



**WBSEDCL**

**West Bengal State Electricity Distribution Company Limited**

(A Government of West Bengal Enterprise)

## **User Manual**

on

# **Internal Audit Portal**

By

Internal Audit Department,  
WBSEDCL

VERSION: 1.0

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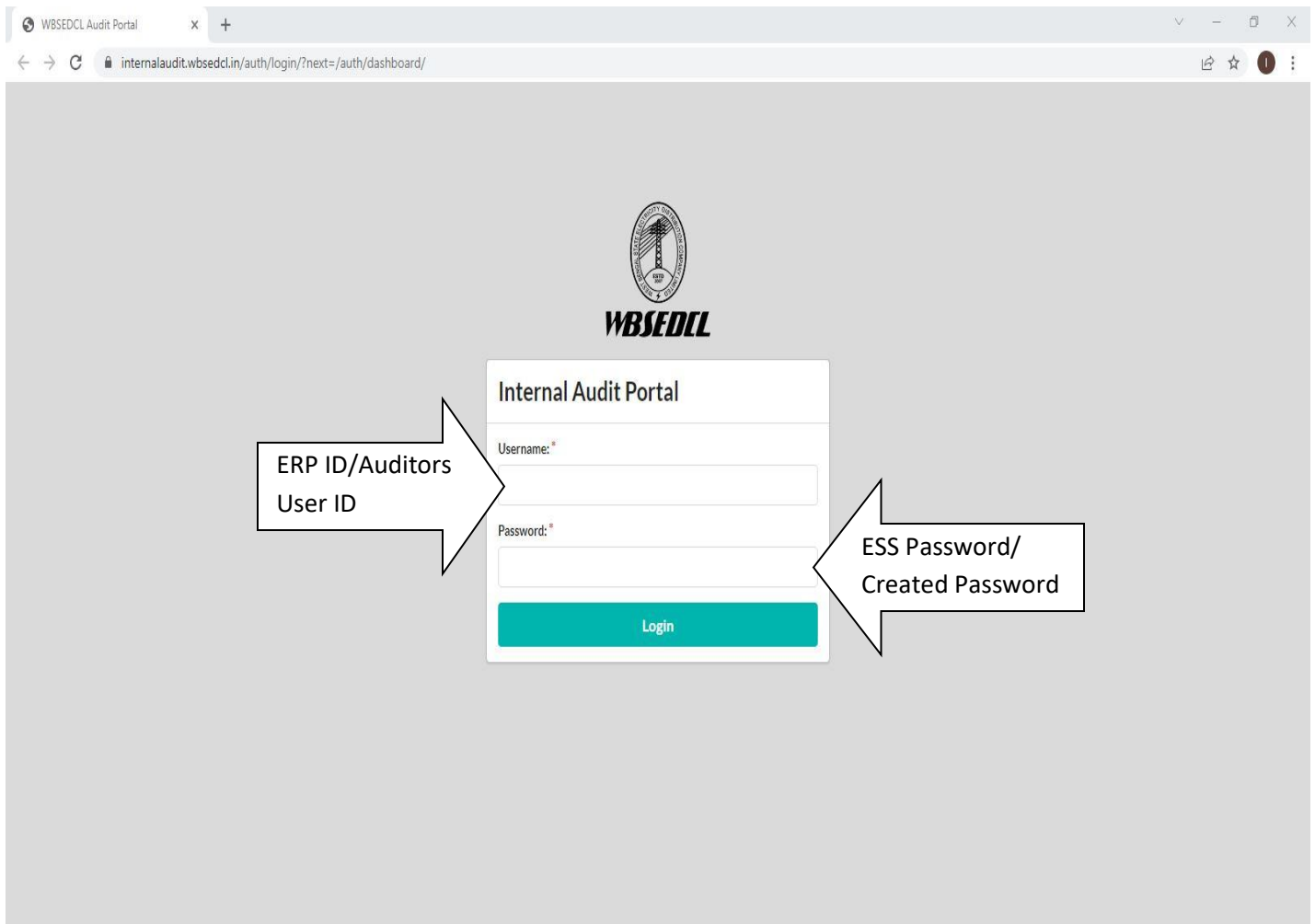
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## **1. INTRODUCTION:**

Internal Audit Department conducts Internal Audit at different units on various processes like Energy Billing and Collection Management, Connection on CCC, Finance and Accounts, Store Management, Operations and Maintenance in Division office and many more processes in Region, Zone and units under HQ. Field work of Internal Audit Department involves checking a huge number of paper works and also generates large number of audit reports, which needs to be stored in hard copy and find whenever required. This is very inefficient and time consuming. Therefore introduction of Internal Audit will minimize all the paper works and also eliminates all the delay and chances of loss/misplacement of Audit reports.

## **2. LOGIN PROCESS:**

Internal Audit portal of WBSEDCL can be accessed by [internalaudit.wbseedcl.in](http://internalaudit.wbseedcl.in)



The image shows a screenshot of a web browser displaying the login page for the WBSEDCL Internal Audit Portal. The browser's address bar shows the URL: `internalaudit.wbseedcl.in/auth/login/?next=/auth/dashboard/`. The page features the WBSEDCL logo at the top center. Below the logo is a white login form titled "Internal Audit Portal". The form contains two input fields: "Username:" and "Password:". A teal "Login" button is positioned at the bottom of the form. Two white arrows with black outlines point towards the form: one from the left pointing to the "Username:" field, and one from the right pointing to the "Password:" field. The left arrow is labeled "ERP ID/Auditors User ID" and the right arrow is labeled "ESS Password/ Created Password".

WBSEDCL Audit Portal

internalaudit.wbseedcl.in/auth/login/?next=/auth/dashboard/

WBSEDCL

Internal Audit Portal

Username:\*

Password:\*

Login

ERP ID/Auditors User ID

ESS Password/ Created Password

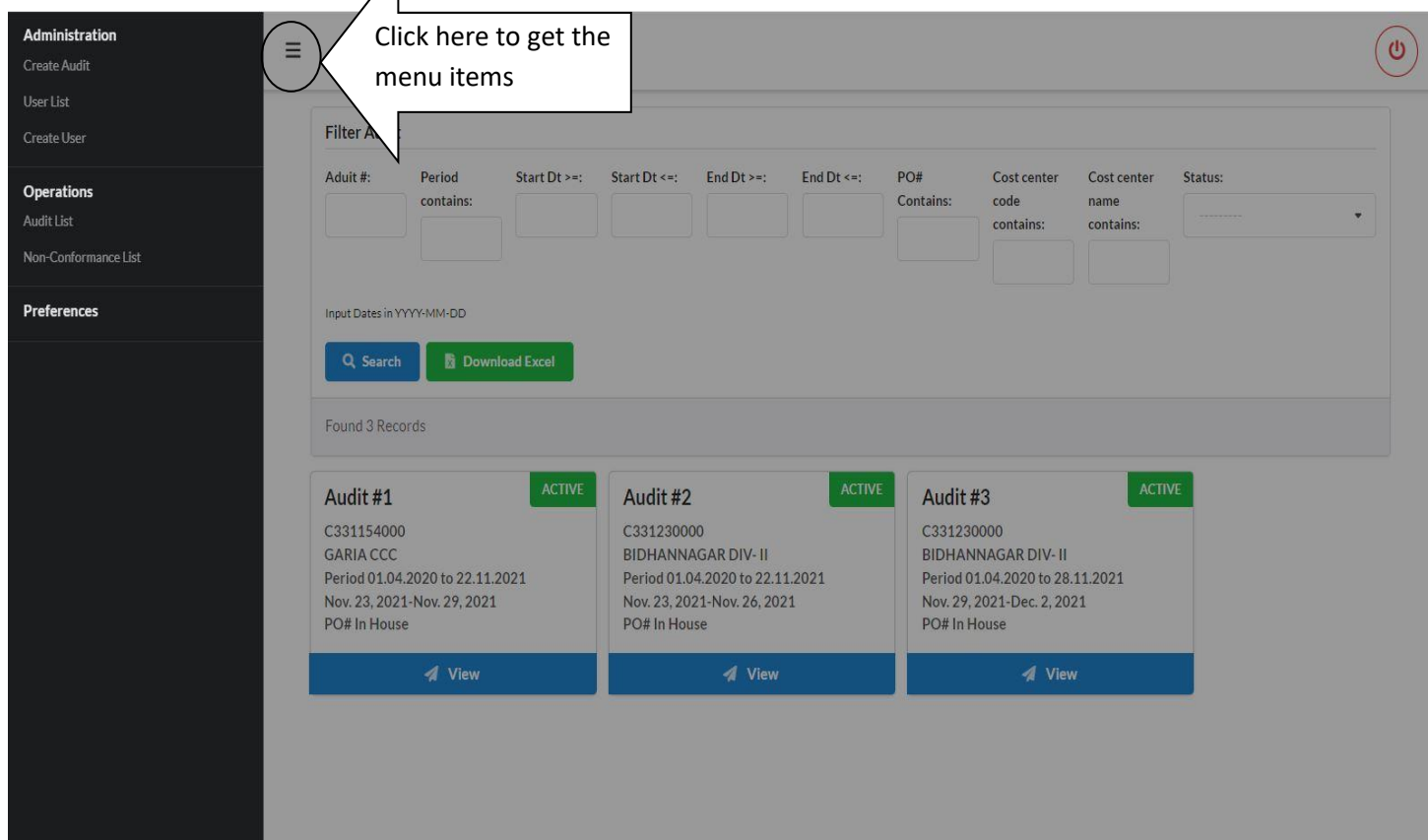
## 2.1 Head of the Office of Auditee unit, WBSEDCL

Head of the Office of Auditee units of WBSEDCL can log into the portal by using ERP ID and ESS Portal password

## 2.2 External User/Empanelled Audit Firm

The user id and password of the External Users/Empanelled/Statutory Audit firm will be created by and distributed only by the Internal Audit Department.

