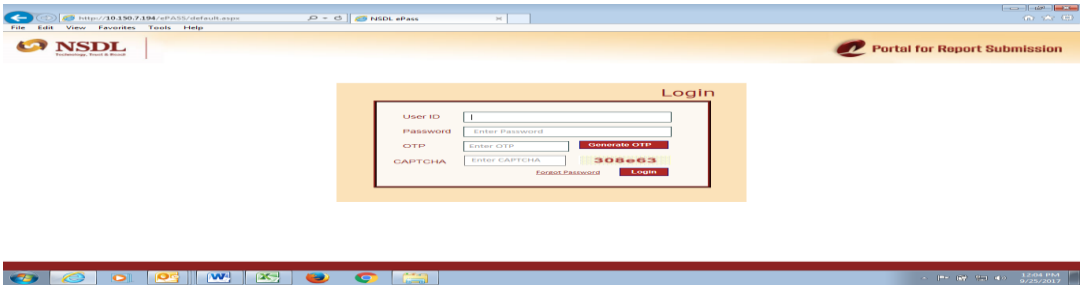
1. Participants are requested to note that auditors whose user IDs is already created for submission of IAR/CAR through ePASS platform can also certify the RAT for submission to NSDL.

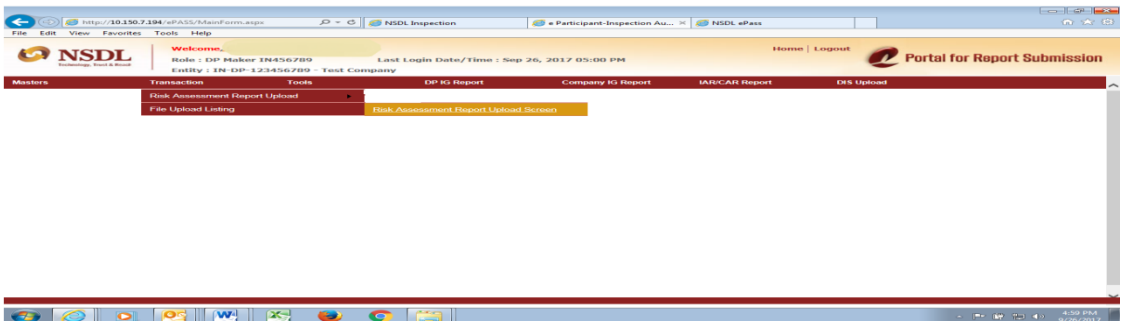
2. In case Participants wish to appoint a new auditors for submission of RAT or wish to modify the existing user id of auditors they may do so.

3. For creation / modification of auditor's User ID, please refer the procedure given at Annexure A (copy is enclosed) of NSDL Circular No. NSDL/POLICY/2016/0091 dated November 9, 2016.

B. Submission of RAT by Participant

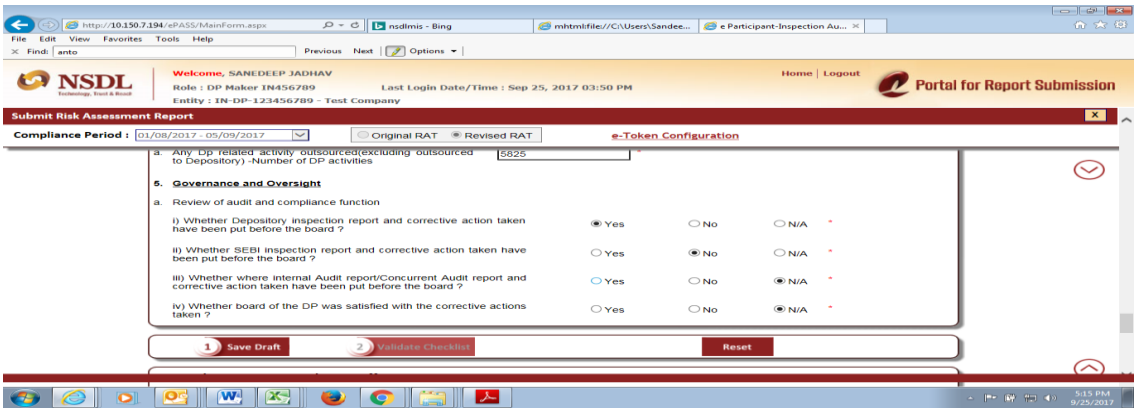
4. Once the user ID of Auditor is created, Participants can fill and submit screen based risk assessment report which will be made available in menu "Risk Assessment Report" under "Transaction" option. Old option of "Risk assessment File upload" will be removed from this compliance period.