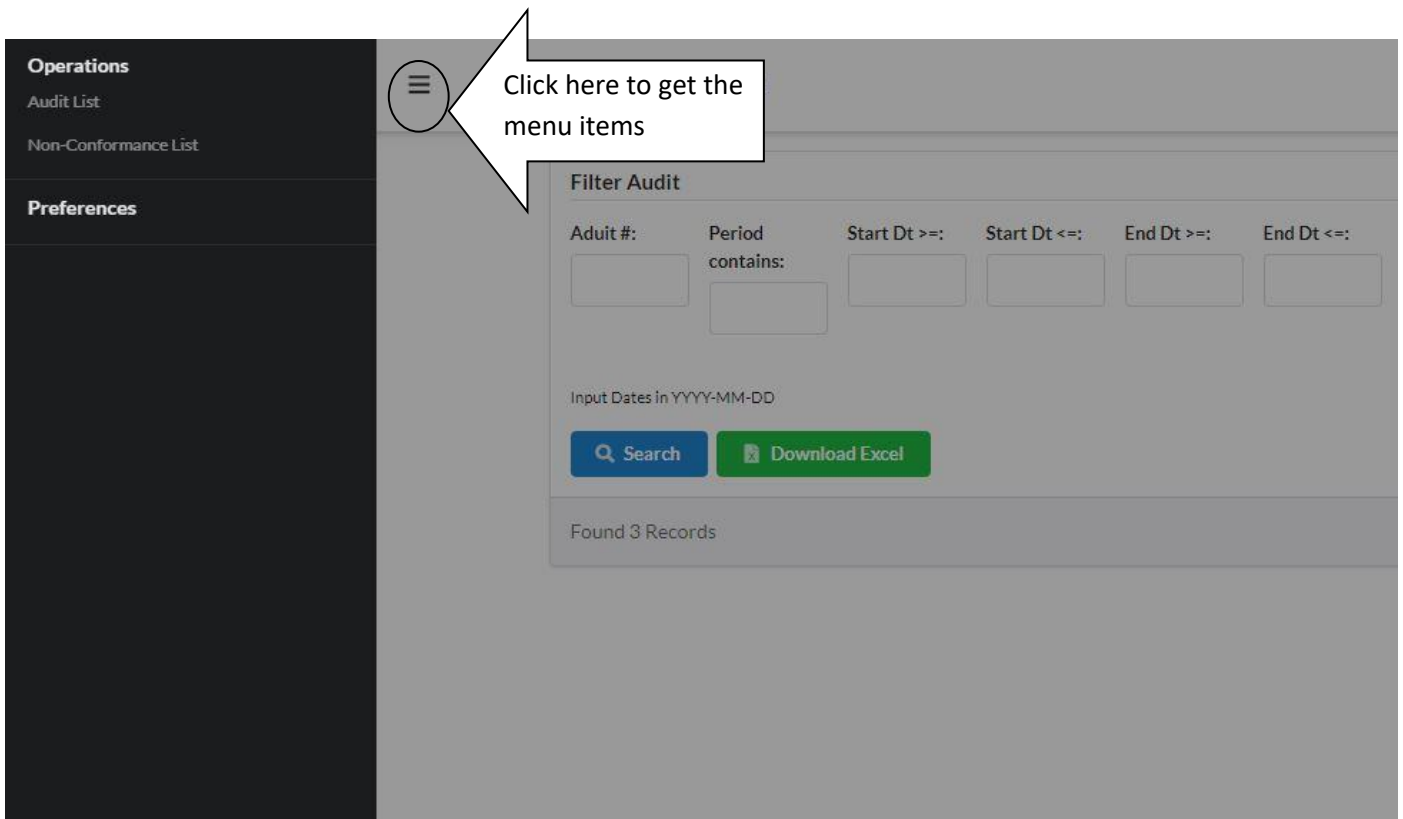
## 3. General Portal Menu Items



The screenshot displays the portal's user interface. On the left is a dark sidebar menu with sections: Administration (Create Audit, User List, Create User), Operations (Audit List, Non-Conformance List), and Preferences. A white callout box with a black border points to a hamburger menu icon in the top-left corner of the main content area, containing the text "Click here to get the menu items". The main content area features a search filter section with fields for Audit #, Period, Start/End dates, PO#, Cost center code, Cost center name, and Status. Below the filter are "Search" and "Download Excel" buttons. A message "Found 3 Records" is displayed above a table of three audit records, each with a "View" button and an "ACTIVE" status tag.

Audit #	Period	Start Dt >=:	Start Dt <=:	End Dt >=:	End Dt <=:	PO#	Cost center code	Cost center name	Status:
Audit #1	C331154000 GARIA CCC	Period 01.04.2020 to 22.11.2021	Nov. 23, 2021-Nov. 29, 2021	PO# In House	ACTIVE				
Audit #2	C331230000 BIDHANNAGAR DIV- II	Period 01.04.2020 to 22.11.2021	Nov. 23, 2021-Nov. 26, 2021	PO# In House	ACTIVE				
Audit #3	C331230000 BIDHANNAGAR DIV- II	Period 01.04.2020 to 28.11.2021	Nov. 29, 2021-Dec. 2, 2021	PO# In House	ACTIVE				

The general menu items can be accessed by clicking the circled area of the portal. The menu items will be different for every user and their authorization levels. Here, this is screenshot the panel of a higher level Internal Audit Official.

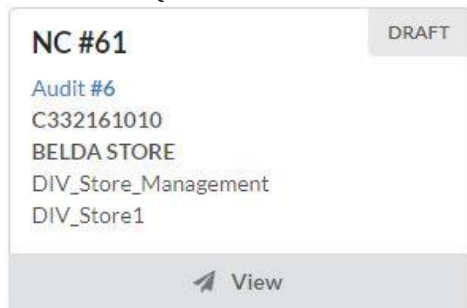


This is screenshot of an auditee units panel

Audit list: This will show the number of audit running/ended for the particular unit

Non- Conformance list – This will show the total numbers of issue raised and their status e.g.

3.1. DRAFT (Auditors have to release the Issue for further action, No action for Auditee)



3.2. OBSERVATION\_DONE (Auditee have to submit Management Response within defined time frame)



3.3. ACTION\_PLAN\_SUBMITTED: Auditee have already submitted management response, auditor will submit adjoined against the management response

**NC #61** ACTION\_PLAN\_SUBMITTED

Audit #6  
C332161010  
BELDA STORE  
DIV\_Store\_Management  
DIV\_Store1

[View](#) [Record Adjoiner](#)

3.4. PROPOSED: Adjoiner given and Issue Submitted to Internal Audit for Acceptance

**NC #61** PROPOSED

Audit #6  
C332161010  
BELDA STORE  
DIV\_Store\_Management  
DIV\_Store1

[View](#)

3.5. Open for Compliance submission (Management response accepted by Internal Audit Dept. and issue is now open for compliance review phase)

**NC #63** OPEN

Audit #6  
C332161010  
BELDA STORE  
DIV\_Store\_Management  
DIV\_Store7

[View](#) [Record Compliance](#)

3.6. Compliance review: Auditee has already submitted the compliance report for reviewed by the Internal Audit Department

**NC #61** COMPLIANCE\_REVIEW

Audit #6  
C332161010  
BELDA STORE  
DIV\_Store\_Management  
DIV\_Store1

[View](#)

3.7. Rejected: This raised issue have been rejected/Dropped by Internal Audit Department

**NC #62** REJECTED

Audit #6  
C332161010  
BELDA STORE  
DIV\_Store\_Management  
DIV\_Store2

[View](#)

3.8. Complied: The compliance has been accepted by the Internal Audit Department.

**NC #63** COMPLIED

Audit #6  
C332161010  
BELDA STORE  
DIV\_Store\_Management  
DIV\_Store7

[View](#)

## **4.AUDIT CREATION:**

Create Audit

Cost center: \*

Period: \*

Po number:

Start date: \*

January 2 2022

End date: \*

January 8 2022

Auditor: \*

Auditee ERP Role: \*

Checklists To be Audited: \*

CCC\_Metering × CCC\_Energy Billing × CCC\_Collection Management × CCC\_Connection\_New Connection ×  
CCC\_Connection\_Disconnection × CCC\_Connection\_Reconnection × CCC\_Connection\_Specialservices ×

Description: \*

Sample Audit creation

Save

Audit will be created only from internal Audit Department. The following information needs to be filled in the given form:

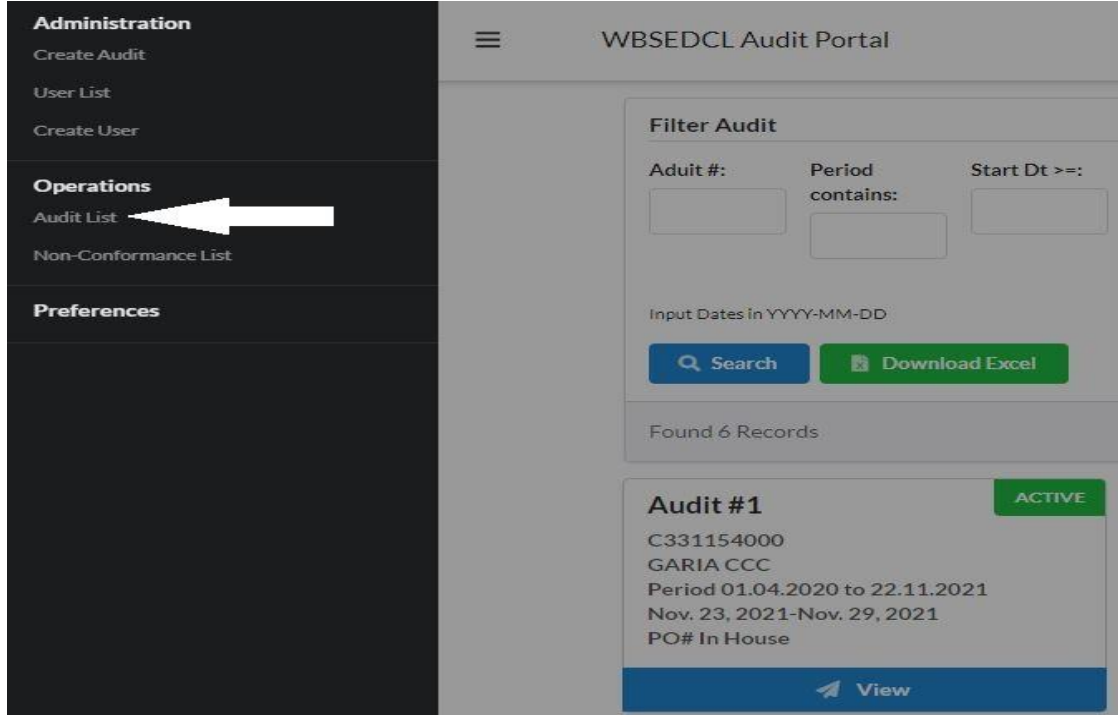
- Cost Center - Cost Center/Profit Center of Auditee unit
- Period - Period of Audit (Cover the Financial year/years)
- PO number - PO number (Mandatory for Audit firm)/Not Mandatory for IN-House Teams
- Start and End date of the Audit Duration
- Auditor - Audit firm Name for the External auditors/ Team leaders ERP ID for in-House
- Auditee ERP-Role – Role of the Auditee i.e. SM, DM, RM, ZM etc. (depending upon unit type)
- Checklist: Single or multiple checklists can be added depending upon the unit type and process to be audited. This will guide the auditors in field work of the auditors.
- Description - This text box will can be used for Name of the Team leader and Team Members and other important information regarding the Audit if necessary.



## 5. Raising Audit Issue (Raise Non Conformance for Auditor)

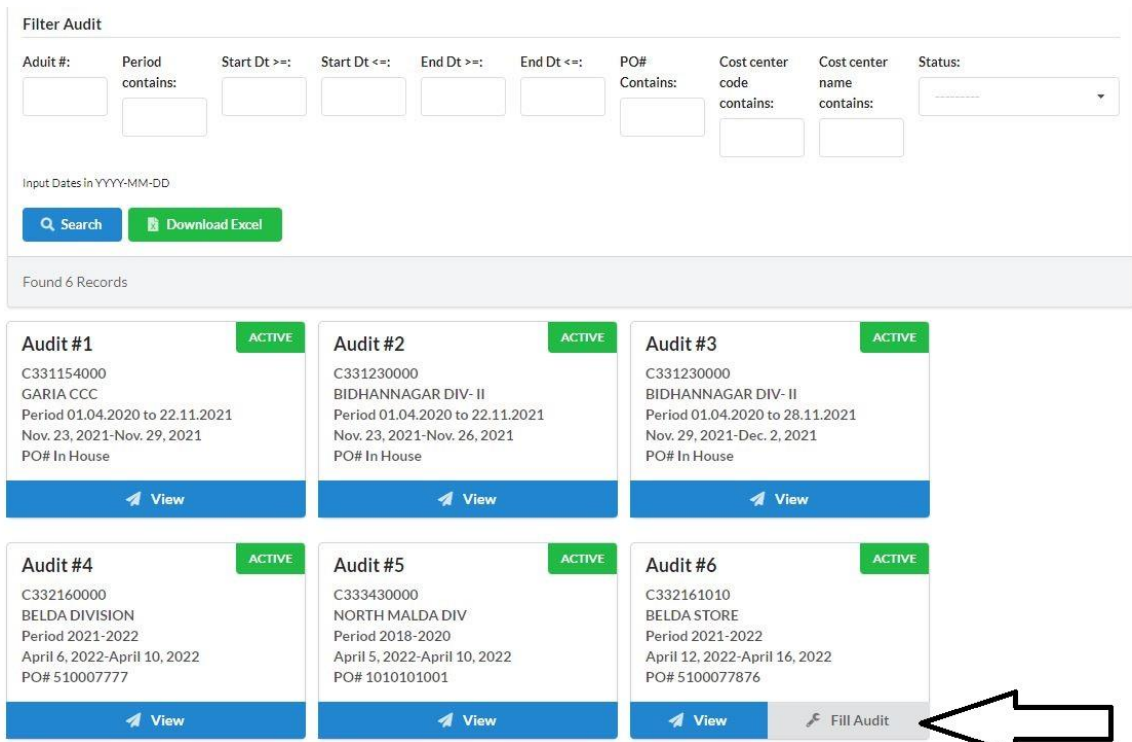
For raising and audit issue regarding a particular checklist already incorporated in the Audit portal Audit Team leader have to follow the below mentioned steps:

5.1) Click **Audit List** under Operations. List of Audit assigned will be displayed



The screenshot shows the 'WBSEDCL Audit Portal' interface. On the left, a dark sidebar contains navigation options: 'Administration' (with sub-items 'Create Audit', 'User List', 'Create User'), 'Operations' (with 'Audit List' highlighted by a white arrow), and 'Preferences'. The main content area features a 'Filter Audit' section with input fields for 'Audit #:', 'Period contains:', and 'Start Dt >=:'. Below these are 'Search' and 'Download Excel' buttons. A message states 'Found 6 Records'. A card for 'Audit #1' is visible, showing details like 'C331154000', 'GARIA CCC', and 'Period 01.04.2020 to 22.11.2021'. A green 'ACTIVE' tag is present in the top right of the card, and a blue 'View' button is at the bottom.

5.2) Click on the **Fill Audit** of Particular audit, the auditor want to raise issues about.



This screenshot shows the 'Fill Audit' interface. It includes a 'Filter Audit' section with various search criteria like 'Audit #:', 'Period contains:', 'Start Dt >:', 'Start Dt <:', 'End Dt >:', 'End Dt <:', 'PO# Contains:', 'Cost center code contains:', 'Cost center name contains:', and 'Status:'. Below the filters are 'Search' and 'Download Excel' buttons, and a message 'Found 6 Records'. A grid of six audit cards is displayed, each with an 'ACTIVE' tag and a 'View' button. The cards are: 'Audit #1' (GARIA CCC), 'Audit #2' (BIDHANNAGAR DIV- II), 'Audit #3' (BIDHANNAGAR DIV- II), 'Audit #4' (BELDA DIVISION), 'Audit #5' (NORTH MALDA DIV), and 'Audit #6' (BELDA STORE). The 'Fill Audit' button for 'Audit #6' is highlighted with a white arrow.

5.3) After clicking the **Fill Audit** page, a new page of with checklist will be open where Population size, Sample size, Testing Results needs to be filled wherever applicable and click on the Raise NC button.

DIV\_Store2 Stores Management


Check the adequacy of store yard layout design and map:

a. Check that the storage plan has been developed.  
 b. Take approved storage plan. Verify whether store yard layout is as per plan.  
 c. Check whether while preparing planning document areas like efficient and optimum design are taken care of.  
 d. Perform a walkthrough based on the store yard layout plan

Population Size

Sample Size

Testing Result



5.4) A new window will open and the following fields needs to be filled with relevant observations i.r.o. Root cause, Potential implications, Audit observation, Recommendation

Raise Non Conformance

---

Audit ID : 6

Checklist Name : DIV\_Store\_Management

Reference : DIV\_Store2  
 Stores Management Check the adequacy of store yard layout design and map: a. Check that the storage plan has been developed. b. Take approved storage plan. Verify whether store yard layout is as per plan. c. Check whether while preparing planning document areas like efficient and optimum design are taken care of. d. Perform a walkthrough based on the store yard layout plan

Partains to: \*

x

Policy

Contract

Regulation

Operation

Root cause: \*

XXXXXXXXXXXXXXXXXXXX

Potential implication: \*

XXXXXXXXXXXXXXXXXXXX

Audit observation: \*

The fastest typing speed ever, 216 words per minute, was achieved by Stella [Pajunas-Garnand](#) from Chicago in 1946 in one minute on an IBM electric. As of 2005, writer Barbara Blackburn was the fastest English language typist in the world, according to The Guinness Book of World Records. Using the Dvorak Simplified Keyboard, she had maintained 150 wpm for 50 minutes, and 170 wpm for shorter periods, with a peak speed of 212 wpm. Blackburn, who failed her QWERTY typing class in high school, first encountered the Dvorak keyboard in 1938, quickly learned to achieve very high speeds, and occasionally toured giving speed-typing demonstrations during her secretarial career. She appeared on Late Night with David Letterman on January 24, 1985, but felt that Letterman made a spectacle of her. Blackburn died in April 2008. (Wikipedia)

N.B. Any Annexure, other relevant documents can be attached with the observation in the evidence section in PDF, Word, Excel, PowerPoint, JPEG formats if necessary and click on the **Raise NC** button to Raise the issue in **DRAFT** format.