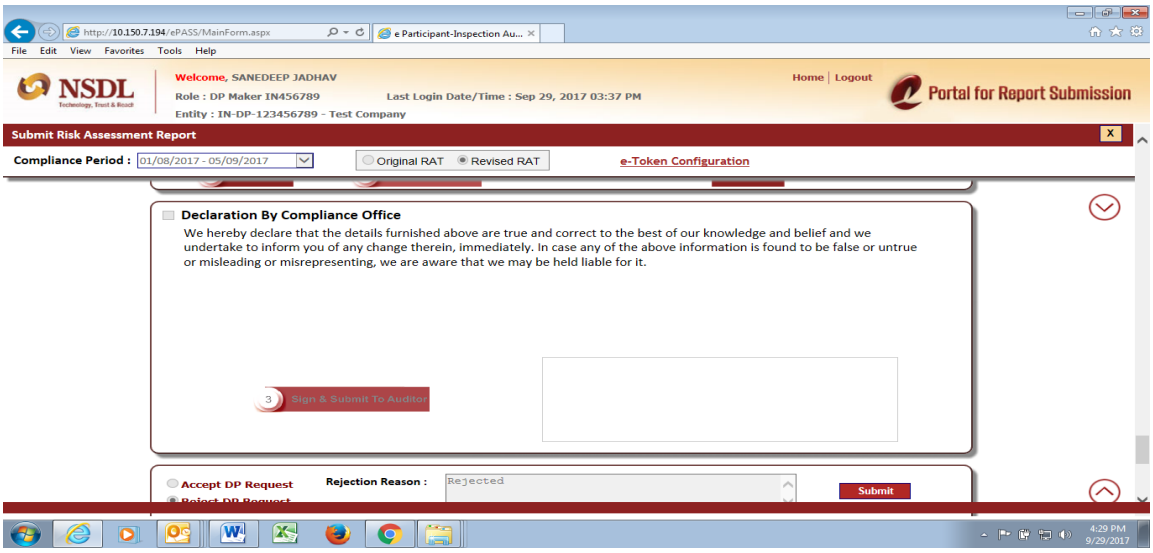


5. Participants can use “Save Draft” button which is available on bottom of screen to save the information periodically while filling the data from screen.

6. Once the complete information is filled in RAT, Participants are required to save draft by click on “Save Draft” button and then click on “Validate Checklist” [as exhibited below].

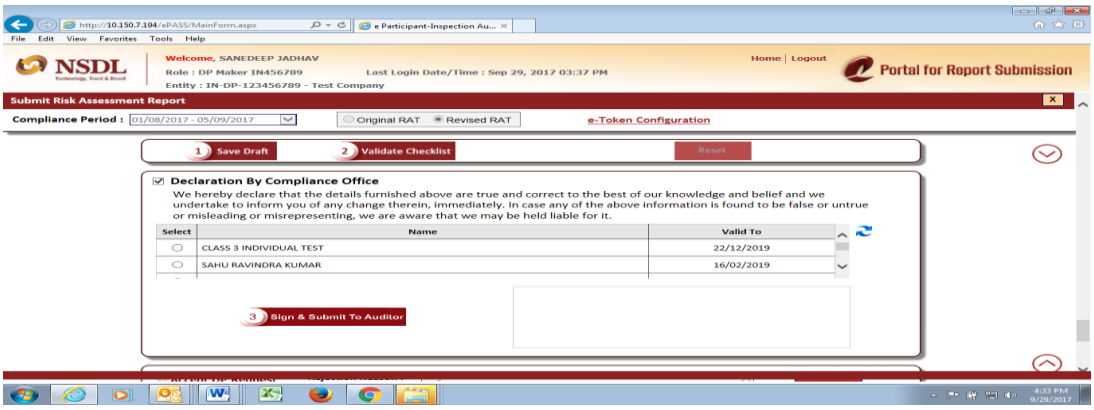


7. Once the cheklist is validated, Participants are required to tick “Declaration by Compliance Officer” check box and attach the digital certificate [as exhibited below].



8. Click on Refresh button to load digital signature. In case the signature is not detected in the box given below of report template, kindly follow the procedure of token configuration provided in the hyperlink “e-Token Configuration”.