Recommendation: \*

The fastest typing speed ever, 216 words per minute, was achieved by Stella [Pajunas-Garnand](#) from Chicago in 1946 in one minute on an IBM electric. As of 2005, writer Barbara Blackburn was the fastest English language typist in the world, according to The Guinness Book of World Records. Using the Dvorak Simplified

Responsibility:

Divisional Manager

Evidence #1:

Choose File No file chosen

Evidence #2:

Choose File No file chosen

Evidence #3:

Choose File No file chosen

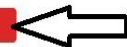
Evidence #4:

Choose File No file chosen

Evidence #5:

Choose File No file chosen

 Raise NC



A green dialog box with Success message with Non-Conformance if will be shown

✓ Success  
Non Conformance Created with id 62

Raise Non Conformance

Audit ID : 6

Checklist Name : DIV\_Store\_Management

Reference : DIV\_Store2  
Stores Management Check the adequacy of store yard layout design and map: a. Check that the storage plan has been developed. b. Take approved storage plan. Verify whether store yard layout is as per plan. c. Check whether while preparing planning document areas like efficient and optimum design are taken care of. d. Perform a walkthrough based on the store yard layout plan

N.B. This raised audit issue will be saved as draft in the database. Auditor, Auditee and Internal Audit Department officials can view this Draft audit issue by going to Audit List->View (respective audit) ->All Non Conformances  
Step wise illustration given below:

**Administration**  
Create Audit  
User List  
Create User

**Operations**  
Audit List  
Non-Conformance List

**Preferences**

WBSEDCL Audit Portal

Filter Audit

Audit #:  Period contains:  Start Dt >=:

Input Dates in YYYY-MM-DD

Search Download Excel

Found 6 Records

**Audit #1** ACTIVE

C331154000  
GARIA CCC  
Period 01.04.2020 to 22.11.2021  
Nov. 23, 2021-Nov. 29, 2021  
PO# In House

View

**Filter Audit**

Audit #:	Period contains:	Start Dt >=:	Start Dt <=:	End Dt >=:	End Dt <=:	PO# Contains:	Cost center code contains:	Cost center name contains:
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Input Dates in YYYY-MM-DD

[Search](#) [Download Excel](#)

Found 6 Records

<b>Audit #4</b> <span>ACTIVE</span> C332160000 BELDA DIVISION Period 2021-2022 April 6, 2022-April 10, 2022 PO# 510007777 <a href="#">View</a>	<b>Audit #6</b> <span>ACTIVE</span> C332161010 BELDA STORE Period 2021-2022 April 12, 2022-April 16, 2022 PO# 5100077876 <a href="#">View</a>
--	---

#6	ACTIVE	APRIL 12, 2022-APRIL 16, 2022
ID	STATUS	DURATION

Period : 2021-2022  
 PO# : 5100077876  
 Cost Center Id : C332161010  
 Cost Center Name : BELDA STORE  
 Description  
 Sample audit for s/w manual

[All Non Conformances](#)

**Filter Non-Conformance**

NC #:	Audit #:	Cost Center Code Contains:	Cost Center Name Contains:	Checklist:
<input type="text"/>	6	<input type="text"/>	<input type="text"/>	<input type="text"/>

[Search](#) [Download Excel](#)

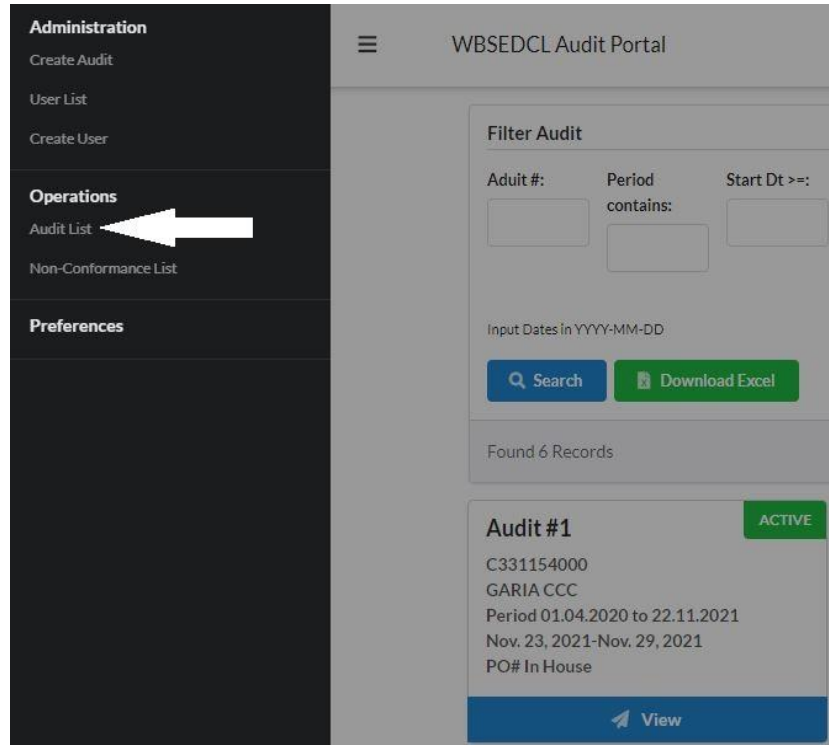
Found 2 Records

<b>NC #61</b> <span>DRAFT</span> Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store1 <a href="#">View</a>	<b>NC #62</b> <span>DRAFT</span> Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store2 <a href="#">View</a>
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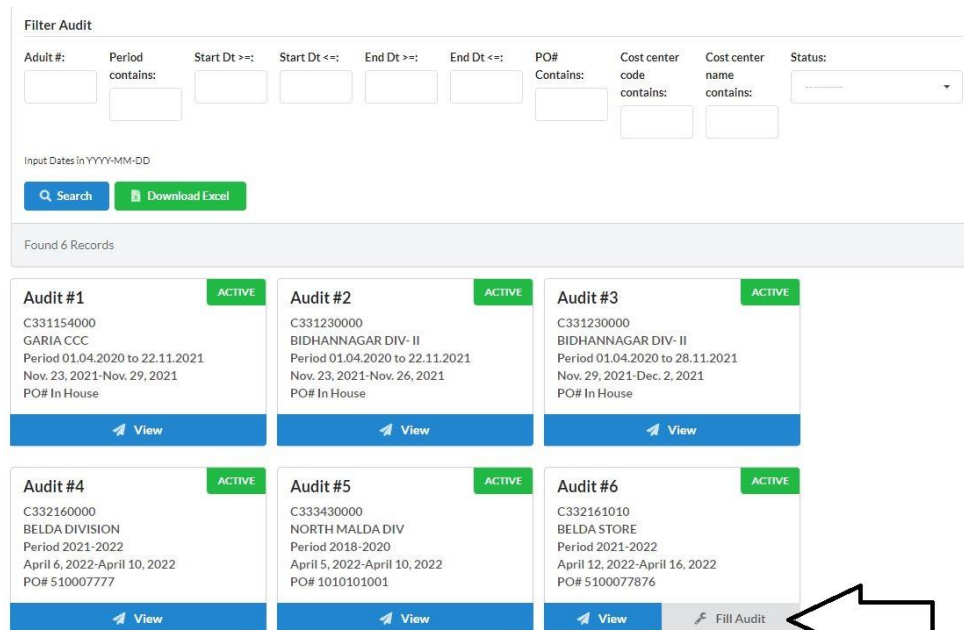
## 6. Editing, Deleting and Releasing a DRAFT Audit Issue

To EDIT, DELETE or RELEASE an Audit issue saved as DRAFT the auditor needs to follow the steps illustrated below:

Audit List -> Fill Audit (respective audit) -> All Non Conformances -> Record Observation



The screenshot shows the 'WBSEDCL Audit Portal' interface. On the left, there is a dark sidebar with navigation options: 'Administration' (Create Audit, User List, Create User), 'Operations' (Audit List, Non-Conformance List), and 'Preferences'. A white arrow points to the 'Audit List' option under 'Operations'. The main content area shows a 'Filter Audit' section with input fields for 'Audit #', 'Period contains', and 'Start Dt >=:', along with 'Search' and 'Download Excel' buttons. Below the filters, it says 'Found 6 Records'. A card for 'Audit #1' is visible, showing details like 'C331154000', 'GARIA CCC', and 'Period 01.04.2020 to 22.11.2021'. A 'View' button is at the bottom of the card.



This screenshot shows the 'Filter Audit' section with a list of six audit records. Each record card includes the audit ID, name, period, and PO#, along with a 'View' button and an 'ACTIVE' status tag. The 'Fill Audit' button is highlighted with a white arrow.

Audit #	Period	Status
Audit #1	C331154000 GARIA CCC Period 01.04.2020 to 22.11.2021 Nov. 23, 2021-Nov. 29, 2021 PO# In House	ACTIVE
Audit #2	C331230000 BIDHANNAGAR DIV- II Period 01.04.2020 to 22.11.2021 Nov. 23, 2021-Nov. 26, 2021 PO# In House	ACTIVE
Audit #3	C331230000 BIDHANNAGAR DIV- II Period 01.04.2020 to 28.11.2021 Nov. 29, 2021-Dec. 2, 2021 PO# In House	ACTIVE
Audit #4	C332160000 BELDA DIVISION Period 2021-2022 April 6, 2022-April 10, 2022 PO# 510007777	ACTIVE
Audit #5	C333430000 NORTH MALDA DIV Period 2018-2020 April 5, 2022-April 10, 2022 PO# 1010101001	ACTIVE
Audit #6	C332161010 BELDA STORE Period 2021-2022 April 12, 2022-April 16, 2022 PO# 5100077876	ACTIVE

# 6 ID	ACTIVE STATUS	APRIL 12, 2022-APRIL 16, 2022 DURATION
Period : 2021-2022 PO# : 5100077876 Cost Center Id : C332161010 Cost Center Name : BELDA STORE Description Sample audit for s/w manual		
<a href="#">All Non Conformances</a>		

Filter Non-Conformance

NC #:	Audit #:	Cost Center Code Contains:	Cost Center Name Contains:	Checklist:	Reference:	Status:
<input type="text"/>	<input type="text" value="6"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

[Search](#)
[Download Excel](#)

Found 2 Records

<b>NC #61</b> DRAFT Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store1 <a href="#">View</a> <a href="#">Record Observation</a>	<b>NC #62</b> DRAFT Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store2 <a href="#">View</a> <a href="#">Record Observation</a>
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After Clicking Record observation Auditor can make changes to the audit observation, Root cause, Recommendation etc if necessary and will find 3 Options in the bottom of the page

6.1) If any changes are made Click **SAVE**

6.2) For deletion of the raised audit issue Click **DELETE** (Wrongly raised or for Dropping)

6.3) For Releasing the Audit Issue click **RELEASE** (NB. Once released on changes can be made to the audit issue and cannot be deleted)

Responsibility:  
Divisional Manager

Evidence #1:  
Choose File No file chosen

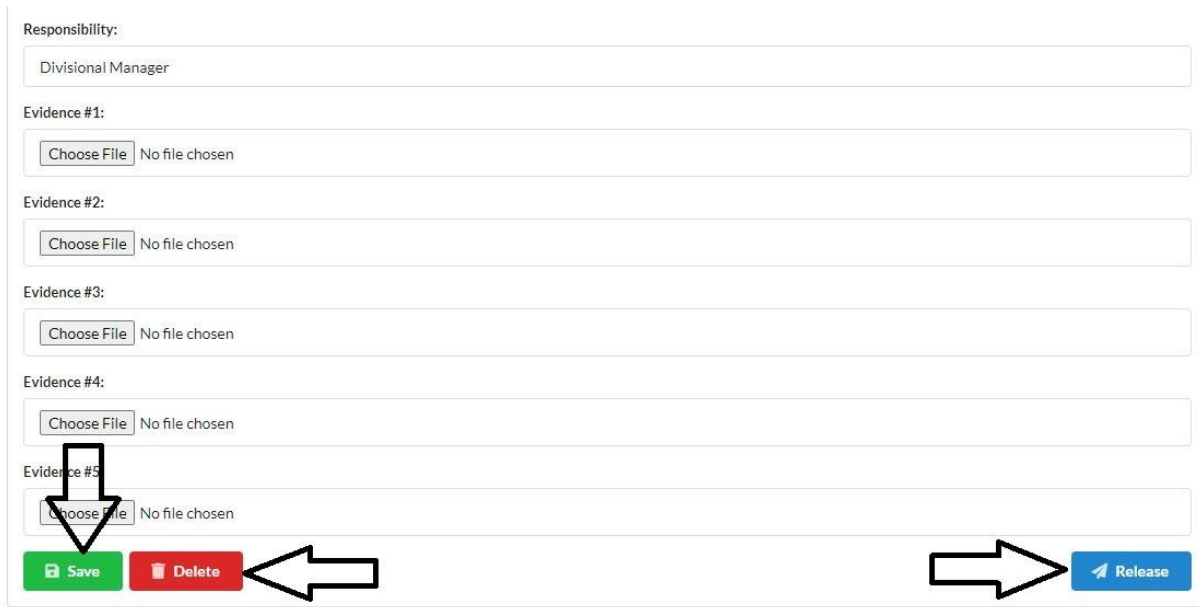
Evidence #2:  
Choose File No file chosen

Evidence #3:  
Choose File No file chosen

Evidence #4:  
Choose File No file chosen

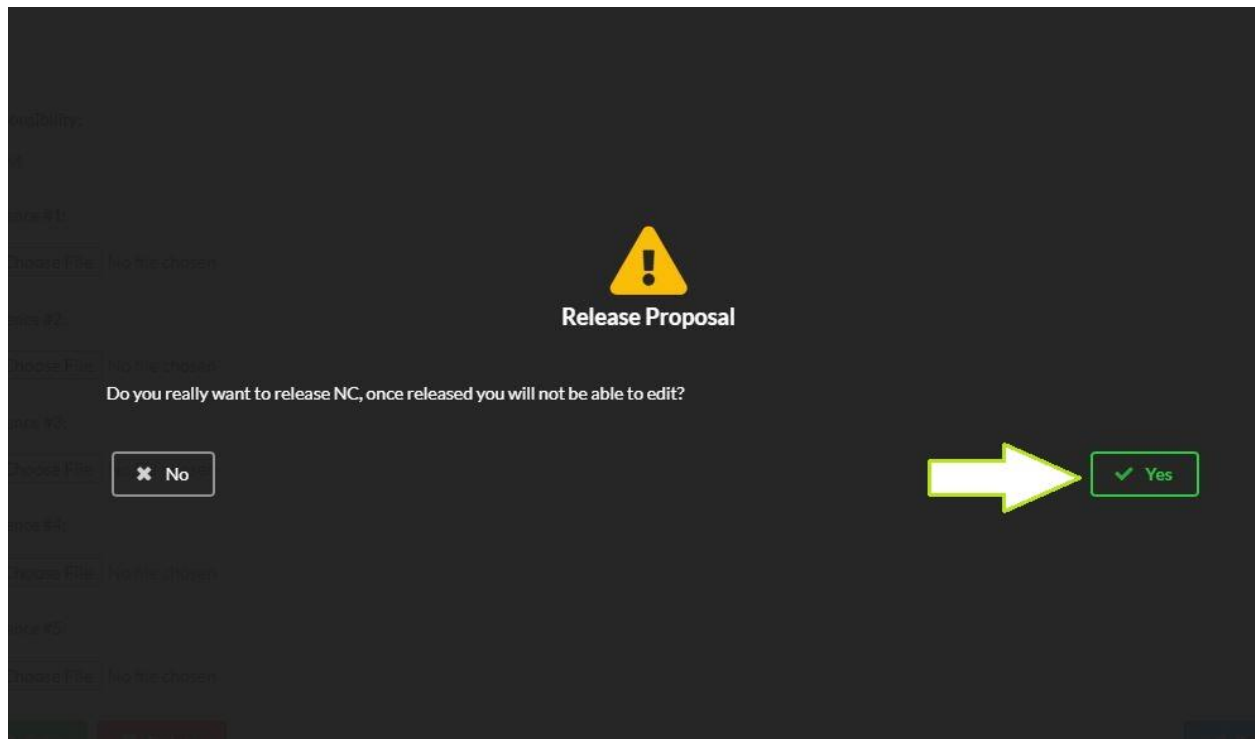
Evidence #5:  
Choose File No file chosen

Save Delete Release



After clicking the Release button a pop up will appear for confirmation

Click YES for releasing the Audit issue for further action on the Issue raised i.e. Submitting Management Response and a Success message will be shown.



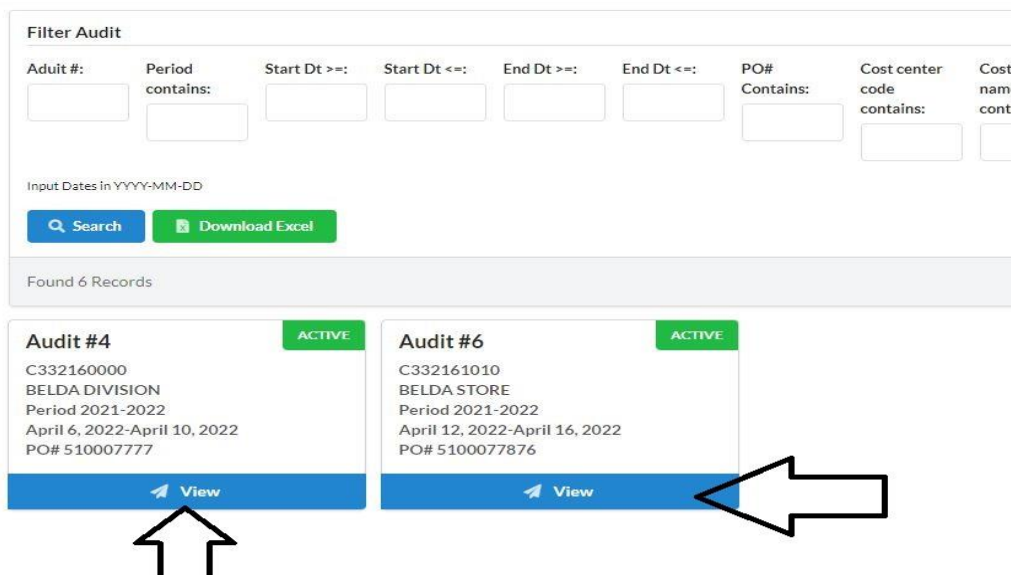
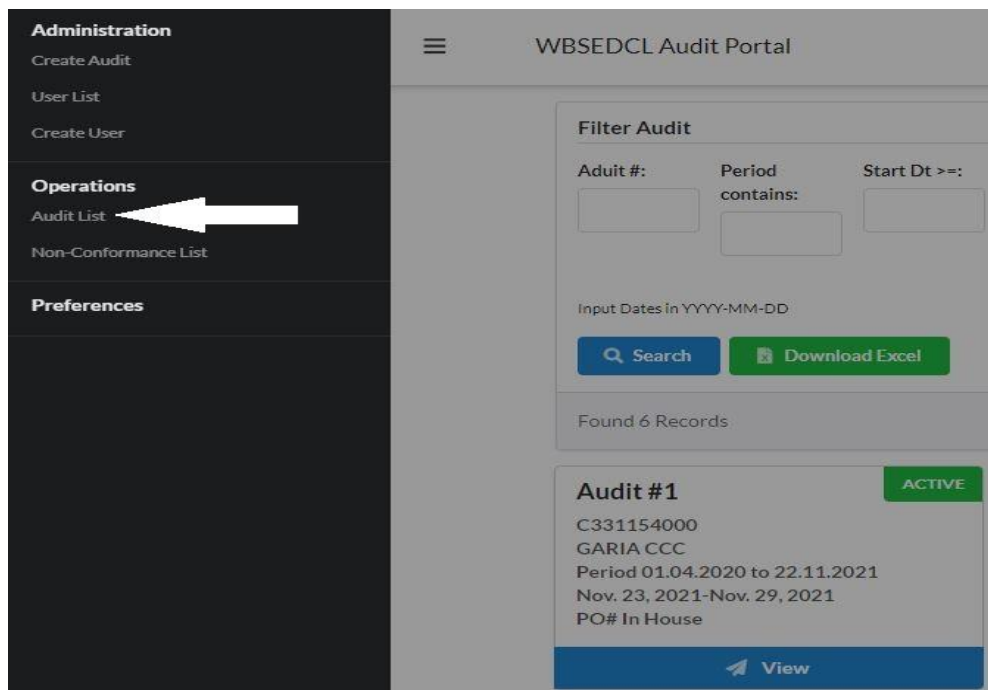


## 7. Finding Raised Issue Submitting Management Response (Auditee) :

After Auditor raised an Audit issue, Auditee have to find the raised audit issue and submit Management response on the basis of the raised query.