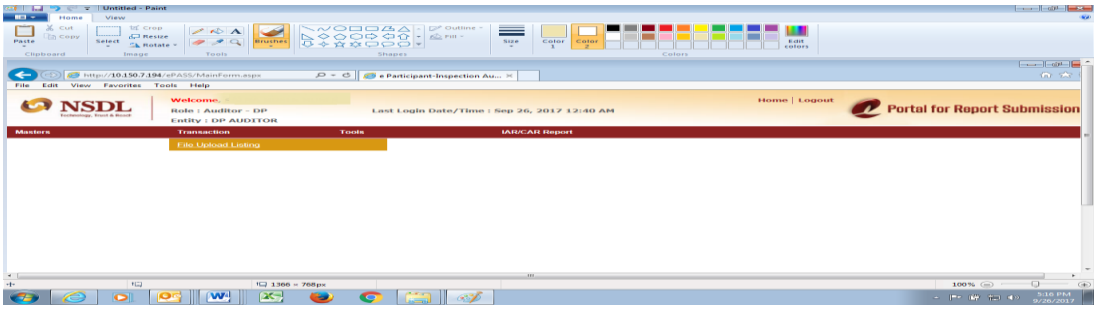
9. Click Refresh button once again and check if digital signatures is appearing on screen [as exhibited below], Participants are required to select the Digital Signature by selecting appropriate radio button and click on “Sign & Submit To Auditor”.



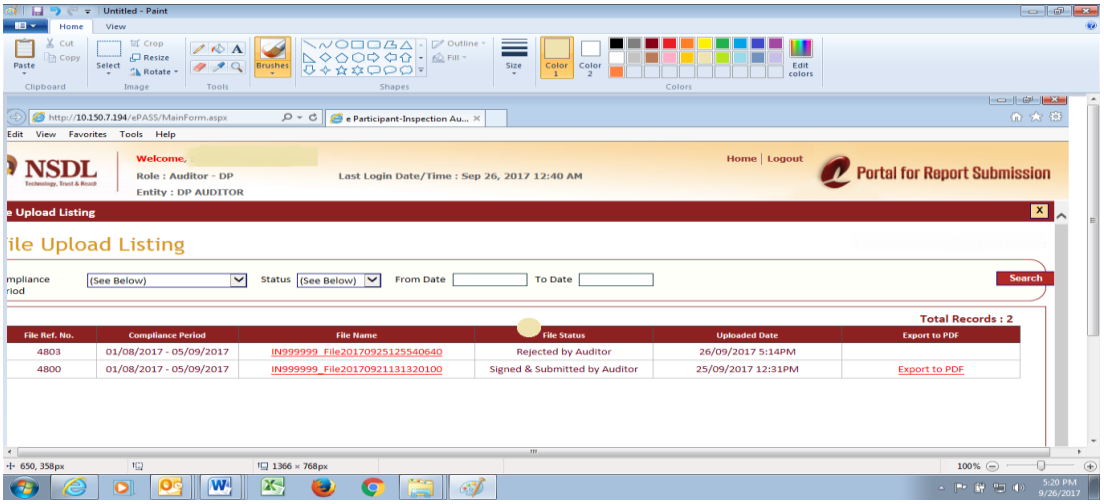
10. Once the report is Signed & Submit to Auditor, an alert email will be sent to Auditor for verification of Risk Assessment Report.

C. Verification of RAT by Auditor

11. Auditors are required to login on e-PASS with their login credentials. Once logged-in into the system, Auditor needs to select "File Upload Listing" menu under “Transaction” option. [as exhibited below].



12. After selection of File Upload Listing, Auditors are required to select file submitted by Participants [as exhibited below].



13. Auditors can Accept or Reject the risk assessment report submitted by DP by clicking on “Accept DP Request” or “Reject DP Request” respectively [as exhibited below].



14. Auditors are required to provide Rejection Reason in case the request is rejected and click on Submit button.

15. An alert email will be sent to the Participants once the request is rejected by Auditor to check and clarify the observation raised by auditor.

16. In case auditor has rejected the risk assessment report, Participants are required to re-submit the RAT after necessary modification in the information as suggested by Auditor. Participant will able to modify the details which they have provided in RAT. The steps for signing the report with digital signature is same as mentioned for Compliance Officer.

17. After Participant has re-submitted the report, if Auditor is satisfied, Auditor must accept the DP request and affix its digital signature for certifying the report.