To Find Raised audit issue Auditee have to follow the steps given below

Goto **Audit LIST** -> Click on **VIEW** of the respective audit(if multiple audit present) -> **ALL NON CONFORMANCES** -> **Record Action PLAN**-> Type the desired action plan in the given text box under Management Action Plan-> Attach relevant documents (if any)->click **SUBMIT** ->Confirm Submission by clicking **YES**. (Success message will be shown)



# 6 ID	ACTIVE STATUS	APRIL 12, 2022-APRIL 16, 2022 DURATION
Period : 2021-2022 PO# : 5100077876 Cost Center Id : C332161010 Cost Center Name : BELDA STORE Description Sample audit for s/w manual		
<a href="#">All Non Conformances</a>		



Filter Non-Conformance

NC #:	Audit #:	Cost Center Code Contains:	Cost Center Name Contains:	Checklist:	R
<input type="text"/>	<input type="text" value="6"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

[Search](#)
[Download Excel](#)

Found 2 Records

<b>NC #61</b> OBSERVATION_DONE Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store1 <a href="#">View</a> <a href="#">Record Action Plan</a>	<b>NC #62</b> DRAFT Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store2 <a href="#">View</a>
---	---



## Management Action Plan

Action plan:\*

The fastest typing speed ever, 216 words per minute, was achieved by Stella Pajunas-Garnand from Chicago in 1946 in one minute on an IBM electric. As of 2005, writer Barbara Blackburn was the fastest English language typist in the world, according to The Guinness Book of World Records. Using the Dvorak Simplified Keyboard, she had maintained 150 wpm for 50 minutes, and 170 wpm for shorter period

Attachment #1:

Choose file No file chosen

Attachment #2:

Choose file No file chosen

Attachment #3:

Choose file No file chosen

Submit



### Submit Management Action Plan

Do you really want to submit Management Action Plan, once released you will not be able to edit?

✘ No

✔ Yes

✔ Success

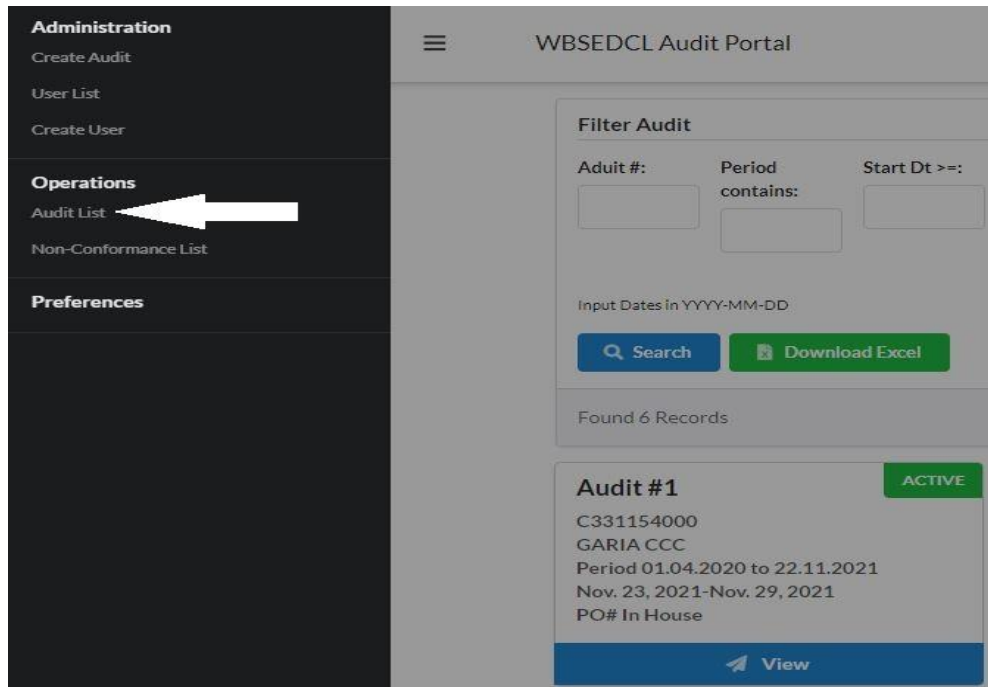
Management Action Plan Submitted

## 8. Finding Management Response and recording adjoinder (Auditor)

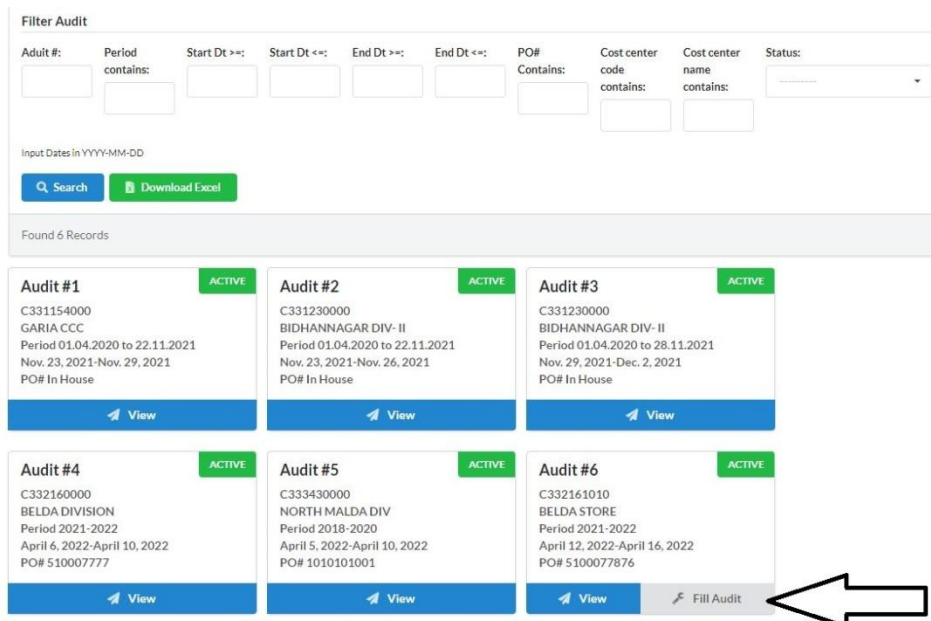
After Submission of Management response from Auditee, Auditors have to review the responses and submit adjoiners

To record Adjoinder the following steps need to be followed

Goto **Audit LIST** -> Click on **FILL AUDIT** of the respective audit(if multiple audit present) -> **ALL NON CONFORMANCES** -> **RECORD ADJOINER** -> Type the Appropriate Adjoinder in the Given Text box 'ADJOINER' -> Click **SUBMIT** to submit the Adjoinder -> Confirm the Submission by clicking **YES** -> (Success message will be shown)



The screenshot shows the 'WBSEDCL Audit Portal' interface. On the left, there is a navigation menu with sections: 'Administration' (Create Audit, User List, Create User), 'Operations' (Audit List, Non-Conformance List), and 'Preferences'. A white arrow points to the 'Audit List' item under the 'Operations' section. The main content area shows a 'Filter Audit' section with input fields for 'Audit #', 'Period contains', and 'Start Dt >='. Below these are 'Search' and 'Download Excel' buttons. A message states 'Found 6 Records'. Below this, a card for 'Audit #1' is shown with details: C331154000, GARIA CCC, Period 01.04.2020 to 22.11.2021, Nov. 23, 2021-Nov. 29, 2021, PO# In House, and a 'View' button.



This screenshot shows a more detailed view of the 'Filter Audit' section. It includes additional filters for 'Start Dt <=', 'End Dt >=', 'End Dt <=', 'PO# Contains', 'Cost center code contains', 'Cost center name contains', and 'Status'. Below the filters are 'Search' and 'Download Excel' buttons, and a message 'Found 6 Records'. A list of six audit cards is displayed, each with a 'View' button. The 'Fill Audit' button on the bottom right of the list is highlighted with a white arrow.

Audit #	Code	Division	Period	PO#	Status
Audit #1	C331154000	GARIA CCC	01.04.2020 to 22.11.2021 Nov. 23, 2021-Nov. 29, 2021	In House	ACTIVE
Audit #2	C331230000	BIDHANNAGAR DIV- II	01.04.2020 to 22.11.2021 Nov. 23, 2021-Nov. 26, 2021	In House	ACTIVE
Audit #3	C331230000	BIDHANNAGAR DIV- II	01.04.2020 to 28.11.2021 Nov. 29, 2021-Dec. 2, 2021	In House	ACTIVE
Audit #4	C332160000	BELDA DIVISION	2021-2022	April 6, 2022-April 10, 2022	ACTIVE
Audit #5	C333430000	NORTH MALDA DIV	2018-2020	April 5, 2022-April 10, 2022	ACTIVE
Audit #6	C332161010	BELDA STORE	2021-2022	April 12, 2022-April 16, 2022	ACTIVE

# 6 ID	ACTIVE STATUS	APRIL 12, 2022-APRIL 16, 2022 DURATION
Period : 2021-2022 PO# : 5100077876 Cost Center Id : C332161010 Cost Center Name : BELDA STORE Description Sample audit for s/w manual		
<a href="#">All Non Conformances</a>		

### Filter Non-Conformance

NC #:	Audit #:	Cost Center Code Contains:	Cost Center Name Contains:	Checklist:
<input type="text"/>	<input type="text" value="6"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<a href="#">Search</a>		<a href="#">Download Excel</a>		

Found 2 Records

<b>NC #62</b> DRAFT Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store2 <a href="#">View</a> <a href="#">Record Observation</a>	<b>NC #61</b> ACTION_PLAN_SUBMITTED Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store1 <a href="#">View</a> <a href="#">Record Adjoiner</a>
--	---

### Management Action Plan(s)

#53 **PROPOSED** April 13, 2022, 10:18 a.m. by 90012767

The fastest typing speed ever, 216 words per minute, was achieved by Stella Pajunas-Garnand from Chicago in 1946 in one minute on an IBM electric. As of 2005, writer Barbara Blackburn was the fastest English language typist in the world, according to The Guinness Book of World Records. Using the Dvorak Simplified Keyboard, she had maintained 150 wpm for 50 minutes, and 170 wpm for shorter perio

Adjoiner

Adjoiner:\*

The fastest typing speed ever, 216 words per minute, was achieved by Stella Pajunas-Garnand from Chicago in 1946 in one minute on an IBM electric. As of 2005, writer Barbara Blackburn was the fastest English language typist in the world

Submit

#53 **PROPOSED** April 13, 2022, 10:18 a.m. by 90012767

The fastest typing speed ever, 216 words per minute, was achieved by Stella Pajunas-Garnand from Chicago in 1946 in one minute on an IBM electric. As of 2005, writer Barbara Blackburn was the fastest English language typist in the world, according to The Guinness Book of World Records. Using the Dvorak Simplified Keyboard, she had maintained 150 wpm for 50 minutes, and 170 wpm for shorter perio

**Submit Adjoiner**

Do you really want to submit Management Action Plan, once released you will not be able to edit?

✓ **Success**

Non Compliance Proposed

## 9. Management Response Acceptance/Rejection (IA Department)

After submission of Adjoiner (if any) regarding the management response submitted by the auditee now Officials of Internal Audit Department will go through the raised issue and

Action plan. This will lead to 3 actions

1) **Accept both Non Conformance and Action Plan**

(Issue will be open and Auditee unit have to submit compliance report within stipulated time frame)

2) **Accept Non Conformance but Reject Action Plan**

(Issue will be forwarded to Auditee unit with remarks of IA Department for resubmission of the Action plan)

3) **Reject the Non Conformance**

(The issue raised by the Auditor is rejected with Remarks further action will (if any) will be directed from the Internal audit Department and the **NC will be shown as rejected**)

All three options are shown in the screen shot below and have different color scheme and also triggers a target date for the further action taken by the Auditee/Auditor

The screenshot displays a web interface with three distinct sections for handling non-compliance. Each section includes a title, a 'Remarks' field, and a colored button with a left-pointing arrow:

- Section 1:** Titled 'Accept Non-Compliance & Action Plan'. It features a 'Traget date:' field with dropdowns for 'May', '12', and '2022'. Below this is a green button labeled 'Accept NC & Action Plan'.
- Section 2:** Titled 'Accept Non-Compliance but reject Action Plan'. It has a 'Remarks:' field and a yellow button labeled 'Accept NC but Reject Action Plan'.
- Section 3:** Titled 'Reject Non-Compliance'. It has a 'Remarks:' field and a red button labeled 'Reject Non-Compliance'.

## 10. Submission of Compliance regarding Issues raised (Auditee)

Auditee units have to submit Compliance within stipulated time frame after acceptance of both Non Conformance and Action Plan and to settle the raised issue regarding the auditee unit

To submit Compliance regarding audit issue for review Auditee have to follow the steps given below:

Goto **Audit LIST** -> Click on **VIEW** of the respective audit(if multiple audit present) -> **ALL NON CONFORMANCES** -> **Record Compliance**-> Submit the compliance in the given text box under Compliance-> Attach relevant documents (if any)->click **SUBMIT** ->Confirm Submission by clicking **YES**. (Success message will be shown)

N.B.

(First 3 steps are already shown in previous actions taken by the auditee/auditor units)

Filter Non-Conformance

NC #:	Audit #:	Cost Center Code	Cost Center Name	Checklist:	Reference:	Status:
<input type="text"/>	<input type="text" value="6"/>	Contains: <input type="text"/>	Contains: <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

[Search](#) [Download Excel](#)

Found 3 Records

<b>NC #61</b> Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store1 <a href="#">View</a>	<b>NC #62</b> Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store2 <a href="#">View</a>	<b>NC #63</b> Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store7 <a href="#">View</a> <a href="#">Record Compliance</a>
--	--	--





Compliance Target Date: May 12, 2022

15 Days Remaining

### Compliance

Compliance:\*

he fastest typing speed ever, 216 words per minute, was achieved by Stella Pajunas-Garnand from Chicago in 1946 in one minute on an IBM electric. As of 2005, writer Barbara Blackburn was the fastest English language typist in the world, according to The Guinness Book of World Records. Using

Attachment #1:

Choose File No file chosen

Attachment #2:

Choose File No file chosen

Attachment #3:

Choose File No file chosen

Submit



### Submit Compliance for Review

Do you really want to submit Compliance for Review, once submitted you will not be able to edit?

✘ No

✔ Yes

## 11. Compliance Review and Acceptance (Internal Audit Department)

After submission of Compliance report by the auditee units regarding the issue raised , Intearnla Auidotr Department now have to review the compliance and either accept or reject the submitted compliance. If accepted the Issue will be **COMPLIED** else the auditee have to resubmite the Compliance report (Follow Sl. No. 10)

The following steps needs to be followed:

Goto **Audit LIST** -> Click on **VIEW** of the respective audit(if multiple audit present) -> **ALL NON CONFORMANCES** -> **REVIEW COMPLIANCE**-> **ACCEPT** or **REJECT** the compliance with Remarks-> Confirm Submission by clicking **YES**. (Success message will be shown)

N.B.


1. First 3 steps are already shown in previous actions taken by the auditee/auditor units
2. If rejected the Auditee unit have to resubmit the compliance and follow Steps in Sl. No. 10

Filter Non-Conformance

NC #:	Audit #:	Cost Center Code	Cost Center Name	Checklist:	Reference:	Status:
<input type="text"/>	6	Contains: <input type="text"/>	Contains: <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Found 3 Records

<b>NC #61</b> Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store1 <b>COMPLIANCE REVIEW</b>	<b>NC #62</b> Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store2 <b>REJECTED</b>	<b>NC #63</b> Audit #6 C332161010 BELDA STORE DIV_Store_Management DIV_Store7 <b>COMPLIANCE REVIEW</b>
<input type="button" value="View"/> <input type="button" value="Review Compliance"/>	<input type="button" value="View"/>	<input type="button" value="View"/> <input type="button" value="Review Compliance"/>



Management Action Plan(s)

#56 **ACCEPTED** April 27, 2022, 10:23 a.m. by 900

SXXXXXXXXXXXXXXXXXXXXXXXXX

Adjoiner

OK

Compliance Target Date: May 12, 2022

15 Days Remaining

Compliance(s)

#43 **PROPOSED** April 27, 2022, 10:35 a.m. by 900

XXXXXXXXXXXXXXXXXXXXXXXXX

Compliance Review

Remarks: \*

Compliance(s)

#43 **PROPOSED** April 27, 2022, 10:35 a.m. by

XXXXXXXXXXXXXXXXXXXXXXXXX

**Accept/Reject Compliance Review**

Do you really want to save?

## 12. Audit State Management (internal Audit Department)

Once an Audit is created it will be in Active State until Internal Audit Department chooses to Close it depending upon Compliance done for all the raised audit Issues or some other unavoidable reason which forces the Audit to be closed. However State of Audit can only be changed once and cannot be reverted back to Active.

There are 3 Audit state present in the system (shown below):

- 1) **Created:** The state before commencement of Audit
- 2) **Active:** The State after commencement of Audit till its closure
- 3) **Closed:** The state after closure of the audit report

Manage Audit State

# 4 ID	ACTIVE STATUS	APRIL 6, 2022-APRIL 10, 2022 DURATION
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Period : 2021-2022  
PO# : 510007777  
Cost Center Id : C332160000  
Cost Center Name : BELDA DIVISION  
Description  
Sample audit creation


New state: \*

Active

Created

Active

Closed

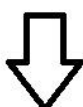
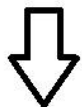


### 13. Audit Report Closure Process (internal Audit Department)


An audit report can only be closed by the Internal Audit Department. To close any audit report Audit state must be changed to CLOSED.

To Change the Audit State following steps to be followed:

Goto **AUDIT LIST** -> Click ON **MANAGE AUDIT STATE** of the respective audit (if multiple audit present) -> Click on the Drop down box marked as **NEW STATE** ->Select **CLOSED**->Click on the SAVE button. (Success message will be shown)

<b>Audit #1</b> <span>ACTIVE</span> C331154000 GARIA CCC Period 01.04.2020 to 22.11.2021 Nov. 23, 2021-Nov. 29, 2021 PO# In House <a>View</a> <a>Manage Audit State</a>	<b>Audit #2</b> <span>ACTIVE</span> C331230000 BIDHANNAGAR DIV- II Period 01.04.2020 to 22.11.2021 Nov. 23, 2021-Nov. 26, 2021 PO# In House <a>View</a> <a>Manage Audit State</a>	<b>Audit #3</b> <span>ACTIVE</span> C331230000 BIDHANNAGAR DIV- II Period 01.04.2020 to 28.11.2021 Nov. 29, 2021-Dec. 2, 2021 PO# In House <a>View</a> <a>Manage Audit State</a>
<b>Audit #4</b> <span>ACTIVE</span> C332160000 BELDA DIVISION Period 2021-2022 April 6, 2022-April 10, 2022 PO# 510007777 <a>View</a> <a>Manage Audit State</a>	<b>Audit #5</b> <span>ACTIVE</span> C333430000 NORTH MALDA DIV Period 2018-2020 April 5, 2022-April 10, 2022 PO# 1010101001 	<b>Audit #6</b> <span>ACTIVE</span> C332161010 BELDA STORE Period 2021-2022 April 12, 2022-April 16, 2022 PO# 5100077876 

Manage Audit State

# 4 ID	ACTIVE STATUS	APRIL 6, 2022-APRIL 10, 2022 DURATION
Period : 2021-2022 PO# : 510007777 Cost Center Id : C332160000 Cost Center Name : BELDA DIVISION Description Sample audit creation		
New state: *		
<input type="text" value="Active"/> x		
Created		
Active		
Closed 		

Manage Audit State

# 6  
ID

ACTIVE  
STATUS

APRIL 12, 2022-APRIL 16, 2022  
DURATION

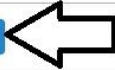
Period: 2021-2022  
PO#: 5100077876  
Cost Center Id: C332161010  
Cost Center Name: BELDA STORE  
Description

Sample audit for s/w manual

New state: \*

Closed

Save



✓ Success

Audit #5 State Changed

## 14. Audit Filter (All)

Audit Filter can be use to search a particular audit or multiple audits based on the search criteria like;

- a) Audit No.
- b) Period
- c) Start Date and End Date
- d) PO number of Audit
- e) Cost center code (Auditee unit)
- f) Cost center name (Auditee unit)
- g) Status of Audit (i.e. Created, Active, Closed)

One or multiple field can be populated and Audit details can be found after clicking the **SEARCH** button . An Excel file can also be downloaded by clicking the **DOWNLOAD EXCEL** button

Filter Audit

Audit #:	Period	Start Dt >=:	Start Dt <=:	End Dt >=:	End Dt <=:	PO#	Cost center	Cost center	Status:
<input type="text"/>	contains: <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Contains: <input type="text"/>	code contains: <input type="text"/>	name contains: <input type="text"/>	<input type="text"/>

Input Dates in YYYY-MM-DD

Found 6 Records

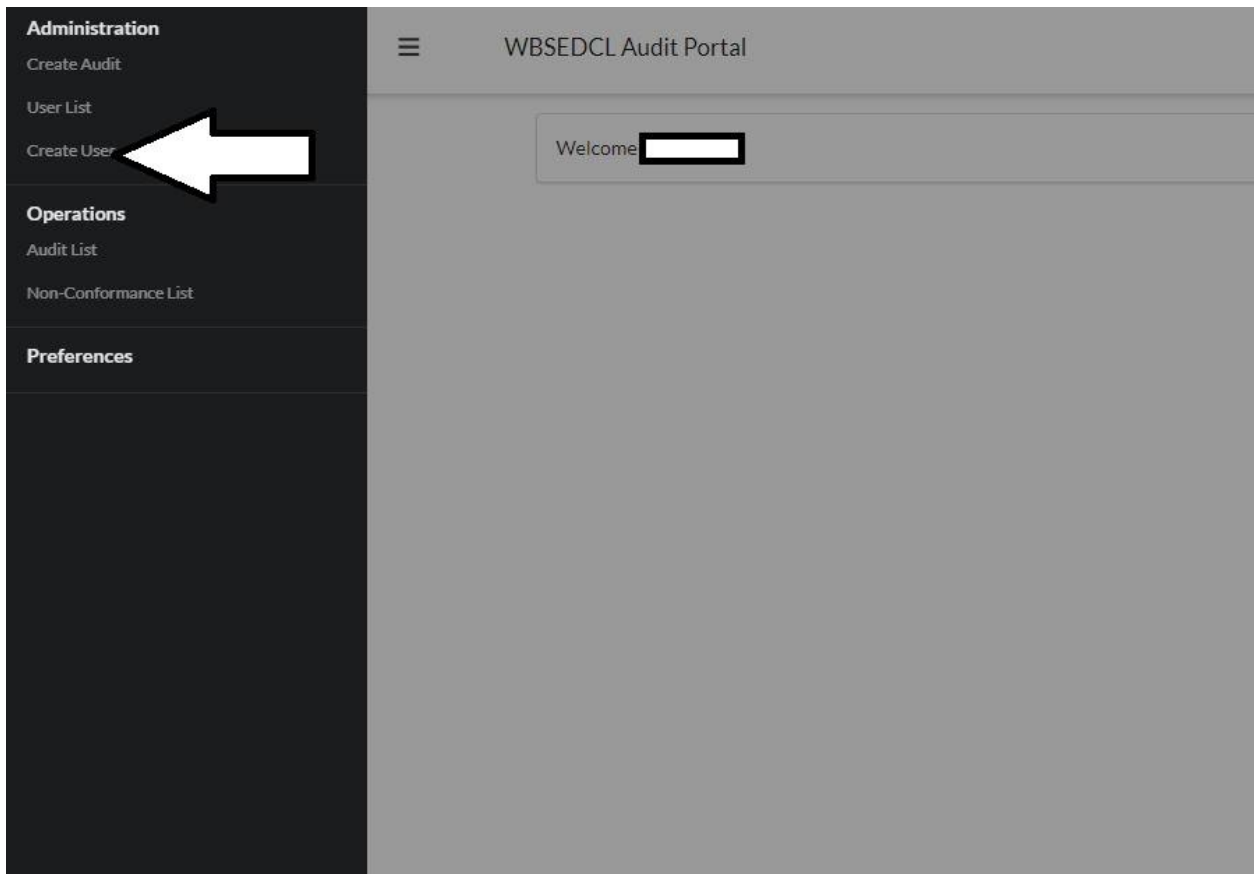
## 15. Creating External Users (Internal Audit Department)

External Users needs to be created for empanelled Outsourced Audit firms for their access to the Internal Audit Portal. These users can only be created by Internal Audit Department. After User Creation credentials will be shared with the Outsourced Firms for their use.

To Create an External user following steps needs to be followed

Click on the Menu Goto **CREATE USER** -> A new form will be opened -> Fill all the Fields with proper information-> Click on the SAVE button. (Success message will be shown)

N.B. The Username and Password for every External user must be saved and shared with extreme security as this will be only credentials for the Outsourced Audit firm to access the portal







**Create External User**

Username: \*  
External\_User\_1

First name: \*  
External

Last name: \*  
User

Email: \*  
externaluser1@internalauditmail.com

Mobile number: \*  
[Redacted]

Company: \*  
Outsourced Audit Firm & Co

Password: \*  
.....

Retype password: \*  
.....|

✓ **Success**

User External\_User\_1 Created

## 16. Viewing User List, Changing Password, Editing, Activation/Deactivation of Users

List of Active users (Internal and External) can be viewed in user list. Edit, Activate/Deactivate and Password change option (External User) are available in Actions section.

To view and execute the above mentioned action the following steps to be followed

Click on the Menu Goto **USER LIST** -> A Page containing all the active users with their details will be opened -> Click on the ACTION button for any particular user to perform EDIT, Activate/Deactivate , Change Password action.

N.B. Password change, Activate/Deactivate and Edit Actions will be required for External Users

The screenshot shows the 'WBSedCL Audit Portal' interface. On the left, a dark sidebar contains a menu with 'Administration' (Create Audit, User List, Create User), 'Operations' (Audit List, Non-Conformance List), and 'Preferences'. A white arrow points to 'User List'. The main area has a 'Filter Users' section with input fields for Username, Company, Mobile number, Email address, First name, and Last name, along with 'Search' and 'Download Excel' buttons. Below this, it states 'Found 11 Records'. A grid displays four user cards, each with a user ID (90014269, 90010461, 90016450, 90009578), the label 'INTERNAL', a green 'ACTIVE' status tag, a placeholder image, and 'View' and 'Actions' buttons.

<p>[Redacted]</p> <p>INTERNAL</p> <p>[Redacted]</p> <p>WBSEDCL</p> <p>[Redacted]</p> <p><a href="#">View</a> <a href="#">Actions</a></p>	<p><b>BDDRCA2022</b> <span>ACTIVE</span></p> <p>EXTERNAL</p> <p>BDDR CA</p> <p>DCL</p> <p>[Redacted]</p> <p>bddrca2022@internalaudit.com</p> <p><a href="#">View</a> <a href="#">Actions</a></p>
--	--

<p><b>External_User_1</b> <span>ACTIVE</span></p> <p>EXTERNAL</p> <p>External User</p> <p>Outsourced Audit Firm &amp; Co</p> <p>[Redacted]</p> <p>externaluser1@internalauditmail.com</p> <p><a href="#">View</a> <a href="#">Actions</a></p>
---

<p><b>External_User_1</b> <span>ACTIVE</span></p> <p>EXTERNAL</p> <p>External User</p> <p>Outsourced Audit Firm</p> <p>8013350755</p> <p>externaluser1@intern</p> <p><a href="#">View</a> <a href="#">Actions</a></p>	<ul style="list-style-type: none"><li>Edit</li><li>Activate/De-Activate</li><li>Change Password</li></ul>
---	---

